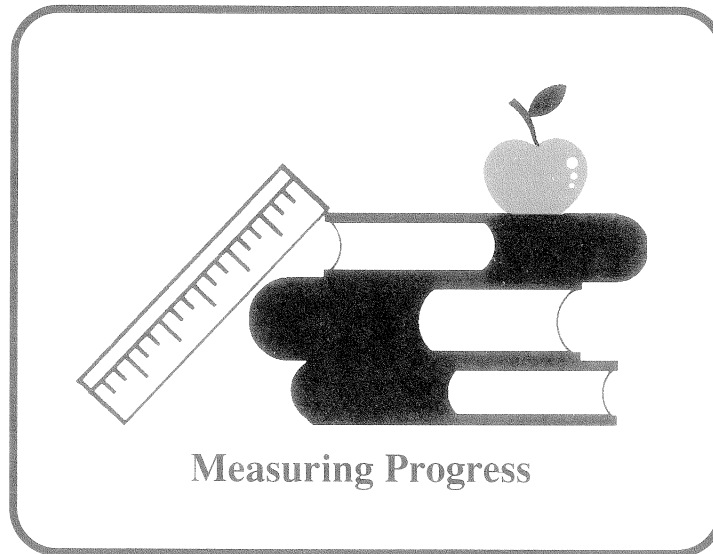


OFFICE OF EDUCATION ACCOUNTABILITY



ANNUAL REPORT

DECEMBER 1994

**KENTUCKY GENERAL ASSEMBLY
OFFICE OF EDUCATION ACCOUNTABILITY**

ANNUAL REPORT

*The OEA wishes to thank Senator Ed Ford
for his years of tireless effort on behalf of education and the
children of the Commonwealth.*

December 1994

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January 5, 1995

The Honorable John "Eck" Rose, Co-chairman
The Honorable Jody Richards, Co-chairman
Legislative Research Commission
State Capitol
Frankfort, Kentucky 40601

Dear Senator Rose and Representative Richards:

The Special Subcommittee on Education Accountability met Wednesday, December 7, 1994, to receive and review the 1994 Office of Education Accountability Annual Report. The Subcommittee approved the report with this letter attached.

It is the consensus of this Subcommittee that the following be included in addition to those recommendations contained herein:

- **Family Resource and Youth Service Centers (FRYSC)** - The Subcommittee wishes to express their concern that the bureaucracy governing this program not become inflexible or burdensome. It is preferred that any error of oversight be on the side of flexibility. The Subcommittee also believes that the issue of confidentiality between FRYSC center staff and local school district personnel should be addressed.
- **Education Professional Standards Board (EPSB)** - The Subcommittee would urge the EPSB to diligently move forward on alternative certification for degreed persons, both in the area of full and part-time employees. Present regulations are unrealistic for those leaving employment or retiring to be able to go into the classroom.

In addition, the Subcommittee would request the EPSB to review the issue of reciprocity for purposes of certification with adjoining states. There are reports that credentialed employees from these states cannot obtain certification in Kentucky.

- **SEEK/SBDM Council Allocation** - The Subcommittee expressed concern that the funding allocation for site-based councils are not provided to schools in a timely manner by school districts. The Kentucky Department of Education should review the

Senator John "Eck" Rose
Representative Jody Richards
January 5, 1995
Page Two

regulation(s) concerning this matter for changes to insure more timely allocations to councils. In addition, concern was expressed that the "temporary" regulation continues to result in incremental de-centralization of resources to schools. The KDE should consider the promulgation of a permanent regulation that ensures a comprehensive and permanent de-centralization of SEEK monies to school councils.

As stated previously, these comments and recommendations are in addition to those recommendations contained in the 1994 Annual Report. It should be noted that the Office of Education Accountability (OEA) report was submitted in accordance with KRS 7.410(7). It is the OEA report of findings and recommendations to the General Assembly for use as a discussion document and should not be construed to carry the weight of law.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "David K. Karem", with a long horizontal flourish extending to the right.

Senator David K. Karem, Co-chairman

A handwritten signature in black ink, appearing to read "Kenny Rapier", with a stylized, cursive script.

Representative Kenny Rapier, Co-chairman
Special Subcommittee on Education Accountability

INTRODUCTION

The research for and preparation of the 1994 Annual Report has been a time of intense activity and reflection for the agency. Our work involves monitoring the reform initiatives, analyzing the effectiveness of SEEK and investigating "allegations of waste, duplication, mismanagement and illegal activity."

During 1994, we have visited over one hundred schools, met with 176 superintendents, attended hundreds of meetings, made presentations to a variety of groups and taken over 1, 000 calls on the hotline. We have been busy!

When OEA began in January 1991, there were two people and a hotline. Today, OEA is an agency with seventeen full-time and six contract employees.

At the beginning, no one was quite sure what we were or what we should be. In some ways, OEA was but a "twinkle in the eye" of a few brave legislators who created this agency in accordance with the directives of the Rose decision.

During our four years, we have been called many things (some of them unprintable)...SWAT team, watchdog, "the muscle that moves reform," and the "Critical Friend." The latter is, I believe, the best description of what we are striving to be. We attempt to be fair, yet ask the tough questions and are unfailing in our efforts to try to improve what we have and to serve as a change agent for our children.

It is in our role as "Critical Friend" that we offer the 1994 Annual Report. We hope you will read it, reflect on it and use it as a resource as we discuss education in 1995.

Dr. K. Penney Sanders, Director
Office of Education Accountability

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EXECUTIVE SUMMARY

While recognizing there are numerous components of Kentucky's education laws, the focus in this Annual Report is on those enacted since 1990. The recommendations were developed after a study of the data from a variety of sources: Kentucky Department of Education, Cabinet for Human Resources, Office of Education Accountability (OEA) field reviews and research studies conducted by higher education and other institutions.

Many recommendations were developed in this annual review. For summary purposes, the following are cited:

- Await the final report of OEA's national panel on assessment before proposing any changes to KIRIS. However, the national panel's work should be instrumental in developing the 1996 RFP for assessment.
- Convene a meeting on the SEEK formula to discuss progress-to-date, needed adjustments and future implications for the funding formula.
- Continue the increased emphasis on school district accountability for the use of public funds.
- Continue to monitor, review and propose revisions, as appropriate, of the program components. All programs need

to stress both fiscal and results accountability in their reporting requirements.

- Identify a more extensive pool of administrators to work in the Management Assistance districts for an extended period of time (one to two years).

As noted in this report, the implementation of the components of the Kentucky Education Reform Act continues according to the six-year plan as enacted in 1990. As with any change initiative, there is a need for continuous discussion on the issues. Appropriate adjustments can be made when data and experience indicate they are needed.

SUMMARY OF RECOMMENDATIONS

Kentucky School Finance

- ♦ Increases in the SEEK base level should be continued.
- ♦ A study of professional compensation should be initiated so we can change the base of teacher compensation from the indirect measures of education and experience currently used.
- ♦ Funding for Extended School Services, Family Resource-Youth Service Centers, Gifted and Talented, Preschool and Professional Development programs should be studied for possible inclusion in the SEEK formula as opposed to "stand alone" categorical programs.
- ♦ In 1993-94, 29 school districts were unable to levy the 4 percent increase due to Subsection 2 constraints per KRS 160.470(2)(a). A review of the maximum tax levy allowed by House Bill 44 is necessary.
- ♦ Stabilize the SEEK funding mechanism by using prior year assessments coupled with current year average daily attendance figures. This would bring the SEEK calculation to conclusion earlier in the fiscal year, thus making local district planning easier and more accurate.

- ♦ The inequities of the distribution of teacher's retirement, health, and life insurance funds needs to be evaluated. (Districts in the highest wealth's quintile received 4.65 percent more employer match funding from the state than school districts in the lowest wealth quintile.)
- ♦ The methodology for projecting student population should continue to be improved. A joint effort should be undertaken by the Office of Education Accountability (OEA) and the Kentucky Department of Education (KDE) to routinely audit and validate average daily attendance in local school districts.
- ♦ The Facilities Support Program of Kentucky (FSPK) program should be fully funded.
- ♦ Monitor the effects of House Bill 810 on equity. (House Bill 810 was passed by the 1994 legislature to allow local school districts that have experienced student population growth during a five-year period to levy an unequalized five-cent tax for debt service and new facilities.)

Kentucky Education Technology System

- ♦ A third operating system required for the pupil attendance software should not be introduced into school districts because it adds unwarranted complexity to the District Administrative System and increases local and state costs by approximately \$15M.
- ♦ The instructional component of KETS must be the top priority.

- ◆ The FAC through the Project Office must be allowed to function as the "Fail Safe" mechanism on the KETS Project.
- ◆ The financial management component of the District Administrative System must provide schools with detailed information on revenues, budgets, and expenditures by object, function, and program.
- ◆ The lessons learned at the pilot site should be evaluated and that all identified critical adjustments and modifications be made to the financial software. Additionally, these adjustments and modifications should be thoroughly tested before moving past the first seven installation sites. It makes sense to "debug" the software at this stage of implementation instead of replicating the problems in additional sites.
- ◆ It is critical for the Help Desk, technical training, and office and communications training to be in place as soon as possible. Currently, these services are projected to be in place by mid-January 1995. Slippage in the startup of these services will negatively impact the roll out of the District Administrative System.
- ◆ KDE must continue extensive, meaningful, and timely two-way communication with school districts.
- ◆ KDE should seek to reduce the amount of paperwork required by local districts to participate in the KETS Project.

Assessment

- ◆ No recommendations are offered at this time. Instead, we will await the completion of the OEA study and forward the panel's recommendations to the OEA Oversight Committee for their consideration.

Distinguished Educator Program

- ◆ Publish the criteria for the Distinguished Educator selection process.
- ◆ KDE staff should use formal written evaluations for each session to develop a database for future session planning. KDE staff should also carefully screen the background of the Distinguished Educators to locate competent trainers from within the Distinguished Educator group.
- ◆ Monitor how the shift to a consulting role will impact schools who continue to fail to meet KIRIS standards and go from the status of "in-decline" to "in-crisis."

Education Professional Standards Board

- ◆ Efforts must continue to ensure the autonomy of the EPSB. Attention has been given to clarifying their role and budgets, but it continues to be a concern.
- ◆ EPSB must move quickly to identify and employ investigators and hearing officers so that the revocation process will not be slowed.

- ♦ EPSB needs to continue to support certification flexibility for schools that are in the process of restructuring.
- ♦ Division of Minority Education Recruitment and Retention needs to work to include all minority groups in their work.

Extended School Services

- ♦ Schools must continue to communicate to teachers and staff that ESS is an integral part of our education system. Ongoing public relations and advocacy activities are necessary to ensure that all interested parties are informed of available services and invited to participate in the decision-making and planning processes.
- ♦ Districts need to develop clear exit guidelines for students participating in ESS programs.
- ♦ In many of the districts, the ESS Coordinator appears to make the majority of decisions about the funding and implementation of school level programs. School staff would benefit from greater participation in planning and implementation of their ESS programs. In addition, the site-based decision making council and other school committees need to meet periodically to review program results and identify unmet student needs.
- ♦ In line with other KERA initiatives, ESS programs need to be prevention-oriented whenever possible. Districts and schools should encourage early referrals. Students should not have to fail before they are referred for services.

- ♦ OEA's review indicated a wide disparity (\$15-30 per hour) in compensation paid to ESS teachers. We recommend that KDE review this issue and establish guidelines for payment. Additionally, KDE staff should clarify the issue of compensating principals for their work in ESS.
- ♦ KDE should consider waiving the self-evaluation portion of ESS paperwork requirements for districts who are meeting KIRIS thresholds.

Exceptional Children

- ♦ The Division of Exceptional Children should strongly consider maintaining its focus on recalcitrant districts which identify few, if any, EBD students. A disproportionate number of the students expelled or dropping out of these districts are likely EBD students. Laws requiring services to, rather than exclusion of, these students have been in effect for 17 years. It is unrealistic to continue hoping for voluntary compliance.
- ♦ The Division should develop a policy on protecting the confidentiality of individuals who file complaints with the office. Any other policy acts as a deterrent to reporting and can result in punitive action against the complainant.
- ♦ KDE should commit sufficient resources to the Division to ensure effective and timely monitoring. The Individuals with Disabilities Education Act (IDEA) requires monitoring on a five-year cycle, and some districts apparently will meet minimum standards only when intensive compliance reviews are anticipated.

