

**U.S. Department of Education**  
**Washington, D.C. 20202-5335**



**APPLICATION FOR GRANTS**  
**UNDER THE**

**TIF General Competition**

**CFDA # 84.374A**

**PR/Award # S374A120035**

**Grants.gov Tracking#: GRANT11189115**

OMB No. , Expiration Date:

Closing Date: Jul 27, 2012

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

**Application for Federal Assistance SF-424**

\* 1. Type of Submission:

- Preapplication  
 Application  
 Changed/Corrected Application

\* 2. Type of Application:

- New  
 Continuation  
 Revision

\* If Revision, select appropriate letter(s):

\* Other (Specify):

\* 3. Date Received:

07/26/2012

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

**State Use Only:**

6. Date Received by State:

7. State Application Identifier:

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

School Board of Miami-Dade County, Florida

\* b. Employer/Taxpayer Identification Number (EIN/TIN):

596000572

\* c. Organizational DUNS:

1059640680000

**d. Address:**

\* Street1:

1450 NE Second Avenue

Street2:

\* City:

Miami

County/Parish:

Miami-Dade

\* State:

FL: Florida

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code:

33132-1308

**e. Organizational Unit:**

Department Name:

Intergovernmental Affairs

Division Name:

Grants Administration

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix:

Ms.

\* First Name:

Iraida

Middle Name:

R.

\* Last Name:

Mendez-Cartaya

Suffix:

Title: Assistant Superintendent

Organizational Affiliation:

Miami-Dade County Public Schools

\* Telephone Number:

305-995-1497

Fax Number:

305-995-3088

\* Email:

imendez@dadeschools.net

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

G: Independent School District

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.374

CFDA Title:

Teacher Incentive Fund

**\* 12. Funding Opportunity Number:**

ED-GRANTS-061412-001

\* Title:

Office of Elementary and Secondary Education (OESE): Teacher Incentive Fund (TIF): TIF General Competition CFDA Number 84.374A

**13. Competition Identification Number:**

84-374A2012-1

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Areas Affected by Project.pdf | Delete Attachment | View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

Incentives for Highly Effective Administrators and Teachers -iHEAT Initiative

Attach supporting documents as specified in agency instructions.

Add Attachments | | |

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="2,898,904.00"/>
* b. Applicant	<input type="text" value="(b)(4)"/>
* c. State	
* d. Local	
* e. Other	
* f. Program Income	
* g. TOTAL	

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes
- No

If "Yes", provide explanation and attach

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:   
Middle Name:   
\* Last Name:   
Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

**Areas Affected by Project  
(Cities, County, State, etc.)**

Miami-Dade County, Florida

## **Congressional Districts**

Within Miami-Dade County, Florida

17, 18, 20, 21, 25

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Iraida Mendez-Cartaya</p>	<p>* TITLE</p> <p>Superintendent of Schools</p>
<p>* APPLICANT ORGANIZATION</p> <p>School Board of Miami-Dade County, Florida</p>	<p>* DATE SUBMITTED</p> <p>07/26/2012</p>

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB  
0348-0046

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

**4. Name and Address of Reporting Entity:**  
 Prime     SubAwardee

\* Name: School Board of Miami-Dade County, FL

\* Street 1: 1450 NE Second Avenue    \* Street 2: \_\_\_\_\_

\* City: Miami    \* State: FL: Florida    \* Zip: \_\_\_\_\_

Congressional District, if known: 18

<b>6. * Federal Department/Agency:</b> U.S. Department of Education	<b>7. * Federal Program Name/Description:</b> Teacher Incentive Fund
	CFDA Number, if applicable: 84.374

<b>8. Federal Action Number, if known:</b> _____	<b>9. Award Amount, if known:</b> \$ _____
---	---

**10. a. Name and Address of Lobbying Registrant:**

Prefix \_\_\_\_\_ \* First Name Not applicable.    Middle Name \_\_\_\_\_

\* Last Name Not applicable.    Suffix \_\_\_\_\_

\* Street 1 \_\_\_\_\_    \* Street 2 \_\_\_\_\_

\* City \_\_\_\_\_    \* State \_\_\_\_\_    \* Zip \_\_\_\_\_

**b. Individual Performing Services** (including address if different from No. 10a)

Prefix \_\_\_\_\_ \* First Name Not applicable.    Middle Name \_\_\_\_\_

\* Last Name Not applicable.    Suffix \_\_\_\_\_

\* Street 1 \_\_\_\_\_    \* Street 2 \_\_\_\_\_

\* City \_\_\_\_\_    \* State \_\_\_\_\_    \* Zip \_\_\_\_\_

**11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\* Signature: Iraida Mendez-Cartaya

\* Name: Prefix \_\_\_\_\_ \* First Name Alberto    Middle Name M.    \* Last Name Carvalho    Suffix \_\_\_\_\_

Title: Superintendent of Schools    Telephone No.: 305-995-1430    Date: 07/26/2012

**NOTICE TO ALL APPLICANTS**

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

**To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

**What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

**What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

**Estimated Burden Statement for GEPA Requirements**

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 **1894-0005**. The time required to complete this information collection is estimated to average 1.5 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, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

**Optional - You may attach 1 file to this page.**

GEPA.pdf

Delete Attachment

View Attachment

## **GENERAL EDUCATION PROVISIONS ACT (GEPA)**

Miami-Dade County Public Schools (M-DCPS, or District) is committed to providing equitable access to, and participation in, the *Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative* by students, teachers, and families with special needs. Below are examples of how M-DCPS will comply with Section 427.

In the event that a teacher participating in the grant is in need of accommodation because of a disability or other medical condition that substantially interferes with a major life activity, M-DCPS has a self-referral process available to them. Employees contact the Director, Personnel Support Programs/ADA in the Office of Human Resources for an application packet. Once a completed packet is received, including supporting medical forms, the ADA District Consultative Committee, which convenes monthly, makes the determination as to whether the applicant meets the standard set forth in the Americans with Disabilities Act (and its subsequent amendments). Examples of accommodations that have been made for teachers with disabilities include use of microphones, Closed-circuit television (CCTV), zoom text and Seeing Eye dogs. The District is committed to providing reasonable accommodations to all qualified individuals with a disability.

Examples of other accommodations the District makes for persons with disabilities include Sign Language Interpretive services provided for School Board meetings. Further, the District provides sign language services to employees for all District-sponsored activities for which they are required to attend, like faculty meetings, professional development activities, Open house, and training sessions.

As a District, the School Board of Miami-Dade County, Florida adheres to a policy of nondiscrimination in educational programs, services and employment and strives affirmatively to provide equal opportunity for all as required by federal, state and local law.

---

## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any 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 this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**\* APPLICANT'S ORGANIZATION**

School Board of Miami-Dade County, Florida

**\* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE**

Prefix: Mr. \* First Name: Alberto Middle Name: M.

\* Last Name: Carvalho Suffix:

\* Title: Superintendent of Schools

**\* SIGNATURE:** Iraida Mendez-Cartaya

**\* DATE:** 07/26/2012

---

SUPPLEMENTAL INFORMATION  
REQUIRED FOR  
DEPARTMENT OF EDUCATION GRANTS

**1. Project Director:**

Prefix:	* First Name:	Middle Name:	* Last Name:	Suffix:
	Iraida	R.	Mendez-Cartaya	

Address:

* Street1:	1450 NE Second Avenue
Street2:	
* City:	Miami
County:	Miami-Dade
* State:	FL: Florida
* Zip Code:	33132-1302
* Country:	USA: UNITED STATES

\* Phone Number (give area code)    Fax Number (give area code)

305-995-1430	305-995-3088
--------------	--------------

Email Address:

imendez@dadeschools.net
-------------------------

**2. Applicant Experience:**

Novice Applicant     Yes     No     Not applicable to this program

**3. Human Subjects Research**

Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes     No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

**Please attach an explanation Narrative:**

--	--	--	--

## Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

---

## You may now Close the Form

**You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.**

\* Attachment:

## Abstract

### *Incentives for Highly Effective Administrators and Teachers - iHEAT Initiative*

**Introduction.** Miami-Dade County Public Schools (M-DCPS), the nation's fourth-largest school district, is seeking grant support through the General Teacher Incentive Fund (TIF) Competition to develop and implement a performance-based compensation system (PBCS) in nine high-need schools. M-DCPS, a local education agency as designated by the State of Florida, is applying as a single eligible applicant. M-DCPS serves 345,000 students in 450 schools.

*Incentives for Highly Effective Administrators and Teachers (iHEAT Initiative)* is an innovative project designed to increase teacher and administrator effectiveness and, consequently, student achievement, in high-need schools through incentives and professional development. The *iHEAT Initiative* corresponds to PBCS Design Model 1 as it provides additional compensation for highly effective teachers and principals and also provides additional compensation for highly effective teachers who take on additional career ladder responsibilities. Project design is the result of an intensive process that included input from teachers, assistant principals, principals, district administrators, union representatives, state education officials, and an external evaluator. The project will provide substantial performance-based incentive payouts which are based on a challenging set of criteria to determine eligibility.

#### **Key Project Objectives and Activities.**

- Project Objective 1: Increase the inter-rater reliability on teacher performance observation and evaluation instruments used in the human capital management decision-making and performance-based compensation systems.
- Project Objective 2: Increase the number of highly effective teachers working in the designated high-need schools.
- Project Objective 3: Increase the number of highly effective principals and assistant principals in the participating high-need schools.
- Project Objective 4: Improve student outcomes in the participating high-need schools.

Resources provided through this TIF award will be used to improve and align the resources for training observers in order to significantly improve the levels of inter-rater reliability; train and support observers in providing effective feedback for performance improvement and identifying and prioritizing needs for professional development; and provide job-embedded support and professional development to teachers and administrators to improve their effectiveness and earn performance incentives through the *iHEAT Initiative* PBCS.

#### **Meeting Competitive Preference Priority 5: An educator salary structure based on effectiveness.**

M-DCPS is reforming the current teacher and principal salary schedules to include a differentiated pay salary schedule based on effectiveness. The differentiated pay salary schedule for administrators will be implemented beginning with the 2012-2013 school year. The revised compensation models for instructional personnel are currently under development in discussion with the teachers' union, with implementation slated for July 1, 2014, per Florida state statute.

**Evaluation.** WestEd will conduct the formative and summative evaluations. M-DCPS and WestEd will participate fully in evaluation(s) of the TIF program conducted by the United States Department of Education.

**Budget.** The total requested over the five years is \$18,122,407; M-DCPS will provide a match of \$349,352 for the same period.

## Project Narrative File(s)

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\* Mandatory Project Narrative File Filename:

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To add more Project Narrative File attachments, please use the attachment buttons below.

Add Optional Project Narrative File

## **Incentives for Highly Effective Administrators and Teachers -iHEAT Initiative**

### **Miami-Dade County Public Schools TIF Grant Application 2012**

**Introduction:** It is the fundamental belief of M-DCPS that our students, regardless of origin, ethnicity, linguistic background, or economic challenges, are entitled to a world-class education that will prepare them to succeed in the global economy. M-DCPS is committed to ensuring that every student in every class in every school in this district is taught by highly qualified, effective teachers who are led and supported by highly qualified, effective school administrators. In order for the district to recruit and retain a highly-effective teaching force, the performance evaluation systems must provide the data necessary to inform the professional development and support provided both for struggling teachers and for effective teachers striving to become highly effective. Further, it is critical that the evaluation systems used to determine performance outcomes that lead to human capital decisions are, and are perceived by all stakeholders to be, effective, fair, valid, and reliable. To that end, M-DCPS has developed evaluation systems for teachers and for school-site administrators that:

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- Are grounded in research-based best practices and aligned to the relevant performance standards;
- Differentiate multiple levels of performance;
- Incorporate measures of student growth as 50% of the final evaluation outcome;
- Incorporate additional measures of research-based practices as 50% of the final evaluation outcomes;
- Incorporate multiple data sources into the determination of the final evaluation outcome;
- Are linked to targeted professional development for administrators and teachers who are not meeting the performance requirements; and

- Guide human capital decisions such as retention, termination, transfers, promotion, reassignment, or reappointment.

The focus of the iHEAT Initiative proposed in this application is to improve the quality of the Instructional Performance Evaluation and Growth System (IPEGS) observation and feedback process for instructional personnel in order to improve instructional performance and student outcomes, and to recognize and reward highly effective teachers and school leaders. Resources provided through this TIF award will be used to:

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- significantly improve and align the resources available for training IPEGS Observers in order to significantly improve the levels of inter-rater reliability;
- train and support IPEGS observers in analyzing the formative data obtained through performance observations, student data, and summative performance evaluation (SPE) outcomes, in order to provide effective feedback for performance improvement and identify and prioritize needs for professional development;
- provide relevant and timely job-embedded support and professional development to teachers and administrators to improve their performance to the *Highly Effective* level and earn performance incentives through the iHEAT Initiative Performance-Based Compensation System (PBCS); and
- provide relevant and timely job-embedded support and professional development for teachers who are performing below *Effective* levels (*Developing*, *Needs Improvement*, or *Unsatisfactory*) to improve their performance to *Effective* levels and meet the performance requirement for reappointment set forth in Florida Statute.

2011-2012 is the district's first year of experience with generating a single Unified Summative Rating (USR) and with the five summative rating levels of *Highly Effective*, *Effective*,

*Developing, Needs Improvement, and Unsatisfactory.* In the past, teachers were rated at the individual performance standard level only, on a four-point rating scale (Exemplary, Proficient, Developing/Needs Improvement, and Unsatisfactory) but did not receive a final overall summative rating. This is the also first year in which the attainment of any rating below *Effective* has termination consequences and timelines specified in state statute. For example, instructional personnel hired on or after July 1, 2011 are employed on an annual contract only. Districts are prohibited from renewing an annual contract if the individual receives: two (2) consecutive *Unsatisfactory* evaluations; two (2) *Unsatisfactory* evaluations in a three-year period; or three (3) consecutive *Needs Improvement* evaluations, or a combination of *Needs Improvement* and *Unsatisfactory*. The Student Success Act of 2011 also requires district to implement a differentiated pay scale based on effectiveness and provides for “just-cause” termination of professional services contract employees based on unsatisfactory performance. The statute also provides restrictions on personnel transfers based on performance ratings – principals are not required to accept transfers into their school site of personnel rated below “*Effective*.”

### **Design Model for the iHEAT Initiative**

**iHEAT Strategies for Attracting and Retaining Highly Effective Educators for High-Need Schools** The iHEAT Initiative is designed to improve teacher and administrator effectiveness at nine high-need schools through: the iHEAT Performance-based Compensation System (PBCS); rigorous standards-based evaluation and feedback; and targeted professional development to address performance deficiencies and increase the instructional effectiveness staff at high-needs schools. The evaluation systems in place in M-DCPS differentiate between *Effective* and *Highly Effective* performance, with *Highly Effective* reserved to describe performance that is

**consistently at the highest level.** In order to support continuous performance improvement and attract and highly-effective teachers in the identified high-needs schools, the iHEAT Initiative PBCS provides financial incentives for teachers, principals, and assistant principals who are *Highly Effective* on their annual summative performance evaluations (SPEs) and financial incentives for *Highly Effective* teachers who assume career ladder positions as iHEAT Master Teachers at the designated high-need schools.

**Recruitment Incentives to Attract *Highly Effective* Teachers to Assume Career Ladder Positions in High-Need Schools** The iHEAT Initiative will recruit and select a corps of iHEAT Master Teachers. Grant funding will be used to place two (2) to three (3) iHEAT master teachers at each of the nine (9) participating high-need schools, according to faculty size, to serve as peer observers and trainers. A total of 26 teachers rated as *Highly Effective* on the prior year's evaluation that are certified in the core subject areas: Reading/Language Arts, Mathematics, and Science will be recruited and selected for these career ladder positions. The iHEAT master teachers will receive an incentive of **\$5000** each year, above their salary. They will also be twelve-month employees in order to ensure that they have the opportunity to work collaboratively, plan, and participate in "front-load" training each year on Common Core Standards, data analysis, assessment, differentiation, IPEGS observation and inter-rater reliability training, lesson study, conducting PLCs, coaching, and other key job-relevant skill during the summers when schools are generally closed. Lessons learned from district implementation of prior TIF grants and other staff development initiatives underscore the need to ensure that these master teachers are fully released from classroom instructional responsibilities. Therefore, the iHEAT master teachers will be grant-funded above the school's staff allocations. They will be located at their assigned schools sites in order to provide maximum levels of on-site

support. In order to ensure fidelity of program delivery across participating schools, they will be coordinated centrally, across all schools, by the project director by means of regular site visits, attendance at planning meetings, participating in grant-related initiatives across the district.

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**Roles and Responsibilities of the iHEAT Master Teacher** The iHEAT master teachers will: conduct observations of participating teachers; provide feedback on observations to support performance improvement; identify and address professional development needs of school staff based on student data, staff observations, and performance evaluations; confer with school site administrators to provide input to inform the Summative Performance Evaluation (SPE) process; model and coach in best instructional practices; and conduct lesson studies, Professional Learning Communities (PLCs), and other collaborative peer-to-peer professional development. The iHEAT Master Teachers will work with individual teachers, teacher teams, and school administrators to ensure that teachers are competent in accessing and analyzing student data to inform instructional planning, make appropriate decisions about differentiation and intervention, and monitor learner progress in order to meet the needs of all students, including ELLs and SWDs, and improve student outcomes.

**iHEAT Initiative Incentives for Additional Teachers in the High-Need Schools** Participation in the iHEAT Initiative PBCS will be voluntary; teachers will opt into the model. Teachers who opt-in to the PBCS model for the iHEAT Initiative will participate in multiple observations by site administrators and the iHEAT Master Teacher peer observers each year of participation. Because of the district's commitment to building the quality of the teaching to deliver provide world-class education to M-DCPS students, the iHEAT Initiative PBCS performance incentives of up to **\$2500 for teachers** will be awarded for attainment of the highest performance level – *Highly Effective*. The size of the actual individual award will be determined by the number of

participating teachers who perform at the incentive-eligible level. The precise details will be resolved through a Letter of Understanding (LOU) with the United Teachers of Dade (UTD) upon notification of grant award. **Additional Teacher Incentives for Professional Development** Site-based, job-embedded, sustained professional development that is targeted to needs evidenced in performance observations and student data is critical in order to achieve significant and lasting changes in instructional practice. Teachers who opt into the iHEAT Initiative will be eligible to participate in targeted professional development opportunities and receive grant-paid participation incentives of **\$200 per session completed**, up to four (4) sessions per teacher, for a **total** potential incentive of **\$800 per teacher**. Teachers who choose not to opt into the iHEAT Initiative will still be eligible to participate in the professional development, as space allows, but will not be eligible for the iHEAT participation incentives.

**PBCS Performance-based Incentives for Highly Effective Principals and Assistant Principals at iHEAT Participating Schools** Principals and assistant principals at the iHEAT schools will be eligible to earn performance incentives of up to **\$2500** for attaining the highest performance level, *Highly Effective*, on the School-site Managerial Exempt Personnel (MEP); the actual size of individual awards will be proportional to the number of participating principals and assistant principals who attain eligible performance levels on the annual evaluation.

**Timeline for Payment of Performance Incentives** The annual SPE ratings for teachers and school-site administrators are 50% based upon measures of student growth. Because these data are generally not available prior to the end of the school year, particularly for measures based on state assessments, it is anticipated that the SPEs will be finalized in the summer following each school year and that performance incentives earned as a result of work accomplished in one

school year will be finalized and paid out in the school year following, once the applicable student growth data are available.

### **Improving the IPEGS Performance Evaluation System and Building System Resources to Effect Lasting and Systemic Culture Change**

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In addition to the performance incentives paid to highly effective teachers and school administrators, TIF funds will be leveraged to create lasting resources for improving both the observation process that is integral to IPEGS, and the quality and effectiveness of post-observation feedback for improving performance, with the goal of making these resources available throughout the district. TIF funds will be used to create a library of filmed demonstrations of the range of performance levels, from *Highly Effective* down to *Unsatisfactory*, for the IPEGS Performance Standards, as well as at the lower performance levels, that will be aligned to the IPEGS Performance Standards and that can:

- be used in IPEGS Observer training to improve inter-rater reliability, and
- be used to support struggling teachers and assist effective teachers who aspire to become highly effective by providing readily accessible examples of *Effective* and *Highly Effective* demonstration of the IPEGS Performance Standards, thus expanding the range of peer models for teachers at each participating school from the three (3) site-based master teachers to include access to modeling by a pool of teachers across subject areas and grades, providing teacher with job-alike models.

**IPEGS Observer Training: Improving Inter-rater Reliability** The district has identified the need to increase the inter-rater reliability of the teacher evaluation system, IPEGS, through provision of significantly more models of teaching practice, across more subject areas, grades, settings, and particularly at the full range of performance levels. These will take the form of the

demonstration videos described above, which will be purchased and/or developed through TIF grant support. The videos will be aligned to the IPEGS Performance Standards by a team including district IPEGS staff and a consultant or consultants who are expert in James Stronge's Goals and Roles Model upon which the IPEGS evaluation system is founded. The videos aligned with each IPEGS Performance Standard will be rated by expert IPEGS observers in order to provide a "reference score" for each video to be used in training and re-training IPEGS observers. This will provide a basis for increasing consistency across all raters.

As both principals and assistant principals normally conduct the IPEGS observations at each school site, both the principals and assistant principals of participating school sites will, along with the iHEAT master teachers, participate in intensive IPEGS Observer training. Training will include: best practices in the Observation of Standards process, including writing appropriate comments that clearly capture and describe the observed performance; "deep dive" training on the performance indicators and the differentiation of levels of performance; observation of "calibration" lessons followed by paired and group rating discussions; and provision of formative feedback in order to support continuous improvement; and the resources available for improving performance, including professional development targeting each IPEGS standard. All participating schools will thus benefit from a pool of trained observers who share a common thorough understanding of the IPEGS standards and the observation and feedback process and whose inter-rater reliability has been established.

In order to ensure the fidelity of the observation and rating process at each school site, a number of the observations conducted will be done by pairs or multiples of observers who will then, first, independently rate the observation, and confer over the ratings to ensure that the rating process remains calibrated. This will best be accomplished if observer pairs or teams are rotating, rather

than fixed partnerships. Once the expanded pool of sample lesson videos is available, these will be incorporated into the training and periodic calibration sessions at which observers across all participating schools view, rate, and confer on the same lessons together. The participating iHEAT principals will also take on the of providing professional development to additional responsibility and leadership role peers to help refine and calibrate the IPEGS observation and rating process across the district, and sharing best practices and lessons learned.

**Professional Development Aligned with Evaluation Outcomes** Pursuant to Florida Statute 1012.98 “school principals must establish and maintain individual professional development plans for each instructional professional.” The Individual Professional Plan (IPDP) must be developed within the first thirty days of the instructional professional’s employment at the work location and may be revised during the school year as needed. The initial IPDP and any subsequent revisions are reviewed and approved by the principal, based upon mutual agreement between the teacher and principal. In developing the IPDP, teachers must review and align the IPDP to: student learning needs evidenced in the performance data for students currently assigned to the teacher; results of the teacher’s annual SPE from the prior year; and priorities identified in the School Improvement Plan

**Linking Professional Development to the IPEGS Performance Standards** In order to inform professional development planning and provide both administrators and professional a way to target the specific professional development (PD) offerings that would best align with their performance improvement needs, all professional development offerings are catalogued through a centralized computer-based system which provides information on the specific standards to which they are aligned, including, as appropriate, standards within the: IPEGS Performance Standards; Content Area, Common Core, or state standards. PD offerings may be aligned to one

or more standards, and may also address areas of instructional or professional practice such as: instructional strategies/pedagogy; technology; assessment and data analysis; classroom management; parental involvement; and school safety. This provides teachers, peer observers, and administrators a resource for identifying professional development resources that would best benefit the individual teacher.

**Developing Highly Effective Instructional Leaders** Principals and assistant principals at the participating schools will engage in professional development to improve their leadership skills and increase their effectiveness as school leaders through participation in a high-quality, nationally-recognized intensive leadership institute focusing on areas of the principalship aligned with their leadership development priorities. They will attend the institute in the summer after the first school year of the grant implementation. The principals and assistant principals will, in turn, share lessons learned and best practices with peers.

***Absolute Priority 1: an LEA-wide Human Capital Management System (HCMS) with Educator Evaluation Systems at the Center***

***Selection Criterion (a) A Coherent and Comprehensive Human Capital Management System (1) Alignment with the LEA's clearly described vision of instructional improvement (10 points):***

**M-DCPS Vision of Instructional Improvement** Miami-Dade County Public Schools (M-DCPS) has established a mission that centers on promoting student achievement, first and foremost. A strategic plan, organized according to priority, allows district staff to monitor departmental, school, regional or district-wide progress goals on an ongoing basis. M-DCPS's vision of instructional improvement is based on an Educational Plan and education systems that develop the content, knowledge, skills and attitudes that enable all students to reach their

maximum potential. Education is one of the four pillars in the M-DCPS 2009-2014 Strategic Plan, which reflects the following far-reaching goals: provide for the education of all students; raise achievement of all students to world-class standards; maximize each student's strengths to meet their full potential; develop the whole child; and enable students to successfully transition into post-secondary living and contribute to society. The foundation of the 2010-2012 Education Plan is based on the following three tenets: **Excellence**: Every student is provided with a world-class education; **Equity**: An equitable allocation of resources based on student needs; and **Efficiency**: Uniform teaching standards, high expectations, quality resources, and support. The Education Plan presents a streamlined, results-oriented approach that focuses on all teachers delivering the core curriculum effectively and maintaining consistent expectations for student learning across all schools. Complementing the core curriculum are essential learning resources - pacing guides, instructional focus calendars, lessons plans, core interventions, and technology. Quality instruction is the key to student learning and performance. Teachers must be sufficiently knowledgeable about the content they teach to make learning real, relevant, and challenging for every student. Therefore, targeted and sustained, job-embedded professional development, coupled with in-class support, is critical for building teacher capacity. The Education Plan delineates a tiered approach for providing professional development and support through strategic deployment of District/Region support staff to schools, with the schools in most need receiving the highest concentration of teacher and student support.

***(2) Likely to increase the number of effective educators in the LEA's schools, especially in high-need schools, as demonstrated by (35 points):***

*i. The range of human capital decisions for which the applicant proposes to consider educator effectiveness – based on the educator evaluation systems described in the application.*

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*(ii) The weight given to educator effectiveness – based on the educator evaluation systems described in the application – when human capital decisions are made*

As part of the District's participation in Florida's Race to the Top (RTTT) grant, M-DCPS has revised the school administrator and teacher performance evaluation systems in 2010 to integrate the required student performance measures for implementing performance-based compensation models and supporting the full range of human capital decisions. On July 1, 2011, SB 736, the Student Success Act of 2011, went into effect for all educators. This bill revises three main areas of the HCMS: evaluations, performance pay, and employment/reemployment provisions.

**Research-based Evaluation Systems** Evaluation systems used in Florida public schools for instructional and school leader evaluations are aligned with district-selected research frameworks(s). Each educator is assessed annually with the corresponding instrument(s). The M-DCPS Personnel evaluation system for instructional personnel, the Instructional Performance Evaluation and Growth Systems (IPEGS) utilizes the *Goals and Roles Assessment and Evaluation Model* developed by Dr. James Stronge, for collecting and reviewing data to document performance, including data gathered through observations, that is based on well-defined performance standards and is analyzed within a system of meaningful feedback designed to support the continuous growth and development of each professional. The M-DCPS IPEGS Performance Standards are aligned with the six Florida Educator Accomplished Practices (FEAPs), as appropriate for each job assignment, with corresponding sample performance indicators to inform the observation and evaluation process.

The annual IPEGS Summative Performance Evaluation (SPE) is based 50% on measures of student growth incorporated into the Value-added Measures (VAM) for IPEGS Performance Standard 1: Learner Progress and 50% on the other research-based practices for professional performance incorporated into the IPEGS Professional Practices standards.

The MEP Evaluation System for school-site administrators is based on contemporary research and meta-analyses by Dr. Douglas Reeves, Dr. John Hattie, Dr. Vivian Robinson, Dr. Robert Marzano and other research findings that identify school leadership strategies or behaviors that have a positive probability of improving student learning and faculty proficiency on instructional strategies that positively impact student learning. The M-DCPS 2012-2013 School-site MEP Evaluation System is the comprehensive annual performance evaluation system which will be applicable to school-site administrators. The system has been aligned with the Florida Principal Leadership Standards SBE Rule 6A-5.080, and has been reviewed and approved by the Florida Department of Education. The evaluation system is designed to support school leaders through three processes: self-reflection by the leader on current proficiencies and growth needs; feedback from the evaluator and others on what needs improvement; and an annual summative evaluation that assigns one of the four performance levels required by law (i.e.; *Highly Effective, Effective, Needs Improvement* or *Unsatisfactory*). The M-DCPS School-site MEP Evaluation System is a continuous process that involves planning, action, feedback and reflection. There are three continuous feedback steps including timelines that must be followed to complete the process: establishing performance strategies; conducting a mid-year performance review; and an end-of-year performance evaluation. The MEP evaluation incorporates three key components: the Student Growth Measure (school-wide value-added score determined by the FDOE); Leadership Practice, which is the Florida School Leader Assessment (FSLA) based on the

research framework of Dr. Douglas Reeves; and Deliberate Practice that will provide school-site administrators with a tool to plan, document and reflect upon professional targets. These three components are combined into the final summative evaluation rating, of which Student Growth Measures comprises fifty percent (50%), and the Leadership Practice Measure and Deliberate Practice measures are the remaining fifty percent (50%). Administrator evaluation outcomes inform the range of human capital decisions, including retention, assignment or re-assignment, selection as principal mentors, promotion, career redirection, and termination.

**Retention strategies** begin at the pre-employment stage of the job the candidate will fill, whether administrative or instructional. Human Resources collaborates with other departments to institutionalize a seamless retention strategy which incorporates professional development and support; compensation in the form of performance pay for student achievement and promotion for those who are interested in further career development.

