III. RACE TO THE TOP APPLICATION ASSURANCES
(CFDA No. 84.395A)

Legal Name of Applicant (Office of the Governor): Steven L. Beshear, Governor	Applicant's Mailing Address: State Capitol Building 700 Capitol Avenue Frankfort, KY 40601
Employer Identification Number: 61-0600439	Organizational DUNS: 102594426
State Race to the Top Contact Name: (Single point of contact for communication) David N. Cook	Contact Position and Office: Policy Advisor Kentucky Department of Education
Contact Telephone: (502) 564-4201	Contact E-mail Address: David.Cook@education.ky.gov

Required Applicant Signatures:

To the best of my knowledge and belief, all of the information and data in this application are true and correct.

I further certify that I have read the application, am fully committed to it, and will support its implementation:

Governor or Authorized Representative of the Governor (Printed Name): Steven L. Beshear	Telephone: 502-564-2611
Signature of Governor or Authorized Representative of the Governor:	Date: 5-26-10
Chief State School Officer (Printed Name): Terry Holliday Terry Holliday	Telephone: (502) 564-3141
Signature of the Chief State School Officer:	Date: 5-27-10
President of the State Board of Education (Printed Name): Joe Brothers	Telephone: (270) 737-6643
Signature of the President of the State Board of Education:	Date: May 25, 2010

State Attorney General Certification

I certify that the State's description of, and statements and conclusions concerning, State law, statute, and regulation in its application are complete, accurate, and constitute a reasonable interpretation of State law, statute, and regulation.
(See especially Eligibility Requirement (b), Selection Criteria (B)(1), (D)(1), (E)(1), (F)(2), (F)(3).)

I certify that the State does not have any legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

State Attorney General or Authorized Representative (Printed Name):	Telephone:
Lisa K. Lang	(502) 696-5646
Signature of the State Attorney General or Authorized Representative:	Date:
Lisa K. Lang	5/28/10

IV. ACCOUNTABILITY, TRANSPARENCY, REPORTING AND OTHER ASSURANCES AND CERTIFICATIONS

Accountability, Transparency and Reporting Assurances

The Governor or his/her authorized representative assures that the State will comply with all of the accountability, transparency, and reporting requirements that apply to the Race to the Top program, including the following:

- For each year of the program, the State will submit a report to the Secretary, at such time and in such manner as the Secretary may require, that describes:
    - the uses of funds within the State;
    - how the State distributed the funds it received;
    - the number of jobs that the Governor estimates were saved or created with the funds;
    - the State's progress in reducing inequities in the distribution of highly qualified teachers, implementing a State longitudinal data system, and developing and implementing valid and reliable assessments for limited English proficient students and students with disabilities; and
    - if applicable, a description of each modernization, renovation, or repair project approved in the State application and funded, including the amounts awarded and project costs (ARRA Division A, Section 14008)

- The State will cooperate with any U.S. Comptroller General evaluation of the uses of funds and the impact of funding on the progress made toward closing achievement gaps (ARRA Division A, Section 14009)

- If the State uses funds for any infrastructure investment, the State will certify that the investment received the full review and vetting required by law and that the chief executive accepts responsibility that the investment is an appropriate use of taxpayer funds. This certification will include a description of the investment, the estimated total cost, and the amount of covered funds to be used. The certification will be posted on the State's website and linked to www.Recovery.gov. A State or local agency may not use funds under the ARRA for infrastructure investment funding unless this certification is made and posted. (ARRA Division A, Section 1511)

- The State will submit reports, within 10 days after the end of each calendar quarter, that contain the information required under section 1512(c) of the ARRA in accordance with any guidance issued by the Office of Management and Budget or the Department. (ARRA Division A, Section 1512(c))

- The State will cooperate with any appropriate Federal Inspector General's examination of records under the program. (ARRA Division A, Section 1515)

Other Assurances and Certifications

The Governor or his/her authorized representative assures or certifies the following:

- The State will comply with all applicable assurances in OMB Standard Forms 424B (Assurances for Non-Construction Programs) and to the extent consistent with the State's application, OMB Standard Form 424D (Assurances for Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders and regulations.

- With respect to the certification regarding lobbying in Department Form 80-0013, no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; the State will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 C.F.R. Part 82, Appendix B); and the State will require the full certification, as set forth in 34 C.F.R. Part 82, Appendix A, in the award documents for all subawards at all tiers.

- The State will comply with all of the operational and administrative provisions in Title XV and XIV of the ARRA, including Buy American Requirements (ARRA Division A, Section 1605), Wage Rate Requirements (section 1606), and any applicable environmental impact requirements of the National Environmental Policy Act of 1970 (NEPA), as amended, (42 U.S.C. 4371 et seq.) (ARRA Division A, Section 1609). In using ARRA funds for infrastructure investment, recipients will comply with the requirement regarding Preferences for Quick Start Activities (ARRA Division A, Section 1602).

- Any local educational agency (LEA) receiving funding under this program will have on file with the State a set of assurances that meets the requirements of section 442 of the General Education Provisions Act (GEPA) (20 U.S.C. 1232e).

- Any LEA receiving funding under this program will have on file with the State (through either its Stabilization Fiscal Stabilization Fund application or another U.S. Department of Education Federal grant) a description of how the LEA will comply with the requirements of section 427 of GEPA (20 U.S.C. 1228a). The description must include information on the steps the LEA proposes to take to permit students, teachers, and other program beneficiaries to overcome barriers (including barriers based on gender, race, color, national origin, disability, and age) that impede access to, or participation in, the program.

- The State and other entities will comply with the Education Department General Administrative Regulations (EDGAR), including the following provisions as applicable: 34 CFR Part 74–Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 34 CFR Part 75–Direct Grant Programs; 34 CFR Part 77– Definitions that Apply to Department Regulations; 34 CFR Part

80– Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the procurement provisions; 34 CFR Part 81– General Education Provisions Act–Enforcement; 34 CFR Part 82– New Restrictions on Lobbying; 34 CFR Part 84–Governmentwide Requirements for Drug-Free Workplace (Financial Assistance); 34 CFR Part 85–Governmentwide Debarment and Suspension (Nonprocurement).

SIGNATURE BLOCK FOR CERTIFYING OFFICIAL

Governor or Authorized Representative of the Governor (Printed Name): Steven L. Beshear	
Signature of Governor or Authorized Representative of the Governor:	Date: 5-26-10

Race to the Top
Application for Phase 2 Funding
CFDA Number: 84.395A

U.S. Department of Education
Washington, D.C. 20202
OMB Number: 1810-0697
Expiration Date: 06/30/2010
Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0697. The time required to complete this information collection is estimated to average 681 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Race to the Top, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Ave., S.W., Room 3E108, Washington, D.C. 20202-3118

Dear Colleague:

On July 24, President Obama and I released the proposed priorities, requirements, definitions, and selection criteria for the $4.35 billion Race to the Top Fund. That announcement precipitated a vigorous national dialogue about how to best reform our schools and educate our Nation's children. With your assistance, that dialogue is beginning to generate far-reaching reforms that will help America boost student learning, narrow achievement gaps, and increase college and career readiness. Today, the U.S. Department of Education is releasing the final priorities, requirements, definitions, and selection criteria, along with the application for the Race to the Top competition.

Race to the Top provides an unprecedented opportunity to reform our schools and challenge an educational status quo that is failing too many children. President Obama and Congress have provided more money for school reform than ever before in history. This is a once-in-a-lifetime chance to change our schools and accelerate student achievement. And everyone committed to education reform can be partners in promoting the success of our children.

Through Race to the Top, we are asking States to advance reforms around four specific areas:

- Adopting standards and assessments that prepare students to succeed in college and the workplace and to compete in the global economy;
- Building data systems that measure student growth and success, and inform teachers and principals about how they can improve instruction;
- Recruiting, developing, rewarding, and retaining effective teachers and principals, especially where they are needed most; and
- Turning around our lowest-achieving schools.

Awards in Race to the Top will go to States that are leading the way with ambitious yet achievable plans for implementing coherent, compelling, and comprehensive education reform. Race to the Top winners will help trail-blaze effective reforms and provide examples for States and local school districts throughout the country to follow as they too are hard at work on reforms that can transform our schools for decades to come.

The momentum for reform is already building. Some 1,161 commenters submitted thousands of unique comments, ranging from one paragraph to 67 pages. Educators and members of the public from every State and the District of Columbia submitted comments, and the commenters included parents, teachers, principals, superintendents, school board members, chief state school officers, and governors. This outpouring of thoughtful input prompted the Department to make numerous changes and improvements to the final application. But just as important, the overwhelming volume of comments demonstrates the potential for Race to the Top to propel the transformational changes that students and teachers need.

I hope this process becomes a model – one where transparent and candid dialogue informs our policies and your work, enabling all stakeholders to act in the best interests of children. I am heartened by and grateful for your participation to date. And I invite you to continue that conversation as we move forward in the effort to build an education system that our students deserve, one that ensures that our country is ready to compete in the global economy of the 21st Century.

Sincerely,

/s/

Arne Duncan

APPLICATION INTRODUCTION AND INSTRUCTIONS

Introduction

Race to the Top is authorized under section 14006 of the American Recovery and Reinvestment Act (ARRA). The purpose of the Race to the Top Fund, a competitive grant program, is to encourage and reward States that are creating the conditions for education innovation and reform; achieving significant improvement in student outcomes, including making substantial gains in student achievement, closing achievement gaps, improving high school graduation rates, and ensuring student preparation for success in college and careers; and implementing ambitious plans in four core education reform areas:

- Adopting standards and assessments that prepare students to succeed in college and the workplace and to compete in the global economy;
- Building data systems that measure student growth and success, and inform teachers and principals about how they can improve instruction;
- Recruiting, developing, rewarding, and retaining effective teachers and principals, especially where they are needed most; and
- Turning around our lowest-achieving schools.

General Instructions

The Department encourages all potential applicants to read through the entire application package – including the notice inviting applications; the notice of final priorities, requirements, definitions, and selection criteria; and this application – before beginning to prepare the application proposal.

This application includes sections that require response or action by the State, as well as several sections of background information that are directly relevant to the program. For example, Section II includes definitions that are used throughout the application.

Page Length Recommendation

The Department recommends a page length for the State's response to each selection criterion; these are indicated in the application next to each criterion. We recommend that States limit their total page count (that is, the narrative responses to all selection criteria in Section VI) to no more than 100 pages of State-authored text, and that they limit their appendices to no more than 250 pages. For all responses, we request that the following standards be used:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Each page has a page number.
- Line spacing for the narratives is set to 1.5 spacing, and the font used is 12 point Times New Roman.

The Secretary strongly requests that applicants follow the recommended page limits, although the Secretary will consider applications of greater length.

Instructions for Responding to Selection Criteria

The application provides space for the State to address the selection criteria, including performance measures and supporting evidence. As required by the Absolute Priority (explained in more detail below), the State must address all education reform areas. It need not address every individual selection criterion. However, a State will not earn points for selection criteria that it does not address. There are two types of selection criteria – State Reform Conditions Criteria and Reform Plan Criteria—to which the State may respond.

State Reform Conditions Criteria are used to assess a State's progress and its success in creating conditions for reform in specific areas related to the four ARRA education reform areas. The State must provide, for each State Reform Conditions Criterion addressed, a description of the State's current status in meeting that criterion, and at a minimum, the information requested as supporting evidence that the State has met the criterion. The State may also submit additional information that it believes will be helpful to reviewers in judging the criterion.

Reform Plan Criteria are used to assess a State's plan for future efforts in the four ARRA education reform areas. The State must provide, for each Reform Plan Criterion that the State chooses to address, a detailed plan for use of grant funds that includes, but need not be limited to—

- The key goals;
- The key activities to be undertaken and rationale for the activities, which should include why the specific activities are thought to bring about the change envisioned and how these activities are linked to the desired goals;
- The timeline for implementing the activities;
- The party or parties responsible for implementing the activities;
- The State's annual targets for this plan, where applicable, with respect to the performance measures, if any. Where the State proposes plans for reform efforts not covered by a specified performance measure, the State may propose performance measures and annual targets for those efforts; and
- The information requested as supporting evidence, if any, for the criterion, together with any additional information the State believes will be helpful to reviewers in judging the credibility of the State's plan.

Responding to Selection Criteria: For each criterion, there are up to three parts: the narrative, the performance measures, and the evidence.

- **Narrative:** For each criterion the State addresses, the State writes its narrative response in the text box below the selection criterion (in the space marked, "Enter text here"). In this space, the State describes how it has addressed or will address that criterion. Response lengths are indicated in the directions.

- **Performance Measures:** For several selection criteria, the State is asked to provide goals and annual targets, baseline data, and other information; these are indicated in the application. In addition, the State may provide additional performance measures, baseline data, and targets for any criterion it chooses. Reviewers will consider, as part of

their evaluations of the State's application, the extent to which the State has set ambitious yet achievable annual targets for the performance measures in support of the State's plan.

Tables for all of the performance measures are provided in the application. For criteria to which a State is responding, the State must complete the tables or provide an attachment in the Appendix responding to the performance measures. If there are data the State does not have, the State should indicate that the data are not available and explain why.

Some data elements may require States to collect information from participating LEAs. It may be helpful to begin gathering this information as early as possible (see especially criteria (A)(1), (D)(2), and (D)(3)).

To minimize burden, performance measures have been requested only where the Department intends to report nationally on them and for measures that lend themselves to objective and comparable data gathering. In the future, the Department may require grantees to submit additional performance data as part of an annual report, program evaluation, or other mechanism.

For optional performance measures, no submission of the measures is required; however if the State wishes to include performance measures in these optional cases, it may use the templates provided in the application or it may submit attachments.

- **Evidence:** Some selection criteria require the State to provide specific evidence; this is indicated in the application. In addition, the State may provide additional evidence for any criterion it chooses.

  The State must provide the evidence in the narrative text below each selection criterion or provide an attachment in the Appendix.

Appendix: The Appendix must include a complete Table of Contents. Each attachment in the Appendix must be described in the narrative text of the relevant selection criterion, with a rationale for how its inclusion supports the narrative and a notation of its location in the Appendix.

Competition Priorities: The Race to the Top competition includes absolute, competitive, and invitational priorities. The competition priorities can be found in Section VII of this application. The absolute priority will be addressed under State Success Factors, section A, and through the State's comprehensive approach to addressing the four education reform areas, selection criteria sections B, C, D and E. A State that is responding to the competitive preference priority should address it throughout the application, as appropriate, and provide a summary of its approach to addressing the priority in the text box below the priority in Section VII. Applicants responding to the invitational priorities may address them throughout their applications or in the text boxes below each priorities in Section VII. Responding to the competitive and invitational priorities is optional.

Competition Description and Scoring Rubric

For information on the competition review and selection process, see (a) the section entitled, Review and Selection Process, in the notice inviting applications; and (b) Section XI, Scoring Rubric (Appendix B in the notice). In addition, point values have been included throughout the application.

Technical Assistance Planning Workshops

To assist States in preparing the application and to respond to questions, the Department will host a Technical Assistance Planning Workshop for potential Phase 2 applicants on April 21, 2010, in Minneapolis, Minnesota. The purpose of the workshop is for Department staff to review the selection criteria, requirements, and priorities with teams of participants responsible for drafting State applications; for Department staff to answer technical questions about the Race to the Top program; and for potential Phase 2 applicants to hear from and ask questions of successful Phase 1 applicants. For more information about the workshop please visit http://www2.ed.gov/programs/racetothetop/phase2-tech-assistance-workshop.html; updates about all events will be available at the Race to the Top website www.ed.gov/programs/racetothetop. Attendance at the workshop is strongly encouraged. For those who cannot attend, transcripts of the meeting will be available on our website. Announcements of any other conference calls or webinars and Frequently Asked Questions will also be available on the Race to the Top website www.ed.gov/programs/racetothetop.

Frequently Asked Questions

The Department has also prepared frequently asked questions in order to assist States in completing an application. Frequently Asked Questions are available at www.ed.gov/programs/racetothetop.

DEFINITIONS

Alternative routes to certification **means pathways to certification that are authorized under the State's laws or regulations, that allow the establishment and operation of teacher and administrator preparation programs in the State, and that have the following characteristics (in addition to standard features such as demonstration of subject-matter mastery, and high-quality instruction in pedagogy and in addressing the needs of all students in the classroom including English language learners[1] and student with disabilities): (a) can be provided by various types of qualified providers, including both institutions of higher education and other providers operating independently from institutions of higher education; (b) are selective in accepting candidates; (c) provide supervised, school-based experiences and ongoing support such as effective mentoring and coaching; (d) significantly limit the amount of coursework required or have options to test out of courses; and (e) upon completion, award the same level of certification that traditional preparation programs award upon completion.**

College enrollment refers to the enrollment of students who graduate from high school consistent with 34 CFR 200.19(b)(1) and who enroll in an institution of higher education (as defined in section 101 of the Higher Education Act, P.L. 105-244, 20 U.S.C. 1001) within 16 months of graduation.

Common set of K-12 standards means a set of content standards that define what students must know and be able to do and that are substantially identical across all States in a consortium. A State may supplement the common standards with additional standards, provided that the additional standards do not exceed 15 percent of the State's total standards for that content area.

Effective principal means a principal whose students, overall and for each subgroup, achieve acceptable rates (*e.g.*, at least one grade level in an academic year) of student growth (as defined in this notice). States, LEAs, or schools must include multiple measures, provided that principal effectiveness is evaluated, in significant part, by student growth (as defined in this notice). Supplemental measures may include, for example, high school graduation rates and college enrollment rates, as well as evidence of providing supportive teaching and learning conditions, strong instructional leadership, and positive family and community engagement.

Effective teacher means a teacher whose students achieve acceptable rates (*e.g.*, at least one grade level in an academic year) of student growth (as defined in this notice). States, LEAs, or schools must include multiple measures, provided that teacher effectiveness is evaluated, in significant part, by student growth (as defined in this notice). Supplemental measures may include, for example, multiple observation-based assessments of teacher performance.

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[1] **The term English language learner, as used in this notice, is synonymous with the term limited English proficient, as defined in section 9101 of the ESEA**

Formative assessment means assessment questions, tools, and processes that are embedded in instruction and are used by teachers and students to provide timely feedback for purposes of adjusting instruction to improve learning.

Graduation rate means the four-year or extended-year adjusted cohort graduation rate as defined by 34 CFR 200.19(b)(1).

Highly effective principal means a principal whose students, overall and for each subgroup, achieve high rates (*e.g.*, one and one-half grade levels in an academic year) of student growth (as defined in this notice). States, LEAs, or schools must include multiple measures, provided that principal effectiveness is evaluated, in significant part, by student growth (as defined in this notice). Supplemental measures may include, for example, high school graduation rates; college enrollment rates; evidence of providing supportive teaching and learning conditions, strong instructional leadership, and positive family and community engagement; or evidence of attracting, developing, and retaining high numbers of effective teachers.

Highly effective teacher means a teacher whose students achieve high rates (*e.g.*, one and one-half grade levels in an academic year) of student growth (as defined in this notice). States, LEAs, or schools must include multiple measures, provided that teacher effectiveness is evaluated, in significant part, by student growth (as defined in this notice). Supplemental measures may include, for example, multiple observation-based assessments of teacher performance or evidence of leadership roles (which may include mentoring or leading professional learning communities) that increase the effectiveness of other teachers in the school or LEA.

High-minority school is defined by the State in a manner consistent with its Teacher Equity Plan. The State should provide, in its Race to the Top application, the definition used.

High-need LEA means an LEA (a) that serves not fewer than 10,000 children from families with incomes below the poverty line; or (b) for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line.

High-need students means students at risk of educational failure or otherwise in need of special assistance and support, such as students who are living in poverty, who attend high-minority schools (as defined in this notice), who are far below grade level, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a diploma on time, who are homeless, who are in foster care, who have been incarcerated, who have disabilities, or who are English language learners.

High-performing charter school means a charter school that has been in operation for at least three consecutive years and has demonstrated overall success, including (a) substantial progress in improving student achievement (as defined in this notice); and (b) the management and leadership necessary to overcome initial start-up problems and establish a thriving, financially viable charter school.

High-poverty school means, consistent with section 1111(h)(1)(C)(viii) of the ESEA, a school in the highest quartile of schools in the State with respect to poverty level, using a measure of poverty determined by the State.

High-quality assessment means an assessment designed to measure a student's knowledge, understanding of, and ability to apply, critical concepts through the use of a variety of item types and formats (*e.g.*, open-ended responses, performance-based tasks). Such assessments should enable measurement of student achievement (as defined in this notice) and student growth (as defined in this notice); be of high technical quality (*e.g.*, be valid, reliable, fair, and aligned to standards); incorporate technology where appropriate; include the assessment of students with disabilities and English language learners; and to the extent feasible, use universal design principles (as defined in section 3 of the Assistive Technology Act of 1998, as amended, 29 U.S.C. 3002) in development and administration.

Increased learning time means using a longer school day, week, or year schedule to significantly increase the total number of school hours to include additional time for (a) instruction in core academic subjects, including English; reading or language arts; mathematics; science; foreign languages; civics and government; economics; arts; history; and geography; (b) instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations; and (c) teachers to collaborate, plan, and engage in professional development within and across grades and subjects.[2]

Innovative, autonomous public schools means open enrollment public schools that, in return for increased accountability for student achievement (as defined in this notice), have the flexibility and authority to define their instructional models and associated curriculum; select and replace staff; implement new structures and formats for the school day or year; and control their budgets.

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[2] **Research supports the effectiveness of well-designed programs that expand learning time by a minimum of 300 hours per school year. (See Frazier, Julie A.; Morrison, Frederick J. "The Influence of Extended-year Schooling on Growth of Achievement and Perceived Competence in Early Elementary School." Child Development. Vol. 69 (2), April 1998, pp.495-497 and research done by Mass2020.) Extending learning into before- and after-school hours can be difficult to implement effectively, but is permissible under this definition with encouragement to closely integrate and coordinate academic work between in-school and out-of school. (See James-Burdumy, Susanne; Dynarski, Mark; Deke, John. "When Elementary Schools Stay Open Late: Results from The National Evaluation of the 21st Century Community Learning Centers Program." <http://www.mathematica-mpr.com/publications/redirect_PubsDB.asp?strSite=http://epa.sagepub.com/cgi/content/abstract/29/4/296> Educational Evaluation and Policy Analysis, Vol. 29 (4), December 2007, Document No. PP07-121.)**

Instructional improvement systems means technology-based tools and other strategies that provide teachers, principals, and administrators with meaningful support and actionable data to systemically manage continuous instructional improvement, including such activities as: instructional planning; gathering information (*e.g.*, through formative assessments (as defined in this notice), interim assessments (as defined in this notice), summative assessments, and looking at student work and other student data); analyzing information with the support of rapid-time (as defined in this notice) reporting; using this information to inform decisions on appropriate next instructional steps; and evaluating the effectiveness of the actions taken. Such systems promote collaborative problem-solving and action planning; they may also integrate instructional data with student-level data such as attendance, discipline, grades, credit accumulation, and student survey results to provide early warning indicators of a student's risk of educational failure.

Interim assessment means an assessment that is given at regular and specified intervals throughout the school year, is designed to evaluate students' knowledge and skills relative to a specific set of academic standards, and produces results that can be aggregated (*e.g.*, by course, grade level, school, or LEA) in order to inform teachers and administrators at the student, classroom, school, and LEA levels.

Involved LEAs means LEAs that choose to work with the State to implement those specific portions of the State's plan that necessitate full or nearly-full statewide implementation, such as transitioning to a common set of K-12 standards (as defined in this notice). Involved LEAs do not receive a share of the 50 percent of a State's grant award that it must subgrant to LEAs in accordance with section 14006(c) of the ARRA, but States may provide other funding to involved LEAs under the State's Race to the Top grant in a manner that is consistent with the State's application.

Low-minority school is defined by the State in a manner consistent with its Teacher Equity Plan. The State should provide, in its Race to the Top application, the definition used.

Low-poverty school means, consistent with section 1111(h)(1)(C)(viii) of the ESEA, a school in the lowest quartile of schools in the State with respect to poverty level, using a measure of poverty determined by the State.

Participating LEAs means LEAs that choose to work with the State to implement all or significant portions of the State's Race to the Top plan, as specified in each LEA's agreement with the State. Each participating LEA that receives funding under Title I, Part A will receive a share of the 50 percent of a State's grant award that the State must subgrant to LEAs, based on the LEA's relative share of Title I, Part A allocations in the most recent year, in accordance with section 14006(c) of the ARRA. Any participating LEA that does not receive funding under Title I, Part A (as well as one that does) may receive funding from the State's other 50 percent of the grant award, in accordance with the State's plan.

Persistently lowest-achieving schools means, as determined by the State: (i) Any Title I school in improvement, corrective action, or restructuring that (a) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or (b) Is a high school that has had a graduation rate as

defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and (ii) Any secondary school that is eligible for, but does not receive, Title I funds that (a) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or (b) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years. To identify the lowest-achieving schools, a State must take into account both (i) The academic achievement of the "all students" group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and (ii) The school's lack of progress on those assessments over a number of years in the "all students" group.

Rapid-time, in reference to reporting and availability of locally-collected school- and LEA-level data, means that data are available quickly enough to inform current lessons, instruction, and related supports.

Student achievement means—

(a) For tested grades and subjects: (1) a student's score on the State's assessments under the ESEA; and, as appropriate, (2) other measures of student learning, such as those described in paragraph (b) of this definition, provided they are rigorous and comparable across classrooms.

(b) For non-tested grades and subjects: alternative measures of student learning and performance such as student scores on pre-tests and end-of-course tests; student performance on English language proficiency assessments; and other measures of student achievement that are rigorous and comparable across classrooms.

Student growth means the change in student achievement (as defined in this notice) for an individual student between two or more points in time. A State may also include other measures that are rigorous and comparable across classrooms.

Total revenues available to the State means either (a) projected or actual total State revenues for education and other purposes for the relevant year; or (b) projected or actual total State appropriations for education and other purposes for the relevant year.

America COMPETES Act elements means (as specified in section 6401(e)(2)(D) of that Act): (1) a unique statewide student identifier that does not permit a student to be individually identified by users of the system; (2) student-level enrollment, demographic, and program participation information; (3) student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P–16 education programs; (4) the capacity to communicate with higher education data systems; (5) a State data audit system assessing data quality, validity, and reliability; (6) yearly test records of individual students with respect to assessments under section 1111(b) of the ESEA (20 U.S.C. 6311(b)); (7) information on students not tested by grade and subject; (8) a teacher identifier system with the ability to match teachers to students; (9) student-level transcript information, including information on courses completed and grades earned; (10) student-level college readiness test scores; (11) information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework; and (12) other information determined necessary to address alignment and adequate preparation for success in postsecondary education.

RACE TO THE TOP APPLICATION ASSURANCES

(CFDA No. 84.395A)

Legal Name of Applicant (Office of the Governor):	Applicant's Mailing Address:
Employer Identification Number:	Organizational DUNS:
State Race to the Top Contact Name: (Single point of contact for communication)	Contact Position and Office:
Contact Telephone:	Contact E-mail Address:
Required Applicant Signatures: To the best of my knowledge and belief, all of the information and data in this application are true and correct. I further certify that I have read the application, am fully committed to it, and will support its implementation:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:

Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education (Printed Name):	Telephone:
Signature of the President of the State Board of Education:	Date:

State Attorney General Certification

I certify that the State's description of, and statements and conclusions concerning, State law, statute, and regulation in its application are complete, accurate, and constitute a reasonable interpretation of State law, statute, and regulation.
(See especially Eligibility Requirement (b), Selection Criteria (B)(1), (D)(1), (E)(1), (F)(2), (F)(3).)

I certify that the State does not have any legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

State Attorney General or Authorized Representative (Printed Name):	Telephone:

Signature of the State Attorney General or Authorized Representative:	Date:

ACCOUNTABILITY, TRANSPARENCY, REPORTING
AND OTHER ASSURANCES AND CERTIFICATIONS

Accountability, Transparency and Reporting Assurances

The Governor or his/her authorized representative assures that the State will comply with all of the accountability, transparency, and reporting requirements that apply to the Race to the Top program, including the following:

- For each year of the program, the State will submit a report to the Secretary, at such time and in such manner as the Secretary may require, that describes:
    - the uses of funds within the State;
    - how the State distributed the funds it received;
    - the number of jobs that the Governor estimates were saved or created with the funds;
    - the State's progress in reducing inequities in the distribution of highly qualified teachers, implementing a State longitudinal data system, and developing and implementing valid and reliable assessments for limited English proficient students and students with disabilities; and
    - if applicable, a description of each modernization, renovation, or repair project approved in the State application and funded, including the amounts awarded and project costs (ARRA Division A, Section 14008)

- The State will cooperate with any U.S. Comptroller General evaluation of the uses of funds and the impact of funding on the progress made toward closing achievement gaps (ARRA Division A, Section 14009)

- If the State uses funds for any infrastructure investment, the State will certify that the investment received the full review and vetting required by law and that the chief executive accepts responsibility that the investment is an appropriate use of taxpayer funds. This certification will include a description of the investment, the estimated total cost, and the amount of covered funds to be used. The certification will be posted on the State's website and linked to www.Recovery.gov. A State or local agency may not use funds under the ARRA for infrastructure investment funding unless this certification is made and posted. (ARRA Division A, Section 1511)

- The State will submit reports, within 10 days after the end of each calendar quarter, that contain the information required under section 1512(c) of the ARRA in accordance with any guidance issued by the Office of Management and Budget or the Department. (ARRA Division A, Section 1512(c))

- The State will cooperate with any appropriate Federal Inspector General's examination of records under the program. (ARRA Division A, Section 1515)

Other Assurances and Certifications

The Governor or his/her authorized representative assures or certifies the following:

- The State will comply with all applicable assurances in OMB Standard Forms 424B (Assurances for Non-Construction Programs) and to the extent consistent with the State's application, OMB Standard Form 424D (Assurances for Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders and regulations.

- With respect to the certification regarding lobbying in Department Form 80-0013, no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; the State will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 C.F.R. Part 82, Appendix B); and the State will require the full certification, as set forth in 34 C.F.R. Part 82, Appendix A, in the award documents for all subawards at all tiers.

- The State will comply with all of the operational and administrative provisions in Title XV and XIV of the ARRA, including Buy American Requirements (ARRA Division A, Section 1605), Wage Rate Requirements (section 1606), and any applicable environmental impact requirements of the National Environmental Policy Act of 1970 (NEPA), as amended, (42 U.S.C. 4371 et seq.) (ARRA Division A, Section 1609). In using ARRA funds for infrastructure investment, recipients will comply with the requirement regarding Preferences for Quick Start Activities (ARRA Division A, Section 1602).

- Any local educational agency (LEA) receiving funding under this program will have on file with the State a set of assurances that meets the requirements of section 442 of the General Education Provisions Act (GEPA) (20 U.S.C. 1232e).

- Any LEA receiving funding under this program will have on file with the State (through either its Stabilization Fiscal Stabilization Fund application or another U.S. Department of Education Federal grant) a description of how the LEA will comply with the requirements of section 427 of GEPA (20 U.S.C. 1228a). The description must include information on the steps the LEA proposes to take to permit students, teachers, and other program beneficiaries to overcome barriers (including barriers based on gender, race, color, national origin, disability, and age) that impede access to, or participation in, the program.

- The State and other entities will comply with the Education Department General Administrative Regulations (EDGAR), including the following provisions as applicable: 34 CFR Part 74–Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 34 CFR Part 75–Direct Grant Programs; 34 CFR Part 77– Definitions that Apply to Department Regulations; 34 CFR Part 80– Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the procurement provisions; 34 CFR Part 81– General Education Provisions Act–Enforcement; 34 CFR Part 82– New Restrictions on Lobbying; 34 CFR Part 84–Governmentwide Requirements for Drug-Free Workplace (Financial Assistance); 34 CFR Part 85–Governmentwide Debarment and Suspension (Nonprocurement).

SIGNATURE BLOCK FOR CERTIFYING OFFICIAL

Governor or Authorized Representative of the Governor (Printed Name):	
Signature of Governor or Authorized Representative of the Governor:	Date:

ELIGIBILITY REQUIREMENTS

A State must meet the following requirements in order to be eligible to receive funds under this program.

Eligibility Requirement (a) **The State's applications for funding under Phase 1 and Phase 2 of the State Fiscal Stabilization Fund program must be approved by the Department prior to the State being awarded a Race to the Top grant.**
The Department will determine eligibility under this requirement before making a grant award.

Eligibility Requirement (b) **At the time the State submits its application, there are no legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.**
The certification of the Attorney General addresses this requirement. The applicant may provide explanatory information, if necessary. The Department will determine eligibility under this requirement.
(Enter text here.)

SELECTION CRITERIA: PROGRESS AND PLANS IN THE FOUR EDUCATION REFORM AREAS

(A) State Success Factors (125 total points)

(A)(1) Articulating State's education reform agenda and LEAs' participation in it *(65 points)*

The extent to which—

(i) The State has set forth a comprehensive and coherent reform agenda that clearly articulates its goals for implementing reforms in the four education areas described in the ARRA and improving student outcomes statewide, establishes a clear and credible path to achieving these goals, and is consistent with the specific reform plans that the State has proposed throughout its application; *(5 points)*

(ii) The participating LEAs (as defined in this notice) are strongly committed to the State's plans and to effective implementation of reform in the four education areas, as evidenced by Memoranda of Understanding (MOUs) (as set forth in Appendix D)[3] or other binding agreements between the State and its participating LEAs (as defined in this notice) that include— *(45 points)*

(a) Terms and conditions that reflect strong commitment by the participating LEAs (as defined in this notice) to the State's plans;

(b) Scope-of-work descriptions that require participating LEAs (as defined in this notice) to implement all or significant portions of the State's Race to the Top plans; and

(c) Signatures from as many as possible of the LEA superintendent (or equivalent), the president of the local school board (or equivalent, if applicable), and the local teachers' union leader (if applicable) (one signature of which must be from an authorized LEA representative) demonstrating the extent of leadership support within participating LEAs (as defined in this notice); and

[3] See Appendix D for more on participating LEA MOUs and for a model MOU.

(iii) The LEAs that are participating in the State's Race to the Top plans (including considerations of the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty) will translate into broad statewide impact, allowing the State to reach its ambitious yet achievable goals, overall and by student subgroup, for—*(15 points)*

(a) Increasing student achievement in (at a minimum) reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;

(b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;

(c) Increasing high school graduation rates (as defined in this notice); and

(d) Increasing college enrollment (as defined in this notice) and increasing the number of students who complete at least a year's worth of college credit that is applicable to a degree within two years of enrollment in an institution of higher education.

In the text box below, the State shall describe its current status in meeting the criterion, as well as projected goals as described in (A)(1)(iii). The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(1)(ii):

- An example of the State's standard Participating LEA MOU, and description of variations used, if any.
- The completed summary table indicating which specific portions of the State's plan each LEA is committed to implementing, and relevant summary statistics (see Summary Table for (A)(1)(ii)(b), below).
- The completed summary table indicating which LEA leadership signatures have been obtained (see Summary Table for (A)(1)(ii)(c), below).

Evidence for (A)(1)(iii):

- The completed summary table indicating the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty (see Summary Table for (A)(1)(iii), below).
- Tables and graphs that show the State's goals, overall and by subgroup, requested in the criterion, together with the supporting narrative. In addition, describe what the goals would look like were the State not to receive an award under this program.

Evidence for (A)(1)(ii) and (A)(1)(iii):

- The completed detailed table, by LEA, that includes the information requested in the criterion (see Detailed Table for (A)(1), below).

Recommended maximum response length: Ten pages (excluding tables)

Executive summary

Kentucky is dedicated to building an educational system which will deliver a high-quality, 21st-century education to every student in the Commonwealth. Our students are at the center of this vision, and our goal is to ensure they have the knowledge and skills needed to be ready for college, career and citizenship. Supporting those students will be their teachers, effective and able to help each student learn at high levels. Those teachers will in turn be supported by their fellow teachers and principals, instructional leaders who will guide the continuous improvement of classroom teaching and learning. Parents, families, and others in the community will continue to provide complementary and essential supports to students and those working in schools to encourage the highest levels of learning. These schools and their principals will additionally benefit from their district's support and to access to what works elsewhere. Web-based resources and regional partners – especially regional universities, P-16 councils, Educational Cooperatives, and networks of instructional leaders – will support teachers, schools, and districts. Finally, the State will set the environment for all, holding a high bar for success and supporting each network, district, community, school, teacher and student to succeed.

This up-and-down alignment of the system will ensure that effective teaching practice is well described, well supported, and

reinforced at every turn throughout Kentucky's education system. It will enable every Kentucky teacher to be effective, building the five core capacities of teaching practice:

1. Breaking down state standards into clear student learning targets of more specific knowledge, skills and capacities
2. Tracking student progress on knowledge, skills, and capacities through locally-designed formative assessments
3. Analyzing student needs with rich and accessible state longitudinal data
4. Developing instruction in collaborative learning communities built around the standards, scaffoldings, assessments, and data analysis noted above
5. Refining that instruction by tapping into:
    a. Ongoing and revitalized networks of practitioners
    b. The universities that train the Commonwealth's teachers and principals
    c. Online access to assessment and instruction resources tied to each standard
    d. Additional study in university classes, teacher academies, and other settings as needed

This vision is the centerpiece for the *Kentucky Learning Framework* (*see Appendix C: Kentucky Learning Framework*), and with this vision, Kentucky will once again lead the nation in the next wave of educational improvement.

Since 1990, Kentucky has been a nationwide leader, adopting state standards, intervening in low-performing schools, and pursuing a comprehensive and long-term approach to reform in advance of other states. With significant work yet to be done, Kentucky is in it for the long-term, and the Commonwealth and has re-energized its strategic agenda for the next 20 years to accelerate progress in student achievement towards college and career readiness. At the heart of its strategy is a focus on tangibly changing teaching practice to increase effectiveness and creating innovative solutions that work in rural environments.

All initiatives underway or planned, including Race to the Top, feed this same vision. The passage in early 2009 of Senate Bill 1

(enacted before the Race to the Top program was announced) is one example of this alignment as it requires the adoption of a new standards and assessment system. Likewise, unified statewide commitment to this Race to the Top proposal, exemplified by the unanimous support of its districts, professional associations, and postsecondary institutions, will support the collaboration necessary to accomplish its goals. As Kentucky Governor Steve Beshear observed in November 2009 amidst the launch of the Transforming Education in Kentucky initiative, "Already we're using Senate Bill 1 to revise academic content standards, working with other states to develop college-ready or career-ready standards, trying to accelerate college and career readiness, improving graduation rates and applying for part of $4.35 billion available through the federal Race to the Top competition. We do not want to duplicate efforts but to unite them into a common strategy." The following section provides an overview of this strategy.

Background on Kentucky's historic approach to reform

The landmark Kentucky Education Reform Act of 1990 (KERA), crafted in response to massive funding inequities across the state, redesigned the entire system of supports and expectations to dramatically improve our students' education, presaging reforms that would go national in later years. KERA equalized funding levels across the State between the most property-poor districts and others through the Support Education Excellence in Kentucky (SEEK) funding scheme; however, it went much further than that as outlined below.

- *Foundational beliefs*: Stated without hesitation "schools shall expect a high level of achievement of all students"
- *Standards and accountability*:
    - Instituted a common set of state standards across seven subject areas
    - Instituted new assessment system tied to new standards, using rich, comprehensive assessment to measure the wide range of skills students need to succeed
    - Instituted school accountability for progress toward universal proficiency
    - Created authority and infrastructure for the State to support and hold accountable low-performing districts and schools

in need of improvement (building from 1984 "academic bankruptcy act")

- *Governance*:
  - Instituted aligned leadership of education system, led by Governor
  - Created Education Professional Standards Board to focus on teacher and principal quality
  - Devolved decision-making to where it matters most – the school – via school councils and School Based Decision Making (SBDM)
- *Service provision*:
  - Began a statewide focus on preschool
  - Provided Extended School Services
  - Provided Family Resource Centers for at-risk youth
- *Innovation*:
  - Focused resources on statewide provision of innovative technologies
  - Experimented with use of ungraded primary education

Collaboration amongst stakeholders was evident in the years leading up to KERA. The education and business communities partnered to create a culture of openness to systematic reform and acceptance of the need to improve (led by the Education Coalition in the late-1980s). National experts were engaged in school governance, curriculum, and finance to assist the State in designing KERA.

The reforms have continued to today. Kentucky once again led the way as the nation turned more of its attention to underserved populations and the efforts to reduce achievement gaps. In 2002, the No Child Left Behind Act was fully implemented with its emphasis on holding schools and districts accountable for improving the academic performance of all population groups. A few months earlier in 2002, the Kentucky General Assembly passed SB 168, which provided consequences to schools and districts that were not adequately addressing achievement gaps.

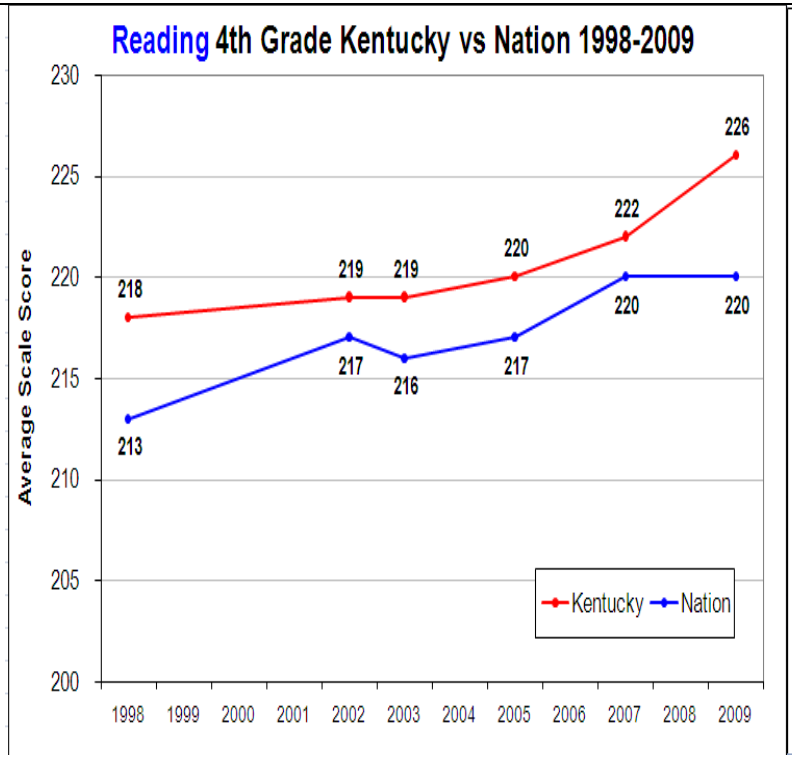
The bold commitments to academic excellence demonstrated by the KERA and SB168 have been augmented further during the past decade. Recent reforms have focused on extending the core themes of KERA and pursuing increasingly more sophisticated strategies. Some examples:

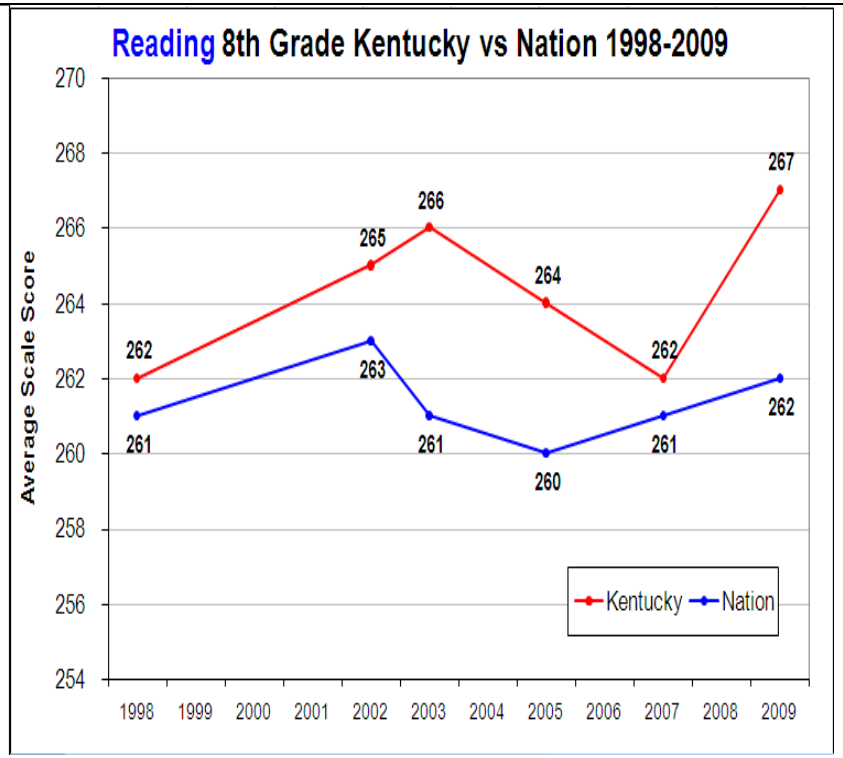
- Former Commissioner Gene Wilhoit (now head of the Council of Chief State School Officers, CCSSO) shepherded finance reform, led equity initiatives, designed and implemented assessment and accountability systems, advanced nationally recognized preschool and technology programs, and reorganized the state agency to focus on service and support
- From legislation adopted in 2006, beginning in 2008, Kentucky juniors universally take the ACT test, as well as the preceding EXPLORE and PLAN tests, providing valuable signals to students and to the system about their readiness for college and career
- Partnering with the Wallace Foundation, the State's Education Professional Standards Board and the Colleges of Education have redesigned the teacher Master's program into a teacher leader program and the principal preparation program into a post-master's program. Both are highly focused on practice-based learning
- Kentucky has focused on ensuring that each school has at least one National Board Certified Teacher (NBCTs). To achieve this goal, it provides support to candidates and rewards to those who achieve certification. This has lead to Kentucky ranking 11th in NBCT growth, with 1,600+ NBCTs total, approximately 4% of the Kentucky teacher workforce
- Since 2007, Kentucky has had a coordinated approach to STEM (Science, Technology, Engineering, and Mathematics). The STEM Task Force, comprised of 110 government, business, and education leaders from across the Commonwealth, produced a comprehensive plan, "Kentucky's STEM Imperative – Competing in the Global Economy," that continues to guide the State's ambitious initiatives in this regard. Since the creation of the plan, Kentucky has established the partnerships and projects described in that plan to further progress in STEM fields. (*For more, see the STEM competitive priority narrative and various STEM-focused efforts throughout the reform conditions and plans that follow*)

- Recently, Kentucky launched Graduate Kentucky, a Governor and First Lady-led, first-of-its-kind comprehensive statewide conversation to understand why students are dropping out of school and to share ideas and best practices of how communities can play a pivotal role in reducing the dropout rate and creating a strategic vision for keeping our children engaged in school

Perhaps most importantly, in early 2009, the legislature passed Senate Bill 1. This landmark legislation commits Kentucky to revising its standards to be fewer, clearer, and higher, redesigns the State's accountability and assessment system to meet the new standards, and requires a clear and rich transition plan to the new standards and assessments. (*Read more about Senate Bill 1 in the conditions and plans in criteria B – Standards and Assessments*.) This bill positions Kentucky to be the first in the nation to revise its standards and adopt the Common Core (*for the February Joint Meeting of Key State Agencies agenda where Kentucky adopted will formally adopt these standards, see Appendix A: February Joint Meeting of Key State Agencies Minutes*).