Family Resource and Youth Service Centers

- ◆ Each center should annually submit to the FRYSC/CHR a full accounting of expenditures, other than personnel. OEA recommends reporting *individual* item expenditures, not expenditures by total vendor expense.
- ◆ CHR should randomly review district audits to ensure appropriate spending. We recommend that the school district fiscal officer review quarterly financial reports to ensure appropriate spending. We also recommend that FRYSC advisory committee minutes reflect a full accounting, disclosure and approval of the advisory committee on expenditures.
- ◆ All FRYSC funds should be totally separate from any other program; i.e., adult or community education. These programs do often complement each other but *all fundraising and program activities should remain separate and distinct expenses*.
- ◆ FRYSC's should coordinate their programs with district initiatives.
- ◆ Programs should *not* list items in their budget that are not written into their grant as core or optional components.
- ◆ A limit should be established for expenses related to awards, recognition and incentives.
- ◆ The nepotism statute (KRS 160.380) should be expanded to include employees of FRYSC's and FRYSC Advisory Committee members.

- ◆ Clarify the role of FRYSC advisory councils that function in schools with SBDM councils.
- ◆ The State FRYSC Task Force should define the lines of authority and communication between and among center coordinators, central office staff, CHR/FRYSC field liaisons, the State Task Force and CHR/Frankfort-based personnel. The effort is needed because of the FRYSC staff reorganizations at CHR.
- ◆ CHR should review the selection criteria to ensure priority in establishing centers in areas of greatest economic need.

High School Restructuring

- ◆ Establish a Division for Secondary Education at the Kentucky Department of Education.
- ◆ The Education Professional Standards Board (EPSB) needs to continue to support certification flexibility for schools that are in the process of restructuring.
- ◆ As high schools change dramatically, the role of the principal is drastically redefined. A complete review of the position and its demands needs to be undertaken by EPSB and local boards.

Investigations

- ◆ Promulgate a statute or regulation causing all school districts to adopt uniform policies and procedures for reimbursement of travel expenses subject to the approval of the Kentucky Department of Education.
- ◆ Amend KRS 160.180 (2)(g) to recognize that the mere deposit of district funds in a bank does confer a direct or indirect beneficial interest to one who has a significant ownership interest in a bank or is a major officer or director of a bank.
- ◆ Amend KRS 160.570 (1) to require that school districts bid all bank services.
- ◆ Amend KRS 424.260 to clearly define and limit "professional services" as they relate to school districts.
- ◆ Amend KRS 160.380(3) to require nationwide criminal record checks for new school district employees in order to screen out those applicants with a criminal history of sex crimes. These criminal record checks are to be requested from the Justice Cabinet prior to employing the applicant.
- ◆ Broaden the pool of administrators available to work with the Management Assistance Program.

Memorandum of Agreement

- ♦ As a result of the ongoing use of and reliance on MOAs for personnel, a review of the implications of their continued use and its impact on the state personnel system should be undertaken.
- ♦ Contracts filed after the effective date of the contract should not be honored.

Multicultural Education

- ♦ Each school district should take time to reflect on cultural diversity, or lack of diversity, within their district and create an appropriate plan of action for ethnic sensitivity.
- ♦ Each district should submit their plan and request for training to the Multicultural Opportunities Branch at KDE on an annual basis for review and consultation on scheduling professional development.
- ♦ OEA recommends that KDE abide by the mission statement and objectives of the Multicultural Opportunities Branch as stated in their executive summary.

Preschool

- ♦ Although the problem has diminished significantly, there appears to be continued "turf battles" in isolated areas that result in poor collaboration between KERA, Head Start and other private providers. It is recommended that the preschool branch identify these districts and mediate the concerns.

- ◆ Efforts should be undertaken to lessen the divisiveness between private child care providers and KERA Head Start programs (state or federally supported).
- ◆ Public information efforts should be initiated to inform preschool teachers, parents, and the public about the Interdisciplinary Early Childhood Education Certification (IECE) and how it may impact the teacher certification process.

Primary

- ◆ KDE should assure that all 837 elementary schools have complete understanding of 704 KAR 3:440 and House Bill 187 enacted in the 1994 Regular Session of the General Assembly. Copies should be provided for every primary teacher. OEA is receiving eight to ten hotline calls per week from teachers, and most callers are not knowledgeable of optional grouping patterns for P-1 students.
- ◆ Districts and schools should examine their curriculum for alignment with Kentucky's Learning Goals and Academic Expectations. The KELP learning descriptions recently provided to schools in writing, reading, mathematics, independent learning and citizenship, reasoning, science, social studies, motor development and the arts should be used to determine expectations for every child.
- ◆ Based on fourth grade KIRIS scores statewide, primary schools should increase emphasis on science and social studies instruction.
- ◆ KELP training should continue until all primary teachers have an understanding of this authentic assessment/continuous progress document.

Beginning with the 1995-96 school year, every primary teacher should have fully implemented the use of KELP with all students.

- ◆ KDE and RSC consultants should continue to encourage schools to utilize the Primary B portion of the KIRIS continuous assessment and ensure its compatibility with KELP.
- ◆ Schools should become more creative in arranging teachers' schedules for more parent conferencing and collaboration among themselves and special area teachers. Positive morale of teachers must be achieved and protected and they must not be overwhelmed with after-school requirements for parent conferencing.
- ◆ A continued public information effort should focus on how much better a child is able to perform more complex cognitive activities, problem solve and deal with real life situations when he/she has experienced a quality primary program, when compared to pre-KERA instruction.

Professional Development

- ◆ The small two- and three-district consortia, of which there are nine (excluding Fayette and Jefferson counties), do not appear to be able to produce the variety of professional development experiences and activities needed by their member districts. These should be merged with other consortia.
- ◆ There should be a strict accounting of all funds sent to consortia and school districts. Consortia should be required to file a budget with KDE, and a report

of income and expenditures for the preceding fiscal year by July 31 of each year. Districts should also file a report of the use of all funds retained by the district or re-routed to the district from the consortia.

- ◆ KDE must continue to develop evaluations so that only quality programs are offered, leading to the assurance of high levels of training for local district professionals.
- ◆ In order to meet the continuing demand for professional development activities for teachers, a study should begin for extending the 185-day calendar so that teachers may have additional time without reducing the number of student instructional days. This study should be completed in time to be used by the 1996 session of the General Assembly in budget preparation.

Regional Service Centers

- ◆ If RSC and consortia see themselves in such different roles that a merger of the two is not feasible, then a high degree of cooperation and collaboration must be in place so as to avoid duplication and confusion.
- ◆ RSC's should continue to make every effort to work with school districts that feel isolated from RSC services due to geographic location.

School Based Decision Making

- ◆ The issue of consultation between the principal and council should be resolved in the 1996 General Assembly.

- ♦ There is a need for continued refinement and increased enforcement of 702 KAR 3:245 (School Council Allocation Formula).
- ♦ There continues to be a need for quality, consistent training for school councils in the areas of budgeting, curriculum alignment, transformation planning and policy development.
- ♦ There needs to be increased efforts by local, regional and state education agencies and groups to develop convincing rationale for entering SBDM at those schools that have not chosen to do so.
- ♦ There is a need for developing more effective communications with teacher and parent council members regarding educational information that has implications for school councils.
- ♦ Local boards of education need to review and update their SBDM policies using the checklist provided by KDE.

Superintendent/Principal Training and Assessment

- ♦ Administrator training, testing and assessment should be included in the university preparation program for certification. This would ensure that no one could receive certification without successful completion of all assessments.

- ◆ Promulgate a regulation to address the issue of those not qualifying for re-certification and those who do not complete their qualification within the allotted year's time.
- ◆ Promulgate a regulation to establish the maximum number of times an individual can take the test for each module before declaring that individual to be ineligible for certification in that position.

Superintendent Screening Committees

- ◆ Consideration should be given to changing the composition of the screening committee to include more input from the community.
- ◆ All superintendent vacancies should be posted at the Kentucky Department of Education.
- ◆ Screening committees and school boards should review affirmative action (EEOC) regulations before beginning their work. Increased efforts must be made to widen search efforts to ensure greater gender, race and geographic diversity in the candidate pool.

FINANCE

EDUCATION FUNDING IN KENTUCKY

OVERVIEW

Public school finance reform and school restructuring are prominent policy issues at the federal, state, and local levels of government. For example, Goals 2000: Educate America Act encourages the creation of national standards for K-12 education and authorizes aid for states willing to reform their public schools (Jennings 1993). All 50 states enacted school finance reforms between 1970 and 1990 that changed the way schools are funded (Odden and Picus 1993). At the local level, school districts have unified to challenge the equity and/or constitutionality of the way state funds for education are allocated. Thro (1990) attributes the success of school finance cases in recent years in Montana, Kentucky, and Texas as leading to an increase in school litigation.

Unfortunately, school finance is much like Winston Churchill's description of Russia, "a riddle, wrapped in a mystery, inside an enigma." One of the most often discussed public policy issues of the last three decades, school finance reform continues to be illusive and illusionary. Illusive in that we are constantly trying to bring strong direction and illusionary in that it is often hidden by the political nature of the many elements of the education community.

There are a number of factors that have made public school finance reform difficult to achieve. Often included are the issues around reliance on property tax, disparity, and inequities in growth in property base, de facto unavailability of other taxes, and educational accountability. Irrespective of the

difficulty in achieving reform, many states continue to undertake this Herculean task.

Several events have merged to renew public and private interest in school finance: successful court challenges in several states to existing state public school finance formulas, using a strategy of new types of evidentiary data; a popular book alleging more severe racial segregation and worse financial constraints in urban public education than existed in the nation in 1954; congressional proposals for public school financial studies; and, the announcement by a President and state governors of national public education goals.

The Kentucky Education Reform Act of 1990 (KERA), reconstituted the Commonwealth of Kentucky's system of public schools. KERA's finance reforms abolished all existing school funding mechanisms and created a tiered school finance system comprised of three components: the state adjusted base guarantee and two local-options (Tier I and Tier II) that allow school districts to exceed the state minimum funding per pupil. Adjustments to the base guarantee are made for at-risk students, exceptional children, home and hospital, and transportation. Tier I includes state equalization funds. Tier II includes only local funds. Known as the Support Education Excellence in Kentucky program (SEEK), this school finance system requires a minimum local tax effort of 30 cents per \$100 of property value, increases support to local schools, and alters the distribution of educational dollars among school districts.

The Facilities Support Program of Kentucky (FSPK) provides equalized aid for capital outlay but requires an additional tax of 5 cents per \$100 of

property value. Finance reforms also includes new categorical programs that support preschool, extended school services, technology, professional development, school rewards and sanctions, and family resource and youth service centers for students and their families.

Underlying the SEEK funding mechanism was the Commonwealth's commitment to "assure substantially equal public school educational opportunities for those in attendance in the public schools of the Commonwealth . . . [and to] provide for an efficient system of public schools throughout the Commonwealth" (Kentucky, 1990:67). In short, Kentucky has underwritten school reform with considerable new state and local resources.

PROGRAM IMPLEMENTATION

This report is a review of the fourth year of the five-year plan. It continues to build a framework for the study of equity and examines the distribution of state and local funds and how these funds were expended. The report reviews certain components of the funding mechanism. Finally, it is a report that clearly points out the tremendous strides that have been made during the past four years, but with the continued cautionary note that we "have not arrived." The severe pre-KERA disparities described in Table 1 continue to narrow. However, much work and energy must still be expended if we are to attain the level of equity and adequacy required to fulfill the Kentucky Supreme Court's ruling in Rose v. Council for Better Education, Inc. (1989).