**Implementation Plan For District-Wide Differentiated Compensation for School Administrators and Teachers Based On Effectiveness** In addition to revisions to instructor evaluation, the Student Success Act requires districts to create a salary schedule that ties annual evaluation results to performance pay increases for instructional personnel and school administrators hired on or after July 1, 2014. Student outcomes will have a potentially significant effect on future compensation. The salaries of quality teachers, other instructional personnel, and school administrators would grow more quickly, while those of poor performing employees would not. The new salary schedule would require a base salary schedule with the following salary increases:

- As determined by his or her annual evaluation, teachers or school administrators rated *'Highly Effective'* would receive a salary increase greater than the highest annual salary differential on the applicable salary schedule
- As determined by his or her annual evaluation, teachers and school administrators rated *'Effective'* would receive a salary increase between 50 and 75 percent of the annual salary increase provided to the 'highly effective' employee.
- Any teacher or administrator under any other performance rating would not be eligible for a salary increase.

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Current teachers may choose to remain in the current (grandfathered) salary schedule as long as they remain employed by the school district or have a school-board-authorized leave of absence. Current teachers will have the one-time, irrevocable option to opt to participate in the new performance salary schedule. Current instructional personnel who want to move to the new performance salary schedule or who choose to move from one district to another would relinquish their professional service contract in exchange for an annual contract.

**Employment** As a result of the Student Success Act of 2011, there will be no professional services contracts for instructional personnel hired on or after July 1, 2011; they will be initially employed on a probationary contract for the term of one school year. Instructional employees who successfully complete the probationary contract year may, at the discretion of the district, be subsequently employed on an annual contract basis. Annual contract employees may be released or re-hired each year, at the district's discretion, and must meet performance effectiveness conditions for re-employment. Specifically, districts are prohibited from renewing an annual contract if the individual receives: two (2 ) consecutive *Unsatisfactory* evaluations,

two (2) *Unsatisfactory* evaluations in a three year period, or three (3) consecutive *Needs Improvement* evaluations.

### **Evaluation Reform and Performance-based Compensation Initiatives**

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The PBCS proposed through the iHEAT Initiative will:

- provide incentives to attract highly effective teachers to work as the iHEAT Master Teachers to change the culture of the school;
- provide incentives to teachers at the iHEAT schools to participate in multiple observations and engage in focused and strategic professional development to improve their effectiveness;
- provide performance-based incentives for those teachers in the participating schools that attain annual summative performance evaluation ratings of *Highly Effective* on the IPEGS personnel evaluation system described in this application; and provide performance incentives for principals at participating schools who attain *Highly Effective* ratings on the MEP Evaluation for School-site Administrators described in this application.

Some of the additional financial and non-financial strategies to attract and retain effective teachers and principals in high-need schools that M-DCPS has put in include:

**Differentiated Pay For Principals** Beginning in 2012-2013, M-DCPS will implement differentiated principal salary schedule based on district – determined factors such as additional responsibilities, school demographics, critical shortage areas, and level of job performance difficulties. This new salary schedule will provide supplements above principals’ base salary according to school factors and will increase the number of applicants who apply for principal positions at historically “hard to staff” high-need schools.

**Project LEAD STRONG** Project Lead Strong is a five-year School Leadership Program grant which began in 2010 to build leadership capacity at selected high-need, persistently low-performing secondary schools with a history of significant principal turnover through a clinical residency model in order to build a bench of highly effective secondary administrators. Project Lead Strong incorporates mentoring, coaching, professional development, and residency experiences and implements mentoring incentives.

**Teach for America** Teach for America (TFA), works in conjunction with M-DCPS to recruit, select and train effective classroom teachers for high-need school systems. TFA provides ongoing professional development and support to teachers to further develop and sustain their professional practice, and requires that all teacher candidates recruited for M-DCPS are highly-qualified meeting the federal No Child Left Behind Act requirements.

**Memorandum of Understanding effective 2010-2011, Race To The Top (RTTT):** Pursuant to applicable Florida Statute and the current M-DCPS/UTD labor contract, the parties developed a plan to support the implementation of the M-DCPS Race To The Top (RTTT) Scope of Work and negotiate contractual provisions relative to awarding performance pay. This resulting MOU addressed the linking of student achievement and teacher assessment to the awarding of performance pay awards.

**RTTT Performance Pay for Teachers** M-DCPS was the first school district in Florida to award Performance Pay Awards to teachers under RTTT, in 2010-2011, based on student performance results, including school-wide awards, content area awards, individual teachers within a school, and the Superintendent's Progressive Teacher Awards. Awards ranged from \$500 to \$25,000 and were paid in September, 2011. The parties are currently in discussions to award teachers for 2011-2012. Because the grant-based funding for this initiative is scheduled to sunset, it is a

district priority to use available sources of funding, including TIF, to explore and validate different performance pay models and identify those elements that support a viable and sustainable performance-based compensation system that is transparent, fair, and credible and that will motivate highly effective teachers to remain in the classroom, particularly in high-needs schools.

**School Improvement Grant (SIG)** Pursuant to the Florida Department of Education School Improvement Grants (SIG) Section 1003(g) and consistent with the requirements of Differentiated Accountability, the proposed implementation of the Education Transformation Model, Miami-Dade County Public Schools (M-DCPS), in collaboration with the United Teachers of Dade (UTD), has developed a comprehensive plan for low-performing schools to increase student achievement in grades K-12 which offers job-embedded professional development and financial incentives to teachers.

### **Human Capital Decision-Making: Evaluation/Support/Development/Retention/Dismissal of Instructional Personnel**

The Florida Student Success Act of 2011 designates evaluation and support guidelines for instructional professionals that are differentiated by contract status (i.e., Probationary, Annual, Professional Services, and Continuing). Probationary staff can be released from their positions at any time for failing to meet performance standards. Annual Contract staff re-appointment decisions are made each year based on successful outcomes on the annual IPEGS SPE, which is based 50% on measures of student growth and 50% on other research-based practices for professional performance. The UTD contract for M-DCPS instructional personnel addresses support requirements, re-employment and dismissal procedures for Professional Services Contract and Continuing Contract staff who fail to meet performance requirements.

For teachers on all contract statuses, IPEGS incorporates multiple sources of evidence gathered throughout the year, including formal observations and post-observation conferencing, in order to support and improve instructional performance. IPEGS provides for both informal and formal strategies for improving professional performance. The two (2) formal tools for improving performance are Support Dialogue (SD) and Improvement Plans (IP). If, as a result of an observation, the collective evidence indicates that the professional requires support in meeting a performance standard, the SD process is initiated, with performance targets and mutually-agreed-upon improvement strategies and clearly defined timelines for follow-up observations. If the professional's performance on the targeted standard is sufficiently improved on the follow-up observation, the SD ends. If performance has not improved sufficiently as a result of the SD process, the IP is initiated and the professional is placed on a 90-calendar-day Probation/Improvement Plan which includes multiple observations, feedback, and a final observation with a determination of IP Outcome. The Improvement Plan meets the requirements of the Florida Statue related to notifying a professional of unsatisfactory performance. Ideally, the outcome of the IP is to improve performance to an effective level.

If the professional's performance continues to be Unsatisfactory, the professional will not be recommended for continued employment or would be recommended for dismissal for just cause or for non-renewal. Florida statute now defines what constitutes "just cause" for dismissal to include three conditions, all targeted to identifying teachers who are ineffective. The new law dictates that any teacher, regardless of contract status, is subject to dismissal if he/she receives: two (2) consecutive *Unsatisfactory* annual evaluations; two (2) *Unsatisfactory* evaluations within three years; or a combination of two (2) *Unsatisfactory* or *Needs Improvement* ratings in three (3) years.

Additionally, all teachers hired after July 1, 2014, who are found to be under-performing may be dismissed at the end of a school year.

The evaluation systems for school-site administrators and instructional personnel are used in key human capital decisions. Recruitment, hiring, placement and retention efforts will focus on hiring, motivating, and retaining highly-qualified, effective instructional staff that will fulfill the staffing needs for critical shortage areas, high-need and hard-to-staff schools. Staff development initiatives will focus on supporting teacher and administrator effectiveness, with strategies in place to support and remediate staff that are less than effective to achieve effective levels of performance and to support effective teachers and administrators to become highly effective. The district's Human Capital Management System (HCMS) is in alignment with state statute, Board rule, and the contracts negotiated with each representative bargaining unit. Any modifications necessary for implementation of the iHEAT Initiative (such as the iHEAT model for PBCS) will be made through a Letter of Understanding with the teachers' union, UTD.

***iii. The feasibility of the HCMS described in the application, including the extent to which the district has prior experience using information from the educator evaluation systems described in the application to inform human capital decisions, and applicable district policies that might inhibit or facilitate modifications needed to use educator effectiveness as a factor in human capital decisions.***

Continuous and ongoing evaluation is a decision made by comparing observation data to established standards. This comparison reflects the extent to which employees meet performance expectations and is used to make employment decisions. Miami-Dade County Public Schools' (M-DCPS) uses information, data and results of student achievement and performance from both the IPEGS and the MEP School Administrator Performance Evaluation System to make

informed decisions about placement, promotion, retention and needed professional development on an ongoing basis for both teachers and administrators.

Each year teachers and administrators are evaluated regardless of their contract status.

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Employees are entitled to an evaluation that is fair, equitable, and impartial. The goal of the Office of Human Resources, Recruiting, Performance Management and Labor Relations is to support these efforts by focusing on the growth and development of each professional by monitoring, analyzing, and applying pertinent data compiled within a system of meaningful feedback. In addition, as federal and state requirements change, the Office of Human Resources coordinates these changes to meet the new guidelines.

Focusing on the future and moving forward, M-DCPS' does not see any Local Education Agency (LEA) policies that might inhibit or facilitate modifications needed to use educator effectiveness as a factor in pursuing the goals of this grant.

***(iv) The commitment of the LEA's leadership to implementing the described HCMS, including all of its component parts***

Pursuant to Florida Law and the provisions of the United States Department of Education grant which supports projects that develop and promote Performance - Based Compensation Systems (PBCS) for teachers and other personnel in high-needs schools, Miami-Dade County Public Schools (M-DCPS) in collaboration with the United Teachers of Dade (UTD) has designed a plan which facilitates the establishment and implementation of this Teacher Incentive Fund (TIF) grant. The implementation details will be refined, upon grant award, through development of a Letter of Understanding (LOU) with UTD.

M-DCPS is totally committed to use Teacher Incentive Funds (TIF) only for activities authorized by the United States Department of Education in accordance with the approved project budget

and related documents. M-DCPS will take steps to ensure equitable access to, and equitable participation in, the projects and activities to be conducted by addressing the special needs of students, teachers, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability, and age.

*v. The adequacy of the financial and non-financial strategies and incentives, including the PBCS, for attracting effective educators to work in high-need schools and retaining them in those schools.*

**Absolute Priority 2: LEA-wide Educator Evaluation Systems Based, in Significant part, on Student Growth**

**Selection Criterion (b) Rigorous, Valid, and Reliable Education Evaluation Systems (35 points)**

**Evaluation System for School Administrators** The MEP Evaluation System for school-site administrators is based on contemporary research, is aligned with the Florida Principal Leadership Standards SBE Rule 6A-5.080, and has been reviewed and approved by the Florida Department of Education. M-DCPS has redeveloped its MEP School-site Administrator Evaluation System for the 2012-2013 school-year The Florida Principal Leadership Standards provides the foundation for the Florida School Leader Assessment/Miami-Dade County Public Schools School Site MEP Evaluation System. The instrument is comprised of 4 domains, 10 proficiency areas, and 45 indicators. Each domain identifies large, overarching areas for leadership concentration. The domains are further specified and broken out into 10 proficiency areas and finally, titling the proficiency areas are indicators that describe the actions and competencies of quality school leadership. In particular, Domain 1: Student Achievement, Proficiency Area #2 focuses the entire school community on the learning growth and

achievement of all students within the community. Domain 2: Instructional Leadership, Proficiency Area 4 focuses on the development and proliferation of a collaborative school environment.

The MEP evaluation incorporates Student Growth Measure (school-wide value-added score determined by the FDOE); Leadership Practice, which is the Florida School Leader Assessment (FSLA) based on the research framework of Dr. Douglas Reeves; and Deliberate Practice that will provide school-site administrators with a tool to plan, document and reflect upon professional targets. These three components are combined into the final summative evaluation rating, of which Student Growth Measures comprises fifty percent (50%), and the Leadership Practice Measure and Deliberate Practice measures are the remaining fifty percent (50%). Administrator evaluation outcomes inform the range of human capital decisions, including promotion, retention, assignment, selection as principal mentors.

**Principal Observations** M-DCPS has developed and implemented a high-quality principal observation tool that allows principal supervisors to observe and assess observable aspects of a principal's performance multiple times during the school year. At various times during a given school-year, a region director or region superintendent (assessor) will visit a school in order to observe the school principal. The assessor will collect data on the principal's performance in alignment with the newly adopted Florida Principal Leadership Standards and specified deliberate practice growth targets. The following outline describes the process:

1. The assessor may arrange a time at which to observe the principal in any number of the standards or indicators related to the Miami-Dade County Public School School-site MEP Evaluation system.

2. Prior to the observation, the assessor and the principal will discuss the type and nature of the activities that the assessor is likely to observe at any particular time and the principal's intentions and/or purpose for the particular leadership actions.

3. At the time of the observation, the assessor will make appropriate notes to inform the principal rating process and to guide the post-observation conference between the assessor and principal.

4. The assessor arranges a time and place for the post-observation conference, during which the assessor shares observation feedback with the principal. Both the assessor and the principal sign the completed Principal Observation Form at the end of the conference.

5. As a culminating activity, the principal develops an action plan that addresses any areas of potential improvement that have emerged from the post-observation conference.

As an element in the development and deployment of the principal observation tool, the District will design and implement professional development activities designed at ensuring a high degree of inter-rater reliability. These opportunities will include the collaborative evaluation and discussion of benchmarked principal observation videos. Individuals with responsibility for the supervision of school-site administrators will participate in annual evaluation calibration activities to ensure consistency and quality in the observational feedback to be provided principals.

Assistant principals are observed and evaluated by the site principal, following a parallel process.

**Evaluation System for Instructional Personnel:** As noted earlier in this application, the evaluation system for instructional personnel in Miami-Dade County Public Schools is the *Instructional Performance Evaluation and Growth System (IPEGS)* which is founded on the Goals and Roles Model<sup>®</sup>, which was developed by and copyrighted to James H. Stronge.

(Stronge, 1997, 2005, 2007). M-DCPS has been granted the right to use, revise, and/or modify the evaluation model and associated instrumentation as needed.

**Background: Development and Evolution of IPEGS:** Beginning in 2006, M-DCPS, in collaboration with the United Teachers of Dade (UTD), undertook the process of developing a new model of performance evaluation for instructional professionals. Three design teams were each charged with representing one of the instructional personnel categories: classroom teachers, student services personnel, and instructional support personnel, in the development of role-specific, appropriate performance standards and indicators. In order to ensure the validity of the construct, each design team included corresponding practitioner representatives and school-based, region, and district administrators. The IPEGS model was initially piloted in 2006-07 in selected school sites. Lessons learned from the initial pilot were incorporated and expanded pilots of the revised IPEGS were conducted in 2007-08 and 2008-09. IPEGS was approved by the Florida Department of Education in 2009 for district-wide implementation. As of the 2009-2010 school year, IPEGS became the evaluation framework in place for all instructional professionals throughout M-DCPS.

Prior to 2011, instructional professionals received individual ratings for each individual performance standard, only, within a **four-level rubric** describing a continuum of professional performance: *Exemplary, Proficient, Developing/Needs Improvement, and Unsatisfactory*. The annual Summative Performance Evaluation (SPE) did not then include a provision for a single final summative rating. In response to Race to the Top (RTTT) requirements and changes to relevant state statutes, and in collaboration with UTD, M-DCPS undertook significant revisions to IPEGS for the 2011-2012 school year.

**2011-2012 Changes to IPEGS** As a result of the Student Success Act of 2011, IPEGS had to be revisited and brought into compliance with the requirements that the performance evaluation for teachers and other instructional professionals:

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- must generate a Single Unified Summative Rating which could differentiate among four levels of teacher performance - *Highly Effective*, *Effective*, *Developing (Years 1-3)* *Needs Improvement (Years 4+)*, And *Unsatisfactory*,
- be based at least 50% upon data and indicators of student learning growth for students assigned to the teacher, assessed annually by statewide assessments or, for subjects and grade levels not measured by statewide assessments, by school district assessments that meet statutory requirements, and that incorporate three years of data, whenever available, and
- incorporate evaluation criteria used in observing classroom teachers, and other instructional professionals, according to assigned job responsibilities, that are based upon each of the Florida Educator Accomplished Practices.

**The IPEGS Four-level Rubric, Assigned Weights for Performance Standards, Five Performance Level Ratings, and the Single Unified Summative Rating for the Summative Performance Evaluation** Under the revised IPEGS model currently in place, each instructional professional receives a single Unified Summative Rating (USR) on a **four-level rubric** which can generate any one of **five possible performance levels**: *Highly Effective*; *Effective*; *Developing* (applicable only for instructional professionals in their first three years of teaching) or *Needs Improvement* (applicable only to instructional professionals who are in the fourth year of teaching or beyond), and *Unsatisfactory*. In determining the USR, measures of student growth captured in IPEGS Performance Standard 1: Learner Progress represent 50% of the total

possible USR points. The remaining 50% of possible points are distributed among the observable and non-observable standards (Professional Practices) which address other critical performance factors for teachers and other instructional professionals, with observable standards weighted more heavily than non-observable standards.

### **Provisional Ratings Pending Release of State Value-Added Model (VAM) Data and**

**Timeline for Final SPE Ratings** Because the state data for the 50% of the final SPE that is based on learner progress are not available prior to the end of each school year, principals rate teachers on the Professional Practices standards (IPEGS Standards 2-7 for student services and instructional support personnel and 2-8 for classroom teachers) and make provisional recommendations regarding re-employment (for provisional and annual contract employees) or retention (for other contract status employees) pending availability of student growth data.

These recommendations are then updated, revised, or finalized when the assessment and student growth measures data become available. Thus, the final USR and completed SPE are expected, under the current schedule of release of state assessment data, to be completed for each instructional professional at or by the start of the following school year. As different assessments and applicable student growth measures are phased in, these timelines may be subject to change or may be different depending on timeliness and availability of relevant data.

**The IPEGS Performance Standards and Weightings into the USR** The IPEGS evaluation framework for classroom teachers incorporates eight (8) IPEGS Performance Standards (PS) which are differentially weighted:

PS 1. Learner Progress (**50% of total points**) *The work of the teacher results in acceptable and measurable learner progress as specified in the Student Success Act of 2011.*

PS 2. Knowledge of Learners (Observable Standard - **8% of possible points**) *The teacher identifies and addresses the needs of learners by demonstrating respect for individual differences, cultures, backgrounds, and learning styles.*

PS 3. Instructional Planning (Observable Standard - **8% of possible points**) *The teacher uses appropriate curricula (including state reading requirements, if applicable), instructional strategies, and resources to develop lesson plans that include goals and/or objectives, learning activities, assessment of student learning, and home learning in order to address the diverse needs of students.*

PS 4. Instructional Delivery and Engagement (Observable Standard - **8% of possible points**) *The teacher promotes learning by demonstrating accurate content knowledge and by addressing academic needs through a variety of appropriate instructional strategies and technologies that engage learners.*

PS 5. Assessment (Non-observable Standard - **6% of possible points**) *The teacher gathers, analyzes, and uses data (including FCAT state assessment data, as applicable) to measure learner progress, guide instruction, and provide timely feedback.*

PS 6. Communication (Non-observable Standard - **8% of possible points**) *The teacher communicates effectively with students, their parents or families, staff, and other members of the learning community.*

PS 7. Professionalism (Non-observable Standard - **8% of possible points**) *The teacher demonstrates behavior consistent with legal, ethical, and professional standards and engages in continuous professional growth.*

PS 8. Learning Environment (Observable Standard - **8% of possible points**) *the teacher creates and maintains a safe learning environment while encouraging fairness, respect, and enthusiasm.*

The seven (7) parallel standards for Instructional Support Professionals (e.g., curriculum support specialists, library/media specialists, instructional coaches, lead teachers, etc.) and Student Services Professionals (e.g., art therapists, counselors, school psychologists, etc.) align with their job roles and responsibilities in the areas of: Learner Progress (**50% of possible points**); Knowledge of Learners (**9% of possible points**); Program Management (**9% of possible points**); Program Delivery (**9% of possible points**); Assessment (**9% of possible points**); Communication (**7% of possible points**); and Professionalism (**7% of possible points**).

Although the numbers and labels for the performance standards are parallel for instructional support and student services personnel, the list of performance indicators is specific to each category, with additional indicators at the job assignment level, according to the actual roles and responsibilities of the assigned position

**Student Growth and the Value-Added Model (VAM)** Changes in Florida statute, effective July 1, 2011, provide parameters for implementation of a Value-Added Model (VAM) in teacher evaluations. Prior to implementation of the Student Success Act of 2011, the district was looking at measures to link student growth outcomes and performance incentives at the teacher level and was the first district in the state to award RTTT teacher incentives based on student learning gains.. Although the parameters for the new Value-Added Model and the underlying calculations differ in significant ways from the model used to award RTTT incentives, this experience helped inform the work undertaken by the **M-DCPS/UTD Teacher Evaluation Working Group** in putting forward the **Student Performance Data Point Recommendations** which form the basis of the working model put in place for IPEGS Performance Standard 1: Learner Progress for 2011-2012. The student achievement data that will be incorporated into the VAM score for each teacher include multiple years of data and compared predicted growth to

observed growth to rank teacher performance. As Florida received a waiver under Race to the Top, these results will reflect the state-assessed population, inclusive of students with disabilities (SWD) and English Language Learners (ELLs).

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For 2011-2012, classroom teachers of subjects and grades associated with statewide assessments will receive VAM scores based on the performance of their assigned students, including SWD and ELLs, on those assessments (classroom level).

Classroom teachers of subjects and grades not assessed by the statewide assessments but who have students who do participate in those assessments will receive the VAM scores based on the performance of their students, including SWD and ELLs, on the state assessment (classroom level).

Classroom teachers of subjects and grades not assessed by state assessments and who do not have sufficient students who participate in the state assessment, and any instructional personnel who are not classroom teachers will receive VAM scores based on the school-wide (if assigned to a school site) or district-wide (non-school-site) Reading proficiency and learning gains on the state assessment which are also inclusive of SWD and ELLs.

VAM data will be used to rank teachers according to student growth, and the resulting VAM scores will be made comparable by standardizing them within grade level and subject area. A teacher's aggregated VAM score will be converted to a percentile. Percentile ranks will then be used to classify teachers for the student achievement component of teacher IPEGS evaluations as Performance Standard 1: Learner Progress and will make up 50% of a teacher's overall performance evaluation, as required by the Florida Student Success Act of 2011. For 2011-2012, the proposed performance level cut scores on the SPE USR after integration of the VAM data are:

- *Highly Effective* requires attainment of a minimum of 89 of the 100 possible points.
- *Effective* requires attainment of 74 to 88 percentage points.
- Instructional professionals attaining 37 to 73 points are determined to be either
  - *Developing* if they are novice teachers with three years or less of teaching experience, or
  - *Needs Improvement* for teachers in their fourth year of teaching or beyond.
- *Unsatisfactory* is assigned at 36 points or below.

As 2011-2012 is the first year of implementation of this rating scale and of the State of Florida's Value Added Model (VAM), M-DCPS and UTD will jointly revisit the above proposed score range once data are released, the district models patterned on the state VAM are evaluated, and the reliability and validity of the VAM have been determined. Once the actual teacher evaluation results are completed and analyzed, these data will provide the baseline information regarding the actual distribution of teacher evaluation outcomes by performance level (*Highly Effective, Effective, Developing, Needs Improvement, and Unsatisfactory*).

**IPEGS Observation Model** The IPEGS model requires formal observations, documented on an Observation of Standards Form and followed within a prescribed time frame by a post-observation meeting, for each staff member as part of the annual SPE process. The informal observations and classroom walk-throughs which occur frequently throughout the year also serve to inform the aggregate picture of performance that is ultimately documented on the SPE; they may also serve to trigger a more structured formal observation or point to needs for support, professional development, or resources. In addition, IPEGS explicitly requires multiple observations for new (probationary) teachers and for teachers who are found to be *Unsatisfactory* on any performance standard on any observation. Professionals with identified performance

deficiencies may participate in five or more observations and post-observation conferences, with identified support activities and improvement targets, in a sustained effort to improve their performance. Priority is given to ensure that these teachers have multiple opportunities to receive feedback and support to become more effective teachers.

**Identified Needs and Opportunities for Improvement (OFI) of IPEGS to be Addressed**

**through the iHEAT Initiative.** Development of the IPEGS model in its current implementation has been a collaborative and thoughtful process which has provided multiple opportunities for feedback and analysis, both from district stakeholders and from external and internal reviewers. It is anticipated that, through the resources made available through the iHEAT Initiative, in coordination with district continuous improvement processes, the proposed refinements and calibrations of IPEGS will provide the district with a teacher evaluation system that is at once richer and more descriptive in providing of feedback for performance improvement and more valid and reliable in accurately identifying and evaluating levels of performance. Thus, the improvements generated and piloted in the iHEAT schools can subsequently be rolled out district-wide to provide real and lasting benefits and systemic change in the culture of performance evaluation, formative and summative feedback, performance improvement, alignment of professional development, and human capital decision-making.

**OFI 1. Improving Teacher Evaluations Through More Effective Feedback and Inclusion**

**of Peer Reviewers** In a 2012 study by the National Center on Teacher Quality (NCTQ), M-DCPS teachers identified “More feedback on my instruction” (31%) and “Additional classroom observer who has content-area expertise” (20%) as their top recommendations for improving teacher evaluations. Through the iHEAT Initiative, the current IPEGS model will be expanded in the participating schools to include **multiple teacher observations** and provide for **multiple**

**observers, including peer observers.** In addition to the site principal and assistant principals who are trained each year as IPEGS observers, a core of iHEAT master teachers, three (3) at each school site, who are subject-area specialists in Reading/Language Arts, Mathematics, or Science (one, each, per school) and who are *Highly Effective* teachers with a demonstrated history of improving student achievement, will be recruited, selected, and trained as peer observers. This will generate a multi-level view of staff performance that will be used to a) provide prompt and focused feedback on observed performance, b) identify and implement job-embedded and timely support strategies and professional development needed, c) support continuous improvement and promote effective performance, d) provide support and strategies for moving *Effective* teachers to *Highly Effective* levels of performance and attain performance incentives, and d) provide more comprehensive observation information to be incorporated into the annual SPE process.

**OFI 2. Observers Need Additional Resources and Indicators to More Effectively Recognize Differentiated Levels of Performance** Both feedback from practitioners on the field and the 2012 NCTQ study pointed out a need to provide more descriptive language across the range of performance levels for each performance standard. Currently, the IPEGS Handbook provides descriptors at the *Effective* level. Resources made available through the iHEAT Initiative will enable the district to strengthen the IPEGS observation and feedback process through expansion of the pool of performance descriptors and indicators to address all performance levels. This process will incorporate input from stakeholders, including teachers and other instructional professionals, peer observers, principals and assistant principals and draw on technical assistance from experts in the field of teacher observation and evaluation.

**OFI 3. Strengthen Inter-rater Reliability** Throughout the development and refinement of IPEGS, inter-rater reliability has been an important consideration, particularly given the size of M-DCPS and the large number of observers. Because IPEGS observations take place at hundreds of school sites and district and region work locations and each site has multiple administrators conducting observations, the district has addressed inter-rater reliability by prioritizing consistency in training, accomplished in part by restricting the trainer pool to a small corps of expert trainers and centralizing training materials, including posting IPEGS handbooks and materials to a central site, [www.ipegs.dadeschools.net](http://www.ipegs.dadeschools.net).

All IPEGS observers are required to be re-trained each year on the process as it is to be implemented that year. Despite this, maintaining inter-rater reliability is both an ongoing challenge and an imperative. Inter-rater reliability training sessions for the current version of IPEGS have been piloted and used to identify key needs.

**Identified Need for Training Materials/Video Examples** A significant identified need in IPEGS training is the expansion of the limited range of demonstration lessons available to district IPEGS training staff. A continual theme in feedback received from IPEGS training participants is their need for additional structured practice opportunities, particularly in conducting multiple observations of common lessons followed by independent rating practice, paired and group discussions, and opportunities to refine and calibrate their initial scoring. A particular stumbling block encountered by district staff in attempting to secure such training materials is that, because IPEGS is unique to M-DCPS, those materials that are available for lease or purchase either are not aligned to any specific evaluation model, or else they are explicitly aligned to teacher evaluation models and performance indicators that do not cleanly and line up with the eight IPEGS standards. An additional ongoing concern with available

materials is that they, in general, do not reflect the cultural, linguistic, and economic diversity that is characteristic of M-DCPS schools and classrooms. Materials are also needed that are explicitly inclusive of ELLS and SWDs, and of students who, like many M-DCPS students, are both SWDs and ELLs. Additionally, training materials are desperately needed that provide examples of behaviors across the entire range of effectiveness in teaching practice in each of the standards, from *Highly Effective* all the way to *Unsatisfactory*. The iHEAT Initiative will provide M-DCPS with the resources needed to: acquire and/or create the library of reference videos of teaching practice that: are aligned to each of the IPEGS Performance Standards; demonstrate the performance indicators across the range of proficiency; reflect the diversity of students and professionals in the district and include SWDs and ELLs; and include samples at the full range of grades and subjects taught in district schools. Based on past experience in trying to secure these resources for District IPEGS training, it is anticipated that a significant proportion of the needed materials will have to be customized and/or filmed explicitly for use with IPEGS. To this end, a significant part of the iHEAT initiative will be the development and/or acquisition of these resources so that they can be used in training both the administrators in the target schools, who are expected to be more experienced observers, and the master teacher/observers who are generally new to the observer's side of the observation process. This will provide a foundation for improving the district-wide implementation of IPEGS observer training and the inter-rater reliability of the IPEGS process as a whole.

#### **OFI 4. Need for Models of Effective Teaching Practice in Response to Identified**

**Deficiencies** Of the teaching demonstration videos will be purchased and/or developed to be explicitly linked to IPEGS Performance Standards and corresponding indicators , videos demonstrating *Effective* and *Highly Effective* performance will be used as professional

development resources to provide explicit and accessible models of instructional practice that can be used to support struggling teachers and those new to the profession in gaining a clear understanding of the expectations and standards for demonstrating effective teaching on each IPEGS Performance Standard.