While our work is not yet complete, the past 20 years of reform have borne substantial fruit. For example, among state-funded pre-school programs, in 2007-2008 Kentucky ranked sixth in access for children aged 3 years and thirteenth for children aged 4. Student achievement has increased on many dimensions. National Assessment of Educational Progress (NAEP) scores continue to rise. **According to NAEP, Kentucky is the only state in the nation to report increases in both 4th- and 8th-grade reading scores from 2007-2009.** In addition, Kentucky is one of three states that had a statistically significant increase in 4th-grade reading scores and one of eight states that had a statistically significant increase in 4th-grade mathematics scores from 2007 to 2009. Kentucky is also one of nine states that had a statistically significant increase in 8th-grade reading scores from 2007 to 2009.





Kentucky's Composite Trend data on EXPLORE and PLAN show increases as well:

	2006-07	2007-08	2008-09	2009-10
PLAN	16.4	16.3	16.6	16.7
EXPLORE	14.5	14.5	14.7	14.9

Many more students take and pass Advanced Placement exams, a leading signal of challenging coursework, and dual credit enrollment is also on the rise. The State's graduation rate continues to climb, posting a 9 percentage point gain from 1996 to 2006 as

measured on the Cumulative Promotion Index (CPI), the fourth largest gain in the nation. And postsecondary enrollment has been steadily increasing, rising from 49% to 61% from 1992 to 2006. (*For more detail on Kentucky's historical performance, see the narrative for criterion (A)(3).*)

Perhaps the best insight into the extent of Kentucky's progress can be drawn from comparing its results with those of other states. The most recent NAEP results show Kentucky students scoring above the national average in fourth grade reading and in fourth and eighth grade science, and statistically tied with the nation in eighth grade reading and fourth grade mathematics. At the high school level, juniors meet the ACT's college readiness benchmarks for English, reading, and science at rates higher than the last national sample of high school seniors used for setting test score norms, only lagging slightly behind in mathematics.

And – this is key – Kentucky schools deliver those results despite the facts that:

- Kentucky spends 86% of the national average per pupil on education
- Kentucky has 128% of the national level of children in poverty
- Kentucky has 110% of the national level of children without a parent who has earned a post-secondary degree
- Kentucky has 115% of the national level of children without a parent who works full-time year-round

In its third party research, the Kentucky Long-Term Policy Research Center noted that Kentucky has gotten more "bang for its buck" than almost any other state, when considering both the demographics of Kentucky's students and investments in education. In short, Kentucky has moved up to and in several instances exceeded the national average by refusing to accept financial and sociological challenges as barriers. To continue that work, the Commonwealth is now ready to push past national average and take the lead on delivering new, globally competitive levels of student achievement.

(A)(1)(i) Kentucky's overarching strategy for reform

To achieve these ambitious goals, Kentucky has developed a similarly ambitious, long-term, comprehensive, focused strategy and is dedicated to pursuing it. It has been 20 years since KERA, and Kentucky's new strategy is intended for the 20 years to come. Importantly, the strategy laid out below is not the "Race to the Top" strategy. It is Kentucky's comprehensive approach to educational excellence. (*For a short summary of the opportunity in Kentucky education today, see Appendix B: Prichard Committee Op-Ed*)

At the heart of the strategy is a focus on improving teacher practice to increase effectiveness. To reach the level of student achievement that Kentucky seeks, there is simply no other way. On this point, the research base is resoundingly clear:

- An effective teacher is the most important in-school driver of student achievement
- The best school systems in the world focus relentlessly on increasing the quality of teaching practice (as described in the report "How the World's Best-Performing School Systems Come Out on Top" by McKinsey & Company, 2007)

Kentucky's path to accomplishing this vision requires concerted action in four interrelated areas. These areas align with the four emphasized federal reform areas (i.e., assurances), and Kentucky will pursue initiatives that demonstrate that it:

- Expects that all students can and will learn at high levels, codified in internationally benchmarked standards
- Creates great teachers, principals, superintendents and others supporting students, with each challenged to perform at a high level and supported to do so
- Assesses performance of students, staff, schools and approaches, with access to information enabled by an easy-to-use data system
- Provides needed assistance and / or interventions when schools and districts persistently struggle to improve

The details of Kentucky's reform plan will be detailed in subsequent sections, but the main pillars include:

a) Adoption of new standards and balanced assessments, building from the Common Core work

b) Establishment of a new Continuous Instructional Improvement Technology System (CIITS) that will provide student data and teaching resources directly to teachers and principals when and where they most need it

c) Development of a new, state-wide growth model approach to teacher and principal development, support and evaluation

d) Substantial increases in the capacity to aggressively turn around persistently failing schools, led by the creation of a statewide "District 180" operated by the Kentucky Department of Education

Kentucky has crafted a thoughtful approach to implementing this comprehensive plan.

High-level timeline for key elements of KY's reform plan*

Select action steps	2009-10	2010-11	2011-12	2012-13	2013-14
Standards and assessments					
Adopt ELA/Math standards	▲				
Unpack standards and provide initial PD		▬	▬		
Develop state-wide balanced assessment system		▬	▬		
Data to improve instruction					
KSLDS professional learning	▬	▬			
Begin rollout of ELA/Math content		▬			
CIITS development and pilots			▬	▬	
CIITS statewide rollout				▬	
Effective teachers and leaders					
Evaluation system development and pilots		▬	▬	▬	
Generate measures of growth from new assessment system				▬	▬
Evaluation system statewide rollout				▬	▬
Begin making personnel decisions based on data from new evaluation system					▬
Turning around failing schools					
Identify first set of Educational Recovery schools	▲				
Establish nine Centers for Learning Excellence		▬	▬	▬	
Establish Educational Recovery Leader and Specialist Certification programs	▬	▬			

*See individual Sections for more detailed milestones

Updated timelines to add or replace 1

Importantly, this plan builds from Kentucky's historical successes and aims to take them to the next level. For example, the development of a new statewide growth model for teacher and principal support and evaluation will build directly from work supported by the Wallace Foundation. Similarly, the Commonwealth's rollout of the new standards and the balanced assessment system will build from professional learning done across the state to increase assessment literacy and quality, grounded in Rick Stiggins' Classroom Assessment For Student Learning approach. (*For more on how each plan builds from historical work, see the reform plans in this application.*)

Kentucky recognizes that the creation of such a system cannot be done overnight. Only through a relentless focus on continuous improvement will the sophistication of Kentucky's system move towards this vision. Stakeholders at every level will need a high degree of support to meet the high challenge presented. With that in mind, Kentucky is pursuing novel approaches to building the capacity of its system as a whole to deliver against this agenda. This includes a reorientation and redesign of the state Department of Education. It also includes the creation of additional collaborative regional networks, coordinated by our regional partners (e.g., educational cooperatives and P-16 councils) along with Jefferson County Public Schools (JCPS). (Due to its size, JCPS effectively serves as its own network). These networks will in turn have affiliations with institutions of higher education that will provide a rich, 360 degree flow of information to move expertise closer to where it needs to be - in and around the schools. (*For more detail on the approach to capacity building, see the narrative text of criterion (A)(2).*)

Why Kentucky's plan uniquely adds to the national conversation

In education, nothing excites as much as the latest fad. Kentucky stands apart from this – it has pursued comprehensive reform for twenty years. Moreover, it plans to focus its work over the next twenty on what clearly matters: increasing the effectiveness of teaching practice across the Commonwealth. It is pursuing this goal using all the tools and resources at its disposal. In addition, as

70% of Kentucky students live in rural communities or towns, the Commonwealth will craft innovative tools and solutions that work in those environments, using new technology platforms and professional development practices to tackle the capacity constraints often present in rural areas. For example, improving teacher effectiveness in rural settings requires finding scalable ways to provide scaffolding and support to far-flung locales. This will create leadership for other rural populations, as well as help seed innovative efforts that are universal and expandable. In other words, Kentucky seeks to be a leader in addressing both those challenges common to all communities (i.e., effective teaching), but also those unique to an important subset (i.e., resource-strapped, rural populations).

(A)(1)(ii) Strong district (LEA) commitment to Race to the Top

Kentucky's plan is not solely the plan of the Kentucky Department of Education. It is the Commonwealth's plan, writ large. It is obvious but bears repeating: this work will need to change what happens in the classroom for it to have any effect on students' lives. As such, districts, which are much closer to the classroom than the Department, are critical partners on every facet of the plan.

Kentucky is proud of its completely unified front in support of this Race to the Top application. Every single one of the 174 LEAs in Kentucky have signed binding agreements with the state to implement the Race to the Top plans if Kentucky is funded, using the baseline language from the Memorandum of Understanding (MOU) suggested in the guidance, which has been further strengthened to specify Kentucky's strategies in each area. Importantly, all of these districts have signed on to all parts of the application. (*Please see Evidence for (A)(1)(ii) and (A)(1)(iii) in Appendix D: Detailed Table with Participating LEAs for the Detailed Table and full list of Participating LEAs, and Appendix E: Kentucky Race to the Top MOU for Kentucky's Participating LEA MOU.*) In addition, this support does not just exist at the level of the superintendent. For all districts that have signed on, there is clear support from the superintendent, from the local board of education, and, if applicable, from the leadership of the relevant teachers' association. [Note: Kentucky does not have a state law mandating collective bargaining between local school districts and school employees. However, ten school districts have voluntarily recognized the local affiliate of the Kentucky Education Association (and National Education

Association) and negotiated master agreements. These ten school districts are among the largest in the state. Teachers in the other 164 districts are represented by the state-wide Kentucky Education Association, which has also endorsed the plan.]

Importantly, district commitment to the plan did not come as an afterthought. Districts have been engaged repeatedly and in multi-faceted ways throughout Kentucky's preparation of the application. The Superintendents Advisory Council, Teacher Advisory Group, and Parent Advisory Group all provided ongoing input directly to the Commissioner of Education. A representative set of 10 districts were engaged more deeply via site visits and interviews to solicit their input and feedback on Kentucky's emerging plans. Finally, a statewide survey on Race to the Top provided additional input. Stakeholders of all types responded: 128 (74%) of superintendents, 425 (approximately one-third) of principals, and 1,195 teachers; 464 parents as well as a multitude of other community stakeholders also provided their perspectives. The State will continue to engage districts early and often as the work continues to unfold.

Further details on the commitment of LEAs to Kentucky's proposal can be found in the tables below (*Summary Tables for (A)(1)(ii)(b) and (A)(1)(ii)(c)*), specifying the names of districts and leaders that have signed on as Participating LEAs.

(A)(1)(iii) Clear potential for dramatic increases in statewide student achievement

Kentucky's goals for student achievement

Kentucky recognizes that there is still much work to be done. Today's global, knowledge-based economy demands students that are college and career ready, able to succeed in varied environments. Scores on the universal administration of the ACT indicate that 20% meet College Readiness Benchmarks for Math, 33% meet those benchmarks for Reading, and 46% meet those benchmarks for English. Kentucky continues to take the long-term view, working to ensure that every child is prepared to succeed, demanding urgent progress in gains in measurable indicators of student learning and success.

Kentucky has put forth a bold set of plans for the future (further detailed below in this narrative and in subsequent sections of this application). For each, it has set specific performance measures, with clear targets for improved outcomes on each of the specific measures (these can be found in the detail of each section). This plan benefits from a comprehensive endorsement as all districts in the state have signed on as Participating LEAs. With these districts representing more than 650,000 students in the Commonwealth, progress in achieving the bold plans laid out will dramatically increase student learning and achievement over the coming years. Kentucky has established specific measures of student learning that it will use as indicators of success and as feedback on its strategies. These measures fall into three broad categories:

- Measures of student learning and achievement
- Measures of gaps in learning and achievement between various groups of students
- Measures of successful graduation from the system and transition into postsecondary coursework

(A)(1)(iii)(a) Student achievement in reading / language arts and mathematics

Kentucky has established itself as a leader nationwide by setting a clear goal of college and career readiness for all students upon exit from high school. In 2006, the Kentucky legislature passed Senate Bill 130, which established mandatory participation in the EPAS system and required that high schools implement interventions strategies (e.g., accelerated or remedial learning) for students with low scores on the EPAS tests. This bill arose out of concern for the number of remedial courses needed for freshmen in the college. In 2008, the State began the universal administration of the ACT exam to all juniors in the Commonwealth.

In addition, the State recognizes that measures of progress at various points in a student's education in advance of high school graduation will be essential as well. The State is currently in the process of revamping its summative assessment and accountability system, with new exams and a new structure set to come online in 2011-2012. As an interim measure, and to be converted into the future assessment measures, the State looks to the National Assessment of Educational Progress (NAEP) for increases in reading and

mathematics in the fourth and eighth grades.

Kentucky has set clear goals on these measures:

- On the ACT, increase the number of students that meet ACT college benchmarks in English, Reading, and Mathematics, from today's rates of 46%, 33%, and 20%, respectively, to 70% by 2020, with an interim goal of 50% by 2014
- On NAEP, increase the percentage at or above proficiency as follows
    - On fourth grade reading: from today's rate of 33% to 60% by 2020, with an interim goal of 43% by 2014
    - On eighth grade reading: from today's rate of 28% to 55% by 2020, with an interim goal of 37% by 2014
    - On fourth grade mathematics: from today's rate of 37% to 65% by 2020, with an interim goal of 46% by 2014
    - On eighth grade mathematics: from today's rate of 27% to 55% by 2020, with an interim goal of 38% by 2014

(A)(1)(iii)(b) Achievement gaps in reading / language arts and mathematics

Kentucky is also deeply committed to ensuring that *every student* succeeds. This translates into a focus on reducing achievement gaps where they exist between students of different income levels, races and ethnicities, student with and without disabilities, and language status. Given its status as a largely rural state, Kentucky is particularly focused on reducing income achievement gaps. In addition, Kentucky has pursued specific initiatives focused on reducing racial achievement gaps, particularly between African Americans and their white peers.

Kentucky has set clear goals to reduce current achievement gaps:

- Between low-income students and their higher-income peers: Reduced gaps on ACT, NAEP, and revised ESEA assessments from rates of 20 – 30 percentage points today to 10 percentage points by 2020, with an interim goal of 15 – 20 percentage points by 2014

- Between African American students and their white peers: Reduced gaps on ACT, NAEP, and revised ESEA assessments from rates of 15 – 25 percentage points today to 8 percentage points by 2020, with an interim goal of 12 – 17 percentage points by 2014
- In addition, achievement gaps for other measurable groups (Hispanics, currently a small proportion of students; students with disability; students with English Language Learner status) would decrease by a similar amount

(A)(1)(iii)(c) and (A)(1)(iii)(d) High school graduation and college enrollment and persistence

Kentucky realizes that in today's economy, education cannot and should not end in high school. With a long-term aim to ensure every Kentucky student leaves the K-12 system ready for college and career, the state has set clear goals on measures of attainment and postsecondary success.

- By 2020, 85% of Kentucky students will graduate high school, with an interim goal of 80% by 2014, as measured by a four year adjusted cohort measure (today's best proxy measure is the Averaged Freshmen Graduation Rate (AFGR), which measured 75% in 2008)
- In addition, clear goals will ensure students transition successfully into postsecondary education
    - By 2020, college enrollment will reach 80% of exiting high school graduates, with an interim target of 70% by 2014, increasing from today's rate of 55%
    - By 2020, 85% of college-goers will successfully complete one year of postsecondary education, with an interim target of 75% by 2014, increasing from today's rate of 71%
    - By 2020, college remediation rates in the first year of college will fall by 75% from today's rate, with an interim decrease of 50% by 2014

Further detail on specific targets for specific measures referenced above can be found in the tables that serve as Evidence for

(A)(1)(iii) in Appendix F: Student Achievement Target Detail.

Without Race to the Top funding, the Commonwealth of Kentucky will continue to aim for growth in these same measures of performance. It would adjust the targets in response to the slower rate at which it would be able to implement the bold plans that will drive these increases in student performance.

As Kentucky has secured support from every district across the state, its work will have dramatic effect statewide and not be limited to pockets. The progress towards these goals is expected to start small (as reforms are piloted and put into place), scaling more dramatically as the reforms take root and transform teaching practice.

Summary Table for (A)(1)(ii)(b)

Elements of State Reform Plans	**Number of LEAs Participating (#)**	**Percentage of Total Participating LEAs (%)**
B. Standards and Assessments		
(B)(3) Supporting the transition to enhanced standards and high-quality assessments	174	100%
C. Data Systems to Support Instruction		
(C)(3) Using data to improve instruction:		
(i) Use of local instructional improvement systems	174	100%
(ii) Professional development on use of data	174	100%
(iii) Availability and accessibility of data to researchers	174	100%
D. Great Teachers and Leaders		
(D)(2) Improving teacher and principal effectiveness based on performance:		
(i) Measure student growth	174	100%
(ii) Design and implement evaluation systems	174	100%

(iii) Conduct annual evaluations	174	100%
(iv)(a) Use evaluations to inform professional development	174	100%
(iv)(b) Use evaluations to inform compensation, promotion and retention	174	100%
(iv)(c) Use evaluations to inform tenure and/or full certification	174	100%
(iv)(d) Use evaluations to inform removal	174	100%
(D)(3) Ensuring equitable distribution of effective teachers and principals:		
(i) High-poverty and/or high-minority schools	174	100%
(ii) Hard-to-staff subjects and specialty areas	174	100%
(D)(5) Providing effective support to teachers and principals:		
(i) Quality professional development	174	100%
(ii) Measure effectiveness of professional development	174	100%
E. Turning Around the Lowest-Achieving Schools	174	100%
(E)(2) Turning around the lowest-achieving schools	174	100%

Summary Table for (A)(1)(ii)(c)

Signatures acquired from participating LEAs:			
Number of Participating LEAs with all applicable signatures			
	Number of Signatures Obtained (#)	**Number of Signatures Applicable (#)**	**Percentage (%)** (Obtained / Applicable)
LEA Superintendent (or equivalent)	174	174	100%
President of Local School Board (or equivalent, if applicable)	174	174	100%
Local Teachers' Union Leader (if applicable)	153	153	100%

Kentucky has ten (10) LEAs in which the teachers are represented by collectively bargained agreements (Boone, Bullitt, Jefferson, Kenton, Knott, Marshall, Martin, McCracken, Newport Independent, and Wolfe) and each of these LEAs MOU contains the union rep signature. In the other LEAs, the teachers are not represented by a union contract but may have an active educator association. Kentucky received signatures from each of the other 143 LEAs that have an active educator association. Kentucky chose to have participating LEAs sign MOUs that agreed to all of the criteria addressed the state's plan.

Summary Table for (A)(1)(iii)

	Participating LEAs (#)	Statewide (#)	Percentage of Total Statewide (%) (Participating LEAs / Statewide)
LEAs	174	174	100%
Schools	1,246	1,246	100%
K-12 Students	652,071	652,071	100%
Students in poverty	150,053	150,053	100%

Detailed Table for (A)(1)

This table provides detailed information on the participation of each participating LEA (as defined in this notice). States should use this table to complete the Summary Tables above. (Note: If the State has a large number of participating LEAs (as defined in this notice), it may move this table to an appendix. States should provide in their narrative a clear reference to the appendix that contains the table.)

	LEA Demographics			Signatures on MOUs			MOU Terms	Preliminary Scope of Work – Participation in each applicable Plan Criterion															
Participating LEAs	# of Schools	# of K-12 Students	# of K-12 Students in Poverty	LEA Supt. (or equivalent)	President of local school board (if applicable)	President of Local Teachers Union (if applicable)	Uses Standard Terms & Conditions?	(B)(3)	(C)(3)(i)	(C)(3)(ii)	(C)(3) (iii)	(D)(2) (i)	(D)(2) (ii)	(D)(2) (iii)	(D)(2)(iv)(a)	(D)(2)(iv)(b)	(D)(2)(iv)(c)	(D)(2) (iv)(d)	(D)(3)(i)	(D)(3)(ii)	(D)(5)(i)	(D)(5)(ii)	(E)(2)
Name of LEA here				Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Yes/ No	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA

See Appendix D: Detailed Table with Participating LEAs for this table

(A)(2) Building strong statewide capacity to implement, scale up and sustain proposed plans *(30 points)*

The extent to which the State has a high-quality overall plan to—

(i) Ensure that it has the capacity required to implement its proposed plans by— *(20 points)*

(a) Providing strong leadership and dedicated teams to implement the statewide education reform plans the State has proposed;

(b) Supporting participating LEAs (as defined in this notice) in successfully implementing the education reform plans the State has proposed, through such activities as identifying promising practices, evaluating these practices' effectiveness, ceasing ineffective practices, widely disseminating and replicating the effective practices statewide, holding participating LEAs (as defined in this notice) accountable for progress and performance, and intervening where necessary;

(c) Providing effective and efficient operations and processes for implementing its Race to the Top grant in such areas as grant administration and oversight, budget reporting and monitoring, performance measure tracking and reporting, and fund disbursement;

(d) Using the funds for this grant, as described in the State's budget and accompanying budget narrative, to accomplish the State's plans and meet its targets, including where feasible, by coordinating, reallocating, or repurposing education funds from other Federal, State, and local sources so that they align with the State's Race to the Top goals; and

(e) Using the fiscal, political, and human capital resources of the State to continue, after the period of funding has ended, those reforms funded under the grant for which there is evidence of success; and

(ii) Use support from a broad group of stakeholders to better implement its plans, as evidenced by the strength of the statements or actions of support from— *(10 points)*

(a) The State's teachers and principals, which include the State's teachers' unions or statewide teacher associations; and

(b) Other critical stakeholders, such as the State's legislative leadership; charter school authorizers and State charter

school membership associations (if applicable); other State and local leaders (*e.g.*, business, community, civil rights, and education association leaders); Tribal schools; parent, student, and community organizations (*e.g.*, parent-teacher associations, nonprofit organizations, local education foundations, and community-based organizations); and institutions of higher education.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. The State's response to (A)(2)(i)(d) will be addressed in the budget section (Section VIII of the application). Attachments, such as letters of support or commitment, should be summarized in the text box below and organized with a summary table in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(2)(i)(d):

- The State's budget, as completed in Section VIII of the application. The narrative that accompanies and explains the budget and how it connects to the State's plan, as completed in Section VIII of the application.

Evidence for (A)(2)(ii):

- A summary in the narrative of the statements or actions and inclusion of key statements or actions in the Appendix.

Recommended maximum response length: Five pages (excluding budget and budget narrative)

Introduction and context

Kentucky believes strongly that its vision for reform will drive better outcomes for the Commonwealth's students. At the same time, it recognizes that successful implementation will require focused capacity building and extensive collaboration at all levels of the system. With that in mind, the state has developed a thoughtful approach to building and sustaining the capacity we will need, one that builds from existing high levels of collaboration and stakeholder support.

(A)(2)(i): Capacity to implement

Kentucky's approach to ensuring the capacity needed to implement starts from a focus on two core principles:

- The work of everyone at all levels across the Commonwealth will focus on student learning

- Two-way collaboration and communication lead to better, more sustainable results than one-way mandates focused on compliance

In light of these principles and in response to economic realities, the Department is in the process of redesigning its organization and revising its approach to working with the field. In accordance with the strategies outlined in this Race to the Top application as well as the upcoming implementation of Kentucky's Senate Bill 1, this approach focuses on developing sufficient capacity at each level of the system and creating strong linkages across levels. Several elements will define the new approach:

- Re-orienting the interaction between the state and LEAs to foster greater two-way collaboration and learning, where the Department works closely with districts to solve problems of practice and policy
- Building upon (and supporting) pre-existing regional collaborative networks of practitioners, coordinated in 8 regions as well as Jefferson County Public Schools, to facilitate the flow of knowledge across districts and schools, enabling all institutions participating to be both "teacher" and "student" at different points in time, depending on the issue at hand
- Redesigning the Kentucky Department of Education to create cross-functional teams focused on core problems of practice (e.g., implementation of assessments); reaching through traditional department walls, these teams will be better positioned to work with districts, schools, and regional partners in developing high-quality, practical solutions and supporting the Commonwealth's educators in implementing those solutions
- Benchmarking leading state education agency (SEA) processes and best practices with the support of the American Productivity Quality Council and then continually seeking to improve the performance of the Department and its cross-functional teams vis-a-vis these benchmarks
- Establishing a new program management office within the Department to orchestrate the successful execution of the Commonwealth's reform plan, including the initiatives described within this proposal
- Encouraging and fostering additional innovation aligned with the Commonwealth's reform plan at the district level -- and

then strategically determining a process for replicating and bringing proven innovations to scale, influencing the work in all Kentucky districts

Kentucky has already begun to recalibrate the interaction between the State and districts. The State aims to be a collaborative partner with districts, providing essential resources and access to best practices. One aspect of this has been to more fully open lines of communication between state leadership and districts. To do so, the Commissioner has established a set of Advisory Groups to provide direct feedback; these include groups for superintendents, for principals, and for teachers. Similarly, he has established a Teacher Effectiveness Steering Committee and a Principal Effectiveness Steering Committee comprised of teachers, representatives of union bargaining units, school, district and state leaders to guide the development of the state's new systems of professional development and evaluation. In addition, the Commissioner has ratcheted up the Department's communication and responsiveness to the field. Examples here include the Commissioner's blog and Twitter account as well as the ongoing survey of the Department's responsiveness to LEAs and other inquiries. This open communication will enable effective information dissemination and course correction as Race to the Top strategies are implemented.

In Spring 2010, Kentucky began the process of redesigning its Department of Education using the Process and Performance Management concept developed by the American Productivity and Quality Council (APQC). Beginning with a self-assessment and facilitated by the Center for Innovation and Improvement with support and funding from the Appalachian Regional Comprehensive Center, this re-organization anticipates several key shifts in the Department's functioning:

- Movement *from* administration of existing systems *to* designing, developing, and supporting implementation of new systems and solutions
- Movement *from* a top-down push of systems out from the Department *to* the co-creation of systems and solutions in the field, with districts, regional cooperatives, and other state partners
- Movement *from* relatively siloed work processes and engagement with stakeholders *to* relatively integrated work processes

and teams, bringing together a range of expertise for solution generation

With this in mind, the Department has already established five cross-functional "process" teams (Standards, Assessments, Information and Knowledge, Educator Effectiveness, and Effectives Schools and Districts) to develop the plans and carry out the strategies put forth in this Race to the Top Application. As envisioned, these teams are working across traditional silos to form complete solutions to critical topics and are heavily engaging organizations and experts outside of the Department, including key state partners such as postsecondary institutions. *(see Appendix FF for visual of re-organiztion)*

The Race to the Top will challenge SEAs to operate at unprecedented levels of performance, flexibility, and responsiveness. With that in mind, the Department intends to undertake a systematic comparison of willing peer SEAs with the help of the APQC to establish process and practice benchmarks. Thereafter, teams within the Department – as well as those within participating peer SEAs – can use this benchmarking to assess and improve critical dimensions of their performance on an ongoing basis. Kentucky's Commissioner of Education, Dr. Terry Holliday, is steeped in this methodology; indeed, he received the 2009 Grayson Medal for Innovation in Quality from the American Productive Quality Council, and a year earlier he led North Carolina's Iredell-Statesville school district, in which he then served as Superintendent, to the 2008 Malcolm Baldridge Quality Award. This award was created by an act of Congress in 1987 to recognize companies, organizations, businesses, and other entities that have shown long-term improvement in quality productivity. The same kind of approach to continuous improvement can and should be used by SEAs, especially now that the Race to the Top has both elevated the importance of their roles and established a common set of imperatives that they are working to advance. The Kentucky Department of Education intends to lead the way in this regard.

Another organizational innovation that the Department will undertake is the establishment of a Race to the Top program management office. In addition to driving implementation planning, budget reporting, fund disbursement, monitoring, and performance measurement of the reform plan at the state level and across Participating LEAs, this office would also support the

identification and replication of promising practices across the Commonwealth. The program management office will, among other responsibilities, oversee the establishment of a common online planning tool and corresponding set of processes and practices across all Participating LEAs. This tool will capture district and school improvement plans that track all State and Federal expenditures as well as create a knowledge management system for the sharing of best practices. In addition to Race to the Top funds, the State will draw upon Title I and state school improvement funds to implement this platform.

Given the Department's limited size, the State will also rely on regional networks coordinated by capable regional institutions (Educational Cooperatives, P-16 councils, and the like) and Jefferson County Public Schools. Using the regional structures already in place (including the Educational Cooperatives, Jefferson County Public Schools, and regional universities), the State plans to create active networks of practitioners. Today, the regional Educational Cooperatives encompass the state. With the exception of Jefferson County Public Schools, each cooperative is a membership organization, with districts as the members. District superintendents also serve on the board of directors of each cooperative, leading to governance and leadership that supports their needs. Funding flows to cooperatives via membership fees as well as grants and fee-for-service contracts. In sum, these cooperatives and Jefferson County Public Schools, working in conjunction with their regional P-16 councils, regional universities, and other partners will serve as important loci of regional collaboration amongst member districts.

These networks will be the focus of efforts to share promising practices and coordinate evaluations of practices' effectiveness. From there, the networks, in collaboration with the State, will be able to cease those practices that are ineffective and more broadly disseminate and replicate those that are highly effective. To make these networks concrete and keep them grounded in work on critical areas, the initial focus in the middle of 2010 will be on the deployment of the new state standards (aligned with the Common Core). In this key role, the networks will be supported by the dedication of one or more Department team members to each regional educational cooperative and Jefferson County Public Schools to assist with the implementation of new standards and assessments.

In this way, the Department can support the work in the regions, assist with the sharing of best practices and common approaches across the state, and ensure fidelity of implementation. (*More details on this approach are available in reform plan (B)(3).*)

In May 2010 Kentucky was one of six states chosen to launch a pioneering partnership to transform the nation's public education system and dramatically lift the quality of learning and achievement for all children in public schools through a grant from the Council of Chief State School Officers and the Stupski Foundation. In November 2009, these two organizations established the Partnership for Next Generation Learning to create the innovation environments and flexibility that school, district and state education leaders need in order to design systems that can deliver excellent student outcomes on a broad scale. The grant will allow Kentucky to establish Innovation Labs made up of selected schools, districts, state education agencies as well as early childhood programs, universities and other key partners. The labs will collaborate with cross sector experts inside and outside of education to examine and adopt effective teaching, learning, and student assessment practices. Around that effort, the labs will design new systems at the district and state levels that can scale these approaches (*see Appendix NNNN – CCSSO Press Release).*

In addition, the Department intends to cultivate district-led innovation that will advance the Commonwealth's reform plan by inviting interested LEAs to propose additional innovations that they would like to pursue under the aegis of Race to the Top in the scopes of work that the LEAs will be developing for review and approval by the Department. Examples of such innovations could be, for example:

- The development of STEM-focused career pathways
- Offering a mini-grant to schools to start the Take One program for National Board Certification
- The use of digital textbooks and online resources aligned to the new standards
- Community-based initiatives focused on closing achievement gaps for particular populations

Please note that this is not an exhaustive list, only an illustrative one.

The district innovation funding will be a very competitive process, and the Department will assess and approve funding for the proposed district innovations based on, among other considerations:

- The quality and comprehensiveness of the LEA's proposed workplan to complete the baseline expectations for all districts participating in Kentucky's reform plan;
- Alignment of the proposed innovation with the elements of the Commonwealth's reform plan;
- The potential impact of the proposed innovation on student achievement and learning based on the available evidence base and the proposed scale of application;
- The LEA's demonstrated ability to carry out initiatives of similar scope in the past
- The quality of the LEA's performance measurement and evaluation plan to assess the innovation's impact
- The potential for scaling and replicating the innovation in other districts if and when it is proven to be successful
- The LEA's readiness and capacity to support knowledge capture and replication efforts

The Department recognizes that some LEAs will need to devote their entire Race to the Top allocations to carrying out the baseline expectations of the Commonwealth's reform plan. To ensure that all Participating LEAs who propose compelling and competitive innovations along the lines described above will be able to carry them out, the Department is budgeting a special fund of $2,500,000 within its reform plan and will make it available to those LEAs who propose especially promising innovations but are not able to fund them out of their initial allocations due to the work they must do to meet the reform plan's universal expectations.

The State does retain accountability for ensuring LEA progress and performance. The Commonwealth, led by the Kentucky Board of Education, has used its accountability role in the past, both in temporarily assuming control of low-performing districts (in keeping with KRS 158.785 and the management assistance program) and in increasing levels of monitoring of districts with

performance challenges (through the agency's Partnership Assistance Team program). This program provides assistance in the form of teams that include mentors for the superintendent and board of education and highly skilled educational assistance to improve student outcomes.

The state has a team in place and processes aligned to effectively administer Race to the Top and competently implement the proposed strategies. The state has developed a rigorous and detailed budget to support its work in Race to the Top. More details can be found in the budget narrative (*See Evidence for (A)(2)(i)(d) in Appendix G: Kentucky Race to the Top Budget Proposal*).

Considerable groundwork and existing funding to support this ambitious plan are already established in the state. A few examples include: existing federal and state funding for testing will move to the new assessments that will be developed; the longitudinal data system will use federal grants already secured for many needs, with the Race to the Top funding covering a few strategic additions; the changes in the evaluation system for teachers will build on work already underway that has been funded by the Wallace Foundation; and the teacher preparation reports will implement designs already developed.
As described in detail in the narrative for criterion (A)(1), Kentucky is firmly committed to the strategies proposed in this application, as they provide the roadmap to transforming education in the Commonwealth. Kentucky is setting its strategic agenda for the next twenty years. It will use Race to the Top funding to pursue initial work over the next four years that forms critical parts of that agenda. It has, in each case, designed the initiatives with longer-term sustainability in mind.

(A)(2)(ii) Collaboration and support from stakeholders

The successful pursuit of this strategy hinges on one word: collaboration. The work since the 1990 Kentucky Education Reform Act has laid a foundation of working together that is likely unrivaled amongst Kentucky's peers. Recent representative collaborations (not exhaustive) include:

- The Department, the Council on Postsecondary Education ("the Council"), and the Education Professional Standards Board ("the Standards Board") creating a P-20 compact on data sharing and data systems integration
- A targeted working group focused on ways to better use teacher compensation to improve teacher quality by recognizing differentiated teacher roles and responsibilities. This group was composed of the Department, the Standards Board, Kentucky Education Association (KEA), Kentucky Association of School Superintendents (KASS), Kentucky Chamber of Commerce, Kentucky Education Cabinet, and the Kentucky School Boards Association (KSBA), and was convened by the Prichard Committee for Academic Excellence
- The first state to adopt the Common Core standards in a joint meeting of the three key state agency boards: the Kentucky Board of Education, the Council on Postsecondary Education, and the Education Professional Standards Board
- A strong statewide system of support through an on-going partnership of the Department with regional institutions of higher education, local government agencies, philanthropic groups, and other community related organizations

As is clear from the examples above, the key state agencies of Kentucky collaborate often and in many ways. The Standards Board and the Council's ongoing partnership with the Department demonstrates a high degree of ongoing higher education involvement here in the Kentucky effort to improve K-12 education and student outcomes. In particular, these organizations focus on improving teacher and principal effectiveness collectively.

Legislative Support

In regards to Race to the Top, these stakeholders have collaborated even more so, in historic ways. Prominent on this list is the very recent collaboration between the Kentucky Department of Education and the Kentucky Senate and House. On January 13, 2010, House Bill 176 was unanimously passed by both chambers at great speed and with great dedication of all to efforts to improve student learning across the Commonwealth. (*For more detail on the collaboration and recent passage of this bill, see Appendix H:*

Commissioner statement on HB 176 Passage and section (E)(1) that follows.)

Business and Philanthropic Commitments

Since 1991, the Partnership for Successful Schools has invested over $11M to mobilize business, industry and other influential community leaders to support school improvement in Kentucky. In 2001, the Kentucky League of Cities formed the NewCities Institute, an organization created to promote civic engagement in local communities across the state. Specifically, the NewCities institute was charged with developing community-based research and creating and field testing tools designed to promote community well being. In 2009, these two entities merged to become the Partnership at NewCities. The focus is to mobilize entire communities to take charge of their future.

The Partnership at NewCities has developed a "first of its kind" innovative, holistic and systematic process for bringing together business, government, education and civic leaders in targeted communities to create strategic educational improvement plans. Fifteen (15) localities across the state have signed on to be the first "Leadership Communities" in Kentucky. These communities will use this engagement and planning process for demonstrated improvement over a three to five year period. (*See Appendix OOOO – Leadership Communities Project Overview)*

In addition to the long standing support of local business and civic leadership to education, Kentucky has seen a significant increase in the support from the philanthropic community in our state. Millions of dollars is contributed annually by local and regional family and corporate foundations in the support of the reform agenda in Kentucky. Significant among those is the Gheens Foundation in Louisville that has contributed over $10M to the Jefferson County Public Schools including a recent gift of $2M to establish the Gheens Institute that will develop scalable innovations in urban public education.

Education Partner Support

Kentucky has also engaged extensively with a broad set of stakeholders to provide their support for and commit to partnering to implement the plans contained herein. A Kentucky Race to the Top Advisory Council met five times during the development of the Phase 1 Race to the Top application and has continued to meet to assist in the development of the Phase 2 application. The Advisory Council was established to review and provide feedback on the Commonwealth's emerging plan and application. The Advisory Council is comprised of the leadership of key stakeholder groups, representing the following constituencies (*full list of organizations and individuals as Evidence for (A)(2)(ii) in Appendix I: Letters of Support*):

- Key state agencies: Kentucky Department of Education, Council on Postsecondary Education, Education Professional Standards Board, and Kentucky Cabinet on Education and Workforce Development
- Teachers: Kentucky Education Association (KEA)
- Principals: Kentucky Association of School Administrators (KASA)
- Superintendents: Kentucky Association of School Superintendents (KASS)
- School Boards: Kentucky School Boards Association (KSBA)
- School Councils: Kentucky Association of Schools Councils (KASC) [Note: School Councils are formed under Kentucky's School-Based Decision Making (SBDM) approach to school governance. Each council is composed of two parents (elected by the parents of students attending the school), three teachers (elected by the teachers in the school), and the principal or administrator of the school. Some councils also have specific minority representation requirements. The council role is to set school policy and make decisions outlined in statute which provide an environment to enhance student achievement. (For more detail, see criterion (F)(2) for an explanation of this innovative approach to school governance.)]
- Educational Cooperatives: Kentucky Association of Educational Cooperatives (KAEC)
- Parents: Kentucky Parent-Teacher Association (KY-PTA)
- Community: Prichard Committee for Academic Excellence

- Businesses: Partnership at NewCities
- Civil Rights: Kentucky Commission on Human Rights (KCHR)

These groups each support and endorse the Commonwealth's Race to the Top application. Further details of their support can be found in their letters of support, contained in Appendix I: Letters of Support; further details on the roles they will play in supporting specific Race to the Top strategies can be found in the respective narratives for each plan.

Stakeholder Support

Additionally, Kentucky has solicited the input and support of stakeholders across the state. In a November survey, open to the public, the Department received the perspectives of more than 2,400 individuals, including 128 superintendents (74% of the total in the state), 425 principals (35% of the total in the state), and 1,195 teachers (3% of the total in the state). This survey demonstrated a strong level of support for Kentucky's overarching vision and strategy: 77% agree with Kentucky's forward-looking vision statement. Additionally, in the four reform areas, respondents both recognized the importance of these areas, with 80%+ support, and believe it is important for Kentucky to do work in each area, with 60%+ of respondents seeing room to improve. In looking at specific strategies under consideration, respondents voiced strong support for majority of strategies under consideration. 15 out of 22 strategies under consideration received strong (75%+) support from respondents, with the most prioritized strategies relating to adopting standards and assessments and supporting professional learning for teachers and principals. This input was paired with similar comments from Teacher Advisory Groups and Parent Advisory Groups and encouraged a focus on the strategies outlined in this application.

Kentucky, through its Race to the Top planning process, has built a strong platform of commitment and collaboration on the proposed strategies. The State's previous collaborative efforts highlight a commitment to providing a leadership role to all stakeholders in the planning and future implementation of the strategies proposed and represent a systemic approach to supporting

leadership at all levels at the SEA, district, school, and community levels. Through this work, Kentucky will reach out to families and communities, building on the Commonwealth's proven record in effectively implementing large-scale educational movements. The State also is moving to organize the SEA around this work to ensure successful implementation, with an emphasis on a cross-functional approach focused on the "function and purpose" of the work. And, lastly, throughout all efforts in this plan, the Commonwealth strives to maintain a delicate balance of adequate oversight, support, and leadership to ensure the vision of this work and the performance measures identified are accomplished. The State's values and core beliefs focused on collaboration represent the unbridled spirit that exists to improve teaching and learning across the Commonwealth.

(A)(3) Demonstrating significant progress in raising achievement and closing gaps *(30 points)*

The extent to which the State has demonstrated its ability to—

(i) Make progress over the past several years in each of the four education reform areas, and used its ARRA and other Federal and State funding to pursue such reforms; *(5 points)*

(ii) Improve student outcomes overall and by student subgroup since at least 2003, and explain the connections between the data and the actions that have contributed to — *(25 points)*

(a) Increasing student achievement in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA;

(b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA; and

(c) Increasing high school graduation rates.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also

include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(3)(ii):

- NAEP and ESEA results since at least 2003. Include in the Appendix all the data requested in the criterion as a resource for peer reviewers for each year in which a test was given or data was collected. Note that this data will be used for reference only and can be in raw format. In the narrative, provide the analysis of this data and any tables or graphs that best support the narrative.

Recommended maximum response length: Six pages

(A)(3)(i) Progress in four education reform areas

Kentucky has a long history of pursuing effective reforms to increase student achievement. Catalyzed by the passage of the Kentucky Education Reform Act (KERA) in 1990, Kentucky has thoughtfully pursued strategies for the past twenty years. In the past several years, many of Kentucky's efforts have aligned to federal areas of reform focus. In addition, in several instances, Kentucky has targeted ARRA and other federal and state funding, to these areas; of particular note here has been Institute of Education Sciences funding for the Statewide Longitudinal Data System as well as Title I School Improvement funding.

Standards and Assessments

As a result of KERA, Kentucky was one of the first states in the country to adopt standards and assessments for accountability. Importantly, Kentucky took a comprehensive view from the beginning, setting standards for a broad set of subject areas, including but not limited to English / Language Arts and Mathematics. Also, Kentucky created assessments that went beyond multiple choice, aiming to understand and make measureable student mastery through the use of constructed response items and through writing portfolios, among other techniques.

Kentucky has continued its leadership in the area of standards and assessments in the past several years. In the spring of 2009,

before the Common Core was announced and the details of the Race to the Top fleshed out, the Kentucky legislature and governor collaborated to produce the landmark Senate Bill 1 legislation. This legislation is highly aligned with the federal reform area of standards and assessments; indeed, it catapults Kentucky to the forefront of states in progress in this regard. Senate Bill 1 mandates the revision of standards to meet the following criteria:

- Focus on critical knowledge, skills, and capacities needed for success in the global economy
- Result in fewer, but more in-depth standards to facilitate mastery learning
- Communicate expectations more clearly and concisely to teachers, parents, students, and citizens
- Be based on evidence-based research
- Consider international benchmarks
- Ensure that the standards are aligned from elementary to high school to postsecondary education so that students can be successful at each educational level

These criteria match those expected by the federal government. In addition, Senate Bill 1 sets Kentucky on the path to create a new assessment system aligned to the fewer, higher, clearer standards. Finally, the bill establishes a timeline and collaborative approach to the adoption, dissemination, and implementation of these new standards and assessments that will ultimately be driven by a substantial upgrade in teacher capacity. Kentucky will be the first state to adopt the new Common Core standards. Kentucky won't stop there, it will adopt similarly revamped standards in five additional subject areas (*see plan (B)(3) for more details*). (*See Appendix J: The Next Era in Kentucky Educational Progress for more detail on the thoughtful and collaborative approach Kentucky has taken to revising standards and assessments to most effectively increase student achievement.*)

Kentucky has also begun the hard work of supporting teachers to become assessment literate. During 2009, a total of 852 Kentucky educators participated in seminars titled "Leading Professional Development in Classroom Assessment for Learning" led by Rick Stiggins and his associates. These educators represent 112 school districts, 12 colleges and universities, 5 Educational Cooperatives

and 10 statewide organizations; in addition, over 65 leaders from the Department attended. This training is ongoing, with an Assessment for Learning Facilitators Network currently being developed and an online needs assessment underway to drive the specific and varied follow-up sessions that will be offered. These 852 trained educators are asked to facilitate ongoing learning teams in schools, colleges and universities to deepen understanding of sound assessment practice and its relationship to student motivation and to learn how to integrate classroom assessment for learning into the teaching and learning process in concrete and specific ways. These past efforts make Kentucky "ready to implement" essential plans in standards and assessments. *(See plan (B)(3) for more detail.)*

Data Systems to Support Instruction

Kentucky has long been a leader in the use of technology. Kentucky was the first state to implement common statewide financial management and student information systems. Kentucky also has one of the leading virtual programs with the Kentucky Virtual School.

Recently, Kentucky has made significant progress in expanding its data systems. The Commonwealth has pursued the creation of a comprehensive Statewide Longitudinal Data System (SLDS) since 2006. This work has been in large part supported by two grants from the federal Institute of Education Sciences, an important stream of federal funding, the first in 2005 and the second in early 2009. Importantly, three key state agencies have collaborated to share data, creating a P-20 compact for doing so: the Department, the Council on Postsecondary Education ("the Council"), and the Education Professional Standards Board ("the Standards Board").

Great Teachers and Leaders

Kentucky believes that improving teaching quality across the Commonwealth, in each classroom for every student, is the most important task of everyone in the education system. Teaching quality is at the center of the Commonwealth's strategy for reform

(*see criteria (A)(1) for more*).

In recent years, Kentucky, both at the state level and in pilot districts throughout the Commonwealth, has put in place substantive reforms that will increase the effectiveness of teaching. Statewide, the Standards Board has led a process that has effectively redesigned all principal preparation and teacher Master's programs. The Standards Board "sunsetted" the accreditation of all programs and required them to adopt model practices shown to lead to increased student achievement (among these is a focus on practicum based learning) in order to regain accreditation. The principal preparation program creates a Kentucky Cohesive Leadership Continuum for Principal Preparation and Professional Growth. The teacher Master's has been redesigned as a teacher-leader program, working in a five-state consortium to develop fourteen courses that address the leadership skills, content and knowledge for teacher leaders.

Across the state, the Department of Education and several districts have partnered with the Wallace Foundation on several initiatives focused on improving teaching effectiveness and school leadership. In addition to the work on principal and teacher leader preparation cited above, this work has had many other strands, including:

- Kentucky Leadership Academy, which provides training aligned to the standards, with work occurring through professional learning communities that focuses on high quality instruction and interventions
- School Administration Manager program, which reassigns the management duties of the principal so that principals can focus up to 80% of their time on instruction
- Kentucky Instructional Leadership Team Network, which has involved 50+ districts in the state and 584+ schools and over 6,000 teacher leaders in leadership roles and responsibilities in their school that focus on high quality instruction and improving student achievement
- Coaching Initiative which trains retired administrators and district personnel to coach principals, principals to coach

teachers, teachers to coach teachers, and teachers to coach students

- Instructional Practices Assessment, which provides school leaders and teachers with a report on the instructional practices being implemented in the school

The Department supports this work through the use of federal Title II Teacher Quality Funds.