TABLE 1
1989-90 PRE-KERA DISPARITIES

	Low	High
Property Wealth Per Pupil	\$39,138	\$341,707
Levied Equivalent Tax Rate	22.9	111.9
Local Revenue Per Pupil	\$80	\$3,716
State Revenue Per Pupil	\$1,750	\$2,753
Av Per Pupil Expenditure		
For Administration	\$31	\$356
For Instruction	\$1,499	\$3,709
For Teaching Supplies	\$8	\$259
Av Administrator Salary	\$32,017	\$56,691
Av Teacher Salary	\$21,718	\$30,379
Av Certified Salary	\$24,102	\$32,268
Staff Per 1000 Pupils		
Classroom Teachers	49.5	84.7
Librarians	0	7.7
Guidance Counselors	0	4.5
Teacher Aides	0	40.7
Total Certified Staff*	60.4	104.1

The SEEK program is a "tiered" system composed of three distinct but closely related components. These components are:

1. Adjusted Base Guarantee. The adjusted base guarantee is a guaranteed amount of revenue per pupil to be provided for each school district adjusted by a series of factors that affect the cost of providing services to students. For 1993-94, the base amount was adjusted by four factors - exceptional children, transportation, at-risk pupils, and pupils receiving services in a home and/or hospital situation. The following adjustments are a means of directing additional state funds to students and districts with special and varying needs.

- A. The adjustment for exceptional children is a weighted calculation that considers the number of identified children with various exceptionalities. For 1993-94, the twelve (12) categories of exceptionality were placed in three groups and assigned weights.
- B. The adjustment for transportation is determined by applying the formula contained in KRS 157.370.
- C. The adjustment for at-risk pupils is determined by applying a factor of .15 for each pupil approved for free lunch under the National School Lunch Program.

- D. The adjustment for students who are unable to attend regular school sessions because of short-term health impairments (referred to as Home and Hospital) is determined by applying a formula found in KRS 157.270.

KRS 160.470 requires that each local school district levy a minimum Equivalent Tax Rate (ETR) of 30 cents per \$100 of assessed property value. This required "Local Effort" is the local contribution to the adjusted base guarantee. The difference between the Local Effort and the adjusted base represents the state SEEK contribution to the local school district. The mechanics for arriving at this adjusted base guarantee is illustrated as follows:

Pupils			Exceptional Children	Home and Hospital	Adjusted Base Guarantee	Local Effort	State SEEK Aid
Base +	At-Risk +	Transportation +					
\$2,495	\$187	\$330	\$256	\$15	\$3,283	\$574	\$2,709

The base amount (\$2,495) was set by the General Assembly for 1993-94 and is the only amount in this example that is constant for all districts. Each of the adjustments will vary depending on the needs of the student population in each school district; the Local Effort will also vary from district to district depending on the property wealth of the district. Additionally, when calculating the SEEK program, all calculations are made on a per pupil basis and the calculated amounts apply to each pupil in the district.

For clarity, consider the at-risk factor. Suppose the district in the previous example has 2,000 students and 1,000 are approved for free lunch. Each student approved for free lunch generates \$374 ($\$2,495 \times .15$) for a total of \$374,000 ($\$374 \times 1,000$ approved students). This \$374,000 is then spread across the entire student population to display an amount per pupil. In this example the at-risk factor is \$187 ($\$374,000$ divided by 2,000 and rounded). Similar calculations are made for the other adjustment factors.

2. Tier I. Tier I is the second component of SEEK. This is an optional component that allows local school districts to generate additional revenue of up to fifteen percent (15%) of the adjusted base guarantee. School districts whose per pupil property wealth is less than 150% of the statewide average per pupil property wealth (\$280,000 in 1993-94) receive state equalization funds if they choose to levy this additional tax. Districts may participate at any level up to 15% and the state provides equalization funds to guarantee that any district who participates will receive the same revenue per pupil if they make the same tax effort. The tax rate levied by a local school board under Tier I is not subject to the public hearing and recall provisions contained in KRS 160.470. The 1992 General Assembly appropriated \$78 million for 1993-94 in equalization funds for Tier I. These funds were distributed prorata to the local school districts that levied taxes under Tier I.

3. Tier II. Tier II is the third component of SEEK and is also optional. Tier II allows school districts to generate additional revenue up to thirty percent (30%) of the amount generated by the adjusted base guarantee and Tier I. These funds are not equalized by the state and hearing and recall provisions of KRS 160.470 do apply. Tier II has the effect of placing a cap on the amount of

necessary to make decisions about equity in Kentucky and how to insure its delivery. Limitations on available data make it essential for the reader to understand that this report in no way represents a comprehensive equity study.

The work of Robert Berne and Leanna Stiefel (1984) will be referred to frequently. Although many authors provide extensive knowledge of education financing and equity, the work of Berne and Stiefel is relative to the kind of evaluation anticipated of Kentucky's system. As outlined in their book, The Measurement of Equity in School Finance, to build an equity framework, one must address certain problems and make value judgments in four areas:

- 1) for whom do you expect to provide equity?
- 2) what services or resources should be distributed fairly for these groups?
- 3) what are the different equity principles, or measures, that can be used to determine whether the distribution is fair?
- 4) how should the degree of equity be measured?

The group for whom equity is to be provided can be any benefactor or contributor to the system: taxpayers, children, teachers, etc. Given the mandate of the Kentucky Supreme Court in Rose v. the Council for Better Education, Inc. and the subsequent action of the 1990 General Assembly, there can be no doubt that Kentucky's funding system for education attempts to provide equity for children. Equity for other groups -- teachers, taxpayers, etc. -- may be important and may be affected by the desire to provide equity for children. Nevertheless, the targeted group for whom equity is to be provided is clearly the children of Kentucky.

Distinguishing what services, resources, or objects are to be distributed is much more difficult to deal with than determining the group for whom equity is to be provided. Services and resources can be categorized as inputs, outputs, and outcomes. Inputs can be identified as any number of basic resources used to educate children: dollars, price-adjusted dollars, number of teachers and their level of training, course availability and other resources such as the number of library books and the number and quality of textbooks. School facilities can also be included in this group.

Outputs include measures of such things as pupil performance, test scores, and drop-out rates. Outcomes, or the result of the schooling provided to children, can be measured by such things as earning potential, satisfaction with one's status in life, etc. These objects of distribution offer a variety of ways to examine the system. For the purposes of this report, the key object of distribution will be dollars measured by revenues and expenditures.

The determination that the distribution of revenues and/or expenditures (dollars) will provide the framework of study for the equity of Kentucky's funding formula raises a question regarding federal funds. Should federal revenues be addressed when evaluating the equity of the funding system? Many argue for a stronger federal role in the equity issue. Some advocate that the federal government should help achieve equity in the states by providing direct aid. Conversely, there are those who would limit the federal role to one that is much diminished. The impact is greater in Kentucky since this state is one of the highest ranked in the nation in the percentage of federal education funds received.

Federal revenues affect the total revenues and expenditures of districts, and in some this effect is dramatic. However, while these revenues will be reviewed and observed, for the purpose of analyzing the equity of the system they will not be included. Justification for this lies in the fact that local and state revenues are within the abilities of the General Assembly to control. For example, state revenues are determined by direct appropriation and local revenues by state law restrictions.

The state, on the other hand, has little or no control over which districts receive federal funds or to what extent. Therefore, the state cannot be responsible for assuring that federal funds are distributed in an equitable manner. To facilitate the decision to concentrate on state and local funds, much of the analysis will deal with the revenues to local districts instead of expenditures. Revenues, as opposed to expenditures, can more easily be identified by source (state, local, or federal).

Another question is what equity principles can be used to determine the fairness of the distribution. Returning to the work of Berne and Stiefel, three equity principles can be applied:

1. equal treatment of equals;
2. unequal treatment of unequals; and,
3. equal opportunity.

Berne and Stiefel (1984, 1994) refer to these as horizontal, vertical, and equal opportunity equity. Kentucky's funding formula was designed to deal with each of these principles and the framework of this study will deal with all three.

Each of these three principles offers a different philosophy of equity. Equal treatment of equals, or horizontal equity, would best be represented by a funding system that minimizes the disparity of objects among districts, be it revenue, expenditures or resources. Given the decisions already identified in this report, horizontal equity would provide like amounts of funds for each and every student in the Commonwealth irrespective of pupil need or wealth of the district.

Unequal treatment of unequals, or vertical equity, recognizes that not all students are the same and allows for appropriately unequal treatment. An unequal distribution of objects, or dollars for the purposes of this report, is required under this principle. For example, additional dollars may be mandated for special services/programs for the handicapped. The necessity for the differences to be legitimate and justifiable, not just perceived, cannot be overemphasized. National studies recognize numerous differences that are both legitimate and justifiable. Handicapped and bilingual students are two examples.

Equal opportunity provides for nondiscrimination. There can be no variation among such objects as property wealth per pupil, per-capita income, race, or sex. Odden et al. suggest that "this principle would require that there be no relationship between expenditures, resources, programs or outcomes and per pupil wealth or fiscal capacity" (1979:13). Unlike horizontal equity which provides exactly the same object to each and every child, and vertical equity which provides for appropriate differences, equal opportunity equity provides that the education of the child should not depend upon the wealth of the district in which the child resides. This principle gets to the heart of the Kentucky Supreme

Court decision which frequently cited the disparities in funding and opportunity due to the wealth of districts. The relationship between spending and wealth is the cycle which the SEEK funding mechanism attempts to break.

The final question addresses how the degree of equity is to be measured. Horizontal equity can be measured by a number of statistical measures including range, restricted range, federal range ratio, variance, coefficient of variation, Gini coefficient and Atkinson's index. As was stated earlier, limitations on the availability of data demand that this study provide limited analysis. For these reasons, most of the analyses in and for this report have been limited to the statistical measures of range and coefficient of variation.

The range, or the difference between the highest and lowest per pupil objects, is provided only for a sense of relative comparison since analysis of the range does not deal with all the pupils. The coefficient of variation, on the other hand, includes all the pupils. This measure is the standard deviation divided by the mean. The closer all the parts are to the mean, the closer the coefficient of variation is to zero, or showing smaller deviations. "One way to interpret the coefficient of variation," according to John Augenblick in his report, An Evaluation of the Impact of Changes in Kentucky's School Finance System, "is to multiply it by the mean; if the resulting product is added and subtracted from the mean, the difference between the two figures is the approximate range of disparity for two thirds of the pupils in the state" (1991:25).

Measures of vertical equity include the correlation coefficient, simple slope, simple elasticity, and simple adjusted relationship. As data becomes available over time, these measures may be employed. Measures of vertical

equity will be particularly important to Kentucky if additional weights are added to the funding formula and the existing weights adjusted.

Equal opportunity measures employ a combination of the horizontal and vertical measures. The correlation coefficient can be used for the analysis of equal opportunity. Augenblick explains, "The correlation coefficient ranges between 1.00 and -1.00. A strong positive correlation suggests that as one variable increases, the other does also. A strong negative correlation suggests that as one variable increases the other decreases. A correlation near zero suggests that there is no systematic relationship between the two variables" (1991:30).

Equal opportunity is generally expressed as a negative principle, or the absence of a relationship. The Supreme Court decision pointed specifically to the correlation in Kentucky between property wealth and educational opportunities for students; i.e., students in wealthier districts were provided opportunities and inputs not available to students in less wealthy districts. The SEEK program is structured in such a way as to diminish this relationship.

Before the analysis of the funding system is presented, it is important to discuss "wealth" and its definition. The SEEK formula and the mandates of HB 940 require local participation in the funding of Kentucky public education. Although a variety of local taxes are available to support the system, the most substantive and reliable is property taxes. Wealth for the purposes of funding education is defined as property wealth. While property values are used extensively on the national level, other recognized values are gaining attention. Other means of measuring wealth may at some time be viable in Kentucky. For

example, per capita income may have some merit. However, due to the numerous independent districts in Kentucky which lie within county borders, per capita income is not readily accessible data.

To analyze the equity of Kentucky's funding system, it is essential to distinguish each component and deal with these components separately as well as collectively. Vital to the system is the revenue generated through local taxation. For the purposes of funding education, equivalent tax rates (ETR) are computed. KRS 160.470(12)(a) defines equivalent tax rate as "...the rate which results when income collected during the prior year from all taxes levied by the district for school purposes is divided by the total assessed value of property plus the assessment for motor vehicles certified by the Revenue Cabinet."

Accompanying the efforts of the General Assembly in reforming education were the efforts to reform Kentucky property taxes. New statutory provisions include a quadrennial review of all properties in the Commonwealth, a mandate that all properties be assessed at 100% fair market value and rigid performance standards for local Property Valuation Administrators. The disparities noted by the Court in property wealth were compounded by the level of effort of wealthier districts. Not only did these districts have higher property wealth per pupil, but also were taxing at higher rates.