***Selection Criterion (c) Professional Development Systems to Support the Needs of Teachers and Principals Identified Through the Evaluation Process (35 points)***

- 1. Use the disaggregated information generated by the proposed educator evaluation systems to identify the professional development needs of individual educators and schools (individual educators addressed in a, above under IPDP. Schools addressed below) (8 points)***
- 2. Provide professional development in a timely way (2 points)***
- 3. Provide school-based, job-embedded opportunities for educators to transfer new knowledge into instructional and leadership practices. (5 points)***
- 4. Provide professional development that is likely to improve instructional and leadership practices, and is guided by the professional development needs of individual educators as identified in c-1. (20 points)***

Until 2011-2012, the entire IPEGS documentation process was paper-based, as were the Individual Professional Development Plans (IPDPs) required for each instructional professional. Therefore, data used to inform district-wide professional development planning was gathered formally through: an annual survey of teachers and other stakeholders; analysis and disaggregation of student achievement data; and review of district initiatives and school improvement priorities. These data, although valuable in systemic planning at a district or

curriculum office level, did not support drilling down to the individual teacher level, or easily aggregate or cross-tabulate across sources.

Although the data from individual staff evaluations have, in the past, not been readily available to district-level staff for targeting professional development offerings, these data have been readily at hand at each school site, for use in planning and refinement of individual and site-based plans for professional development.

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**Transition to a computer-based system allowing linkages of staff performance and**

**evaluation data, student growth data, and professional development**

As of 2011-2012, M-DCPS has begun the transition to an electronic system that will: capture IPEGS SPE data for every teacher down to the performance standard level; support the analysis and reporting of instructional personnel evaluation outcomes; support linkage of student achievement data, specifically VAM data, to each teacher; provide a basis for planning professional development at all levels from district-wide down to individual teacher professional development plans; support the PD catalog, registration, credit award and documentation process; track individual instructional professionals' and administrators' professional development history; integrate demographic profiles, staff evaluations, and professional development needs so as to allow targeting and menuing of professional development opportunities for specific teachers; and of professional development through staff evaluation outcomes and student achievement data.

Because of the need to systematically track all components of each instructional professional's SPE and link the appropriate student-level VAM data to each instructional professional in order to support human capital decisions, M-DCPS undertook an RFP process to identify a viable solution that would also support and integrate staff evaluations and the professional development menu and registration system. Through leveraging RTTT funding to meet the state requirements

for the Local Instructional Improvement System (LIIS) and other funding sources and resources, a core team drawn from stakeholder groups, including Human Resources, Professional Development, IPEGS, Information Technology Services (ITS), principals, teachers, and UTD representatives has been engaged in the design and implementation of each deployment phase. The first deployment, in May 2012, was the support for the IPEGS end-of-year SPE. The full IPEGS process will be bought on-line in 2012-2013 and 2013-2014. It is anticipated that the operating version of the entire system, with all components, including the PD Menu and registration System, will be brought on by 2013-2014. IPEGS observers and principals will be able to enter observation data and performance improvement data, track the progress and professional development of individual instructional professionals, and monitor school progress. Added to the data dashboards already available to principals and teachers through the M-DCPS educator's portal, this will support real-time decision-making and site-based planning for professional development and performance improvement strategies.

The M-DCPS Professional Development System delivers research-based, field-tested learning experiences to build and support proven instructional practices that improve student learning outcomes. In addition to direct provision of professional development across the district, including training all IPEGS observers each year, the district's professional development office oversees the quality of all district-sponsored professional development offered within the framework of the comprehensive Master Inservice Plan to ensure compliance with national standards and state requirements. Each school site has a Professional Development Liaison whose role is to facilitate access for teachers to appropriate and timely professional development opportunities, and to submit to the PD Data Center all proposals and supporting documentation for professional development conducted through the school site for compliance review and

approval. The PD Data Center is charged with maintaining the integrity of the PD course catalogue through: maintaining a central registry for all course and session proposals, active offerings, attendance and credit records, and professional development history of each staff member. The PD Data Center is further charged with reviewing each proposed offering and attendance record to ensure compliance with all standards, policies, and procedures.

**iHEAT Professional Development** A core element of the iHEAT Initiative is the site-based job-embedded focus on skill-building and practice. One-shot, off-site professional development, without significant follow-up or practice and feedback, is not effective in creating lasting changes in professional practice. The site-based professional development proposed under the iHEAT Initiative begins with deployment of the iHEAT master teachers to the targeted school sites in order to support instructional effectiveness in Reading/Language Arts, Mathematics, and Science. The iHEAT master teachers will serve as peer observers, observing teachers throughout the year and providing timely feedback in order to improve instructional performance; their role is not direct student instruction. Performance improvement strategies will include, for example, modeling of best practices; monitoring implementation of recommended strategies; guiding lesson studies; and supporting a community of practice in the school, with a focus on improving student outcomes. The iHEAT master teachers will be best positioned to guide struggling teachers toward appropriate and timely professional development, as they will be on-site and engaged in regular and ongoing conferencing with the other IPEGs observers regarding teacher needs and will be able to respond on a real-time basis.

**Selection Criterion (d) Involvement of Educators (35 points)**

1. *The application contains evidence that educator involvement in the design of the PBCS and the educator evaluation systems has been extensive and will continue to be extensive during the grant period (10 points)*

**The United Teachers of Dade**, FEA (Florida Education Association)/United, AFT (American Federation of Teachers), Local 1974, AFL-CIO (American Federation of Labor and Congress of Industrial Organizations), **is the exclusive bargaining agent for educators with Miami-Dade County Public Schools.** The United Teachers of Dade (UTD) is a unified local of the FEA and is an affiliate with the AFT. The UTD represents all of the approximately 21,500 full-time and 1300 part-time instructional employees within M-DCPS, which includes classroom teachers, and student services and instructional support employees. Representatives of the UTD and district management personnel have collaborated on several initiatives and agreements which demonstrate active union involvement through input, discussion and concurrence in the design, planning and implementation of performance-based compensation and evaluation initiatives. UTD typically has union staff, elected officers and representative school-site and district instructional employees actively participate in these discussions, resulting in Memoranda of Understanding (MOU) or Letters of Understanding (LOU). Some recent collaborative agreements are as follows:

**Memorandum of Understanding effective 2012-2013, School Improvement Grants:** Pursuant to the Florida Department of Education School Improvement Grants (SIG) Section 1003(g) and consistent with the requirements of Differentiated Accountability, M-DCPS in collaboration with the UTD, has developed the Education Transformation Model, a comprehensive plan for low performing schools to increase student achievement in grades K-12, to be presented to the School Board for approval on August 1, 2012. The objective of the plan is to improve student

achievement outcomes and increase high school graduation rates by focusing on extended learning opportunities, providing intensive student interventions based on assessment data, and offering job-embedded professional development and financial incentives to teachers for 2012-2013. Performance pay awards include a \$500 bonus for school's receiving a "C" or better. Additionally teachers in selected subject/grades may receive a \$2000 bonus if the number of their students scoring proficient is at least 5% greater than the performance grade of the school or if the students achieve college readiness at a higher percentage than the prior school year. This Memorandum of Understanding is similar to a 2011-2012 MOU which was successfully implemented and supported by the UTD and its membership.

**Letter of Understanding effective 2010-2011 through 2014-2015, *Project Lead Strong***: This is a collaborative agreement between M-DCPS and the UTD regarding the implementation of the requirements of the Project Lead Strong grant. The intent of this LOU is to provide transitional support for teachers and principals assigned to high needs schools as well as increase the leadership capacity of aspiring administrators in the identified schools. Four high-performing teachers will be selected each year for placement as an interim assistant principal for one semester of residence at low performing/high needs schools and will be provided a stipend of \$1000 in 2010-2011 and \$750 from 2011-2012 and after for successful completion of the program. The provisions of the LOU were developed pursuant to meetings with several district offices and the UTD and represent an agreement which has been reached to build the district's human capital for turning around low-performing schools.

**Letter of Understanding effective 2010-2011 through 2011-2012, *Talent Transfer Initiative***: This is a collaborative agreement between M-DCPS and the UTD to participate in a United States Department of Education (USDOE) grant-funded initiative to attract and retain high-

performing teachers in low-performing schools. This research model will study the success rate of high-performing teachers who transfer to-low performing schools in raising the achievement of their students in the new setting. The study will also attempt to produce empirical evidence on the impact of large financial incentives as an intervention strategy in encouraging high performing teachers to transfer into and remain at selected low performing schools in the district. Compensation of up to \$10,000 each year for up to two years is granted to high-performing math or language arts teachers as demonstrated by student test scores in the most recent three years using value added analysis. The provisions of the LOU were developed pursuant to meetings with several district offices and the UTD and represent an agreement for the implementation of the Talent Transfer Initiative (TTI) in selected elementary and middle schools beginning in the 2010-2011 school year.

**Letter of Understanding effective 2007-2008 through 2010-2011, *Project RISE***: This was a collaborative agreement between M-DCPS and the UTD to establish a TIF-grant-funded program entitled Project RISE - Rewards and Incentives for School Educators. The RISE project is an initiative to place National Board Certified Teachers (NBCT) at designated qualifying high-needs schools to provide instruction, support, and professional development. RISE teachers will receive a \$2500 stipend for providing professional development and a \$3000 end-of-the-year stipend, provided that the teacher has completed a year of successful teaching service in the program. The provisions of the LOU were developed pursuant to meetings with various district offices and the UTD to implement Project RISE beginning in the 2007-2008 school year.

**Letter of Understanding (LOU) effective 2010-2011 through 2014-2015, *Teacher Incentive Fund: The CORE Initiative*** This is a collaborative agreement between M-DCPS and the UTD for the establishment and implementation of the Teacher Incentive Fund (TIF) program at eight

elementary schools serving high-need students. Performance-based compensation systems include leadership incentives for taking on additional responsibilities and performance-based incentives for individual student growth and proficiency attainment as indicated on formative data. The incentive amount is calculated based on the number of eligible participants and the total amount of the incentive fund for each year. The provisions of the LOU were developed through a series of meetings with representatives from various district offices and the UTD to finalize an agreement for personnel at the identified TIF locations.

All of the above Letters of Understanding and Memoranda of Understanding demonstrate evidence of educator support through collective bargaining and signature of the president, United Teachers of Dade. Additional educator involvement for PBCS is demonstrated through continued discussions and negotiations with UTD for full implementation of SB 736, Student Success Act, which requires the District to implement a performance-based salary schedule as of July 1, 2014, further described in Priority 5 of this document.

***(2) The application contains evidence that educators support the elements of the proposed PBCS and the educator evaluation systems described in the application (25 points).***

The Instructional Performance Evaluation and Growth System (IPEGS) is the assessment and appraisal system used by the District for all instructional professionals. The IPEGS system was developed in collaboration with UTD and has been in place since the initial pilot in 2006. During the 2011-2012 school year, IPEGS was revised to comply with the requirements of the federal Race to the Top (RTTT) grant and new Student Success Act of 2011 (SB 736), and was agreed to through ratification by the UTD membership in August, 2011. Additionally, in August 2011, UTD ratified new contract language consistent with Florida's Student Success Act by agreeing to the guarantee of continued employment to teachers receiving evaluation ratings of 'highly effective' and 'effective' at the end of each evaluation period. This agreement expands

the requirements of the Student Success Act. Moreover, IPEGS incorporates statutory requirements with respect to effective teaching practices, student performance, parental input, and school improvement planning.

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IPEGS is designed to facilitate instructional personnel in identifying, designing, and reflecting upon their professional performance. Instructional personnel are active participants in the evaluation process through collaborative meetings, input and reflection. IPEGS is a key component of a comprehensive PBCS which will be implemented by July 1, 2014.

### **Communication as the Foundation for Stakeholder Support for the iHEAT Initiative**

Throughout multiple iterations, IPEGS has been a collaborative effort between M-DCPS and UTD. In addition, the district and UTD have a history of jointly exploring options for performance incentives, including two prior TIF grant awards– Project RISE and The CORE Initiative and performance pay models implemented through Race to the Top (RTTT). The 2012 TIF proposal is predicated upon the importance of input from teachers, principals, assistant principals, the teachers’ union (United Teachers of Dade- UTD) and the administrators’ association (Dade Association of School Administrators- DASA) as well as representatives from the district’s offices of Professional Development (which is housed in the department of Curriculum and Instruction); Human Resources; Compensation Administration; Assessment, Research and Data Analysis; Program Evaluation; School Operations; Labor Relation; Grants Administration; and Financial Services. The teachers’ union and the district have collaborated on two prior TIF grants and were in communication about TIF prior to release of the 2012 Request for Proposals (RFP) in the June 14, 2012 issue of the Federal Register. Upon release of the RFP, a concept meeting for internal stakeholders including Curriculum & Instruction, Professional Development, Human Resources, School Operations, Labor Relations, Grants

Administration, Financial Services, and the department of Assessment, Research and Data Analysis (which includes Program Evaluation) was convened to review the requirements of the grant, how it could be integrated into existing initiatives, and the potential for sustainability. Upon deciding to move forward with the proposal, representatives from UTD were invited to meet with the district on multiple occasions to determine whether UTD would be willing to support a TIF proposal. The TIF grant opportunity was discussed within the context of how TIF (as well as RTTT) would align with the initiatives to strengthen the current teacher evaluation system, IPEGS; the TIF requirement of a minimum of two separate observations per teacher per year with the corresponding need to establish a high degree of inter-rater reliability; career ladder opportunities for teachers deemed to be highly effective; and job-embedded professional development and performance improvement resources for teachers. UTD representatives supported the initiatives discussed and will work with district staff upon notification of grant award in order to finalize the details of implementation in accordance with contract language through a Letter of Understanding (LOU).

**Selection Criterion (e) Project Management (30 points) *The management plan:***

1. *Clearly identifies and defines the roles and responsibilities of key personnel (3 points)*
2. *Allocates sufficient human resources to complete project tasks (5 points)*
3. *Includes measurable project objectives and performance measures (5 points)*
4. *Includes and effective project evaluation plan (5 points)*
5. *Specifies realistic and achievable timelines for*
  - i. *Implementing the components of the HCMS, PBCS, and educator evaluation systems including any proposal to phase in schools or educators (8 points)*
  - ii. *Successfully completing project tasks and achieving objectives (4 points)*

**Placement in the Organization** The importance of the iHEAT Initiative to the district and the level of the district's commitment to its successful implementation are evidenced by the placement of grant management and oversight in the district's reporting line. It is the district's belief that staff evaluation systems must be coupled with professional development targeted on improving teachers' and administrators' professional performance and effectiveness in order to improve student outcomes. Thus, both the teacher evaluation, IPEGS, and Leadership Development are housed in the Office of Professional Development within Curriculum and Instruction. Curriculum and Instruction is led by Ms. Milagros Fornell, Associate Superintendent, who reports directly to the Superintendent of Schools. The organization chart displays the individuals who will participate in the project and shows the lines of accountability that link the project to the district. Resumes for current M-DCPS staff members who will have responsibility for the grant are included in the appendices.

**Roles and Responsibilities of Key Personnel and Allocation of Human Resources** Key iHEAT Initiative staff include: a) the Administrative Director, Professional Development, (5% time, in-kind match); the IPEGS Director (5% time, in-kind match); Executive Director, Professional Development (5% time, in-kind match), Administrative Director, Human Resources (5% time, in-kind match); the Project Coordinator (100% time, grant-funded); and the iHEAT Master Teachers (100% time, grant-funded). The Administrative Director has experience overseeing both the District's current TIF grant and a prior TIF project. With this background, the district is well-positioned to plan and successfully implement the iHEAT Initiative. With experience with both the national TIF programs and teacher evaluation, and leadership in the area of professional development and leadership development, the Office of

Professional Development will house the new initiative and provide valuable continuity and guidance for project implementation.

Christine Master, Administrative Director, will provide leadership to the iHEAT Initiative and will co-chair the Advisory Committee.

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A Project Coordinator, to be hired immediately upon notification of grant award, will work full-time (100% time and effort) to manage the activities of the iHEAT initiative. Responsibilities include, but are not limited to: managing all facets of grant implementation, including coordination of local evaluation activities with grant evaluations; supporting school activities; supervising and supporting the iHEAT Master Teachers and serving as their point of contact for all grant-related activities; planning and coordinating delivery of professional development; coordinating periodic iHEAT Advisory Committee meetings; timely completion of project activities; and submission of required reports. The individual filling this position will have, among other qualifications, a minimum of three years' prior experience with: performance improvement initiatives; assessment, research, data analysis, and/or program evaluation; performance evaluation systems; and professional development. The Project Director will report to the Administrative Director, Office of Professional Development.

The iHEAT Master Teachers, two (2) to three (3) per school site, will: formally and informally observe and provide feedback to teachers at their assigned school site; identify the professional development needs of school staff based on student data, staff observations, and performance evaluations; confer with school-site administrators to provide input from the observations conducted in order to inform the Summative Performance Evaluation (SPE) process; model and coach in best instructional practices; conduct lesson studies, PLCs, and other collaborative peer-to-peer professional development as appropriate to the needs of each school and staff; facilitate

the implementation of the Common Core Standards; work with individual teachers, teacher teams, and school administrators to ensure that teachers:

- are competent in accessing and analyzing multiple sources of appropriate student data;
- understand how to make effective use of formal and informal assessment methodologies to identify student needs and monitor their learning; and
- know how to use data to inform instructional planning and delivery and make appropriate decisions about differentiation and interventions in order to meet the needs of all students, including SWDs and ELLs.

**Advisory Committee** To assist with project oversight and ensure ongoing communication between key stakeholders and project staff, an iHEAT Advisory Committee will be instituted with representation from: Curriculum and Instructions; Human Resources; Professional Development; Labor Relations; Assessment, Research, and Data Analysis; District/School Operations; Region administration; principals and teachers from participating schools; and UTD. This oversight body will include key decision-makers capable of reaching across all M-DCPS departments, garnering necessary support and providing conduits for dissemination of information to ensure the effectiveness and fidelity of project implementation.

**Selection Criterion (e) (3) and (4) *Project Objectives, Performance Measures and Evaluation Plan***

GPRA Measure 1. The number of teachers and principals, who are rated at the highest level, at least effective, and not effective, as measured by the district's evaluation system, and the number who are not rated.

GPRA Measure 2. The number of teachers teaching in a high-need field or subject, such as teaching English language learners, students with disabilities, or STEM, who are rated at the highest level, at least effective, and not effective, as measured by the district's evaluation system and the number who are not rated.

GPRA Measure 3. The number of teachers and principals who were rated at the highest level, at least effective, and not effective, as measured by the district's evaluation system, and the number who were not rated, in the previous year and who returned to serve in the same high-need school in the LEA.

GPRA Measure 4. The number of school districts participating in a TIF grant that use educator evaluation decisions to inform the following human capital decisions: recruitment; hiring; placement; retention; dismissal; professional development; tenure; promotion; or all of the above.

WestEd will conduct the project evaluation, relying on data collected through surveys, interviews, and focus groups along with IPEGS and student achievement data supplied by Miami-Dade County Public Schools to provide formative and summative feedback throughout the course of the grant.

Objective 1: Increase the inter-rater reliability (IRR) of IPEGS classroom observers trained through the grant.

1.1A For Year 1 of the grant, baseline data for the Cohen's Kappa will be determined from the program participants of the IPEGS training of the teacher observers, assistant principal observers, and principal observers.

1.1B In year 2, we will attain a minimum Cohen's Kappa of 0.6. In subsequent years, we will maintain substantial agreement among rates (Cohen's Kappa of 0.6 to 0.8 according to Landis

and Koch -- Landis, J.R.; & Koch, G.G. (1977). "The measurement of observer agreement for categorical data". *Biometrics* 33 (1): 159–174)

1.2A For year 1 of the grant, baseline data on the percent of teachers in participating schools rating the IPEGS observation process as “Fair” and “Equitable”

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1.2 B For years 2 – 5, there will be a 10 % increase each year in the percentage of participating teachers who rate the IPEGS observation process as “Fair” and “Equitable.”

WestEd will collect and analyze data to address the question: *Do observers trained through this grant become better classroom raters?* WestEd will compute interrater reliability (IRR) statistics (such as Cohen’s Kappa) on the observations conducted by those who receive grant-funded training to inform M-DCPS if IRR is improving as a result of the training. WestEd will also ask teachers on the annual survey their perceptions of the fairness and the quality of information received from IPEGS, and compare responses from teachers in the treatment and comparison schools to determine if there are any differences in perceptions that may be associated with this grant.

Project Objective 2. Increase the number of highly effective teachers working in the designated high-needs schools

Performance Measure:

2.1 Beginning in the second year of participation in iHeat, there will be a 10% increase in the percentage of teachers in the iHeat schools who are rated as “Highly-Effective” on their annual IPEGS Summative Evaluation. Year 1 will be used to determine baseline data for the participating schools.

Annually, WestEd will measure and report the following:

- The number of highly effective teachers schoolwide and by subject area

- The percentage of highly effective teachers, schoolwide and by subject area
- Additionally, WestEd will measure and report the number of teachers who are rated at the highest level, at least effective, and not effective, as measured by the district's evaluation system and the number who are not rated, and The numbers and percentages of teachers rated as effective and highly effective in one year who return to teach in the same, high-needs schools in the subsequent year.

WestEd will compare these figures to those of the comparison schools selected during the first year of the grant.

Project Objective 3. Increase the number of Highly Effective principals and assistant principals in the participating high-need schools.

- 3.1 Beginning in the second year of participation in iHeat, there will be a 10% increase in the number of principals and assistant principals in the iHeat schools who are rated as “Highly-Effective” on their annual MEP Summative Evaluation. Year 1 will be used to determine baseline data for the participating schools.

Annually, WestEd will measure and report the following:

- The number of school administrators who attain “*Highly Effective*” ratings
- The percentage of school administrators who attain “*Highly Effective*” ratings
- The numbers and percentages of school administrators who attain “*Highly Effective*” ratings in one year who return to the same, high-needs schools in the subsequent year.

WestEd will compare these figures to those of the comparison schools selected during the first year of the grant.

Project Objective 4. Improve student outcomes in the participating high-need schools.

Performance Measure:

4.1 In years 2-5, each year, participating schools will demonstrate a greater increase in overall school grading points from baseline levels established in year 1 that will comparison schools.

Annually, WestEd will collect data and report on the following indicators:

- Student achievement on state standardized assessments, by grade level, subject area, and demographic group
- Student promotion and retention rates, by grade level and demographic group, and
- Additional student outcome measures incorporated into Florida’s school grading system, as defined for the schools’ grade level configuration

WestEd will compare these figures to those of the comparison schools selected during the first year of the grant.

In addition, WestEd will address the following evaluation questions and provide formative data to the project director and advisory committee to inform future planning and grant implementation.

*Evaluation Question 1. What professional development do master teachers receive? What steps are master teachers taking to improve instruction in their schools? To what extent are master teachers effective at improving instruction in their schools?*

Annually, WestEd will conduct web-based surveys of master teachers and teachers. On the master teacher surveys, they will ask questions about the professional development received to support their roles, the perceived usefulness of that professional development, and other professional development topics that they may need. They will also ask master teachers about the various strategies (e.g., individual coaching, use of technology, reflective dialogue) they have

undertaken to work with teachers to improve instruction in their school; specific questions will focus on the amount of time spent and the perceived success of each of the strategies.

WestEd will also survey teachers in the iHEAT schools annually to ask them about the amount and types of support they have received from the master teachers and the perceived usefulness of that support. In order to measure the amount of change in the quality of instruction, WestEd will compare IPEGS ratings for teachers in iHEAT schools with those of teachers in a set of comparable schools not participating in iHEAT. WestEd will collect IPEGS ratings for teachers during the 2012-13 school year (referred to as the baseline year) district-wide. They will rely on propensity score methodology to select comparison schools based on mean student achievement and teacher IPEGS scores as well as demographics so that the comparison schools closely mirror the treatment schools. They will then compare growth in IPEGS scores from the baseline year in the treatment and comparison schools to determine if there are different rates of growth. They will also compare the support teachers reported receiving with changes in IPEGS scores to determine if the types and amount of support received correlate with changes in those scores.

*Evaluation Question 2. To what extent do school leaders in iHEAT schools participate in professional development? What improvements are there in their leadership skills? Do they transfer what they've learned to staff in their schools?*

WestEd will conduct annual, in-person interviews with school leadership in the iHEAT schools to document the professional development they received and what changes they have made in their leadership roles and activities as a result. During these interviews, WestEd will also ask about how school leaders have tried to share what they have learned to school staff – for example, questions will focus on the extent to which they have encouraged and supported staff members' efforts to undertake additional leadership opportunities. WestEd will also ask teachers

on the annual survey about the support they receive from school leadership – questions will specifically address school leadership’s roles and activities related to instructional leadership and the extent to which they feel supported to undertake additional leadership roles in their schools.

*Evaluation Question 3. To what extent do the three components (effective leaders, master teachers, classroom observations) interoperate as a cohesive whole to improve instruction and student outcomes?*

For the grant to achieve its objectives, all three components must work in concert. School leaders must encourage the conditions for support provided by master teachers to be successful. The information derived from classroom objectives must be accurate for school leaders and master teachers to effectively work with teachers to improve instruction. WestEd will collect survey and interview data from teachers, master teachers, and school leaders about how well the components work together to improve instruction and, ultimately, student outcomes. WestEd will ask master teachers and classroom teachers about the extent to which school leaders effectively promote the use of and rely on classroom observation data to improve instruction. They will ask, for instance, whether school leaders create and support a culture where classroom observations are viewed positively, as tools for enhancing conversations between teachers and master teachers and coaches about ways to improve instruction. WestEd will also ask school leaders and master teachers about teachers’ receptiveness to feedback about their instruction. WestEd will ask teachers about the degree to which the support they receive from master teachers, and the professional development in which they participate, are aligned with their perceived instructional needs.

#### **(5) Timelines for Implementation**

*Specifies realistic and achievable timelines for*

*(i) Implementing the components of the HCMS, PBCS, and educator evaluation system, including any proposal to phase in schools or educators (8 points)*

*(ii) Successfully completing project tasks and achieving objectives (4 points)*

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Lessons learned from prior implementation of TIF and other performance-based compensation initiatives in M-DCPS and from other districts point to the critical need for transparency and clear lines of communication with all stakeholders. Additionally, the timing of TIF grant award notification, which generally takes place after the start of the district school year, has historically presented some challenges in talent recruitment and selection in the start-up year, for project management, teacher candidates, and principals. The high-performing, successful teachers who would be the focus of recruitment efforts to fill the career ladder positions as iHEAT Master Teachers are often reluctant to leave their students once the school year has begun, and principals are also quite understandably reluctant to release their high-performing teachers mid-year.

Therefore, **the initial priorities for year 1 implementation** will be: institute the iHEAT Advisory Committee to guide the implementation; initiate the iHEAT implementation LOU/MOU with the teachers' union, UTD; identify and hire the project director; initiate the RFP for the procurement of the video library and technical support for alignment of videos to the IPEGS Performance Standards and complete the review and procurement process; finalize and implement the iHEAT Communication Plan for all stakeholders; conduct school-level orientations for faculty and staff at the designated iHEAT schools to provide information about performance-based compensation opportunities and encourage participation in the TIF-grant professional development and performance incentive opportunities; finalize the job descriptions for the iHEAT Master Teachers; institute the screening and interview committees for the iHEAT Master Teachers; recruit and screen iHEAT Master Teacher candidates; provide orientation and

professional development for principals at iHEAT participating schools; hire the iHEAT Master Teachers and provide intensive “front-load” professional development in the summer in preparation for deployment to the iHEAT schools in the fall; provide IPEGS observer training to observer teams (principals, assistant principals, and iHEAT Master Teachers) for each participating school; and conduct “back-to-school” orientation to the iHEAT Initiative and the “opt-in” incentive model to faculty and staff at all nine (9) iHEAT schools for the 2013-2014 school year in order to ensure that all participants understand the PBCS model and that all eligible staff have the opportunity to choose to participate. The HCMS in place for the participating iHEAT schools is aligned with and part of the district-wide HCMS; other than the grant-specific PBCS model and provisions of pertinent LOUs/MOUs, the district-wide policies and procedures, in compliance with board rule and state statute, apply throughout.

Priorities for Years 2-5 center on: successful implementation of the PBCS in all nine (9) iHEAT participating schools; increasing the number of effective and highly effective teachers and administrators at each participating school site; providing support and timely and targeted professional development for staff at the iHEAT schools; increasing the quality of the resources available for IPEGS training and staff development on the IPEGS Performance Standards; increasing the inter-rater reliability among trained IPEGS observers; and ensuring dissemination of available resources and lessons learned within the iHEAT-participating schools to improve the quality, validity, and reliability of the evaluation process for instructional personnel and inform the planning process for district-wide performance-based compensation models.

The attached document: ***iHEAT Initiative Management Plan: Timeline*** provides detailed, month-by-month descriptions of project implementation activities, staff responsibilities, and deliverables for the five-year grant period.

**(f) Sustainability (20 points)**

*(1) Identifies and commits sufficient non-TIF resources, financial and non-financial, to support the PBCS and educator evaluation systems during and after the grant period (10 points)*

*(2) Is likely to be implemented and, if implemented, will result in a sustained PBCS and educator evaluation systems after the grant ends (10 points)*

**Non-TIF Commitment** M-DCPS is fully committed to the ongoing district-wide implementation of the IPEGS evaluation system for teachers and the MEP evaluation system for school administrators that are described in the current proposal, as these are the state-reviewed, state-approved systems that have been developed a) based on a study of current research and best practices; b) in collaboration with the United Teachers of Dade and the Dade County Association of School Administrators, respectively; c) in compliance with the requirements of both Race to the Top and relevant state statutes, including the reforms required by the Florida Student Success Act of 2011. Significant district resources have committed to the development and implementation of these systems. IPEGS is a key component of a comprehensive PBCS which will be implemented by July 1, 2014.

Through Race to the Top (RTTT) funding for improvement of Local Instructional Improvement Systems (LIIS) , a vendor was selected through an extensive Request for Proposal (RFP) process to develop and implement a web-based data management system that will link teacher and administrator evaluations to student data and to specific, targeted, professional development aligned to student needs evidence in the data and to staff evaluation outcomes. This represents a \$ (b)(4) financial investment committed to this initiative.