Turnaround of Lowest-Achieving Schools

As with the area of standards and assessments, Kentucky has long been a leader in intervening in low-performing schools. Kentucky's history of intervention in such schools predates the federal No Child Left Behind Act, coming as a result of the Kentucky Education Reform Act of 1990. Kentucky launched the Distinguished Educator program, preparing the most effective educators statewide to serve as supports to schools in need of improvement.

More recently, the Commonwealth has increased the aggressiveness with which it intervenes in low-performing schools. Its Assist and Support School Improvement Success Teams (ASSIST) program provides additional staff that often assume leadership positions in schools to which they are staffed. This program is supported by the Highly Skilled Educator program, which evolved from the original Distinguished Educator program. Kentucky focuses its federal Title I School Improvement funds on this program. For many schools, Kentucky's interventions have been successful in raising achievement and building the capacity of schools to sustain the improvement. In the 2009 State Highlights Report produced by the Editorial Projects in Education Research Center, between 1996 and 2006, Kentucky achieved a 9 percentage point graduation rate increase, the fourth highest increase nationwide. Kentucky is prepared to take its turnaround efforts to the next level of effectiveness, as specified in the plan for criterion (E)(2).

(A)(3)(ii) Improvement in student outcomes

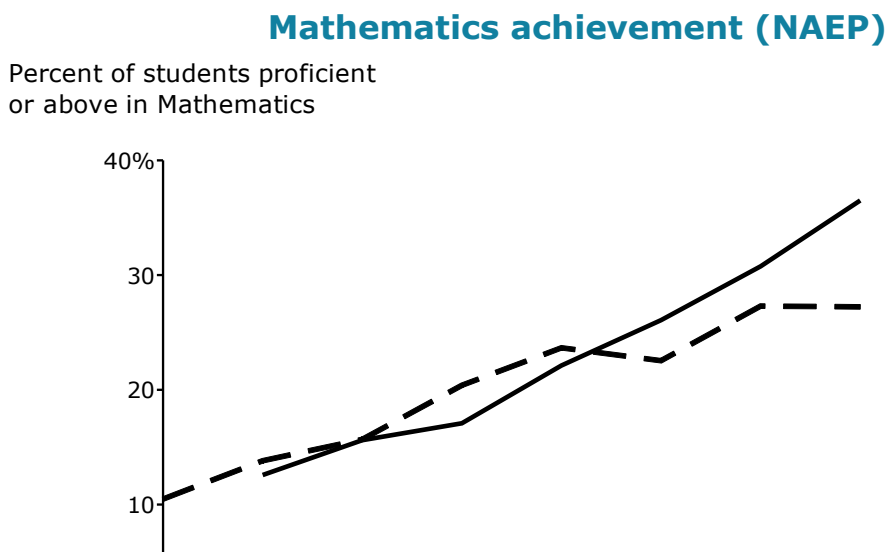
(A)(3)(ii)(a) Increasing student achievement on NAEP and on ESEA assessments

Mathematics

On both measures of student performance, Kentucky has seen significant growth in the percentage of students scoring at Proficient or above. On NAEP, percent proficient went from 13% in 1992 to 37% in 2009 for fourth graders (increase of 24 percentage points) and from 10% in 1990 to 27% in 2009 for eighth graders (increase of 17 percentage points). Progress in the most recent years from 2003 to 2009 has continued, especially in the fourth grade.

The state's ESEA assessments show a similar trajectory. Importantly, there was a significant change in the assessment and it's scoring between 2006 and 2007, making comparisons of longitudinal data challenging. [Note: Several changes to the assessment program were implemented in 2007, which do not allow direct comparison of Kentucky Core Content Test (KCCT) results from 2006 to 2007. These include the following KCCT changes: Based on a revised set of standards (Core Content for Assessment 4.1), new assessment design and reporting scale, new assessments in reading and mathematics were added to meet grade 3-8 testing requirements of NCLB, new student performance cut scores were validated or set during standard setting/validation in summer 2007.] Across all grades, the percentage of students proficient or above in math increased from 34% in 2003 to 62% in 2009 (increase of 28 percentage points) and from 54% in 2007 to 62% in 2009 (under same testing regime; increase of 8 percentage points).

Graphical demonstration of this notable growth in mathematics proficiency is shown in the chart below.

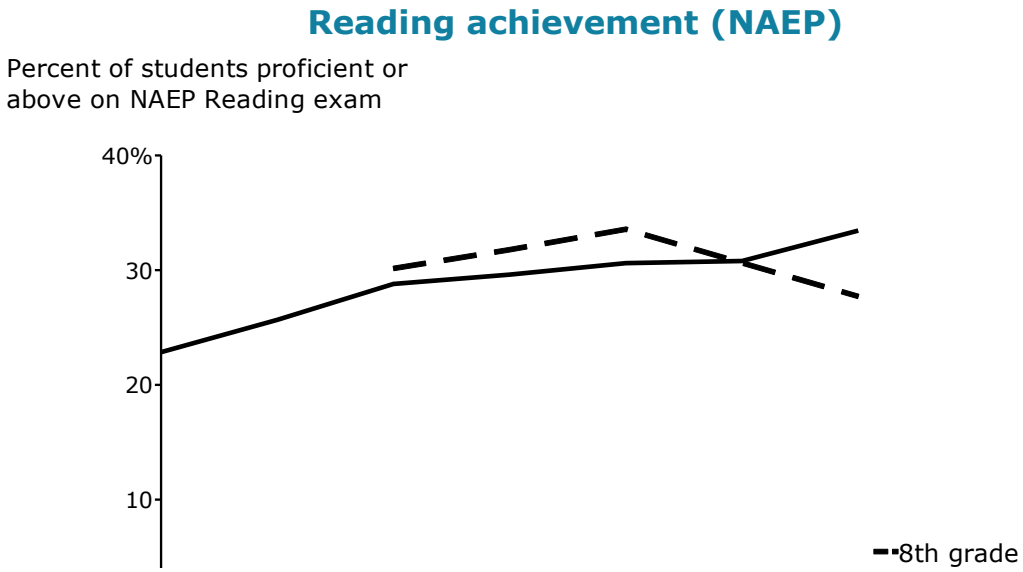


Reading / English / Language Arts

Kentucky has similarly demonstrated progress on Reading and English / Language Arts, albeit at a slower pace and with more mixed distribution. On NAEP, percent proficient increased from 23% in 1992 to 33% in 2007 for fourth graders (increase of 10+ percentage points) and slightly decreased from 29% in 1990 to 28% in 2009 for eighth graders (decrease of 1 percentage point). Scores in the most recent years from 2003 to 2007 have been mixed, with fourth grade reading increasing 3 percentage points, yet eighth grade reading has declined 6 percentage points.

The state's ESEA assessments show a similar picture. They contain the same caveat as that for the mathematics exams given the many changes in the testing system from 2006 to 2007 (see previous footnote). Across all grades, the percentage of students proficient or above in reading increased from 50% in 2003 to 69% in 2009 (increase of 19 percentage points) and slightly increased

from 68% in 2007 to 69% in 2009 (under same testing regime; increase of 1 percentage point).



Graphical demonstration of this growth in reading proficiency is shown in the chart above.

Actions contributing to these improved outcomes

Kentucky has been pursuing a comprehensive strategy designed to increase student achievement across the board. It is not possible to attribute any one change to the increases in performance seen to date – rather, the Commonwealth asserts that it is the comprehensiveness, combined with a relentless focus on student learning and success, that has led to the gains experienced by students. Kentucky has put forward the next generation of its strategy (*see plan in criterion (A)(1)*) to continue and accelerate

student performance with a similarly comprehensive strategy for the next 20 years.

For detail on Kentucky's NAEP exclusion rate, as requested in Race to the Top application requirement (g)(1), please see Evidence *(Appendix K: NAEP Exclusion Rate Information)*.

(A)(3)(ii)(b) Decreasing achievement gaps on NAEP and on ESEA assessments

Kentucky is focused on increasing the performance of all of its students. It is committed to providing equitable education in the following areas:

Mathematics

On the NAEP, progress on achievement gaps was mixed – some widened and some narrowed over the past years.

Race: For fourth graders, the Black-White achievement gap increased by 15 percentage points from 1992 to 2009. For eighth graders, the Black-White achievement gap increased by 12 percentage points from 1992 to 2009. In both cases, both groups made gains, with White student gains outpacing those of Black students. Also, in the eighth grade, the gap has recently stopped widening: from 2003 to 2009 there was no significant change in the gap between groups. [Note: Kentucky's racial demographics present two racial groups of significant size: Black students and White students.]

Socioeconomic status: For fourth graders, the poverty achievement gap increased by 14 percentage points from 1996 to 2009. For eighth graders, the poverty achievement gap increased by 5 percentage points from 1996 to 2009. In both cases, both groups made gains, with non-low-income student gains outpacing those of low-income students.

Gender: For fourth graders, the gender achievement gap narrowed by 3 percentage points from 1992 to 2009. For eighth graders, the gender achievement gap narrowed by a similar 3 percentage points from 1992 to 2009.

Disability: For fourth graders, the disability achievement gap widened by 11 percentage points from 2000 to 2009. For eighth

graders, the disability achievement gap widened by 3 percentage points from 2000 to 2009.

Language status: Kentucky does not have statistically significant sample of English Language Learner students to permit the comparison of achievement levels.

On ESEA assessments, progress on achievement gaps was mixed.

Race: Across all grades, achievement gaps remained largely steady. The Black-White achievement gap widened by 2 percentage points from 2003 to 2009. The Hispanic-White achievement gap narrowed by 1 percentage point from 2003 to 2009.

Socioeconomic status: Across all grades, achievement gaps between low-income students and their higher-income peers narrowed by 4 percentage points from 2003 to 2009.

Disability: Across all grades, achievement gaps between students with a disability and those without narrowed slightly by 2 percentage points from 2003 to 2009.

Language status: Across all grades, achievement gaps stayed essentially constant between students with Limited English Proficiency status and those without that status from 2003 to 2009.

Reading / English / Language Arts

On the NAEP, progress on achievement gaps has been mixed – some widened and some narrowed over the past years.

Race: For fourth graders, the Black-White achievement gap increased by 6 percentage points from 1992 to 2007. For eighth graders, the Black-White achievement gap decreased by 6 percentage points from 1992 to 2007.

Socioeconomic status: For both fourth and eighth graders, the poverty achievement gap did not significantly change between 1998 and 2007.

Gender: For fourth graders, the gender achievement gap widened by 3 percentage points from 1998 to 2007. For eighth graders, the

gender achievement gap widened by 5 percentage points from 1998 to 2007.

Disability: For fourth graders, the disability achievement gap widened by 1 percentage points from 2002 to 2007. For eighth graders, the disability achievement gap decreased by 7 percentage points from 2002 to 2007.

Language status: Kentucky does not have a statistically significant sample of English Language Learner students to permit the comparison of achievement levels.

On ESEA assessments, progress on achievement gaps was moderate.

Race: Across all grades, achievement gaps remained largely steady. The Black-White achievement gap narrowed by 1 percentage point from 2003 to 2009. The Hispanic-White achievement gap similarly narrowed by 1 percentage point from 2003 to 2009.

Socioeconomic status: Across all grades, achievement gaps between low-income students and their higher-income peers narrowed by 4 percentage points from 2003 to 2009.

Disability: Across all grades, achievement gaps between students with a disability and those without narrowed slightly by 1 percentage point from 2003 to 2009.

Language status: Across all grades, achievement gaps stayed essentially constant between students with Limited English Proficiency status and those without that status from 2003 to 2009.

Actions contributing to these improved outcomes

Kentucky is focused on reducing achievement gaps. It enacted Senate Bill 168 in 2000, before No Child Left Behind took effect nationally. This bill focused energy throughout the state on closing achievement gaps. One effort it launched was the Partnership for Minority Student Achievement, which investigated and supported efforts in seven districts in collaboration with the Appalachian Educational Laboratory. This work gleaned some promising practices that can be utilized across the State. It has recently been transformed into the Achievement Gap Committee. In addition, currently, the Commissioner has an active Closing the

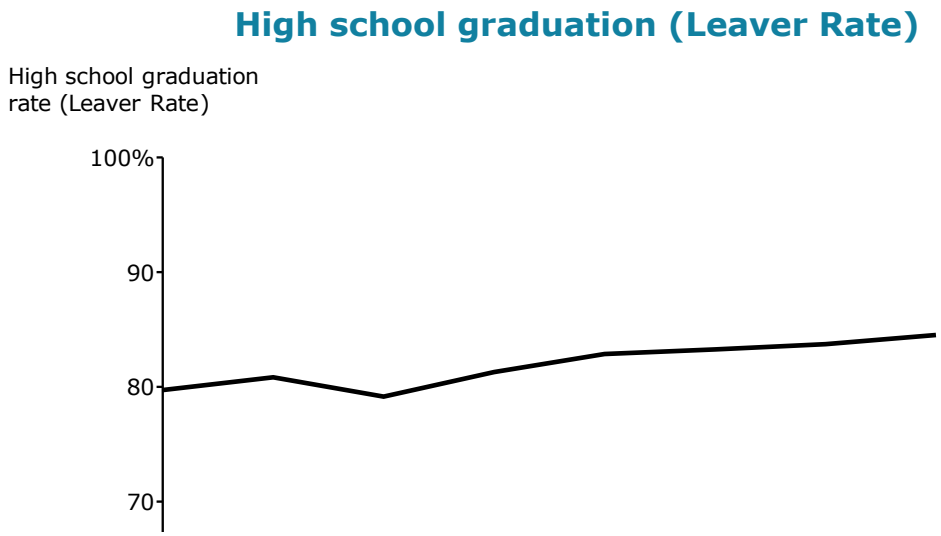
Achievement Gap Advisory Council that provides ongoing input and guidance as statewide efforts to close gaps are launched.

(A)(3)(ii)(c) Increasing high school graduation rates

Kentucky is committed to pursuing the twin goals of increased student achievement and attainment. High school graduation is a critical step in each student's path towards success.

Kentucky is not yet able to measure graduation rate according to the four-year or extended-year adjusted cohort graduation rate methodologies. It is actively creating the capacity to do so. It has a clear plan in place and a waiver from US Department of Education in the intervening years to report according to the Leaver Rate (*see Appendix L: KY Cohort Graduation Rate Final, Appendix M: KDE Waiver Letter to USED for Graduation Rate, and Appendix N: USED Response to Kentucky Waiver Request for Graduation Rate for plan to implement this methodology and relevant USED waiver*). Kentucky currently does not collect graduation rate data at the level of granularity that would allow disaggregation by subgroup. Kentucky plans to institute a more detailed collection of data as it switches to the averaged freshman graduation rate for the class of 2009-2010 to allow it to disaggregate by race. With the shift to the four-year adjusted cohort methodology in later years will come the ability to disaggregate by all statistically valid student subgroups.

Regardless of the methodology, however, the data makes clear that Kentucky is making significant progress in increasing the graduation rate. According to the Leaver Rate, Kentucky's graduation rate has improved from 79.7% in 2001 to 84.5% in 2008, an increase of nearly 5 percentage points. [Note: Kentucky uses a "leaver rate." This rate is an estimate, not an actual calculation, based on a particular class (or cohort) of students. To calculate the leaver rate, the number of graduates is divided by the total number of graduates plus documented dropouts (the sum of dropouts from each grade, 9–12, in the corresponding years that a four-year graduate would have been enrolled in those grades) and other completers.] According to the Cumulative Promotion Index, an



oft-used third-party measure, Kentucky's graduation rate increased from 62.9% in 1996 to 72.0% in 2006, a gain of approximately 9 percentage points that was the fourth largest gain amongst states during that period of time. [Note: The CPI represents the high school experience as a process rather than a single event, capturing the four key steps a student must take in order to graduate: three

grade-to-grade promotions (9 to 10, 10 to 11, and 11 to 12) and ultimately earning a diploma (grade 12 to graduation).]

Actions contributing to these improved outcomes

As with progress on achievement rates on NAEP and ESEA assessments, Kentucky believes that the Commonwealth's progress in improving graduation rate outcomes is a product of its comprehensive approach to reform. Details of that are summarized above and the next generation of that strategy is available in criterion (A)(1).

In addition, Kentucky has focused particular attention on low-performing schools for some time, beginning in 1984. The Commonwealth's approach to turnaround is described above in (A)(3)(i) and also in reform plan (E)(2). It is this focus on low-achieving schools combined with a comprehensive strategy for improvement to which Kentucky attributes the growth in the graduation rate. Importantly, Kentucky aims to build from this success and graduate more students. To do so, it has launched Graduate Kentucky, a first-of-its-kind comprehensive statewide conversation to not only understand why students are contemplating dropping out of school, but to also share ideas and best practices of how communities can play a pivotal role in reducing the dropout rate and creating a strategic vision for keeping our children engaged in school.

Increasing college-going

Kentucky's comprehensive efforts to improve student learning are paying off. Improvements in achievement and attainment, discussed above, are leading to improvements in indicators of college success. From 1992 to 2006, college enrollment rates for high school graduates increased from 49% to 61%.

Kentucky aims to accelerate this forward momentum on increasing student achievement, reducing achievement gaps, increasing high school graduation rates, and increasing college success. (*For more detail on these goals, see (A)(1)(iii).*) (*More detail on*

Kentucky's progress on these measures can be found as the Evidence for (A)(3)(ii) in Appendix O: Student achievement historical detail.)

(B) Standards and Assessments (70 total points)

State Reform Conditions Criteria

(B)(1) Developing and adopting common standards *(40 points)*

The extent to which the State has demonstrated its commitment to adopting a common set of high-quality standards, evidenced by (as set forth in Appendix B)—

(i) The State's participation in a consortium of States that— *(20 points)*

(a) Is working toward jointly developing and adopting a common set of K-12 standards (as defined in this notice) that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation; and

(b) Includes a significant number of States; and

(ii) — *(20 points)*

(a) For Phase 1 applications, the State's high-quality plan demonstrating its commitment to and progress toward adopting a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State, and to implementing the standards thereafter in a well-planned way; or

(b) For Phase 2 applications, the State's adoption of a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State in a high-quality plan toward which the State has made significant progress, and its commitment to implementing the standards thereafter in a well-planned way.[4]

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer

[4] Phase 2 applicants addressing selection criterion (B)(1)(ii) may amend their June 1, 2010 application submission through August 2, 2010 by submitting evidence of adopting common standards after June 1, 2010.

reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (B)(1)(i):

- A copy of the Memorandum of Agreement, executed by the State, showing that it is part of a standards consortium.
- A copy of the final standards or, if the standards are not yet final, a copy of the draft standards and anticipated date for completing the standards.
- Documentation that the standards are or will be internationally benchmarked and that, when well-implemented, will help to ensure that students are prepared for college and careers.
- The number of States participating in the standards consortium and the list of these States.

Evidence for (B)(1)(ii):

For Phase 1 applicants:

- A description of the legal process in the State for adopting standards, and the State's plan, current progress, and timeframe for adoption.

For Phase 2 applicants:

- Evidence that the State has adopted the standards. Or, if the State has not yet adopted the standards, a description of the legal process in the State for adopting standards and the State's plan, current progress, and timeframe for adoption.

Recommended maximum response length: Two pages

Introduction and context

Supporting the transition to enhanced standards and high-quality assessments

Goals	• Successfully adopt and disseminate the new standards and assessments statewide, so that all Kentucky citizens – particularly its teachers and leaders - are educated on and understand them • Successfully implement the new standards and assessments so that all students in Kentucky are prepared for success in the 21st century
Action steps	• Adopt the standards *(On February 1st, 2010 the Kentucky Board of Education adopted the Common Core standards for Math and English/Language Arts)* and educate key stakeholders • Align PreK-12 and postsecondary around the new standards • Provide professional development in support of the new standards with leadership from Core Oversight Team: – Build content and administrator leadership networks to deconstruct the standards and create high-quality, aligned instructional supports – Identify or create instructional tools supporting the standards; place resources on-line (via Kentucky's new Continuous Instructional Improvement Technology System (CIITS) – Leverage school-based professional learning teams guided by 850+ learning team facilitators • Implement a balanced assessment system serving both formative and summative purposes, including classroom assessments, interim benchmark assessments, and annual assessments • Increase student access to challenging courses through the expansion of innovative programs
Milestones	• On February 1st, 2010 the Kentucky Board of Education adopted the Common Core standards for Math and English/Language Arts • In May 2010, the Department established the Core Oversight team • Beginning in July 2010, create, identify, and disseminate appropriate professional learning resources to support adopted standards • By Fall 2010, begin rollout of benchmark assessment systems in Math and English/Language Arts (developed as part of the State Consortium) • By January 2012, complete Common Core assessment system, including end of course assessments, for Math and English/Language Arts

Bipartisan commitment to fewer, clearer, higher standards

With the passage of Senate Bill 1 in the 2009 session of the Kentucky General Assembly, the Commonwealth is poised at the beginning of a new era in public school expectations, assessment and accountability. Senate Bill 1 addresses many areas with a primary focus on statewide adoption of: 1) new Common Core standards in seven subject areas that are fewer, clearer, and higher than current standards; and 2) a balanced assessment system aligned to the new standards. The timeline for Senate Bill 1 calls for

the new assessment system to be complete and in use by the 2011-2012 school year. There is much work to be done in order to meet this aggressive deadline.

Developing and adopting the new Common Core standards

In regards to (B)(1)(i), in May 2009, Kentucky was one of the first states to join the multi-state coalition led by the National Governors Association and the Council of Chief State School Officers, which currently has 51 states and territories participating. *(For signed Memorandum of Agreement, see Appendix P: Common Core Standards Consortium MOA; for list of participating states, see Appendix Q: NGA News Release with List of the Participating States and Territories in the Common Core State Standards Initiative.)* The Common Core Standards Memorandum of Agreement states the following purpose for this consortium: "This document commits states to a state-led process that will draw on evidence and lead to development and adoption of a common core of state standards in English language arts and mathematics for grades K-12. These standards will be aligned with college and work expectations, include rigorous content and skills, and be internationally benchmarked." The standards are currently in draft form, but will be finalized in early June. (*See draft standards and supporting documentation as Evidence for (B)(1)(i) in Appendix R: Common Core Standards for English Language Arts Grades K-12, Appendix S: Common Core State Standards for Mathematics,.*)

In regards to (B)(1)(ii), Kentucky leads the pack in adoption of the Common Core. Senate Bill 1 mandates the adoption of new standards, with the first wave focused on Mathematics and English/Language Arts. Kentucky became the first state in the nation to adopt the standards on February 10, 2010, well in advance of the criterion's deadline of August 2, 2010. As an early adopter, Kentucky has assisted the Council of State Governments by providing information to legislators across the nation on how the Common Core initiative in Kentucky was supported in a broad and bi-partisan way supported by the House, Senate, and Governor's office.

The direction Senate Bill 1 sets for standards in Kentucky

- Kentucky has adopted and will implement internationally benchmarked Common Core standards that focus on critical knowledge and skill, are fewer but more in-depth, communicate expectations for all students more clearly and concisely, and are aligned from elementary to postsecondary so that students can be successful at each education level
- The Commissioner of Education and the President of the Council on Postsecondary Education will ensure that college entry-level course requirements for postsecondary education are aligned with standards for Mathematics and English/Language Arts, and that eventually the new standards in all subject areas are aligned between PreK-12 and postsecondary education
- The Education Professional Standards Board and the Council on Postsecondary Education will coordinate information and professional learning sessions around the new standards for faculty and staff in all undergraduate and graduate teacher and principal preparation programs, and the Kentucky Department of Education ("the Department") will facilitate the provision of professional learning sessions for existing teachers and administrators on how to integrate the revised content standards and better integrate performance assessment
- The Education Professional Standards Board will require teacher and principal preparation programs to align their curricula with the new standards and instruct students in the use of the new academic content standards in the pre-service programs

Because adoption of the standards was only the first step, the Department and the Council on Postsecondary Education have led several cross-functional work teams that include both internal and external personnel and stakeholder representatives to plan the work of implementing the standards. (*See (B)(3) for detail on the outputs of these work teams and Kentucky's plan to fully implement Senate Bill 1.*)

(B)(2) Developing and implementing common, high-quality assessments *(10 points)*

The extent to which the State has demonstrated its commitment to improving the quality of its assessments, evidenced by (as set forth in Appendix B) the State's participation in a consortium of States that—

(i) Is working toward jointly developing and implementing common, high-quality assessments (as defined in this notice) aligned with the consortium's common set of K-12 standards (as defined in this notice); and

(ii) Includes a significant number of States.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (B)(2):

- A copy of the Memorandum of Agreement, executed by the State, showing that it is part of a consortium that intends to develop high-quality assessments (as defined in this notice) aligned with the consortium's common set of K-12 standards; or documentation that the State's consortium has applied, or intends to apply, for a grant through the separate Race to the Top Assessment Program (to be described in a subsequent notice); or other evidence of the State's plan to develop and adopt common, high-quality assessments (as defined in this notice).
- The number of States participating in the assessment consortium and the list of these States.

Recommended maximum response length: One page

Introduction and context

Bipartisan commitment to a new balanced assessment system

As described in (B)(1), the passage of Senate Bill 1 in 2009 will reset, rationalize and reinvigorate Kentucky's assessment system. Given this legislative mandate, Kentucky is committed to working with three consortia of states to develop assessment tools for evaluating the Common Core standards, starting with working principles derived from an examination of successful state systems in the U.S. and high-achieving systems internationally. (*See Evidence for (B)(2), including MOUs and lists of participating states, in the consortia sections that follow.*)

Consortium 1: Summative Multi-state Assessment Resources for Teachers and Educational Researchers (SMARTER BALANCE)

As of May 12, 2010, thirty-three states have joined together in the Smarter Balance Consortium to apply for the Race to the Top Comprehensive Assessment Systems Grant Application. (*See Appendix V- SMARTER BALANCE MOU and Appendix W – SMARTER Participating States*)

This consortium intends to develop a comprehensive system of formative, interim and summative assessments of the Common Core Standards. Efforts will be focused on assessments that support high-quality learning, accountability, and also balance innovative technology with the need for a financially sustainable system. With these goals in mind, the Consortium will be grounded in the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an electronic platform. Technology applications will be designed to maximize interoperability across user platforms and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

Consortium 2: Partnership for Assessment of Readiness for College and Career (PARCC)

The number of participating states in PARCC is up to twenty-six states (*see Appendix T – PARCC MOU).* As a consortium of states, the Department has agreed to support the development of an assessment program on the Common Core Standards in English Language Arts and Mathematics in the areas of: Technology, Assessment System Development, Research & Evaluation, Project Management and Professional Capacity & Outreach Assessment System Design. PARCC states, including Kentucky *(see Appendix U – PARCC Participating States)* have identified the following major purposes and uses for the assessment system results:

- To measure and document students' college and career readiness by the end of high school and progress toward this target. Students meeting the college and career readiness standards will be eligible for placement into entry-level credit-bearing, rather than remedial, courses in public 2- and 4-year postsecondary institutions in all participating states.
- To provide assessments and results that:
    - Are comparable across states at the student level;
    - Meet internationally rigorous benchmarks;
    - Allow valid measures of student longitudinal growth; and
    - Serve as a signal for good instructional practices.

- To support multiple levels and forms of accountability including:
    - Decisions about promotion and graduation for individual students,
    - Teacher and leader evaluations,
    - School accountability determinations,
    - Determinations of principal and teacher professional development and support needs, and
    - Teaching, learning, and program improvement.
- Assesses all students, including English learners and students with disabilities.

Consortium 3: Board Exam for High Schools

Eight states have joined the National Center on Education and the Economy (NCEE) to pilot instructional systems at the high school level. Their goal is to increase students' readiness for college and reduce the number of remedial courses taken in college. The Board Examination programs include, "consist of a core program of courses, each including instructional systems with high standards, a well-designed syllabus, high quality exams matched to the syllabus, and professional development for teachers." *(see Appendix X – NCEE Press Release and Appendix Y – NCEE Participating States)*

Reform Plan Criteria

(B)(3) Supporting the transition to enhanced standards and high-quality assessments *(20 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards that build toward college and career readiness by the time of high school graduation, and high-quality assessments (as defined in this notice) tied to these standards. State or LEA activities might, for example, include: developing a rollout plan for the standards together with all of their supporting components; in cooperation with the State's institutions of higher education, aligning high school exit criteria and college entrance requirements with the new standards and assessments; developing or acquiring, disseminating, and implementing high-quality instructional materials and assessments (including, for example, formative and interim assessments (both as defined in this notice)); developing or acquiring and delivering high-quality professional development to support the transition to new standards and assessments; and engaging in other strategies that translate the standards and information from assessments into

classroom practice for all students, including high-need students (as defined in this notice).

The State shall provide its plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Eight pages

Introduction and context

Kentucky has a long history of demonstrated, bipartisan commitment to high standards and expectations for all students. As described in the State Success Factors section, Kentucky established clear expectations that all children can learn at high levels and articulated core content standards as a result of the Kentucky Education Reform Act of 1990, which were most recently revised in 2006. As described in (B)(1) and (B)(2), Senate Bill 1 demonstrates the Commonwealth's commitment to substantial revision of the existing standards and assessments in seven subject areas, as they are powerful tools for measuring student, school, district and state performance. This legislative mandate directs the Kentucky Department of Education ("the Department") and the Council on Postsecondary Education ("the Council") to plan and implement a comprehensive process for revising academic content standards in all areas and for revising the statewide assessment program for implementation in 2011-2012. Senate Bill 1 also includes clear implementation requirements and sequencing, further demonstrating Kentucky's commitment to internationally benchmarked K-12 standards and high-quality assessments.

Following the passage of Senate Bill 1, the Department, the Council and key implementation partners (including the Education Professional Standards Board, the Kentucky Education Association, the Kentucky School Boards Association, the Kentucky Association of School Councils, the Kentucky Educational Cooperatives, Jefferson County Public Schools and other key stakeholder groups) collaborated to create high-quality plans for the statewide transition to and implementation of internationally

benchmarked standards (from preschool through aligned postsecondary education content) and high-quality assessments tied to these standards. These plans include timelines for adoption and dissemination of standards, development of the assessments, a new approach to professional development and many other key success factors related to Senate Bill 1 implementation. (*See Appendix GG: SB1 Standards Roll-out and Professional Development Plan Final for the detailed Senate Bill 1 deployment plan, Appendix HH: SB1 deployment work group for a list of Senate Bill 1 deployment work group members, and Appendix II: Math & English-Language Arts Common Core Standards Work Teams for a list of Math and English/Language Arts Standards work group members.*)

Furthermore, because Kentucky has invested in the *Classroom Assessment for Student Learning* approach, which enables teachers to build and utilize formative assessment locally through professional learning teams, the Commonwealth is uniquely positioned to deconstruct standards into the foundations of knowledge, reasoning, performance skills and product development capabilities that form the scaffolding students will climb to master each standard. Not only is a framework already in place for scaffolding, but districts statewide are already preparing teachers to build their local scaffolding. In addition, the process provides teachers with a key foundation of assessment literacy by teaching them how to link different kinds of learning targets directly to proper classroom and interim assessment methods. (*More detail on this will follow in Activities 3, 4, and 5.*)

In a survey that solicited stakeholders' perspectives on Kentucky's Race to the Top application, more than 80% of the 2440 respondents said that future progress in the area of standards and assessments is important or very important. In fact, when asked about the most important strategies Kentucky should pursue, the strategies that were ranked most frequently in respondents' top three were all focused on adopting and implementing high and clear standards and aligned assessments, and providing tools for teachers to be successful in teaching those standards. Therefore, Kentucky has two **key goals** for the transition to and implementation of internationally benchmarked standards and high-quality assessments tied to these standards:

1) The new standards and assessments are successfully adopted and disseminated statewide, so that all Kentucky citizens – students, teachers, parents, school leaders, communities, business, etc. – are educated on and understand the new standards and assessments.
2) The new standards and assessments are successfully implemented in all classrooms so that all students in Kentucky are prepared for success in the 21st century.

In order to meet the Commonwealth's goals with respect to standards and assessments, there are several key activities that will be undertaken over the next few years.

Activity 1: Adopting and disseminating the Math and English/Language Arts standards

On February 10, 2010, the Kentucky Board of Education adopted the Common Core standards for Math and English/Language Arts. Additionally, a special meeting of the Board of Education, the Council on Postsecondary Education, and the Education Professional Standards Board was convened and the three groups unanimously passed a resolution making the new Common Core State Standards the centerpiece of educational reform moving forward. While Senate Bill 1 mandates the revision for five additional subject areas, Math and English/Language Arts will be the first two subjects completed and released by the multi-state coalition. Immediately following adoption, the Department and several partner organizations began educating key stakeholders on the new standards. The following is an abbreviated list of broad-based dissemination and education activities underway, all of which will be completed by the Department, the Education Professional Standards Board, the Council and many partner organizations (*please see Appendix GG: SB1 Standards Roll-out and Professional Development Plan Final for full list as included in Senate Bill 1 deployment plan*):

- Hold an educator's webinar series for P-12 practitioners and institutions of higher education that includes a crosswalk document comparing new standards to old standards for use with educators in multiple settings, as well as examples of "deconstructing" standards, as described in Activity 3 below using the new approach to formative assessment.

- Work with Kentucky Education Television to create an educators' online learning series (P-12) through the Kentucky Virtual School
- Post standards and related educational resources on Department and partner agency websites, and other education-related sites (e.g., Kentucky Education Association, Kentucky Education Television, Prichard Committee, colleges / universities), including creating a publicly accessible site on iTunes U K-12, Apple's service that uses the iTunes Store infrastructure for managing and distributing educational audio and video content with a state department of education hosted site
- Conduct trainings on orientation/awareness of standards training for Department personnel
- Communicate with key legislators to articulate the standards work and necessary resources and meet with editorial boards to discuss standards and answer questions
- Continue strong partnership with the Prichard Committee, an organization long-dedicated to promoting educational reforms efforts in Kentucky, to facilitate a multi-faceted initiative as well as an institutionalized leadership development program for parents, to engage key education stakeholders in the changes resulting from Senate Bill 1. The committee has already launched the initiative, focusing first on teachers and parents, to raise awareness of and support for the implementation of the new standards. This work, with the support of the Bill & Melinda Gates Foundation, will create cadres of teacher and parent messengers for peer-to-peer communications and engagement. A project manager has been tasked with developing these cadres statewide and to develop, through formal and/or informal focus group research, effective messages for the Kentucky audience. The project team also is assisting with communications around the department's professional development program in an effort to ensure clear and consistent messages to educators. Broader communications efforts will target employers, business leaders and community activists across the state. The Committee is seeking additional funding from Kentucky foundations and other sources.
- Work with additional partners like the Kentucky School Boards Association, the Kentucky Association of School Superintendents, the Kentucky Association of School Administrators, the Kentucky Education Association, the Jefferson

County Teachers Association, the Kentucky Association of School Councils, Partnership for NewCities, the Kentucky Parent-Teacher Association and others to create informational webinars and hold town hall meetings at school locations to share standards information with interested stakeholders and provide brochures and/or other communications pieces unique to each role group that explain the standards and their importance to be used in print media or on web sites produced by various organizations (utilizing materials and resources from the Council of Chief State School Officers)

- Develop talking points and awareness resources for school and district use with parent groups and in other face-to-face group meetings amongst education stakeholders and education-related communicators (e.g., bloggers, Twitter, Facebook, etc.)
- Develop public service announcements and guest editorials for use by all available media and publications – television, cable channels, school broadcasts, radio, magazines, journals, etc., including:
    - A series of segments on "Kentucky Tonight," a popular Kentucky Education Television weekly public affairs discussion program, to bring to the forefront the impact new Common Core internationally benchmarked standards and assessments will have on student success and Kentucky's economic standing in the global economy. Viewers across the state will have an opportunity to call in to the live broadcast and become part of the discussion
    - Companion articles in *Kentucky Living*, a rural, cooperative magazine and the largest circulated publication in the state, delivered monthly to 487,000 homes and businesses and read by more than 1.26 million people
    - A series of articles about standards and professional learning in *KY Teacher,* the Department's publication that is sent directly to every public school teacher and administrator monthly during the school year
- Work with Partnership for NewCities to engage a diverse group of citizens, community leaders and public officials across the state in public forums to discuss how the common standards and assessments initiative promotes the economic and social prosperity of communities, regardless of size or location
- Use existing local and regional P-16 councils that were established to broaden communication between elementary,

secondary and postsecondary educational entities to increase community understanding of the positive impact the Common Core standards and assessments will have on Kentucky families and overall economic competitiveness

A November 2009 report from the Kentucky Chamber of Commerce, entitled "The Leaky Bucket," references the significant body of research that links higher education attainment to increased employment opportunities and income, resulting in reduced spending on corrections, Medicaid, and public employee health benefits. With Senate Bill 1, Kentucky committed to adopting and implementing internationally benchmarked standards and aligned assessments as a step toward increasing higher educational attainment statewide. The outreach and education efforts detailed above will ensure that all Kentucky citizens are informed and educated about the new standards, beginning with Math and English/Language Arts, and why these fewer, clearer, higher standards and corresponding assessments are critical to drive educational change in Kentucky to prepare citizens for competing in the global economy and to ensure the Commonwealth's economy flourishes.

Activity 2: Aligning PreK-12 and postsecondary education around the new standards

Kentucky is committed to a truly P-20 educational system aligned in preparing students for college and career readiness. In 2006, Kentucky was one of the first states to join the American Diploma Project (ADP), an effort led by Achieve, Inc. to build a coalition of states committed to increasing college readiness. As a result of joining ADP, Kentucky revised the high school graduation requirements to ensure their alignment with the Council's pre-college curriculum (this involved increasing math requirements). Recently, conversations have also begun around increasing foreign language requirements to align with the pre-college curriculum. The Department, the Education Professional Standards Board and the Council will continue to work together to ensure P-20 alignment as mandated by Senate Bill 1. The following activities, all of which are integrated with the overall plan for the transition to the new standards and assessments, will continue throughout the implementation phase:

- In April 2010, convened the P-16 Steering Committee for Unbridled Learning Summit (a convening to discuss Kentucky's

education strategy going forward) and determined intersection points with Governor Beshear's Transforming Education in Kentucky initiative

- Provide follow-up trainings after Unbridled Learning Summit; hosted by the Council and the Department, these workshops will enhance faculty understanding of the standards and how to align the new standards with post-secondary curriculum
- Refocus the Instructional Support Network to include P-16 instructional leaders (i.e. university faculty, the Network, Educational Cooperatives and partners), with continuing P-16 Network activities to include monthly electronic newsletters and webinars to discuss topics of interest and common issues around standards
- Establish higher education networks or expert teams, including identifying lead faculty to participate in content area networks, described below in Activity 3, and trainings based on new standards (initiative led and facilitated by the Council)
- Establish a "Classroom Assessment for Learning" course in colleges of education that supports pre-service teachers' understanding and implementation of standards and assessments, specifically the way formative assessments allow teachers to make immediate instructional adjustments on student learning

This coordination of education efforts will ensure that there is increased collaboration between K-12 and all public and private institutions of higher education and ensure that all educators have an understanding of the new standards. In addition, the Educational Leadership Development Collaborative, which consists of 15 Kentucky educational organizations committed to advancing student achievement, will also direct their advocacy and work on these efforts.

Activity 3: Building networks to deconstruct the standards and create high-quality, aligned instructional supports

Preparing for the standards deconstruction process

Now that the standards have been adopted, they will need to be analyzed and "deconstructed" so that all Kentucky educators are

able to translate them into effective instruction and assessment for all students. Deconstructing is the process of identifying the scaffolding of learning required to master a particular standard. The Core Oversight Team (which includes Department/Council/Education Professional Standards Board staff, content consultants, faculty, Educational Cooperative and other agency leads) will establish the protocol for deconstructing the standards. In May 2010, network facilitators (content and pedagogical experts/master teachers from institutions of higher education, educational cooperatives, other educational organizations, and Department staff) began to identify the sequence of particular standards that will be deconstructed by the participating teacher leaders in each of the networks. In addition, the Department's Division of Secondary & Virtual Learning will work with Kentucky Education Television to plan for the documentation of the deconstructing process and its inclusion in an online module for broader use and trainings. This use of online technology infrastructure will ensure that educators in all areas of Kentucky, even the most geographically remote, will have access to resources for district leadership teams and school-based professional learning teams. As described next, during Summer and Fall 2010 regional networks will convene to deconstruct all new Mathematics and English/Language Arts standards and identify and create high-quality tools and resources to ensure teachers are supported in the implementation of the standards.

Establishing content and administrator leadership networks

Educator networks have historically been a key element of Kentucky's reform agenda. Moving forward, we will build upon and continue to leverage these regional networks to ensure full implementation of the new standards and assessment system. Using a network approach enables the capacity building that is essential to strong implementation with fidelity by facilitating local practice-sharing and collaboration, establishing mechanisms for continuous communication and follow-up (as opposed to a one-time training session), increasing access to expertise so that questions can be answered more quickly than if they were to be channeled through the Department, and increasing leadership opportunities throughout the education system. The vision for the networks is that each will develop and sustain a professional learning team and community of content area leaders and administrators that possess a

strong content knowledge base, knowledge of effective pedagogical content skills and the leadership competencies needed to scale up highly effective teaching and learning practices. Given the Commonwealth's commitment to implementing Senate Bill 1, network participants will engage in a long term study of the revised standards and assessments to identify and design high-quality resources for administrators to support and teachers to successfully implement the new standards in every school and classroom. (*see Appendix Z - Visual of Network System)*

For every content area, there will be a content area leadership network (e.g., "Science Leadership Network") which will be comprised of nine regional sites, each supporting teams from approximately 25 school districts. Every Kentucky district can enroll at least an elementary, middle, secondary and/or special education teacher leader/administrator to each network. These networks will arise out of and be supported by eight regional Educational Cooperatives and a ninth in Jefferson County, served by the Gheens Professional Development Academy. Each of the nine regional networks in each content area will be led by a four-member team of facilitators (e.g., two Department staff people, an Educational Cooperative consultant, and a member of higher education faculty). One Department staff facilitator for each network site will be housed at the respective educational cooperative to act as a coach and mentor, assisting network participants as they implement effective practices in their own schools/districts. Please see section (A)(2) for more description on the role of Kentucky's Educational Cooperatives and Jefferson County Public Schools in this regard. In addition, each district will name one educator in each school as the key point of contact. These individuals will be responsible for further assuring that timely information from the state agency gets communicated to each and every teacher. This will lead to clarity of message and higher implementation fidelity so that every student will have the benefit of being globally prepared.

In May 2010, the Department identified and met with network and design team leads to establish the Core Oversight Team referenced above in Activity 3. This team, which will include representation from all nine networks, a Department staff person (the Network Consultant) and key partners like Kentucky Education Television, is charged to:

- Ensure consistency and coherence among all of the different content/administrative networks by designing plans for the networks and identifying facilitators for each content and administrator network
- Review protocols for learning teams to ensure quality control and coherence and consistency for messages surrounding the characteristics of highly effective teaching and learning
- Identify resources and processes for deconstructing of standards and design of formative assessments
- Develop leadership experiences for facilitators and participants in the networks
- Identify and annotate exemplars of student learning and teacher resources to populate the Continuous Instructional Improvement Technology System described in (C)(3)

Additionally, the Core Oversight Team identified Department field staff (i.e., Content Specialists), to be housed at Educational Cooperatives, Jefferson County Public Schools, and/or other educational agencies, to support implementation of school-based professional learning teams. These professional learning teams will work with district representatives that are part of the regional content and administrator leadership networks, and will provide the local infrastructure for continuous professional learning and collaboration to ensure implementation with fidelity and usage of the supports developed by the leadership networks (*more detail below in Activity 4 and in (D)(5)*).

Creating high-quality resources aligned to the new standards and assessments

Beginning in July 2010, the content area leadership networks, led by the Core Oversight Team, will work to create or identify resources and online materials to facilitate learning for a variety of audiences. These resources will include:

- Deconstructed standards (e.g., learning targets)
- Aligned instructional resources (e.g., lessons, units, materials)
- Vertical and horizontal alignment documents (e.g., curriculum maps, pacing guides)

- Formative assessments, measures and benchmarks
- Progress monitoring tools
- Teacher and principal informal observation and formal evaluation information
- Student work samples
- Video and podcasts of university faculty explaining critical concepts in particular content areas

These resources will be made available through the Continuous Instructional Improvement Technology System (CIITS) for teachers to access directly *(more detail below in Activity 4 and in section (C)(3))*. These resources will be developed and incorporated into the online system on an ongoing basis (through an established vendor), beginning with tools for the new Math and English/Language Arts standards during Summer and Fall 2010.

Activity 4: Ongoing professional learning around the new standards and assessments

Given Kentucky's commitment to Senate Bill 1, and its ambitious implementation timeline for the new standards and assessments, the work above describes how the State will enable successful implementation for all LEAs by establishing a statewide system of professional learning networks. These networks, along with the CIITS, will provide a support system to ensure that all teachers and principals are continuously supported. Additionally, participants in the existing administrators' CEO network will serve as mentors to other superintendents who have not to date been engaged in their work around continuous school improvement efforts. The State will be working with Dr. Tom Gusky, a prominent education researcher, to develop and evaluate effective professional learning models for teachers and principals. While there is more detail on Kentucky's approach to continuous professional learning in (D)(5), the facets of the system most critical to standards and assessments are the networks described above and the CIITS and professional learning teams as described below.

The Continuous Instructional Improvement Technology System (CIITS)

It is the Commonwealth's vision that every Kentucky teacher will have a full set of tools available at his/her fingertips to improve every student's learning. As a teacher prepares for a lesson, through the CIITS, he/she can access each student's data to identify which concepts need further exploration and attention in the classroom, access exemplary lesson/unit plans, and even view podcasts from master teachers or higher education faculty on key concepts across the standards. This online environment will allow educators to engage in dialogue about educational practice through social networking tools. Teacher use and application of the CIITS in their daily classroom practice will become an important aspect of their ongoing professional learning.