Table 3 shows that in 1989-90 the lowest wealth quintile had an average property wealth per pupil of \$73,100 and an average ETR of 32.92 cents per \$100 of assessed property. The highest wealth quintile had property wealth of \$281,361 per pupil with an average ETR of 68.79 cents per \$100. The coefficient of variation was .436, representing a significant disparity in the effort

TABLE 3
PUPIL WEIGHTED AVERAGES FOR EQUIVALENT TAX RATES
BY WEALTH QUINTILE

Quintile Characteristics	1989-90					1993-94						
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Number of Districts	54	43	40	33	6	176	51	52	34	35	4	176
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454	114,884	115,874	117,604	112,221	121,719	582,303
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$94,901	\$113,319	\$169,907	\$227,847	\$332,361	\$192,952
Equivalent Tax Rates	32.92	35.81	34.99	44.04	68.79	43.60	57.50	52.50	54.49	55.49	73.17	58.78

of the districts. In 1993-94, the lowest wealth quintile increased the average ETR to 57.50 cents, an increase of nearly 74.66%. While the ETR increased in every quintile, the difference between the average of the highest and the lowest wealth quintiles narrowed to 15.67 cents per hundred from the 1989-90 difference of 35.87 cents. The range for the state was 81.4 cents and the coefficient of variation was .196. This represents a narrowing of the disparity in the effort of the districts.

The massive changes mandated in property valuations, while producing increased assessments, also increased the disparity. The range of property wealth per pupil was \$302,569 in 1989-90 with a coefficient of variation of .480. The range in 1993-94 increased to \$442,351, but the coefficient of variation decreased to .423. Decreased disparity in property wealth per pupil is a positive indicator in the analysis of equity. This disparity is beyond the control of the state if it is the result of real economic growth. However, fair assessment is a critical part of assuring equity and should continue to be monitored closely.

The General Assembly provides local school districts with options for types of taxes to be levied, resulting in an equivalent tax rate. Since the ETR is determined, in part, by the total taxes collected in the prior year for school purposes, collection rates are of importance (see Appendix B). If collection rates decrease, there are at least two implications for local school districts. First, in the year of collection, revenues do not meet anticipated levels. Secondly, the ETR for the following year may need to be increased to compensate for the reduced revenue. The impact of collection rates on local school districts should be monitored closely.

The SEEK calculation begins with a base amount, \$2,495 per pupil in 1993-94, and is the component which addresses horizontal equity. This amount is guaranteed for every student, irrespective of need or wealth, through a combination of state and local revenue. The base amount is then adjusted for at-risk pupils, exceptional children, home and hospital, and transportation. These components added to the base then comprise the adjusted base guarantee.

An ETR of 30 cents is required of every school district. The revenue generated through this 30 cent required local effort is applied to the adjusted base guarantee, averaging \$579 per pupil in 1993-94. The wide disparity in property wealth per pupil noted above is expressed in dollars in the required local effort. Table 4 shows the lowest wealth quintile raising an average of \$285 per pupil with the 30 cent required local effort. In sharp contrast is the highest wealth quintile showing an average of \$997 per pupil for the same 30 cent effort. The coefficient of variation is .420, an expression of significant disparity.

The state contribution to the adjusted base guarantee in 1993-94 averaged \$2,589 per pupil as shown in Table 4. The SEEK formula was designed to provide more state assistance to districts with lower property assessments and less state aid to those with the ability to raise more locally due to higher property values. The lowest wealth quintile received an average of \$2,991 per pupil from the state for the adjusted base guarantee, while the highest wealth quintile received an average of \$2,185. This clearly represents a positive digression from the relationship between wealth and resources.

The second level of funding provided by SEEK, Tier I, permits districts to generate additional revenue of up to 15% of the adjusted base guarantee. In

TABLE 6
PUPIL WEIGHTED AVERAGES FOR REVENUE
BY WEALTH QUINTILE

	1989-90					1993-94						
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Quintile Characteristics												
Number of Districts	54	43	40	33	6	176	51	52	34	35	4	176
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454	114,884	115,874	117,604	112,221	121,719	582,303
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$94,901	\$113,319	\$169,907	\$227,847	\$332,361	\$192,952
Local Revenue Per Pupil	\$290	\$436	\$587	\$895	\$1,985	\$851	\$616	\$781	\$1,004	\$1,374	\$2,468	\$1,260
Coeff. of Var.	.525	.376	.328	.299	.167	.779	.367	.256	.186	.192	.469	.561
State Revenue Per Pupil	\$2,352	\$2,270	\$2,221	\$2,176	\$2,125	\$2,228	\$3,617	\$3,271	\$3,040	\$2,738	\$2,511	\$3,031
Coeff. of Var.	.056	.048	.045	.050	.048	.061	.073	0.054	.071	.091	.090	.127
Local-State Per Pupil	\$2,642	\$2,706	\$2,808	\$3,070	\$4,110	\$3,079	\$4,233	\$4,052	\$4,044	\$4,112	\$4,978	\$4,291
Coeff. of Var.	.079	.083	.072	.099	.086	.200	.060	.052	.063	.079	.252	.094
Federal Revenue Per Pupil	\$545	\$394	\$321	\$289	\$276	\$365	\$697	\$567	\$448	\$401	\$601	\$544
Coeff. of Var.	.287	.261	.289	.538	.173	.420	.380	.287	.280	.645	.782	.434
Total Revenue Per Pupil	\$3,187	\$3,099	\$3,129	\$3,359	\$4,386	\$3,444	\$4,930	\$4,620	\$4,492	\$4,513	\$5,580	\$4,835
Coeff. of Var.	.081	.083	.067	.119	.088	.170	.084	.063	.073	.105	.226	.101

disparity between the quintiles in total resources from \$1,468 to \$1,199. However, federal funds do not follow the same pattern for 1993-94. The average for the highest quintile increased significantly from \$276 per pupil to \$601 per pupil. Nonetheless, the difference between the highest and lowest wealth quintiles also narrowed to \$650 compared to the \$1,199 for total revenue. The coefficient of variation for total revenue was reduced from .170 in 1989-90 to .101 in 1993-94. Efforts at continuing to reduce the disparity will ensure a more equitable financing system in the future.

The previous discussion of total funds speaks to funds which either flow to local districts from the state or federal government and funds generated locally. A third source of funds not yet addressed are those funds provided by the state for local school districts; i.e., teachers' retirement, health insurance, and debt service for school construction. Health insurance is available for all certified personnel and all noncertified personnel who are employed for 80 or more hours per month. In 1993-94, the state paid health insurance premiums for approximately 82,000 certified and noncertified employees. The state does not control the number of these employees, leaving that decision to the local districts. The implications for equity, or inequity, are apparent.

Teachers' retirement presents an even greater problem. The employer contribution is paid in total by the state for all certified employees. The equity issue lies in the fact that this contribution is paid regardless of the number of employees of a district and regardless of the salary paid. Table 7 shows the seriousness of the disparity. While the state is contributing an average of \$348 per pupil in the lowest wealth quintile, it is contributing \$365 in the highest quintile. This relationship is inverse to the desirable relationship established by

TABLE 7
1993-94 PUPIL WEIGHTED AVERAGES TEACHER'S RETIREMENT

	1993-94					
	Lowest	Second	Third	Fourth	Highest	Statewide
Quintile Characteristics						
Number of Districts	51	52	34	35	4	176
Average Daily Attendance	114,884	115,874	117,604	112,221	121,719	582,303
Property Wealth Per Pupil	\$94,901	\$113,319	\$169,907	\$227,847	\$332,361	\$192,952
Employers' Match Teachers' Retirement	\$348	\$326	\$318	\$320	\$365	\$336
Coeff. of Var.	.100	.080	.080	.090	.180	.100

the SEEK formula. It is recommended that a detailed study of the issue of fringe benefits be conducted.

SPENDING IN LOCAL SCHOOL DISTRICTS

A cornerstone of KERA was the return of significant decision making to local schools and school districts, including to a great extent how money is spent. This section of the report provides an overview of spending patterns for 1989-90 and 1993-94 with particular attention to personnel expenditures.

Table 8 indicates over \$2.9 billion was distributed to or for local school districts in 1993-94, an increase of 45.03% over 1989-90. Reviewing expenditures of districts is best facilitated by narrowing the scope of the review to current operating expenses. Current operating expenses best demonstrate spending patterns in districts during a particular year, such as administration, instruction, transportation, maintenance, etc. Other expenditures will be reviewed separately.

The patterns of spending for the years 1989-90 and 1993-94 are displayed by wealth quintile in Table 9. The significance of the amount of new money is apparent in that the statewide average for total current expenses rose from \$2,898 per pupil in 1989-90 to \$3,958 in 1993-94. Significant dollar changes are noted in instruction, with the lowest wealth quintile spending \$1,894 per pupil in 1989-90 and \$2,916 in 1993-94. Statewide average expenditures for maintenance increased by 25.71%, from an average of \$105 to \$132.

TABLE 8
STATE AND LOCAL REVENUE (IN THOUSANDS) PROVIDED
FOR KENTUCKY SCHOOL DISTRICTS IN 1989-90 AND 1993-94

REVENUE SOURCE	1989-90	1993-94	CHANGE	
			AMOUNT	PERCENT
STATE SOURCES				
Formula	\$1,179,143	\$1,607,195	\$428,052	36.3%
Capital/Debt*	\$56,091	\$71,731	\$15,640	27.88%
Grant Programs**	\$33,681	\$151,683	\$118,002	350.35%
Health/Life Ins.	\$84,689	\$133,738	\$49,049	57.92%
Teacher Retirement	\$168,398	\$193,000	\$24,602	14.61%
Escrow Accounts*** (Rewards,Technology)		\$20,000	\$20,000	100%
School Facilities Construction Comm.	\$39,293	\$55,785	\$16,492	41.97%
Total (All State)	\$1,561,295	\$2,233,132	\$671,837	43.03%
Local Sources Total	\$484,475	\$733,875	\$249,400	51.48%
State and Local Total	\$2,045,770	\$2,967,007	\$921,237	45.03%

*Includes capital outlay allotment plus Facilities Support Program of Kentucky funds.

**Grant programs in FY1989-90 include such programs as gifted/talented, remediation, in-service training, writing grants, etc. Grant programs for FY1993-94 include those continued from FY1989-90 plus new programs such as extended school services and pre-school. Funds for the operation of Kentucky Department of Education, the Kentucky School for the Deaf, the Kentucky School for the Blind or Kentucky Educational Television are not included in either year.

***Funds appropriated in 1989-90 through 1993-94 for rewards and education technology that are in the escrow account are not included in the amount.

TABLE 9
PUPIL WEIGHTED AVERAGES FOR EXPENDITURES
BY WEALTH QUINTILE

		1989-90					1993-94						
		Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Quintile Characteristics													
Number of Districts	54	43	40	33	6	176		51	52	34	35	4	176
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454		114,884	115,874	117,604	112,221	121,719	582,303
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814		\$94,901	\$113,319	\$169,907	\$227,847	\$332,361	\$192,952
Administration	\$86	\$79	\$70	\$77	\$118	\$86		\$129	\$123	\$98	\$113	\$141	\$121
Instruction	\$1,894	\$1,933	\$1,992	\$2,158	\$2,714	\$2,145		\$2,916	\$2,747	\$2,768	\$2,821	\$3,332	\$2,921
Attendance	\$24	\$24	\$21	\$20	\$24	\$23		\$30	\$28	\$29	\$21	\$27	\$27
Health	\$5	\$3	\$3	\$3	\$5	\$4		\$52	\$39	\$26	\$23	\$30	\$34
Transportation	\$211	\$195	\$194	\$169	\$226	\$200		\$277	\$268	\$251	\$213	\$267	\$256
Operation of Plant	\$190	\$194	\$201	\$218	\$340	\$230		\$270	\$252	\$253	\$259	\$391	\$286
Maintenance	\$87	\$91	\$90	\$109	\$152	\$105		\$136	\$122	\$134	\$118	\$147	\$132
Fixed Charges	\$100	\$86	\$99	\$98	\$145	\$106		\$197	\$163	\$167	\$182	\$194	\$181
Total Current Expenditures	\$2,592	\$2,604	\$2,670	\$2,847	\$3,723	\$2,898		\$4,007	\$3,742	\$3,726	\$3,750	\$4,529	\$3,958

Transportation also increased dramatically, from \$200 in 1989-90 to \$256 in 1993-94, or 28.00%.