The Professional Development department, in which IPEGS is housed, has dedicated two administrators paid through non-TIF funding , the IPEGS Director and the Executive Director,

Professional Development, to oversee the implementation of the online IPEGS and Professional Development system, the PD/PE System. This team is also charged with the annual coordination with the UTD and other district offices regarding necessary updates to IPEGS and with the ongoing, district-wide training on IPEGS of every instructional professional and every supervisor of IPEGS-evaluated staff. IPEGS training must be accomplished for all staff each year and represents a significant ongoing commitment of resources to maintain the fidelity of the IPEGS model. The district also maintains an IPEGS website ([ipegs.dadeschools.net](http://ipegs.dadeschools.net)) which hosts the IPEGS training materials and resources, and provides an IPEGS Help Desk ([ipegshelp@dadeschools.net](mailto:ipegshelp@dadeschools.net)) to support teachers and administrators.

The district's online PD/PE system will also host the MEP evaluation and provide a resource for collecting, reporting, and analyzing performance evaluation data, the impact of professional development, and provide linkages to student outcome data.

Changes to state statute have led the district to revisit the existing educator compensation models. Given the size and diversity of the district and the range of educational settings in which teachers and administrators work there is no one-size-fits-all, off-the shelf model of performance-based pay that will be fair and equitable to all teachers and administrators.

Therefore, the district is currently exploring a range of PBCS in order to identify the viable and sustainable model or models of performance-based compensation that are appropriate for a large, diverse, high-poverty, high-need district that, accurately identify and reward differentiated levels of teacher and administrator performance and support student achievement.

**TIF-Funded Initiative** Resources provided through the iHEAT Initiative will significantly strengthen and support the evaluation system by providing resources for observer training and re-training, improving inter-rater reliability and the consequent validity of the system, and provide

for professional development resources explicitly linked to each of the performance measures in the observation and evaluation system. The initial target group of 9 high-needs schools serves over 12,000 predominantly poor and minority students, with high representations of SWDs and ELLs and incorporate almost 750 instructional staff. Once developed through the aid of TIF funding, these strategies and resources can be deployed district-wide at no additional cost to provide a basis for sustained reform and culture change, impacting the evaluation and professional development provided to the over 21,000 teachers in the district. This will provide teachers with the resources they need to improve their performance, enhance the quality of education and improve student outcomes for over 340,000 district students, and earn performance-based compensation, as stipulated in the Florida Student Success Act of 2011.

**Competitive Priority 5- an educator salary structure based on effectiveness** ( up to 20 points) Changes mandated by the Florida Student Success Act of 2011 required districts to incorporate differentiated compensation based on performance evaluation outcomes that are based at least 50% on student growth measures. M-DCPS will reform the current principal salary schedule to include a differentiated pay salary schedule based on district – determined factors, such as additional responsibilities, school demographics, critical shortage areas, and level of job performance difficulties. The differentiated pay salary schedule for principals and assistant principals will be implemented beginning with the 2012-2013 school year and will provide principals differentiated supplements above their base salary. This new salary schedule is projected to increase the number of applicants who apply for principal positions at historically “hard to staff” high need schools.

The revised compensation models for instructional personnel are currently under development in discussion with UTD. IPEGS, which includes a 50% weighting into the final SPE of measures of

student growth, and 50% measures of research-based professional practices, is a key component of a comprehensive PBCS for teachers which will be implemented by July 1, 2014, in accordance with state statute.

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The iHEAT Initiative Performance-based Compensation System (PBCS) to be funded through this TIF grant provides differentiated compensation as follows:

- (1) **performance incentives** for teachers, assistant principals, and principals who attain performance ratings at the *Highly Effective* level on their annual performance evaluations which are based 50% on measures of student growth,
- (2) **recruitment incentives** to attract highly effective teachers assume **career ladder positions** as iHEAT Master Teachers at the designated **high-need schools**, and
- (3) **participation incentives** for targeted professional development addressing needs identified through teachers' performance observations and performance evaluations that are targeted at changing school culture and instituting lasting changes in teachers' behaviors to incorporate effective instructional practices and become increasingly more effective teachers

## Other Attachment File(s)

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\* Mandatory Other Attachment Filename:

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To add more "Other Attachment" attachments, please use the attachment buttons below.

## Application Reference Charts

**Instructions:** These charts are provided to help applicants ensure that their applications address all of the priorities and requirements – as any application that does not do so is ineligible for funding for the 2012 competitions. These charts will be used by Department staff when screening applications.

Applicants should complete and include these charts as an attachment with their application. Go to <http://www2.ed.gov/programs/teacherincentive/applicant.html> to download a Microsoft Word version of this template. Fill out the Word document and submit it as a PDF attachment with your application.

### Please indicate your eligibility classification

**Instructions:** Check the eligibility classification that applies to your application.

**Applications from a single entity:**

*In the case of a single applicant that is an LEA, check this box.*

LEA

**Group Applications:**

*Group applications involve two or more eligible entities. In the case of a group application, check the box that describes the eligibility classification of all of the applicants. Select only one box.*

2 or more LEAs

One or more SEAs and one or more LEAs

One or more nonprofit organizations and one or more LEAs (no SEA)

One or more nonprofit organizations and one or more LEAs and one or more SEAs

**Instructions**

**Instructions:** In each column of the table below, please specify where your application discusses each priority or requirement -- including each provision that applies to each priority or requirement. For information, descriptions, or assurances included in the project narrative, please complete both 1) the Title of the Section(s) or Subsection(s) and 2) the relevant Page Number(s) where this matter is discussed. Otherwise, please indicate the Attachment in which it is discussed.

**Please identify every section, page, and/or attachment in which the priority or requirement is discussed. More than one section, subsection, page, or attachment may appear in each cell.**

**Absolute Priority 1**

<b>Requirement or Priority</b>	<b>Title of Section or Subsection in which this priority or requirement is discussed</b>	<b>Page Number(s) on which this requirement or priority is discussed</b>	<b>Attachment on which this priority or requirement is discussed</b>
<p><b>Absolute Priority 1: HCMS</b> To meet this priority, the applicant must include, in its application, a description of its LEA-wide HCMS, as it exists currently and with any modifications proposed for implementation during the project period of the grant.</p>	<p><b>Absolute Priority 1: <i>an LEA-wide Human Capital Management System (HCMS) with Educator Evaluation Systems at the Center Selection Criterion (a) A Coherent and Comprehensive Human Capital Management System</i></b></p>	<p>3 -21</p>	
<p>(1) How the HCMS is or will be aligned with the LEA’s vision of instructional improvement;</p>	<p>M-DCPS Vision of Instructional Improvement</p>	<p>3 -5</p>	
<p>(2) How the LEA uses or will use the</p>	<p>Likely to increase the</p>	<p>5-21</p>	

<p>information generated by the evaluation systems it describes in its application to inform key human capital decisions, such as decisions on recruitment, hiring, placement, retention, dismissal, compensation, professional development, tenure, and promotion;</p>	<p>number of effective educators in the LEA's schools, especially the high-need schools</p>		
<p>(3) The human capital strategies the LEA uses or will use to ensure that high-need schools are able to attract and retain effective educators</p>	<p>Likely to increase the number of effective educators in the LEA's schools, especially the high-need schools</p>	<p>5-21</p>	

<p>(4) Whether or not modifications are needed to an existing HCMS to ensure that it includes the features described in response to paragraphs (1), (2), and (3) of this priority, and a timeline for implementing the described features, provided that the use of evaluation information to inform the design and delivery of professional development and the award of performance-based compensation under the applicant's proposed PBCS in high-need schools begins no later than the third year of the grant's project period in the high-need schools listed in response to paragraph (a) of <u>Requirement 3--Documentation of High-Need Schools</u>.</p>		13	
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<b>Absolute Priority 2</b>			
<b>Requirement or Priority</b>	<b>Title of Section or Subsection in which this priority or requirement is discussed</b>	<b>Page Number(s) on which this requirement or priority is discussed</b>	<b>Attachment on which this priority or requirement is discussed</b>

<p><b>Absolute Priority 2: Educator Evaluation Systems</b></p> <p>To meet this priority, an applicant must include, as part of its application, a plan describing how it will develop and implement its proposed LEA-wide educator evaluation systems. The plan must describe-</p>		6-35	
<p>(1) The frequency of evaluations, which must be at least annually;</p>	<p><b>Research-based evaluation systems Evaluation System for Instructional Personnel</b></p>	6-8	
<p>(2) The evaluation rubric for educators that includes at least three performance levels and the following--</p>	<p><b>Research-based evaluation systems Evaluation System for Instructional Personnel</b></p>	6-8, 14, 15, 22-35	
<p>(i) Two or more observations during each evaluation period;</p>	<p><b>IPEGS Observation Model</b></p>	15, 17, 31	
<p>(ii) Student growth, which for the evaluation of teachers with regular instructional responsibilities must be growth at the classroom level; and</p>	<p><b>Evaluation System for Instructional Personnel</b></p>	23, 24, 25,	
<p>(iii) Additional factors determined by the LEA;</p>	<p><b>Evaluation System for Instructional Personnel</b></p>	6, 7, 8, 22-35,	
<p>(3) How the evaluation systems will generate an overall evaluation rating that is based, in significant part, on student growth; and</p>	<p><b>Evaluation System for Instructional Personnel</b></p>	7, 8,14, 15, 23, 24,	
<p>(4) The applicant’s timeline for implementing its proposed LEA-wide educator evaluation systems.</p>	<p><b>Evaluation System for Instructional Personnel</b></p>	Already in place, as noted on: 6-8, 11-14, 22-35	

<b>Absolute Priority 3</b>			
<b>Requirement or Priority</b>	<b>Title of Section or Subsection in which this priority or requirement is discussed</b>	<b>Page Number(s) on which this requirement or priority is discussed</b>	<b>Attachment on which this priority or requirement is discussed</b>
<p><b>Absolute Priority 3: STEM Plan (if applicable)</b>  <del>To meet this priority, an applicant must include a plan in its application that describes the applicant's strategies for improving instruction in STEM subjects through various components of each participating LEA's HCMS, including its professional development, evaluation systems, and PBCS. At a minimum, the plan must describe —</del></p>	Not Applicable.	Not Applicable.	
<p><del>(1) How each LEA will develop a corps of STEM master teachers who are skilled at modeling for peer teachers pedagogical methods for teaching STEM skills and content at the appropriate grade level by providing additional compensation to teachers who —</del></p> <p><del>(i) Receive an overall evaluation rating of effective or higher under the evaluation system described in the application;</del>  <del>(ii) Are selected based on criteria that are predictive of the ability to lead other teachers;</del>  <del>(iii) Demonstrate effectiveness in one or more STEM subjects; and</del>  <del>(iv) Accept STEM focused career ladder positions;</del></p>			

(2) How each LEA will identify and develop the unique competencies that, based on evaluation information or other evidence, characterize effective STEM teachers;			
(3) How each LEA will identify hard to staff STEM subjects, and use the HCMS to attract effective teachers to positions providing instruction in those subjects;			
(4) How each LEA will leverage community support, resources, and expertise to inform the implementation of its plan;			
(5) How each LEA will ensure that financial and nonfinancial incentives, including performance based compensation, offered to reward or promote effective STEM teachers are adequate to attract and retain persons with strong STEM skills in high need schools; and			
(6) How each LEA will ensure that students have access to and participate in rigorous and engaging STEM coursework.			

**Competitive Preference Priority 4**

<b>Requirement or Priority</b>	<b>Title of Section or Subsection in which this priority or requirement is discussed</b>	<b>Page Number(s) on which this requirement or priority is discussed</b>	<b>Attachment on which this priority or requirement is discussed</b>
<p><b>Competitive Preference Priority 4:</b> New and Rural Applicants (if applicable) To meet this priority, an applicant must provide at least one of the two following assurances, which the Department accepts:</p>			
(a) An assurance that each LEA to be served by the project has not previously participated in a TIF supported project.			
(b) An assurance that each LEA to be served by the project is a rural local educational agency (as defined in the NIA).			

**Competitive Preference Priority 5**

<b>Requirement or Priority</b>	<b>Title of Section or Subsection in which this priority or requirement is discussed</b>	<b>Page Number(s) on which this requirement or priority is discussed</b>	<b>Attachment on which this priority or requirement is discussed</b>
<p><b>Competitive Preference Priority 5:</b> An Educator Salary Structure Based on Effectiveness (if applicable)  To meet this priority, an applicant must propose, as part of its PBCS, a timeline for implementing no later than in the fifth year of the grant's project</p>	An Educator Salary Structure Based on Effectiveness	59-60	

period a salary structure based on effectiveness for both teachers and principals. As part of this proposal, an applicant must describe--			
(a) The extent to which and how each LEA will use overall evaluation ratings to determine educator salaries;	<b>Differentiated Pay For Principals</b> <b>Human Capital Decision-Making:</b> <b>Evaluation/Support/Development/Retention/Dismissal of Instructional Personnel</b>	10 13	
(b) How each LEA will use TIF funds to support the salary structure based on effectiveness in the high-need schools listed in response to Requirement 3(a); and	<b>Differentiated Pay For Principals</b> <b>Design Model for the iHEAT Initiative</b>	10 15	
(c) The extent to which the proposed implementation is feasible, given that implementation will depend upon stakeholder support and applicable LEA-level policies.	Sustainability	57	

<b>Requirement 1</b>			
<b>Requirement or Priority</b>	<b>Title of Section or Subsection in which this priority or requirement is discussed</b>	<b>Page Number(s) on which this requirement or priority is discussed</b>	<b>Attachment on which this priority or requirement is discussed</b>
<b>Requirement 1:</b> Performance-Based Compensation for Teachers, Principals, and Other Personnel. In its application, an applicant must describe, for each participating LEA, how its proposed PBCS will meet the definition of a PBCS set forth in the	<b>Design Model for the iHEAT Initiative</b>	14-22	

NIA.			
• Design Model 1 or 2	Abstract, pp	i	
• PBCS Optional Features		N/A	

<b>Requirement 2</b>			
<b>Requirement or Priority</b>	<b>Title of Section or Subsection in which this priority or requirement is discussed</b>	<b>Page Number(s) on which this requirement or priority is discussed</b>	<b>Attachment on which this priority or requirement is discussed</b>
<p><b>Requirement 2:</b> Involvement and Support of Teachers and Principals</p> <p>In its application, the applicant must include--</p> <p>(a) Evidence that educators in each participating LEA have been involved, and will continue to be involved, in the development and implementation of the PBCS and evaluation systems described in the application;</p>	<p><b>Selection Criterion (d)</b> <b>Involvement of Educators</b></p>	39-45	
<p>(b) A description of the extent to which the applicant has educator support for the proposed PBCS and educator evaluation systems; and</p>	<p><b>Selection Criterion (d)</b> <b>Involvement of Educators</b></p>	39-45	
<p>(c) A statement indicating whether a union is the exclusive representative of either teachers or principals in each participating LEA.</p>	<p><b>Selection Criterion (d)</b> <b>Involvement of Educators</b></p>	39	

<b>Requirement 3</b>			
<b>Requirement or Priority</b>	<b>Title of Section or Subsection in which this priority or requirement is discussed</b>	<b>Page Number(s) on which this requirement or priority is discussed</b>	<b>Attachment on which this priority or requirement is discussed</b>
<p><b>Requirement 3:</b> Documentation of High-Need Schools</p> <p>Each applicant must demonstrate, in its application, that the schools participating in the implementation of the TIF-funded PBCS are high-need schools (as defined in the NIA), including high-poverty schools (as defined in the NIA), priority schools (as defined in the NIA), or persistently lowest-achieving schools (as defined in the NIA). Each applicant must provide, in its application--</p>	Need	1, 2	
<p>(a) A list of high-need schools in which the proposed TIF-supported PBCS would be implemented;</p>	Need	1, 2	
<p>(b) For each high-poverty school listed, the most current data on the percentage of students who are eligible for free or reduced-price lunch subsidies under the Richard B. Russell National School Lunch Act or are considered students from low-income families based on another poverty measure that the LEA uses (see section 1113(a)(5) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6313(a)(5))). <i>[Data provided to demonstrate eligibility as a high-poverty school must be school-level data; the Department will</i></p>	Need	1, 2	

<i>not accept LEA- or State-level data for purposes of documenting whether a school is a high-poverty school; and</i>			
(c) For any priority schools listed, documentation verifying that the State has received approval of a request for ESEA flexibility, and that the schools have been identified by the State as priority schools.	N/A	N/A	

*Incentives for Highly Effective Administrators and Teachers - iHEAT Initiative*

**Documentation of High-Need Schools Selected to Participate** Miami-Dade County Public Schools (M-DCPS), America's fourth-largest school system, has a more than 345,000 students from over 100 countries enrolled in 450 schools, including elementary, middle, senior high schools and alternative, specialized and vocational centers. M-DCPS student membership is 91% minority and 68% eligible for free and reduced lunch. Over 60% of M-DCPS students speak a language other than English at home and more than 13% of all M-DCPS students are Students with Disabilities (SWDs).

The schools prioritized to participate in the iHEAT Initiative are representative of the ethnic and geographical diversity of the district. They range from 70% to 100% minority and from 53% to 98% free and reduced lunch. English Language Learners (ELLs) comprise 14% of the students and Students with Disabilities (SWDs) make up 10% of students across the nine (9) participating schools. The schools selected include elementary, middle, K-8 and senior high schools and range in size from just over 300 students to two senior high schools with well over 3,000 students each. This diversity will provide the district the opportunity to pilot the iHEAT Initiative model of performance-based incentive compensation, peer observation, job-embedded professional development, and ongoing support for performance improvement in settings that truly reflect our teaching and learning community. Lessons learned throughout the implementation will be applied to inform the ongoing conversation between the district and the teacher's union, United Teachers of Dade (UTD) regarding the implementation of pay-for-performance, rigorous and meaningful teacher evaluation and growth-centered support, and the revised compensation models required by Florida's Student Success Act of 2011.

The participating schools were selected by their respective regions as being high-need schools that are not currently being supported through the Educational Transformation Office (ETO), are not part of the Differentiated Accountability support system, and are not current participants in any other TIF grant. The table below provides demographic characteristics of the schools that have been identified as target schools for the implementation of the iHEAT Initiative.

**High-Need Schools Identified to Participate in iHEAT Initiative**

REGION*	SCHOOL	# ELL	% ELL	# SWD	% SWD	# F&R	% F&R	# MINORITY	% MINORITY	TOTAL STUDENTS	FACULTY
NC	1681 Lillie C Evans K-8 Center	14	3	37	8	429	98	439	100	439	58
NC	3241 Miami Gardens Elementary	96	30	21	7	304	95	313	98	319	26
N	3981 North Twin Lakes Elementary	285	46	61	10	588	94	620	99	626	46
N	6021 Arvida Middle School	63	5	99	8	675	53	1026	80	1280	65
SC	6121 Ruben Dario Middle School	175	23	86	11	686	89	753	98	772	42
SC	6961 West Miami Middle School	271	25	147	14	954	88	1053	97	1085	71
S	7048 Alonzo & Tracy Mourning Senior High	141	9	110	7	920	56	807	70	1634	83
SC	7071 Coral Gables Senior High	507	16	248	8	2219	69	2885	89	3229	169
S	7701 South Dade Senior High	265	8	474	14	2549	76	2896	86	3376	186
<b>Total In iHEAT Participating Schools</b>		<b>1817</b>	<b>14</b>	<b>1283</b>	<b>10</b>	<b>9324</b>	<b>73</b>	<b>10792</b>	<b>88</b>	<b>12284</b>	<b>746</b>



July 25, 2012

Dr. Sylvia Lyles  
Director, Academic Improvement and Teacher Quality Programs  
United State Department of Education  
Office of Elementary and Secondary Education  
Academic Improvement and Teacher Quality Programs  
400 Maryland Avenue, SW  
Washington, DC 20202

Dear Dr. Lyles:

As President of the United Teachers of Dade (UTD), I am writing to express our support for the *Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative*. The proposed project builds upon the ongoing collaboration between UTD and Miami-Dade County Public Schools (M-DCPS) in support of performance-based compensation systems. Currently, UTD is collaborating with M-DCPS on two Teacher Incentive Fund (TIF) grant programs.

The proposed project will implement a performance-based compensation system in nine high-need Miami-Dade County Public Schools and is designed to increase teacher effectiveness and student achievement in those schools. Staff members from UTD have been involved in the development of the proposed project and, as evidenced by participation in existing TIF grant programs, will continue to be involved in the ongoing design and evaluation of the system.

Through *iHEAT*, master teachers will be recruited to serve in the targeted schools in the core subject areas of Reading/Language Arts, Mathematics, and Science. Over the five years of the grant, all instructional staff in the participating schools will benefit from responsive, targeted professional development to increase instructional effectiveness. In Years 2-5 of the grant, teachers at the participating schools that earn a summative performance rating of highly effective will receive a performance-based incentive.

We offer our support for the proposed project *iHEAT*.

Sincerely,

(b)(6)

Karen Aronowitz  
President

# DASA

DADE ASSOCIATION of SCHOOL ADMINISTRATORS

1498 NE 2 Ave., Ste. 200 • Miami, FL 33132 • T: 305-579-0092 • F: 305-579-1068 • WWW.DASA.US

July 25, 2012

## DASA OFFICERS

*President*  
*Mr. Jose Enriquez*

*President-Elect*  
*Mr. Jose Bueno*

*Past President/  
Parliamentarian*  
*Ms. Melanie Megias*

*Vice President, Elections*  
*Mr. Ramses Ancheta*

*Vice President,  
Professional Development*  
*Derick McKoy*

*Vice President,  
Legislative Activities*  
*Ms. Iraida Mendez-Cartaya*

*Vice President, Publication,  
Marketing, Social Activities*  
*Ms. Tricia Fernandez*

*Vice President,  
Membership*  
*Ms. Yubeda Miah*

*Vice President, Budget  
& Finance (Treasurer)*  
*Ms. Connie Pou*

*Vice President,  
Constitution & By-Laws*  
*Mr. Alejandro Perez*

*Vice President,  
Corresponding/  
Recording Secretary*  
*Ms. Penny Puco*

*Executive Director*  
*Delio G. Diaz*

Dr. Sylvia Lyles  
Director, Academic Improvement and Teacher Quality Programs  
United State Department of Education  
Office of Elementary and Secondary Education  
Academic Improvement and Teacher Quality Programs  
400 Maryland Avenue, SW  
Was

Dear Dr. Lyles:

On behalf of the Board of Directors of the Dade Association of School Administrators (DASA), I am pleased to write this letter of support for Miami-Dade County Public Schools' grant application to the United States Department of Education. One of the key objectives of the *Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative* is to increase school leaders' effectiveness and thereby improve student achievement.

DASA was established in 1995 to serve the professional, educational and legislative needs of all public school administrators in Miami-Dade County. DASA is also an affiliate of the Florida Association of School Administrators (FASA) and its purpose is to help members meet their responsibilities through a professional organization, dedicated to the development of effective educational leadership.

The proposed project supports DASA's goals:

- To promote a spirit of professionalism among all school administrators;
- To advance public education by providing organized and unified efforts for the resolving of matters concerning school administrators;
- To improve standards of cooperation with other professional organizations on matters of an educational nature upon which there is mutual agreement;
- To provide opportunities for cooperative study of various issues common to education;
- To lend assistance concerning general and specific problems through publications, networking, direct assistance to members, meetings, and varied in-service and social activities; and
- To foster the management team concept and promote the personal and professional welfare of school administrators in our county.

The Dade Association of School Administrators fully supports this important initiative and will continue to work closely with Miami-Dade County Public Schools in its successful implementation.

Sincerely,

(b)(6)

Delio G. Diaz  
Executive Director

# FLORIDA DEPARTMENT OF EDUCATION



STATE BOARD OF EDUCATION

Gerard Robinson  
Commissioner of Education

KATHLEEN SHANAHAN, Chair  
ROBERTO MARTÍNEZ, Vice Chair

*Members*

SALLY BRADSHAW  
GARY CHARTRAND  
DR. AKSHAY DESAI  
BARBARA S. FEINGOLD  
JOHN R. PADGET



May 14, 2012

Mr. Richard H. Hinds  
Dade County School District  
1450 NE 2<sup>nd</sup> Avenue, Room #926  
Miami, Florida 33132

Your indirect cost proposal for fiscal year 2012-2013 has been reviewed and the restricted rate of 3.77% and unrestricted rate of 17.93% is approved with an effective date of July 1, 2012 through June 30, 2013.

If you have any questions please call Don Crumbliss at (850) 245-9214.

Sincerely,

(b)(6)

Norman Holley

FINANCIAL SERVICES  
MAY 17 04:00

12 MAY 22 AM 10:26

NORMAN V. HOLLEY  
ASSISTANT DEPUTY COMMISSIONER, BUREAU OF THE COMPTROLLER

325 W. GAINES STREET • SUITE 914 • TALLAHASSEE, FLORIDA 32399-0400 • (850) 245-0401 • FAX (850) 245-9220  
[www.fldoe.org](http://www.fldoe.org)

DISTRICT SCHOOL BOARD OF DADE COUNTY  
**CERTIFICATION AND REQUEST FOR AUTHORIZED INDIRECT COST RATE  
 PLAN B**

I certify that the information contained herein has been prepared in accordance with the instructions issued by the State of Florida Department of Education, conforms with the criteria in OMB Circular A-87, EDGAR, and CFR, Title 34, and is correct to the best of my knowledge and belief. No costs other than those incurred by this agency have been included in the indirect cost rate application. The same costs that have been treated as indirect costs have not been and will not be claimed as direct costs, and similar types of costs have been accorded consistent treatment. All expenditures detailed on the application form have been made, and records supporting them have been maintained and are available for audit.

We hereby apply for the following indirect cost rate:

<b>Federal Programs - Restricted with Carry Forward</b>	<u>3.77%</u>
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<b>Federal Programs - Unrestricted with Carry Forward</b>	<u>17.93%</u>
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I further certify that all data on this form are referenced to the District Superintendent's Annual Financial Report to the Florida Commissioner of Education, ESE 145, and other pertinent financial records, for Fiscal Year 2010-2011, in conformance with the manual, Financial and Program Cost Accounting and Reporting for Florida Schools, and that all General Fund and Special Revenue Funds expenditures have been used.

<div style="border: 1px solid black; width: 100px; height: 30px; margin-bottom: 5px;"></div> Signature of District Superintendent	Signature of Finance Officer
Date Signed	Date Signed

Your proposal has been accepted and the following rate approved:

<b>Federal Programs - Restricted with Carry Forward</b>	<u>3.77%</u>
---	--------------

<b>Federal Programs - Unrestricted with Carry Forward</b>	<u>17.93%</u>
---	---------------

These rates become effective **July 1, 2012, and remain in effect until June 30, 2013**, and will apply to all eligible federally assisted programs as

<div style="border: 1px solid black; width: 100px; height: 30px; margin-bottom: 5px;"></div> Signature of Comptroller, Florida Department of Education	Date Signed
Date Signed	Date Signed

# Christine Jeanne Master

(b)(6)

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## Education

Barry University – 2004, Doctor of Education, Educational Leadership  
Pennsylvania State University – 1984, Certificate in School Administration  
West Chester University – 1976, Master of Science, Educational Media  
Cabrini College – 1971, Bachelor of Arts, History

- Certification – Florida Professional Educator's Certificate – Media, History, and Administration

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## Experience

### Miami-Dade County Public Schools

Administrative Director, Professional Development, December 2008 – present  
Assistant Superintendent, Instructional Support and Development, December 2004- December 2008  
Administrative Director, Professional Development, December 2004 – June 2005  
Administrative Director - Division of Instructional Technology and Media Support Services, 1993 - 2004  
Supervisor – Library Media Services, 1991-1993  
Educational Specialist – Library Media Services, 1988 – 1991  
School Media Specialist – North Miami Beach Senior High School, 1984 -1988

### International Experience

Director of Media – Singapore American School, Republic of Singapore, 1980 – 1982  
Social Studies Teacher – American International School of Düsseldorf, Germany, 1977 - 1980

### Other

Adjunct Professor, Nova Southeastern University, 1991 - 1995

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## Major Responsibilities and Accomplishments

- Responsible for leadership development programs, including principal preparation and assistant principal preparation programs
  - Awarded a US DOE School Leadership Grant in 2005
  - Monitor implementation of Teacher Incentive Fund grant: Project RISE awarded in 2007
  - Monitor district-wide implementation of new teacher evaluation system in 2009-2010
  - Developed the *Summer HEAT* initiative consisting of professional development for approximately 5,000 teachers and 180 school-site administrators
  - Responsible for professional development programs that support instructional personnel ranging from New Teacher Induction to National Board Certification
  - Manage a yearly budget of over \$40 million
  - Supervised a staff of 55
  - Provided guidance and support to schools in the area of technology implementation, library programming, and instructional materials
  - Initiated a Principal Leadership Cohort, offering summer institutes and yearlong activities in conjunction with the International Society for Technology in Education
  - Awarded a *Reinventing Education* grant from IBM
  - Initiated partnerships with CISCO, Oracle Corporation, and Apple Computer, Inc. to provide certification-based course offerings for students
-

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## Awards and Distinguished Activities

### *Teaching and Learning Magazine*

- 2001 National Technology Leader Award

American Association of South American Schools, 1994 - 1998

- Consultant, Library Programming - Argentina, Paraguay, and Venezuela

Florida Educational Technology Conference Legislative Session, 1999

- Presenter

Florida Educational Technology Conference 1998, 2000, 2004

- Featured Speaker

New American Schools Arlington, Virginia 1994 - 1996

- Member of National Technology Task Force

Florida Department of Education, Tallahassee, Florida, 1994

- Presentation to State Education Committee of Florida Senate

DOE Curriculum Conferences, 1991-1995

- Presentations pertaining to administrative management of library media programs

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## Published Work

When Disaster Strikes: Hurricane Andrew and the Lessons Learned, *School Library Journal* (September, 1993), 39, (9)

**CURRICULUM VITA  
OF  
SHERRY LYNN KRUBITCH, B.S., M.S., Ed. D.**

**PERSONAL INFORMATION**

(b)(6)

Occupation: Administrative Director

Business Address: Office of Human Resources  
1501 N.E. 2<sup>ND</sup> Avenue  
Miami, Florida 33132

**EDUCATIONAL BACKGROUND**

Associate of Arts: Major: Elementary Education  
Miami-Dade Community College  
Miami, Florida 33167  
June, 1978

Bachelor of Science: Major: Elementary Education/ Special  
Education/ Mental Retardation  
Florida State University  
Tallahassee, Florida 32306  
April, 1980

Certification: Administration and Supervision K-12  
Florida State University  
Tallahassee, Florida 32306  
April, 1982

Master of Science: Major: Elementary Education/Special  
Education/Mental Retardation  
Florida State University  
Tallahassee, Florida 32306  
December, 1982

Doctorate of Education: Major: Educational Leadership  
Barry University  
Miami Shores, Florida 33161  
July, 2006

**PROFESSIONAL EXPERIENCE AND EMPLOYMENT**

<b><u>LOCATION</u></b>	<b><u>POSITION</u></b>	<b><u>FROM-TO</u></b>
Office of Human Resources Miami, Florida	Administrative Director, Employee Services	11/10-Present
Region Center III Miami Springs, Florida	Region Administrative Director, Maintenance, Facilities and Capital Construction	8/08-11/10
Miami Shores Elementary Miami Shores, Florida	Principal	7/96-8/08
Everglades Elementary Miami, Florida	Principal	5/93-7/96
Charles R. Drew Elementary Miami, Florida	Assistant Principal	8/87-5/93
Colonial Drive Elementary Miami, Florida	Assistant Principal	2/87-6/87
Carol City Middle Miami, Florida	SPED Teacher/VE	9/84-1/87
Landmark Learning Center Miami, Florida	SPED Teacher/PMH	1/85-8/87
Carol City Middle Miami, Florida	Journalism/Yearbook Teacher and Advisor	9/86-6/87
Carol City Middle Miami, Florida	SPED Teacher/SED	1/83-6/84
Advancement for the Association of the Mentally Handicapped Miami, Florida	SPED Teacher/TMH Adult Education	9/83-9/84
Sunland Public School Tallahassee, Florida	SPED Teacher/PMH Behavior Management Program	8/81-12/82
Elcan G. King Elementary School Bainbridge, Georgia	SPED Teacher/TMH	9/80-6/81
Gretchen Everhart Trainable School Tallahassee, Florida	SPED Teacher/TMH Infant Stimulation Program	6/80-9/80

## **AFFILIATIONS**

Florida State Alumni Association (FSAA)

Florida Association of School Administrators (FASA)

National Association of Elementary Principals (NAESP)

Association for Supervision and Curriculum Development (ASCD)

## **REFERENCES AVAILABLE UPON REQUEST**



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**SUMMARY OF RELATED EXPERIENCE**

Dr. Joseph L. McCrary is a Senior Research Associate in WestEd's Evaluation Research Program, where he directs and participates in research studies and program evaluations in a wide variety of education settings. He currently directs several evaluations of projects designed to improve teacher development and classroom practices through urban teacher residency models, teacher incentive programs, and efforts to measure the enacted curriculum and compare it with state and district content standards. These evaluations rely on proximal measures, including teachers' perceptions of the preparation efforts and measures of the quality of instruction collected through classroom observations, as well as distal measures of student outcomes. Other recent topics of his include school reform, turnaround schools, programs targeted towards special populations, and afterschool programs. Dr. McCrary has more than 15 years experience in policy analysis, management and program evaluation, and applied research and has an extensive background in both quantitative and qualitative research methods. Prior to joining WestEd, he worked in research units in a large urban school district, a state education agency, and the federal government. In the U.S. Department of Education, he was one of the lead authors of the National Assessment of Title I, directed and participated in research studies concerning the implementation of the No Child Left Behind Act of 2001 (NCLB) and its impact on education outcomes, and oversaw a national evaluation of the federal Comprehensive School Reform program. He also served as the liaison between the Policy and Program Studies Service and the offices developing the EdFacts data system and contributed to its development. Throughout his career, Dr. McCrary has worked extensively with student-level state and district databases to conduct evaluations and research projects, and as such, he has developed a deep understanding of the structure of student-level data systems and the steps that should be taken to ensure that those systems are usable. Dr. McCrary is a recent past president of the Directors of Research and Evaluation, a nonprofit organization of school district researchers and evaluators from the United States and Canada.