Once the first set of high-quality, aligned instructional tools have been finalized by the end of August 2010, they will be made available through the CIITS as described in more detail in (C)(3). This instructional improvement system will include the following components:

- **Assessment Resources** – provides rich information on student learning by allowing users to build, deliver, score, and report on assessments for *formative* and *summative* purposes across all relevant levels of assessment use: *classroom* assessment, *interim benchmark* assessment, and annual *accountability* testing; supports assessment *for* learning by putting the results of these frequent assessments into teachers' and students' hands, increasing the descriptive feedback to help students and their teachers truly understand what they are learning and also includes a standards-based grade book, student portfolios, and multiple measures reporting
- **Instructional Resources** – provides a wide range of tools pertaining to instructional strategies (e.g., videos of highly-effective lessons), interventions, and student learning resources, incorporating existing resources that Kentucky teachers already have and use (e.g., Encyclomedia, Kentucky Learning Depot, and Kentucky Virtual Library) with newly created resources
- **Effectiveness and Evaluation Resources** – provides teachers and principals with electronic anytime access to all the inputs into their individual efficacy / growth portfolios, including informal observations, self reflections, performance tasks, scores

on the rubrics and ratings categories, and local evidences inputted by teachers and principals (all in accordance with privacy laws and regulations);

- **Professional Development Resources -** teachers will also be able to access customized resources and professional learning opportunities themselves that align with the portfolios and professional growth needs, e.g., resources such as online learning courses for job-embedded professional development, including custom publishing tools to support collaborative development and sharing of local content among professional learning teams and networks
- **School and District Improvement Resources** – allows schools and districts to create, monitor and evaluate the effectiveness of their improvement efforts. The system will allow for continuous improvement planning within schools and across districts. It will also allow school and district audits to be conducted in a more efficient manner and for schools and districts to track results against a variety of data sets

Professional learning teams

Professional learning teams, which are defined as groups of practitioners that meet and continuously connect regarding specific areas of education practice, will be a key component of the *Classroom Assessment for Student Learning* approach. Kentucky has been working closely with Rick Stiggins to establish trained facilitators who will guide and facilitate the work at the school level. With the support of the GE Foundation, Kentucky now has over 850 trained learning team facilitators, and an *Assessment for Learning Facilitators Network* is being developed to provide ongoing follow-up sessions both online and through scheduled meetings of networks throughout the state. These trained educators are asked to facilitate ongoing learning teams in schools, colleges, and universities to deepen understanding of sound assessment practice and its relationship to student motivation and to learn how to integrate classroom assessment for learning into the teaching and learning process in concrete and specific ways. The networks described in Activity 3 are all regional professional learning teams, housed within the regional Educational Cooperatives and Jefferson County Public Schools. While the content area/administration leadership networks will be key for statewide

collaboration around the new standards and assessments, individual district level leadership teams and school-level professional learning teams will provide the infrastructure to ensure ongoing professional learning, collaboration, and successful instruction aligned to the new standards in every classroom statewide. Kentucky will ensure fidelity of implementation by maintaining KDE-employed staff at each of the regional sites, with centralized and coherent direction coming from the state.

As described above, over the past year the Department has emphasized and advocated for the use of professional learning teams, but full adoption has been variable across Kentucky's districts and school. As professional development is re-conceptualized over the next year (*see (D)(5) for more detail*) it will be very important that all Kentucky schools fully implement the professional learning team structure, with support provided through the Educational Cooperatives and Jefferson County Public Schools (in particular, through the partnerships established with organizations or experts who can support professional learning team implementation). The Department will support districts to provide each school with the guidance and support necessary to build and maintain effective professional learning teams, including meeting agendas and resources from district leadership teams and Educational Cooperatives and Jefferson County Public Schools. School-based professional learning teams will also provide the forums to discuss student data, provide professional development, and to implement future initiatives. Because this new approach to ongoing professional learning will require a different use of teacher time in many of the Commonwealth's schools, the Department is working with key legislators to draft new legislation to be introduced in the 2011 General Assembly that will enable districts and schools to organize teachers' schedules to support professional learning team implementation and job-embedded professional learning. (*see Appendix JJ: Recommendations for Changes to Calendar and Professional Development Statutes*)

Activity 5: Implementing a balanced assessment system

Through an ongoing partnership with Rick Stiggins, Kentucky has adopted the following definition of a balanced assessment system, recognizing that assessment is, in part, the process of gathering evidence of student learning to inform instructional

decisions: Local district assessment systems serve to promote student success when they inform all the decisions that support and verify learning; that is, when the system serves both formative and summative purposes across all relevant levels of assessment use. Those levels of use include classroom assessment, interim benchmark assessment, and annual accountability testing. Senate Bill 1 requires the Department to re-conceptualize and rebuild the student assessment system in Kentucky to create a new balanced assessment system. This system will include many types of assessment, including authentic assessment, to ensure that educators, students, parents, and others understand what students are learning and can best support that learning. Key elements of the new system are detailed more thoroughly in Senate Bill 1, but it is worth reprising here the seven working principles from the Plan for a State Consortium Developing Balanced and Comprehensive Assessments of the Common Core Standards, as these principles will guide the Commonwealth's implementation efforts:

1) "Assessments are grounded in a thoughtful, standards-based curriculum and are managed as part of a tightly integrated system of standards, curriculum, assessment, instruction, and teacher development.
2) Assessments elicit evidence of actual student performance on challenging tasks that prepare students for the demands of college and career in the 21st century.
3) Teachers are involved in the development of curriculum and the development and scoring of assessments.
4) Assessments are structured to continuously improve teaching and learning.
5) Assessment and accountability systems are designed to improve the quality of learning and schooling.
6) Assessment and accountability systems use multiple measures to evaluate students and schools.
7) New technologies enable greater assessment quality and information systems that support accountability."

Classroom Assessments – Curriculum-embedded classroom assessments will enable teachers to continuously assess student learning and adjust ongoing teaching to improve students' achievement of intended educational outcomes. They are not intended for

evaluative and accountability purposes. (The data from classroom assessments is to inform teachers and students; the State will not collect this information.) As part of the *Classroom Assessment of Student Learning* approach, teachers will continuously work individually and together in professional learning teams to identify curriculum-embedded sources or create classroom assessments that measure the range and depth of student learning of the standards and identify where students have reached mastery and where they are struggling. The basic approach is as follows: start every assessment with a clear purpose, start with a clear learning target, develop a sound assessment for that context, and communicate results effectively. Teachers and students will use these ongoing, embedded assessments to truly understand what students are learning, and to increase student self-assessment and opportunities for students to communicate about their evolving learning. Many Kentucky educators have already attended training sessions on this new approach to formative assessment; further training and follow-up will take place through the professional learning work described above in Activity 4.

Interim Benchmark Assessments - There is a significant body of research supporting the efficacy of formative classroom and interim assessment as the levels of application that impact student learning most. Interim benchmark assessments will be formative and local, serving to help local faculties understand how each student did in mastering each standard, so they can summarize this information to see what standards students struggle to master and then improve instruction on those standards right away. Furthermore, these interim assessments will enable schools and districts to take stock of students' understanding of the standards at a few interim checkpoints over the course of the year, so that all levels of the educational system can make informed decisions where adjustment of the teaching and learning approach may be warranted. (This information will be critical to inform teachers and administrators at the student, classroom, school, and district levels; the State will not collect this data.) Given this approach to and purpose for interim assessment, Kentucky's students will take interim assessments at regular and specified intervals throughout the school year, showing progress toward mastery of standards. Some districts are early adopters of online, adaptive interim assessment tools; once the new standards are adopted, these districts, if they so choose, can continue to use these tools and vendors with whom

they have existing contracts, as long as the assessments are tied to the new standards. For those districts that do not yet utilize an interim assessment system, the Department, working with early-adopting districts that can help to identify potential vendors, will provide support to districts to design, refine and implement this system (and, as part of the assessments consortia included in section (B)(2), will partner with and learn from other states that plan to do the same.) Teachers will play a critical role in building and utilizing this system; as part of Kentucky's work with the State Consortium Developing Balanced and Comprehensive Assessments of the Common Core Standards described above and in section (B)(2), the State will support standards-driven systems that might include more comprehensive benchmark assessments complemented by collections of evidence that demonstrate students' abilities to meet certain standards within and across the disciplines. For Math and English/Language Arts, these systems will be developed by Fall 2010 to accompany the statewide rollout and implementation of the new standards.

Annual Assessments - Annual assessments will be common, comprehensive, cumulative assessments administered annually to measure students' mastery of the standards taught to them over a specific period. Thus, they are primarily summative in nature. They will be aligned with the Common Core standards and content, goals and academic expectations, and require students to demonstrate knowledge, comprehension, application and higher order cognitive skills. These assessments will align with those developed through the work of the multi-state consortia described in (B)(2). Because reading and math are critical instructional components that facilitate student development, the annual assessments of the Common Core standards will be linked to developmental scales in reading and mathematics (e.g., Lexile and Quantile Frameworks). As a result of the linking process, educators can incorporate the results into their instructional decision-making. And, as supported by the consortium, the Department will support districts interested in implementing locally designed and evaluated assessments that can be used for accountability purposes. The State Board of Education, at its December 9th meeting, approved the use of end of course assessments as a high school achievement measure. (Please note that given high school scheduling, these exams may not necessarily be annual) The creation and adoption of the Common Core assessment system, including end of course assessments, will be complete by January

2012 for implementation in Spring 2012.

A necessary precursor to implementing this new balanced assessment system is to build assessment literacy. All educators and stakeholders need a common vocabulary in order to understand how a balanced assessment system directly impacts teaching and learning. Assessment literate educators know:

- The content and skills they are assessing
- Why they are assessing
- How best to assess the skill/concept
- How to best provide students with examples of proficient work
- What can potentially go wrong with assessment
- How to avoid the pitfalls

Teachers who are assessment literate are more likely to provide interventions to close learning gaps. To ensure assessment literacy, the following activities will commence in February 2010 (led by the Department, unless otherwise noted):

- Prepare documents with assessment literacy definitions to be distributed through the Department website to be available for stakeholders to use in various settings
- Develop/provide webinar series for P-16 educators to understand and implement new approach to formative assessment (i.e., classroom assessments for student learning)
- Create a crosswalk of the assessment system, including informational packets and placement on the Department website
- Create an infomercial that can be broadcast on public television and radio that informs stakeholders of the importance of the balanced assessment system to Kentucky
- Provide training to every District Assessment Coordinator through face-to-face meetings, webinars, and online assessment

literacy modules

- Provide training to regional Educational Cooperatives and Jefferson County Public Schools through face-to-face meetings, webinars, and online assessment literacy modules
- Implement a new course for pre-service and graduate level students on effective formative assessments
- Develop a system for providing in-depth professional learning for teachers and administrators in the use of formative assessment as an ongoing diagnostic means for improving student engagement, differentiation of instruction and instructional improvement
- Provide support to districts for the development of high-quality, curriculum-embedded, formative and interim assessments

Activity 6: Increasing access to challenging courses

One challenge facing Kentucky today is that courses required for graduation are not of consistent content and rigor across the state. At the Kentucky Board of Education meeting in December 2009, Commissioner Holliday proposed, and the Board unanimously approved, for the Department to work with the appropriate stakeholders to develop an administrative regulation requiring uniform academic course codes so that at every school across the Commonwealth, each course code will refer to the same standards and content. There is also, however, a need to increase the access to challenging courses in innovative ways, particularly given Kentucky's rural nature. In the Kentucky state legislature's 2008 regular session, Senate Bill 2 was passed, requiring a set of activities aimed at increasing all students' access to challenging coursework, particularly in STEM subject areas.

The new standards will be fewer, clearer, and higher, and while Kentucky's educators will be transforming their instruction to align to these new standards, the Commonwealth's rural nature and associated capacity constraints will require more innovative approaches to ensuring all students have access to challenging courses to enable them to meet the new standards and graduate ready for college and career. Through each of the programs described below, Kentucky will expand the provision of challenging courses.

- *AdvanceKentucky* (AdvanceKY) is a joint STEM-related effort by the Kentucky Science and Technology Corporation and the Department, in partnership with the National Math and Science Initiative, that has shown remarkable preliminary gains in the diversity of students engaged in Advanced Placement (AP) courses and successful on AP exams. AdvanceKy helps schools use a variety of approaches to boost AP test results, including opening AP classes to more students, counseling students, providing supplies and equipment, providing intensive training for AP teachers and offering financial incentives to teachers for successful student outcomes. While AdvanceKY has been supported by a variety of public and private funding sources, Race to the Top funding will enable the program to expand by adding an additional 10 schools per year over the next four years for an additional 40 high schools total. Furthermore, the focus of this expansion will be rural, high-poverty, and/or high-minority districts and schools. (*Please see the Priority 2 STEM section for more detail on STEM initiatives, and Appendix KK: AdvanceKentucky & Race to the Top for more detail on this program*.)
- *Project Lead the Way* is a nationally-recognized middle and high school curriculum utilizing projects and problem-based contextual learning focused on the STEM content areas. Project Lead the Way's aim is to cultivate student interest in pursuing careers in engineering, advanced manufacturing, biomedical sciences, and energy. To ensure continued economic competitiveness, Kentucky needs more students trained and qualified for careers in these areas. Project Lead the Way makes science, math, engineering and technology engaging for students and encourages those who may have overlooked a STEM career by opening the door to these options. Project Lead the Way focuses on the development of logical, problem-solving skills, thereby preparing students for STEM-related postsecondary education or the technology workforce. The success of Project Lead the Way depends on integrated partnerships between elementary, middle and high schools, colleges and universities, and the business and government sectors. Similar to AdvanceKY, Project Lead the Way has been supported by both public and private funding sources. Future investment in this program will enable systemic investment in effective teaching and new equipment, enabling growth to an additional 80 public middle and high schools in each of the next four years. The focus of this expansion will be rural, high-poverty, and/or high-minority districts and schools. (*Please see the*

Priority 2 STEM section for more detail on STEM initiatives, and Appendix LL: Project Lead The Way & Race to the Top and Appendix MM: SREB Research Report on Project Lead The Way for more detail on this program.)

- The *Kentucky Virtual School* is a robust online infrastructure providing a range of online, e-learning services to help schools and teachers meet their goals for high quality teaching, high student performance and a strong and supportive environment for every child. This virtual platform is especially important in Kentucky due to the state's rural nature and the geographic isolation of many of its citizens. By integrating Kentucky Virtual School services in their programs, districts, schools, and teachers can find new ways to provide:
    - Access to an expanded curriculum for every student
    - Advanced Placement and foreign language courses
    - Options for credit recovery
    - Increased instructional support for at-risk students
    - Expanded choices to meet gifted and talented students' needs
    - Professional development to build instructional capacity

  The Department will partner with Kentucky Education Television and existing virtual school collaboratives to expand Math and English/Language Arts online course offerings beginning in summer 2010, so that challenging courses cover all new standards by Summer 2011. Additionally, the Department will partner with community colleges to provide community college coursework online by August 2011.
- Finally, Kentucky has instituted the Individual Learning Plan – an innovated, technology-driven student planning program that gives the opportunity for students, parents and their teachers to devise customized learning paths to college and career so that students can realize their full potential. Through an authentic participation in their Individual Learning Plan, students can identify their need for the types of challenging coursework described above and can learn about the course options they have. The Individual Learning Plan is also a way for students, parents and teachers to track student performance (e.g., with

respect to the Common Core standards as well as ACT scores) and identify the additional supports a student may require to ensure successful learning and progress toward college and career readiness. The platform enables students to connect with college admissions offers. The Individual Learning Plan will also be used as a repository for student work samples and exemplars that may be used to demonstrate mastery of particular content standards. Kentucky's Governor and First Lady are committed to future public service announcements to continue to grow adoption and usage of the Individual Learning Plan among all students statewide.

Performance Measures Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Percentage of teachers who are confident in their understanding and teaching of the Math and English/Language Arts standards	N/A	60%	75%	85%	100%
Percentage of teachers who are highly-satisfied with the high-quality instructional tools and resources (for Math and English/Language Arts) available to them	N/A	N/A	75%	85%	100%

For the (B)(3) plan, the Department has defined the performance measures above to understand teachers' perceptions of their own teaching of the new Common Core standards, and their use of the instructional tools and resources available to them as part of the implementation of the new standards. We expect that by 2014, all teachers will be confident in their understanding and teaching of the Math and English/Language Arts standards and will be highly-satisfied with the tools and resources available to them, and that this will drive increases in the effectiveness of Kentucky's teaching pool, and lead to increases in student learning statewide.

(C) Data Systems to Support Instruction ***(47 total points)***

State Reform Conditions Criteria

(C)(1) Fully implementing a statewide longitudinal data system *(24 points – 2 points per America COMPETES element)*

The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).

In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.

Evidence:

- Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State's statewide longitudinal data system.

Recommended maximum response length: Two pages

Introduction and context

Historically, Kentucky has been a leader in education technology infrastructure development, leveraging that common infrastructure to address persistent resource inequities across geographic locations, and enabling both educators and students to take full advantage of these tools. In the 1990s, the Commonwealth invested over $600M in the creation of the Kentucky Education Technology System, a statewide Information Technology infrastructure for public schools. One of the greatest values of education technology is being able to address the different teaching and learning styles of teachers and students through enhanced communication and sharing of information. Kentucky is a national leader in providing both high-speed, quality Internet access and intelligent classroom tools to our students and teachers, which allows Kentucky to do unique things that most other states cannot. Data from our FY10 Technology Readiness Survey demonstrate some of Kentucky's important accomplishments along this front:

- 100% of Kentucky's school districts have a high-speed Internet connection coming into them via the Kentucky Educational Network

- Kentucky has electronic content caching in 100% of school districts which allows districts to build local electronic libraries of content they will use frequently in the classrooms in their district. This approach increases the access speed and reliability of content available to the student and teacher when they want it, ensuring a positive experience
- Kentucky is the only state in America that has Active Directory in place for 100% of the classrooms, which allows some very sophisticated instructional and administrative activities regarding management of users and educational resources in a very efficient and effective way that no other state will be able to do
- 80% of Kentucky classrooms use either the electronic projector or large screen plasma/LCD to display electronic content for teaching and learning (e.g., Kentucky Educational Television's Encyclomedia, Internet web sites, and formative testing)

Kentucky was also the first state to implement both standardized district financial reporting and student/school management data systems in all districts and schools, thus enabling complete vertical integration of data from these systems.

Building on those successes, in 2006 the State began the development of the Kentucky Statewide Longitudinal Data System (KY SLDS) with the help of a first round grant from the Institute of Education Sciences (IES). There were two main **goals** for building the statewide longitudinal system:

1. To provide meaningful data to <u>improve instruction and overall effectiveness at all levels of the system</u>
2. To streamline data collection and reporting to <u>save time and resources and to eliminate the resource gaps between districts across the state</u>

The Commonwealth wanted to put critical data in the hands of decision-makers at all levels to focus on improving student learning by improving instruction:

- Teachers could access more complete data to enable differentiated instruction
- Principals and superintendents could analyze patterns across classrooms and schools to identify core content that students had not yet mastered

- Curriculum administrators could analyze program effectiveness
- State administrators could analyze the impact of programs on student achievement to more effectively allocate funding and guide Kentucky's educational environment so that it meets the needs of all children to be successful
- Postsecondary educator training programs could be research centers for continuous teacher training as well as partners in the creation of professional development and teacher retention activities

Additionally, analyses showed that data collection and management processes at that time were in need of dramatic improvement. Educators across Kentucky spent too much time searching and collecting data from multiple owners, which meant less time was devoted to improving instruction. Creating one system at the state level would reduce the time burden on districts and generate huge cost savings by avoiding duplicate efforts across the 174 districts. Most importantly, a statewide data infrastructure would mean all districts had access to the same common resources, thereby ameliorating the resource gaps between small (often rural) districts and larger (often urban) districts.

The State's higher education coordinating board, the Council on Postsecondary Education (CPE) already has a longitudinal data system with more than thirty years' of student unit records of enrollments, demographic data, and completions data. The Education Professional Standards Board (EPSB) also has their own system of records about teachers in pre-certification and certification status that also goes back a number of years. Together the Kentucky Education and Workforce Development Cabinet, the KDE, EPSB and CPE have formed the P-20 Data Collaborative, which serves as a means of and provides the authority for linking K-12, postsecondary, and teacher data together so these data systems can communicate to provide information that informs both policy as well as classroom level instruction to improve education throughout the Commonwealth.

(C)(1) Current status of America COMPETES Act elements

Our statewide longitudinal data system has all twelve America COMPETES Act elements:

1. A unique statewide student identifier that does not permit a student to be individually identified by users of the system
    - The Kentucky Department of Education implemented a statewide, unique, student identifier in 2005, prior to the development of an SLDS. Implementation of the identifier was facilitated by the Commonwealth's single, statewide student information system (SIS)
2. Student-level enrollment, demographic, and program participation information
    - Student-level enrollment, demographic, and program participation information have been included within the SLDS since 2007. These data are currently populated from the Kentucky Core Content Test booklet information as well as from the student data collected by the statewide SIS
3. Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P–16 education programs
    - Detailed data describing the points at which students enter and exit the P-12 educational environment are collected by the statewide SIS and entered into the SLDS. Work is being completed on updates to Kentucky's High School Feedback Report, which will provide similar information for post-secondary effort.
4. The capacity to communicate with higher education data systems
    - Student transcripts provided to Institutions of Higher Education contain the unique K-12 student identifiers, which are collected as students enter the State's postsecondary institutions and serve as the primary key that the State uses to link K-12 and postsecondary student level records. Various other ad-hoc systems already provide the capacity to share data electronically between P-12 and postsecondary systems for specific purposes. These systems have been able to contribute data, such as High School feedback data, into the KY SLDS.
    - The P-20 Data Collaborative was formed in 2009 to operationalize and facilitate linking data between the K-12, postsecondary, and teacher certification data systems in compliance with FERPA. The Collaborative has brought

together staff from each of the agencies with the Secretary of Education to address the legal, political, and fiscal issues that prevented easily sharing data in the past. Additional agencies including Workforce and the State's financial aid authority are expected to join the Collaborative over time as funds become available to incorporate data from their systems. Data have been exchanged between the agencies' data systems in the past on an "as needed" basis to evaluate the State's GEAR UP program and issues related to teacher licensure. The Collaborative provides the foundation that allows data from each of the agencies to seamlessly link together to address cross-sector information needs. A new version of the Kentucky High School Feedback Report is being finalized and will be released in Summer 2010 through the work of the agencies and the Collaborative. K-12 and postsecondary student level data have been matched for the first time at a statewide level earlier this year to provide the basis for analyzing high school data as predictors of postsecondary student outcomes. While each of the State's education agencies have their own data systems, these systems are able to communicate and exchange data using standard formats to meet the education information needs. The Collaborative is in the process of building a P-20 data repository that is being funded through an IES SLDS grant which will further streamline this process

5. A State data audit system assessing data quality, validity, and reliability
    - Data quality audits currently take place primarily at two places: A) the primary point of data collection, such as the state-level SIS repository; and B) at the KY SLDS, where data from various systems are collected together for analysis and reporting. Similar data from different systems can be reviewed for consistency and to make sure they match previous formats
6. Yearly test records of individual students with respect to assessments under section 1111(b) of the ESEA (20 U.S.C. 6311(b))
    - Test records for individual students have been available within the SLDS since 2007. Current assessments include the Kentucky Core Content Assessment, ACT, PLAN, and Explore, and the Kentucky Occupational Skill Standards Assessment

7. Information on students not tested by grade and subject
    - Data on students not tested by grade or subject currently exists within the SLDS. It is collected as part of the annual Kentucky Core Content Test cycle and provided to the KY SLDS along with student-level assessment results
8. A teacher identifier system with the ability to match teachers to students
    - The KY SLDS contains detailed course and class information along with detailed and unique information about educators and students. The course and class information provides the common link between students and teachers.
9. Student-level transcript information, including information on courses completed and grades earned
    - Student-level course completion and grades earned data are collected by the student information system and provided to the KY SLDS. Student transcripts provided to Institutions of Higher Education contain the unique student identifier
10. Student-level college readiness test scores
    - Kentucky is focused on a model of continuous improvement. Each stage in a student's academic career sets the groundwork for each subsequent stage. Keeping that in mind, student performance on the Explore, Plan and ACT assessments is currently available within the KY SLDS and are utilized in multiple reports and analytics. Performance on the Explore and Plan assessments are direct predictors of performance on the ACT, which is itself a predictor of performance in the postsecondary environment. Corrective action based on results of Explore and Plan should increase student opportunities for success in postsecondary education
11. Information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework
    - Kentucky's High School Feedback Report has been highlighted by the Data Quality Campaign and other organizations as a model for other states to follow. These reports are generated for every high school in the state and include a variety of information regarding student enrollment, measures of preparation including information about whether students take remedial coursework, and other measures of student success including college grades and persistence. These reports

represent a joint effort between KDE, CPE, KHEAA, and other groups. Kentucky currently collects other data to aid in the determination of adequate student preparation for postsecondary success. For example, online access to Individual Learning Plans (ILPs) allow middle and high school students and their parents to plan and monitor preparation for high school graduation, college, and career. Data on participation in dual credit and Advanced Placement courses also are included in the student profile, as well as other likely contributors, such as participation in Extended School Services.

12. Other information determined necessary to address alignment and adequate preparation for success in postsecondary education

- Kentucky's P-12 and postsecondary sectors have been collaborating for the past decade resulting in a number of successful college access and success initiatives such as Project Lead the Way, a model program to prepare high school students to successfully transition as engineering majors in college; a state level Science, Technology, Engineering, and Mathematics (STEM) task force that developed a statewide P-20 strategic action plan; a statewide GEAR UP program to increase college-going rates; among many others. Kentucky has a statewide remedial and developmental education policy that identifies students with remedial needs based on their ACT or other standardized exam scores by subject. Kentucky's legislature passed Senate Bill 130, which required all public school students beginning in the 2007-2008 academic year to take the EXPLORE, PLAN, and ACT standardized tests in grades 8, 10, and 11 respectively. This helps to ensure that teachers and school staff can identify students who are not on track to be "college ready" while they still have time to provide interventions. Through the P-20 Data Collaborative, Kentucky's schools are able to learn from information that goes beyond the predictive scores from these standardized tests to include data about actual postsecondary performance and success to identify where the P-12 and postsecondary curricula need to be better aligned.

(*See Evidence for (C)(1) in Appendix NN: Documentation of America COMPETES Act Elements in Kentucky's Statewide Longitudinal Data System Overview for a guide to the documentation provided and Appendix OO through Appendix VV for specific pieces of documentation of these elements*)

Reform Plan Criteria

(C)(2) Accessing and using State data *(5 points)*

The extent to which the State has a high-quality plan to ensure that data from the State's statewide longitudinal data system are accessible to, and used to inform and engage, as appropriate, key stakeholders (*e.g.*, parents, students, teachers, principals, LEA leaders, community members, unions, researchers, and policymakers); and that the data support decision-makers in the continuous improvement of efforts in such areas as policy, instruction, operations, management, resource allocation, and overall effectiveness.[5]

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Two pages

Introduction and context

Education stakeholders across the state have increased their requests for richer and more accurate data spanning across years to make informed strategic decisions about how best to improve instruction from the classroom up through the system. From the start, the Kentucky Statewide Longitudinal Data System (KY SLDS) was developed to put critical data into the hands of decision-makers at all levels to positively impact instruction and student learning and success. KY SLDS allows those increasing requests to be answered while reducing the burden on Department of Education staff. With a long history of reform committed to high standards for all students and accountability for their achievement, since 1992 every school in Kentucky has received its student achievement results for every subject broken out by key demographic groups. Yet accurate data and meaningful information, key factors in the continuous improvement of the Commonwealth's educational system, were not linked *over time* in a single data system. With robust data and information over time, stakeholders will be able to make more effective decisions to improve instruction and student

[5] Successful applicants that receive Race to the Top grant awards will need to comply with the Family Educational Rights and Privacy Act (FERPA), including 34 CFR Part 99, as well as State and local requirements regarding privacy.

performance – teachers will have access to a more complete data set to enable differentiated instruction, principals and superintendents will be able to analyze patterns across classrooms and schools to identify core content students have not yet mastered and program effectiveness, and state administrators will be able to analyze the impact of programs on student achievement to more effectively allocate funding.

With the help of an award during the first round of grants from the Institute of Education Sciences (IES) in 2005 and a second award in early 2009, the Commonwealth has built a robust statewide longitudinal data system infrastructure that collects, integrates, and stores key data in a statewide data warehouse. This initial funding supported the building of the Kentucky Statewide Longitudinal Data System (KY SLDS) as a K-12 enterprise. The second award is funding design necessary to expand the system to P-20 – integrating robust data from preschool (including from the Kentucky Early Childhood Data System) through postsecondary. The Kentucky P-20 Data Collaborative – a partnership between the Kentucky Department of Education ("the Department"), the Council on Postsecondary Education ("the Council"), and the Education Professional Standards Board ("the Standards Board"), chaired by the Secretary of the Education and Workforce Development Cabinet – is leading this work.

With the foundational infrastructure now in place, stakeholders have begun to access that information for use across the state. In Fall 2009, superintendents, district assessment coordinators, and chief information officers began accessing KY SLDS data at the aggregate school and district level, with principal access opened up early in 2010. Also in early 2010, the remaining district assessment coordinators not already in the system gained access to individual student-level information, to analyze and report out – an important step as we work toward every *teacher* and *principal* having access to their individual students' data, in accordance with privacy laws, so they can use this data to improve student achievement. Kentucky is also already reporting select KY SLDS data (e.g., ACT scores, summative state test scores, and transcripts) through the Individual Learning Plans – online education planning tools that enable middle and high school students, their parents, and their teachers to track their individual progress and preparation

for college and career. The Department has begun providing initial online trainings for district administrators in the use of the KY SLDS data. It also began the first phase of data steward and management training at the agency level to improve the culture of data use and data-driven decision making across the Department. Data stewards and data managers have been identified across the Department offices and they have received training in their roles and responsibilities, namely to ensure accuracy of the data collected and reviewed across Department offices and to enhance the information reporting process through staff development and collaboration with the various offices and programs responsible for producing data and information. (*See Appendix WW: Roles and Responsibilities of Data Stewards and Data Managers for a more detailed description of the roles and responsibilities of data stewards and data managers*) Furthermore, the Department is currently developing the infrastructure necessary to provide the General Assembly, at its request, access to the KY SLDS and training on the use of the system. In the meantime, the General Assembly's research arm, the Legislative Research Commission, was provided access prior to the 2010 legislative session. Not only will access to KSLDS provide the Legislature with more immediate access to educational data, it will also free up Department staff time. While providing state legislators with access to the KY SLDS may seem unconventional, it underscores both the high value placed on access to data by Kentucky's Legislators and the ease of use the KY SLDS.

The **overarching goal** of our past and future work is that stakeholders across Kentucky:

- Access meaningful longitudinal information at any time through an online portal log-in based on their role and needs, and
- Use that information to improve the system and student outcomes for all students

Activities

Building on successes to date, Kentucky will engage in three principal **activities** over the next several years to accomplish the State's goals.

Activity 1: Expand the Kentucky Statewide Longitudinal Data System (KY SLDS)

Robust, targeted, longitudinal data across the P-20 and workforce environments is a critical enabler of the work across the four reform areas. For example, integrating teacher and principal preparation and certification data from the Standards Board with the Department's P-12 data is a prerequisite for reporting the effectiveness of teacher and principal preparation programs *(for more detail, see (D)(4) reform plan narrative)*. KY SLDS data collection can also provide information on the effectiveness of professional learning opportunities by tracking teachers' and school leaders' experiences and student, classroom, school, and district progress. Therefore, the robust longitudinal data system is not an end in itself, but rather a critical means that enables the work across the comprehensive reform agenda. The Department will work with an existing vendor to expand the KY SLDS, where specific work has already been contracted and a shared knowledge base has been created. This vendor will then expand its scope to include all work outside of this shared knowledge base to ensure required expertise will be brought in as efficiently as possible. By late 2012, the planned KY SLDS expansion will be complete so that it houses all data sources currently identified as critical to the statewide reform agenda.

Expanding existing sources

The Commonwealth has already begun the process of expanding its KY SLDS data collection and storage to include additional postsecondary data from the Council and teacher and principal preparation and certification data from the Standards Board, through the existing 2009 grant. As described in (C)(1), the KY SLDS has already established the connection with postsecondary services and some postsecondary data, including those required for Kentucky's High School Feedback Report, are already contained in the KY SLDS. Going forward, additional postsecondary data will be added to the KY SLDS. To integrate much of the additional data into the KY SLDS, however, the data collection capabilities of these agencies must be enhanced and in some cases reengineered. As a result, stakeholders will be able to access student and educator information across the P-20 and workforce environments (in accordance with all privacy laws and regulations) to better understand what is working and what is not.

Adding new data

In addition to data from the Council and the Standards Board, Kentucky will also integrate preschool data from the Kentucky Early Childhood Data System as well as new student financial aid and workforce data from the Kentucky Higher Education Assistance Authority, the Office of Employment and Training, and the Office of Vocational Rehabilitation. In addition, the KY SLDS already contains some Career and Technology Education data, but will incorporate a much broader spectrum of career and technology data with the expansion of the KY SLDS proposed in this grant. Furthermore, Kentucky will be continually adding other important P-12 data sources into the KY SLDS and creating new reports that enable stakeholders to improve instruction – such as the Kentucky High School Feedback Report that provides postsecondary achievement information to high schools as feedback on their graduates. This additional data will provide a more complete picture of the success of students from preschool through college and career.

Ensuring effective data governance and data quality

Kentucky's multi-agency P-20 Data Collaborative ("the Collaborative") will oversee the process of merging P-20 data within the shared repository, create rules governing access to and use of the data, and make it available for reporting, analysis, and research. As additional agencies join the Collaborative, the need for a review of the existing governance structure to make any needed changes will be addressed. Kentucky will also be expanding its current data quality audit processes (including primary and secondary audits at two points in time) to implement a closed-loop data correction process that requires corrections to be made at the point of data entry, resulting in more robust and accurate data in the KY SLDS.

Activity 2: Improve accessibility

As the KY SLDS is expanded to include the necessary additional data, Kentucky will simultaneously be completing the Identity Management System to enable role-based access to the wealth of data in the longitudinal data system through the existing online

portal. To enable real improvement in instruction and student learning and success, teachers and principals need access to longitudinal data – including results on a variety of authentic assessments over time *(See (B)(3) plan narrative for more information on the various types of assessments)* – for their individual students (in accordance with privacy laws), not solely to aggregate data. Currently, granting such access is possible, but only through a time-intensive manual process which introduces risks deemed too high to the confidential student data. The Identity Management System, however, will automate the role identification of each educator and administrator and link him/her to his/her individual students in a secure fashion. All teachers, principals, and superintendents will have access to their individual students' longitudinal data through the existing online portal during the 2010-2011 school year. Once the Continuous Instructional Improvement Technology System (CIITS; *see plan (C)(3) for more information*) is in place, stakeholders will access KY SLDS data through the CIITS. The Department already provides longitudinal reports about student performance, finances, and educators and plans to improve them and create additional ones going forward, based upon the needs of educators and administrators, but tempered by the requirements of FERPA and other legislation that seeks to protect student privacy and rights**.**

Activity 3: Drive usage

Having a robust longitudinal data system infrastructure and providing access to even the most meaningful and user-friendly data will not by itself ensure that data are being used to drive continuous improvement at all levels of the system. Stakeholders must understand how to access and *use* those data to make better decisions in their current positions. For that reason the State is investing heavily in the development and facilitation of professional learning opportunities. These opportunities will focus on how to use the technology to access longitudinal data and most importantly how to then use those data to drive continuous improvement in student learning. Professional development for data driven decision making is already available via the Commonwealths' e_Learning Kentucky online training platform. Providing training in this manner has been shown to ensure greater quality of content and consistency of message while also returning more engaged than average participation. Stakeholders need to be able to identify what

data they need, how they can get that data, and how they will use the information to improve their decisions. Building on the Department's initial online and data steward trainings, in 2010, the Department will begin facilitating the development of professional learning opportunities to be provided through regional networks. *(See (B)(3) and (D)(5) reform plans for more detail on the comprehensive professional learning system, including the role of regional networks in effective delivery of trainings.)* The data steward training, for example, now needs to be delivered statewide to change the culture of data usage in local districts and ensure that data quality and validity is addressed from the ground up. The statewide district-level training (provided through the regional networks) will include instruction about how to maintain data quality, how to access data from the KY SLDS, and how to effectively use that data to improve student learning at the classroom, school, and district levels. [Note: Some work in this activity is included in Kentucky's ARRA SLDS grant proposal, while other elements are specific to this Race to the Top application – *See further detail in Project 2 Budget Narrative*]

Performance Measures Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Percentage of teachers who have role-based access to KY SLDS data	0%	50%	100%	100%	100%
Percentage of principals who have role-based access to KY SLDS data	0%	50%	100%	100%	100%
Percentage of district administrators who have role-based access to KY SLDS data	0%	50%	100%	100%	100%
Percentage of legislators who have role-based access to KY SLDS data	0%	50%	100%	100%	100%
Percentage of parents who have role-based access to KY SLDS data	0%	45%	70%	90%	95%
Percentage of teachers who use the KY SLDS system (measured by reports / audits)	N/A	50%	100%	100%	100%
Percentage of principals who use the KY SLDS system (measured by reports / audits)	N/A	50%	100%	100%	100%
Percentage of district administrators who use the KY SLDS system (measured by reports / audits)	N/A	20%	25%	30%	40%
Percentage of legislators who use the KY SLDS system (measured by reports / audits)	N/A	5%	20%	40%	60%
Percentage of parents who use the KY SLDS system (measured by reports / audits)	N/A	45%	70%	90%	95%

Given the extensive amount of work Kentucky has done already, we are well-positioned to achieve our goal of all of our teachers, principals, superintendents, and legislators having role-based access to the Kentucky Statewide Longitudinal System data by the end of the 2011-2012 school year. Parent access to longitudinal data lags behind the other stakeholder groups because their access largely depends on districts and schools to identify each parent and provide that access at the local level. Our targets for

superintendent and principal use of the SLDS data are equal to our targets for access to that data based on the belief that all superintendents and principals will need to use the system to access critical information on their schools and districts. Teacher use targets lag behind access targets assuming that a small percentage will not immediately get on board, and parent targets slightly lag behind access targets as well.

(C)(3) Using data to improve instruction *(18 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan to—

(i) Increase the acquisition, adoption, and use of local instructional improvement systems (as defined in this notice) that provide teachers, principals, and administrators with the information and resources they need to inform and improve their instructional practices, decision-making, and overall effectiveness;

(ii) Support participating LEAs (as defined in this notice) and schools that are using instructional improvement systems (as defined in this notice) in providing effective professional development to teachers, principals and administrators on how to use these systems and the resulting data to support continuous instructional improvement; and

(iii) Make the data from instructional improvement systems (as defined in this notice), together with statewide longitudinal data system data, available and accessible to researchers so that they have detailed information with which to evaluate the effectiveness of instructional materials, strategies, and approaches for educating different types of students (*e.g.*, students with disabilities, English language learners, students whose achievement is well below or above grade level).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note the location where the attachment can be found.

Recommended maximum response length: Five pages

Using Data to Improve Instruction

Goals	• Build a comprehensive on-line platform housing longitudinal data and instructional resources in a "one-stop" shop for the Commonwealth's educators to access • Launch and drive usage of the system such that data and resources are regularly used by teachers and leaders to improve instructional practice and by researchers to evaluate efforts underway
Action steps	• Using the foundation of the Kentucky Statewide Longitudinal Data System (SLDS), develop the Continuous Instructional Improvement Technology System (CIITS), including tools and resources in Standards, Assessment, Instructional Resources, Professional Development Resources, School & District Improvement, and Educator Effectiveness & Evaluation • With the leadership of a Department CIITS Implementation Coordinator in each of Kentucky's nine regional networks, develop an in-state cadre of 400+ statewide master trainers to provide professional development to schools, school councils, and districts • Integrate CIITS into Kentucky's Teacher and Principal Internship Programs so that all new educators are equipped to use available resources • Develop partnerships with researchers, such as the Partnership for Next Generation Learning, to evaluate identified programs, instructional materials and strategies
Milestones	• By 2010-2011, begin rollout of key content elements completed (e.g., Math and English/Language Arts standards). Complete CIITS infrastructure in late 2011. • By 2011-12, pilot CIITS within districts. Complete refinements based on pilot feedback by Summer 2012 • By 2012-13, full statewide rollout. All teachers, principals, and district administrators have role-based access by Spring 2013

Introduction and context

As evidenced throughout this application, it is Kentucky's vision to ensure that every child is taught by an effective teacher in a school lead by an effective principal. In order to have positive impact on student learning, it is crucial that all teachers and leaders have, at their disposal, a wide variety of resources to ensure they are able to provide the highest quality learning environment for their students. In the classrooms and schools of the 21st Century, it is essential that the data and instructional resources used by teachers and leaders be available in an increasingly technology-based environment. It is with this in mind that Kentucky will focus a great deal of energy on expanding the use of technology throughout the state. There are several factors that make this expansion necessary. First, Senate

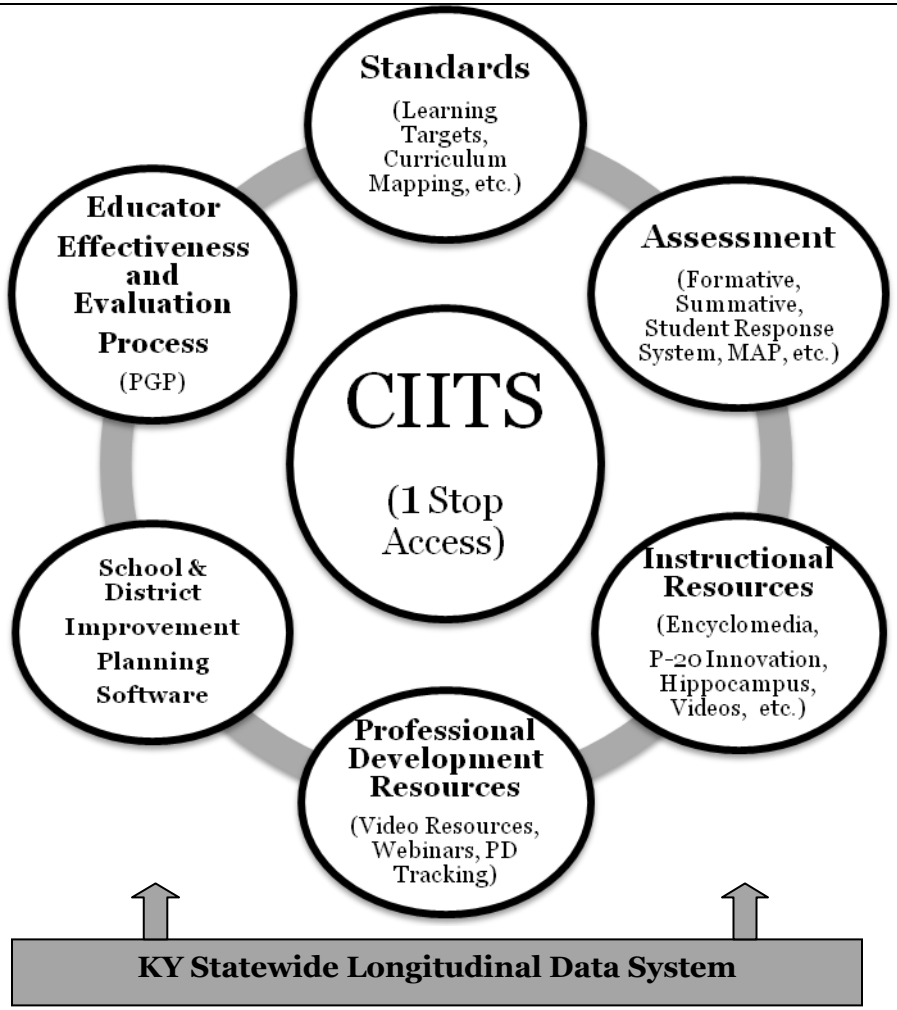
Bill 1 requires the Kentucky Board of Education ("the Board") to make available to LEAs and schools a model curriculum framework tied to the goals, outcomes, and assessment strategies of Senate Bill 1. Second, teachers and principals need ready access to information on student learning as well as their own practice as it relates to those students. Finally, Kentucky has a long history of working for equity among its schools and districts as it relates to resources. Building its instructional improvement system in a technology environment will ensure quality resources for every teacher and leader regardless of where that teacher or leader resides or what level of fiscal resources his or her district has.

In order for this kind of shift to a technology-based environment to be successfully implemented, some very intentional steps must be taken. The first is that the State must move our teachers and leaders to a high comfort level of technology use and then turn that comfort level into strong use of technology systems to improve their practice which will, in turn, improve student learning. In Kentucky we have successfully used statewide implementations of technology systems for student and school management information to improve outcomes for students. Specifically, the online Individual Learning Plans (ILPs), where students, parents, and teachers access individual student information to monitor their preparation for high school graduation and beyond has been a very successful method to give focus to addressing student outcomes. (*See (B)(3) narrative plan for further description.*) The key to moving forward is to take the multiple instructional resources available in the state and create a single system of tools and resources. This new instructional improvement system must support teachers and principals in curriculum planning, creating and implementing a balanced assessment system, accessing to the best instructional resources, and a wide range professional learning opportunities, and tracking school improvement activities. If properly implemented, teacher and leader practice will improve, and as a result, so will student outcomes.

Stakeholders across the state see the need for critical work in this area. Over 80% of those surveyed agreed that future progress in data systems was important or very important for the Commonwealth. Almost 90% of those surveyed strongly agreed or agreed that

implementing instructional improvement systems in schools and districts to provide teachers and others with “rapid-time” data on student performance will contribute to increased student learning.

The Kentucky Department of Education (“the Department”) will build the Continuous Instructional Improvement Technology System (CIITS) – an online platform that will put key information and resources at the fingertips of teachers, principals, and administrators. The system will link to already existing proven resources – such as Encyclomedia, the Kentucky Learning Depot, and the Kentucky Virtual School and Virtual Library – as well as include newly developed materials. It will be linked with the Kentucky Statewide Longitudinal Data System (KY SLDS) which provides access to a wide range of longitudinal data elements and reports that can be used to inform classroom practice and improve student learning. To make data from the KY SLDS more usable, we will make it more relevant as a job-embedded resource for teachers, Department staff, and researchers. Already available data include, for example, assessment items; student demographics; student performance; and teacher demographics such as experience, rank salary, courses taught, and certifications. (*See (C)(2) reform plan for information on the expansion of KY SLDS.*) The CIITS will support the instructional improvement efforts of teachers and leaders by allowing them unprecedented access to curriculum, instruction, assessment, professional learning, evaluation, and school improvement resources through a single integrated system. As previously stated, integrating all resources in a single system, as opposed to separate systems, is the foundation of a successful transition to a technology-based environment. Throughout the integrated system it will deliver longitudinal data from the Kentucky Statewide Longitudinal Data System to users depending on their roles and needs in each of the following areas.