These additional dollars can be represented differently by reviewing the percent of total current expenses for each spending category for 1989-90 and 1993-94 (see Figure 1). These pie charts show that although many additional dollars were pumped into the system, spending patterns did not change very much. For example, administration increased from 2.96% to 3.06%. However, instruction fell slightly from 74.20% to 73.80%. Increases and decreases in the percentage of total current expenses for the categories of other, transportation, operation of plant, maintenance, and fixed charges are also noted.

Since salaries for personnel comprise more than 65% of local districts budgets, it is important to take a closer look at the changes in this category in the third year of KERA. Average teacher salaries were addressed by the Supreme Court as being disparate. Table 10 shows average salary (185 days) and average total salary information for certified personnel. Average total salaries include additional pay for extended service as well as additional duty. The difference between the highest and lowest wealth quintiles in 1989-90 was \$4,700 for average salaries (185 days). This difference was reduced to \$3,443 in 1993-94.

The difference between the lowest and highest wealth quintiles in 1989-90 for average total salaries was \$5,124, compared to the \$4,700 difference in average salaries (see Table 10). The disparity in average total salaries in 1993-94 was reduced to \$3,320. Although the reduced disparity is a positive

FIGURE 1
CURRENT EXPENSE BY CATEGORY

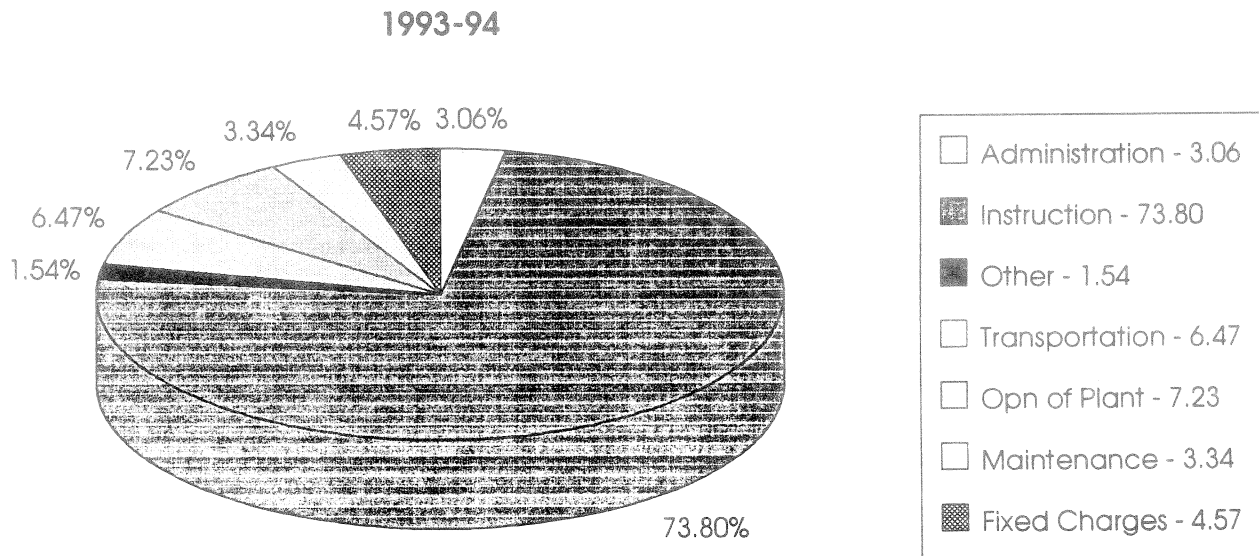
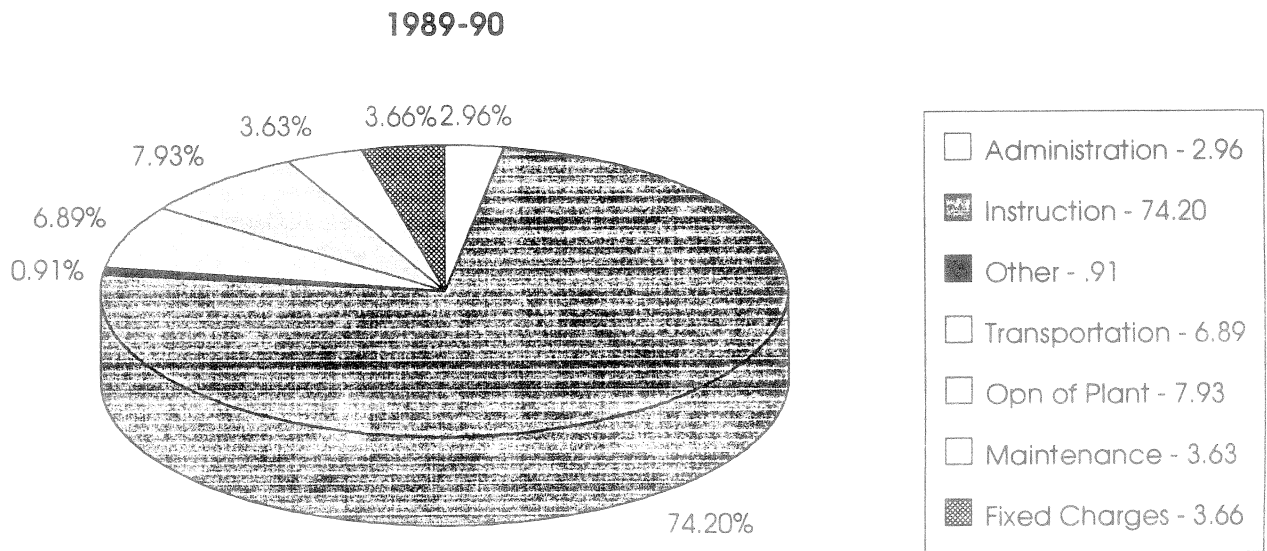


TABLE 10
PUPIL WEIGHTED AVERAGES FOR CERTIFIED PERSONNEL CHARACTERISTICS
BY WEALTH QUINTILE

Quintile Characteristics	1989-90					1993-94						
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Number of Districts	54	43	40	33	6	176	51	52	34	35	4	176
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454	114,884	115,874	117,604	112,221	121,719	582,303
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$94,901	\$113,319	\$169,907	\$227,847	\$332,361	\$192,952
Average Salary	\$24,530	\$24,899	\$25,483	\$26,071	\$29,230	\$26,078	\$30,253	\$29,418	\$30,201	\$30,532	\$33,696	\$30,850
Average Total Salary	\$26,115	\$26,563	\$27,188	\$27,895	\$31,239	\$27,837	\$32,736	\$32,074	\$32,714	\$32,966	\$36,056	\$33,338
Rank 1	34.3%	34.2%	34.2%	32.1%	28.8%	32.7%	33.5%	36.0%	35.0%	33.0%	31.0%	33.5%
Rank 2	41.9%	44.3%	46.6%	48.4%	53.0%	46.9%	43.1%	44.0%	46.0%	50.0%	53.0%	47.0%
Rank 3	23.0%	20.6%	18.6%	18.9%	16.8%	19.6%	23.4%	20.0%	19.0%	18.0%	16.0%	19.2%

outcome of the efforts of SEEK to equalize spending, the disparity remains significant.

Also, Table 10 contains data relative to the rank of certified personnel by wealth quintile. Rank 3 personnel are those with an approved four-year college degree, Rank 2 requires a master's degree, while Rank 1 consists of those personnel with a master's degree plus an additional thirty hours of approved graduate work. While disparities do exist among the quintiles, it is interesting to note that the highest wealth quintile has the lowest percentage of Rank 1 personnel at 31.0%. Inverse relationships exist between the lowest and highest wealth quintiles when comparing Rank 2 and Rank 3 personnel. Certified personnel in the highest wealth quintile are comprised of 53.0% Rank 2 and 16.0% Rank 3 while the lowest quintile has a lesser percentage of Rank 2 than the highest wealth quintile, 43.1%, and a greater percentage of Rank 3 than the highest wealth quintile at 23.4%.

Table 11 shows that in addition to increasing the salaries for certified personnel, the average number of certified personnel also increased. The average number of school administrators increased slightly from 3.00 to 3.09 per thousand students. Other categories showed more significant increases: school guidance counselors increase from 1.83 to 2.12 per thousand; central office staff from 2.99 to 3.85; and, teachers increased from 63.20 to 64.55. However, librarians actually declined from 2.00 in 1992-93 back to the 1989-90 level of 1.96.

It is important to understand that for Table 11, school administrators are defined as principals and assistant principals. Guidance counselors are defined

KENTUCKY EDUCATION TECHNOLOGY SYSTEM

OVERVIEW

Within the next decade there is no question that every student, teacher, and administrator in Kentucky will find it necessary to use a computer and related technologies. While some view the invasion of technology in schools with dread, many Kentucky educators regard their computers as indispensable tools and welcome both the improvement and change stimulated by the Kentucky Education Technology System (KETS). Exciting things are happening in classrooms and schools across Kentucky; yet few people outside of the schools have the chance to see the innovative interactions among teachers and students.

In June 1989, the Kentucky Supreme Court, acting on an appeal of a judgment issued in Franklin Circuit Court, issued an opinion which held the system of common schools in Kentucky unconstitutional. In expressing the opinion of the Court, Chief Justice Robert Stephens wrote: "This decision applies to the entire sweep of the system -- all its parts and parcels, . . . the whole gamut of the common school system of Kentucky, . . . We view this as an opportunity for the General Assembly to launch the Commonwealth into a new era of educational opportunity which will ensure a strong economic, cultural and political future" (Rose, 1989:66-68). Both the court decision and the legislation that followed have been hailed nationwide as landmarks in school litigation and legislation.

Further, the Court stated that "the system of common schools must be substantially uniform throughout the state. Each child, every child, in this Commonwealth must be provided with an equal opportunity to have an adequate education. Equality is the key word here. The children of the poor and the children of the rich, the children who live in the poor districts and the children who live in the rich districts must be given the same opportunity and access to an adequate education" (Rose, 1989:58).

TheodoreSizer, Chair of the Coalition of Essential Schools, suggests that by using "computers, telecommunications, and video, schools can communicate a much richer picture of what goes on inside their walls" (1992:50). Court testimony and subsequent committee hearings showed large gaps in the funding and program and service offerings in Kentucky schools. The contrasts were staggering. Responding to these inequities, the General Assembly established the Task Force on Education Reform and charged it with creating a new system of common schools for Kentucky. The Task Force, composed of legislative leaders and appointees of the Governor, was divided into three committees. The Curriculum Committee determined that technology must be a centerpiece in Kentucky's effort to have the best school system in the country.

The use of technology in education is at a junction of two futures. One is a dismal future which is business as usual with limited teacher training for technology use and educators who are satisfied with what technology is available. The other is a bright future -- a new direction that entails new thinking where technology serves as an integral component of learning and teaching. The noted author Jonathan Kozol suggests that technology can reduce the "disparities between the education offered to the children of the rich and poor"

(1991:56). The successful implementation of KETS will allow Kentucky to move in the direction of making technology an integral component of learning and teaching.

OFFICE OF EDUCATION TECHNOLOGY

Mr. Don Coffman, Kentucky Department of Education (KDE), Associate Commissioner of Education Technology, was given the opportunity to provide detailed information concerning the current status of KETS. As a result, the Office of Education Technology offered the following information.

Implementation Plan

The current KETS Implementation Plan was revised by the State Board for Elementary and Secondary Education in September 1994. The original Implementation Plan was adopted in October 1992. The plan was updated in November 1993 to reflect changes made to the project management structure by 1993 Extraordinary Session House Bill 1. It was at this time that the Finance and Administration Cabinet assumed responsibility for the Trust Fund, that the role of the third party contractor was phased out, and that the Department of Education assumed first-line responsibility for the project.