**EDUCATION**

- 2002 D.P.A., Public Administration, University of Georgia
- 1995 M.P.A., Public Administration, University of Georgia
- 1993 M.A., Sociology, University of Georgia
- 1990 B.A., Sociology, Rutgers University

## PROFESSIONAL EXPERIENCE

2006– Present     *Senior Research Associate*, Evaluation Research  
WestEd, Los Alamitos, CA

Currently evaluating efforts among several programs to address teacher effectiveness, including mixed-methods evaluations of a Teacher Incentive Fund grant in Miami and a Teacher Quality Partnership grant in Chicago.

Led the WestEd team in a beta test study of the Gates Validation Engine (VE), an online tool to assess the validity and rater agreement of classroom observation systems. Provided technical support to participating districts to use the VE and interpret its results. Authored sections of the evaluation report to the Gates Foundation on districts' experiences.

Conducted a mixed-methods evaluation of the first year efforts in 34 Arkansas schools to implement America's Choice that involved quantitative analyses of student achievement in mathematics and reading using propensity score analysis and hierarchical linear modeling and qualitative analysis of implementation reports.

Constructed longitudinal databases of standardized school-level student achievement measures for annual state assessments in all 50 states supplied by EdFacts and supplemented with states' publicly-available databases. Identified turnaround schools for subsequent study, and conducted site visits to learn what steps successful turnaround schools had undertaken. Analyzed three waves of principal and teacher surveys to measure CSR implementation in CSR-funded and comparison schools. Used propensity score analysis to develop a comparison group for the 2002 cohort of CSR schools to estimate changes in achievement that are associated with receiving a CSR award.

Evaluated two federal grants to a consortium of states and the Council of Chief State School Officers to pilot methods to assess the instruction of English language learners and students with disabilities and their alignment to state English language proficiency standards and assessments as well as those for regular program students.

2004– 2006     *Management and Program Analyst*, Policy and Program Studies Service  
U.S. Department of Education, Washington, DC

Led an evaluation of the federal Comprehensive School Reform Program, developing a sub-study of turnaround schools as part of the larger project. Planned and executed evaluation and research studies of state assessments and accountability systems and schools in restructuring status. Authored policy briefs on the development of state assessment systems and changes in student achievement on the NAEP and state assessment systems. Served as a resource on technical issues such as the appropriate interpretation of assessment results and statistical methodology.

2003– 2004     *Interim Director of Research Services*, Division of Research, Evaluation, Assessment, and  
Accountability, Baltimore City Public School System, Baltimore, MD

Led a team of two researchers and two support staff in studies of student achievement, highly qualified teachers, and safe and drug-free schools. Assessed the relationships between Maryland School Assessment results, TerraNova results, and teacher assigned end-of-year course grades to determine how well instruction matches accountability goals established in

the Maryland School Assessment program.

- 2002–  
2003     *Researcher II*, Division of Research, Evaluation, Assessment, and Accountability  
Baltimore City Public School System, Baltimore, MD
- Authored publications on student mobility, test performance, and attendance. Developed position papers on the Adequate Yearly Progress and Unsafe School Choice Option provisions of NCLB. Served on Baltimore City Public School System’s NCLB Task Force and Maryland’s NCLB Workgroup on Highly Qualified Teachers.
- 2003     *Expert Panel Peer Reviewer*  
U.S. Department of Education, Washington, DC
- Reviewed and evaluated state accountability plans submitted to the U.S. Department of Education as required by NCLB.
- 2001–  
2002     *Statistical Research Analyst*  
Governor’s Office of Education Accountability; Atlanta, GA
- Quantified education accountability benchmarks for pre-kindergarten through post-secondary education. Prepared large student record databases for analyses. Proposed new data collection and analysis methods to improve future data integrity.
- 1997–  
2001     *Research Coordinator*, Carl Vinson Institute of Government  
University of Georgia, Athens, GA
- Oversaw the research team in a study evaluating the Georgia Lottery for Education. Utilized panel data methodology to examine changes in public education spending. Analyzed survey data to examine patterns of lottery play. Developed a geographic information system to study land use changes in Georgia over 15 years.

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- Hipps, J., J. McCrary, & J. Hoffman. (2011). *Chicago Public Schools Community School Initiative: 2008-09 Student Outcomes Evaluation. Final Report*. WestEd. Atlanta, GA.
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- McCrary, J. & A. Hoffman. (2009). *Chicago Public Schools' Community Schools Initiative: 2007-08 Student Outcomes Evaluation*. WestEd. Atlanta, GA.
- McCrary, J., J. Ziobrowski, & J. Bojorquez. (2008). *America's Choice in Arkansas: Achievement after One Year*. WestEd. Washington, DC.
- Stullich, S., L. Eisner, J. McCrary, & C. Roney. (2007). *National Assessment of Title I Final Report: Volume I: Implementation of Title I*. U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance. Washington, DC.
- Stullich, S., L. Eisner, J. McCrary, & C. Roney. (2006). *National Assessment of Title I Interim Report: Volume I: Implementation of Title I*. U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance. Washington, DC.
- McCrary, J. L. (2006). *Evaluating Comprehensive School Reform in Schools, Districts, and States*. Served as session chair. Annual Meeting of the American Education Research Association, San Francisco, CA, April 7-11, 2006.
- McCrary, J. L. (2005). An Evaluation of the Faith-Based and Community-Based Organizations in U.S. Department of Education Discretionary Grant Programs and as Supplemental Educational Service Providers. Washington, D.C.: U.S. Department of Education, Policy and Program Studies Service.
- McCrary, J. L. (2005). *Evaluating Comprehensive School Reform in Schools, Districts, and States*. Served as session chair and discussant. Annual Meeting of the American Education Research Association, Montreal, CA, April 11-15, 2005.
- McCrary, J. L. and M. E. Yakimowski. (2004). *The Relationship between Student Test Performance and Teacher Assigned Classroom Grades*. Baltimore, MD: Baltimore City Public Schools.
- McCrary, J. L. and S. E. Condrey. (2003). "The Georgia Lottery: Assessing its Administrative, Economic, and Political Effects." *The Review of Policy Research*. 20(4): 691-711.
- Yakimowski, M. E., C. A. Wilson, and J. L. McCrary. (2003). *Student Performance on the Maryland School Assessment Program*. Baltimore, MD: Baltimore City Public Schools.
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- McCrary, J. L. and M. E. Yakimowski. (2003). *From Where Do Students Enroll: 1998-99 through 2002-03*. Baltimore, MD: Baltimore City Public Schools.
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McCrary, J. L., S. E. Condrey, M. Moore, C. Cornwell, D. Mustard, J. Hamilton, T. Tanner, and J. Fleury. (2001). *The Georgia Lottery: Participation, Revenue Generation, and Benefit Distribution*. Athens, GA: Carl Vinson Institute of Government.

#### **SELECTED PROFESSIONAL ACTIVITIES**

- American Education Research Association
- American Evaluation Association
- Directors of Research and Evaluation (Past President)
- National Association of Test Directors

## Capability Statement

WestEd is one of the nation's preeminent education research and evaluation organizations, with over 600 employees and 17 offices nationwide. Over the past 45 years, WestEd has carried out nearly 2,000 successful projects, including many experimental research projects employing randomized control trials and evaluation research reports that have been consistently lauded as highly useful and informative by funders, education leaders, policy makers, and practitioners. WestEd has earned a reputation as a leader in the field of education by conducting rigorous research, development projects, and evaluations; providing training and technical assistance; and working with policy makers and practitioners at state and local levels to carry out large-scale school improvement and innovative change efforts. WestEd has built solid working relationships with education and community organizations at all levels, playing key roles in facilitating the efforts of others and in initiating new improvement ventures. At any given time, WestEd has from 450 to 700 active contracts and grants. As an example, in FY 2010, the agency operated on program funding of \$108 million, with specific projects from 395 clients and funders, including the US Department of Education (ED), the National Science Foundation, universities, state departments of education, and local education agencies across the country.

The mission of WestEd's Evaluation Research Program is to provide solutions to education and other communities to promote excellence, achieve equity, and improve learning for children, youth, and adults. Guided by the professional standards of our disciplines, we employ high quality, systematic, data-driven inquiry to achieve our mission and serve the needs of practitioners, policymakers, and the people they serve. WestEd's Evaluation Research Program possesses substantial capacity to successfully carry out the work of this proposal, conducting evaluations for the U.S. Department of Education (ED) and the National Science Foundation (NSF) as well as for states, school districts, and universities. We conduct evaluations of teacher preparation programs throughout the K-16 education levels; mathematics and science programs; studies of school reform; and evaluations of community- and school-based projects for children who are placed at risk. We provide policymakers and practitioners with impartial, evidence-based information to improve education and other services. Our staff applies the most rigorous and appropriate social science tools to produce accurate and reliable studies, then communicates findings in a manner that contributes to a better understanding of whether a program is effective, whether a policy is having the desired impact, whether a chosen approach is the most cost-effective way of accomplishing goals, how an effort can be improved, or whether an initiative should be continued. Our staff is located in California, Atlanta, GA, and Washington, DC.

WestEd and the ERP have a deep understanding of the rigors and requirements of i3 Development and Validation grants. WestEd's Strategic Literacy Initiative and Reading Apprenticeship program have current i3 Validation grant while the ERP is currently evaluating an i3 Development grant for the Beaverton (OR) School District. These experiences provide WestEd and ERP staff with deep knowledge of i3 grant evaluation requirements and the demonstrated experience to successfully

compete for an i3 grant which includes navigating the requirements of implementing an i3 evaluation plan. WestEd also has substantive experience evaluating other local grant projects funded by the U.S. Department of Education (ED).

The evaluation requirements for i3 development grants provide a solid foundation for gathering key data on the implementation and outcomes of grant activities. Important to these are:

- Collecting high quality data and performance feedback that facilitate tracking progress toward grant objectives
- Identifying key project elements in order to facilitate implementing the project in other settings
- Developing key evaluation questions and identifying how the evaluation’s methodology will allow answering those questions
- Providing evidence of improving student outcomes

WestEd will work closely with Guilford County Schools (GCS) to develop a solid understanding of the Guilford Parent Academy (GPA), its i3 grant objectives, and implementation strategies in order to ensure that the developed evaluation plan is responsive to both the Development grant requirements and the needs of GCS. In the following section, we present our breadth of experience methodologically to highlight our ability to develop an appropriate evaluation plan.

### **General Qualifications and Statistical Skills**

WestEd selects appropriate methods to answer the evaluation questions posed. Being ever mindful of warning, “When all you have is a hammer, everything looks like a nail,” we believe that our evaluation toolbox must include a wide variety of methodological tools. As such, we bring together highly qualified staff with a wide range of research method skills to meet the needs of our clients and develop sound evaluation plans for their grants.

### **Quasi-experimental and Experimental Designs**

Many of our evaluation studies involve quasi-experimental designs, where we compare treatment to control groups and involve pre- and post-implementation measures. In these studies, we seek to build a comparison group that is as closely representative of the treatment group prior to the program. In the Longitudinal Assessment of Comprehensive School Reform Program (CSR) Implementation and Outcomes (LACIO) and America’s Choice – Arkansas studies, for instance, we constructed comparison groups through the use of propensity score matching so that both groups are closely matched on important baseline characteristics. Another example of a quasi-experimental design is our evaluation of the Partnership in Character Education Program, a three-year study where we used four treatments, four-delayed treatments, and four comparison elementary schools to evaluate this program. Recently, we have also implemented randomized controlled trials to evaluate education programs. For example, we are conducting an experimental study of the implementation of the First in Math (FIM) online mathematics program on fourth and fifth grade student achievement in the New York City Public School District.

### **Formative and Summative Evaluation**

Our evaluations almost always include formative and summative components. For example, WestEd's formative evaluation of Cal-PASS, a statewide data system that follows students across different sectors of education and brings K-16 faculty together to jointly analyze data, provided program staff with valuable information to identify barriers, and provide educators with information to make changes and build best practices. And in our evaluation of the Enhanced Assessment Grant that the Council of Chief State School Officers (CCSSO) received to help states review teacher data to align standards and instruction of English language learners to those of regular program students, we identified problems with the training provided to access and interpret project data that CCSSO corrected. When conducting summative evaluations, we avoid "black box" designs and account for variation in implementation that may affect outcomes. For example, the LACIO study included data from both CSR and comparison schools related to student outcomes, school organization, planning, professional development, and parental involvement to go beyond the question of whether receiving a CSR award correlates with achievement gains.

We have evaluated many local projects supported by grants under the ED's Teaching American History and 21<sup>st</sup> Century Community Learning Centers Programs providing both formative and summative data that supported project implementation and achieving grant objectives. In most of these cases, we worked closely with grantees, developing the evaluation sections of their successful funding proposals to ED. We also worked with Beaverton School District and developed the evaluation design and section of their successful i3 proposal.

### **Educational Research Models**

In addition to the quasi-experimental and experimental designs listed above, and the longitudinal evaluations described below, we have substantial expertise with mixed methods research models that incorporate both qualitative and quantitative data. These typically represent the best opportunity to describe the cultural and organizational factors that affect implementation and relate these findings to important program outcomes. For example, our evaluation of the Texas Dropout Prevention and Reentry Program utilized implementation data gathered on site visits to inform our analyses of student-level outcomes, such as attendance and course completion.

Many of our evaluations involve case studies and cross-case analysis. Case studies are appropriate for examining programs in context, particularly when the context and the program are mutually influential. Our analysis of case studies generally involves cross-case synthesis, which goes beyond a mere tallying of findings for each site. The evaluation team seeks patterns across sites so that underlying principles can be found. This approach to cross-project analysis is particularly useful when projects differ greatly in their structure and objectives. NSF's Preparing Future Faculty program, for example, included a variety of disciplines and differences in the number of departments involved, types of supports provided to students, and partnership arrangements. Such variation in focus, breadth, and depth challenged the team to find underlying structures and ideas that could be applied in additional settings.

## Longitudinal Evaluations

In many of our evaluations, we track important characteristics and outcomes of evaluands prior to and after program implementation. LACIO, for example, included tracking implementation of the CSR components through surveys of principals and teachers in a sample of nearly 1,000 schools over a five-year period. Also, several staff have conducted secondary data analysis of large-scale longitudinal databases. In the America's Choice – Arkansas evaluation, we used multilevel modeling of student achievement data over a three-year period in treatment and comparison schools. Dr. McCrary also recently completed analyses of the impact on student outcomes, including scores on the North Carolina End-of-grade tests, of a North Carolina school district's efforts to implement redistricting to achieve greater socioeconomic integration.

## Quantitative and Qualitative Research

**Quantitative.** WestEd staff are trained in collecting quantitative data, using secondary data, cleaning and maintaining databases, and using univariate and multivariate statistical techniques, including t-test, chi-squares, analysis of variance (ANOVA), multivariate analysis of variance (MANOVA), multiple regression, logistic regression, repeated measures, discriminant function analysis, factor analysis, growth curve modeling, latent class analysis, and multilevel modeling. For example, the Schools Attuned program evaluation relied on chi-square and t-tests to assess differences between treatment and comparison groups and cluster analysis to identify teachers implementing the program. WestEd staff have also applied multilevel modeling to address evaluation questions, including in the America's Choice – Arkansas study. We have also used Hierarchical Generalized Linear Modeling to estimate the probability that youth with disabilities in their last year of high school will attend two- or four-year colleges or universities.

**Qualitative.** WestEd staff conduct interviews, focus groups, classroom observations, observations of professional development, and document reviews in executing effective evaluations, as called by the design. We have conducted interviews and focus groups with students, parents, teachers, school and district administrators (including superintendents and their cabinet members), regional and state education directors, and education partners and consultants, including foundation staff and technical assistance providers. We employ both open- and close-ended protocols for interviews and focus groups, and conduct follow-up questions appropriate to the interviewee based on earlier responses. For example, we conducted a series of focus groups of almost 200 individuals including superintendents, district administrators, principals, teachers, students, and parents related to closing the achievement gap between ethnic groups of students and authored a report of findings for the California Department of Education. We conducted focus groups in the Chicago Public School system to evaluate Title I – IV services in private schools. Our evaluations also frequently involve classroom observations of instruction in elementary, middle, and high school classrooms with protocols we developed for the specific project as well as existing protocols. Finally, we have conducted observations of both professional development workshops; training, mentoring, and modeling sessions; co-teaching, and other methods for transferring knowledge to teachers, instructional coaches, area specialists, trainers, mentors, principals, researchers, and district and state staff.

## Performance Measurement

WestEd has been involved in performance measurement for the Government Performance and Results Act (GPRA) on four levels. First, we have helped NSF determine appropriate indicators for a variety of programs. WestEd's evaluation of the dissemination of products from NSF's Instructional Materials Development (IMD) program provided information and advice to NSF about appropriate GPRA indicators. The challenges were both conceptual and practical. For example, reliance on the adoption of the materials as an indicator of impact has two problems. First, adoption is an insufficient criterion for impact. If the materials are not implemented or do not affect student learning, then the indicator is meaningless for measuring impact. Second, commercial vendors' materials and information about use is proprietary, due to concerns about competition; as a result, collecting data about adoption and use is complicated. WestEd advised NSF on the most promising way of collecting such information, as well as methods for institutionalizing data gathering related to student outcomes as well as to adoption.

Second, as a recipient of federal funds for a variety of technical assistance and professional development projects, WestEd has been involved in working with colleagues to design and implement indicator systems. WestEd holds contracts for a Regional Educational Laboratory (REL), Eisenhower Math/Science Regional Consortium, Comprehensive Assistance Center (CAC), Regional Resource Center (RRC in special education), Equity Assistance Center (EAC), and Regional Technology Education Center (RTEC). Each of these is mandated to collect and report indicators as part of ED's response to GPRA. These programs work collaboratively with ED to develop appropriate indicators, and each collects data annually. Because of our involvement in indicator development and reporting on programs developed and implemented by other organizations (IMD, Ready To Learn) and for those we develop and implement (WREL, EAC, RTEC, etc.), we have particular insight into the problems and possibilities of performance measurement.

Third, WestEd evaluators monitor grant implementation for both the federal Charter Schools and Magnet Schools Programs. Monitoring activities focus on whether grantees implement their activities as proposed in their funding proposals, the quality of those activities, whether the project is achieving its objectives, and whether administrative and fiscal practices conform with federal grant requirements.

Lastly, as the evaluator of several federally-funded projects in school districts, we have supplied GPRA indicators for such projects as the Teacher Incentive Fund, Teaching American History, and 21<sup>st</sup> Century Community Learning Centers. Also, under contract to the U.S. Department of Education, we provided technical assistance to Transition to Teaching grantees to assist with their evaluation reports, which include GPRA indicators, and we house the Charter Schools Program monitoring Project, where we collect and review grantees submissions of evaluation reports and GPRA indicators.

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# Recommendations of the Florida Student Growth Implementation Committee: Background and Summary

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## 1. Introduction

Florida is transforming its teacher evaluation system. Under Florida's successful Race to the Top (RTTT) application, districts are committed to participating in the process of developing and using systems of educator evaluation that include student achievement growth measures. The 2011 Florida legislature also passed a law, very closely aligned with Florida's successful RTTT application, requiring that teachers in Florida be evaluated using student achievement data.

The Florida Department of Education (FLDOE) contracted with the American Institutes for Research (AIR) to assist in the development, evaluation, and implementation of a value-added model (VAM) to be used for teacher evaluation. The goal of the project is to provide a fair, accurate, and transparent VAM of teacher effectiveness that districts can incorporate into their teacher evaluation systems to bring about significant educational improvement and to provide useful information about student learning to individual teachers, principals, and other stakeholders.

AIR is working in partnership with the FLDOE and the Student Growth Implementation Committee (SGIC), using a collaborative and iterative process over the next four years to design, develop, analyze, and implement VAMs of student academic performance in Florida public schools at grade levels K–12.

The SGIC made a recommendation to the Commissioner of Education on the value-added model for teachers who teach students in grades and subjects assessed by the Florida Comprehensive Assessment Test (FCAT). As required by the June 1, 2011, deadline established by SB 736, the Student Success Act, Commissioner Eric J. Smith approved a model by announcing his conditional approval of the SGIC's recommendations; however, as part of his conditional approval, Commissioner Smith requested further clarification on the SGIC's "school component" recommendation. After the SGIC clarified that portion of the recommendation, Commissioner Smith fully approved the model on June 8, 2011.

### 1.1 Summary of Recommendation

The SGIC recommended, and the Commissioner accepted, a value-added model from the class of *covariate adjustment models* (described below). This model begins by establishing expected growth for each student. The expectation is estimated from historical data each year, and it represents the typical growth observed among students who earned similar test scores the past two years and who share several other characteristics. The expected growth increases for students enrolled in more than one course within a specific subject (e.g., mathematics).

The teacher's *value-added score* reflects the average amount of learning growth of the teacher's students above or below the expected learning growth of similar students in the state, using the variables accounted for in the model. In the model recommended by the SGIC, the teacher's *value-added score* is expressed as a sum of two components: one that reflects how much the school's students on average gained above or below similar students in the state (a "school component") and another that reflects how much the teacher's students on average gained above or below similar students within the school (a "teacher component"). The SGIC considered the proportion of the common school component that should be attributed to the teacher and determined that 50 percent of the common school component should be included in the teacher value-added score (a more comprehensive discussion of these issues is provided in Section 5.3). Hence, the recommended final value-added score for teachers is given by

$$\text{Teacher Value-Added Score} = \text{Unique Teacher Component} + .50 \times \text{Common School Component}$$

Ten covariates (variables) are used to establish the expected growth for students:

- The number of subject-relevant courses in which the student is enrolled
- Two prior years of achievement scores
- Students with Disabilities (SWD) status
- English language learner (ELL) status
- Gifted status
- Attendance
- Mobility (number of transitions)
- Difference from modal age in grade (as an indicator of retention)
- Class size
- Homogeneity of entering test scores in the class

The inclusion of these control covariates established expected student scores based on typical growth among students who are similar on these characteristics.

More technically, we can describe the model with the following equation:

$$y_i = \mu + \sum_{g=1}^G \beta_g x_{ig} + \sum_{j=1}^J \beta_j x_{ij} + \theta_k x_{ik} + \omega_m x_{im} + \varepsilon_i$$

where  $y_i$  denotes the test score for student  $i$ ,  $\beta_g$  is the coefficient associated with  $g^{th}$  prior test score,  $\beta_j$  is the coefficient associated with covariate  $j$ ,  $\theta$  is the common school component of school  $k$  assumed  $\theta \sim N(\mu, \sigma_\theta^2)$ ,  $\omega$  is the effect of teacher  $m$  in school  $k$  assumed  $\omega \sim N(\mu, \sigma_\omega^2)$ , and  $\varepsilon$  is the random error term assumed  $\varepsilon \sim N(0, \sigma_\varepsilon^2)$ . The school and teacher effects were treated as random effects, and the teacher- and school-specific values are empirical Bayes estimates.

The model estimated recognizes that all test scores—both the dependent variable and the independent variables—are measured with finite precision, and the magnitude of precision varies across the scale of

test scores. A subsequent technical paper will more fully describe the model and estimation of its parameters.

## 1.2 Organization of This Report

The remainder of this report proceeds in five sections:

- Section 2 summarizes the structure, organization, and role of the SGIC.
- Section 3 describes the classes of models initially considered by the SGIC and summarizes the SGIC's decisions.
- Section 4 describes the variants of the covariate adjustment models and the difference model considered by the SGIC for further evaluation, along with the specific covariates considered for inclusion.
- Section 5 describes the information reviewed by the SGIC to evaluate the models and their ultimate selections.
- Section 6 is the appendix.

A technical report to be released in August 2011 will contain all the technical details needed to replicate the selected model.

## 2. Structure, Organization, and Role of the SGIC

The SGIC is one of eight committees established by the FLDOE to assist with the implementation of RTTT. Over 200 individuals applied to serve on the SGIC. In December 2010, the Commissioner of Education appointed 27 individuals to serve a four-year term on the SGIC.

The members of the SGIC are teachers, principals, parents, union representatives, superintendents, school board members, district administrators, and postsecondary faculty who contribute expertise in various teaching subjects and grades, educational administration at all levels, and measurement and assessment. The SGIC members represent Florida's diversity in culture, community, and region, and they will serve at the appointment of the Commissioner for the four-year term of the project. Sam Foerster, the associate superintendent in Putnam County, serves as the chair of the SGIC. A full membership list is provided in Section 6.1.

### 2.1. Role of the SGIC

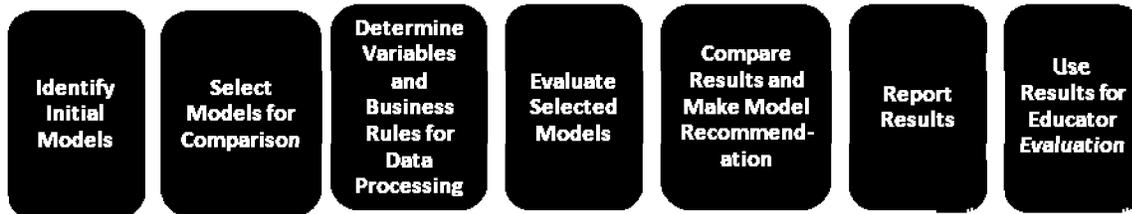
The purpose of the SGIC is to provide input, seek feedback, and present recommendations to the state for the development and implementation of teacher-level student growth models. The SGIC is not responsible for final decisions regarding the adoption of a state model or the district models. The process for providing input, feedback, and recommendations to the state will continue over the four years of the project.

The initial work of the SGIC focused around making a recommendation to the Commissioner of Education on the value-added model to be used for the evaluation of teachers teaching reading and math courses that are assessed with the Florida Comprehensive Assessment Test (FCAT). Figure 1

illustrates the steps in the process the SGIC followed for selecting a value-added model to recommend to the Commissioner.

To begin the process of selecting a value-added model, illustrated in Figure 1, AIR initially identified eight different value-added models representing the models currently in use in education research and practice. Descriptions, as well as data and policy implications, were presented to the SGIC for each of the models. During the presentation, the SGIC asked questions and began the discussion on the merits of each model for potential use in Florida. At the conclusion of the presentation, the SGIC chair facilitated a discussion that led to a unanimous SGIC decision to have AIR evaluate the differences model and the covariate model with several variants, as described in detail in Section 4. Section 3 provides a detailed description of the eight models initially considered by the SGIC and summarizes the SGIC's decisions on the models selected to move forward in the evaluation process.