- **Curriculum Resources** – provides resources for deconstructing the new standards, cross-walking between the new Common Core Standards and Kentucky's Program of Studies and Core Content for Assessment, mapping the curriculum to align with the new standards, and aligning instruction vertically and horizontally across and within grade levels

- **Assessment Resources** – provides rich information on student learning by allowing users to build, deliver, score, and report on assessments for *formative* and *summative* purposes across all relevant levels of assessment use: *classroom* assessment, *interim benchmark* assessment, and annual *accountability* testing; supports assessment *for* learning by putting the results of these frequent assessments into teachers' and students' hands, increasing the descriptive feedback to help students and their teachers truly understand what they are learning and also includes a standards-based grade book, student portfolios, and multiple measures reporting
- **Instructional Resources** – provides a wide range of tools pertaining to instructional strategies (e.g., videos of highly-effective lessons), interventions, and student learning resources, incorporating existing resources that Kentucky teachers already have and use (e.g., Encyclomedia, Kentucky Learning Depot, and Kentucky Virtual Library) with newly created resources
- **Effectiveness and Evaluation Resources** – provides teachers and principals with electronic anytime access to all the inputs into their individual efficacy / growth portfolios, including informal observations, self reflections, performance tasks, scores on the rubrics and ratings categories, and local evidences inputted by teachers and principals (all in accordance with privacy laws and regulations);
- **Professional Development Resources** - teachers will also be able to access customized resources and professional learning opportunities themselves that align with the portfolios and professional growth needs, e.g., resources such as online learning courses for job-embedded professional development, including custom publishing tools to support collaborative development and sharing of local content among professional learning teams and networks
- **School and District Improvement Resources** – allows schools and districts to create, monitor and evaluate the effectiveness of their improvement efforts. The system will allow for continuous improvement planning within schools and across districts. It will also allow school and district audits to be conducted in a more efficient manner and for schools and districts to track results against a variety of data sets

When fully developed, the CIITS will be a "one stop shop" for an educator's professional needs. In one location an educator will be

able to access and analyze all the information necessary to improve his or her practice. A teacher can access the system anywhere and in one session the teacher could: 1) review and analyze his or her students' assessment results; 2) access instructional resources like lesson plans and video clips of master teachers teaching the next set of content; 3) review his or her understanding of the content with help from online access to peers and university faculty; 4) go to extensive assessment item banks to develop formative assessments to measure progress; 5) access his or her professional growth plan and check professional learning resources to improve his or her practice; and 6) build evidences of student growth and other factors to measure his or her effectiveness. (*See (D)(2) plan for more detail*.)

Activities

There are three key activities Kentucky will engage in to ensure every teacher and principal accesses and uses the information and resources they need to improve instruction and student achievement.

(C)(3)(i) Activity 1: Development and rollout of the Continuous Instructional Improvement Technology System (CIITS)

The first step in providing teachers and principals with the interconnected set of information and resources to improve student achievement is to build the online instructional improvement system platform itself. The Department has initiated the procurement process and anticipates that a contract will be awarded in Fall 2010. The CIITS infrastructure will be complete by late-2011, but rolled out in stages as it is partially developed (e.g., standards resources available to all teachers during the standards rollout).

The Department has already started to develop content to populate the system. In February 2010, the Department began to facilitate the development of content resources connecting curriculum, assessment, instruction, and professional learning – led by the appropriate Department offices (e.g., Office of Teaching and Learning to lead the content development around the new standards and assessments). The Mathematics and English/Language Arts standards components will be available to all teachers during the 2010 –

2011 school year (with partial development of the CIITS completed) in accordance with the rollout of the new standards *(see reform plan narrative (B)(3) for more information on the standards rollout)*, once the Senate Bill 1 deployment teams have completed deconstructing the standards and developing aligned instructional supports. The next wave of resources, primarily focused on instructional tools, data access and analysis, and professional development, will be loaded into the system once the infrastructure is complete in late-2011. (*See reform plan narratives (B)(3) and (D)(2) for more detail on the specific content to be developed*.) The Department will roll out complete access to the CIITS to select pilot districts on a voluntary basis (chosen based on their existing levels of collaboration and willingness) during the 2011-2012 school year. The pilot districts will provide valuable feedback to the Department as it makes improvements to the CIITS during Spring and Summer 2012 before full statewide rollout during Fall 2012. Because of their continuing extraordinary support, the Department will collaborate with its partners (the Prichard Committee, the Kentucky Parent-Teacher Association, the Kentucky Association of School Councils, the Kentucky Education Association, the Kentucky Association of School Superintendents, and others) to communicate with their members around the purpose and benefits of the CIITS. By Spring 2013, all teachers, principals, and district administrators will have role-based access to the CIITS.

It should be noted that Kentucky has a strong and successful history of rolling out statewide initiatives and systems, many of which were the first or largest of their kind at the time they were deployed. Among these systems are a statewide district financial package with single chart of accounts; a single student information system for the entire Commonwealth; the second largest Microsoft Exchange email system, after the U.S. Navy; the first statewide Virtual High School; and so on. Not only are the SEA staff who rolled these systems out prepared to do so again with the CIITS, but the LEA staff are prepared to assist with organized groups specialized in technology, assessment data, student data and so on.

(C)(3)(ii) Activity 2: Professional learning around access and use of the CIITS

Access to the right technology, information, and resources is not sufficient unless teachers and principals know how to use them in

their day-to-day work to continuously improve instruction and student learning. For this reason, the second key activity entails a significant investment in professional learning opportunities for teachers, principals, and district administrators to integrate the CIITS into their work so it becomes "an integral part of the way we do things."

The Commonwealth will utilize nine regional networks across the state, each led by a small leadership team supported by the regional Education Cooperative (or the network housed within Jefferson County Public Schools) (*see (A)(2), (B)(3), and (D)(5) for more detail*), to implement a capacity building model and develop an in-state network of over 400 statewide master trainers who will deliver scalable professional development to local schools, school councils, and districts focused on:

1) how to use the CIITS platform and tools,
2) how to use data to understand student needs and inform instruction (building on foundational KY SLDS training), and
3) how to use instructional data in professional learning teams to support continuous improvement.

Each of the nine regions will have a Department CIITS Implementation Coordinator for the four year period to lead the implementation of the CIITS and relevant training across all districts in the state. In each regional network, training will be provided to the administrators and teacher leaders that comprise the network, who will then be able to lead the efforts in their respective districts. Furthermore, training and support around using data to improve instruction and the CIITS specifically will be integrated into the revamped teacher and principal induction programs (i.e., the Kentucky Teacher Internship Program and the Kentucky Principal Internship Program). Going forward, all new teachers and principals, as well as those who transfer from other states, will receive the training and support necessary to access and use the system.

During Fall of 2010, the Department will facilitate the development of the training, specific to the standards resources that will be available to all teachers during the 2010-2011 school year, deliver the training through regional networks in Fall and Winter 2010 in advance of the standards implementation. Additional professional learning around the CIITS will be developed and implemented

during 2010-2011 in advance of the pilots in Winter 2011 and complete statewide implementation in Winter 2012. All training modules will be rolled out in the nine regional networks across the state along the same schedule.

(C)(3)(iii) Activity 3: Researcher access to data from the KY SLDS and CIITS

The wealth of data and resources in the KY SLDS and the CIITS will be accessible to researchers in order to evaluate the success of various materials, strategies, and approaches to educating the diverse groups of students across the Commonwealth. While educators will be continuously evaluating the effect of their instruction on student learning through the various levels of assessment referenced in Activity 1, third party evaluations will provide invaluable insights into what is working and not working across classrooms, schools, and districts. While access to non-confidential data within the KSLDS and CIITS will be available to all stakeholders, including researchers, Kentucky will partner with researchers to evaluate identified programs, instructional materials and strategies, by providing access to data through the KY SLDS, CIITS and P-20 repository, (in accordance with all relevant privacy laws) as part of the evaluation process to investigate targeted research goals in high-impact areas. In addition to staff from public and private institutions of higher education and external, educationally focused groups such as the Prichard Committee, "researchers" may also include Department curriculum (and other) consultants who will be looking at the impact of instructional activities and professional learning activities which may be posted on the system. This will allow for a rating system so teachers will know which of these activities are most effective with different groups of students and in different situations.

In 2010, Kentucky became one of six states selected to develop transformative educational processes through the Council of Chief State School Officers' Partnership for Next Generation Learning. Housed at the University of Kentucky's College of Education, the state's P20 Innovation Lab will provide a foundation for academic researchers from many institutions as well as other education professionals and stakeholders to address a wide variety of education issues. The Department and other education agencies are actively working with the University to ensure access to needed data and leverage the research capabilities to better evaluate the

state's education policies and processes and identify best practices and needed improvements.

Additionally, the Department, the Council on Postsecondary Education, and the Education Professional Standards Board will work together in calendar year 2010 and 2011 to ensure that institutions of higher education are included in the development and piloting phases of the CIITS through their partnerships in the regional networks. Going forward, researchers at institutions of higher education will be a key source of input and research to inform the continuous improvement of the CIITS itself. Through a Request for Proposals process (same comprehensive process including other work such as standards, professional learning, etc.); the Department will create contracts with researchers in helping the State determine what supports work best to improve teacher effectiveness and student learning. Successful proposals will include analysis of the quantitative data available through the CIITS as well as qualitative data (e.g., teacher and principal surveys and analysis of teacher evaluation documentation all provided in accordance with privacy laws, to inform our understanding of teacher use of the CIITS and resulting changes in practice).

Performance Measures Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Percentage of teachers in Participating LEAs who have access to the Continuous Instructional Improvement Technology System (CIITS)	N/A	0%	25%	50%	100%
Percentage of principals in Participating LEAs who have access to the Continuous Instructional Improvement Technology System (CIITS)	N/A	0%	25%	50%	100%
Percentage of teachers in Participating LEAs who use the Continuous Instructional Improvement Technology System (CIITS) to inform instruction	N/A	0%	25%	50%	100%
Percentage of principals in Participating LEAs who use the Continuous Instructional Improvement Technology System (CIITS) to inform instruction	N/A	0%	25%	50%	100%

Our targets for teacher and principal access to the Continuous Instructional Improvement Technology System (CIITS) ramp up each year mirroring our implementation timeline for the development and rollout of that system to meet our goal of 100% access by the end of the 2013-2014 school year. Our targets for teacher and principal use of the CIITS to inform instruction, it should be noted, might seem unrealistically high, given the nature and complexity of this sort of system. However, this reflects our expectation that individuals will find some components of the system more accessible than others, and will begin to use those components. It does not indicate a belief that all teachers and principals will be utilizing all components of the system in the given time frame. We would expect robust usage of the system by all educators to lag behind the access targets by about 50% acknowledging the challenges of implementing a new technology system and changing the culture in schools and classrooms as a result.

D) Great Teachers and Leaders ***(138 total points)***

State Reform Conditions Criteria

(D)(1) Providing high-quality pathways for aspiring teachers and principals *(21 points)*

The extent to which the State has—

(i) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education;

(ii) Alternative routes to certification (as defined in this notice) that are in use; and

(iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (D)(1)(i), regarding alternative routes to certification for both teachers and principals:

- A description of the State's applicable laws, statutes, regulations, or other relevant legal documents, including information on the elements of the State's alternative routes (as described in the alternative route to certification definition in this notice).

Evidence for (D)(1)(ii), regarding alternative routes to certification for both teachers and principals:

- A list of the alternative certification programs operating in the State under the State's alternative routes to certification (as defined in this notice), and for each:
    - The elements of the program (as described in the alternative routes to certification definition in this notice).
    - The number of teachers and principals that successfully completed each program in the previous academic year.
    - The total number of teachers and principals certified statewide in the previous academic year.

Recommended maximum response length: Two pages

Introduction and context

Alternative certification options for teachers and principals have been possible in Kentucky since the early 1990s – alternative certification legislation first passed in 1990, the first alternative certification was issued in 1993, and in 2003 the Legislature allocated resources to assist in the creation, expansion, and implementation of alternative certification programs. There are currently eight defined alternative routes to teacher and administrator certification for those who have demonstrated exceptional work and/or educational experiences. The Education Professional Standards Board ("the Standards Board"), in existence since 1990, is the state agency that establishes standards and procedures for the alternative route options.

(D)(1)(i) Legal, statutory, or regulatory provisions that allow alternative routes to certification, particularly for providers in addition to institutions of higher education

Based on language in KRS 161.028, the Standards Board has the authority to:

> "Promote the development of one or more innovative, nontraditional or alternative administrator or teacher preparation programs through public or private colleges or universities, private contractors, the Department of Education, or the Kentucky Commonwealth Virtual University and waive administrative regulations if needed in order to implement the program."

Therefore, ***Kentucky allows for alternative routes, including those provided by operators other than institutions of higher education*** (e.g., districts, regional Educational Cooperatives, and outside providers). (*For details on this statute, see Appendix ZZ: Alternative Certification Statute KRS 161.028*.) All alternative routes, including those provided by private contractors, must meet rigorous state accreditation standards and adhere to Kentucky's high quality bar for teacher and principal preparation programs, and programs operating outside of Kentucky's borders must be NCATE accredited. (*See Evidence for (D)(1)(i) in Appendix YY: Kentucky Alternative Certification Legislation for further description of each option, including specific application and program requirements*.)

Prior to the 2010 session of the Kentucky General Assembly, there were seven options for alternative certification in the Commonwealth of Kentucky. During the 2010 session, a change to KRS 161.048 was passed, allowing Teach for America (TFA) to use its own requirements while incorporating the Standards Board's teacher assessment requirements. TFA teachers have an option to receive a professional certificate after the two-year limit of the TFA temporary certificate as defined in Senate Bill 180 if they are recommended by a local superintendent, complete the Kentucky Teacher Internship Program, and have successfully achieved the minimum cut score on content assessments. TFA will work with individual districts in determining regional shortage area needs, and TFA has already begun to work with the Kentucky Valley Education Cooperative.

The eight alternative route options established by KRS 161.048 are:

- Option 1: Exceptional Work Experience Certification – certification for persons with exceptional work experience (at least ten years) in the area in which the certification is being sought; after successful completion of the Kentucky Teacher Internship Program, candidates receive regular professional certificates
- Option 2: Local District Training Program Certification – certification through a local district training program instead of a college / university teacher preparation program
- Option 3: College Faculty Certification – certification of professionals from postsecondary institutions with a master's or doctoral degree in the academic content area for which the certification is sought and a minimum of five years of full-time teaching experience in the academic content area for which certification is sought
- Option 4: Adjunct Instructor Certification – certification of adjunct instructors who have expertise in areas such as art, music, foreign language, drama, science, and other specialty areas and whom the local board of education employs in part-time positions as adjunct instructors and may not be deemed "highly-qualified" under No Child Left Behind
- Option 5: Veterans of the Armed Forces – certification of veterans of the Armed Forces with at least ten years of active duty service, service credited toward armed services retirement, or a combination thereof, as well as a Bachelor's degree in the

content area or closely related area for which the certification is sought

- Option 6: University-Based Alternative Route to Certification – certification through alternative university programs that enroll students in a post-baccalaureate teacher preparation program concurrently with employment as a teacher in a local school district
- Option 7: Institute Alternative Route to Certification – certification of persons in fields other than education to teach in elementary, middle, or secondary programs not limited to teaching in shortage areas; candidates must have a Bachelor's degree with an academic major in the area in which certification in sought or a professional or graduate degree in a field related to the area in which certification is sought; candidates receive a one year temporary provisional teaching certificate and must complete a 240 or 180 hour institute prior to teaching or during the first year of the provisional certificate
- Option 8: Teach for America – Senate Bill 180 has recently been signed into law by Governor Steve Beshear as another option to allow teachers in content fields trained outside the colleges of education to teach in Kentucky schools. *(Please see Appendix CC for SB 180.)*

These options address each of the five criteria in the definition of alternative certification routes as follows:

Criteria	Evidence of Meeting Criteria
Providers can be a wide range of institutions, including both institutions of higher education and other providers operating independently from institutions of higher education.	Options 2,7, and 8 specifically allow for alternative route providers other than universities
Routes are selective in accepting candidates	All routes are selective in accepting candidates.
Routes provide supervised, school-based experiences and ongoing support such as effective mentoring and coaching.	Many of Kentucky's alternative certification programs have strong school-based experiences for those pursuing certification. In the ACES program in Jefferson County and in Transition to Teaching, as well as other Option 6 programs, candidates are in schools as teacher of record while they receive certification support. In addition, Options 1, 2, 6, 7, 8 all have a mentoring and supervision component as they culminate in the Kentucky Teacher Internship Program (KTIP). The alternative route is not completed

	until their internship year is completed so candidates in those routes receive strong mentoring component through KTIP. Additionally, in Option 2 the candidate is a teaching assistant with a mentor.
Routes significantly limit the amount of coursework required or have options to test out of courses	Options 2 and 6, as they are district and university-based, have an option to test out of courses or limit the coursework (a decision left up to the individual alternative certification programs). Alternative routes can also review transcripts and professional work experience in the content area and determine if adequate knowledge has been demonstrated, thereby limiting coursework required.
Routes, upon completion, award the same level of certification that traditional preparation programs award upon completion	All alternative routes require that candidates participate in the Kentucky Teacher Internship Program and, upon successful completion of that program, award a regular professional teaching certificate.

(D)(1)(ii) Alternative routes to certification (as defined in this notice) that are in use

During the 2009-2010 school year, 10% of Kentucky's current teachers and 6% of Kentucky's current principals had been certified through alternative routes. More than 90% of the current Kentucky teachers certified through alternative routes came through Option 6, 3% came through Option 2, and the remaining teachers were spread in small numbers across the other options. All of the current Kentucky principals certified through alternative routes came through Option 6.

During the 2009-2010 school year, 17% of Kentucky's new teachers (with no previous experience) and less than 1% of new principals came through alternative routes. Of the 450 new teachers certified through alternative routes, 93% came through Option 6 programs, 4% came through Option 2 programs, and the others were spread across the other options. One new principal was certified through an alternative route and came through Option 6. (*Further detail with the number of teachers and principals certified through each option can be found as Evidence for (D)(1)(ii) in Appendix AAA: Kentucky Alternative Route Statistics for Teachers and Principals.)*

(D)(1)(iii) Process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage

As required by 16 KAR 1:050, Kentucky's current process for monitoring, evaluating, and identifying areas of teacher and principal shortage is completed and reported to the state by districts through the Local Educator Assignment Data (LEAD) report. Critical shortages are calculated as a percentage of the Full Time Equivalent (FTE) teaching positions for all teachers in Kentucky. A combination of the following unduplicated FTEs may be used to calculate teaching shortage areas in FTEs and the percentage of total FTEs: (a) teaching positions that are unfilled; (b) teaching positions that are filled by teachers who are certified by irregular, provisional, temporary, or emergency certification; and (c) teaching positions that are filled by teachers who are certified but who are teaching in academic subject areas other than their area of preparation. The number of FTE teacher positions in the shortage area is then converted into a percentage using the number of FTE teaching positions for all teachers in the state. There is a total 5% designation limit that assists with the elimination process. The most current data available is used. Teachers and principals are prepared to fill these areas of shortage through specialized programs.

Many of the teachers and principals that enter the profession through alternative routes fill positions in critical shortage areas. Four examples are:

- UTeach – a program that encourages math and science majors to enter the teaching profession by offering an integrated degree plan, financial assistance, and early teaching experiences for undergraduates, sponsored by the National Math and Science Initiative. (*For more information about Kentucky's STEM initiatives, reference Priority 2 STEM narrative*)
- Teach Kentucky – a program that recruits new teachers to Kentucky schools to primarily teach in critical shortage areas (e.g., middle school math and science) and requires a high score on the Praxis exams to be accepted. Teach Kentucky currently has teachers in five school districts (Jefferson County, Oldham, Shelby, Spencer, and Carroll) and a retention rate of 73%. It recruits ~6 new teachers each year.

- ACES program in Jefferson County – an 18-month district-based certification program in Jefferson County that requires teaching candidates to also commit to teach in Jefferson County Public Schools for three years in the following areas: Elementary Education, Math (Middle and High), Science (Middle and High), and dual certification (Middle and High). Approximately 17 new teachers are certified annually through the ACES program.
- Teach For America – Teach For America is launching its program in the Commonwealth, working with districts to place teachers in critical shortage areas. By 2012, there will be 120 TFA teachers teaching in the Commonwealth each year.

Going forward, the Department and the Standards Board are committed to addressing shortage areas. The Standards Board will pursue expansion of high-quality (as determined by effectiveness of teacher and leader graduates) alternative routes provided by institutions operating independently of universities. To do so, it will undertake the following activities:

- Better publicize Options 6 and 7 by sharing alternate route information at state, regional and national conferences, and improving information available on the Standards Board's alternative certification website
- Further develop partnerships with TFA and other high-quality alternative certification programs, with a focus on critical shortage areas *(For further detail on the plans to partner with these organizations, see (D)(3)*)
- Develop new turnaround specialist certification and processes for developing teacher and principal turnaround specialists to staff turnaround schools. This new certification will be based on high-quality experience-based national models, such as that developed by New Leaders for New Schools
- Increase the visibility of the most effective preparation programs by developing a system to capture and store information about the effectiveness of all alternate route programs in preparing teachers and principals. This information will be integrated with similar information for all traditional route programs to ensure that increasing proportions of new teachers and leaders are prepared through the most effective alternative and traditional routes *(For further detail on the plans to reach this goal, see (D)(4)*)

(D)(2) Improving teacher and principal effectiveness based on performance *(58 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice)—

(i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; *(5 points)*

(ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; *(15 points)*

(iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; *(10 points)* and

(iv) Use these evaluations, at a minimum, to inform decisions regarding— *(28 points)*

(a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;

(b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;

(c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and

(d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII,

Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Ten pages

Introduction and context

Improving Teacher and Principal Effectiveness Based on Performance

Goals	• Implement a multiple-measures evaluation system to assess teacher and principal performance, in which student growth is a significant factor • Use data from this system to enable teachers and principals to continuously improve their professional practice and districts and schools to make better personnel decisions
Action steps	• Under the leadership of the Effective Teachers Steering Committee and the Effective Principals Steering Committee, develop and implement: – Approaches to measuring student growth for each student in the Commonwealth, including value-added analyses – A rigorous, fair evaluation system with multiple levels of effectiveness that is used to conduct annual evaluations of all teachers, taking student growth and its use into account as a significant factor • Change decision-making practices such that all major personnel decisions (e.g., professional learning, compensation, differential career paths, tenure, retention) are informed by performance in the new evaluation system
Milestones	• By 2012-13, there will be objective measurements of student academic growth based on the new assessment system aligned with college-ready standards • By July 2013, the Board of Education will approve a new administrative regulation establishing the new statewide evaluation system • By 2013-14, all districts will implement the new evaluation system or one that meets its standards • By 2014-15, all districts will use data from the evaluation system to inform all decisions about professional learning, compensation, career advancement, tenure, and retention

The Commonwealth is committed to building and using systems to assess teacher and principal performance, so that teachers and principals can continuously improve their professional practice and propel the improvement in student learning we all seek. Work on new evaluation models and the substance of a new administrative regulation that will govern teacher and principal evaluation and

professional growth throughout the Commonwealth is already underway. Since 2007, with the support of the Wallace Foundation, four Kentucky districts have led work to identify effective teaching practices and design a teacher and principal evaluation system based on the field's best research and the expertise of Kentucky's own educators. Today, statewide committees – the Effective Teachers Steering Committee and the Effective Principals Steering Committee – are building on the work to date to develop, refine, and roll out a new evaluation system statewide, ultimately recommending a new administrative regulation to the Board of Education by July 1, 2013

(i) Establish clear approaches to measuring student growth and measure it for each individual student

Measuring student academic growth is the foundation of Kentucky's plan to ensure that all of our students have access to great teachers and leaders. Per the requirements of Senate Bill 1, Kentucky will report student growth using data from our new balanced assessment system, which in turn will be fully aligned with college-and-career-ready standards for all subjects. *(See Appendix DD for Senate Bill 1 and (B)(2) and (B)(3) for more information on the Commonwealth's participation in the Smarter/Balanced assessment consortium.)*

Over the next four years, the Effective Teachers Steering Committee and the Effective Principals Steering Committee will guide the Commonwealth's efforts to lead the nation in developing a model for the use of student growth and value-added assessment data to drive improvements in educator effectiveness. The Commonwealth will be first in the nation to generate student growth measures based on the new common core literacy and mathematics standards, and we expect to be first to do so based on the science, social studies, and arts standards now being developed. The National Technical Advisory Panel on Assessment and Accountability, a panel created by 1998 Kentucky legislation to ensure that nationally respected testing experts guide each step of Kentucky assessment design, will be an essential resource in this work.

Student growth measures will include:

- Valued-added analysis of student growth on statewide accountability assessments in reading and Math, aligned with statewide standards;
- Growth as measured by beginning- and end-of-course assessments in subjects and grades not covered by the statewide accountability assessment (The Commonwealth will ensure the accuracy of these assessments through additional statewide assessments and regular state reviews of program and assessment quality);
- Presentation of evidence of student growth with respect to standards by every teacher, using instruments such as pre-post tests, portfolios and local and state-level assessments that have been aligned with standards.

Key milestones in our timeline for measuring student growth in include:

- In 2011-12, our new assessment system will identify all students' starting level of performance on the path to college-and-career-readiness;
- In 2012-13, we will begin to generate value-added analyses of student growth since the previous year based on our new assessment system;
- By 2013-2014, we will measure growth in achievement for each individual student.

Our approach to measuring student growth will serve two core purposes, each of which will be discussed in more detail on the following pages. First, this data will be used to inform the continuous improvement of teachers' and principals' practice, as all educators will have access to information about their students' growth through the Continuous Instructional Improvement Technology System (CIITS). Second, this student growth data will be a significant factor in the multiple-measures teacher and principal evaluation systems that will inform all personnel decisions in LEAs.

(ii) Design and implement rigorous, transparent and fair evaluation systems of teachers and principals that

(a) Differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in

this notice) as a significant factor, and (b) Are designed and developed with teacher and principal involvement

The Effective Teachers Steering Committee and the Effective Principals Steering Committee are leading the development of the new Kentucky Teacher and Principal Professional Growth and Evaluation System, a multiple-measures evaluation system that will be operating statewide by 2013-14. Developed by educators for educators, this system will be rigorous, transparent, fair, and aligned to the Commonwealth's overall approach to continuous improvement in professional practice and student learning.

In our planned evaluation system, teacher evaluations will be based on:

- Evidence of student growth, *(as described above in (D)(2)(i))*;
- Evidence that teachers have systematically used information about student growth (across at least three points in time) to inform, improve and differentiate instruction;
- Multiple observations of instructional practice by principals, peer reviewers, and other trained evaluators with respect to research-based criteria of effective practices;
- Progress towards goals in professional growth plans, as demonstrated by artifacts and evidence of student performance.

In our planned evaluation system, principal evaluations will be based on:

- Evidence of student growth, *(as described above in (D)(2)(i))*;
- Evidence that principals have systematically used information about student growth (across at least three points in time) to inform their work with teachers to improve instructional practice
- Progress against individual performance and professional goals, including student growth and school working conditions
- 360° feedback, focused on effectiveness in instructional leadership
- Use of data from the New Teacher Center's Teacher Working Conditions Survey for school improvement *(See Appendix*

MMMM for more detail on the New Teacher Center's Teacher Working Condition Survey)

This system will differentiate teachers and principals into at least four levels of effectiveness and provide information to teachers and principals about their individual performance across multiple indicators of effectiveness. Annual student growth will be a significant factor in educators' ratings in the new system.

The evaluation system will be developed and implemented concurrently with the assessment system as follows:

	Assessment and Technology Systems	Evaluation System
2010-11	• Identify learning progressions based on the Common Core • Design and pilot assessments • Design and develop CIITS	• Develop, field test, evaluate, and refine evaluation system in 16 districts, testing preliminary growth models and value-added methodology using existing and local assessments
2011-12	• Launch assessments, collecting baseline student performance data • Launch CIITS	• Field test, evaluate, and refine evaluation system in an additional 20 districts, refining preliminary growth models and value-added methodology • Develop and adapt approach to incorporating evidence of student growth into the evaluation system
2012-13	• Refine CIITS • Generate measures of student growth from new assessment system • Refine and expand assessment system	• Field test, evaluate, and refine use of value-added with new assessment system in the 36 field test districts
2013-14	• Continuously refine assessment system	• Roll out evaluation system, including growth models and value-added, statewide
2014-15	• Continuously refine assessment system	• Continuously refine evaluation system • Begin statewide decision-making based on data from new evaluation system

We will contract with a nationally regarded evaluation firm throughout the process detailed above to ensure that this system is not only research based but also valid and reliable in practice. Additionally, all educators throughout the Commonwealth will have the opportunity to comment on the new system and its implementation through the New Teacher Center's Teacher Working Conditions Survey *(See appendix MMMM for more detail on the New Teacher Center's Teacher Working Condition Survey)*. The Steering Committees will use the feedback from the third-party evaluation and this survey to refine and improve the evaluation system.

By 2013-2014, all districts will be required to implement the Kentucky Teacher and Principal Professional Growth and Evaluation System or a system that meets the standards established by administrative regulation. At a minimum, requirements for district-level evaluation systems will include:

- Differentiation of educators across multiple levels of effectiveness;
- Use of evaluation components of the statewide model or a local equivalent, including student growth measures and their use as a significant factor
- Inclusion of teachers and leaders in the development process;
- Demonstrated validity and reliability, as well as an appeals process, to ensure fairness;
- Integration of the evaluation system with decision-making structures and processes such that evaluation data can be used to inform all major personnel decisions.

This systematic, growth-oriented approach to teacher and principal evaluation marks a significant change for the Commonwealth. It puts the focus squarely on what educators must *do* to improve student achievement and then requires educators to demonstrate evidence of student growth. With this focus on the quality of inputs and the measurement of outcomes, we have the best potential for improving student achievement. But thoughtful implementation to build LEA, principal, and teacher capacity will be essential as well. With the support of regional networks and the Kentucky Department of Education's field-based staff, a third-party training

partner will provide district-wide trainings and ongoing support for principals, teachers, district staff, and all evaluators throughout the launch of the new system. This support will ensure appropriate implementation and inter-rater reliability. At the school level, professional learning teams will complement these trainings. Additionally, the best practices and evidence base we establish with our third-party evaluation firm and the input we receive from teachers during systems development and roll out will shape ongoing capacity-building.

(iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools

Annual evaluations of all teachers and principals are the linchpin of our new evaluation system. For non-tenured teachers, annual evaluations will consist of objective evidence of student growth, evidence of use of student growth data in instructional practice, multiple observations of instructional practice, and progress against professional growth plans and student learning targets. For tenured teachers, annual evaluations will consist of objective evidence of student growth, use of student growth data in instructional practice, and progress against professional growth plans and student learning targets, with multiple observations of instructional practice occurring every third year.

For principals, these annual evaluations will incorporate evidence of student growth, use of student growth data in instructional practice, assessments of progress against professional and performance targets, 360° feedback, and use of data from the New Teacher Center's Teacher Working Conditions Survey for school improvement.

The power of these annual evaluations will be in the information they provide to teachers and principals about their performance, including their students' academic growth. By 2011-12, the Continuous Instructional Improvement Technology System (CIITS) will provide all teachers and principals with access to pertinent information to inform instruction and improve their own practice at all times through user-friendly tools. To ensure that teachers and principals are able to use this information to continuously improve

their practice, we will support teachers and principals in learning to interpret student data and using it to shape instruction. As detailed in (C)(3)(ii) and (D)(5), developing teacher and principal capabilities for data-driven instruction is a primary goal of our new professional learning system. We will use our regional network structure to prepare and deploy 400 master trainers who will develop the capacity of educators to understand and act on student growth data. Additionally the state will develop model workplans and timelines to help districts implement further professional learning about effective use of student data. Information about their performance, in combination with supports to improve performance, professional learning teams, and rich instructional resources, will enable dramatic improvements in educator practice.

(iv) Use these evaluations, at a minimum, to inform decisions regarding…

Our new evaluation system will inform all personnel decision-making by schools, districts and the state, from support for professional learning to additional compensation and career opportunities, to tenure, certification, and release decisions. To ensure this, the Commonwealth will make approval of local evaluation systems contingent on full integration of those systems with decision-making and require public reporting of the percentage of educators in each performance level.

(a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development

With the Kentucky Teacher and Principal Professional Growth and Evaluation System, we will have the information needed to support educators throughout their careers in a targeted, relevant, and professionally transformative fashion. The new system will provide teachers, principals, school councils and LEAs with actionable information about the growth needs of all the Commonwealth's educators, such that induction, training, and mentoring, can address the unique strengths and needs of each educator *(see (D)(5) for more information on this aspect of the plan)*. In particular, the new system will enable the following changes in the Commonwealth's approach to supporting and developing educators:

First, the Commonwealth is aligning its induction programs with the Kentucky Teacher and Principal Professional Growth and Evaluation System.

- During their first year of teaching in the Commonwealth, all teachers are required to participate in The Kentucky Teacher Internship Program (KTIP). Starting in 2013-14, we will integrate and align KTIP with the new evaluation system. During their participation in KTIP, teachers will receive additional training on how to use student growth data to improve instruction and receive induction supports based on the standards of performance set out in the new evaluation system.
- By 2012-13, all new principals will participate in the re-launched Kentucky Principal Internship Program (KPIP) during their first year in the role. This principal induction program will be grounded in the new principal evaluation system, using information about performance and student achievement to support continuous improvement of principal practice.

Second, as a result of our new evaluation system, teachers and principals will better understand their performance and be able to use this performance information to drive their development. Each educator will have an ongoing understanding of the areas in which he or she needs to grow, as well as access to the tools and support to self-assess. They will develop an individual professional learning plan and be supported in achieving that plan's goals through CIITS, mentorship programs, and formal professional learning opportunities. Teachers, principals, school councils and district staff will select and design professional learning opportunities based on specific development needs of both individual teachers and groups of teachers identified through the evaluation process.

Additionally, as part of our overall investment in professional learning and the roll out of CIITS, Kentucky is developing a database of all professional development programs in the state. Educator evaluation data will be matched with participation in professional learning programs to track the impact of these programs on educator performance. This will ensure that districts, principals, and teachers have data not only about what educators need, but also about which supports and programs are most effective in meeting those needs. We will also monitor the overall effectiveness and opportunities for improvement in the evaluation and professional

learning systems through the New Teacher Center's Teacher Working Conditions Survey, which we will administer bi-annually to all of the Commonwealth's educators *(See Appendix MMMM for more detail on the New Teacher Center's Teacher Working Condition Survey)*..

(b) Compensating, promoting, and retaining teachers and principals and providing opportunities for highly effective teachers and principals to obtain additional compensation and be given additional responsibilities

To retain the most effective teachers and principals, the Commonwealth must provide them with opportunities for career advancement within their schools and districts. As part of this comprehensive reform plan, Kentucky will strengthen its approach to rewarding and retaining its most effective educators in three ways.

First, we will provide funding for a small number of districts to implement compensation reforms focused on shifting from current step-and-ladder compensation systems to systems based on teacher and principal performance. These districts will leverage our new statewide evaluation system to experiment with innovative compensation and retention practices for highly effective educators. These field tests will be evaluated and results will be considered in the Steering Committees' recommendations regarding the Commonwealth's evaluation system. These reforms will be funded from the Race to the Top budget and augmented with any potential future funding from the Teacher Incentive Fund.

Second, eligibility for participation in the new career advancement opportunities that will be introduced as part of our comprehensive reform plan will be contingent on being evaluated highly effective in our new evaluation system *(see (D)(3) and (E)(2) for more details on these opportunities).*

Finally, being evaluated highly effective in our new evaluation system will become a significant factor in eligibility for advancement in existing career paths and differential compensation options, such as school-level teacher leaders, instructional coaches, curriculum specialists, and school and district administration roles.

Through this multi-pronged approach, teacher and principal performance evaluations will be used to inform decisions about compensation and promotion across the Commonwealth.

(c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures

As noted above, upon starting to teach or serve as a principal in the Commonwealth, all teachers and principals will participate in The Kentucky Teacher Internship Program and The Kentucky Principal Internship Program, respectively. These programs will be aligned with the new evaluation system such that only those teachers and principals who meet the system's standards of effectiveness for teachers and principals in their first years (including student growth and its use) will be granted full certification (i.e., full certification for teachers and Tier 2 of the professional principal certificate for principals).

Similarly, upon implementation of the evaluation system, tenure decisions for teachers, which occur after four years of teaching (one of the longest tenure windows in the nation), will be based on data from the new evaluation system. Per the administrative regulation that the Board of Education will update by July 1, 2013, evaluation systems will only be approved if districts have the commitment and capability to use evaluation data to inform tenure decisions, granting tenure only to those teachers who meet clearly defined standards of effectiveness (including evidence of student growth and the use of student growth data to improve practice). Additionally, the Kentucky Department of Education will require that LEAs report tenure-granting rates by effectiveness level, and ongoing funding will be contingent on the use of evaluation data for tenure decisions.

In the Commonwealth, principals are not eligible for tenure; however, retention will be contingent on performance measured in the evaluation system.

(d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair

procedures

The new evaluation system is focused on promoting and enabling teacher and principal growth. Complemented with deep investments in professional learning, the system will provide teachers and principals with clear information on performance and systematic supports to improve their practice, whatever their individual strengths and weaknesses.

The system will also provide transparency into teacher and principal performance, such that it will be possible to ensure that students are not being taught or led by ineffective teachers and principals, regardless of their tenure status. Per the administrative regulation that the Board of Education will update by July 1, 2013, a district's evaluation plan will only be approved if it shows the commitment and capability to use evaluation data to inform retention decisions, retaining only those teachers who meet clearly defined standards of effectiveness (including evidence of student growth and the use of student growth data to improve practice).

Implement new systems

Action steps	2010	2010-11	2011-12	2012-13	2013-14	2014-15	Responsible
Develop statewide balanced assessment system							KDE; Consortia partners
Validate approaches to measure student growth							KDE; partner LEAs; Steering Committees
Develop and launch continuous Instructional Improvement Technology System (CIITS)							KDE; Regional Networks
Build teacher, principal capacity to use student growth data and CIITS							Network Coordinator, KDE; Regional Networks
Refine, field-test and validate evaluation system in 16 districts							Steering Committees; LEAs
Refine, field test and validate evaluation system in 20 additional districts							Steering Committees; LEAs
Refine use of value-added in 36 field test districts							Steering Committees; LEAs
Roll out evaluation system statewide							Steering Committees; LEAs
Conduct third-party evaluation of evaluation system; refine system							Third-party evaluator; Steering Committees
Build capacity to implement evaluation system with fidelity							Kentucky Leadership Academy
Establish Kentucky Administrative Regulation on evaluation systems							Board of Education; Steering Committees

Make decisions based on data from new systems

Action steps	2010	2010-11	2011-12	2012-13	2013-14	2014-15	Responsible
Align Kentucky Teacher Internship Program with evaluation system							KDE; Educational Professional Standards Board (EPSB)
Re-launch Kentucky Principal Internship Program aligned with evaluation system							KDE; EPSB
Develop/launch professional learning database in CIITS							KDE
Use evaluations (CIITS system, self-assessments) to determine professional growth needs							LEAs; school councils; teachers; principals
Implement compensation system reforms in districts							KDE; LEAs
Develop recommendations based on compensation innovations							Commissioner; Steering Committees
Develop/launch career advancement opportunities requiring effectiveness							KDE; LEAs
Align existing career paths and differential compensation options to effectiveness							LEAs; monitored by KDE
Award tenure based on demonstrated effectiveness (based on 2 years of data)							LEAs; monitored by KDE
Release teachers with history of ineffective performance							LEAs; monitored by KDE

Performance Measures Notes: Data should be reported in a manner consistent with the definitions contained in this application package in Section II. Qualifying evaluation systems are those that meet the criteria described in (D)(2)(ii).		Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Criteria	**General goals to be provided at time of application:**	**Baseline data and annual targets**				
(D)(2)(i)	Percentage of participating LEAs that measure student growth (as defined in this notice).	3%	22%	44%	77%	100%
(D)(2)(ii)	Percentage of participating LEAs with qualifying evaluation systems for teachers.	3%	22%	44%	77%	100%
(D)(2)(ii)	Percentage of participating LEAs with qualifying evaluation systems for principals.	3%	22%	44%	77%	100%
(D)(2)(iv)	Percentage of participating LEAs with qualifying evaluation systems that are used to inform:					
(D)(2)(iv)(a)	• Developing teachers and principals.	100%	100%	100%	100%	100%
(D)(2)(iv)(b)	• Compensating teachers and principals.	100%	100%	100%	100%	100%
(D)(2)(iv)(b)	• Promoting teachers and principals.	100%	100%	100%	100%	100%
(D)(2)(iv)(b)	• Retaining effective teachers and principals.	100%	100%	100%	100%	100%

(D)(2)(iv)(c)	• Granting tenure and/or full certification (where applicable) to teachers and principals.	100%	100%	100%	100%	100%
(D)(2)(iv)(d)	• Removing ineffective tenured and untenured teachers and principals.	100%	100%	100%	100%	100%

The 3% of Participating LEAs that currently measure student growth and have qualifying evaluation systems for teachers and principals represent the 5 districts that are part of the Wallace Foundation growth model development pilots. Kentucky expects to have all LEAs equipped with these systems by 2014, given upcoming legislative support for a new statewide evaluation system.

For the percentage of Participating LEAs that use the information to inform decisions, targets aligned with the planned statewide rollout were established using benchmarks from such sources as the publicly-available Pittsburgh Public Schools strategy to empower effective teachers (e.g., a 13 point increase in the percentage of highly-effective teachers is expected within 5 years.) The targets are more aggressive in the decision categories that are emphasized in the plans.

General data to be provided at time of application:	
Total number of participating LEAs.	174
Total number of principals in participating LEAs.	2,167
Total number of teachers in participating LEAs.	44,016

There are 174 LEAs in Kentucky; all 174 have signed on as Participating LEAs.

There are 2,167 principals in Kentucky (i.e., people with the job class of school principal, asst principal, vocational principal for fall 2009-2010)
There are 1,260 principals in Kentucky (i.e., people with the job class of school principal for fall 2009-2010)

There are 44,016 teachers in Kentucky (i.e., people with the job function of teacher for fall 2009-2010)
There are 41,770 teachers teaching a course (i.e., people teaching a course for fall 2009-2010)

Criterion	**Data to be requested of grantees in the future:**	
(D)(2)(ii)	Number of teachers and principals in participating LEAs with qualifying evaluation systems.	
(D)(2)(iii)[6]	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as effective or better in the prior academic year.	
(D)(2)(iii)	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as ineffective in the prior academic year.	

[6] Note that for some data elements there are likely to be data collection activities the State would do in order to provide aggregated data to the Department. For example, in Criteria (D)(2)(iii), States may want to ask each Participating LEA to report, for each rating category in its evaluation system, the definition of that category and the number of teachers and principals in the category. The State could then organize these two categories as effective and ineffective, for Department reporting purposes.

(D)(2)(iv)(b)	Number of teachers and principals in participating LEAs with qualifying evaluation systems whose evaluations were used to inform compensation decisions in the prior academic year.	[redacted]
(D)(2)(iv)(b)	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as effective or better and were retained in the prior academic year.	
(D)(2)(iv)(c)	Number of teachers in participating LEAs with qualifying evaluation systems who were eligible for tenure in the prior academic year.	
(D)(2)(iv)(c)	Number of teachers in participating LEAs with qualifying evaluation systems whose evaluations were used to inform tenure decisions in the prior academic year.	
(D)(2)(iv)(d)	Number of teachers and principals in participating LEAs who were removed for being ineffective in the prior academic year.	

(D)(3) Ensuring equitable distribution of effective teachers and principals *(25 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to—

(i) Ensure the equitable distribution of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that students in high-poverty and/or high-minority schools (both as defined in this notice) have equitable access to highly effective teachers and principals (both as defined in this notice) and are not served by ineffective teachers and principals at higher rates than other students; *(15 points)* and

(ii) Increase the number and percentage of effective teachers (as defined in this notice) teaching hard-to-staff subjects and specialty areas including mathematics, science, and special education; teaching in language instruction educational programs (as defined under Title III of the ESEA); and teaching in other areas as identified by the State or LEA. *(10 points)*

Plans for (i) and (ii) may include, but are not limited to, the implementation of incentives and strategies in such areas as recruitment, compensation, teaching and learning environments, professional development, and human resources practices and processes.

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (D)(3)(i):

- Definitions of high-minority and low-minority schools as defined by the State for the purposes of the State's Teacher Equity Plan.

Recommended maximum response length: Three pages

Introduction and context

Ensuring equitable distribution of effective teachers and principals

Goal	• Increase the rate at which students in high-poverty and high-minority schools are served by highly effective teachers and principals such that it is equal to or higher than those of other schools • Ensure a sufficient supply of effective teachers in hard-to-staff subject and specialty areas
Action steps	• Require and support all districts to produce annual equity-focused data reports on: – The effectiveness of teachers and principals at all schools, identifying those schools that are high poverty and/or high minority – The effectiveness of teachers and principals and the vacancies in hard-to-staff subject and specialty areas at all schools • Support districts to field test approaches to ensure equitable distribution of effective teachers and principals in high-need schools, classrooms, and subject and specialty areas • Use evidence from field tests to expand effective approaches statewide • Recruit and train new teachers to increase the supply of effective teachers in high-need schools, classrooms, and subject and specialty areas • Build capacity at the district and school level to ensure equitable distribution
Milestones	• By 2010-11, statewide equitable distribution capacity-building programs will be in operation • By fall 2011, multiple strategies to recruit and train teachers for high-poverty and/or minority schools and hard-to-staff positions will be in operation • By summer 2013, effective equitable distribution models will be codified and expanded • All districts will produce "LEA Educator Effectiveness Reports" concurrent with their use of the new evaluation system

Kentucky has a long history of dedication to the needs of low-income and minority students. The Kentucky Education Reform Act of 1990 sought to ensure that all students have access to a quality education. Since that time, Kentucky has emphasized closing the achievement gap, increasing the quality and diversity of the educator workforce, and providing highly effective educators and comprehensive support to our low-performing schools and districts. Our notable endeavors include:

- Requiring active monitoring of state and district-level achievement gaps and the creation of action plans to address them, per statute and Senate Bill 168
- Becoming a national model for equitably funding LEAs across the state, with high-need / high-poverty districts receiving

more funds on a per pupil basis (*described more fully in (F)(1)(ii)*). This serves to level the playing field, helping high-need LEAs and high-need schools attract and support effective teachers and principals. According to the Education Trust's 2006 Funding Gaps Report, Kentucky ranked sixth among states in investing disproportionately positive resources to support the education of low-income students. (*See Appendix DDD: Education Trust Funding Gaps 2006 Report for full report*)

- Recruiting and retaining highly qualified teachers in critical shortage areas and specifically in high-poverty, high-need school districts through several Transition to Teaching grants – a program that is a partnership with the US Department of Education to recruit and retain highly qualified paraprofessionals, recent college graduates and mid-career professionals to teach in critical shortage areas in high-poverty, high-need Kentucky school districts

Kentucky's focus in this area has led us to consistently meet No Child Left Behind (NCLB) targets for the equitable distribution of "highly-qualified" teachers. In fact, the latest Highly Qualified Summary Report shows that at Kentucky's high-poverty and high-minority schools, 98.7% and 98.4% of courses, respectively, are taught by highly-qualified teachers. Despite the progress it has made, however, the Commonwealth recognizes that it still has far to go. While it is important that all of the Commonwealth's students have access to qualified teachers, teacher qualifications are not the most important school-based factor in student achievement. Teacher effectiveness, on the other hand, is. With that in mind, the Commonwealth plans to transform its approach to equitable distribution to one focused on ensuring that high-poverty and minority students have equitable access to the most effective teachers and principals. Over the next few years this will become possible through more transparent information about teacher and principal effectiveness provided by Commonwealth's new evaluation system *(our new evaluation system is detailed in (D)(2)).*

Kentucky is prepared to take bolder actions to ensure that the Commonwealth's most effective teachers are serving the students who need them most. The Commonwealth has two **key goals** related to equitable distribution:

1) *(D)(3)(i)*: Students in high-poverty and/or high-minority schools are served by highly-effective teachers and principals at

equal or higher rates than other students (*see Evidence for (D)(3)(i) in Appendix EEE: Poverty and Minority Level Determination Procedures for definitions of high-minority and low-minority schools*).