Project 01

Description: The Offers of Assistance distributes Education Technology Trust Funds to local districts as Offers of Assistance from the School Facilities Construction Commission within the Finance and Administration Cabinet.

According to KRS 157.660, the School Facilities Construction Commission may issue the offer of assistance only after the State Board approves the district's unmet need. Project 01 also provides resources to the KETS Project Office within the Finance and Administration Cabinet for project oversight. Offers of Assistance are issued based upon an yearly allocation per Average Daily Attendance (ADA). This project is closely related to Project 02 Planning and Program Policy Development which manages District Technology Plans and the calculation of unmet need.

Responsibility: Finance and Administration Cabinet

Major Tasks: A. Issue Offers of Assistance
 B. KETS Oversight

FY 1994-95 Budget: \$13,958,608

Status: To date, the following funds have been made available to districts as Offers of Assistance from legislative appropriations:

<u>State Appropriation</u>		<u>Local Match Generates Total of:</u>
1992/93	\$20,000,000	\$40,000,000
1993/94	\$20,000,000	\$40,000,000
1994/95	\$13,700,000	\$27,400,000
1995/96	\$13,400,000 (est.)	<u>\$26,800,000</u>
		\$134,200,000

Based on the general fund appropriation each biennium, the Offer of Assistance has been:

1992 - 93	\$33.35 per Average Daily Attendance
1993 - 94	\$34.54 per Average Daily Attendance
1994 - 95	\$23.72 per Average Daily Attendance (est.)
1995 - 96	\$23.72 per Average Daily Attendance (est.)

Project History: The issuance of Offers of Assistance is included and reported in the KETS Implementation Plan for the first time with the September 1994 update.

Project 02

Description: Planning and Program Policy Development coordinates all KETS planning processes, standards, policies, legislation, inter-governmental projects, and public information initiatives. The project maintains the Master Plan and Implementation Plan, manages the district technology planning process, and monitors district technology procurements. Project 02 produces the unmet need calculation by district and maintains the Offers of Assistance database. The project has a strong focus on accountability, producing the status, progress, procurement and financial reports. All KETS public information efforts are coordinated through Project 02.

Project 02 encompasses activities which were previously distributed among four separate projects. Many of the early project activities which required substantial hours of labor, such as development of the district technology planning process, planning workbooks and the original Master Plan, have been successfully completed and are now in an update and enhancement mode. The completion of these major sub-projects reduces the amount of staff time and administrative overhead associated with the planning functions. These efficiencies allow more of the total general fund appropriation to be distributed to the districts as offers of assistance. For this reason, the four projects were combined and are managed through the September 1994 Implementation Plan as one.

Responsibility: Office of the Associate Commissioner, Department of Education

Major Tasks: A. Maintain Master Plan and Implementation Plan
B. Manage District Technology Planning
C. Coordinate Inter-agency Joint Ventures

FY 1994-95 Budgeted: \$118,500

Status: Kentucky is the only state in the nation in which 100 percent of local school districts participate in a comprehensive education technology planning process. All districts received approval of their first District Technology Plan. As of November 11, 1994, 93 districts have submitted their 1994-95 technology plan update and 162 districts have qualified to receive offers of assistance for the current fiscal year. All remaining districts are on schedule to have completed their plan update and be qualified for offers of assistance by December 15, 1994.

With ongoing installation of the network and technology in the schools, the majority of information which was produced and distributed by the October 1992 Implementation Plan in paper form (i.e., planning guidelines, plans, price contracts, standards) has been migrated to electronic format and is available over the network or on disk. This means that information is more readily accessible, everyone has access to the same and most current version of the information, and the cost of sharing information is substantially reduced.

Project History: Project 02 combines four projects originally established in the October 1992 Implementation Plan and carried over into the November 1993:

- 1) The Master Plan
October 1992 Project 02 included development and publication of the original Master Plan (completed) as well as update of the Master Plan for the 1994/96 Biennium.
- 2) Technical Documentation
October 1992 Project 03 Develop Detailed Technical Plans was completed. 1994 Plan Project 02 carries forward the maintenance of technical documentation and yearly update of the Implementation Plan.
- 3) Public Information Program
October 1992 Project 04 called for a massive, multiple media state-level public information campaign lead by the Council on Education Technology. This centralized approach to public information was later determined to be less effective than locally-driven strategies for community engagement and the project was not activated. Project 02 retains the coordination of public information and outreach programs to secure recognition for KETS at work in the classroom.
- 4) Blueprint and Selection Guide
October 1992 Project 14 was completed. Maintenance and enhancement of the deliverables has been integrated into other projects.

Project 03

Description: Instructional Technology accelerates the use of electronic instructional materials and instructional technologies in ways that will improve teaching and learning. The objectives of the Instructional Technology initiative are to: identify the best products that are currently available; make those products affordable to schools; correlate those products to the curriculum framework and the academic expectations; enable teachers to explore various instructional technologies for adaptation in their own classrooms; and,

Project 04

Description: User Access in the Network will find the best and most user-friendly ways for teachers, students, and administrators to access the KETS network. The first priority of this project is the instructional interface, or window into the network, for teacher and students. This approach represents a change in direction from the October 1992 Implementation Plan which placed priority on access to administrative applications. In addition, the objective of this project is to adapt and customize user interface software currently available in the marketplace to Kentucky's needs. The 1992 project would have issued a Request for Proposal for development of an wholly custom-built front-end to the entire KETS network at a much higher cost. The specific functional and technical requirements for this front-end were never developed.

Although the approach to this project has been modified, the objectives of the original project remain valid: to provide the user with a consistent look and feel regardless of hardware platform or system being accessed; to make it easy for the user to find different services and applications within the system; to provide good on-line help; and, to manage the first levels of security.

Responsibility: Division of System Support Services, Department of Education

Major Tasks:

- A. Implement Common Access Front End
- B. Maintain Network Security Plan
- C. Train Users on Security Issues and Information Policy

FY 1994-95 Budget: \$62,800

Status: KETS users may access the network and all KETS applications from either an Intel or Apple platform interchangeably. KETS uses the Windows and Apple interfaces to products. In the office systems software, particularly, the look and feel of the systems is so similar that Intel and Apple users may be trained in the same session. Generally, users do not have difficulty moving from one platform to the other or exchanging information across the network.

Standards for naming and network addresses have been established for every district and school within the state. This means that each location, and each user within each location, has a unique network address for the exchange of mail and other information as well as for accessing applications and information bases to which they have access privileges. Network access for teachers is focused today on making instructional resources on the network, such as the Internet and the Instructional Software Clearinghouse, easy to find and easy to use effectively.

Project History: This project originated in the 1992 Implementation Plan with a much broader scope focused on administrative users. The original budget for the project was \$194,000 for the definition of functional requirements, development of an RFP, and early prototyping. The total cost of developing and implementing this user interface was never defined.

Project 05

Description: Professional Development manages the training, education, and end-user support activities for KETS users. Professional development is a critical success factor for the KETS program. KETS

approaches professional development from three perspectives which build upon one another: education technology awareness; the development of proficiency; and, specialized, intensive training. Professional development goes hand-in-hand with technical support in the field.

The October 1992 Implementation Plan did not fund professional development activities from the Education Technology Trust Fund. This hampered early efforts to develop a robust program with credibility among teachers and technology coordinators. In the Special Session of 1993, the General Assembly appropriated funding for professional development and the project gained momentum.

A critical strategy for the Professional Development project is the development of training and support capacity at the local level. This strategy includes the development of students as technology leaders in their schools and communities.

Responsibility: Division of Customer Support Services, Department of Education

Major Tasks:

- A. Professional Development Program for Technology Coordinators and Teachers
- B. Professional Development Program for Teachers and Administrators
- C. Professional Development Programs for Library Media Specialists
- D. Kentucky Education Technology Conference
- E. Student Technology Leadership Program

FY 1994-95 Budgeted: \$1,280,600

Status: The human network to support KETS is expanding rapidly. A full-time KETS Coordinator is available in each of the eight Regional Service

Centers. These professionals assist districts with planning and with the integration of technology into the curriculum. The KETS Coordinators work closely with each district technology coordinator and with the school technology coordinators in their service areas. In 1990, most of the technology professionals supporting teachers were located in large or urban districts. Today, that support is spread throughout the Commonwealth.

Every summer, each District Technology Coordinator and every School Technology Coordinator is scheduled to attend training. The focus of training in the summer 1993-94, for those who attended awareness sessions in previous summers, was developing proficiency in "The One Computer Classroom." This special program was developed for the majority of Kentucky teachers who have one or two computers in the classroom today, rather than the one for every six students which they will have eventually.

Ninety (90) instructional technology teams (each composed of one administrator, one classroom teacher, and one technology coordinator) have been prepared to deliver "The One Computer Classroom" training. These professionals will be active throughout the year leading professional development activities for their peers.

The first Principals' Institute on Education Technology is scheduled for January 1995. The Institute will provide education technology awareness training for principals and administrators.

A Student Technology Leadership Council meets regularly to plan for the implementation of 508 Student Technology Leadership programs in Kentucky

schools this year. This program will engage students in KETS implementation as partners with teachers. Each Student Technology Leadership organization will have as a primary mission increasing parent and community involvement in education technology. This initiative will offer Kentucky students the opportunity to: develop leadership skills; form learning partnerships with students in other schools; form learning partnerships among high schools, middle schools, and elementary schools; and, benefit the community by developing the school as a learning center for all citizens. The September 1994 Implementation Plan provides \$1,000 grants to schools for initiation of local Student Technology Leadership programs.

Kentucky now has one of the premier education technology conferences in the nation. Last year, attendance at the annual Kentucky Education Technology Conference exceeded 4,500 students, teachers, parents, and administrators. This annual event combines seminars, workshops, and demonstrations of model programs in the state. In the last two years, attendance from educators in other states has grown significantly even though the program is developed specifically for Kentuckians. The annual Conference is a very important and successful component of the professional development program.

Project History: The project originated in the October 1992 Implementation Plan with a strong focus on centralized training and professional development through a Commonwealth Institute for Education Technology. The Institute was not funded.

Project 06 and 07

Description: These companion projects design, implement, and support the information highway connecting district offices, schools, and classrooms to the statewide network for both administrative and instructional use. The project also includes every secondary vocational education school and every Family Resource/Youth Services Center. These sites were brought into KETS by the State Board for Elementary and Secondary Education in 1993.

Implementation of the network is crucial. There is not a single initiative within the Master Plan for Education Technology which can be fully implemented without the network. As Commissioner Boysen has stated, "Technology can virtually eradicate factors that once created or promoted academic inequity and create learning opportunities that otherwise could not exist within the confines of the clock, the calendar and the classroom." Implementation of the network is driven primarily by schedules associated with implementation of the District Administrative System (see Project 09). The most strategic value of the network, however, is to instruction.

The KETS network is developing as part of the state's emerging information highway and is not being developed as a separate network for educational use. The network is rapidly expanding to accommodate applications which integrate voice, video, and data transmissions, such as interactive video conferencing. The September 1994 Implementation Plan will implement the network in 132 district offices by 30 June 1995. By mid-1995, all districts will be connected. The connection from the schools to the district offices is accomplished within time frames established by local technology planning

the most casual user can understand and manipulate. Implementation of this project will reduce the paper flow from the districts to the Department of Education but will increase the availability of information on demand.

Originally conceived as a way to produce new, "canned" reports from systems monitoring each KERA strand, Statewide Reporting and Information Management is focused today on understanding which data is collected, from whom, and how it is used. Called "data modeling," this approach will make it possible to drastically reduce data conflict and data redundancy. In addition, it will provide a structure through which all new decisions about data within KETS applications can be made.

This project is closely related to implementation of the Administrative Systems in the district and school offices. As these new systems are implemented, and as older, legacy systems are discontinued, the data model will be updated and refined. This continuing process will provide an ever larger, more concise picture of how data is generated and how it can be used to make decisions.

Responsibility: Office of Integration Services, Department of Education

Major Tasks:

- A. Implement Phase One: Pupil Attendance; SEEK Funding; Assessment; and District/School Demographic data
- B. Implement Phase Two: District fiscal and personnel data Convert older, legacy systems.

FY 1994-95 Budgeted: \$519,152

Status: A phase one prototype is in production and is being evaluated by potential users.