**Figure 1. Process of Selecting a Value-Added Model**



The SGIC also determined which variables to include and data processing rules. In 2011, the Florida legislature passed SB 736, the Student Success Act, which expressly prohibited the use of gender, race/ethnicity, and socioeconomic status as variables in the model. In the same legislation, it was suggested that other variables, such as Students with Disabilities (SWD) status, English language learner (ELL) status, and attendance, be considered as factors in the model. The SGIC discussed the proposed variables and generated a list of additional variables to be considered. The SGIC then discussed each variable individually, determined whether the variable was appropriate for inclusion from a data and policy perspective, and provided a definition for each of the variables. Section 4 describes the variables that were included in the recommended model, as well as those that were considered but were not included in the recommended model. Also included is a summary of the discussion and rationale for the decision.

The SGIC also reviewed the business rules used for processing the data and confirmed that the rules were appropriate. Business rules consist of decisions about student attribution to teachers, how duplicate or missing data is managed, how growth expectations for students taking multiple courses or having multiple teachers are determined, etc. These rules are delineated in the technical specifications paper to be published in August 2011.

Though the law required the selection of a model by the Commissioner on June 1, 2011, the recommendation and selection of a statewide FCAT value-added model does not constitute the end point of the process. Over the next four years, FLDOE and AIR will continue to analyze the value-added model and seek feedback to make adjustments, possibly even before the first year of calculation using the spring 2012 statewide assessment results.

### **3. Overview of the Classes of Models Considered**

This section describes the eight initial value-added models presented to the FLDOE and SGIC for their consideration. AIR did not advocate for or against any particular model. Rather, AIR showcased a variety of models that would allow the SGIC to consider a broad range of model characteristics in selecting the model for Florida. The eight models presented here and to the SGIC were developed to highlight key differences among various approaches to value-added modeling and to allow the SGIC to consider a range of perspectives that exist within the literature and in practice.

Below, we describe the models initially considered by the SGIC and summarize the SGIC's judgments.

#### **3.1. Models Initially Considered by the SGIC**

The initial eight models were chosen to represent the diversity found in teacher value-added practice. These models vary across four dimensions:

- The form of the statistical model used to derive the value-added estimates
- The extent to which the models include statistical controls for contextual factors often viewed as outside the control of teachers
- The extent to which past teacher effects remain constant or diminish over time
- The unit of measurement used to represent student achievement (e.g., scale scores versus student percentile ranks)

A brief discussion of each of these dimensions provides context for the differences and similarities among the eight models detailed below.

##### **3.1.1 Form of the Statistical Model**

Value-added models run from simple and transparent to quite complex and nuanced. While all VAMs attempt to estimate the systematic component of growth associated with a school or teacher, the complexity of the analysis used to accomplish this task varies considerably. In general, to measure growth, models control for the prior achievement of students in some way. The complexity of the model is determined by how models account for prior achievement, how the model estimates value-added

scores of school and teacher effects, and assumptions about the sustainability of school and teacher effects. While there are many different statistical approaches to value-added modeling, AIR grouped the approaches into two main classes for presentation to the SGIC: (1) typical learning path models and (2) covariate adjustment models.

### ***Typical Learning Path Models***

AIR dubbed the first class of models *typical learning path* models (more technically known as general longitudinal mixed-effects models). These models assume that each student has a “typical learning path.” Absent effects of schools or teachers, each student’s expected performance is a given number of points above the conditional average, with that number being estimated from multiple years of data. This number can be thought of as a student’s *propensity to achieve*. The model posits that schools and teachers can alter this learning path, increasing or decreasing the student’s path relative to the state mean.

One characteristic of these models is that they do not directly control for prior achievement. In fact, the control can be more accurately described as controlling for typical student achievement. As additional data accumulate, a student’s propensity to achieve can be estimated with more accuracy. This characteristic implies that, with each passing year, better estimates become available for past years (because the student’s typical learning path is estimated with increased precision over time).

Learning path models must make some assumptions about *how* teachers or schools impact a student’s propensity to achieve. Different analysts make different assumptions about the durability of a teacher’s effect on a student’s typical learning path. In Sanders’ Tennessee Value-Added Assessment System (TVAAS) model, teacher effects are assumed to have a permanent impact on students. McCaffrey and Lockwood (2008) estimated a model that relaxes this assumption and lets the data dictate the extent to which teacher effects decay over time. Indeed, in an experiment in Los Angeles, Kane et al. (2008) found that teacher effects appeared to dissipate over the course of about two years.

### ***Covariate Adjustment Models***

The second class of models, covariate adjustment models, directly controls for prior student scores. These models can treat teacher effects as either fixed or random. Unlike the first class of models, covariate adjustment models directly introduce prior test scores as predictors in the model. Thus, covariate models directly control for past achievement whereas typical learning path models control for a “propensity to achieve” over time, which is estimated from past and current achievement. To obtain unbiased results, covariate adjustment models must account for measurement error introduced by the inclusion of model predictors (prior student achievement). Two widely used methods for accounting for the measurement error in regression analyses include modeling the error directly (as in structural equation models or errors-in-variables regression) and an instrumental variable approach, which uses one or more variables that are assumed to influence the current year score, but not prior year scores, to statistically purge the measurement error from the prior year scores.

### 3.1.2 Statistical Controls for Contextual Factors

Both learning path and covariate adjustment models can vary in the extent to which they control for contextual factors (e.g., student, classroom, and school characteristics). The previous section described how each of the main classes of models controls for prior student achievement. Controlling for prior student achievement is both qualitatively different from controlling for other student characteristics and statistically necessary to obtain valid estimates of teacher value-added because students are not sorted randomly into districts, schools, and classes. Rather, there are purposive selection mechanisms that cause certain teachers to encounter certain students in their classrooms. These mechanisms include parent selection of schools and teachers; teacher selection of schools, subjects, and sections; and principal discretion in assigning certain students to certain teachers. All of these selection factors cause significant biases when not addressed in models that estimate teacher value-added.

Unbiased estimates of teacher value-added require that factors that influence both selection of students into particular classes *and* current year test scores be statistically controlled. Many value-added models assume that the only selection factor that is relevant to the outcome (the student's posttest score) is the student's prior test score. Such models assert that effectively controlling for that score leaves the student assignment to classrooms conditionally independent of the posttest score. This, of course, assumes the use of appropriate statistical methods that facilitate unbiased control for prior test scores. Others models incorporate controls for additional variables thought to influence selection and outcomes.

The empirical evidence is mixed on the extent to which student characteristics other than score histories remain correlated with test scores after controlling for prior test scores. Ballou, Sanders, and Wright (2004) find that controlling for student-level characteristics makes little if any significant difference in model estimates, and McCaffrey et al. (2004) report similar findings under most conditions. These findings are consistent with the view that durable student characteristics associated with race, income, and other characteristics are already reflected in prior test scores, such that controlling for the prior test scores controls for any relevant impact of the factors proxied by the measured characteristics. In contrast, when student factors are aggregated to school or classroom levels, they sometimes reveal a significant residual effect (Raudenbush, 2004; Ballou, Sanders, and Wright, 2004). In other words, school or classroom characteristics (e.g., high percentage of students with IEPs) may explain additional variance in students' posttest scores independently beyond students' individual characteristics accounted for by their prior test scores. Raudenbush interprets this as potentially reflecting a peer effect—an interpretation with which Sanders takes issue. The significance of the effect of aggregate student characteristics at the classroom or school level on student learning should not be dismissed. If schools with highly disadvantaged student populations are systematically served by less effective teachers, the data would reveal significant associations between aggregated characteristic measures and growth or value-added. To the extent that any of these characteristics are related to true effectiveness, true teacher effectiveness really does vary with student characteristics, and correlated variation of estimated teacher value-added is not the consequence of uncontrolled selection bias but rather a reflection of these true differences in teacher effectiveness.

### 3.1.3 Durability of Teacher Effects

As noted above, typical learning path models require an assumption about the durability of the impact of teachers on a student's learning path. Popular value-added models vary in their assumptions about how and whether teacher effects decay over time. In Sanders' Tennessee Value-Added Assessment System (TVAAS) model, teacher effects are assumed to have a permanent impact on students. McCaffrey and Lockwood (2008) estimated a model that relaxes this assumption and lets the data dictate the extent to which teacher effects decay over time. In an experiment in Los Angeles, Kane et al. (2008) found that teacher effects appeared to dissipate over the course of about two years.

Covariate models generally do not require assumptions about the durability of teacher effects. This is because they explicitly establish expectations based on prior achievement by including prior test scores as a covariate, rather than the more abstract "propensity to achieve" estimated in learning path models.

### 3.1.4 Unit of Measurement for Student Achievement

A growing number of states have adopted variants of the Colorado growth model (Betebenner, 2008). This model is entirely normative, replacing test scores (which are used with the models described previously) with in-state percentile ranks. This model has the advantage of not relying on a potentially flawed vertical scale. However, this model sacrifices the ability to establish anything but normative criteria. For example, if students across the state made little progress in middle school mathematics, a student who remained at the 50<sup>th</sup> percentile from one year to the next could conceivably be losing proficiency. In particular, that student, while keeping up with similar peers near the middle of the score distribution, could be forgetting what he or she had learned previously. Thus, the Colorado growth model examines students' growth relative to their peers rather than absolute growth in their own learning.

Betebenner's (2008) model uses quantile regression to estimate student growth curves in the percentile metric. While there are many approaches to estimating the quantile functions, Betebenner and colleagues use a parametric method based on an assumed curve.

### 3.1.5 Initial Models Presented to the SGIC

Eight initial models were presented to the SGIC for the committee's consideration. These models varied on the four modeling specifications described above—namely, the form of the statistical model, the use of contextual control variables, the durability of teacher effects, and the unit of measurement. Below we describe the major characteristics of each model presented to the SGIC in April 2011. The first four models are examples of typical learning path models, and the second four models are examples of covariate adjustment models.

### 3.1.6 Learning Path Models

#### *Model 1: Similar to the Sanders Model*

Model 1 is similar to Sanders' Tennessee Value-Added Assessment System (TVAAS) model, which assumes that teachers have a permanent impact on students. This model is often referred to as a layered model because the impact of teachers is thought to "layer" on top of the impact of prior

teachers, permanently altering a student’s propensity to learn. Table 1 describes the specifications for model 1, the Sanders model relative to the four considerations described above.

**Table 1. Model 1 Specifications**

Dimension	Model Specifications
Form of the Statistical Model	Typical learning path model that estimates the amount of learning growth systematically associated with the teacher, controlling for a student’s typical performance over time. Teacher effects are modeled as random effects.
Use of Contextual Control Variables	No contextual control variables are used.
Durability of Teacher Effects	Teacher effects are assumed not to decay with time.
Unit of Measurement	Test scores (i.e., interval measures of student achievement)

***Model 2: Similar to the Rand Model***

The second model presented to the SGIC was similar to the one developed by McCaffrey and Lockwood (2008) and is typically referred to as a variable persistence model (referring to the possibility that teacher effects do or do not persist over time). The model is similar to the Sanders model except that it does not assume that teacher effects on a student layer upon each other year after year. Instead, the impact of each teacher is thought to dissipate over time. Table 2 summarizes the specifications of this model relative to the four dimensions.

**Table 2. Model 2 Specifications**

Dimension	Model Specifications
Form of the Statistical Model	Typical learning path model that estimates the amount of learning growth systematically associated with the teacher, controlling for a student’s typical performance over time. Teacher effects are modeled as random effects.
Use of Contextual Control Variables	No contextual control variables are used.
Durability of Teacher Effects	Teacher effects on a student can vary over time and are directly estimated from the data (rather than being assumed to be constant, or persist, over time).
Unit of Measurement	Test scores (i.e., interval measures of student achievement)

***Model 3: Hybrid Model 1***

Model 3, the first of two hybrid models presented to the SGIC, is nearly identical to the Rand model, with the notable exception that teacher effects are estimated as fixed rather than random effects. Fixed effects explicitly model teacher effects, estimating a parameter for each teacher, but they can be computationally burdensome. In contrast, random-effects models simply estimate the mean and variance of the (presumably normal) distribution of teacher effects. It is not until the model estimation is complete that the estimated distribution of effects and the observed data for teachers are combined

to infer a specific effect for each teacher. As with the Rand model, teacher effects are allowed to decay over time. The specifications of this model are presented in Table 3.

**Table 3. Model 3 Specifications**

Dimension	Model Specifics
Form of the Statistical Model	Typical learning path model that estimates the amount of learning growth systematically associated with the teacher, controlling for a student’s typical performance over time. Teacher effects are modeled as fixed effects.
Use of Contextual Control Variables	No contextual control variables are used.
Durability of Teacher Effects	Teacher effects on a student can vary over time and are directly estimated from the data (rather than being assumed to be constant, or persist, over time).
Unit of Measurement	Test scores (i.e., interval measures of student achievement)

**Model 4: Hybrid Model 2**

The second hybrid model is also similar to model 2 (the Rand model), with the exception that the model controls for additional characteristics of the student, school, or class. Model 4 models random teacher effects whose durability over time is estimated directly from the data. Table 4 summarizes the model specifications for model 4.

**Table 4. Model 4 Specifications**

Dimension	Model Specifics
Form of the Statistical Model	Typical learning path model that estimates the amount of learning growth systematically associated with the teacher, controlling for a student’s typical performance over time. Teacher effects are modeled as random effects.
Use of Contextual Control Variables	Student characteristics and contextual variables are included in the model.
Durability of Teacher Effects	Teacher effects on a student can vary over time and are directly estimated from the data (rather than being assumed to be constant, or persist, over time).
Unit of Measurement	Test scores (i.e., interval measures of student achievement)

**3.1.7 Covariate Adjustment Models**

**Model 5: Similar to the Meyer Model**

The fifth model, similar to the Meyer model (Meyer, 1992; Meyer, 2010), estimates student growth as the amount a teacher’s typical student learns above and beyond that which is typical for students with similar characteristics, controlling for prior achievement. This model is the first of four covariate adjustment models—that is, these models include previous achievement (i.e., test scores) as model predictors. This type of model is generally considered more transparent and easier to implement than

the general longitudinal random effect models described in models 1 to 4. AIR proposed estimating this model with an errors-in-variables approach (as opposed to the instrumental variables approach typically used with the Meyer model). AIR suggested this method because it supports, but does not require, the inclusion of student characteristic variables (which are required in Meyer’s approach for calculating estimates of prior scores). This particular version of the Meyer model includes student characteristic variables (model 6 is a similar model but excludes student characteristic variables). Table 5 summarizes the model specifications for model 5.

**Table 5. Model 5 Specifications**

Dimension	Model Specifics
Form of the Statistical Model	Covariate adjustment model that directly controls for prior student achievement by including these variables as terms in the regression model.
Use of Contextual Control Variables	Student characteristics and contextual variables are included in the model.
Durability of Teacher Effects	Not applicable
Unit of Measurement	Test scores (i.e., interval measures of student achievement)

***Model 6: Hybrid Model 3***

Model 6 estimates the same model as model 5 (the Meyer model)—that is, it estimates the amount of learning growth systematically associated with a teacher but excludes student characteristic variables from the model. A comparison of models 5 and 6 would show whether including student-level characteristics changed the estimates of teacher effects. Table 6 summarizes the model specifications for model 6.

**Table 6. Model 6 Specifications**

Dimension	Model Specifics
Form of the Statistical Model	Covariate adjustment model that directly controls for prior student achievement by including these variables as terms in the regression model.
Use of Contextual Control Variables	No contextual control variables are used.
Durability of Teacher Effects	Not applicable
Unit of Measurement	Test scores (i.e., interval measures of student achievement)

***Model 7: The Differences Model***

The differences model is a variation of the model that AIR implemented statewide in Florida with the Foundation for Excellence in Education to select teachers for the Excellence in Teaching Award. Because this model does not estimate the relationship between prior and current year test scores, the model is not biased by the errors-in-variables problem inherent in covariate adjustment models. In contrast, this model uses difference scores that can be conceived as the measure obtained by subtracting the prior test score from the current one. This is mathematically equivalent to fixing the regression coefficient

associated with the prior test score to one. Model 7 is the most transparent model proposed. It allows for estimates of the systematic learning growth associated with a teacher, while requiring little in the way of sophisticated statistics or complex estimation. If this type of model were to yield estimates similar to those of more complex approaches, it may be the preferable model although a more complex model may be preferred to explicitly account for factors that are important to policymakers. The specifications for model 7 are presented in Table 7.

**Table 7. Model 7 Specifications**

<b>Dimension</b>	<b>Model Specifics</b>
Form of the Statistical Model	This is a covariate adjustment model. However, in contrast to models 5 and 6, this model fixes the model coefficient associated with prior achievement at 1.
Use of Contextual Control Variables	No contextual control variables are used.
Durability of Teacher Effects	Not applicable
Unit of Measurement	Test scores (i.e., interval measures of student achievement)

### 3.1.8 Quantile Regression Model

#### *Model 8: Similar to the Colorado Model*

Model 8 is different from all the previous models in that its objective is to develop normative tables for student growth (similar to the height and weight charts for children one may see in a pediatrician’s office). Furthermore, this model uses student percentile rank within the student’s grade as the dependent variable; all previous models have used the interval measure of a student’s scaled test score as the outcome measure. For this model, teacher effectiveness is measured as the typical growth percentile of a teacher’s students (relative to what would have been expected given expected growth curves). Effective teachers are identified as those whose students grow more than what would have been expected.

Normative measures of student growth estimate growth in students’ achievement relative to their peers. While it is possible to relate these normative estimates to actual scale score, doing so eliminates most of the motivation for estimating the inherently normative model. Table 8 summarizes the model specification for model 8.

**Table 8. Model 8 Specifications**

<b>Dimension</b>	<b>Model Specifics</b>
Form of the Statistical Model	This model is fit as a quantile regression model that predicts student growth conditional on a student’s past location within the distribution of student scores (percentile rank).
Use of Contextual Control Variables	No contextual control variables are used.
Durability of Teacher Effects	Not applicable
Unit of Measurement	In-state percentile ranks

The eight models were selected to demonstrate the variability in approaches to value-added modeling and (if recommended by the SGIC) to provide empirical evidence regarding the extent to which various model specifications (e.g., the inclusion or exclusion of student characteristics) would impact teacher effects. Table 9 provides a summary of the specifications across the eight models.

**Table 9. Summary of Specifications of Initial Proposed Models**

<b>Model</b>	<b>Form of Statistical Model</b>	<b>Teacher Effects</b>	<b>Contextual Control Variables</b>	<b>Durability of Teacher Effects</b>	<b>Unit of Measurement</b>
1	Typical learning path	Random	None	Sustained	Interval Scale
2	Typical learning path	Random	None	Variable Persistence	Interval Scale
3	Typical learning path	Fixed	None	Variable Persistence	Interval Scale
4	Typical learning path	Random	Included	Variable Persistence	Interval Scale
5	Covariate adjustment	Random	Included	N/A	Interval Scale
6	Covariate adjustment	Random	None	N/A	Interval Scale
7	Covariate adjustment	Fixed	None	N/A	Interval Scale
8	Covariate adjustment	Random	None	N/A	Percentile Rank

### 3.2 SGIC Considerations

The SGIC proceeded by ruling out models that did not meet their requirements. Discussions, codified in a series of resolutions, first ruled out the typical learning path models and then the percentile rank models, leaving the committee with the decision to consider a variety of covariate adjustment models, including the difference model.

#### 3.2.1. Eliminating Typical Learning Path Models

The SGIC began by considering the different classes of models—typical learning path models versus the covariate adjustment class of models. Discussion at the meeting favored the covariate adjustment models over the typical learning path models for the following reasons:

- SGIC members were less comfortable with the more abstract nature of the control for student achievement in the typical learning path model.
- SGIC members were not comfortable with the notion that better estimates of past teacher effect become available in the future, potentially altering past measures of teacher effect.
- The SGIC recognized the greater reliance that these models have on the interval properties of the measurement scale

First, recall that the typical learning path models control for a student’s “propensity to achieve” rather than directly controlling for his or her past performance. Past performance reveals the amount above or below a student’s peers the student is expected to perform in the absence of an exceptional teacher or school intervention. Value-added modeling estimates the extent to which teachers alter this learning path. However, some models assume that the teacher’s impact is permanent and does not diminish

over time, while others assume that teacher effects decay over time. These different assumptions have important implications for teachers' value-added scores. For example, a year with a particularly good teacher might forever increase expectations for a student, even for a student who might already be high-performing relative to his or her peers. Given these assumptions and the less tangible foundation for student expectations, the SGIC found learning path models less desirable.

Second, typical learning path models gain information about each student's learning path over time. Because the path is assumed constant over time (except for the impact of teachers or schools), more accurate estimates for past years become available each year. This implies that teacher evaluations could require ongoing revisions of prior assessments as these estimates become increasingly precise with each additional year of available data. These revisions could be problematic. For example, the SGIC spent some time discussing the hypothetical possibility that data collected subsequently would suggest that the previous dismissal of a teacher (based on prior value-added estimates) would be unwarranted after those estimates were updated with new data from subsequent years. These considerations again raised significant concerns about the use of learning path models.

Third, the SGIC recognized that the FCAT measurement scale, like all measurement scales, is neither perfect nor perfectly equated across grades. The learning path models rely quite heavily on the assumptions about equal measurement intervals across the range of the scale and across grades. Because of these concerns and those highlighted above, the SGIC elected not to use learning path models.

### **3.2.2. Eliminating Percentile Rank Models**

The SGIC considered the percentile rank model but did not favor its inherently normative nature. The percentile rank growth models generally rank students' growth and use aggregates of these percentile ranks as a measure of teacher or school effectiveness.

The SGIC was concerned that the standards expressed in percentile ranks would preclude the possibility that all teachers ever meet the standard. The growth standards would not have a straightforward expression on scale scores and would not easily connect to established proficiency levels.

For these reasons, the SGIC voted to eliminate percentile rank models from consideration.

### **3.2.3. Retaining Covariate Adjustment Models**

The SGIC voted to retain covariate adjustment models, including the differences model that can be considered a special case of such models. These variants and the considerations that led to them are described in the next section.

## **4. Specific Model Variants Estimated and Considered by the SGIC**

The SGIC wanted to evaluate the impact of four potential modeling decisions:

- What is the impact of including two prior years of achievement rather than one prior year of achievement?

- What is the impact of estimating the common school component (*school effect*) within the teacher value-added model?
- What is the impact of including different subsets of covariates?
- How do the more complex covariate adjustment models compare with the difference model?

One of the SGIC's critical endeavors involved identifying the covariates to include in the model (question 3). We discuss this below, followed by a description of the model variants estimated, evaluated, and presented to the SGIC.

#### **4.1 Selection of Covariates to Include in the Model**

VAMs are designed to mitigate the influence of differences among students in teachers' entering classes. Covariates intend to "level the playing field" so that schools and teachers do not have advantages or disadvantages simply as a result of the students who attend a school or are assigned to a class.

The most important control, theoretically and empirically, is prior student achievement scores. Students are not randomly sorted into schools or classroom. There are significant differences across schools and classrooms in the entering proficiency of students. A variety of mechanisms contribute to this phenomenon, including parent selection of schools and teachers; teacher selection of schools, subjects, and sections; and principal discretion in assigning certain students to certain teachers.

Unbiased estimates of teacher value-added do not require random assignment of students into classrooms. Instead, the effects of selection are mitigated when factors included in the model are those that (a) are not accounted for by pretest scores and (b) are associated with posttest scores after controlling for pretest scores.

The 2011 Florida legislature explicitly prohibited using the variables gender, race/ethnicity, and socioeconomic status in the model and suggested that variables such as Students with Disabilities status, English language learner status, and attendance be considered.

At the April 4 and 5 SGIC meeting at the University of Central Florida, the SGIC generated a list of potential variables for discussion. At the meeting, it was determined that specific student characteristics, including Students with Disabilities (SWD) status, gifted status, English language learner (ELL) status, and attendance, would be evaluated in these models as determined and defined by the SGIC. Several additional variables were discussed on an April 14 SGIC webinar that resulted in the inclusion of class size, age, mobility, school effect, and homogeneity of class.

When considering variables for inclusion in the model, the SGIC used the following framework to guide the discussion:

- Data are available and accurate.
- Discussion on variable inclusion:
  - Is it in the teacher's control?
  - Is it measured already by another variable?

- Is it explained by pretest data?
- Possible definitions

Below is a list of variables considered and approved by the SGIC that were *included* in the value-added models.

- Students with Disabilities (SWD) status
- English language learner (ELL) status
- Gifted status
- Attendance
- Mobility
- Difference from modal age in grade (as an indicator of retention)
- Class size
- Homogeneity of entering test scores in the class
- School effect

Below is a list of variables considered by the SGIC that were *excluded* from the value-added models:

- Response to Intervention (RTI) level (a method of early academic intervention to assist struggling students)
- Foster care status
- Rural schools
- Homework
- Teacher attendance
- Teacher experience
- Migrant status
- Homeless status
- School grades
- Availability of resources
- Course complexity
- Discipline and referral action

#### 4.1.1 Discussion and Summary of Variables

Although the SGIC considered a wide range of possible variables for inclusion in the VAMs, many variables were excluded for a variety of reasons. Specifically, four variables including Response to Intervention (RTI) level, foster care status, rural schools, and homework were not available when AIR conducted the evaluation for the results provided to the SGIC in May. Some SGIC members suggested that the FLDOE should consider beginning a consistent collection of these data, and, if that occurs, these variables should be reconsidered. In some cases, the data were available (e.g., teacher experience) although there were concerns about accuracy and/or whether the variable could be appropriately defined for use in the value-added models.

The SGIC elected to exclude teacher attendance and teacher experience from the models, but the committee recommended that AIR evaluate the relationship between teacher attendance and teacher value-added scores as part of the results presented to the SGIC in May 2011 for consideration. Additionally, after considering other variables, the SGIC eliminated homework, homeless status, and migrant status. Specifically, the SGIC expressed the belief that homework is within the teacher’s influence. Homeless status was believed to be too closely related to the legislatively prohibited socioeconomic status. Further, rather than measuring migrant status, the SGIC thought that including mobility would provide sufficient control.

The SGIC briefly considered school grades or other school resources (e.g., computer resources) as a covariate in the VAM but elected to exclude these measures because the data available were insufficient. The SGIC also considered including a measure of course complexity but decided not to include it in the model. Additionally, although data were available for discipline and referral action, the SGIC excluded this variable because of inconsistency in reporting and because some SGIC members believed that the variable is teacher-controlled.

**4.1.2 Testing SGIC-Approved VAMs**

The SGIC granted AIR the authority to test all the discussed models and to develop variations of the models (with different subsets of control variables) to address the sensitivity of teachers’ value-added scores to different model specifications.

AIR configured the variables into three sets including a set that excluded all covariates other than baseline performance (“none”), a set that included an abbreviated list of covariates (“few”), and a set that included the full list of approved covariates (“many”). Table 10 summarizes the variables in each of these groups. The variables in the abbreviated covariate list were those that the SGIC were most committed to including. The full covariate list included these same variables, as well as the rest of the variables of interest to the SGIC. Together, these three groups provide a test of the sensitivity of teachers’ value-added scores when different subsets of covariates are included in the model.

**Table 10. Covariates Included in Each Set**

<b>No Covariates Other than Baseline Performance Data (“None”)</b>	<b>Abbreviated Covariate List (“Few”)</b>	<b>Full Covariate List (“Many”)</b>
The number of subject-relevant courses in which the student is enrolled	The number of subject-relevant courses in which the student is enrolled	The number of subject-relevant courses in which the student is enrolled
Prior years of achievement scores	Prior years of achievement scores	Prior years of achievement scores
	Students with Disabilities (SWD) status	Students with Disabilities (SWD) status
	English language learner (ELL) status	English language learner (ELL) status
	Gifted status	Gifted status

No Covariates Other than Baseline Performance Data (“None”)	Abbreviated Covariate List (“Few”)	Full Covariate List (“Many”)
	Attendance	Attendance
		Mobility (number of school transitions)
		Class size
		Homogeneity of entering test scores in the class
		Difference from modal age in grade (as an indicator of retention)

## 4.2. Overview of Models Compared

To address the four questions outlined at the beginning of this section, AIR estimated six variants of the covariate adjustment model and the differences model. The particular variants were designed to offer key comparisons to address the questions raised by the SGIC. These variants are described in Table 11.

**Table 11. Summary of Covariate Adjustment Models Estimated**

Number of Scores from Prior Years	Other Covariates Included	Teacher Only	Teacher and School
1 Prior Year Only	None		Model 1
	Few	Model 2	
2 Prior Years	None		Model 3
	Few	Model 4	Model 5
	Many		Model 6

This configuration, along with the differences model, allowed for independent comparisons that addressed each of the questions. Table 12 summarizes the model comparisons that supported inquiry into each of the guiding issues.

**Table 12. Summary of Model Comparisons Addressing Each Question**

Question	Models Compared
What is the impact of including two prior years of achievement rather than one prior year of achievement?	Models 1 and 3
What is the impact of including separately estimating the common school component ( <i>school effect</i> ) within the teacher value-added model?	Models 2 and 4
What is the impact of including different subsets of covariates?	Models 4, 5, and 6
How do the more complex covariate adjustment models compare with the differences model?	Any model compared to the differences model

## 5. Information Reviewed by the SGIC to Evaluate Models

In this section we describe the criteria by which the SGIC evaluated the various models in order to narrow their choice. These criteria were established for the SGIC, and empirical data regarding each model were presented so the SGIC could judge each model in terms of the specific criteria.

The SGIC was provided with two lenses by which they could compare the models:

1. Empirical data showing how the models compared on multiple criteria
2. Impact data showing some real-world relationships of the VAM results with other factors

In this section we describe the results that were provided to the SGIC and summarize their reactions.