2) *(D)(3)(ii)*: There is a sufficient supply of effective teachers for hard-to-staff subjects and specialty areas (i.e., math, science, special education, language instruction educational programs, remote geographies, schools in improvement status).

Please note that the following definitions apply:

1) High-minority schools are those that have a percentage of minority students in the top 25% of the percentage of minority populations of all schools
2) High-poverty schools are those that have a percentage of impoverished students in the top 25% of the percentage of impoverished populations of all schools

The Commonwealth's comprehensive reform plan is focused on educational equity. From the implementation of statewide standards to the turnaround of struggling schools to the transformation of professional development practices, the strategies within our plan will increase the efficacy of instruction provided to the Commonwealth's students, particularly those students in our highest-need schools. Additionally, to realize our goals for the equitable distribution of effective teachers and principals, the Commonwealth will undertake the following four activities:

Activity 1: Requiring and supporting equity-focused data reports from LEAs

The new teacher and principal evaluation system, as described in (D)(2), will provide data on the effectiveness of all teachers and principals in the Commonwealth. The Kentucky Department of Education will require and support all LEAs in creating an annual "LEA Educator Effectiveness Report" that publically presents aggregate data on the effectiveness of the educators serving our highest-need students. Each report will include:

- On (D)(3)(i), highly-effective teachers and principals for high-poverty and/or high-minority schools:
  - For teachers: School-level aggregate data on the number and percentage of teachers across the four levels of effectiveness *(see (D)(2) for more details on the evaluation system)* for all schools, identifying those schools that are high-poverty and/or high-minority
  - For principals: The percentage of high-poverty and/or high-minority schools that are led by principals across the four levels of effectiveness *(see (D)(2) for more details on the evaluation system)* as compared with the percentage of non-high-poverty and/or non-high-minority schools led by principals at each level
- On (D)(3)(ii), effective teachers for hard-to-staff subject areas:
  - The reports will also include data for hard-to-staff subjects and specialty areas, including the breakdown of teachers across the four levels of effectiveness and the number of vacancies for each type of position (e.g., by subject area).

The creation of these annual "LEA Educator Effectiveness Reports" will mean that districts and the state are continuously tracking, analyzing, and publicly reporting these metrics. Rolled out concurrently with the new evaluation system (see (D)(2) for timeline of evaluation system development and rollout), this information will enable LEAs and the state to create and assess the impact of targeted strategies to equitably distribute highly effective teachers and principals.

Activity 2: Recruiting and retaining effective teachers and principals in the classrooms and schools where they are needed most

Systematically bringing about the equitable distribution of effective teachers is one of the most pressing challenges in education today. The Commonwealth is committed to developing solutions to this challenge not just for Kentucky, but for the nation. To do so, the state will fund LEAs to test an innovative set of equitable distribution strategies focused on recruiting and retaining highly effective teachers and principals for high-poverty and/or high-minority schools, hard-to-staff subjects and specialty areas, and

turnaround schools. These field tests will be rigorously evaluated and used to inform statewide equitable-distribution strategies.

(D)(3)(i): Highly-effective teachers and principals for high-poverty and/or high-minority schools

The Department will invite LEAs to test approaches to attract and retain their most highly-effective teachers to high-poverty and/or high-minority schools. The Department seeks to spur the development of innovative solutions by empowering LEAs, local educators, and administrators to design research-based, locally-tailored strategies.

The Department will assess district proposals against the following four criteria: (*informed by the development of similar criteria detailed in Appendix FFF: Kentucky Report on Using Teacher Compensation to Support Differentiated Roles and Responsibilities*).

1. District commitment to assessing and improving teacher working conditions. Research suggests that financial incentives alone will not attract and retain enough highly effective teachers to substantially improve achievement in high-need schools. Successful programs will need to address poor working conditions (including but not limited to safety, support, professional growth, and individual teacher efficacy and beliefs about whether they believe they can make a difference) to ensure that the program, including the pay incentive, is sufficient to attract and retain highly effective educators
2. Willingness to couple incentives with other strategies to improve student growth and academic performance, including those detailed throughout this plan. Attracting highly effective teachers and principals alone will not turn around low-performing schools. For example, instructional tools, curricula, and appropriate staff development are also critical.
3. Quality of program design. Proposed programs must include:
    - Specific, objective criteria defining school eligibility (i.e., for high-minority and high-poverty schools)
    - Specific criteria for determining teacher eligibility (i.e., highly-effective teachers and principals, as measured by the new evaluation system)
    - Meaningful incentive amounts (i.e., financial incentives should provide at least a 10 percent salary increase)

- Input from teachers and principals
- Highly-effective professional development aimed at improving instruction

4. Quality of evaluation plan. Districts must commit to working with researchers to assess program design and impact. Impact measures would include changes in vacancy, retention, and turnover rates, improvements in indicators of teacher effectiveness, improved student learning, and teacher feedback.

(D)(3)(ii): Effective teachers for hard-to-staff subject areas

The Department will also fund LEAs with significant shortages in hard-to-staff subject or specialty areas (with STEM-subject areas being highest priority) and language instruction educational programs to field test recruitment and retention strategies for those hard-to-staff subject areas. These field tests will include innovative means of addressing the challenges of rural districts, such as the development of "mobile expertise" within rural districts so that the expertise of highly effective master teachers can be leveraged via technology and in-person meetings. Incentives in such field tests could include: reimbursement for the cost of coursework or other training needed to achieve certification in a shortage area and a salary supplement for teachers who are fully state-certified and who are assigned to teach in a shortage area. These approaches will launch during Fall 2011, and by 2013 the Department will begin codifying and supporting the expansion of successful approaches statewide.

Activity 3: Increasing the supply of teachers and leaders for high-need classrooms and schools

The Commonwealth will also increase the supply of new teachers and leaders entering its highest-need classrooms by expanding traditional and alternative pathways and by building the capacity of LEAs and schools to hire, recruit, and retain highly effective educators. The Department, the Education Professional Standards Board ("the Standards Board"), and the Council on Postsecondary Education ("the Council") are working together on a suite of approaches, including:

- Teach For America (TFA): TFA will recruit, train, coach, and mentor new teachers to teach critical shortage subjects in schools in Eastern Kentucky, with 120 teachers serving per year by 2012. These teachers will participate in a rigorous institute that meets the Standards Board requirements and will receive intensive coaching and mentoring during their first two years teaching from Teach for America. (*See Appendix GGG: Teach For America and Race to the Top Proposal for more detail*.)

- Intensive preparation programs: In addition, the Department, the Standards Board, and the Council will select postsecondary institutions to develop new intensive preparation programs in the rural areas of Kentucky (e.g., residency models, described in section (D)(5), that train and induct cohorts of teachers to enter high-poverty rural schools and are focused on developing innovative teaching strategies in schools with very scarce resources). The new programs will be developed by January 2011 and be ready to recruit candidates and fully launch in the Fall 2011. The Standards Board has already approved a teacher residency model at Western Kentucky University.

The Department and the Standards Board will jointly work to evaluate and continuously improve these programs during their first several years *(see (D)(4) for more detail on the Quality Performance Index system to evaluate teacher and principal preparation programs)* to ensure that only those that lead to more highly effective and effective teachers are re-accredited and expanded.

Activity 4: Building capacity at the district and school level to ensure equitable distribution of highly effective teachers and principals

The Commonwealth recognizes that systematically achieving the equitable distribution of effective educators will require fundamental changes in our core approaches and systems. As described above, we are undertaking field tests and establishing new partnerships to begin making these fundamental programmatic shifts. At the same time, there is emerging consensus that strategic

but relatively minor changes in operating procedures, practices, and priorities at the school and district level can have a disproportionate impact on the equity of teacher and principal distribution. Over the next year, we will launch the following strategies to build the capacity of district and school leaders to make such changes and increase equity of access to effective teachers and principals throughout the Commonwealth:

- Supporting more effective hiring practices: Widespread research has shown that LEA and school hiring practices play a critical role in recruiting and hiring the most effective teachers, particularly for the highest-need schools and classrooms. Starting in fall 2010, the Department, the Kentucky Education Association, the Kentucky Association of School Councils, the Kentucky Association of School Administrators, and the Kentucky Association of School Superintendents will conduct ongoing trainings with school councils and district human resources personnel to ensure that hiring timelines and processes are designed to enable the best teachers and principals to be recruited, hired, and placed where they are needed most. (see *Missed Opportunities: How We Keep High-Quality Teachers Out of Urban Classrooms* by Jessica Levin and Meredith Quinn (2003))

- Strengthening working conditions: Research also shows that working conditions at the highest-need schools are a significant challenge to teacher retention. As described in (D)(2), we are introducing the New Teacher Center's Teacher Working Conditions survey and making principal use of survey results to improve working conditions a major feature of the new evaluation system. For the first time, principals will be explicitly held accountable for and supported by professional development to improve the working conditions in their schools, and we anticipate that this will make the biggest impact at high-need schools with the most challenging working conditions. *(see Working conditions: (Hirsch and Emerick, 2007)*

- Supporting data-driven decision-making: The equity-focused "LEA Educator Effectiveness Reports" will provide essential information about educator placement within and across schools. So that districts and schools have the capacity to use this

information for decision-making, the Department will provide ongoing trainings through the Commonwealth's nine regional cooperatives, school administrator networks, and Superintendent networks. These trainings will ensure that all districts and school leaders are aware of and can apply best practices in teacher and principal assignment within and across schools to promote equitable distribution.

Implement new approaches

Action steps	2010	2010-11	2011-12	2012-13	2013-14	2014-15	Responsible
Produce "LEA Educator Effectiveness Reports" in first year of district implementation of new evaluation system							LEAs; monitored by KDE
Conduct field tests of equitable distribution approaches throughout state							LEAs; KDE; third-party evaluator
Expand effective equitable distribution approaches statewide							LEAs; KDE
Develop/launch range of statewide recruitment and training partnerships and programs							KDE; EPSB; Council on Postsecondary Education
Develop/launch statewide capacity-building programs focused on equitable distribution							KDE; multiple partners

Performance Measures for (D)(3)(i) *Note: All information below is requested for Participating LEAs.*	Actual Data: Baseline (Current school year or	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
General goals to be provided at time of application:	**Baseline data and annual targets**				
Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).	N/A	5%	8%	12%	20%
Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).	N/A	10%	10%	10%	10%
Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.	N/A	15%	13%	8%	5%
Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.	N/A	15%	13%	8%	5%
Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).	N/A	3%	5%	8%	12%
Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).	N/A	10%	10%	10%	10%
Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.	N/A	12%	8%	5%	0%
Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.	N/A	10%	8%	5%	3%

Note: Baseline data not available as teacher and principal effectiveness is not yet measured statewide. Furthermore, the estimates included are for the Participating LEAs that have implemented the new teacher and principal growth model evaluation systems; this percentage will also grow over time as reflected in the performance targets for (D)(2).

Percentage of teachers in schools that are high-poverty, high-minority, or both, who are highly effective: These targets reflect the expected growth in the percentage of highly-effective teachers that will be serving high-poverty and high-minority students as a result of the initiatives described across these plans, including the Educational Recovery Specialist program.

Percentage of teachers in schools that are low-poverty, low-minority, or both, who are highly effective: These targets reflect the expectation that the percentage of highly-effective teachers in low-poverty and low-minority schools will likely remain unchanged, as none of the strategies outlined here specifically target those schools.

Percentage of teachers in schools that are high-poverty, high-minority, or both, who are ineffective: These targets reflect the expectation that the percentage of ineffective teachers in high-poverty and high-minority schools will decrease, as more teachers become more effective, and ineffective teachers are coached out or replaced (e.g., in Educational Recovery Schools where the turnaround option is implemented.)

Percentage of teachers in schools that are low-poverty, low-minority, or both, who are ineffective: While these plans do not focus on low-poverty and low-minority schools, all LEAs in Kentucky are participating in the Race to the Top, and therefore the expectation is that the number of ineffective teachers in low-poverty and low-minority schools will decrease as well.

Percentage of principals leading schools that are high-poverty, high-minority, or both who are highly effective: These targets reflect the expected growth in the percentage of highly-effective principals leading high-poverty and high-minority schools as a result of the initiatives described across these plans, including the Educational Recovery Leader program.

Percentage of principals leading schools that are low-poverty, low-minority, or both, who are highly effective: These targets reflect the expectation that the percentage of highly-effective principals leading low-poverty and low-minority schools will likely remain unchanged, as none of the strategies outlined here specifically target those schools.

Percentage of principals leading schools that are high-poverty, high-minority, or both, who are ineffective: These targets reflect the expectation that the percentage of ineffective principals in high-poverty and high-minority schools will decrease, including in Educational Recovery Schools where the turnaround option is implemented.

Percentage of principals leading schools that are low-poverty, low-minority, or both, who are ineffective: While these plans do not focus on low-poverty and low-minority schools, all LEAs in Kentucky are participating in the Race to the Top, and therefore the expectation is that the number of ineffective principals leading low-poverty and low-minority schools will decrease as well.

General data to be provided at time of application:	

Total number of schools that are high-poverty, high-minority, or both (as defined in this notice).	551
Total number of schools that are low-poverty, low-minority, or both (as defined in this notice).	644
Total number of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice).	16,656
Total number of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice).	15,879
Total number of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice).	551
Total number of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice).	644

347 schools are high-poverty, 340 schools are high-minority, and 136 schools are both high-poverty and high-minority; 551 are high-poverty, high-minority, or both.

345schools are low-poverty, 348 schools are low-minority, and 141 schools are both low-poverty and low-minority. Please note that some schools that are low-poverty are high-minority, and some that are low-minority are high-poverty; 644are low-poverty, low-minority, or both.

There are 9,117 teachers in schools that are high-poverty, 11,420 in schools that are high-minority, 3,995in schools that are both high-poverty and high-minority; 86,182 teachers are in schools that are high-poverty, high-minority, or both.

There are 9,542 teachers in schools that are low-poverty, 10,395 in schools that are low-minority, 3,764 in schools that are both low-poverty and low-minority; 15,879 teachers are in schools that are low-poverty, low-minority, or both.

For numbers of principals leading schools, every school is lead by a principal (schools that may have vacancies in lead principal positions are currently lead by interim lead principals); therefore, these numbers match the numbers of school in each category reported in the rows above.

Data to be requested of grantees in the future:	

Number of teachers and principals in schools that are high-poverty, high-minority, or both (as defined in this notice) who were evaluated as highly effective (as defined in this notice) in the prior academic year.	[redacted]
Number of teachers and principals in schools that are low-poverty, low-minority, or both (as defined in this notice) who were evaluated as highly effective (as defined in this notice) in the prior academic year.	
Number of teachers and principals in schools that are high-poverty, high-minority, or both (as defined in this notice) who were evaluated as ineffective in the prior academic year.	
Number of teachers and principals in schools that are low-poverty, low-minority, or both (as defined in this notice) who were evaluated as ineffective in the prior academic year.	

Performance Measures for (D)(3)(ii) *Note: All information below is requested for Participating LEAs.*	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
General goals to be provided at time of application:	**Baseline data and annual targets**				
Percentage of mathematics teachers who were evaluated as effective or better.	N/A	15%	20%	25%	40%
Percentage of science teachers who were evaluated as effective or better.	N/A	15%	20%	25%	40%
Percentage of special education teachers who were evaluated as effective or better.	N/A	15%	20%	25%	40%
Percentage of teachers in language instruction educational programs who were evaluated as effective or better.	N/A	15%	20%	25%	40%

Note: Baseline data not available as teacher and principal effectiveness is not yet measured statewide. Furthermore, the estimates included are for the Participating LEAs that have implemented the new teacher and principal growth model evaluation systems; this percentage and number of LEAs will also grow over time as reflected in the performance targets for (D)(2).

These targets reflect the expectation that the percentages of effective teachers in math, science, special education, and language instruction educational programs will increase as a result of the implementation of the plans detailed in this application, in particular, Kentucky's STEM initiatives, equitable distribution pilots and programs, and new alternative routes to certification.

General data to be provided at time of application:	
Total number of mathematics teachers.	7,807
Total number of science teachers.	6,104
Total number of special education teachers.	7,992
Total number of teachers in language instruction educational programs.	137

All numbers of teachers above are for the 2009-2010 school year.
For teachers in language instruction educational programs, there are 137 certified teachers providing instruction that meets the federal definition of a "language instruction educational program" for English Language Learners.

Data to be requested of grantees in the future:	
Number of mathematics teachers in participating LEAs who were evaluated as effective or better in the prior academic year.	
Number of science teachers in participating LEAs who were evaluated as effective or better in the prior academic year.	
Number of special education teachers in participating LEAs who were evaluated as effective or better in the prior academic year.	
Number of teachers in language instruction educational programs in participating LEAs who were evaluated as effective or better in the prior academic year.	

(D)(4) Improving the effectiveness of teacher and principal preparation programs *(14 points)*

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

(i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and

(ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: One page

Introduction and context

Improving the effectiveness of teacher and principal preparation programs

Goal	• Expand the Commonwealth's most successful teacher and principal preparation programs, discontinue ineffective programs, and the continuously improve all programs
Action steps	• Provide a public ranking of teacher and principal preparation programs according to the effectiveness of their graduates, using student achievement and student growth data as significant inputs • Continue revising the program accreditation process so that only those programs that produce effective teachers and principals are accredited • Support quality improvement efforts at accredited programs • Provide funding and establish partnerships only with the most effective preparation programs
Milestones	• On December 31, 2010, all program accreditations "sunsetted" and all programs required to reapply • By 2011-12, preparation program data will be linked with longitudinal data system • By 2012, first preparation program ranking will be released • By 2012, partnerships with preparation programs will only be used to support and expand effective programs

Kentucky has worked steadily over the years to increase the effectiveness of its teacher and principal preparation programs. The Education Professional Standards Board ("the Standards Board"), established in 1990, "…in full collaboration and cooperation with its education partners, promotes high levels of student achievement by establishing and enforcing rigorous professional standards for preparation, certification, and responsible and ethical behavior of all professional educators in Kentucky." Of particular note in this area are three efforts:

- Since May of 2001, the Kentucky's Educator Preparation Programs report card ("the Report Card") has been in place to provide stakeholders with a snapshot of the quality of teacher preparation programs throughout the Commonwealth in any given year. (*See Appendix III: KEPP Report Card History and Sample for full Report Card history and description.*)
- The Standards Board has announced policies to "sunset" all teacher master's and principal preparation programs beginning

on December 31, 2010. To regain accreditation, these programs must revamp their program models to meet high standards of best practice, including a strong focus on practical experience.

- Since 2005, Kentucky has worked to develop a cohesive leader development system that includes teacher leader master's degree programs and redesigned principal programs focusing on instructional leadership. At the National Association of State Boards of Education National Legislative Conference in Washington, D.C. on March 17, 2010, Kentucky was commended for this system. According to the RAND research report *Improving School Leadership: The Promise of Cohesive Leadership Systems*, Kentucky was invited to serve on a panel at the conference because "Kentucky's success in developing a cohesive leader development system, as articulated in the recently released RAND report, offers important lessons for other states scaling efforts. We would like to profile Kentucky as part of a panel presentation on state strategies to establish cohesive educator development systems and conditions to support a culture of instructional practice." *(See Appendix EE for the report Improving School Leadership: The Promise of Cohesive Leadership Systems.)*

(D)(4)(i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State

The Report Card is Kentucky's mechanism for publicizing the effectiveness of its preparation programs. The Quality Performance Index (the Index) was a component of the Report Card until it was suspended by the Standards Board in 2007 due to concerns associated with the components of the calculation as measures of program quality. (See Appendix JJJ: Effective Educator Preparation Index and Effective Principal Preparation Index Overview for description of formerly-reported Index.) The Standards Board stands ready to redesign the Index, now the Effective Educator Preparation Index (EEPI) and the Effective Principal Preparation Index (EPPI), to create a single numerical indicator of program quality and enable a publicly-released ranking of teacher and principal preparation programs according to the effectiveness of their graduates. It has identified the formulas required and done

preliminary analysis; with limited future work, this idea can go to scale with very rapid impact. The information provided in the EEPI and the EPPI will be public domain to be used by IHEs, LEAs, and individuals to make informed decisions about institutional choice.

The redesigned Indices will merge multiple inputs into an algorithm that results in a single score for each program within a broader institution (i.e., a special education teacher program), as well as an aggregate score for the institution (i.e., a college of education). Among the most significant inputs to the Indices will be student achievement and student growth data from the new Kentucky Teacher and Principal Professional Growth and Evaluation System (as described in the teacher and principal evaluation system explained in (D)(2)). Additionally, the EEPI will include data from an evaluation of pre-service teacher competence and effectiveness as measured by an instrument that will meet standards of psychometric rigor and also provide evidence of substantive relevance to policy decisions about improvement of teacher quality. Because the data from the teacher and principal evaluation system will be an input into the EEPI, the Report Card will also include which preparation programs produce the highest percentages of effective and highly effective teachers and principals**.** The EEPI and the EPPI will include both quantitative (e.g., average scores on Praxis tests, retention rates of educators who complete the program) and qualitative (e.g., outcomes of the New Teacher Survey) indicators. *(For a complete list of the effectiveness indicators that will be included in the Indices, see Appendix JJJ: Effective Educator Preparation Index and Effective Principal Preparation Index Overview.)*

The Standards Board will work with the Kentucky Statewide Longitudinal Data System (KY SLDS) team to ensure that the postsecondary data necessary for the Indices is included in the data system. The Standards Board will have finalized the new EEPI algorithm by December 31, 2011 and the EPPI by June 30, 2012, and will test the calculation for a subset of preparation programs (the preparation programs whose data is most easily linked with the longitudinal data system will be included first; however, the Indices will not be included in the Report Card until all programs can be included.) By the end of 2013, all preparation program data, including alternative certification routes, will be linked with the longitudinal data system and the first Report Card including

the revised Indices ranking will be released.

(D)(4)(ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals

The Commonwealth's plan to expand its most successful teacher and principal preparation programs involves providing better information to the teacher and principal "market," supporting program improvement, strengthening our regulatory approach, and using public resources to expand the most successful programs.

- *Improving the "market"*: Once the Indices have been revised, the teacher and principal preparation "market" will have annual reports that show which preparation programs' graduates are most effective. The Report Cards will enable prospective teachers and principals to choose programs that most effectively prepare them, and LEAs can focus recruitment efforts on those programs as well. Since the Indices measure student growth and teachers' contribution to that growth, they will not serve to discourage teachers from serving high-need student populations, nor preparation programs from placing teachers in these settings. This will increase demand for the most successful options and programs, likely leading to an expansion of their services and a reduction in the services of less successful options.

- *Strengthening our regulatory approach*: The Education Professional Standards Board has the authority by direction of Kentucky General Assembly to monitor and accredit institutions in Kentucky. It has used this authority to regulate program quality to date, and going forward will do based on better information (as described above) and with an eye toward supporting the expansion of successful programs

    - To date: Administrative regulation 16 KAR 5:010 establishes the procedures to monitor program effectiveness. The Standards Board has a collaborative partnership with the National Council for Accreditation of Teacher Education (NCATE), using its standards as a basis for the evaluation of educator preparation programs. Following on-site

monitoring visits and data analysis, a committee may make recommendations to the Standards Board, with one of four recommendations: 1. accreditation 2. provisional accreditation 3. denial of accreditation or 4. revocation of accreditation. The Standards Board has suspended institutional educator preparation programs which demonstrated continued deficiencies. In the past five years, the Standards Board has suspended two teacher preparation programs based on deficiencies. In addition to program reviews based on NCATE standards, the Standards Board conducts annual reviews by monitoring the success rates of candidates on the educator and principal performance assessments. Programs whose candidates demonstrate low levels of content proficiency and/or pedagogical skills through state approved assessments must submit corrective action plans to address the deficiencies.

- Going forward: The Standards Board will revise the reaccreditation process so that programs must meet a minimum quality threshold to be reaccredited. It has already started this process by "sunsetting" the accreditation of all teacher master's and principal preparation programs beginning on December 31, 2010 and requiring all programs to reapply. The revised accreditation process will be based upon data about program effectiveness (i.e., the Indices) and observed indicators of highly successful programs. Additionally, there will be annual accreditation site visits and program monitoring to ensure all institutions function on a continuous growth model to meet the needs of teacher candidates. This new approach will enable the Commonwealth to monitor each program not just once every seven years (as now is the case) but continuously, only accrediting those programs that are successful at preparing teachers and principals.

- *Supporting program improvement*: Kentucky also plans to supports its successful programs to improve. At its January 2010 meeting, the Standards Board appointed a Committee to Review Admission and Clinical Experiences, which is charged with identifying best practices regarding admissions and clinical experiences for teacher candidates. The committee shall provide recommendations to the Standards Board on ways to incorporate these best practices into all of

Kentucky's accredited teacher preparation programs. Once the committee recommendations have been reviewed and approved by the Standards Board and regulatory changes are implemented, program guidelines will be revised and updated to reflect how colleges and universities should prepare effective educators. By June 2010, this committee is expected to bring recommendations for changing incurrent regulations and policy so that all of Kentucky's teacher and principal preparation programs select candidates who possess the critical skills, knowledge, and dispositions and providing them with the high-quality clinical experiences proven effective. Additionally, Kentucky Association of Colleges for Teacher Education (KACTE) conferences will provide an important opportunity for program component demonstration and feedback.

- *Using public resources to expand the most successful program*s: In its comprehensive reform plan, Kentucky is establishing a variety of partnerships with teacher and principal preparations programs, and in some cases funding teachers and principals to pursue additional coursework and credentialing through such programs. To support the expansion of successful programs, while ensuring that the Commonwealth uses its resources to support only the best educational opportunities for its teachers and leaders, we will only establish such partnerships with programs determined highly effective in our redesigned performance indices.

This suite of approaches will lead to the expansion of our most successful teacher and principal preparation programs, the discontinuing of ineffective programs, and the continuous improvement of all programs.

Implement new approaches

Action steps	2010	2010-11	2011-12	2012-13	2013-14	2014-15	Responsible
Link preparation data with longitudinal data system							KDE; EPSB
Develop and release first ranking of preparation program quality							EPSB
Refine and improve accreditation and preparation program quality improvement process							EPSB
Establish partnerships with effective programs							KDE

Performance Measures	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
General goals to be provided at time of application:	**Baseline data and annual targets**				
Percentage of teacher preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.	0%	0%	25%	50%	100%
Percentage of principal preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.	0%	0%	25%	50%	100%

These targets are aligned with the implementation timeline put forth in the (D)(4) plan, reflecting the goal of completing the Effective Educator Preparation Index and the Effective Principal Preparation Index within the next three years so that, by 2014, the public can access data on the effectiveness of teacher and principal preparation program graduates.

General data to be provided at time of application:	
Total number of teacher credentialing programs in the State.	30
Total number of principal credentialing programs in the State.	11
Total number of teachers in the State.	41,770
Total number of principals in the State.	1,260

For the Total number of teachers in the State, there are 41,770 teachers who are assigned to a classroom.

Data to be requested of grantees in the future:	
Number of teacher credentialing programs in the State for which the information (as described in the criterion) is publicly reported.	
Number of teachers prepared by each credentialing program in the State for which the information (as described in the criterion) is publicly reported.	
Number of principal credentialing programs in the State for which the information (as described in the criterion) is publicly reported.	
Number of principals prepared by each credentialing program in the State for which the information (as described in the criterion) is publicly reported.	
Number of teachers in the State whose data are aggregated to produce publicly available reports on the State's credentialing programs.	
Number of principals in the State whose data are aggregated to produce publicly available reports on the State's credentialing programs.	

(D)(5) Providing effective support to teachers and principals *(20 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for its participating LEAs (as defined in this notice) to—

(i) Provide effective, data-informed professional development, coaching, induction, and common planning and collaboration time to teachers and principals that are, where appropriate, ongoing and job-embedded. Such support might focus on, for example, gathering, analyzing, and using data; designing instructional strategies for improvement; differentiating instruction; creating school environments supportive of data-informed decisions; designing instruction to meet the specific needs of high need students (as defined in this notice); and aligning systems and removing barriers to effective implementation of practices designed to improve student learning outcomes; and

(ii) Measure, evaluate, and continuously improve the effectiveness of those supports in order to improve student achievement (as defined in this notice).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Five pages

Introduction and context

Providing effective support to teachers and principals

Goal	• Provide effective supports and learning opportunities to teachers and leaders through a coordinated professional learning system so that they continuously improve their practice and increase student learning
Action steps	• Develop a coordinated statewide professional learning system through: – Statewide content leadership networks and administrator leadership networks to lead professional learning throughout the Commonwealth – District leadership teams to coordinate professional learning at the district level – School professional learning teams in all schools to serve as hubs for common planning, collaboration, and professional learning • Create and field test the teacher residency model to prepare teachers for the Commonwealth's hard-to-staff subject and specialty areas and high-poverty / high-minority schools • Evaluate and continuously improve the effectiveness of the new professional learning system through the Continuous Instructional Improvement Technology System (CIITS) and third-party evaluations
Milestones	• By July 2010, content leadership and administrator leadership networks will launch professional learning to begin implementation of new standards and assessments • By 2010-11, district leadership teams and school-based professional learning teams will operationalize the new professional learning system in all districts and schools • In 2011-12, field tests of the new teacher residency model will launch • By 2012-13, new professional learning system will be in full operation and in the process of continuous evaluation and improvement

A robust professional learning system to support teachers and principals is critical to ensure that all students across the Commonwealth are served by effective educators. Combined with a powerful growth-based performance evaluation system (*described in (D)(2)*), targeted, high-quality professional learning supports will boost the overall effectiveness of our teachers and leaders, thereby playing a critical role in improving student outcomes. Kentucky's education stakeholders agree; in a survey conducted by the Kentucky Department of Education ("the Department"), 90% of the 2,440 respondents agree or strongly agree that high-quality professional learning opportunities for teachers and principals aligned with their growth needs will improve Kentucky's performance on teacher and principal effectiveness and increase student learning.

Kentucky's goal is to provide effective supports and learning opportunities through a coordinated professional learning system for teachers and leaders so that they are able to continuously improve their practice and increase student learning based on each of their individual needs and goals. This system has been informed by teachers, principals, researchers, providers, as well as past experience, and it will be continuously evaluated and improved to ensure that it truly drives increases in student learning.

(D)(5)(i) Activity 1: Revising the State's approach to professional learning

Historically, Kentucky has not undertaken a singular approach to professional learning; rather, LEAs and school councils have each selected their own vendors and approaches. This has resulted in a disparate set of trainings, materials, methods, and ultimately, variable impact across these professional learning models in terms of increasing teacher and principal effectiveness. Going forward, the State will support LEAs and school councils to implement high-quality professional learning for teachers and principals, with a focus on using approaches with evidence of impact on student learning. Three major changes, described below, will enable this transformation of the Commonwealth's approach to Professional Learning:

- Strengthening the existing system of networks at the state, district, and school level
- Providing data and resources through the Continuous Instructional Improvement Technology System (CIITS)
- Prioritizing job-embedded professional learning, enabled through legislative changes

The Department, by strengthening the professional learning infrastructure as part of the Common Core standards and assessments implementation, will provide districts with a hybrid model for professional learning that combines technology-based and in-person professional learning experiences and supports to meet the needs of all teachers across geographies and assignments. Districts and school councils can then utilize this infrastructure to leverage change in their own systems. Furthermore, through the CIITS (*see*

section (C)(3) for more detail), there will be a database of effective professional learning opportunities and programs that can be accessed for individual teacher, school, or district needs based on student learning and professional growth data. Districts will therefore be able to share effective professional learning strategies through this platform.

Strengthening the existing system of networks at the state, district, and school level

As described in (B)(3), supporting the transition to the new Common Core standards and aligned assessments will be the initial focus of the State's network-based approach to professional learning. Across the Commonwealth, existing networks housed at and supported by the eight regional Educational Cooperatives and the Gheens Professional Development Academy in Jefferson County will be leveraged to ensure LEAs have access to a robust set of professional learning networks (*see (A)(2) for more detail on capacity building and the role of the Educational Cooperatives, and Appendix KKK: Professional Learning in Regional Networks for a graphical representation of the system of networks*). This existing network infrastructure currently addresses several areas, from collective curriculum purchasing to principal training. Going forward, the networks will be strengthened and refocused on teacher and principal professional learning, starting in summer 2010 with the work required to transition to the new standards. The aim of this network structure is to provide support for LEAs so that all teachers have access to effective professional learning.

At the state level, two mechanisms will coordinate and align the networks, a Network Coordinator at the Department of Education and a state-level Core Oversight Team. The Network Coordinator is a new position at the Department focused on aligning the networks and providing them the ongoing support and access to resources needed to be effective. The Core Oversight Team, a state-level team that includes content specialists from the Department's Office of Teaching and Learning, will design, provide support in the form of training/information/resources to all network lead facilitators, and provide feedback on the work of all new and established networks in order to ensure a coordinated and consistent focus with the Characteristics of Highly Effective Teaching and Learning *(see Appendix LLL: High Quality Teaching and Learning Overview Guide).* This team will also gather information from

LEAs and the field, identify best practices, and highlight those best practices so that all networks may build upon them.

The Commonwealth will begin with two types of statewide systems of networks to support LEAs with the provision of effective professional learning for teachers and principals (though the Department will continuously assess the approach's effectiveness and revise or augment the approach should the need arise):

1. Content area leadership networks will be most critical for the transition to the new standards. Each content area leadership network is comprised of nine hubs (one within each Cooperative or Jefferson County), each with a small leadership team that includes a designated team lead, two Department staff people (titled "Implementation Coordinators," e.g., content specialists, Educator Quality field staff, Reading First coaches), an Educational Cooperative consultant, and a higher education faculty member. Because Kentucky is committed to implementing new standards and assessments in seven subject areas, there will eventually be seven content area networks.
2. The administrator leadership network is similarly comprised of nine regional administrator hubs (one within each Cooperative or Jefferson County). This regional network and the overarching administrator leadership network build upon the superintendents network and partnerships with colleges and universities already established through the Educational Cooperatives, and the superintendent "CEO network," which the Department is expanding through a partnership with the Kentucky Association of School Superintendents. Utilizing networks of administrators will enable collaboration, best-practice sharing, statewide quality control and implementation of new initiatives with fidelity. For rural districts, with less access to resources and fewer in-house experts due to remote geographies and smaller size, this network approach will also supplement district capacity with the expertise, experience, knowledge, and tools from other districts and regions of the Commonwealth.

In addition to this statewide regional network approach, individual district level leadership teams and school-based professional

learning teams will be critical for collective problem-solving, best-practice sharing, and collaboration within districts.

1. Each district leadership team will be comprised of the superintendent, Science teacher leaders, Math teacher leaders, English/Language Arts teacher leaders, Social Studies teacher leaders, administrative leaders, and instructional supervisors. These personnel will attend the regional networks for their content area and will plan for scaling to all schools and classrooms in the district. All network participants will be expected to commit to the network and the district leadership team for a minimum of 3-5 years to build capacity, continuity, and sustainability. [Note: most districts already have these teams in place, currently referred to as "instructional leadership teams." Their work will be refocused on the transition to the new Common Core standards in early 2010.] The district leadership teams will support school leaders (e.g., principals, teacher leaders) with implementation in every school and classroom.
2. School-based professional learning teams as described in (B)(3) will be collaborative teams that ensure that teachers have access to, understand, and utilize the resources provided by the regional and statewide networks to inform their instruction, particularly around alignment and implementation of the new standards and assessment system. Furthermore, it is through these teams that teachers will continue to learn and adopt the *Classroom Assessment for Student Learning* diagnostic approach to teaching that places the collaborative analysis of student work and the individualization of instruction at the center of professional learning efforts. Professional learning teams will be school-based hubs for professional learning and support, including collaboration amongst staff with varied expertise and experience levels, time for common planning, data review, mentoring and coaching.

In addition to extensive experience with regional Cooperatives, Kentucky already has strong examples of content area networks and ongoing professional learning that have been established as part of the State's STEM strategy. For example, the Mathematics and Science Partnership (MSP) creates partnerships between high-need school districts and the science, technology, engineering, and mathematics faculty in institutions of higher education to increase the academic achievement of students in mathematics and science

by enhancing the content knowledge and teaching skills of classroom teachers. Additionally, the Partnership Institute for Mathematics and Science Education Reform (PIMSER) seeks to enhance learning in mathematics and science for K-16 students and teachers and to prepare students for success in STEM education and teaching careers. KDE partners with PIMSER through Leadership Support Networks in Mathematics and Science (MLSN and SLSN). *(For more detail on Kentucky's approach to STEM please see section on Priority 2 STEM.)*

The Department will establish the content leadership networks and the administrator leadership network by summer 2010. Additionally, as part of the Race to the Top initiatives described in (B)(3), the Department will provide resources to districts to differentiate schools' needs depending on where they are with implementation of professional learning teams. Through Race to the Top, Title I, and Title II funding sources, incentives and grant funding will be provided to districts to ensure all schools have effective professional learning teams for Math and English/Language Arts by August 2011.

Providing data and resources through the Continuous Instructional Improvement Technology System (CIITS)

Content leadership networks will identify and develop the tools and supports to populate the CIITS, which will connect teachers and principals to the best curriculum, assessment, instruction, professional learning, and evaluation resources. This will result in a plethora of high-quality resources – some newly-created by practitioners, postsecondary faculty, and content experts through the Common Core standards and assessments implementation work, and some created by outside providers of professional learning experiences and material. (*See (C)(3) for detail on the technology infrastructure, (B)(3) for the system of support for curriculum, assessment and instruction, and (D)(2) for information on how the teacher and principal evaluation data are integrated into this system*.) Because we know that continuous learning is key for teachers and leaders to be highly effective, and high-quality supports are necessary to enable continuous learning, the CIITS will provide this support in the following ways (this list is not comprehensive):

- Provide continuous access to proven strategies and resources
- Support collaboration through online communities
- Share knowledge of experts in content areas such as Math, Science and English/Language Arts within teachers' own classrooms
- Provide examples from action research from classrooms and schools similar to their own
- Provide online access to postsecondary courses

For individual teachers, the CIITS will provide the tools, resources, and data (e.g., formative assessment and other student learning results) needed to inform their professional growth plans. For school-based professional learning teams, the CIITS provides resources aligned to each standard that teachers can use to guide their discussions, as well as data tools to help teachers analyze student learning together at the classroom- or school-level. (*See (B)(3) and (C)(3) for detailed implementation timelines for the CIITS.*)

Prioritizing job-embedded professional learning, enabled through legislative changes

Because research shows that job-embedded professional learning is more effective than models where practitioners are removed from their schools, the Commonwealth's new professional learning system will allow for professional learning teams to drive the professional learning agenda and focus on the problems of practice in their schools in a "just in time" manner. To enable the necessary allocation of time for job-embedded professional learning, the Department will work with the legislature in January 2011 to pass a revised statute for teacher professional development, changing the structure and approach to professional development statewide. (*See Appendix MMM: KDE Staff Note Regarding Professional Development Statutory Revisions for staff note on revised statute.*) Legislation currently requires teachers to complete 24 hours per year of professional development tied to their professional growth plan. The proposed legislation will remove the hour requirement and rather require that professional development become an embedded part of the teacher's workday. However, the Commonwealth's approach to professional learning can be achieved within

the constraints of the current system until new legislation is passed.

(D)(5)(i) Activity 2: Providing professional learning experiences for successful implementation of all new initiatives

The coordinated professional learning system described above (and in (B)(3)) will be built and piloted through the transition to the new standards and aligned assessments. The Commonwealth's new professional learning infrastructure will also enable successful implementation of the following statewide initiatives detailed in other parts of Kentucky's proposal:

a) Professional learning to support data-driven instruction. As outlined in (C)(2) and (C)(3), teachers, principals, and other stakeholders will need access to high-quality professional learning opportunities about access to and strategic use of data. We will use our regional network structure to prepare and deploy 400 master trainers who will train educators to access, understand, and act on student achievement data, in particular:
    a. How to access and use the Kentucky Statewide Longitudinal Data System (KSLDS)
    b. How to analyze and use the data in the KSLDS to make decisions to improve student achievement
    c. How to access and use the CIITS
    d. How to analyze and use data in CIITS to improve instruction and student achievement
b) Professional learning to support implementation of the Kentucky Teacher and Principal Professional Growth and Evaluation System. As outlined in (D)(2), Kentucky will implement a new approach to teacher and principal professional growth and evaluation. This new approach will result in more feedback on teacher and principal practice and impact on student learning, as well as an increased focus on continuous improvement. Guided by the Effective Teacher and Effective Principals Steering Committees, district leadership teams will support school-level professional learning teams to collaborate to adopt, implement, and refine the evaluation system. Professional learning teams will provide "low stakes" environments for teachers and principals to discuss how to best leverage this information to improve practice.

(D)(5)(i) Activity 3: Creating a residency model

Kentucky is ready to boldly rethink teacher induction. The Education Professional Standards Board ("the Standards Board") will explore the benefits of a two-year clinical residency/induction model for preparing new teachers for effective practice in the Commonwealth's hard-to-staff subject and specialty areas and high-poverty / high-minority schools, by significantly increasing the amount of time the teacher candidate has in a real classroom under the supervision of a highly-effective teacher. Many teachers cite a lack of support as a barrier to teaching in these types of schools or classrooms, and the current twelve-week student teacher model does not provide ample time to translate academic pedagogical instruction into the actual skills teachers need to be effective during their first years in the classroom. Additionally, the current model of student teaching has inconsistent expectations regarding the experiences of the teacher candidate and the qualifications and responsibilities of the supervising teacher.

Professional Learning Schools

Kentucky's undergraduate teacher residency program will be built around Professional Learning Schools, which represent strong partnerships between local districts and colleges or universities nearby. Professional Learning Schools will serve several purposes, benefiting the local district, the college / university, and most importantly, the students at the school. Professional Learning Schools will do the following:

- Provide opportunities for teachers participating in the residency program ("teacher residents") to experience all aspects of classroom teaching
- Provide opportunities for teacher residents to collaborate through professional learning teams facilitated by master teachers
- Serve as a laboratory environment to try adaptive and innovative approaches to teaching and learning
- Enable continuous evaluation and participation from university researchers in identifying what works, particularly with respect to high-need student populations
- Learn from and build upon existing examples of district-higher education partnerships, such as the signature partnership at

Atkinson Elementary in Jefferson County and leading national examples

Kentucky's approach to teacher residency

The Standards Board and the Department will partner to launch a set of pilots to develop undergraduate teacher residency programs. The structure of the approach is as follows:

- During their Sophomore year, undergraduates can apply to the residency program; the program will be selective, only accepting the most committed, promising candidates
- During the summer before the residency begins and the summer in between teacher residents' Junior and Senior years, K-12 and university educators will host a summer immersion academy where candidates participate in content and pedagogical workshops, with specific sessions designed to address the needs of rural and urban settings, and different student segments
- In their Junior year, teacher residents will participate in two semesters of student teaching, working closely with a master teacher and participating in a professional learning team with other teacher residents and master teachers focused on support (e.g., best practice sharing, collective problem-solving, instructional practice development)
- In their Senior year, teacher residents will follow a four-day teaching week, plus one day focused on coursework or a reflective practice seminar to hone instructional practices and work with other teacher residents and mentors in professional learning teams. Tasks will be developed using teacher work sample methodology that will guide the teaching part of the residency and document the specific level of competency of the teacher candidate
- Upon undergraduate completion, the districts housing Professional Learning Schools will place the practicing educators as teachers of record, and graduates will begin participation in the Kentucky Teacher Internship Program (in which all new teachers participate for their first year of teaching)

In Summer 2010, the Department, the Standards Board, and the Council on Postsecondary Education, will develop a request for

proposals from partnerships between districts and institutions of higher education, and then identify six programs to field test the residency approach (two elementary school, two middle school, and two high school). Successful proposals will include the following elements:

- Roles and responsibilities for all partner organizations, including research and teaching faculty at the institution of higher education, teachers and principals of Professional Learning Schools, and the partner district staff
- Plan to establish Professional Learning Schools (building upon existing partnership schools where applicable), including necessary training and support for existing and new staff (i.e., mentor teachers, school administration, postsecondary faculty)
- Curricular amendments to ensure teacher residents complete requirements for Bachelor's degrees within the time period of the residency, and preliminary samples of the tasks and learning experiences to be included in the residency curriculum
- Plan for summer immersion programs, including outlines of the goals and modules
- Learning agenda with key questions to be addressed by ongoing research by university faculty

In the 2011-2012 school year, the six field tests will launch, and the first cohort of teacher residents will be selected (to begin placement in a Professional Learning School in Fall 2012). University researchers and a third-party evaluation provider will evaluate and inform the continuous improvement of the field tests throughout implementation conduct a formal outcomes evaluation in 2014 when the first cohort of residents begins its full-time placement as teachers.

(D)(5)(ii) Activity 4: Evaluation and improvement of teacher and principal professional learning

Kentucky will take a "return on investment" approach to evaluating professional learning. Generally, this will mean assessing the impact of professional learning models on teacher and principal effectiveness, as measuring in significant part by growth in student learning. The Commonwealth is committed to identifying which professional learning opportunities most effectively increase student learning. Three mechanisms will enable the continuous evaluation and improvement of the new professional learning system and approach:

- The CIITS will be developed and rolled out to all districts by Fall 2012. It will provide:
  - Extensive reporting mechanisms that enable district and state leaders to constantly evaluate the effectiveness of teaching, resources, assessments, professional learning, and technology for continuous improvement
  - A professional learning database in which the providers and methods identified as most effective by LEAs (through third-party evaluations and the new teacher and principal evaluation system) can then be highlighted. This will be a continuously evolving and expanding database of professional learning approaches, models, and examples that have been tried, tested, and evaluated by LEAs across the state. For rural LEAs with fewer resources to try new approaches, this database will provide critical information to ensure that professional learning funding and time are spent in the ways and on the programs that most effectively increase student learning.
  - Tools for classroom walkthroughs and student formative and summative assessment, enabling the state, district, and principals to assess the impact of professional learning, coaching, and pre-service interventions in terms of teacher and principal practices as well as student learning
  - Tools to support Kirkpatrick's four levels of professional development evaluation – teacher satisfaction, application of learning, impact on student scores, and Return on Investment (*see Appendix NNN: Kirkpatrick four-level evaluation model for more detail*)

- The state will contract with a third-party evaluation provider to conduct ongoing formal evaluations of the new statewide professional learning system, as well as its key components, to inform the continuous improvement of the Commonwealth's approach to providing effective support to teachers and principals.
- Finally, the bi-annual use of the New Teacher Center's Teacher Working Conditions Survey will provide an opportunity for teachers to provide input on the new system.