Project History: The October 1992 Implementation Plan projected a multi-year, intensive development effort lead by a contractor secured via Request for Proposal with an estimated start-up cost of \$2,000,000. This initiative has suffered from lack of funding; resources have been drawn from the project to support the District Administrative System implementation. Nevertheless, the project approach has been validated and the work continues.

Project 09

Description: Administrative Systems selects, implements, and supports administrative systems in the district offices and schools as called for in the Master Plan for Education Technology. With an extremely aggressive implementation schedule, this project is the focus of KETS activities for the current fiscal year.

The District Administrative System project underwent a significant change in direction in February 1994 when a Request for Proposal for statewide implementation was canceled. This decision, agreed to by the Finance and Administration Cabinet, the KETS Project Office, and the Department of Education, was driven by funding constraints. The District Administrative System, as specified in the RFP, would have included nine sub-systems. The RFP required full implementation of all sub-systems in each district sequentially. Within the limits of available funding, only a handful of districts could have been implemented. The vast majority of districts would not have been able to

3. The FAC through the Project Office must be allowed to function as the "Fail Safe" mechanism on the KETS Project.
4. The financial management component of the District Administrative System must provide schools with detailed information on revenues, budgets, and expenditures by object, function, and program.
5. The lessons learned at the pilot site should be evaluated and that all identified critical adjustments and modifications be made to the financial software. Additionally, these adjustments and modifications should be thoroughly tested before moving past the first seven installation sites. It makes sense to "debug" the software at this stage of implementation instead of replicating the problems in additional sites.
6. It is critical for the Help Desk, technical training, and office and communications training to be in place as soon as possible. Currently, these services are projected to be in place by mid-January 1995. Slippage in the startup of these services will negatively impact the roll out of the District Administrative System.
7. KDE must continue extensive, meaningful, and timely two-way communication with school districts.
8. KDE should seek to reduce the amount of paperwork required by local districts to participate in the KETS Project.

K.E.R.A.
INITIATIVES

ASSESSMENT

OVERVIEW

In August 1994, the Office of Education Accountability (OEA) was given a legislative mandate to initiate a technical review of the Kentucky Instructional Results Information System (KIRIS). It was determined that with this review in process an analytical review of assessment issues in the OEA annual report was premature.

Six nationally and internationally recognized measurement experts have been retained by OEA to conduct this review. School districts, education advocates, Kentucky Education Reform Act (KERA) critics and concerned citizens from across Kentucky have been asked to submit concerns and questions, which have been forwarded directly to the national review panel.

The report of the national KIRIS review panel will be presented in May 1995. The findings of that report will be made available to the same audience which receives the OEA annual report.

For the "novice" reader a brief overview of the assessment program is outlined in the following.

KERA of 1990 established a new statewide "primarily performance based" assessment program to measure what students know and how well they can apply that knowledge. The Kentucky Department of Education (KDE) is

3. Evaluate and make recommendations on the retention, dismissal or transfer of certified staff in a "school in-crisis."

This legislation was revised by the 1994 regular session of the General Assembly in House Bill 256. The revision provides for assigning a Distinguished Educator on a full- or part-time basis when dealing with a "school in-crisis" as defined by KRS 158.6455(5). House Bill 256 altered the time frame for designating a school to be in-crisis until the next biennium.

The budget memorandum, House Bill 2 of the June 1994 extraordinary session of the General Assembly, made two additional alterations. These are that Distinguished Educators may be assigned "to assist schools not meeting their threshold" and "to develop and implement improvement plans." This change results in the Distinguished Educator being a consultant to these schools.

PROGRAM IMPLEMENTATION

There have been a total of 67 persons selected by KDE as Distinguished Educators; 5 in 1992, 50 in 1993 and 17 in 1994. The discrepancy in the number of Distinguished Educators reported in 1992, seven by KDE as opposed to five reported by the Office of Education Accountability (OEA), is a result of OEA contact with the Finance and Administration Cabinet related to KRS 158.782(2)(b). The statute provides that "Beginning with the 1992-93 school year, special recognition shall be given to five (5) Kentucky distinguished educators each year." By appointing seven Distinguished Educators, KDE would have been in violation of this statute, whereby KDE assigned two of these people

to positions within the Department of Education. Of the total, 22 Distinguished Educators have been assigned to serve approximately 150 schools requesting this assistance.

OEA was unable to obtain training session schedules or sufficient evaluations; therefore, it was decided to interview as many of the Distinguished Educators as possible. Staff interviewed 49 of the original 50 Distinguished Educators as to the training program for their assignments. The Distinguished Educators were found to be a group of diverse individuals bringing strong credentials and experiences to the position. Each stated that they had benefited from the opportunities that the designation as Distinguished Educator had given them.

The Distinguished Educator statute - KRS 158.782(1)(c)(4) - requires KDE to provide a training program for the Distinguished Educators to include "methods of personnel evaluation, school organization, school curriculum and assessment." Training was provided in all these areas with varying degrees of success as noted by the individuals. The individual competence possessed by each Distinguished Educator made this task challenging. While many of the Distinguished Educators are certified trainers in some of the program areas, all Distinguished Educators received the same training regardless of their level of expertise.

Each Distinguished Educator was required to prepare during the training an Individual Growth Plan (IGP). This was a self-assessment of their needs. They were to seek assistance from within the group or from outside training as

necessary to fill gaps in their background. Most found this exercise to be helpful and a benefit in preparing them for their role.

Additionally each Distinguished Educator was assigned to a cohort/cadre group. These groups were to support each other and assist in the development of weaknesses identified in the IGP. The groups worked with varying degrees of success. Some were very successful and completely fulfilled their role, others did not succeed at all.

The training plan evolved as sessions went forward. Many felt that this was a part of the evolutionary process of designing a training in an uncharted area. Others felt that some changes were hastily made and not thoroughly reviewed. Most, however, felt that the flexibility and adaptability was indeed a part of the training process. This same type of change was experienced in the evaluation of the training sessions. In the beginning it was very formal, transitioning to little formal evaluation toward the end. Very few felt that this deprived them from an opportunity to communicate with their leaders as to the strengths and weaknesses of the training sessions.

The group of Distinguished Educators developed a strong sense of camaraderie during their formal training in the summer of 1993 until the spring of 1994. At this time the group found out that the budget was not sufficient for all of the Distinguished Educators to be placed. Many indicated that new assessment measures were introduced to provide selection criteria for placement. Several Distinguished Educators raised questions about this additional process. Of particular concern was the fact that two Distinguished Educators from the 1994 class were selected without receiving training.

In reviewing with each Distinguished Educator their most and least memorable training experience, one could often ascertain the background of the Distinguished Educator and could, to a degree, predict their approach to a particular training experience. Universal concern was raised in the area of personnel evaluation training. A number of Distinguished Educators who are certified in personnel evaluation believed this area of training to be a waste of their time. Other Distinguished Educators stated that they believed their fellow Distinguished Educators who had expertise in personnel evaluation could have more effectively provided this training. The lack of breadth and depth in the multicultural training was a concern to a number of Distinguished Educators. They believed that the focus was much too narrow, especially as it related to cultures identified in Kentucky. Again, the background of the individual significantly determined their perceptions.

RECOMMENDATIONS

1. Publish the criteria for the Distinguished Educator selection process.
2. KDE staff should use formal written evaluations for each session to develop a database for future session planning. KDE staff should also carefully screen the background of the Distinguished Educators to locate competent trainers from within the Distinguished Educator group.
3. Monitor how the shift to a consulting role will impact schools who continue to fail to meet KIRIS standards and go from the status of "in-decline" to "in-crisis."

system. The regulation - 704 KAR 20:420 - regarding the position of superintendent, adds the requirement of five years experience and permits other administrative experience beyond traditional school administrator positions to be accepted in this requirement. Further, regulation - 704 KAR 20:251 - establishing the certificate for teaching the moderately and severely disabled has been promulgated. This certificate is valid for all grade levels and provides teacher performance standards.

MINORITY RECRUITMENT

Kathryn Wallace is serving as Director of the Minority Educator Recruitment and Retention Program. This office operates with a budget of \$481,641, this includes \$100,000 of available scholarships and \$172,928 available for alternative teacher certification.

This office has issued a program advisory - 94-MERR-139 - relating to minority teacher recruitment and minority representation in all aspects of KERA. Among other matters, this alerts superintendents to the changes made by the 1994 Session of the General Assembly as it relates to minority representation on site-based councils and superintendent screening committees.

REVOCATION

During the period of September 1, 1993 to September 30, 1994, there were 109 cases resolved compared to 85 cases the previous year. This included dismissal at the probable cause level and suspensions, revocations and dismissals at the hearing level. There are 130 cases pending compared to 100

in 1993. There have been 137 cases reported to EPSB during this time/year; there were 84 at this time last year. The current staff of EPSB for this activity is one full-time prosecutor, one full-time caseworker, two part-time prosecutors and one part-time hearing officer. The EPSB is seeking additional hearing officers and investigative staff.

RECOMMENDATIONS

1. Efforts must continue to ensure the autonomy of the EPSB. Attention has been given to clarifying their role and budgets, but it continues to be a concern.
2. EPSB must move quickly to identify and employ investigators and hearing officers so that the revocation process will not be slowed.
3. EPSB needs to continue to support certification flexibility for schools that are in the process of restructuring.
4. Division of Minority Education Recruitment and Retention needs to work to include all minority groups in their work.

EXTENDED SCHOOL SERVICES

OVERVIEW

This \$33 million dollar component of the Kentucky Education Reform Act (KERA) served 105,742 students who were at risk of academic failure during the 1993-94 regular school term. Although 32 percent of these students attended the Extended School Services (ESS) program five sessions or less, the information from student data sheets revealed that 66.5 percent of these students who attended six or more sessions improved their achievement by one or more letter grades in their primary subject. An additional 17.5 percent of these students were able to maintain their present grades while in the program and not fall further behind.

According to teacher evaluations, at least 25 percent of ESS students were eligible for promotion to the next grade after participating in the program. Other goals achieved include: 7 percent improved attendance, 43 percent completed more homework, 25 percent improved problem solving abilities, 19 percent improved teamwork and 37 percent improved self-sufficiency.

The Office of Education Accountability (OEA) Program Review staff visited over 100 schools in 35 randomly selected districts across the state in the 1993-94 school year. ESS coordinators and teachers were interviewed, student records reviewed and fiscal reviews conducted regarding expenditures as compared to proposed budgets.

Districts utilized a variety of program models to accommodate student and family needs including after school tutoring, before school, evening, Saturday and summer school. A June or July-August summer school, serving approximately 50,000 students, was provided by 164 of 176 districts.

Generally, all districts demonstrated improved accountability although some areas of concern remain: wide variations in pupil-teacher ratio, teacher compensation and cost benefit ratio. It is encouraging that at least 25 percent of students in ESS are being transported by school districts, although geographic configurations of school districts cause huge variations in transportation costs. It is also encouraging that high schools have begun to utilize the program in a more efficient way since the 1992-93 Kentucky Instructional Results Information System (KIRIS) reports.

During the interviews, most school administrators rated ESS as the most successful strand of KERA due to immediate improved achievement and self-esteem.

Since the inception of ESS in 1991, school districts have been encouraged to write competitive grants to experiment with innovative concepts in improving student learning. To fund these innovative programs, up to 10 percent of the total ESS appropriation has been set aside (704 KAR 3:390).

The review process for awarding these grants has been somewhat controversial. The low inter-rater reliability that was discovered among teams who scored the applications in the first round, required a second round scoring. This resulted in some applications, originally recommended for funding, being

denied in the second round. This process needs to be improved before the next round of grants. All districts should be apprised of an appeal process.

PROGRAM IMPLEMENTATION

ESS 1993-94 Quality Assurance Visits Summary by KDE

In addition to regular visits to districts by regional and Frankfort-based ESS staff, the Kentucky Department of Education (KDE) also conducted several quality assurance (QA) visits during the 1993-94 school year (Williamsburg Independent, Pike County, Letcher County, Breckinridge County, Oldham County, Boyle County, Henderson County and Mason County). The intent of these visits was to identify best practices, assist districts in the self-evaluation process, encourage positive changes in district/school programs and identify technical assistance needs at the school and district level.