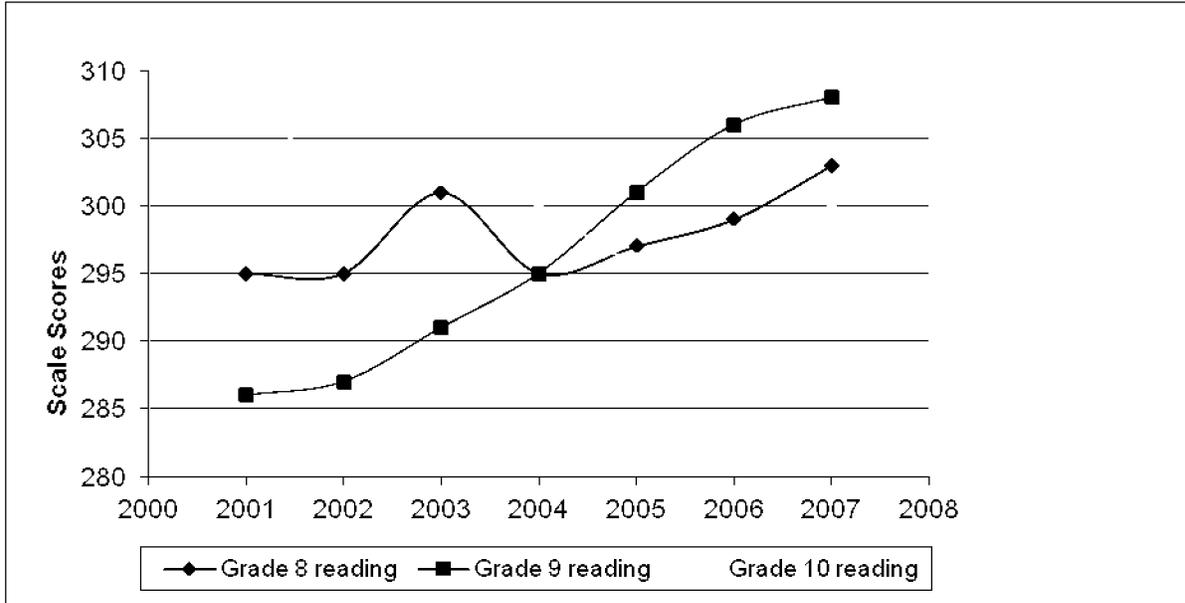
### 5.1. Characteristics of the FCAT Assessment

Upon initial review of the FCAT data, we observed two key phenomena that supported the choice of a covariate adjustment model by grade. First, when examining the vertical scale, we observed abnormally large changes in the mean performance of students within a grade over time (e.g., see grade 8 reading scores in Exhibit 1). This suggests that linking error may be large and could be conflated with teacher effects. A possible consequence is that any model that explicitly uses the student-level gains as the outcome variable could exaggerate (or understate) true gains in learning as a result of the linking error associated with the test scale.

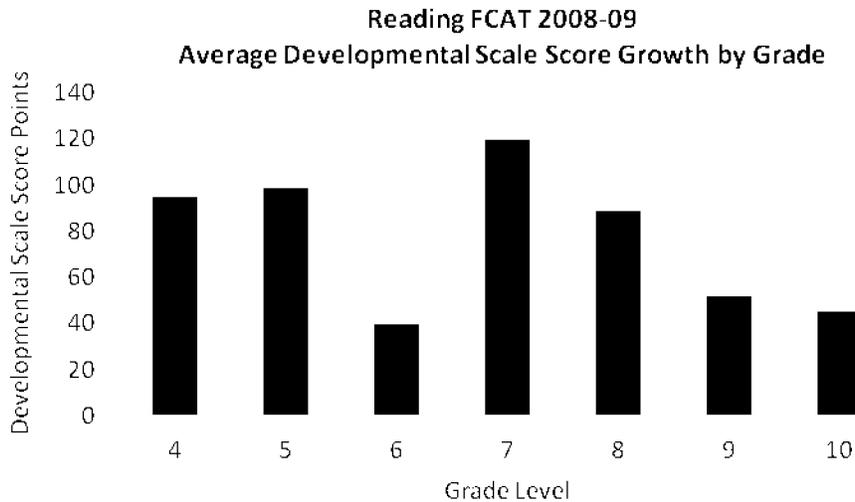
Second, the equal interval property of the scale across grades was questionable. For instance, students in grade 10 reading have, on average, much smaller learning gains than students in grade 7 reading (see Exhibit 2). If the model estimated teacher effects simultaneously for all grades, grade 7 teachers could appear to produce higher value-added than grade 10 teachers as a result of the test scale and not as a result of real instructional practices.

Both of these issues led AIR and the SGIC to focus attention on the covariate adjustment models, which do not require a vertical scale and may be more robust to the year-to-year changes in test performance and for the VAM to be computed on a grade-by-grade basis.

**Exhibit 1. Reading FCAT Average Scale Score Year by Year**



**Exhibit 2. Reading FCAT 2008-09 Average Developmental Scale Score Growth by Grade**



**5.1.1. Summary of Simulations**

Prior to implementing any of the models, AIR completed a series of simulations to examine the bias and adequacy of the model-based standard errors. Although these simulations will be extensively detailed in a technical report, here we note that for each model we created 200 data sets with known model parameters. We tested each of the models to assess whether they recovered the true values of the parameters and whether they produced standard errors that captured the real-world variability of the

parameters. For all models, we observed no bias, and we found that the model-based standard errors were adequate representations of the observed sampling variability.

### **5.1.2. Similar Composition of Classrooms**

The FCAT data provide the links of students to classrooms that are necessary to support the implementation of the VAM. However, because some teachers have classrooms that consist of virtually all of the same students as another class, the estimates of fixed teacher effects demonstrated some instability. When the composition of two classrooms is identical, the matrix used for VAM computation becomes singular (meaning that the VAM cannot compute teacher effects). As the proportion of students shared between two teachers' increases, the estimates become less stable. When a random effects framework is used these issues do not affect estimation (because individual teacher effects are not estimated, but instead are calculated post hoc after estimation).

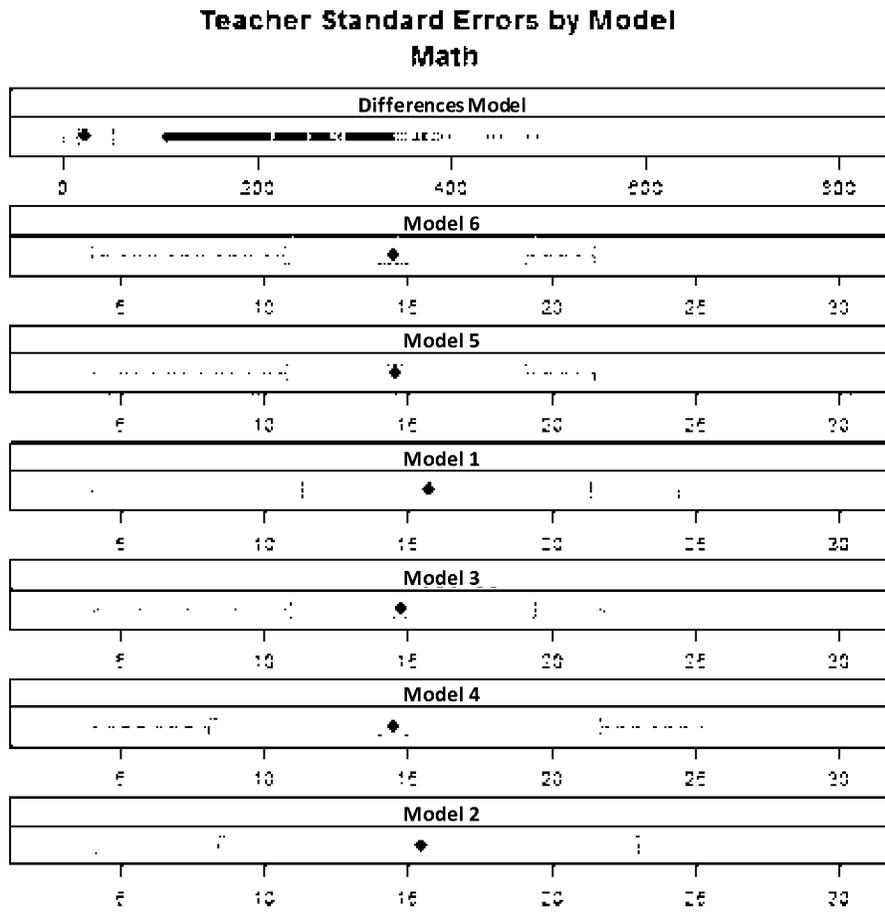
### **5.1.3. Precision of the Teacher Effects**

AIR also examined the statistical precision with which the various models estimated teacher effects. Obviously, teacher effects measured with greater precision are preferred over teacher effects measured with less precision, other things being equal. To assess the precision of the estimates, we examined the standard errors of the teacher effects. Exhibits 3 and 4 show the distribution of teacher effect standard errors in grade 7 math and reading across all models estimated. The black dot in the plot is the median standard error, and the box plot shows the 5<sup>th</sup>, 25<sup>th</sup>, 75<sup>th</sup>, and 95<sup>th</sup> percentiles. These visual displays are useful for making judgments on which model yields smaller standard errors, thus indicating teacher effects measured with greater precision.

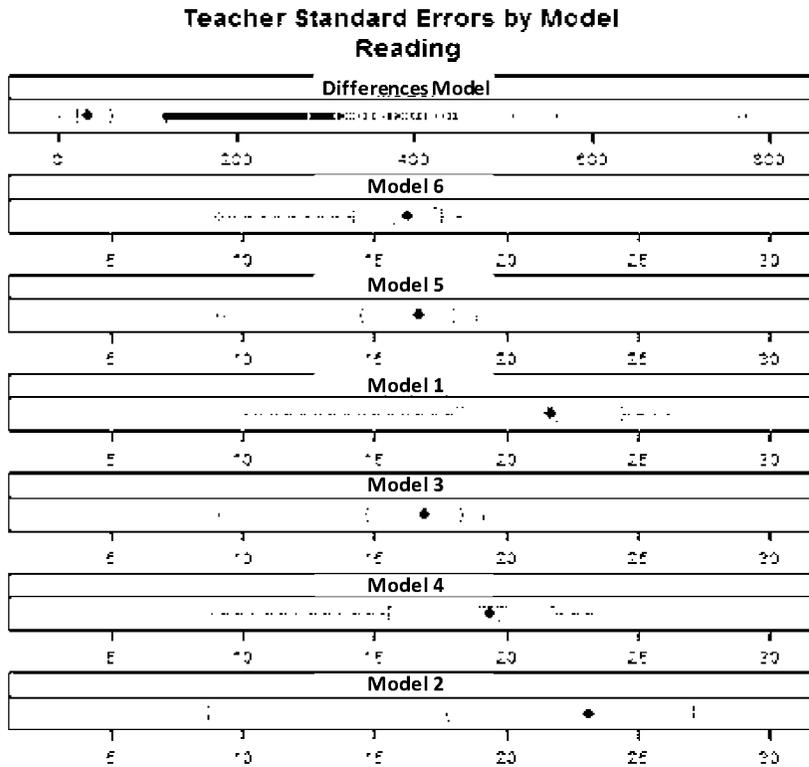
The plots show at least two important characteristics of the models the SGIC considered. First, note that the differences model is presented on a different scale. The differences model estimates larger absolute-value effects and has correspondingly larger standard errors.

Second, the models that include two prior test scores always provide more precise estimates of the teacher effects. This pattern is observed in both reading and math. Based on this criterion, the SGIC was able to narrow consideration of the models to those including two prior years of scores.

**Exhibit 3. Distribution of the Standard Error of Estimated Teacher Effects Under Eight Models in Math FCAT Grade 7**



**Exhibit 4. Distribution of the Standard Error of Estimated Teacher Effects Under Eight Models in Reading FCAT Grade 7**



**5.2. Impact Information**

The preceding discussion outlines the criteria by which the SGIC evaluated each VAM. Additionally, AIR provided the SGIC with impact data to illustrate the potential observed consequences of the various models, showing the extent to which expectations differed between student groups, as well as the correlations between the value-added scores and the various teacher factors. Specifically, the impact data included a review of these factors:

- Whether expectations for learning differ between
  - English language learners (ELL) and non-ELL students;
  - gifted and non-gifted students; and
  - students with different prior test scores.
- Relationship of teacher effects with
  - teacher experience;
  - teacher attendance (number of absences);
  - percentage of Students with Disabilities in a classroom;
  - percentage of ELL students taught in a classroom; and
  - highest teacher degree obtained.

Results presented to the SGIC demonstrate the following:

1. The models all showed a larger growth expectation for ELL students than for non-ELL students. AIR's and the SGIC's working hypothesis was that ELL students have lower initial scores because of their limited ability to comprehend the math and reading text. After one year of immersion, they seemingly perform better on the test because of their improved language comprehension. That is, they show larger gains presumably as a result of their improved ability to understand the test questions.
2. Non-gifted students showed larger growth expectations than gifted students. The SGIC believed that this could result from the test scale where gains at the top end may be more difficult to achieve (i.e., a ceiling effect).
3. The data showed a negative correlation between growth expectations and prior test score. As a consequence, students in the lowest quartile tend to have slightly larger growth expectations than students in higher quartiles.
4. All of the models produced estimates that had little or no correlation with other factors examined, including teacher absenteeism and experience. Two nontrivial correlations were observed: Teachers teaching high proportions of ELL students and teachers with high proportions of very low-performing students were more likely to have high value-added scores (correlations are on the order of  $-0.1$  to  $-0.2$ ).

Although these results provided added context for interpreting the VAM results presented to the SGIC, none of these findings raised significant concerns. The SGIC concluded that these findings were plausible and reflected real-world phenomena.

### 5.3. Attribution of the Common School Component of Growth to Teachers

The VAM applied to the FCAT data decomposes total growth above expectation among a teacher's students into a common school component and a teacher component. While all parameters are estimated simultaneously, it is a useful heuristic to consider the levels separately. First, student-level prior test scores (i.e., the lags) and the covariates are used to establish a statewide expectation. This expectation is the score a student is expected to have, given his or her prior test score history and characteristics.

However, schools exhibit differential amounts of growth. The model cannot differentiate whether these differences are due to independent factors at the school (e.g., particularly effective leadership) or simply due to the sorting of high-growth teachers into some schools rather than others. We refer to this as the "common school component" of student growth. The common school component therefore describes the amount of learning that is typical for students in each school that differs from the statewide expectation.

Teacher effects can be interpreted as deviations from the common school component of learning. In the models where the common school component is not estimated, the common school component is implicitly attributed to the teacher.

Whether or not to estimate the common school component and teacher effects was a source of significant discussion for the SGIC, and it is a source of significant discussion in the value-added

literature. If school level factors exert an independent influence on student learning, then ignoring the school component implicitly attributes the effect of those forces to teachers. Such factors might include particularly effective (or ineffective) school leadership, curriculum, resources, peer influences, or community factors. Committee members considered the possibility that such factors, if attributed to the teachers, might create an incentive for teachers to avoid struggling schools.

The committee also considered the possibility that all systematic between-school differences might be due entirely to the different mix of teachers at the school. If that were the case, *not* attributing the school component to the teachers could create adverse incentives. For example, working together to improve the teaching of all teachers would result in a higher school component, for which the teachers would be denied credit.

The committee agreed that in the real world the school component probably reflected a mix of teacher impact and school-level factors that are independent of the teachers.

After significant discussion, as well as with a second follow-up meeting, the SGIC determined that some of the school effect should be attributed back to teachers. The proportion allocated back was put to vote and agreed upon by the SGIC as 50 percent. Hence, teacher value-added scores are determined using the following calculation:

$$\text{Teacher Value Added Score} = \text{Unique Teacher Component} + .50 * \text{Common School Component}$$

This formula simply recognizes that some of the school effect is a result of teacher actions within their schools and that they should receive some credit in their overall value-added effects.

## 5.4. Conclusion

In total, the SGIC considered an extensive amount of data regarding the VAMs applied to the FCAT data and its impact on estimating teacher effects. By using the previously described criteria and impact data as well as policy discussions and professional judgment, the SGIC decided to use Model 6, which included teacher and school effects, two prior test scores, and the full set of additional covariates. The SGIC's final recommendation is based on a comprehensive review of the data and their professional insights into which model will best serve the policy aims set forth in state law.

## 6. Appendix

### 6.1. Florida's Student Growth Implementation Committee (SGIC) Members

- **Sam Foerster**, Chair, Associate Superintendent, Putnam
- **Sandi Acosta**, Teacher (6th and 7th Science), Dade
- **Ronda Bourn**, Consortium Administrator
- **Anna Brown**, Representative for Superintendent MaryEllen Elia, Hillsborough
- **Joseph Camputaro**, Teacher (Elementary/Reading), Lee
- **Julia Carson**, Teacher (HS AP History, Geography), Volusia
- **Cathy Cavanaugh**, Postsecondary, UF
- **Doretha Wynn Edgcomb**, School Board, Hillsborough
- **Gisela Field**, District Administrator – Assessment, Dade
- **Stacey Frakes**, Teacher (3rd – 5th ESE), Madison
- **Arlene Ginn**, Teacher (7th Science), Orange
- **Stephanie Hall**, School-based Administrator (ES), Brevard
- **Lavetta B. Henderson**, Postsecondary, FAMU
- **Eric O. Hernandez**, Teacher (Honors Math), Dade
- **Linda J. Kearschner**, Parent, Pinellas
- **Latha Krishnaiyer**, State PTA
- **John le Tellier**, Teacher (Music), Marion
- **Nicole Marsala**, Teacher (8th History), Broward
- **Lisa Maxwell**, Local Union, Broward
- **Lawrence Morehouse**, Business
- **Jeff Murphy**, District Administrator - Student Services, Virtual School
- **Maria Cristina Noya**, School-based Administrator (HS), St. Lucie
- **Pam Stewart**, Assistant Superintendent, St. Johns
- **Lance J. Tomei**, Postsecondary, UCF
- **Gina Tovine**, District Administrator – HR, Levy
- **Lori Westphal**, Teacher (ESE), Lake
- **Tamar E. Woodhouse-Young**, Teacher (High School Math), Duval

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## **2011-2012: Value-Added Model Frequently Asked Questions**

Assessment, Research, and Data Analysis  
Apr. 2012, version 1.4

### **Why is there going to be a new standard for teacher evaluations?**

According to the Student Success Act, which is Florida law, and Race to the Top, teacher evaluations are, in part, to be based on the performance of students. The law indicates that at least 50% of a performance evaluation must be based upon data and indicators of student learning growth. The State of Florida decided to develop a Value-Added Model to meet the above requirement.

### **What is a value added model (VAM)?**

A Value-Added Model (VAM) analyzes student test data and ties it back to teaching. It is a statistical model that attempts to measure how much a teacher impacts the student's learning over the course of a year.

### **Who decided on Florida's VAM?**

The Florida Department of Education (FLDOE) convened a committee of stakeholders called the Student Growth Implementation Committee (SGIC) to select the type of VAM model that will be used, and the factors that should be adjusted for in the selected model. Technical expertise in VAM was provided through a contract with American Institutes for Research (AIR). The SGIC was made up of 27 members from across the state including teachers, school administrators, and District administrators, among others. The SGIC explored 8 types of models for FCAT Reading and Mathematics and chose a model that they felt worked best for both. This model was approved by Florida's Commissioner of Education.

### **How does a VAM work?**

A VAM calculates the expected amount of growth a student should make in a given year. The expected growth, also called predicted growth, is adjusted for certain characteristics of students, classrooms and schools that are included in the model. Florida's VAM model attempts to "level the playing field" by accounting for differences in proficiency and other characteristics of students assigned to teachers in the State of Florida. Based on the data, the VAM will show whether students made the expected amount of growth, have made less growth than expected, or have made progress beyond expectations.

## **What characteristics of students and classrooms are included in the VAM to adjust expected scores in the FCAT Reading and Math Models?**

The following student characteristics are included:

- Up to 2 years of prior achievement data
- Number of subject relevant courses in which a student is enrolled
- Students with Disabilities (SWD) status
- English Language Learner (ELL) status
- Gifted status
- Attendance
- Mobility (number of transitions)
- Retention (measured by difference from the most common age in grade)

The following classroom characteristics are included:

- Class size
- Similarity of students prior test scores in the class

## **What characteristics of students are NOT included in the VAM?**

Gender, race, ethnicity and socio-economic status are not included in the VAM model, because Florida law, known as the Student Success Act, specifically prohibits their inclusion into the model.

## **How does a VAM sort out the teachers' contributions from the students' contributions?**

Because individual students are traced over time, each student serves as his or her own "baseline" or control, which purportedly removes much of the influence of the unvarying characteristics of the student, such as race, socioeconomic factors and things that are not measured, such as student motivation.

## **How is a VAM score computed?**

Statisticians use a student's prior test scores and the other student and classroom variables in the model to calculate what a student should score on the test. This is called the *predicted score* or *expected score*. Then, the student's *actual score* is compared to the predicted/*expected score*. The difference between a student's predicted/*expected score* and actual score is assumed to be due to the teacher and the school, since the model has adjusted for many student and classroom variables. By aggregating all of the individual student results, statisticians can estimate how much a teacher improved student achievement compared to how much a "typical" teacher would have improved student achievement.

## **How is VAM different from the typical way of measuring student performance by looking at student learning gains?**

VAM measures **adjusted growth**. VAM attempts to answer the question, “How much value did a teacher add to their student’s growth?” **Learning gains**, as used for school grades, measure changes in student scores from one year to the next without taking into account prior achievement or other student characteristics and without adjusting for student or classroom differences.

### **What assessments are used to calculate my VAM score?**

For 2011-12, VAM models have been developed by FLDOE for FCAT 2.0 Mathematics and Reading Tests, taking into account FCAT scores from the previous two years. Differences between students’ predicted/expected scores and actual scores on these assessments will be the basis for teacher VAM scores. Each teacher’s VAM score will be an aggregate of the students that they teach.

### **Can I know what my students expected scores are at the beginning of the school year?**

Statisticians use the terms “*expected*” and “*predicted*” in ways that are different from the ways non-statisticians use them. Florida’s VAM models do not actually predict into the future, but rather explain the past. Because statisticians need both the “before” and “after” test scores for each student to calculate each student’s predicted/expected score, the score cannot be determined at the start of the school year. Predicted/expected scores for each individual student are calculated after the scores of all other students in the State of Florida are known.

### **Are other VAM models going to be developed?**

Yes. A VAM is currently being developed for the Algebra End-of-Course (EOC) Assessment. Over the next few years, the plan is for additional VAMs to be developed for other EOCs (e.g., Biology, Geometry, US History, and Civics). FLDOE is reviewing other standardized tests (e.g., AP, IB, etc.) for possible VAM development.

### **How will the VAM scores be incorporated into the IPEGS evaluation system?**

VAM scores will be made comparable by standardizing them within grade level and subject area. A teacher’s aggregated VAM score will be converted to a percentile, similar to how a student’s SAT score is converted into a percentile. Percentile ranks will then be used to classify teachers for the student achievement component of teacher evaluations. This component will be incorporated into IPEGS as Performance Standard 1: Learner Progress and will make up 50% of a teacher’s overall performance evaluation, as required by the Student Success Act. The other 50% of a teacher’s overall evaluation will be based on IPEGS Standards 2 through 8

for teachers and 2 through 7 for Instructional Support Professionals and Student Services Professionals.

### **For the 2011-12 School Year**

#### **I am a fifth grade teacher and I teach both reading and math. Will I get 2 scores?**

Yes, you will receive a reading VAM score and a mathematics VAM score. However, the District will combine your scores and you will receive an aggregate score based on both your students' reading and mathematics growth.

#### **I don't teach language arts or mathematics. Will I still receive a VAM score?**

If you teach students who are required to take the FCAT 2.0 Reading subtest, you will be assigned a VAM score, if available, based on your students' reading performance. (Note: This is contingent upon the FLDOE producing these VAM scores.) If you do not teach students who took the FCAT 2.0 Reading subtest, you will be assigned a VAM score based on student reading performance at your school.

#### **I am an elementary teacher in the second grade and my students don't take the FCAT 2.0, will I still receive a VAM score?**

Yes. You will be assigned a VAM score based on student reading performance at your school.

iHEAT Initiative Management Plan: Timeline

Management Plan Year 1 (October 2012 – September 2013)													
Task/Activities	October	November	December	January	February	March	April	May	June	July	August	September	Responsible Party
Process School Board Agenda Item accepting grant award	X												Administrative Director, Professional Development
Establish budget in SAP system	X												Administrative Director, Professional Development/ Grants Management
Establish Advisory Committee	X	X											Administrative Director
Hire full-time Project Coordinator	X	X											Administrative Director
Conduct Advisory Committee Meetings		X		X		X		X		X		X	Project Coordinator
Finalize Letter of Understanding with UTD teacher’s union to institute project activities consistent with contract language	X	X	X										Administrative Director/ Project Coordinator/ Human Resources Staff/Labor Relations
Implement Communication Plan	X	X	X	X	X	X	X	X	X	X	X	X	Project Coordinator
Conduct outreach and orientation to iHEAT participating schools				X	X	X	X	X			X	X	Project Coordinator
Initiate advertising and recruitment for iHEAT Master Teachers				X	X	X							Project Coordinator, Human Resources Staff
Interview and Select iHEAT Master Teachers to be hired							X	X	X				Project Coordinator and designated screening committee and interview teams, Human Resources Staff, iHEAT participating school-site principals
Hire iHEAT Master Teachers									X	X	X		Project Coordinator/Site Principals/HR Staff
Conduct orientation and “front-load” professional development for iHEAT Master Teachers and school administrators, including IPEGS Observer training										X	X		Project Coordinator/ IPEGS Director (for IPEGS Observer Training)
Deploy iHEAT Master Teachers to iHEAT school sites											X	X	Project Coordinator, Human Resources Staff, iHEAT participating school-site principals
Initiate RFP for resource library of teacher evaluation observer training videos aligned with IPEGS Performance Standards and indicators	X	X											Administrative Director/Project Coordinator,
Review RFP responses and			X	X									Review Committee, Administrative

select vendor(s) for videos and technical support																			Director, Professional Development, Project Coordinator
Process School Board Agenda Item to award vendor contract as per RFP			X	X															Administrative Director, Professional Development, Project Coordinator,
Establish and implement IPEGS video development and alignment task force to work with vendor			X	X	X	X	X	X	X	X	X	X	X						Administrative Director, Professional Development. Project Coordinator, IPEGS Director
Review and approve vendor-provided videos for IPEGS rater training			X	X	X	X	X	X	X	X	X	X	X						Administrative Director, Professional Development. Project Coordinator, IPEGS Director
Process vendor payments										X	X	X	X						Project Coordinator
Process "Opt-in" applications from teachers at iHEAT participating schools									X				X	X					Project Coordinator
Prepare and submit required budget, activity, and other reports as required to DOE and other stakeholders			X	X	X	X	X	X	X	X	X	X	X						Project Coordinator
Work with project evaluator and TIF evaluator (as applicable) to support data collection and evaluation			X	X	X	X	X	X	X	X	X	X	X						Project Coordinator
Work with iHEAT Master Teachers to define school-site priorities for professional development										X	X	X	X						Project Coordinator/ iHEAT Site Principals
Participate in nationally-recognized, high-quality intensive leadership institute										X	X								Project Coordinator/ iHEAT Site Principals/and Assistant Principals
Develop initial plans for site-specific job-embedded professional development to support iHEAT participating teachers and school sites												X	X	X					iHEAT Master Teachers
Develop IPEGS Observation Schedule for each iHEAT participating school, including peer observations by iHEAT Master Teachers																		X	iHEAT Site Principals
Implement IPEGS Observation Schedule																		X	iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct formative evaluation observations																		X	iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct IPEGS Observations and peer support observations																		X	iHEAT Master Teachers
Conduct monthly iHEAT Team Meetings																		X	Project Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals

Management Plan Year 2 (October 2013 – September 2014)													
Task/Activities	October	November	December	January	February	March	April	May	June	July	August	September	Responsible Party
Conduct outreach and orientation to iHEAT participating schools (each year)				X	X	X	X	X					Project Coordinator
Review and approve vendor-provided videos for IPEGS rater training			X	X	X	X	X	X	X	X	X	X	Administrative Director, Professional Development, Project Coordinator, IPEGS Director
Process vendor payments									X	X	X	X	Project Coordinator
Process “Opt-in” applications from teachers at iHEAT participating schools								X			X	X	Project Coordinator
Conduct Advisory Committee Meetings			X			X			X			X	Project Coordinator
Prepare and submit required budget, activity, and other reports as required		X	X	X	X	X	X	X	X	X	X	X	Project Coordinator
Work with project evaluator and TIF evaluator (as applicable) to support data collection and evaluation		X	X	X	X	X	X	X	X	X	X	X	Project Coordinator
Define school-site and individual teacher priorities for professional development based on student data, staff observations, and staff evaluations	X	X	X	X	X	X	X	X	X	X	X	X	iHEAT Master Teachers / iHEAT Site Principals/ Project Coordinator
Develop plans for site-specific job-embedded professional development to support iHEAT participating teachers and school sites	X	X	X	X	X	X	X	X	X	X	X	X	iHEAT Master Teachers
Identify and access resources for professional development in response to needs evidenced in student data, staff observations, and staff evaluations	X	X	X	X	X	X	X	X	X	X	X	X	iHEAT Master Teachers
Develop and implement IPEGS Observation Schedule for each iHEAT participating school, including peer observations by iHEAT Master Teachers	X	X	X	X	X	X	X				X	X	iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct formative evaluation observations	X	X	X	X	X	X						X	iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct IPEGS Observations	X	X	X	X	X	X	X				X	X	iHEAT Master Teachers

and peer support observations																
Conduct IPEGS Inter-rater Reliability Training	X							X								Project Coordinator/ IPEGS Director/ External Evaluator
Participate in IPEGS Inter-rater Reliability Training	X							X								iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct monthly iHEAT Team Meetings	X	X	X	X	X	X	X	X					X	X	Project Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals	
Conduct quarterly iHEAT topical workshops and professional development			X			X			X					X	Project Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals	
Calculate and certify the incentive payments due to participants													X	X	Project Coordinator/Administrative Director	