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Implement and improve new systems

Action steps	2010	2010-11	2011-12	2012-13	2013-14	2014-15	Responsible
Establish and employ content area leadership and administrator leadership networks							Network Coordinator, KDE; Core Oversight Team; Regional Networks
Establish and employ district leadership teams							Network Coordinator, KDE; Regional Networks
Establish and employ professional learning teams							Network Coordinator, KDE; Regional Networks
Change professional learning statute to support teacher planning and collaboration							KDE; Legislature
Use networks and teams to support implementation of all new initiatives							KDE; Regional Networks; various third parties
Launch Continuous Instructional Improvement Technology System (CIITS)							KDE
Use CIITS to continuously evaluate and improve professional learning							KDE
Conduct formal evaluations of professional learning system							KDE; third-party evaluator
Launch six field tests of residency model							KDE; EPSB; Council on Postsecondary Education
Evaluate residency model and expand based on evaluation							KDE; EPSB; third-party evaluator

Performance Measures Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Percentage of teachers in Participating LEAs that are satisfied or highly-satisfied with their professional learning	30%	50%	75%	95%	100 %

Percentage of principals in Participating LEAs that are satisfied or highly-satisfied with their professional learning	30%	50%	75%	95%	100 %
Percentage of Participating LEAs whose schools have fully implemented professional learning teams (as defined in (B)(3) and (D)(5) plans)	20%	40%	60%	80%	100 %

Given Kentucky's focus on professional learning and the continuous improvement of all teachers and principals, these targets reflect the expectation and goal that by 2014, all teachers and principals are satisfied with their professional learning experiences and are part of professional learning teams. Additionally, as included in (D)(5), the State will be conducting a third-party evaluation of the approach to professional learning, the results of which will be critical for decisions to improve professional learning.

(E) Turning Around the Lowest-Achieving Schools *(50 total points)*

State Reform Conditions Criteria

(E)(1) Intervening in the lowest-achieving schools and LEAs *(10 points)*

The extent to which the State has the legal, statutory, or regulatory authority to intervene directly in the State's persistently lowest-achieving schools (as defined in this notice) and in LEAs that are in improvement or corrective action status.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (E)(1):

- A description of the State's applicable laws, statutes, regulations, or other relevant legal documents.

Recommended maximum response length: One page

Turning Around the Lowest-Achieving Schools

Goal	• Breakthrough the persistent patterns of failure at Kentucky's lowest-achieving schools such that their students can receive the excellent education they are due • Institutionalize the capacity to achieve these breakthrough results by establishing and sustaining new turnaround-focused capacity at the state, regional, district, and school levels
Action steps	• Identify Educational Recovery Schools and conduct school and leadership assessments to ascertain the appropriate level of accountability and models for turning around the schools • Establish District 180 within the KDE to drive and ensure change at the lowest-achieving schools and to build educational recovery capacity state-wide • Create Centers for Learning Excellence in each region of the state to provide a local hub – To develop, supply, and assess educational recovery services – To build capacity at districts and schools where needed within their respective regions • Establish Educational Recovery training, certification and endorsements for the school leaders and teachers who will drive the turnaround efforts within Educational Recovery Schools
Milestones	• By 2010, identify the first set of Educational Recovery Schools and conduct leadership assessments (already accomplished) • By 2010, establish District 180 within KDE (already accomplished) • By start of 2010-11 school year, establish three Centers for Learning Excellence (CLEs) • By start of 2013-14 school year, establish state-wide system of nine CLEs • By fall of 2010, finalize / approve Educational Recovery Leader and Specialist certification programs and begin accepting first round of applicants • By fall of 2011, place the first cohort of specialists at Educational Recovery Schools

Introduction and context

Kentucky is committed to the strategies and actions required to turn around the State's lowest-achieving schools. The Kentucky Revised Statute (KRS) 160.346 enables the Kentucky Department of Education ("the Department") to intervene in the Commonwealth's persistently low-achieving schools. KRS 160.346 defines "persistently low-achieving school" and enables the State to intervene and expeditiously implement one of four intervention options. It is accompanied by the Kentucky Administrative Regulation 703 KAR 5:180. In addition, KRS 158.780 and KRS 158.785 enable the Department to intervene in LEAs. (*Statutes and regulations are included as Evidence for (E)(1) in Appendix OOO: Legislation KRS 158.780, Appendix PPP: Legislation KRS 158.785, Appendix RRR: Legislation HB176, and Appendix SSS: 703 KAR 5 180 Intervention system for persistently low-achieving*

schools.)

Intervention in lowest-achieving schools

According to KRS 160.346, the Department has the ability to intervene in persistently low-achieving schools by requiring the School Council and principal to relinquish their traditional roles of governance, decision-making, and administration unless leadership assessment of the school reveals significant evidence of their capacity to continue in their roles. In such instances this authority is transferred to the local district or to the State based on the recommendations of an accompanying audit of the district. If the audits reveal that the district lacks the capacity to handle the transfer of governance, the state provides direct oversight of the turnaround school.

KRS 160.346 also outlines the following menu of intervention options to address the persistently low-achieving schools:

- "External management option" (Federal ‘Re-start Option’) which requires that the day-to-day management of the school is transferred to an education management organization that may be a for-profit or nonprofit organization that has been selected by a local board of education from a list of management organizations. The management organization may be approved by the Kentucky Board of Education after a rigorous review process, which shall be developed by the Kentucky Board of Education by promulgation of administrative regulations. The management organization's authority shall include the right to make personnel decisions that comply with Kentucky’s teacher employment and tenure statutes (KRS Chapter 161) and any employee-employer bargained contract that is in effect
- "Re-staffing option" (Federal ‘Turnaround Option’) which requires the replacement of the principal and the existing School Council unless the audit reports recommend otherwise, screening existing faculty and staff with the retention of no more than fifty percent of the faculty and staff at the school, development and implementation of a plan of action that uses research-based school improvement initiatives designed to turn around student performance. Personnel actions shall comply with KRS 161 and notwithstanding KRS 160.380(1)(c) relating to filling vacant positions and KRS 160.345(2)(h)1. relating

to transfers

- "School closure option" which requires the closure of an existing school and the transfer of its students to other schools within the district that are meeting their accountability measures, reassignment of the school's faculty and staff to available positions within the district, and which may result in nonrenewal of contracts, dismissal, demotion, or a combination of these personnel actions which shall comply with KRS 161 and notwithstanding KRS 160.380(1)(c) relating to filling vacant positions and KRS 160.345(2)(h)1. relating to transfers
- "Transformation option" means a school intervention option that begins with replacing the school principal who led the school prior to commencement of the transformation option and replacing the school council members unless the audit reports recommended otherwise, and instituting an extensive set of specified strategies designed to turn around the identified school which shall comply with KRS 161 and notwithstanding KRS 160.380(1)(c) relating to filling vacant positions and KRS 160.345(2)(h)1. relating to transfers
- Any other model recognized by the federal No Child Left Behind Act of 2001, 20 U.S.C. secs 6301 et seq., or its successor

Intervention in LEAs in need of improvement

KRS 158.780 enables the Kentucky Board of Education to intervene in a local school district. According to this statute: "If the Kentucky Board of Education believes that the pattern of a lack of efficiency or effectiveness in the governance or administration of a school district warrants action, it shall conduct an administrative hearing in compliance with Kentucky's administrative hearing statutes (KRS Chapter 13B). If it is determined that the pattern does warrant action, it shall declare the district a "state assisted district" or a "state managed district" and the Kentucky Board of Education shall then assume control of the district as set forth in this section and KRS 158.785."

KRS 158.785 requires the following actions of the chief state school officer if the Kentucky Board of Education designates a district

a “state managed district”:

- All administrative, operational, financial, personnel, and instructional aspects of the management of the school district formerly exercised by the local school board and the superintendent shall be exercised by the chief state school officer or his designee
- Any local school board member or the local superintendent may be removed from office by the Kentucky Board of Education pursuant to KRS 156.132
- Notwithstanding any statute to the contrary, after thirty (30) days after a district becomes a "state managed district" any appointment to an administrative position may be revoked by the chief state school officer and the individual employee may be reassigned to any duty for which that person is qualified. The chief state school officer shall provide to the reassigned employee written reasons for the reassignment. The individual shall not be dismissed from subsequent employment except as provided by Kentucky’s removal or suspension statute (KRS 156.132) and our board termination statute (KRS 161.790)
- The chief state school officer shall make the administrative appointments as necessary to exercise full and complete control of all aspects of the management of the district. The chief state school officer, through the appointments, may make any and all decisions previously made by the local school board and the local superintendent. The chief state school officer shall retain clear supervisory and monitoring powers over the operation and management of the district

Reform Plan Criteria

(E)(2) Turning around the lowest-achieving schools *(40 points)*

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

(i) Identify the persistently lowest-achieving schools (as defined in this notice) and, at its discretion, any non-Title I eligible secondary schools that would be considered persistently lowest-achieving schools (as defined in this notice) if they were eligible to receive Title I funds; and *(5 points)*

(ii) Support its LEAs in turning around these schools by implementing one of the four school intervention models (as described in Appendix C): turnaround model, restart model, school closure, or transformation model (provided that an LEA with more than nine persistently lowest-achieving schools may not use the transformation model for more than 50 percent of its schools). *(35 points)*

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (E)(2) (please fill in table below):

- The State's historic performance on school turnaround, as evidenced by the total number of persistently lowest-achieving schools (as defined in this notice) that States or LEAs attempted to turn around in the last five years, the approach used, and the results and lessons learned to date.

Recommended maximum response length: Eight pages

Introduction and context

Kentucky has a twenty-year history of moving low-achieving schools to higher levels of student achievement and significantly closing achievement gaps. Over this period, the Kentucky Department of Education ("the Department") has undertaken several initiatives that have built on each other in this regard**.** Over 600 schools have fallen into one of three "levels" of state assistance since 1994 with over 200 since 2002. Department efforts over a single two-year cycle were sufficient to move all but 5 of those

schools up at least one of those levels toward higher student achievement.

The starting point for Kentucky's school improvement efforts was the Kentucky Education Reform Act reform in 1990, which established the Distinguished Educator program, in which a cadre of highly effective teachers and principals were identified and "loaned" to the Department for a period of up to three years. Distinguished Educators were then deployed to schools needing improvement, to identify the needs of the students in those schools, and to serve as instructional coaches and mentors to implement changes to improve learning. In 1998, the title of the Distinguished Educator Program was changed to the Highly Skilled Educator (HSE) Program. The program continued with its commitment to providing school improvement services to low achieving schools. It is evolving and expanding with the introduction of District 180 to include various levels of support personnel and a greater focus on educational recovery over traditional school improvement (see section on Educational Recovery Leaders and Specialists.

Subsequently, in 2006, the State launched the Voluntary Partnership Assistance Teams (VPAT) model, which was a partnership effort between the Department, the Kentucky Association of School Superintendents, and the Kentucky School Boards Association. Voluntary Partnership Assistance Teams provided districts with an intensive and collaborative assistance process designed to build capacity at the district and school levels and provide essential support and oversight for immediate and sustained improvement in student learning.

In 2008, the Department assessed the approach to school improvement and created the Assistance and Support School Improvement Success Teams (ASSIST) program. The ASSIST program was designed to take the best practices of the HSE program and the team aspects of the VPAT program. (*Appendix TTT: ASSIST Team Explanation, Appendix UUU: The VPAT Story, and Appendix VVV: Highly Skilled Educators Program provide more detail on all of these programs and Kentucky's history and progress in improving struggling schools.*)

Moving from School Improvement to Educational Recovery

For many schools, Kentucky's interventions have been successful in raising achievement and building the capacity of schools to sustain the improvement. In the *2009 State Highlights Report* produced by the Editorial Projects in Education Research Center, between 1996 and 2006, Kentucky achieved a 9 percentage point graduation rate increase, the fourth highest increase nationwide. While there has been significant improvement at many struggling schools, others still continue to struggle, and incremental increases in student achievement are not sufficient to meet the Commonwealth's goals for all students. From the school improvement efforts outlined above, the Department has learned that while a focus on support is critical, it is not enough to turn around persistently low-achieving schools. The plan detailed below goes beyond what is traditionally considered sufficient to support school improvement to include regional support infrastructures and partnerships with local institutions of higher education, a dedicated turnaround arm at the Department, an emphasis on parent and community engagement, career paths for teachers and principals to become turnaround experts, new programming for students who are far behind academically, and more activities comprising a deep, intensive intervention strategy expected to yield steep changes in students' outcomes at the lowest-achieving schools.

Over the next year, the Department will revamp its approach to turning around the lowest-achieving schools, with the **goal** of moving these schools to at least 50% combined proficiency in Math and English/Language Arts in the ALL students category by 2012. Kentucky's history of programs to support low-performing schools provides a strong foundation from which Kentucky is now ready to take a bold step in a new direction. To meet this ambitious goal, and with the support of Kentucky's education stakeholders, Kentucky will address low-achieving schools with more intensive interventions and a "no-excuses" attitude that all of our students deserve. In a survey conducted to solicit stakeholders' perspectives regarding Kentucky's Race to the Top application, approximately 75% of the 2,440 respondents either agree or strongly agree that intervening aggressively and intensively in

persistently low-performing schools, requiring dramatic changes to quickly improve student performance, will improve Kentucky's performance and contribute to increased student learning.

(E)(2)(i) - Identify the persistently lowest-achieving schools

From 2010 through 2012, Kentucky will use the federal definition of "persistently lowest-achieving" to identify the schools for turnaround. These schools will be called Educational Recovery Schools. In Fall 2012, the Department will expand the definition to include all schools that fail to meet the state's new accountability measures. From this group, the Department will identify those schools whose student scores have ranked in the bottom 5% in proficiency in Math and Reading/Language Arts combined for the ALL students category for three consecutive years. In addition, per the guidelines in the School Improvement Grant program and the Race to the Top notice, the State will identify any high schools that do not meet the above definition but have a graduation rate of less than 60%.

Kentucky is choosing to go beyond the definition in the Race to the Top guidance for several reasons. First, because the final guidance divides schools by Title I status, there is the possibility that an extremely low-achieving school could be left out of the turnaround process, i.e., a school that is in the bottom five achieving in the state may not make the list, because it wasn't in the lowest 5% of Title I schools. The reverse could also be true. The proposed definition eliminates this possibility by including ALL schools in the lowest 5% regardless of Title I program funding status. Second, to meet the Commonwealth's goals for student achievement, more schools than the ten lowest-achieving will need support, and the new definition empowers the Department to facilitate provision of the required supports for the LEAs and schools that need it. The Department recognizes that the Race to the Top program is focused on turning around those schools identified by the Race to the Top specific guidance, so the initiatives put forth in this plan will first and foremost address those schools, while broader turnaround efforts (supported by School Improvement Grants and other funding) will seek to vastly improve all schools in educational recovery.

Conducting School and District Leadership Assessments

In January 2010, the Department identified the first ten (10) Educational Recovery Schools. The identified schools will be subject to the Education Recovery process outlined in this section. Support for this first group of schools will begin in the summer of 2010. One missing piece in criteria (E)(1) is determining the capacity of the current school and LEA leadership to manage and lead the educational recovery. Since 2000, school and district scholastic audits have been an integral part of Kentucky's efforts in school improvement, and provide a powerful tool to launch the State's future work in Educational Recovery Services. Included in the administrative regulation attached to KRS 160.346 (703 KAR 5:180) is a new type of scholastic audit called a Leadership Assessment. Since the possibility exists that the LEA has already implemented educational recovery strategies, we believe this piece is crucial to determining capacity prior to making staffing changes required under the turnaround options.

In this assessment, audit teams will focus their attention on leadership's capacity to lead the turnaround by collecting evidences of the following:

a) The school leadership's ability to function as an effective learning community and support a climate conducive to performance excellence;

b) The school leadership's ability to actively engage families and community groups to remove barriers to learning in an effort to meet the intellectual, social, career and developmental needs of students;

c) The school leadership's ability to focus its professional learning program primarily on job-embedded professional learning;

d) The school leadership's ability to make instructional decisions that focus on support for:

1. Teaching and learning;
2. Organizational direction;
3. High performance expectations;
4. Creating a learning culture; and
5. Developing leadership capacity.

e) The school leadership's ability to organize the school to maximize use of all available resources (both human and fiscal) to support high student and staff performance; and

f) The school leadership's ability to effectively:

1. Identify the needs of all students;
2. Set specific, measurable goals to address those needs;
3. Implement specific strategies to reach those goals;
4. Provide adequate resources to implement those strategies; and
5. Frequently monitor implementation of the strategies and make adjustments when strategies are not achieving the desired outcomes.

The Leadership Assessments for the first ten identified schools and the five districts in which they are located were completed in April 2010. The results of these assessments detail the challenges and issues that are driving low achievement, as well as successes and potential promising practices. This data will inform the best course of action for struggling schools. As it relates to leadership capacity in the identified schools, the assessments were crucial in determining the following actions:

School	District	School Council Capacity	Principal Capacity	District Capacity
Caverna High School	Caverna Independent Schools	Y	Y	Y
Fern Creek High School	Jefferson County Schools	N	N	Y
Frost Middle School	Jefferson County Schools	N	N	Y
Lawrence County High School	Lawrence County Schools	N	N	Y
Leslie County High School	Leslie County Schools	Y	Y	N
Metcalfe County High School	Metcalfe County Schools	N	N	Y
Shawnee High School	Jefferson County Schools	N	Y	Y
Valley High School	Jefferson County Schools	N	N	Y
Western Middle School	Jefferson County Schools	N	N	Y
Western High School	Jefferson County Schools	N	Y	Y

These results have been used to determine who (i.e., the State, district, or school council) makes the decision about which turnaround option to employ, and who (i.e., the State, district, or school council), with the support of their local Center for Learning Excellence *(see below)*, will lead the turnaround process *(see Appendix XXX: Audit Recovery Process and Flowchart)*. Educational Recovery Schools will need to implement one of four prescribed intervention strategies described below (*see Appendix YYY: School Intervention Options for Turnarounds for more detailed descriptions of the four intensive intervention options)*:

1) Turnaround: State or district assigns new principal and identifies staff for transfer or termination
2) Re-start: District contracts to have school become managed by an education management organization (EMO)
3) Closure: District closes school and re-assigns students and staff to other schools
4) Transformation: District develops a plan for turning around the school (a comprehensive strategy that, at a minimum, replaces the school leadership and develops and rewards teacher and leader effectiveness as outlined in section (D)(2); adopts comprehensive instructional programs; extends time for students and staff and offers community-oriented services;

and provides operating flexibility and intensive support) and submits its plan to the Department for approval

E(2)(ii) Support its LEAs in turning around these schools by implementing one of the four school intervention models

Educational recovery requires dramatic changes that move schools to a culture of high expectations for all so that significant gains in achievement and the closing of achievement gaps can occur in a short period of time (the expected time frame for education recovery is three years). This is followed by a longer period of sustained improvement. Educational recovery is very different and much more difficult than traditional school improvement efforts. It requires a special set of experiences, training and support. Educational recovery will require action on a number of fronts:

- Require many of these schools to relinquish much of the control over the school to the local district, the State, or an Educational Management Organization (EMO) that has a proven track record with students similar to those in the affected school(s)
- Make fundamental changes in the conditions under which these schools operate
- Develop a marketplace of partners and support providers skilled in educational recovery
- Appropriate the funding necessary to create successful educational recovery

For educational recovery to be successful, the Department, school districts, schools and outside partners must re-organize to attract, develop, and retain people with the skills to match the specific needs of schools in need of educational recovery. In Kentucky, three key elements will be the focus of developing and sustaining this specific level of support known as Educational Recovery Services: District 180, Centers for Learning Excellence, and Educational Recovery Leaders and Specialists.

District 180

In the Spring of 2010 the Department created “District 180,” a specific team for educational recovery services that focuses on the

schools and districts identified for educational recovery as well as other schools identified for school improvement. District 180 was the first step of the re-organization of the entire Department that focuses on shifting the work of the Department to align with the assurance areas in the notice for Race to the Top. District 180 combines staff and resources from three existing units, the Office of Leadership and School Improvement (where the Highly Skilled Educator, ASSIST and scholastic audit work is housed), the Office of Special Instructional Services (the home of the Federal Programs work where Title I and the Federal School Improvement Grant are managed) and the Office of Teaching and Learning who will be providing Literacy and Mathematics content specialists to provide further support to the identified schools. In addition to providing the leadership for all Department efforts around educational recovery, this unit will provide support and assistance to the Centers for Learning Excellence as well as to those identified educational management organizations contracted to manage recovery schools. In addition, this team will be responsible for providing oversight, staff and other resources to the Centers. District 180 will also be responsible for providing oversight to the training programs for endorsements for Educational Recovery Leaders and Specialists and to work with the training providers and the Education Professional Standards Board to revise and update qualifications for these credentials as needed.

Creating Centers for Learning Excellence to support Educational Recovery

Kentucky is in the process of soliciting proposals to establish Centers of Learning Excellence ("Centers") to serve as intermediaries between the Department's District 180 team and the Educational Recovery Schools. Centers will be collaborative hubs, representing multiple support partners and providers. Schools and districts in need of educational recovery will be clustered and assigned to these Centers.

Each Center will serve to provide support to identified Educational Recovery Schools as well as other schools identified for school improvement. Each Center is established through an RFP process between the Department and a lead recovery partner. The lead partner could be an institution of higher education or a school support organization (this could be a regional educational cooperative

or a regional or national recognized school support organization or an educational management organization). In addition to the formal contract between the Department and the lead partner, a successful proposal will also contain formal relationships with other support partners as well as community, family, and area business partners.

The role of the Centers for Learning Excellence

The strengths of each Center will vary based on the organization that serves as the lead partner. Successful lead partners will be able to demonstrate how they will use other partners to ensure that no gaps exist in the structure of services they will provide to recovery schools. A Department staff member will work with each Center to ensure collaboration is strong between the State, the Center, and the local districts. Each Center's staff will include varied expertise, and will provide support services that will include, but not be limited to, the following:

- A liaison that will serve as a point of contact for each school assigned to the center
- Professional learning services coordinated to each school's needs, e.g., partnering with the Kentucky Association of School Superintendents and the Kentucky School Boards Association to revitalize a program similar to the Voluntary Partnership Assistance Teams model, or working with local universities to provide professional learning experiences for teachers and principals
- Building capacity in each school by clustering the schools in the Center in various ways (e.g., size, grade level, etc.) to create support structures and networking opportunities in the schools
- Networking and collaboration opportunities for Educational Recovery Leaders and Specialists (*described in Activity 4 of this plan*)
- Engaging parents and developing community coalitions to provide out-of-school programs and resources to improve learning in the schools, e.g., the Everyone Reads program in Jefferson County
- Provide training and engagement activities for families in each school community

- In high school situations, develop dual credit, early college, specific STEM initiatives and dropout prevention services to enhance student success

The Centers will also manage multiple partnerships formed to provide support services for Educational Recovery Schools in that region. Working with established educational support organizations, whole school reform programs will be available to recovery schools, including the expansion of the following programs already showing success in Kentucky:

- High Schools That Work and Making Middle Grades Work: These initiatives provide a comprehensive framework for middle and high school improvement. They are founded on the conviction that most students can master rigorous academic and career studies if school leaders and teachers create a culture of high expectations and continuous improvement that motivates students to make the effort to succeed. These programs would be the recommended programs for educational recovery in secondary schools and each Center would provide staff support services for the program. The Southern Regional Education Board is already a strong partner in Kentucky for these programs (*see Appendix ZZZ: HSTW & MMGW program overview for more detail*).
- Early Identification Program: Low student achievement in upper grades represents a cumulative effect of several years of ineffective instruction and other non-educational barriers. One of the functions of the Center will be to house a program designed to identify the feeder schools, when appropriate, that provide the students for lowest-achieving schools. Currently, programs like the Save the Children K-8 literacy program provide these services (*see Appendix AAAA: Save the Children and Race to the Top Literacy Memo for more detail*). This type of innovative public/private partnership will be a central point of support for the schools that feed recovery schools in an effort to make students better prepared for success when they enter those schools currently in recovery. Partnerships like this one will provide children with the opportunity to increase their reading achievement by supplying the tools they need to develop reading skills and the guidance they need to grow as readers. Each Center will have a staff person to serve as liaison with these programs, which will consist of the

following components:

  - Literacy training delivered to struggling readers in K-8 grades
  - Afterschool program provided four days a week with supplemental in-school support and during the summer
  - Carefully designed curriculum taught by professionals and paraprofessionals
  - Tutorials including one-on-one and small group instruction for children identified by reading needs
  - Software-based literacy tools to complement core activities and to help develop reading fluency and comprehension
  - Additional non-academic student supports, e.g., healthcare and nutrition

- Dual credit initiatives: Through local community colleges, several districts are already offering dual credit opportunities, e.g., Bullitt County's partnership with Jefferson Community and Technical College. The Department is also interested in Centers for Learning Excellence launching initiatives with a track record of success in other regions, e.g., the Gateway to College Program (*see Appendix BBBB: Gateway to College Description for more detail on this program*). This program helps reconnect high school dropouts with their education. Through the program, students are able to complete their high school diploma requirements on a college campus while simultaneously earning credits toward a college degree or certificate. The research behind this program shows that many young people who had little chance of graduating from high school are achieving post-secondary success. Each Center will work with at least one community college in its service area to implement the Gateway to College concept
- STEM initiatives: Kentucky currently has several STEM programs in place to increase access to rigorous STEM curricula, projects and learning opportunities in STEM-related fields, and professional learning experiences for teachers in STEM subject areas. *(See section (B)(3) and the Priority 2 STEM section for more detail on Kentucky's numerous STEM initiatives).* The Centers will have liaisons to manage the implementation of programs like AdvanceKentucky and Project Lead the Way to ensure that in Educational Recovery Schools, teachers are trained in, and students participate in, rigorous STEM courses. Additionally, Centers will form partnerships with other organizations to provide project-based and real-

world experiences in STEM-related fields

Fostering innovation with support from the Centers for Learning Excellence

Given the capacity and resources Centers will aggregate and facilitate for school turnarounds, the Department will support new ideas and strategies that leverage the Centers for purposes of innovation. Because Kentucky's School-Based Decision Making governance structure gives school councils extensive authority over school-level decisions and processes, these new ideas and innovative approaches may be proposed to a Center from a school council to be tried at a single site. Or, because the Kentucky Education Reform Act of 1990 gives local districts authority to create innovative schools for at-risk populations with unique needs (e.g., students with behavior issues, juvenile justice issues, or who otherwise need an alternative setting to achieve success), a district may seek further partnership with Centers to implement innovative approaches and operate schools without the usual authority of school councils *(see section (F)(2) for more detail on Kentucky's School-Based Decision Making governance structure).*

For example, a local district superintendent has a program for African-American males in a high school that has shown great results at improving the academic performance of these young men, as well as their communication skills and self-image. The superintendent wants to expand the program and create an "alternative school." Other superintendents are similarly interested in innovative initiatives like this one, but many, particularly in rural areas, lack the capacity and resources to do so. As part of Kentucky's approach to turning around the Commonwealth's lowest-achieving schools, the newly-formed Centers can supplement district and school capacity and enable superintendents and school councils to undertake more innovative strategies collaboratively. This may mean facilitating knowledge-sharing and networking, or it could mean identifying potential partnerships or collaborations between districts.

Timeline

The Centers will be rolled out in a three phase process over the next three years and will be funded in the first phase through the federal School Improvement Grant (SIG). The second and third phases of the implementation will be funded by Race to the Top and may be sustained through state and federal school improvement funding. In Spring 2010, the Department began negotiations the initial three Centers to be operational as part of Phase 1 and will have these functioning by August 2010. The Department will conduct an evaluation of these three Phase 1 Centers in Summer 2011, with interim reports from Centers showing progress and improvements they have seen at Educational Recovery Schools, as well as lessons learned through the process. Phase 2 and 3 of the implementation of the Centers will occur in the fall of 2011 and 2012, respectively. When complete, the state will have nine Centers that will allow for deeper and more focused support for each school and district.

Establishing Educational Recovery certification and endorsements

The Department, the Education Professional Standards Board, and the Council on Postsecondary Education will work together to develop certification endorsements for Educational Recovery Leaders who will be prepared to lead the identified schools and Educational Recovery Specialists who will provide support to teachers in these schools. In addition, each school in educational recovery will be assigned a School Administrative Manager so the Educational Recovery Leaders and Specialists can focus on improving student learning.

Educational Recovery Leaders

Kentucky will introduce a new group of individuals known as Educational Recovery Leaders. The Educational Recovery Leaders will be the lead administrator in each recovery school, and will go through extensive and on-going training in educational recovery strategies, beginning with a residency component formulated based on the findings of programs like the Academy for Urban School Leadership and New Leaders for New Schools. Educational Recovery Leaders will focus on assessing what barriers exist to whole

school turnaround with more emphasis on culture, family and community engagement, teacher effectiveness and professional growth, leadership, and resource allocation. As part of their work in each recovery school, the Education Recovery Leader will develop a transition plan designed to ensure that the school is prepared to "re-enter" the regular school improvement process once the recovery period is completed. A central piece of the transition plan will be working with school and district leadership to identify a "Principal in Waiting." Once identified, this individual will become a member of the staff of the recovery school. The Principal in Waiting will assist the Education Recovery Leader in implementing turnaround strategies and will receive coaching and mentoring from the Education Recovery Leader. At the end of the recovery period, this individual will assume the role of Principal in the recovery school.

Educational Recovery Specialists & Intervention Specialists

Educational Recovery and Intervention Specialists are individuals with specific experience and training in working with teachers to make dramatic improvement in instructional practice that leads to improved student learning. They will focus on coaching, mentoring and modeling effective instructional practice in order to increase the effectiveness of the school's staff. Multiple Educational Recovery Specialists will be assigned to specific "Persistently Low-Achieving" schools along with an Educational Recovery Leader to form a "Recovery Team" who will provide coaching, mentoring and staff development in Educational Recovery Schools. Some Educational Recovery Specialists may teach courses, though they will not teach a full course load as much of their time will be allocated toward leading professional learning communities and facilitating the implementation of turnaround interventions. As this program is established and grows, Educational Recovery Specialists that are in classrooms and/or are alumni will serve as mentors and coaches to those in training and in their first placement. Intervention specialists will provide many of the same services as Educational Recovery Specialists, but their work will be spread over multiple schools and will also involve working with other schools identified as in need of improvement.

School Administration Managers

The School Administration Manager project is a strategy designed to help change the role of the principal from the managerial leader to the instructional leader, resulting in an increase in time spent on improving teaching and learning. This work has been developed and supported through Kentucky's partnership with the Wallace Foundation. The job of the School Administration Manager is to assume school operations functions (such as ordering textbooks, overseeing fire drills and filing reports on compliance with regulations) and thereby enable the principal to focus more time on observing classrooms, facilitating embedded professional development, and improving instruction. Although the School Administration Manager initiative would not be housed in District 180, a key element of the success of recovery will be the placement of a School Administration Manager in every recovery school. (*See Appendix CCCC: School Administrative Manager Program History and Detail for more detail.*)

Timeline

The Department, the Education Professional Standards Board, and the Council on Postsecondary Education will work together to create the Education Recovery Leader and Specialist certification programs to be voted on and formalized during Summer 2010, so that the first round of applications can be accepted in Fall 2010. These programs will be facilitated by the Education Professional Standards Board, with support from the Department's District 180 to work with Centers and place the first cohorts of graduates in fall 2011. This first cohort will provide feedback and input to the Department, the Education Professional Standards Board, the Council on Postsecondary Education, and the Centers' management organizations so that the program can be improved over time. In order to ensure an effective curriculum is in place for these certification programs a group of stakeholders was brought together in the Fall 2009 to develop the modules that would make up the curriculums for these endorsements. In May 2010, the development team released the draft curriculum that will serve as the program for the first group of program participants. The training includes the following modules *(see Appendix LLLL – Turnaround Training Modules)*:

MODULE #1: Leading Change

MODULE #2: Building and Sustaining an Achievement Oriented and Accountability Based Culture

MODULE #3: Effective Learning Systems with Emphasis on Literacy and Mathematics

MODULE #4: Creating and Sustaining Systems of Continuous Improvement

In addition, the Department will fund a formal evaluation of these programs in 2014. Until such time as the first cohort is fully trained, the Department will identify current and former Highly Skilled Educators and others with extensive background in educational recovery to staff these positions. These individuals will go through a rigorous screening process to determine eligibility.

Evidence

Approach Used	# of Schools Since SY2004-05	Results and Lessons Learned
Closure	2	Per KRS 160.346, Jefferson County Schools closed two middle schools (Southern Leadership Academy and Iroquois Middle School) in 2008. Two new middle schools opened (Olmstead Academy North and Olmstead Academy South). Olmstead North is an all-male school and Olmstead South is all-female. Both schools have new leadership. There has been only one year of ESEA testing (2009) with the new schools. Although there was minimal student growth, results will be more reliable following the 2010 ESEA testing.
Turnaround	6	Six of the ten schools identified in 2010 under HB 176 have chosen the Transformation option.
Transformation	6	Also in 2008, Covington Independent Schools took advantage of the requirements of KRS 160.346 to take over control of two schools (Two Rivers Middle School and Holmes Jr./Sr. High School). The superintendent replaced leadership in both schools and granted the new leadership the latitude to implement policies and programs designed to make dramatic improvements in student achievement. Although there was minimal student growth, results will be more reliable following the 2010 ESEA testing. In addition, four of the ten schools identified in 2010 under HB 176 have chosen the Transformation option.
Highly Skilled Educator (HSE) program	In 2004-2006, 47 schools and 2 districts were served by 49 HSEs In 2006-2008, 57 schools and 3 districts were served by 59 HSEs (Note: Until the 2008-2009 school year, tracking was conducted on a biennial basis)	The Academic Index improved at all schools and districts served by HSEs. This approach was effective in increasing student learning; however, the magnitude of this impact was variable across HSEs. Some HSEs were more effective, likely because they had a stronger partnership with the school principal and school council. HSEs did not have decision-making authority, so a good relationship with school leadership was critical to institute changes.
ASSIST Teams	In 2008-09, 32 individual schools and 58 districts were served by ASSIST Teams	Since this program has been in existence only one year, it is not yet possible to determine if schools have moved out of No Child Left Behind School Improvement status. Of the 32 individual schools served, 25 made positive movement in their ESEA test scores, 15 saw improvement of at least 10% in students scoring proficient or better on one or both of the two content areas, and 3 schools made Adequate Yearly Progress. The ASSIST model's team-based approach is showing promising results; however, for the lowest-achieving schools, significant and deeper interventions are required to institute the changes necessary to result in step changes in student outcomes.

Performance Measures	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
The number of schools for which one of the four school intervention models (described in Appendix C) will be initiated each year.	N/A	10	18	30	30
The number of schools in turnaround in which all students are making at least two years' worth of growth in achievement in two years time	N/A	N/A	6	12	18

The first performance measure listed reflects the (E)(2) plan timeline, where the 10 lowest-performing schools will have begun implementation of one of the four intervention options by 2011. In two years, when the definition of lowest-achieving expands to include all schools, more schools will begin implementation of one of the four intervention options.

The second performance measure listed was added to reflect the expected changes in student learning growth at Educational Recovery Schools.

(F) General ***(55 total points)***

State Reform Conditions Criteria

(F)(1) Making education funding a priority *(10 points)*

The extent to which—

(i) The percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2009 was greater than or equal to the percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2008; and

(ii) The State's policies lead to equitable funding (a) between high-need LEAs (as defined in this notice) and other LEAs, and (b) within LEAs, between high-poverty schools (as defined in this notice) and other schools.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(1)(i):

- Financial data to show whether and to what extent expenditures, as a percentage of the total revenues available to the State (as defined in this notice), increased, decreased, or remained the same.

Evidence for (F)(1)(ii):

- Any supporting evidence the State believes will be helpful to peer reviewers.

Recommended maximum response length: Three pages

(F)(1)(i) Maintenance of effort: proportion of funding to education

Kentucky has a strong commitment to education. In one of the worst economic climates that the state has ever faced, the Commonwealth has remained committed to funding education to emerge stronger from the downturn. The data on the proportion of

total revenues available to the State that the Commonwealth dedicated to education tell this story in numbers.

In 2008, of total revenues totaling $8,947,817,000, the State committed $3,904,537,447 to elementary, secondary, and higher education. This represented 43.6% of total revenues dedicated to education.

In 2009, of total revenues totaling $8,426,400,000, the State committed $3,920,979,791 to elementary, secondary, and higher education. This represented 46.5% of total revenues dedicated to education.

Thus, the Commonwealth of Kentucky, amidst numerous budget cuts and an overall budget that declined by more than $500M, *increased* its absolute spending on education by $15M and proportional spending on education by nearly 3 percentage points, from 43.6% to 46.5%.

(F)(1)(ii)(a) Equitable funding across districts between high-need and low-need LEAs

Since the landmark legislation of the Kentucky Education Reform Act (KERA) in 1990, Kentucky has been committed to equitable funding of education across the Commonwealth. The mechanism that arose from KERA to do so was the Support Education Excellence in Kentucky (SEEK) program (replacing the prior Minimum Foundation and Power Equalization programs).

Under the SEEK funding formula, the state sets a fixed base guarantee amount per student in average daily attendance. The amount of revenue per pupil guaranteed by SEEK is then adjusted upward for each local school district to reflect a set of factors that affect the cost of providing services to pupils, including:

- At-risk pupils: A 15% adjustment of base per pupil guarantee is made to reflect the higher than average costs associated with educating economically disadvantaged ("at risk") students. "At-Risk" is operationally defined as federal free lunch program

eligible

- Exceptional children: Per pupil funding is increased by a series of weights designed to reflect the additional costs of providing services to such pupils. The costs associated with educating exceptional children are based on a count of pupils with different disabilities, a state-determined exceptional pupil-teacher ratio for each disability or service, and a resulting per pupil cost
- Home-schooled or hospitalized pupils: An adjustment is made for the cost of educating pupils taught at home or in a hospital during the period of their illness or convalescence. Such pupils generate additional funds amounting to the base per pupil guarantee minus one hundred dollars (normally dedicated to capital outlay)
- Limited English Proficiency: Added in 2005, the new weight was established at 7.5% of the base per pupil guarantee

In addition, there is a final adjustment for transportation costs.The base per pupil guarantee, as adjusted for at-risk, exceptional, home & hospital, and Limited English Proficient pupils, as well as for transportation costs, becomes the total calculated per pupil base SEEK cost.

Equalization of per pupil revenues among local school districts under the SEEK program begins with a requirement that every local school district levy a minimum equivalent tax rate of 30 cents per hundred dollars of assessed valuation. The yield from this tax effort serves as a deduction against the revenues guaranteed by the state under SEEK. Every district is guaranteed that its minimum tax levy will produce the same dollars per student regardless of the district's property tax base. This results in the state providing a greater proportion of per pupil revenues in those districts with lower property wealth per pupil.

All local school districts have the option to impose taxes sufficient to generate revenues up to 15 percent over those generated under base SEEK. Districts with assessed property per pupil less than 150 percent of the statewide average receive funds from the state

sufficient to garner revenues from these additional taxes equal to those generated if their per pupil property wealth was indeed 150 percent of the statewide average. In other words, the state guarantees an additional local levy will produce the same revenue in property-poor districts as would be produced in richer districts. The local tax levied under this provision is not subject to voter recall.

After completion of the preceding calculations, any school district failing to receive at least as much state SEEK funding per pupil as it received in fiscal year 1992 is provided additional state funds to sustain that funding level, referred to as SEEK's hold-harmless provision.

Below (*and in more detail as Evidence for (F)(1)(ii) in Appendix DDDD: Comparison of SEEK in Three Districts*) are the current year funding allocations for three Kentucky school districts, to illustrate the differences.

District	% "at-risk" students	SEEK per pupil
Covington Independent Schools	**85.5%**	$4,163
Franklin County Schools	**41.1%**	$3,154
Oldham County Schools	**10.75%**	$3,127

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The SEEK funding scheme ensures not only equitable funding across districts but even increased funding for high-need LEAs so they have sufficient resources to serve all students well.

As reported by the Education Trust (*see full report in Appendix EEEE: Education Watch State Reports – Kentucky*), aggregated across the Commonwealth, this results in significant average differences in per pupil funding on behalf of high-poverty districts.

The difference of $906 in favor of high-poverty districts in Kentucky compares to an average deficit of $773 for high-poverty districts across the United States. To sum up, Kentucky has a funding system that devotes more resources to low income and minority students, with the average impacts for 2009-10 captured in the table below.

	Average Per-Pupil Funding	**Differences in Funding Per Pupil**	**Percent Differences in Funding**
High-poverty districts	$7,404	+$906	+14%
Low-poverty districts	$6,498		
High-minority districts	$7,468	+$234	<5%
Low-minority districts	$7,233		

(F)(1)(ii)(b) Equitable funding within districts between high-need and low-need schools

The distribution of funding within an LEA is done on a strict per-pupil basis – leading to equal allocations for equally sized schools. As Kentucky's SEEK formula yields more funds to high-need LEAs, that means that, on average, high-need schools will receive more funding than low-need schools. For individual schools within a district there is no distinction between low- and high-need schools. Districts allocate operations funds on a per pupil basis, so each school receives equitable funding based on the size of their pupil population. For human resources, the funding is based on a formula that allocates teaching positions and support staff to a school based on student population. This allows for school councils to select the best person for a position without concern for their

salary.

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools *(40 points)*

The extent to which—

(i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;

(ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;

(iii) The State's charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;

(iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and

(v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer

reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(2)(i):

- A description of the State's applicable laws, statutes, regulations, or other relevant legal documents.
- The number of charter schools allowed under State law and the percentage this represents of the total number of schools in the State.
- The number and types of charter schools currently operating in the State.

Evidence for (F)(2)(ii):

- A description of the State's approach to charter school accountability and authorization, and a description of the State's applicable laws, statutes, regulations, or other relevant legal documents.
- For each of the last five years:
    - The number of charter school applications made in the State.
    - The number of charter school applications approved.
    - The number of charter school applications denied and reasons for the denials (academic, financial, low enrollment, other).
    - The number of charter schools closed (including charter schools that were not reauthorized to operate).

Evidence for (F)(2)(iii):

- A description of the State's applicable statutes, regulations, or other relevant legal documents.
- A description of the State's approach to charter school funding, the amount of funding passed through to charter schools per student, and how those amounts compare with traditional public school per-student funding allocations.

Evidence for (F)(2)(iv):

- A description of the State's applicable statutes, regulations, or other relevant legal documents.
- A description of the statewide facilities supports provided to charter schools, if any.

Evidence for (F)(2)(v):

- A description of how the State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

Recommended maximum response length: Six pages

"Autonomy is a key component of the charter school concept. By allowing charter schools to have autonomy over decisions concerning finance, personnel, scheduling, curriculum and instruction, states have enabled many of these schools to produce stellar results for their students." Thus begins a recent issue brief (April 2010), from the National Alliance for Public Charter Schools. If the above described definition of autonomy is central to the notion of charter schools, then Kentucky's autonomous school governance structure has all the elements of the autonomy incorporated in most charter legislation. It is important to note that neither the Race to the Top "Notice of Final Priorities, Requirements, Definitions and Selection Criteria" nor the "Notice Inviting Applications" contain definitions for the terms "charter school" and "charter school law".

(F)(2)(i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;

Kentucky believes it has established the most comprehensive system of "public charter" schools in the nation. In 1990, a full year before the state of Minnesota enacted the first legislation in the country to address the need for innovative, autonomous schools, Kentucky enacted KRS 160.345 as part of the Kentucky Education Reform Act. It remains, to the date of this application, the only state legislation that has created an environment that makes ALL public schools innovative and autonomous through the establishment of a school-based decision making (SBDM) form of school governance (*See Evidence for (F)(2)(v) in Appendix FFFF: SBDM legislation (KRS 160.345) for full text of SBDM legislation*.). This unique situation of being the only state with uniform autonomy for all public schools gives Kentucky a strong argument that our law goes well beyond even the most open charter laws in the country (i.e. Colorado).

Using the quote at the beginning of this section as a guide, all public schools in Kentucky have autonomy over all the elements

listed above. School Councils in Kentucky have autonomy and authority over:

- all spending decisions, including staffing cost, textbooks and instructional materials, student support services and spending for professional development.
- The principal, who is chair of the school council makes all personnel decisions, after consulting with the entire council.
- The school council has authority over all aspects of the curriculum and instructional program, including choosing the curriculum and determining the schedule of the school day.
- Finally, and most importantly, school councils are held accountable for student achievement and lose may lose their ability to govern if the school is not making sufficient academic progress.

For a complete description of KRS 160.345 and how it aligns to charter school autonomy see Appendix AA.

School-based decision making thus gives all schools in Kentucky the opportunity to govern themselves and to increase the opportunities for the innovation that are the intention of this Race to the Top criteria. Of the 174 LEAs in Kentucky: 144 (83%) have only one high school, 134 (77%) have only one middle school, and 69 (40%) have only one school at the elementary grades. In a rural environment like Kentucky's, the school based decision making model allows for more opportunity for innovation because in most of these LEAs the singular school per grade level means there is not capacity to split already limited resources by introducing a charter school.

Another comparison between charter schools and Kentucky's SBDM system is that all of Kentucky's schools are subject to strict accountability standards and SBDM authority can be revoked. Since the enactment of KRS 160.346 in 2006, four schools have had their school council authority removed. All four cases occurred in 2008 and in all four cases the authority was given to the school district superintendent. In two cases, the district closed the schools and opened new academies with new leadership and stronger

direction as to instructional programs. In the other cases, the school district chose to use the transformation model. They removed the school leadership and worked with the new leadership to implement a series of reform initiatives designed to improve student learning. While indications in all four cases are that the turnaround efforts are off to a good start, with only one year of new state test scores, another year is needed to get a true picture of the success of the turnaround. Recently enacted amendments to KRS 160.346 have better aligned Kentucky's intervention strategies for low-achieving schools to federal guidelines.

The most critical connection that can be made between Kentucky's approach to innovative, autonomous schools is that in each of Kentucky's 1249 schools, the School Council is responsible for crafting policy, based on stakeholder input, in the areas of defining their instructional models and associated curriculum; selecting and replacing staff; implementing new structures and formats for the school day or year; and controlling their budgets. With this level of autonomy, principals and teachers can then design programs that most specifically meet the needs of their students. In this way, SBDM is a "charter" structure.

Because SBDM truly enables school-level decision-making authority, school councils have significant autonomy and flexibility to innovate, experiment, and adjust each school's structures and processes to best meet the needs of the students they serve. As with any initiative designed to bring school reform innovations, the SBDM structure has been successful in many schools and less successful in others. While there is no specific research to quantify the value of the SBDM process in schools, SBDM has the same characteristics as research has born out regarding charter schools: the ability for school leadership in every school 1) to think in innovative ways; 2) to make decisions on instructional and curricular programs with the input of staff and families; and 3) to make other policy, budget and hiring decisions. These characteristics play an important part in improving student outcomes when SBDM takes full advantage of the authority they have been granted.

(F)(2)(ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student

achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;

KRS 160.346 and KRS 158.785 provide for schools governed under Kentucky's SBDM authority to be closed when academic or managerial deficiencies are persistent.

(F)(2)(iii) The State's charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;

Kentucky's funding formula for schools, Support Education Excellence in Kentucky (SEEK), is one of the most equitable funding formulas in the country (*see section (F)(1)(ii)*). Under this method of funding schools, higher-need LEAs and schools receive greater levels of state funding than do lower-need LEAs.

(F)(2)(iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and

In the same way, facilities funding is allocated based on local need. The result is that because there is no distinction between schools based on their characterization as charter or traditional, all schools are eligible for SEEK and facilities funding.

(F)(2)(v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

In addition to the autonomy and flexibility given to all schools through school based decision making councils, our larger LEAs have created extensive school choice options. Our only large, urban center, Jefferson County (Louisville), has arguably the most extensive school choice options in the country. A number of other LEAs (Bullitt County, Daviess County, Fayette County, Hardin, Kenton County, Madison County, and Oldham County) have school choice options through open enrollment policies to address the need for school choice and make available magnet programs to all students. In Kenton County, as an example, parents can apply for open enrollment to any school in the district and sign a contract regarding attendance commitments, academic progress, etc. Parents are responsible for providing transportation and staffing is adjusted

based on open enrollment.

As stated above, the most significant school choice opportunities occur in our lone urban school district, the Jefferson County Public Schools (JCPS). JCPS has 100,000 students and more than 160 schools. All elementary, middle, and high school students have school choice options and may apply to any of the following:

- The school that serves their home address
- A magnet school
- A magnet program
- An optional program
- Any other school in their elementary cluster or their high school network

JCPS magnet schools and magnet programs focus on a specific subject (such as environmental studies), offer training for a specific career (such as engineering), or provide a specialized learning environment (such as a Montessori school setting). Students who are accepted into a magnet program become full-time students of the school that offers the program, and they go to the school for all of their classes - not just the magnet program classes. Some magnet schools and programs accept students only from specific areas of the district. Other magnets accept students from any home address. JCPS provides bus transportation for district students accepted into a magnet school or program regardless of where the students live.

The district offers many different types of magnet schools and programs. Here is general information on a few of them:

- A traditional school is a type of magnet school that focuses on teaching and learning at grade level in a traditionally structured classroom environment. Traditional schools require uniforms, daily homework, and parent involvement. A traditional program operates in the same way as a traditional school, but it's a program within a school

- A magnet career academy (MCA) is a type of high school that lets students focus on training for a specific career - in addition to providing the basic courses that all students are required to complete
- A Montessori school uses the Montessori approach to learning, which encourages critical thinking, exploration, and self-directed education

An optional program is a small, specialized program within a school. Students who are accepted into an optional program become students of the school offering the program. They attend the school for all of their classes, not just the optional program classes, but JCPS does not provide transportation for students in an optional program unless they live in the school's attendance area. Students who are not interested in magnet or optional programs may still apply to any other school in their cluster. JCPS provides transportation for students who are accepted. Most of the district's elementary schools are part of one of six clusters. Each includes 12 to 15 schools.

Most JCPS middle school students always have the option of attending the school that serves their home address. Students may apply to attend a magnet middle school. They may apply to other schools through their magnet or optional programs. Beginning with the 2010-11 school year, JCPS high schools will be divided into three networks. High school students may apply to any school in their network and to district-wide magnet schools and programs. In general, school-based decision making councils promote shared leadership among those who are the closest to the students. Each council is composed of two parents (elected by the parents of students attending the school), three teachers (elected by the teachers in the school), and the principal or administrator of the school. The council role is to set school policy and make decisions outlined in statute which provide an environment to enhance student achievement. Making decisions through shared decision making results in a greater commitment to implementing decisions that will enhance the achievement of students. This structure then allows principals and other school leaders the opportunity to create the innovation necessary to meet the needs of a diverse student population.

In the just completed Special Session of the Kentucky General Assembly (May 2010), legislation was passed that provided another innovative school choice option. HB 1 (2010) allows the Commissioner of Education to approve plans established by a local school board of education and a Southern Association of Colleges and Schools accredited postsecondary education institution for purposes of creating early and middle college high schools that provide a rigorous academic curriculum within a supportive and nurturing environment for underserved students; and encouraging academic success by linking students, teachers, and community partners in innovative ways.

On a final note, the Kentucky Department of Education and the Kentucky Association of School Councils are committed to working together to build the necessary supports and conditions for school councils to seek opportunities to be innovative. Preliminary discussions have surfaced a variety of ideas, including increasing the term of council members to increase commitment to new projects and initiatives, and creating "model" schools that showcase the types of new approaches and solutions the Commonwealth seeks to increase student learning statewide.

(F)(3) Demonstrating other significant reform conditions *(5 points)*

The extent to which the State, in addition to information provided under other State Reform Conditions Criteria, has created, through law, regulation, or policy, other conditions favorable to education reform or innovation that have increased student achievement or graduation rates, narrowed achievement gaps, or resulted in other important outcomes.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(3):

- A description of the State's other applicable key education laws, statutes, regulations, or relevant legal documents.

Recommended maximum response length: Two pages

Kentucky has a long history of pursuing comprehensive and innovative reform. The landmark Kentucky Education Reform Act of 1990 enacted a top-to-bottom overhaul of the education system in the Commonwealth. Many aspects of this reform have been discussed in other reform conditions, including:

- New standards, across seven subject areas, and new assessments, assessing wide range of skills students need to succeed (*criteria (A)(1) and (B)(3)*)
- School intervention authority for State to intervene in low-performing districts and schools in need of improvement (building from 1984 "academic bankruptcy act") (*criteria (A)(1) and (E)(1)*)
- School-level control and innovation: Devolved decision-making to where it matters most – the school – via School Councils and School Based Decision Making (SBDM) (*criteria (A)(1) and (F)(2)*)
- Transition to equitable Support Education Excellence in Kentucky (SEEK) funding formula (*criterion (F)(1)*)

In addition to these key reforms, several other important advances were made with KERA. These have contributed to the growth in student achievement and in graduation rates described in criterion (A)(3). They include:

- Began state provision of preschool: Established preschool program to assist children to succeed in school as a means to help schools achieve the goals set in accountability sections of the KERA
- Created Extended School Services: Provides additional instructional time for at-risk students. Schools schedule sessions outside normal school hours – before school, after school, in the evenings, in the summer, and during intersessions created by alternative calendars – to meet specific, identified student needs
- Created Family and Youth Resource Centers: Family Resource Centers serve elementary schools and provide access to child

care, parenting training, child development training, parent and child education services, and health screening services and referrals. Youth Services Centers serve secondary schools and provide employment counseling, training and placement, summer and part-time job development, drug and alcohol abuse counseling, and family crisis and mental health counseling

Beyond KERA in 1990, several reform conditions have been put in place that directly support the work of this application and are cited elsewhere. They include:

- Partnership with Wallace Foundation to pilot key elements of reforms to increase teacher and principal effectiveness (*described in criteria (A)(3) and (D)(2)*)
- Universal administration of the ACT (as well as precursor EXPLORE and PLAN tests) begun in 2008 (*described in criterion (A)(1)*)
- Passage of landmark Senate Bill 1 in 2009 which sets the stage for complete revision of Kentucky's standards (in seven subject areas) and assessments (summative) (*described in criterion (A)(1) and (B)(3)*)
- Launched Graduate Kentucky, a Governor and First Lady-led, first-of-its-kind comprehensive statewide conversation to understand why students are dropping out of school and to share ideas and best practices of how communities can play a pivotal role in reducing the dropout rate and creating a strategic vision for keeping our children engaged in school

As mentioned in detail in plan (A)(3), this comprehensive approach has lead to dramatic progress for Kentucky's youth over the past two decades. Briefly, student achievement has increased on many dimensions. National Assessment of Educational Progress (NAEP) scores continue to rise; for example, from 1992 to 2009, NAEP fourth grade math scores rose 24 percentage points; and fourth grade reading scores rose 10 percentage points from 1992 to 2007. Many more students take and pass Advanced Placement exams, a leading signal of challenging coursework, and dual credit enrollment is also on the rise. The State's graduation rate continues to climb, posting a 9 percentage point gain from 1996 to 2006 as measured on the Cumulative Promotion Index (CPI), the

fourth largest gain in the nation. And postsecondary enrollment has been steadily increasing, rising from 49% in 1992 to 61% in 2006.

Additionally, there are several specific reforms Kentucky has pursued for improved student success. First, Kentucky has created a Center for School Safety. The Kentucky Center for School Safety (KCSS) was established in 1998 with a mission "to serve as the central point for data analysis; research; dissemination of information about successful school safety programs, research results, and new programs; and in collaboration with the Department of Education and others, to provide technical assistance for safe schools." The Center's mission and scope of work demands statewide collaboration. This partnership provides a dynamic blend of experience in project management, applied research, and technical assistance to the state's education, human service and justice organizations. Accomplishments of the Kentucky Center for School Safety since 1999 include:

- Produced and distributed the annual Safe Schools Data Report
- Hosted 3,933 events/services attendance by more than 227,930 participants (Kentucky educators, parents and community members)
- Provided services to 100% of Kentucky school districts
- Provided website access with more than 3 million viewers per year
- Provided books and other literature regarding bullying, proactive approaches to behavior management, defusing anger and managing threats to postsecondary education departments
- Provided technical support for school districts and alternative education programs
- Conducted Safe School Assessments in over 400 schools in our state

From this work has come substantial progress in increasing school safety: disciplinary actions for board violations have decreased by 18%, from 86K in 2003-2004 to 70K in 2007-2008.

Kentucky has been focused on reducing achievement gaps for more than a decade. SB 168, enacted in 2000, tasked the state with addressing achievement gaps in a comprehensive manner. One effort created as a result was the innovative Partnership for Minority Student Achievement. This broad coalition endeavored to work to close achievement gaps in schools across the Commonwealth. One main focus of this group was finding and codifying best practices in terms of closing the achievement gap.

Beginning in 2004, Achievement Gap teams in the Department reviewed the progress data of Kentucky schools at the elementary, middle, and high school levels to identify schools whose data demonstrated a closing of achievement gaps in one or more of the student populations listed in Senate Bill 168 (to include students' gender, students with disabilities, students with limited English proficiency, African American students, and students with low socio-economic status). The teams used criteria each year to identify schools successfully closing achievement gaps. Based on these criteria, schools were selected for on-site visits to chronicle qualitative data to be shared statewide with schools and districts needing information on how to close gaps. The teams used a rubric created from goals developed by the Partnership for Minority Student Achievement Taskforce. Teams were asked to document a school's processes/practices, programs, people, policies, and the physical environment that assisted schools in successfully closing achievement gaps. These best practices have since been shared statewide.

Finally, in the Spring of 2010, The Kentucky Board of Education voted to become a partner state in the The Partnership for 21st Century Skills, a non-profit advocacy organization focused on infusing 21st century skills into education. The Partnership believes that "twenty-first century learners need to become critical thinkers, problem solvers, effective communicators and collaborators, creators and innovators. Additionally, they need to learn to be self-directed and motivated individuals, capable of learning on their own once they leave school. Twenty-first century learners must also be able to acquire new literacies, such as health, financial and media literacy, and develop global awareness."

The Partnership includes business and education leaders and policymakers. In 2005, the Partnership launched the State Leadership Initiative to help states enact twenty-first century skills as part of their standards, curricula and teaching practice. Fourteen states now participate in the Initiative. State partner responsibilities are:

- High-profile leadership;
- Vision of 21st century readiness;
- Ongoing professional development;
- Standards and curriculum aligned with 21st century readiness;
- 21st century assessments;
- An effective communications strategy;
- An aggressive implementation strategy.

Each state implements its plan uniquely. Some start in high school and some in elementary; some have a P-16 strategy. The Partnership provides the state partners with advice, resources and policy support, but there is no exchange of funds. The organization's goal is to help the states achieve their goals, and to prepare students for the workforce of the future. *(see Appendix BB –21st Century Skills Staff Note)*

COMPETITION PRIORITIES

Priority 1: Absolute Priority -- Comprehensive Approach to Education Reform

To meet this priority, the State's application must comprehensively and coherently address all of the four education reform areas specified in the ARRA as well as the State Success Factors Criteria in order to demonstrate that the State and its participating LEAs are taking a systemic approach to education reform. The State must demonstrate in its application sufficient LEA participation and commitment to successfully implement and achieve the goals in its plans; and it must describe how the State, in collaboration with its participating LEAs, will use Race to the Top and other funds to increase student achievement, decrease the achievement gaps across student subgroups, and increase the rates at which students graduate from high school prepared for college and careers.

The absolute priority cuts across the entire application and should not be addressed separately. It is assessed, after the proposal has been fully reviewed and evaluated, to ensure that the application has met the priority.

Priority 2: Competitive Preference Priority -- Emphasis on Science, Technology, Engineering, and Mathematics (STEM). *(15 points, all or nothing)*

To meet this priority, the State's application must have a high-quality plan to address the need to (i) offer a rigorous course of study in mathematics, the sciences, technology, and engineering; (ii) cooperate with industry experts, museums, universities, research centers, or other STEM-capable community partners to prepare and assist teachers in integrating STEM content across grades and disciplines, in promoting effective and relevant instruction, and in offering applied learning opportunities for students; and (iii) prepare more students for advanced study and careers in the sciences, technology, engineering, and mathematics, including by addressing the needs of underrepresented groups and of women and girls in the areas of science, technology, engineering, and mathematics.

The competitive preference priority will be evaluated in the context of the State's entire application. Therefore, a State that is responding to this priority should address it throughout the application, as appropriate, and provide a summary of its approach to addressing the priority in the text box below. The reviewers will assess the priority as part of their review of a State's application and determine whether it has been met.

Recommended maximum response length, if any: One page

Overview of Kentucky's STEM initiatives and plans

In March 2007, Kentucky's STEM (Science, Technology, Engineering, and Mathematics) Task Force, comprised of leaders within the government, business, and education sectors across the Commonwealth, released a comprehensive report (included in Appendix GGGG: Kentucky's STEM Imperative) in response to the charter from the Council on Postsecondary Education ("the Council") to "develop a statewide P-20 strategic action plan to accelerate Kentucky's performance within the STEM disciplines." Since then, Kentucky has established the partnerships and initiatives described in that plan to further our progress in STEM fields. As part of this comprehensive approach, there are specific places in the Kentucky Race to the Top application where STEM-related initiatives appear. Those are referenced below, including the specific STEM goals addressed (i.e., (i) offer a rigorous course of study, (ii) prepare and assist teachers in integrating STEM content, and (iii) prepare more students for advanced study and careers). These make clear that STEM is a priority for Kentucky.

Standards and Assessments (Race to the Top criteria (B))

- AdvanceKentucky (*see reform plan for criterion (B)(3), addresses STEM goals (i), (ii), and (iii)*). This math-science initiative will be expanded to allow more students to access and participate in academically rigorous coursework in STEM subject areas through challenging Advanced Placement (AP) programming. Begun in 2007, this is a six-year partnership between Kentucky Science and Technology Corporation (KSTC) and the National Math and Science Initiative (NMSI). It also includes extensive training of teachers, identification and cultivation of lead teachers, additional time on task for students, and financial incentives based on academic results
- Project Lead The Way (*see reform plan for criterion (B)(3), addresses STEM goals (i), (ii), and (iii)*). This proven, recommended, nationally recognized and nationally aligned K-12 STEM curriculum will be expanded, resulting in a strengthened STEM education of all middle and high school students to make them college and STEM career-ready, improve teacher effectiveness through enhanced teacher preparation and continuing professional development, utilize rigorous

assessments to monitor learning outcomes, and implement the appropriate infrastructure to verify the expected improvements

- Student Technology competitions (*addresses STEM goal (iii)*). The Kentucky Department of Education's Office of Educational Technology sponsors competitions. Championships allow students from across the state to demonstrate for other students, school and community persons what they know and are able to do related to technology
- Science Centers *(addresses STEM goal (iii))*. Kentucky has several science centers that stimulate the interests of students in mathematics and science. For example, in eastern Kentucky, there are the East Kentucky Science Center in Prestonsburg and the Challenger Center in Hazard. These centers provide new and interesting standards-based programs that address core content to students in these historically under served areas, aiming to create "silicon hollows" which will compete with the Silicon Valley.

Great Teachers and Leaders (Race to the Top criteria (D))

- UTeach (*see reform condition for criterion (D)(1), addresses STEM goal (ii)*). UTeach is a program that encourages math and science majors to enter the teaching profession by offering an integrated degree plan, financial assistance, and early teaching experiences for undergraduates. UTeach is an effort sponsored by the National Math and Science Initiative (NMSI)
- The Mathematics and Science Partnership (MSP) (*see reform plan for criterion (D)(5), addresses STEM goal (ii)*). This program is intended to increase the academic achievement of students in mathematics and science by enhancing the content knowledge and teaching skills of classroom teachers. Partnerships between high-need school districts and the science, technology, engineering, and mathematics faculty in institutions of higher education are at the core of these improvement efforts
- Partnership Institute for Mathematics and Science Education Reform (PIMSER) (*see reform plan for criterion (D)(5), addresses STEM goal (ii)*).This effort seeks to enhance learning in mathematics and science for K-16 students and teachers and to prepare students for success in STEM education and teaching careers. The Kentucky Department of Education partners with PIMSER through Leadership Support Networks in Mathematics and Science (MLSN and SLSN)

Turnaround of Persistently Lowest-Achieving Schools (Race to the Top criteria (E))

- Coordination of STEM initiatives in turnaround schools (*see reform plan for criterion (E)(2), addresses STEM goal (i), (ii), and (iii)*). In the turnaround work, Centers for Learning Excellence will manage the implementation of programs like AdvanceKentucky and Project Lead The Way to ensure that teachers are trained in, and students participate in, rigorous STEM courses. Additionally, they will form partnerships with other organizations to provide project-based and real-world experiences in STEM-related fields

Priority 3: Invitational Priority – Innovations for Improving Early Learning Outcomes *(not scored)*

The Secretary is particularly interested in applications that include practices, strategies, or programs to improve educational outcomes for high-need students who are young children (prekindergarten through third grade) by enhancing the quality of preschool programs. Of particular interest are proposals that support practices that (i) improve school readiness (including social, emotional, and cognitive); and (ii) improve the transition between preschool and kindergarten.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

Early learning was a significant component of the Kentucky Education Reform Act of 1990. Preschool is an example of how Kentucky has effectively leveraged federal dollars to support reform. Those preschool students with special needs are provided preschool services through federal IDEA dollars. Four year olds in poverty are funded through state dollars at the rate of 150% of

poverty. The Kentucky Board of Education has made expansion of pre-K learning opportunities to 200% of poverty level for four year-olds a legislative priority. *(See 2010 Board agenda in Appendix HHHH: Board of Education 2010 Legislative Agenda.)*

In the 1990's, Kentucky did not have a focus related to early learning, Governor Paul Patton created the Governor's Early Childhood Task Force ("the Task Force"). The Task Force was made up of representatives from business, higher education, state agencies, schools and districts, early care programs, and other education partners. The Governor acknowledged the connection between quality early childhood experiences and the future economic development of Kentucky. The Task Force was charged with developing a 20-year plan in recognition of the reality that supporting quality early childhood experiences requires a significant financial investment that takes many years to accomplish. The Task Force made recommendations in four key areas: assuring maternal and child health, supporting families, enhancing early care and education and establishing a support structure. These recommendations and the resulting support for students have created a strong foundation for student learning. A list and description of each initiative created as a result of the Task Force recommendations can be found in Appendix IIII: KIDS NOW Initiatives.

In March 2009, the Governor of Kentucky, Steven L. Beshear, created through Executive Order 2009-232, the Task Force on Early Childhood Development and Education. (*See the Executive Order in Appendix JJJJ: Early Childhood Task Force Executive Order*.) As in 1999, the Task Force is made up of representatives from business, higher education, state agencies, schools and districts, early care programs, and other education partners. The Task Force membership is reflective of Kentucky's ongoing commitment to collaboration in the area of early care and education. The duties of the Task Force are outlined in the Executive Order; examples of a few follow that support the work around standards and assessments, great teachers and leaders, data systems and turning around low performing schools.

Standards and Assessments (Race to the Top criteria (B))

The Kentucky Early Childhood Standards represent specific learning standards for children through four years of age. These standards are designed as a framework to assist parents, early care and education professionals, administrators, and others in understanding what children are able to know and do from birth through four years of age. All of the audiences listed were involved in the development of the standards and the companion assessment guide mentioned later. In light of the development of Common Core standards in Mathematics and English/Language Arts, these standards need to be revised. Therefore, the Task Force has been charged to "revalidate early childhood standards and identify ways to ensure they are widely understood and used effectively in the programming for high quality early care and pre-school programs and used across education, Head Start and child care (Executive Order 2009-232)."

The Kentucky Early Childhood Continuous Assessment Guide is a companion piece to the Kentucky Early Childhood Standards. The Continuous Assessment Guide provides support to programs as they revise and establish a continuous assessment system to measure a child's progress on the Kentucky Early Childhood Standards. The Task Force will "analyze child assessment requirements and needs; re-examine the Kentucky recommended assessment tools and win broader understanding of and common acceptance by child care, preschool programs and kindergartens (Executive Order 2009-232)."

Senate Bill 1 requires each school that enrolls primary students to use diagnostic assessment and prompts that measure readiness in reading and mathematics for its primary students as determined by the school to be developmentally appropriate. The Task Force will be defining school readiness and that definition and the work around early assessment will help districts and schools in Kentucky collect the very best data possible to determine school readiness and to design instruction that ensures continuous progress for all students.

Assessments of student growth are recommended in Kentucky's *Continuous Assessment Guide*. School districts may choose one or

more of the 12 research-based classroom/instructional assessments recommended in the guide. Each assessment is formative in nature, embedded in regular curriculum, aligned with early childhood standards and can shape instructional changes to improve child outcomes. The data are being collected statewide in the Kentucky Early Childhood Data System (KEDS). The roll out happens in five phases, the last of which starts in 2010-2011. Assessment data will be comprehensive, representing at-risk children, children with and without disabilities, and children enrolled in Head Start. Data from First Steps (IDEA Part C) and child care will be collected in the system, as well.

Data Systems (Race to the Top Criteria (C))

The Kentucky Early Childhood Data System (KEDS) is a universal web-based system designed to reliably collect assessment data from children in public preschool, Head Start, Early Intervention (0-2 years), and child care. It measures child progress on the Kentucky Early Childhood Standards and the 3 outcomes required by the Office of Special Education Programs (OSEP). This data will become part of the KY SLDS and will be used to make instructional improvement decisions.

Great Teachers and Leaders (Race to the Top criteria (D))

Kentucky is in the process of creating a system of support for schools and districts to measure preschool teacher effectiveness. The system will be comprehensive and cohesive. It will build on current Interdisciplinary Early Childhood Education (IECE) teacher standards, preschool student assessments defined by Kentucky's *Early Childhood Continuous Assessment Guide*, and evidence-based classroom evaluation tools such as the Classroom Assessment Scoring System (CLASS). Teacher effectiveness will be based on additional measures of school readiness and transition (preschool to kindergarten).

Aligned with the Kentucky Teacher Standards, the IECE Teacher Standards contain an additional standard and criteria for families (e.g., Supports Families). A preschool teacher must know and be able to demonstrate knowledge of family structures and

development, communicate effectively with families, assist family members with resources in support of their child(ren)'s development, among many other criteria. This knowledge is essential to the foundation of effective teaching in the preschool environment.

Turning Around Lowest-Achieving Schools (Race to the Top Criteria (E))

When working in low-achieving schools, the Centers for Learning Excellence will make sure that the early learning experiences and resulting data are informing the work that needs to occur to ensure continuous progress for all students. The regional training center network already in place will play a crucial role in this process.

Supporting Infrastructure

The infrastructure is already in place to support Kentucky's early learning initiatives related to the four assurance areas. That infrastructure consists of the following:

- Kentucky's Regional Training Centers (RTCs). There are five early childhood RTCs, each with staff certified to train other trainers in CLASS administration. By developing a cadre of coaches at the district level, the RTCs could help guide and assist a CLASS support system to ensure high quality teaching and learning. These regional training centers can support professional learning experiences around the revised standards and how to use data to ensure continuous progress for all students
- Institutes of Higher Education (IHE). The Division of Early Childhood regularly convenes the early childhood faculty from Kentucky's IHE community. Through this network, the new standards, assessments and the relevance of CLASS to teacher evaluation and effectiveness can be emphasized and lead to pre-service learning opportunities for new teachers
- Collaboration with Head Start. Head Start collaboration is necessary around the standards and assessments in order to ensure a high quality learning experience for all students. Head Start has already started to implement CLASS into its support structures. Fifty percent of Head Start programs are administered by school districts, making alignment with and support of

CLASS an important priority

- Kentucky Early Childhood Transition Project (KECTP). The early childhood transition project provides assistance and support to families and professionals interested in quality, evidence-based early childhood transition practices. KECTP also works locally and regionally to help communities develop transition agreements in all 15 Area Development Districts (ADD). Level of regional agreement and implementation varies across the state. The Department is working with KECTP to continue strengthening the development of regional agreements, including focus on preschool to kindergarten transitions
- Great By Eight Summit. A leadership summit entitled "Great By Eight" will be held in 2010. Teams of local and regional leaders, including business and industry, will participate by development regional to develop birth though eight action plans that advocate for high quality schools, programs and services for all children to reduce and eliminate achievement gaps. Standards, assessments, the use of data and effective teaching will be important elements for the regional planning teams to include in their action plans

Priority 4: Invitational Priority – Expansion and Adaptation of Statewide Longitudinal Data Systems *(not scored)*

The Secretary is particularly interested in applications in which the State plans to expand statewide longitudinal data systems to include or integrate data from special education programs, English language learner programs, early childhood programs, at-risk and dropout prevention programs, and school climate and culture programs, as well as information on student mobility, human resources (*i.e.*, information on teachers, principals, and other staff), school finance, student health, postsecondary education, and other relevant areas, with the purpose of connecting and coordinating all parts of the system to allow important questions related to policy, practice, or overall effectiveness to be asked, answered, and incorporated into effective continuous improvement practices.

The Secretary is also particularly interested in applications in which States propose working together to adapt one State's statewide longitudinal data system so that it may be used, in whole or in part, by one or more other States, rather than having each State build or continue building such systems independently.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

Priority 5: Invitational Priority -- P-20 Coordination, Vertical and Horizontal Alignment *(not scored)*

The Secretary is particularly interested in applications in which the State plans to address how early childhood programs, K-12 schools, postsecondary institutions, workforce development organizations, and other State agencies and community partners (*e.g.*, child welfare, juvenile justice, and criminal justice agencies) will coordinate to improve all parts of the education system and create a more seamless preschool-through-graduate school (P-20) route for students. Vertical alignment across P-20 is particularly critical at each point where a transition occurs (*e.g.*, between early childhood and K-12, or between K-12 and postsecondary/careers) to ensure that students exiting one level are prepared for success, without remediation, in the next. Horizontal alignment, that is, coordination of services across schools, State agencies, and community partners, is also important in ensuring that high-need students (as defined in this notice) have access to the broad array of opportunities and services they need and that are beyond the capacity of a school itself to provide.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

Priority 6: Invitational Priority -- School-Level Conditions for Reform, Innovation, and Learning *(not scored)*

The Secretary is particularly interested in applications in which the State's participating LEAs (as defined in this notice) seek to create the conditions for reform and innovation as well as the conditions for learning by providing schools with flexibility and autonomy in such areas as—

(i) Selecting staff;

(ii) Implementing new structures and formats for the school day or year that result in increased learning time (as defined in this notice);

(iii) Controlling the school's budget;

(iv) Awarding credit to students based on student performance instead of instructional time;

(v) Providing comprehensive services to high-need students (as defined in this notice) (*e.g.*, by mentors and other caring adults; through local partnerships with community-based organizations, nonprofit organizations, and other providers);

(vi) Creating school climates and cultures that remove obstacles to, and actively support, student engagement and achievement; and

(vii) Implementing strategies to effectively engage families and communities in supporting the academic success of their students.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

BUDGET

(Evidence for selection criterion (A)(2)(i)(d))

Applicants should use their budgets and budget narratives to provide a detailed description of how they plan to use their Federal grant funds, and how they plan to leverage other Federal (*e.g.* School Improvement Grant, Statewide Longitudinal Data Systems grant, Teacher Incentive Fund grant, Title I), State, and local funds to achieve their reform goals. The budget narrative should be of sufficient scope and detail for the Department to determine if the costs are necessary, reasonable, and allowable. For further guidance on Federal cost principles, an applicant may wish to consult OMB Circular A-87. (See www.whitehouse.gov/omb/circulars).

For the purpose of the budget, we expect that the State will link its proposed reform plans to projects that the State believes are necessary in order to implement its plans. Proving additional budget detail through a project-level table and narrative will allow the State to specifically describe how its budget aligns with its reform plans in all four areas and how its budget supports the achievement of the State's goals. Some projects might address one Reform Plan Criterion, while others might address several similarly-focused criteria as one group. For example, the State might choose to have one "management project" focused on criterion (A)(2), Building Strong Statewide Capacity. It might have another "human capital project" that addresses criteria (D)(2) through (D)(5) in the Great Teachers and Leaders section.

To support the budgeting process, the following forms and instructions are included:

1. Budget Summary
    a. Budget Summary Table. This is the cover sheet for the budget. States should complete this table as the final step in their budgeting process, and include this table as the first page of the State's budget. (See Budget Part I: Budget Summary Table.)
    b. Budget Summary Narrative. A budget narrative that accompanies the Budget Summary Table should provide an overview of the projects that the State has included in its budget. The State should also describe how other Federal, State, and local funds will be leveraged to further support Race to the Top education reform plans. (See Budget Part I: Budget Summary Narrative.)

2. Project-Level Detail. This is the supporting, project-level detail required as back-up to the budget summary. For each project that the State is proposing in order to implement the plans described in its application, the State should complete the following:
    a. Project-Level Budget Table. This is the budget for each project, by budget category and for each year for which funding is requested. (See Budget Part II: Project-Level Budget Table.)
    b. Project-Level Budget Narrative. This is the narrative and backup detail associated with each budget category in the Project-Level Budget. (See Budget Part II: Project-Level Budget Narrative.)

Budget Summary Table and Narrative

Instructions:
In the Budget Summary Table, the State should include the budget totals for each budget category and each year of the grant. These line items are derived by adding together the line items from each of the Project-Level Budget Tables.

Budget Part I: Budget Summary Table **(Evidence for selection criterion (A)(2)(i)(d))**					
Budget Categories	**Project Year 1**	**Project Year 2**	**Project Year 3**	**Project Year 4**	**Total**
1. Personnel	$562,500	$2,250,000	$2,512,500	$2,175,000	$7,500,000
2. Fringe Benefits	$168,750	$675,000	$753,750	$652,500	$2,250,000
3. Travel	$226,675	$143,475	$59,100	$44,100	$473,350
4. Equipment	$492,648	$787,250	$0	$0	$1,279,898
5. Supplies	$466,000	$3,376,000	$2,301,000	$2,000	$6,145,000
6. Contractual	$15,475,875	$15,131,830	$9,692,785	$5,200,865	$45,501,355
7. Training Stipends	$0	$12,000	$12,000	$0	$24,000
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (lines 1-8)	$17,392,448	$22,375,555	$15,331,135	$8,074,465	$63,173,603
10. Indirect Costs*	$200,773	$908,672	$793,317	$405,179	$2,307,941
11.Funding for Involved LEAs	$0	$0	$0	$0	$0
12. Supplemental Funding for Participating LEAs	$3,885,000	$1,825,000	$1,825,000	$1,825,000	$9,360,000
13. Total Costs (lines 9-12)	$21,478,221	$25,109,227	$17,949,452	$10,304,644	$74,841,544
14. Funding Subgranted to Participating LEAs (50% of Total Grant)	$36,550,000	$25,645,000	$24,990,000	$12,815,000	$100,000,000
15. Total Budget (lines 13-14)	$58,028,221	$50,754,227	$42,939,452	$23,119,644	$174,841,544

Note: Calculations were conducted in a separate spreadsheet. Due to rounding, there may be small errors in the figures above.

BUDGET PART I: BUDGET SUMMARY NARRATIVE

Please see Appendix G: Kentucky Race to the Top Budget Proposal for Kentucky's budgets and budget narratives.

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IF INFORMATION IS NEEDED, SEE APPLICATION TEMPLATE AT U.S. DEPARTMENT OF EDUCATION WESBITE: http://www.ed.gov/programs/racetothetop/application.doc

Budget Part II: Project-Level Budget Table

Please see Appendix G: Kentucky Race to the Top Budget Proposal for Kentucky's budgets and budget narratives.

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Budget: Indirect Cost Information

To request reimbursement for indirect costs, please answer the following questions:

Does the State have an Indirect Cost Rate Agreement approved by the Federal government?

YES ● X
NO ○

If yes to question 1, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy):

From: 07/01/2007 To: 12/31/2010

Approving Federal agency: __X_ED ___Other

(Please specify agency): _____

Directions for this form:

1. Indicate whether or not the State has an Indirect Cost Rate Agreement that was approved by the Federal government.

2. If "No" is checked, ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and
(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

3. If "Yes" is checked, indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) issued the approved agreement. If "Other" was checked, specify the name of the agency that issued the approved agreement.

PARTICIPATING LEA MEMORANDUM OF UNDERSTANDING
(Appendix D in the Notice of Final Priorities, Requirements, Definitions, and Selection Criteria; and in the Notice Inviting Applications)

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IF INFORMATION IS NEEDED, SEE APPLICATION TEMPLATE AT U.S. DEPARTMENT OF EDUCATION WESBITE:
http://www.ed.gov/programs/racetothetop/application.doc

SCHOOL INTERVENTION MODELS
(Appendix C in the Notice of Final Priorities, Requirements, Definitions, and Selection Criteria; and in the Notice Inviting Applications)

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IF INFORMATION IS NEEDED, SEE APPLICATION TEMPLATE AT U.S. DEPARTMENT OF EDUCATION WESBITE: http://www.ed.gov/programs/racetothetop/application.doc

SCORING RUBRIC
(Appendix B in the Notice of Final Priorities, Requirements, Definitions, and Selection Criteria; and in the Notice Inviting Applications)

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IF INFORMATION IS NEEDED, SEE APPLICATION TEMPLATE AT U.S. DEPARTMENT OF EDUCATION WESBITE: http://www.ed.gov/programs/racetothetop/application.doc

APPLICATION REQUIREMENTS

(a) The State's application must be signed by the Governor, the State's chief school officer, and the president of the State board of education (if applicable). States will respond to this requirement in the application, Section III, Race to the Top Application Assurances. In addition, the assurances in Section IV must be signed by the Governor.

(b) The State must describe the progress it has made over the past several years in each of the four education reform areas (as described in criterion (A)(3)(i)).

(c) The State must include a budget that details how it will use grant funds and other resources to meet targets and perform related functions (as described in criterion (A)(2)(i)(d)), including how it will use funds awarded under this program to–

(1) Achieve its targets for improving student achievement and graduation rates and for closing achievement gaps (as described in criterion (A)(1)(iii)); the State must also describe its track record of improving student progress overall and by student subgroup (as described in criterion (A)(3)(ii)); and

(2) Give priority to high-need LEAs (as defined in this notice), in addition to providing 50 percent of the grant to participating LEAs (as defined in this notice) based on their relative shares of funding under Part A of Title I of the ESEA for the most recent year as required under section 14006(c) of the ARRA. (Note: Because all Race to the Top grants will be made in 2010, relative shares will be based on total funding received in FY 2009, including both the regular Title I, Part A appropriation and the amount made available by the ARRA).

(d) The State must provide, for each State Reform Conditions Criterion (listed in this notice) that it chooses to address, a description of the State's current status in meeting that criterion and, at a minimum, the information requested as supporting evidence for the criterion and the performance measures, if any (see Appendix A).

(e) The State must provide, for each Reform Plan Criterion (listed in this notice) that it chooses to address, a detailed plan for use of grant funds that includes, but need not be limited to--

(1) The key goals;

(2) The key activities to be undertaken and rationale for the activities, which should include why the specific activities are thought to bring about the change envisioned and how these activities are linked to the key goals;

(3) The timeline for implementing the activities;

(4) The party or parties responsible for implementing the activities;

(5) The information requested in the performance measures, where applicable (see Appendix A), and where the State proposes plans for reform efforts not covered by a specified performance measure, the State is encouraged to propose performance measures and annual targets for those efforts; and

(6) The information requested as supporting evidence, if any, for the criterion, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the State's plan.

(f) The State must submit a certification from the State Attorney General that—

(1) The State's description of, and statements and conclusions concerning State law, statute, and regulation in its application are complete, accurate, and constitute a reasonable interpretation of State law, statute, and regulation; and

(2) At the time the State submits its application, the State does not have any legal, statutory, or regulatory barriers at the State level to linking data on student achievement or student growth to teachers and principals for the purpose of teacher and principal evaluation.

(g) When addressing issues relating to assessments required under the ESEA or subgroups in the selection criteria, the State must meet the following requirements:

(1) For student subgroups with respect to the NAEP, the State must provide data for the NAEP subgroups described in section 303(b)(2)(G) of the National Assessment of Educational Progress Authorization Act (20 U.S.C. 9622) (*i.e.*, race, ethnicity, socioeconomic status, gender, disability, and limited English proficiency). The State must also include the NAEP exclusion rate for students with disabilities and the exclusion rate for English language learners, along with clear documentation of the State's policies and practices for determining whether a student with a disability or an English language learner should participate in the NAEP and whether the student needs accommodations;

(2) For student subgroups with respect to high school graduation rates, college enrollment and credit accumulation rates, and the assessments required under the ESEA, the State must provide data for the subgroups described in section 1111(b)(2)(C)(v)(II) of the ESEA (*i.e.*, economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, and students with limited English proficiency); and

(3) For the assessments required under the ESEA, refer to section 1111(b)(3) of the ESEA; in addition, when describing this assessment data in the State's application, the State should note any factors (*e.g.*, changes in cut scores) that would impact the comparability of data from one year to the next.

REPORTING REQUIREMENTS

A State receiving Race to the Top funds must submit to the Department an annual report which must include, in addition to the standard elements, a description of the State's and its LEAs' progress to date on their goals, timelines, and budgets, as well as actual performance compared to the annual targets the State established in its application with respect to each performance measure. Further, a State receiving funds under this program and its participating LEAs are accountable for meeting the goals, timelines, budget, and annual targets established in the application; adhering to an annual fund drawdown schedule that is tied to meeting these goals, timelines, budget, and annual targets; and fulfilling and maintaining all other conditions for the conduct of the project. The Department will monitor a State's and its participating LEAs' progress in meeting the State's goals, timelines, budget, and annual targets and in fulfilling other applicable requirements. In addition, the Department may collect additional data as part of a State's annual reporting requirements.

To support a collaborative process between the State and the Department, the Department may require that applicants who are selected to receive an award enter into a written performance or cooperative agreement with the Department. If the Department determines that a State is not meeting its goals, timelines, budget, or annual targets or is not fulfilling other applicable requirements, the Department will take appropriate action, which could include a collaborative process between the Department and the State, or enforcement measures with respect to this grant such as placing the State in high-risk status, putting the State on reimbursement payment status, or delaying or withholding funds.

A State that receives Race to the Top funds must also meet the reporting requirements that apply to all ARRA-funded programs. Specifically, the State must submit reports, within 10 days after the end of each calendar quarter, that contain the information required under section 1512(c) of the ARRA in accordance with any guidance issued by the Office of Management and Budget or the Department (ARRA Division A, Section 1512(c)).

In addition, for each year of the program, the State will submit a report to the Secretary, at such time and in such manner as the Secretary may require, that describes:

- the uses of funds within the State;
- how the State distributed the funds it received;
- the number of jobs that the Governor estimates were saved or created with the funds;
- the State's progress in reducing inequities in the distribution of highly qualified teachers, implementing a State longitudinal data system, and developing and implementing valid and reliable assessments for English language learners and students with disabilities; and
- if applicable, a description of each modernization, renovation, or repair project approved in the State application and funded, including the amounts awarded and project costs (ARRA Division A, Section 14008).

Evaluation

The Institute of Education Sciences (IES) will conduct a series of national evaluations of Race to the Top's State grantees as part of its evaluation of programs funded under the ARRA. The Department's goal for these evaluations is to ensure that its studies not only assess program impacts, but also provide valuable information to State and local educators to help inform and improve their practices.

The Department anticipates that the national evaluations will involve such components as–

- Surveys of States, LEAs, and/or schools, which will help identify how program funding is spent and the specific efforts and activities that are underway within each of the four education reform areas and across selected ARRA-funded programs;
- Case studies of promising practices in States, LEAs, and/or schools through surveys and other mechanisms; and
- Evaluations of outcomes, focusing on student achievement and other performance measures, to determine the impact of the reforms implemented under Race to the Top.

Race to the Top grantee States are not required to conduct independent evaluations, but may propose, within their applications, to use funds from Race to the Top to support such evaluations. Grantees must make available, through formal (*e.g.*, peer-reviewed journals) or informal (*e.g.*, newsletters, websites) mechanisms, the results of any evaluations they conduct of their funded activities. In addition, as described elsewhere in this notice and regardless of the final components of the national evaluation, Race to the Top States, LEAs, and schools are expected to identify and share promising practices, make work available within and across States, and make data available in appropriate ways to stakeholders and researchers so as to help all States focus on continuous improvement in service of student outcomes.

Participating LEA Scope of Work

The agreements signed by participating LEAs (as defined in this notice) must include a scope-of-work section. The scope of work submitted by LEAs and States as part of their Race to the Top applications will be preliminary. Preliminary scopes of work should include the portions of the State's proposed reform plans that the LEA is agreeing to implement. If a State is awarded a Race to the Top grant, its participating LEAs (as defined in this notice) will have up to 90 days to complete final scopes of work, which must contain detailed work plans that are consistent with their preliminary scopes of work and with the State's grant application, and should include the participating LEAs' specific goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures.

Making Work Available

Unless otherwise protected by law or agreement as proprietary information, the State and its subgrantees must make any work (*e.g.*, materials, tools, processes, systems) developed under

its grant freely available to others, including but not limited to by posting the work on a website identified or sponsored by the Department.

Technical Assistance

The State must participate in applicable technical assistance activities that may be conducted by the Department or its designees.

State Summative Assessments

No funds awarded under this competition may be used to pay for costs related to statewide summative assessments.

CONTRACTING FOR SERVICES

Generally, all procurement transactions by State or local educational agencies made with Race to the Top grant funds must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR.

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that may be used to provide services or goods for the proposed project if a grant is awarded.

APPLICATION SUBMISSION PROCEDURES

SUBMISSION INFORMATION

The deadline for submission of Program applications is January 19, 2010 for Phase 1 applicants, and June 1, 2010 for Phase 2 applicants.

Applications for grants under this competition must be submitted by mail or hand delivery. The Department strongly recommends the use of overnight mail. Applications postmarked on the deadline date but arriving late will not be read.

a. Application Submission Format and Deadline.

Applications for grants under this competition, as well as any amendments regarding adoption of common standards that Phase 2 applicants may file after June 1 and through August 2, 2010, must be submitted in electronic format on a CD or DVD, with CD-ROM or DVD-ROM preferred. In addition, they must submit a signed original of Sections III and IV of the application and one copy of that signed original. Sections III and IV of the application include the Race to the Top Application Assurances and the Accountability, Transparency, Reporting and Other Assurances.

All electronic application files must be in a .DOC (document), .DOCX (document), .RTF (rich text), or .PDF (Portable Document) format. Each file name should clearly identify the part of the application to which the content is responding. If a State submits a file type other than the four file types specified in this paragraph, the Department will not review that material. States should not password-protect these files.

The CD or DVD should be clearly labeled with the State's name and any other relevant information.

The Department must receive all grant applications by 4:30:00 p.m., Washington DC time, on the application deadline date. ***We will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date.*** Therefore, we strongly recommend that applicants arrange for mailing or hand delivery of their applications in advance of the application deadline date.

b. Submission of Applications by Mail.

States may submit their application (*i.e.*, the CD or DVD, the signed original of Sections III and IV of the application, and the copy of that original) by mail (either through the U.S. Postal Service or a commercial carrier). We must receive the applications on or before the application deadline date. Therefore, to avoid delays, we strongly recommend sending applications via overnight mail. Mail applications to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.395A)
LBJ Basement Level 1

400 Maryland Avenue, SW.
Washington, DC 20202-4260

If we receive an application after the application deadline, we will not consider that application.

c. Submission of Applications by Hand Delivery.

States may submit their application (*i.e.*, the CD or DVD, the signed original of Sections III and IV of the application, and the copy of that original) by hand delivery (including via a courier service). We must receive the applications on or before the application deadline date, at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.395A)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

If we receive an application after the application deadline, we will not consider that application.

d. Envelope requirements and receipt:

When an applicant submits its application, whether by mail or hand delivery--

(1) It must indicate on the envelope that the CFDA number of the competition under which it is submitting its application is 84.395A; and

(2) The Application Control Center will mail to the applicant a notification of receipt of the grant application. If the applicant does not receive this notification, it should call the U.S. Department of Education Application Control Center at (202) 245-6288.

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

APPLICATION CHECKLIST

Please use the following checklist to ensure that your application is complete.

Formatting Recommendations (page 3)

- ❑ Are all pages 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides?

- ❑ Are all pages numbered?
- ❑ Is the line space set to 1.5 spacing using 12 point Times New Roman font?

Race to the Top Application Assurances (page 12)

- ❑ Is all of the requested information included on the Race to the Top Application Assurances page?
- ❑ **SIGNATURE REQUIRED –** Has the Governor or an authorized representative signed and dated the Race to the Top Application Assurances?
- ❑ **SIGNATURE REQUIRED –** Has the Chief State School Officer signed and dated the Race to the Top Application Assurances?
- ❑ **SIGNATURE REQUIRED –** Has the President of the State Board of Education signed and dated the Race to the Top Application Assurances?

State Attorney General Certification (page 13)

- ❑ **SIGNATURE REQUIRED –** Has the State Attorney General or an authorized representative signed and dated the Race to the Top Application Assurances?

Accountability, Transparency, Reporting, and Other Assurances and Certifications (pages 14-16)

- ❑ **SIGNATURE REQUIRED –** Has the Governor or his/her authorized representative signed and dated the other Assurances and Certifications?

Eligibility Requirements (page 17)

- ❑ Has the State provided explanatory information for eligibility requirement (b)? (Note that the Attorney General certification addresses this requirement, so the explanatory information is optional.)

Selection Criteria: Progress and Plans in the Four Education Reform Areas (pages 18-50)

- ❑ Has the State responded to all of the selection criteria to which it plans to respond?
- ❑ For each selection criterion to which the State is responding, has the State provided the necessary:
    - ❑ Narrative response?
    - ❑ Performance measures?
    - ❑ Evidence?
- ❑ Has the State organized the Appendix properly such that each attachment in the appendix is described in the narrative text of the relevant selection criterion?

Competition Priorities (pages 51-54)

- ❑ **[Optional]** Has the State responded to all the competitive preference and invitational priorities to which it plans to respond?

Budget (see pages 55-64)

- ❑ Has the State completed the following elements of the budget?
    - ❑ **Budget Part I: Summary Table (page 56)**
    - ❑ **Budget Part I: Budget Summary Narrative (page 57)**

- ❑ **Budget Part II: Project-Level Budget Table (page 58)**
- ❑ **Budget Part II: Project-Level Budget Narrative (page 59)**
- ❑ [If requested] **Indirect Costs (page 64)**

Application Requirements (see pages 92-93)

- ❑ Has the State fulfilled all of the application requirements?

Application Submission Procedures (pages 98-99)

- ❑ Has the State complied with the submission format requirements, including the application deadline for submission?

Appendix (page 102)

- ❑ Has the State created a table of contents for its appendix?
- ❑ Has the State included all required appendix documents per the instructions in the application, as well as any other documents it refers to in its narratives?