Management Plan Year 3 (October 2014 – September 2015)														
Task/Activities	October	November	December	January	February	March	April	May	June	July	August	September	Responsible Party	
Conduct outreach and orientation to iHEAT participating schools (each year)				X	X	X	X	X						Project Coordinator
Process “Opt-in” applications from teachers at iHEAT participating schools								X			X	X		Project Coordinator
Prepare and submit required budget, activity, and other reports as required		X	X	X	X	X	X	X	X	X	X	X		Project Coordinator
Conduct Advisory Committee Meetings			X			X			X			X		Project Coordinator
Work with project evaluator and TIF evaluator (as applicable) to support data collection and evaluation		X	X	X	X	X	X	X	X	X	X	X		Project Coordinator
Define school-site and individual teacher priorities for professional development based on student data, staff observations, and staff evaluations	X	X	X	X	X	X	X	X	X	X	X	X		iHEAT Master Teachers / iHEAT Site Principals/ Project Coordinator
Develop plans for site-specific job-embedded professional development to support iHEAT participating teachers and school sites	X	X	X	X	X	X	X	X	X	X	X	X		iHEAT Master Teachers
Identify and access resources for professional development in response to needs evidenced in student data, staff observations, and staff	X	X	X	X	X	X	X	X	X	X	X	X		iHEAT Master Teachers

evaluations																			
Develop and implement IPEGS Observation Schedule for each iHEAT participating school, including peer observations by iHEAT Master Teachers	X	X	X	X	X	X	X	X									X	X	iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct formative evaluation observations	X	X	X															X	iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct IPEGS Inter-rater Reliability Training	X							X											Project Coordinator/ IPEGS Director/ External Evaluator
Participate in IPEGS Inter-rater Reliability Training	X							X											iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct monthly iHEAT Team Meetings	X	X	X	X	X	X	X	X	X								X	X	Project Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals
Conduct quarterly iHEAT topical workshops and professional development			X			X			X									X	Project Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals
Calculate and certify the incentive payments due to participants																	X	X	Project Coordinator/Administrative Director

Management Plan Year 4 (October 2015 – September 2016)													
Task/Activities	October	November	December	January	February	March	April	May	June	July	August	September	Responsible Party
Conduct outreach and orientation to iHEAT participating schools (each year)				X	X	X	X	X					Project Coordinator
Process “Opt-in” applications from teachers at iHEAT participating schools								X			X	X	Project Coordinator
Prepare and submit required budget, activity, and other reports as required		X	X	X	X	X	X	X	X	X	X	X	Project Coordinator
Conduct Advisory Committee Meetings			X			X			X			X	Project Coordinator
Work with project evaluator and TIF evaluator (as applicable) to support data collection and evaluation		X	X	X	X	X	X	X	X	X	X	X	Project Coordinator
Define school-site and individual teacher priorities for professional development based on student data, staff observations, and staff evaluations	X	X	X	X	X	X	X	X	X	X	X	X	iHEAT Master Teachers / iHEAT Site Principals/ Project Coordinator
Develop plans for site-	X	X	X	X	X	X	X	X	X	X	X	X	iHEAT Master Teachers



collection and evaluation																
Define school-site and individual teacher priorities for professional development based on student data, staff observations, and staff evaluations	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	iHEAT Master Teachers / iHEAT Site Principals/ Project Coordinator
Develop plans for site-specific job-embedded professional development to support iHEAT participating teachers and school sites	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	iHEAT Master Teachers
Identify and access resources for professional development in response to needs evidenced in student data, staff observations, and staff evaluations	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	iHEAT Master Teachers
Develop and implement IPEGS Observation Schedule for each iHEAT participating school, including peer observations by iHEAT Master Teachers	X	X	X	X	X	X	X						X	X		iHEAT Site Principals
Conduct formative evaluation observations	X	X	X												X	iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct IPEGS Inter-rater Reliability Training	X						X									Project Coordinator/ IPEGS Director/ External Evaluator
Participate in IPEGS Inter-rater Reliability Training	X						X									iHEAT Site Principals and assistant principals, / iHEAT Master Teachers
Conduct monthly iHEAT Team Meetings	X	X	X	X	X	X	X	X					X	X		Project Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals
Conduct quarterly iHEAT topical workshops and professional development		X			X			X						X		Project Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals
Calculate and certify the incentive payments due to participants																Administrative Director, Professional Development, Project Coordinator,
Review the formative findings of the external evaluator																All project stakeholders

Management Plan Year 6 (June 2013 – September 2014) beyond the grant period														
Task/Activities	October	November	December	January	February	March	April	May	June	July	August	September	Responsible Party	
Calculate and certify the final	X													Administrative Director,

incentive payments due to participants																Professional Development, Project Coordinator,
Review the summative report and findings of the external evaluator	X	X														All project stakeholders
Prepare Final Report to the U.S. Department of Education	X	X	X													Administrative Director, Professional Development, Project Coordinator, External Evaluator



## Communication Plan for the iHEAT Initiative

<b>YEAR 1 (Initiation)</b>														<b>Responsible Party</b>	<b>Constituency/ Audience</b>
<b>Task/Activities</b>	October	November	December	January	February	March	April	May	June	July	August	September			
Upon notification of initial grant award, develop board item and information summary	X													Administrative Director, Professional Development	M-DCPS School Board, District staff, and Community
Develop job description for iHEAT Master teachers and begin advertising the positions		X	X	X										Administrative Director, Project Coordinator	Potential iHEAT Master Teachers
Develop information packet on the iHEAT Initiative for staff at participating schools		X	X											Project Coordinator	School-site staff and community members
Develop iHEAT website and post informational materials		X	X	X										Project Coordinator	All stakeholders
Conduct outreach and information meetings at iHEAT school sites regarding PBCS				X	X	X	X	X				X	X	Project Coordinator	School-site staff and community members
Conduct monthly iHEAT Team Meetings									X	X		X	X	Project Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals	iHEAT Master Teachers/ iHEAT Site Principals
Meet with iHEAT Advisory Committee		X	X	X	X	X	X	X	X	X	X	X	X	Project Coordinator	Stakeholder communities represented by committee members

<b>YEAR 2-5 (Implementation)</b>														<b>Responsible Party</b>	<b>Constituency/Audience</b>
<b>Task/Activities</b>	October	November	December	January	February	March	April	May	June	July	August	September			
Meet with iHEAT Advisory Committee	X													Project Coordinator	Stakeholder communities represented by committee members
Conduct outreach and information meetings at iHEAT school sites regarding PBCS							X	X			X	X		Project Coordinator	School-site staff and community members
Conduct monthly iHEAT	X	X	X	X	X	X	X	X			X	X		Project	iHEAT Master

Team Meetings															Coordinator/ iHEAT Master Teachers/ iHEAT Site Principals	Teachers/ iHEAT Site Principals
Update informational materials and website, as needed	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Project Coordinator	All Stakeholders
Share lessons learned and evaluation findings via presentations, community outreach, publications, etc,	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Project Coordinator, External Evaluator	All Stakeholders

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Donald Hoecherl, Ed.D.\*  
Principal  
John A. Ferguson Senior High

Neyda G. Navarro  
Regional Center Superintendent  
Regional Center VI

George Nunez  
Regional Center Superintendent  
Regional Center III

Valentina Pasarón+  
Library Media Specialist  
Key Biscayne K-8 Center

DanySu Pritchett  
Administrative Director  
Regional Center II

Maria Teresa Rojas  
Assistant Superintendent  
Office of Professional Standards

Mariaelena Vidal  
Staffing Officer  
Human Resources Development

Gretchen H. Williams  
Administrative Director  
Leadership Development

**Procedures Committee**  
Gretchen H. Williams\*  
Administrative Director  
Leadership Development

Michael Molnar\*  
Staff Liaison  
United Teachers of Dade

Maria Teresa Rojas  
Assistant Superintendent  
Office of Professional Standards

Milagros Hernandez, Ed.D.  
District Director  
Office of Professional Standards

### 2007 Design Team

*In addition to individuals denoted by the asterisk (\*) on this page, the following individuals participated.*

Dian Adjamah, NBCT  
Library Media Specialist  
Miami Palmetto Senior High

Brenda Dawkins, Ed.D.  
Principal  
Silver Bluff Elementary

Jose Dotres  
Administrative Director  
Regional Center I

Linda Dunn, NBCT  
Special Education Teacher/UTD Steward  
Citrus Grove Middle

Jacqueline Frankel  
Music Teacher  
Kendale Lakes Elementary

Jose Larrinaga  
Vocational Teacher  
Hialeah High

Cecelia MaGrath  
Reading Coach  
Homestead Middle

Rita J. Mallett, J.D.  
Curriculum Support Specialist  
Office of Professional Development

Albert Pimienta  
Instructional Supervisor  
Library Media Services

Julett Williams  
Curriculum Support Specialist  
Leadership Development

Rhonda Wilson  
Counselor  
Henry E.S. Reeves Elementary

**Project Consultant Firm**  
*Teacher Quality Resources*  
James H. Stronge, Ph.D.\*  
Jennifer L. Hindman, Ph.D.  
Leslie W. Grant, Ph.D.

+ denotes Joint Committee on Standards for Educational Evaluation member

\* denotes 2007 Design Team member

NOTE: Job titles and worksites reflect information at the time of participation.

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## Budget Narrative File(s)

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\* **Mandatory Budget Narrative Filename:**

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To add more Budget Narrative attachments, please use the attachment buttons below.

**Budget**

	Year 1	Year 2	Year 3	Year 4	Year 5	Total		
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017			
<b>Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative</b>								
<b>1. Personnel</b>								
<b>Project Coordinator</b> - MEP 21, Job Code 0550, 12 month position	84,870	84,870	84,870	84,870	84,870	424,350		
<p>The Project Coordinator will dedicate 100% time and effort to the responsibilities of this grant-funded position. Responsibilities include, but are not limited to: managing all facets of grant implementation, including coordination of local evaluation activities with the external evaluators; supporting school sit activities; coordinating advisory sessions; planning and coordinating delivery of professional development; timely completion of project activities; and submission of required reports. The individual filling this position will have, among other qualifications, a minimum of three years of experience with performance improvement initiatives, data analysis, and school improvement processes and will report to the Administrative Director, Office of Professional Development.</p>								
<b>Master Teachers</b> (3 per school), Job Code 1566, 12 month positions	506,948	1,773,180	1,773,180	1,773,180	1,351,103	7,177,590		
<p>Highly effective teachers will be identified and recruited to serve as iHEAT Master Teachers in participating schools. Each school will receive three Master Teachers (one in the area of Reading/Language Arts, Mathematics, and Science); a total of 26 teachers will be supported through the grant, meeting the ratio set by the grant of 1 FTE career ladder/master teacher to every 12 teachers not in career ladder roles. The Master Teachers will take on additional responsibilities and leadership roles and will be charged with changing the culture of the participating schools. The Master Teachers will be fully released from classroom instructional responsibilities and will be grant-funded above the school's staff allocations. The iHEAT master teachers will be located at their assigned schools sites. The iHEAT master teachers will: formally and informally observe and provide feedback to teachers at their assigned school site; provide feedback on observations to support performance improvement; identify the professional development needs of school staff based on student data, staff observations, and performance evaluations; confer with school site administrators to provide input from the observations conducted in order to inform the Summative Performance Evaluation (SPE) process; model and coach in best instructional practices; conduct lesson studies, Professional Learning Communities (PLCs), and other collaborative peer-to-peer professional development as appropriate to the needs of each school and staff; and facilitate the implementation of the Common Core Standards. (DETAILS BELOW)</p>								
	<b>Number of coaches</b>	<b>Average salary</b>						
<b>Reading/Language Arts Teachers</b>	9	64,935	146,104	584,415	584,415	584,415	438,311	2,337,660
<b>Mathematics</b>	9	64,935	146,104	584,415	584,415	584,415	438,311	2,337,660
<b>Science</b>	8	64,935	129,870	519,480	519,480	519,480	389,610	2,077,920
Year 1: Salaries calculated for 3 months; Years 2-4 calculated for 12 months; Year 5 calculated for 9 months.								
<b>Full-Time Salaries</b>								

			Year 1	Year 2	Year 3	Year 4	Year 5	
<b>Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative</b>			2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	Total
<b>Performance-based Compensation for Teachers</b>			-	464,375	520,100	575,825	631,550	2,191,850
<p>Teachers who opt in and who attain ratings of Highly Effective will also be eligible to participate in the iHEAT Incentive program and receive performance incentives of up to \$2500. The size of the actual award will be determined by the number of participating teachers who perform at the incentive-eligible level. The precise details of the model will be resolved through a Letter of Understanding (LOU) with the United Teachers of Dade (UTD) upon notification of grant award. Teachers who opt-in to the PBCS model for the iHEAT Initiative will participate in multiple observations by site administrators and the iHEAT Master Teacher peer observers each year of participation. Budgeted at 25% of participating receiving in Year 2, 28% in Year 3, 31% in Year 4, 34% in Year 5. Total amount available each year for incentives limited to amount set forth in approved budget. (DETAILS BELOW)</p>								
	<b>SCHOOL</b>	<b>Number of teachers</b>						
	Elementary School/K-8 Center	130	-	81,250	91,000	100,750	110,500	383,500
	Middle School	178	-	111,250	124,600	137,950	151,300	525,100
	High School	435	-	271,875	304,500	337,125	369,750	1,283,250
<b>Performance-based Compensation for Principals and Assistant Principals (APs)</b>			-	18,750	21,000	23,250	25,500	88,500
<p>Principals and Assistant Principals at iHEAT schools will be eligible to earn performance incentives of up to \$2,500 for attaining the highest performance level, on the school-site Managerial Exempt Personnel (MEP) evaluation; the actual size of individual awards will be proportional to the number of participating principals who attain eligible performance levels on the annual evaluation. Budgeted at 25% receiving in Year 2, 28% in Year 3, 31% in Year 4, 34% in Year 5. Total amount available each year for incentives limited to amount set forth in approved budget. (DETAILS BELOW)</p>								
	<b>SCHOOL</b>	<b>Number of Administrators</b>						
	Elementary School/K-8 Center	7	-	4,375	4,900	5,425	5,950	20,650
	Middle School	9	-	5,625	6,300	6,975	7,650	26,550
	High School	14	-	8,750	9,800	10,850	11,900	41,300
<b>Salary Augmentation for Master Teachers/Career Ladder Teachers</b>			-	130,000	130,000	130,000	130,000	520,000
<p>26 teachers will serve in a mentor/leadership position at the participating schools. Each teacher will earn \$5,000/year, above their salary, for taking on this mentorship role.</p>								

	Year 1	Year 2	Year 3	Year 4	Year 5	
<b>Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative</b>	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	Total
<b>Hourly Funds for M-DCPS Evaluation Office</b>	8,000	8,000	8,000	8,000	8,000	40,000
Grant funds are included to cover the hourly expenses for staff in the District's Assessment, Research and Data Analysis team to assist with data collection for the external evaluator.						
<b>Professional Development Stipends for Teachers</b>	608,000	608,000	304,000	-	-	1,520,000
Teachers who opt in will be eligible to participate in targeted professional development opportunities (e.g., implementation of the Common Core Standards) and receive grant-paid participation incentives of \$200 per session completed, up to four (4) sessions per teacher, for a total potential incentive of \$800 per teacher. Teachers who choose not to opt in to the iHEAT Initiative will still be eligible to participate in the professional development, as space allows, but will not be eligible for the iHEAT participation incentives. Total of 4 days included in Years 1 & 2; 2 days in Year 3; estimated cost based on 760 teachers.						
<b>Salary Subtotal:</b>	1,207,818	3,087,175	2,841,150	2,595,125	2,231,023	11,962,290

<b>2. Fringe Benefits @15.61%</b>						
Retirement - 5.26%	31,550	130,405	133,454	136,504	117,352	549,264
FICA - 6.20%	74,885	191,405	176,151	160,898	138,323	741,662
Medicare - 1.45%	17,513	44,764	41,197	37,629	32,350	173,453
Health Insurance @ \$8,732/FTE	56,758	227,032	227,032	227,032	170,274	908,128
WC/Liability/Unemployment - 2.70%	32,611	83,354	76,711	70,068	60,238	322,982
<b>Fringe Subtotal:</b>	213,318	676,959	654,545	632,131	518,537	2,695,489

<b>3. Travel</b>						
<b>Required Meeting: Teacher Incentive Fund Grantee Meeting</b>	3,000	3,000	3,000	3,000	3,000	15,000
Travel expenses are budgeted for the required TIF Grantee Meeting each year. US Dept of Ed will provide technical assistance for all TIF grantees and opportunities for collaboration among TIF grantees. Three iHEAT staff will attend this one and a half day meeting. Per person expenses are budgeted as follows: roundtrip airfare at \$400; accommodations at \$225/night * 2 nights; per diem at \$41/day * 2 days; 2 days; ground transportation/parking @ \$68. Total per person is \$1,000.						
<b>Required Meeting: Teacher Incentive Fund Topical Meeting</b>	2,000	2,000	2,000	2,000	2,000	10,000
Travel expenses are budgeted for the required TIF Topical Meeting each year. The purpose of the meeting is to provide participants with in depth information on topics related to implementing a PBCS. Two iHEAT staff will attend this one and 1/2 day meeting. US Dept of Ed will provide technical assistance for all TIF grantees and opportunities for collaboration among TIF grantees. Per person expenses are budgeted as follows: roundtrip airfare at \$400; accommodations at \$225/night * 2 nights; per diem at \$41/day * 2 days; 2 days; ground transportation/parking @ \$68. Total per person is \$1,000.						

	Year 1	Year 2	Year 3	Year 4	Year 5	
<b>Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative</b>	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	Total
<b>Leadership Institutes for iHEAT administrators</b>	21,297	-	-	-	-	21,297
Travel expenses are budgeted for administrators to attend leadership institutes during Year 1 of the grant. Budgeted at \$400/person for airfare and \$41/day * 7 days for per diem for 31 administrators. Accommodations covered through registration fees and are included under contractual costs.						
<b>State and National Conferences</b>	-	-	50,000	50,000	50,000	150,000
Travel expenses are budgeted for district and iHEAT staff to attend state and national conferences to disseminate best practices and discuss project outcomes.						
<b>Travel Subtotal:</b>	26,297	5,000	55,000	55,000	55,000	196,297
<b>4. Equipment</b>	-	-	-	-	-	-
<b>5. Supplies</b>						
iPads for Principals and APs, Master Teachers	33,600	2,000	-	-	-	35,600
Principals, Assistant Principals and Master Teachers will receive iPads in Year 1 to support project activities including observations, coaching and modeling activities. Nominal funds included in Years 2 & 3 to coverage damage and/or replacement.						
Laptop, software and printer for project coordinator	1,100	-	-	-	-	1,100
Educational Materials for each school site						-
Elementary	\$2,200		4,400	4,400	4,400	22,000
K-8/Middle	\$3,500		14,000	14,000	14,000	70,000
High School	\$5,000		15,000	15,000	15,000	75,000
Office Supplies for District -- paper, toner, files, general office supplies.	12,000	10,000	8,000	6,000	6,000	42,000
<b>Supplies Subtotal:</b>	80,100	45,400	41,400	39,400	39,400	245,700

	Year 1	Year 2	Year 3	Year 4	Year 5	
<b>Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative</b>	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	Total
<b>6. Contractual</b>						
<b>Professional Development</b>	1,000,000	750,000	-	-	-	1,750,000
TIF grant funds will be used to create a library of filmed demonstrations of the range of performance levels, from Highly Effective down to Unsatisfactory, for the IPEGS Performance Standards, as well as at the lower performance levels, that will be aligned to the IPEGS Performance Standards and that can: <ul style="list-style-type: none"> <li>• be used in IPEGS Observer training to improve inter-rater reliability, and</li> <li>• be used to support struggling teachers and assist effective teachers who aspire to become highly effective by providing readily accessible examples of Effective and Highly Effective demonstration of the IPEGS Performance Standards, thus expanding the range of peer models for teachers at each participating school from the three (3) site-based master teachers to include access to modeling by a pool of teachers across subject areas and grades, providing teacher with job-alike models. The videos will be aligned to the IPEGS Performance Standards by a team including district IPEGS staff and a consultant or consultants who are expert in James Stronge's Goals and Roles Model upon which the IPEGS evaluation system is founded.</li> </ul>						
<b>External Evaluator</b>	75,053	77,186	80,330	83,616	87,052	403,237
Contract with external evaluator to provide comprehensive evaluation of proposed project to include a mixed method formative and summative evaluation of the project. M-DCPS has a procurement process in place that governs competition and provides full and open competition consistent with federal, state, and local laws.						
<b>Professional Development Workshops for Administrators</b>	186,000	-	-	-	-	186,000
During the summer of Year 1, principals and administrators from all <i>iHEAT</i> schools will participate in a high-quality leadership development institute provided by a nationally-recognized group such as the Harvard Graduate School of Education, National Principals Leadership Institute, The Center for Leadership at Florida International University of the University of Florida's Leadership Development Institute. This is modeled after a highly successful component of the current M-DCPS TIF grant award. Each school leadership team will develop and implement a plan to apply the knowledge and skills gained during their institute participation. Budgeted at an average of \$6,000 per person for registration and accommodations.						
<b>Contractual Subtotal:</b>	1,261,053	827,186	80,330	83,616	87,052	2,339,237
<b>7. Construction</b>	-	-	-	-	-	-

	Year 1	Year 2	Year 3	Year 4	Year 5	
<b>Incentives for Highly Effective Administrators and Teachers (iHEAT) Initiative</b>	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	Total
<b>8. Other</b>						
<b>Informational and Outreach Materials</b>	5,000	5,000	5,000	5,000	5,000	25,000
Grant funds are included to be used to educate all instructional staff at the iHEAT schools regarding the PBCS and the opportunities to opt in. Materials also to be used for districtwide recruitment of iHEAT Master Teachers.						
<b>Other Subtotal:</b>	5,000	5,000	5,000	5,000	5,000	25,000
<b>9. Total Direct Costs</b>	2,793,585	4,646,720	3,677,425	3,410,272	2,936,011	17,464,013
<b>10. Indirect Costs - Calculated at 3.77%</b>	105,318	175,181	138,639	128,567	110,688	658,393
As approved by cognizant agency, FL Department of Education						
<b>11. Training Stipends</b>	-	-	-	-	-	-
<b>12. Total Costs</b>	2,898,903	4,821,902	3,816,064	3,538,839	3,046,699	18,122,407

**Miami-Dade County Public Schools**  
*Incentives for Highly Effective Teachers and Administrators (iHEAT) Initiative*

Non-Federal Funds (Section B - Budget Summary)	School Year					Total
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	
<b>1. Personnel</b>						
Administrative Director (5% Time & Effort; Base Salary: (b)(4))						
The Project Director will dedicate time and effort on an in-kind basis. Responsibilities include but are not limited to: fiscal and implementation oversight, providing vision and leadership for the project; ensuring communication across departments including Curriculum & Instruction, Professional Development, Human Resources, School Operations, Assessment, Research & Data Analysis, Informational Technology, Principals and Schools, participating in Advisory Council meetings, and managing the Project Coordinator and other project support staff.						
Administrative Director (5% Time & Effort; Base Salary: (b)(4))						
The Administrative Director from the Office of Human Resources will dedicate time and effort on an in-kind basis to the project. In addition to serving on the Advisory Committee, she will work closely with iHEAT staff to ensure that Absolute Priority 1 is met and that the project is implemented with fidelity.						
Director, Professional Development (5% Time & Effort; Base Salary: (b)(4))						
The IPEGS Director is responsible for the annual coordination with the teacher's union and other district offices regarding necessary updates to IPEGS. The IPEGS Director oversees the IPEGS website (ipegs.dadeschools.net) which hosts the IPEGS training materials and resources, and coordinates the IPEGS Help Desk support team. The IPEGS Director will: conduct IPEGS training and IPEGS Inter-rater Reliability training for the iHEAT participating schools and will provide guidance to the Project Coordinator in IPEGS implementation.						

**Miami-Dade County Public Schools**  
*Incentives for Highly Effective Teachers and Administrators (iHEAT) Initiative*

<b>Non-Federal Funds (Section B - Budget Summary)</b>	<b>School Year</b>					<b>Total</b>
	<b>2012-2013</b>	<b>2013-2014</b>	<b>2014-2015</b>	<b>2015-2016</b>	<b>2016-2017</b>	
<b>Executive Director (5% Time &amp; Effort; Base Salary):</b> (b)(4)  The Executive Director is one of two administrators dedicated the implementation and integration of the online IPEGS and Professional Development system. This individual will support the Project Coordinator and iHEAT team in terms of IPEGS and professional development needs.						
<b>Secretarial/Clerical (20% Time &amp; Effort; Base Salary):</b> (b)(4)  This individual will report to the Project Coordinator and provide support for daily operations of the project, which includes preparing reports, developing communications, coordinating scheduled events, and maintaining project records.						
<b>Advisory Committee</b>  The iHEAT Initiative Advisory Committee will meet bi-monthly in Year 1 of the grant and quarterly in Years 2-5. This group will provide cross departmental support and input, ensure that key issues have district wide support, provide guidance to staff and make sure goals and objectives are met in a timely manner. The Advisory Committee will include representation from: Curriculum & Instruction, Professional Development, Human Relations, Labor Relations, School Operations, Region Superintendent, Principals, Teachers and the teachers' union. It is estimated that approximately 15 M-DCPS employees will participate in the meetings.						(b)(4)
<div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <span>(b)(4)</span> </div>						
<b>Subtotal for Personnel</b>						(b)(4)

## Miami-Dade County Public Schools

### Incentives for Highly Effective Teachers and Administrators (iHEAT) Initiative

Non-Federal Funds (Section B - Budget Summary)	School Year					Total
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	
<b>2. Fringe Benefits</b>	(b)(4)					
Fund Retirement (5.26%), FICA/Medicare (7.65%) and Worker's Compensation and Unemployment (2.70%). (Group health insurance covered by District.)						
<b>Subtotal for Fringes</b>						
<b>3. Travel</b>	(b)(4)					
In-County Travel						
Budgeted at current approved rate of .555/mile. Travel for Project Coordinator to conduct site visits to participating schools. In addition, travel for Master Teachers to attend monthly meetings, training sessions has been included. <div style="border: 1px solid black; width: 150px; height: 20px; margin-left: 100px; text-align: center;">(b)(4)</div>						
<b>Subtotal for Travel</b>						
<b>4. Equipment</b>						
<b>Subtotal for Equipment</b>	0	0	0	0	0	0
<b>5. Supplies</b>						
<b>Subtotal for Supplies</b>	0	0	0	0	0	0
<b>6. Contractual</b>	(b)(4)					0
Contract with True North Logic to develop and implement the Professional Development/Performance Evaluation (PD/PE) online system that will house IPEGS and MEP School-Site evaluations, individual professional development plans and the Professional Development menu, registration, and transcript system. A total of \$ (b)(4) is being spent on this contract during Year 1 and 2 of the grant; funds come from Race to the Top funds received by M-DCPS from Florida Department of Education. <div style="border: 1px solid black; width: 150px; height: 20px; margin-left: 100px; text-align: center;">(b)(4)</div>						0
<b>Subtotal for Contractual</b>	(b)(4)					0

## Miami-Dade County Public Schools

### *Incentives for Highly Effective Teachers and Administrators (iHEAT) Initiative*

Non-Federal Funds (Section B - Budget Summary)	School Year					Total
	2012-2013	2013-2014	2014-2015	2015-2016	2016-2017	
<b>7. Other</b>						
<b>Subtotal for Other</b>	0	0	0	0	0	0
<b>Total Direct</b>	(b)(4)					
<b>8. Indirect</b> - 3.77% of all Direct Costs excluding equipment (as negotiated with cognizant agency, Florida Dept. of Education)						
<b>TOTAL COSTS</b>						

# Survey on Ensuring Equal Opportunity For Applicants

OMB No. 1890-0014 Exp. 2/28/2009

## Purpose:

The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

## Instructions for Submitting the Survey

If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

<b>Applicant's (Organization) Name:</b>	School Board of Miami-Dade County, Florida
<b>Applicant's DUNS Name:</b>	1059640680000
<b>Federal Program:</b>	Office of Elementary and Secondary Education (OESE): Teacher Incentive Fund (TIF):
<b>CFDA Number:</b>	84.374

1. Has the applicant ever received a grant or contract from the Federal government?

Yes  No

2. Is the applicant a faith-based organization?

Yes  No

3. Is the applicant a secular organization?

Yes  No

4. Does the applicant have 501(c)(3) status?

Yes  No

5. Is the applicant a local affiliate of a national organization?

Yes  No

6. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer  15-50

4-5  51-100

6-14  over 100

7. What is the size of the applicant's annual budget? (Check only one box.)

Less Than \$150,000

\$150,000 - \$299,999

\$300,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$4,999,999

\$5,000,000 or more

# **Survey Instructions on Ensuring Equal Opportunity for Applicants**

OMB No. 1890-0014 Exp. 2/28/2009

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

## **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 **1890-0014**. The time required

to complete this information collection is estimated to average five (5) minutes 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:** The Agency Contact listed in this grant application package.

**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008  
Expiration Date: 02/28/2011

Name of Institution/Organization

School Board of Miami-Dade County, Florida

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	1,207,818.00	3,087,175.00	2,841,150.00	2,595,125.00	2,231,023.00	11,962,291.00
2. Fringe Benefits	213,318.00	676,959.00	654,545.00	632,131.00	518,537.00	2,695,490.00
3. Travel	26,297.00	5,000.00	55,000.00	55,000.00	55,000.00	196,297.00
4. Equipment	0.00	0.00	0.00	0.00	0.00	0.00
5. Supplies	80,100.00	45,400.00	41,400.00	39,400.00	39,400.00	245,700.00
6. Contractual	1,261,053.00	827,186.00	80,330.00	83,616.00	87,052.00	2,339,237.00
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	5,000.00	5,000.00	5,000.00	5,000.00	5,000.00	25,000.00
9. Total Direct Costs (lines 1-8)	2,793,586.00	4,646,720.00	3,677,425.00	3,410,272.00	2,936,012.00	17,464,015.00
10. Indirect Costs*	105,318.00	175,181.00	138,639.00	128,567.00	110,688.00	658,393.00
11. Training Stipends	0.00	0.00	0.00	0.00	0.00	0.00
12. Total Costs (lines 9-11)	2,898,904.00	4,821,901.00	3,816,064.00	3,538,839.00	3,046,700.00	18,122,408.00

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2012 To: 06/30/2013 (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify):

The Indirect Cost Rate is 3.77 %.

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or,  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %.

Name of Institution/Organization School Board of Miami-Dade County, Florida	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	
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**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	(b)(6)					
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**SECTION C - BUDGET NARRATIVE (see instructions)**