Visits included interviews with both ESS students and school personnel. Individual questionnaires were administered, financial and student records were reviewed, focus group meetings were conducted and ESS classrooms were observed. Additionally, any available evaluation data which documented the effect of ESS programs was reviewed.

At the conclusion of each visit, ESS staff reviewed the results and prepared a report which highlighted their findings. These reports were shared with the superintendent and ESS coordinator. In addition, a group of key school district personnel were convened to review the results of the visit. The following

describe districts' ESS programs in relation to the critical attributes for effective ESS programs as identified by ESS personnel at the state and district level.

ESS Program Standards

A. Student Eligibility

The prevailing criteria for determining student eligibility is a failing grade or risk of a failing grade. This is usually determined at the end of a grading period although at least two of the districts identify students through an interim deficiency reporting process. Scoring at the novice or apprentice level on the KIRIS assessments and failing to meet expected outcomes are other common means for determining eligibility. Several districts use mandatory ESS attendance for failing high school students.

While teacher referral is the predominant means for identification, some districts promote student self-referral or parent referrals. While most districts use a formal referral system for each school, one district has no district or school policy for this purpose. A few districts continue to have waiting lists which may be due in part to the absence of well-defined exit policies.

B. Collaboration with Regular Classroom Teachers

At the present time, it appears a small number of programs continue as isolated entities with little collaboration or communication between ESS and regular classroom teachers. Some smaller schools rely on unplanned and sporadic channels of communication, depending on report cards as the sole

means for judging progress. In these settings, students work on unfinished homework or other assignments.

Several districts; however, are beginning to demonstrate collaborative planning time and/or grade level team approaches characterized by high levels of communication and shared decision-making. Communication between ESS and regular teachers occur daily or weekly. Student needs, clear objectives and exit criteria are also determined collaboratively in these settings.

C. Instructional Design

There are great variations in instructional design. A few districts have demonstrated the ability to create cost-effective methods of instruction which lower student-teacher ratios and increase the probability for more individualized student instruction. These districts appear to be characterized by strong leadership and a committed staff. Instructional methods include individual instruction, small group instruction, homework assistance, homework hotlines, portfolio development, computer-assisted instruction and hands-on activities whenever possible. In order to provide more individualized instruction, some districts have incorporated the use of peer tutors and/or parent/community volunteers.

Other schools visited offer less innovative strategies, relying on completing homework, preparing for exams and working on specific concepts or class projects. Computers are used on occasion, but available software may not specifically meet the needs of the students.

Finally, there are schools where programs are minimal with a focus primarily on homework completion. Often these programs lack additional instructional material, including computers. They also have high student-teacher ratios across all grade levels and limited individual student goals.

D. Parent Involvement

Parents are positive about the perceived impact of ESS programs on their children's achievement and the ability to function independently in the classroom. However, they express concerns over their lack of understanding of the options available to their children and the inability or lack of opportunity to provide input on such issues as goal setting. Parents indicated the need for increased communication and feedback.

At the present time, most districts notify parents only when students are referred for services. A few districts are beginning to address parental concerns by assigning specific staff members to act as family liaisons. Parents are also kept apprised through parent surveys, phone, mail, orientation programs, pamphlets, daily telephone line bulletins and report cards.

E. Student Records

There is more record keeping required as a result of ESS and many districts have recognized the benefits of concise, accurate student records.

In many districts, record keeping varies by school, although all schools maintain some form of attendance records. Student folders often lack student goals or recommendations and contain limited samples of student work.

F. Program Development/Planning

At least three districts were attempting to allocate ESS funds based upon a needs formula. Committees composed of representatives from each school planned budgets and designed their programs.

In a few districts, school programs continue to be determined by central office staff with some input from individual principals. Instead of funds allocated to schools based upon a needs formula, ESS resources are distributed on the basis of a predetermined number of ESS staff at each school. These schools often receive the same amount of funds for supplies and have limited teacher and parent involvement. There is little awareness of ESS options.

G. Financial Procedures

The majority of the programs utilized financial procedures where expenditures are easily tracked and verified. Separate ESS accounts are usually up-to-date.

Difficulties with financial tracking were noted if the district did not maintain separate ESS accounts. Minor difficulties were noted when districts did not

use special codes to identify ESS expenditures, maintain daily/monthly driver and bus mileage logs, and did not reimburse actual costs of items. Minor problems continue to exist in districts that attempt to replace other funds for administrative personnel and teachers are paid for teaching regardless of student attendance.

H. Report to KDE

Districts have been cooperative in streamlining the quarterly and annual reporting methods at the student, school and district level. Reports and evaluation information is returned to KDE in a timely manner. Previous QA efforts validated the majority of fiscal and student level data. Difficulties in this area are often the result of staff turnovers, particularly coordinators at the district or school level.

I. District Evaluation of Program

Districts are beginning to evaluate the impact of ESS programs. This seems to reflect both a greater stabilization of programs and understanding of the KIRIS assessment system. Districts have found profiles highlighting student level data to be very useful and have tried to incorporate self-evaluation procedures on a preliminary level. Districts continue to lack formal district-wide evaluation systems and gather limited feedback from participating stakeholders. This is usually in the form of parent surveys, summary progress sheets and student surveys. Parents and students who refused to participate in ESS are seldom contacted for feedback. Therefore,

districts and schools remain unaware of the reasons for the failure to participate. KDE developed the following tables to describe various aspects of ESS:

Table #14.

STUDENT DATA - 1993-94 REGULAR TERM		
GRADE LEVEL	NUMBER	PERCENTAGE
Primary	24,150	23
4	12,683	12
5	8,259	8
6	9,267	9
7	9,487	9
8	9,283	9
9	9,630	9
10	9,016	8
11	7,768	7
12	5,635	5
* OU	564	<1
TOTAL	105,742	
K - 6		52
7 - 9		27
10 - 12		20

* OU - other ungraded

- Additionally, approximately 50,000 students were served in summer programs; however, these figures were not conclusive at the time of this report.

Table #15.

TYPE OF SERVICE MODEL	
	PERCENTAGE OF STUDENTS
Before School	6
After School	90
Evening	1
Saturday	2

Table #16.

LEVEL OF ATTENDANCE	
	PERCENTAGE OF STUDENTS
1 - 5 Days	32
6 - 15 Days	27
16 - 25 Days	16
26 - 40 Days	13
40+ Days	11

Dropped Out of Program	8,213 (8%)
Removed From Program	1,650 (2%)

Table #17.

**LEVEL OF ACHIEVEMENT
IN PRIMARY SUBJECT OF FOCUS**

	*PERCENTAGE OF STUDENTS
Improved 4 Letter Grades	2.6
Improved 3 Letter Grades	8.2
Improved 2 Letter Grades	27.3
Improved 1 Letter Grade	28.4
Maintained Prior Grade	17.5
Dropped 1 Letter Grade	9.7
Dropped 2 Letter Grades	4.8
Dropped 3 Letter Grades	1.3
Dropped 4 Letter Grades	.2

* Based on students attending 6 days or more

Table #18.

OTHER GOALS ACHIEVED

	* PERCENTAGE OF STUDENTS
Graduated From High School	2
Promoted To Next Grade Level	25
Improved Attendance	7
Completed More Homework	43
Improved Problem Solving	25
Improved Teamwork	19
Increased Self-Sufficiency	37

* Based on students attending 6 days or more

I. Branch Activities

The following FY 94 and FY 95 activities were planned by the Extended School Learning Branch to address the technical assistance and programmatic needs identified during technical assistance and QA visits.

- Ongoing review of programs at monthly ESS staff meetings.
- Summary review of QA visits at Regional ESS Coordinator Meetings.
- Article in Kentucky Teacher (December, 1994) on results of monitoring visits and recommendations for improvement.
- An evaluation task force will be convened during the 1994-95 school year to review the self-study process and discuss alternate means of gathering student-level data.
- Regional technical assistance workshops were conducted during the summer of 1994 in the area of study skills. Additional workshops will be offered during FY 95.
- In conjunction with the Appalachian Educational Laboratory, staff will develop a database of effective instructional strategies which will be piloted in selected school districts.
- ESS regional and Frankfort-based staff will increase their technical assistance to schools/districts through increased on-site visitations, more regional sharing meetings, additional branch publications and improving linkages with other KERA strands.
- ESS innovative grant funds will support continuation grants for those programs which have potential to be demonstration sites.

- Assist districts in self-evaluation activities. Districts awarded innovative grant funds are expected to conduct a self-evaluation activity.

RECOMMENDATIONS

1. Schools must continue to communicate to teachers and staff that ESS is an integral part of our education system. Ongoing public relations and advocacy activities are necessary to ensure that all interested parties are informed of available services and invited to participate in the decision-making and planning processes.
2. Districts need to develop clear exit guidelines for students participating in ESS programs.
3. In many of the districts, the ESS Coordinator appears to make the majority of decisions about the funding and implementation of school level programs. School staff would benefit from greater participation in planning and implementation of their ESS programs. In addition, the site-based decision making council and other school committees need to meet periodically to review program results and identify unmet student needs.
4. In line with other KERA initiatives, ESS programs need to be prevention-oriented whenever possible. Districts and schools should encourage early referrals. Students should not have to fail before they are referred for services.

5. OEA's review indicated a wide disparity (\$15-30 per hour) in compensation paid to ESS teachers. We recommend that KDE review this issue and establish guidelines for payment. Additionally, KDE staff should clarify the issue of compensating principals for their work in ESS.
6. KDE should consider waiving the self-evaluation portion of ESS paperwork requirements for districts who are meeting KIRIS thresholds.

94-DECS- . Provides guidance as to requirements of the Gun-free Schools legislation.

PROGRAM IMPLEMENTATION

The Division identified six goals for 1994, and these were addressed in the Office of Education Accountability's 1993 Annual Report. These goals and their current status are:

Goal 1. On-site monitoring of five districts (reduced from 30-35 annually because of the impracticability of extensive monitoring when all pertinent regulations are undergoing revision).

Progress: On-site reviews were conducted in six districts, although no reports have been completed. An additional review was conducted in a seventh district that resulted in sanctions. Thirty-three (33) districts and the Kentucky School for the Blind have participated in the self-study compliance system.

Related 1994-95 Activities and Objectives: The Division anticipates completing 35 on-site monitoring visits. By June, 1995, the monitoring process will be completely revised to comply with applicable law and the Corrective Action Plan developed after the 1992 federal monitoring of Kentucky's programs.

Goal 2. Develop caseload requirements for students with disabilities that eliminate categories of disability and support regular classroom caseloads.

Progress: 707 KAR 1:230 on Delivery of Services was amended effective October, 1993. The amended regulation establishes maximum caseloads and age ranges by category of disability, but further provides that caseloads must facilitate students attaining KERA goals and valued outcomes. This is the first time caseloads have been directly tied to KERA provisions. Regulatory caseload limits were established for the first time for collaboration students in this amended regulation.

Related 1994-95 Activities and Objectives: During the 1993-94 school year, in apparent violation of Kentucky law, the Division permitted local districts to "average" the number of students served per period and required waiver requests only if averages exceeded 10.5 students. The Division established a committee including parents, advocates and local district staff to review issues related to caseloads, and in June, 1994, the "Final Report of Recommendations of the Kentucky Class Size and Caseload Task Force" was issued. Additional amendments to 707 KAR 1:230 will be proposed by June, 1995, to further increase the capacity of schools to serve disabled students in regular classrooms and to reduce the need for waiver requests.

Goal 3. Develop and disseminate a self-study compliance document detailing state and federal requirements.

Progress: Completed.

Related 1994-95 Activities and Objectives: As a part of the revised monitoring process, there will be on-going field tests of the document in approximately 35 districts.

Goal 4. Increase the number of identified emotional-behavioral disabled (EBD) students in the 31 districts having no EBD students identified on their December, 1992, Child Count.

Progress: By June, 1994, 19 of the districts had identified and begun serving EBD students and 3 additional districts agreed to accept technical assistance in this area.

Related 1994-95 Activities and Objectives: The Division's targeted efforts in this area focus on dissemination of a research-based process for screening, identifying and intervening with students who may be at risk for having emotional and behavioral problems.

Goal 5. Develop a "best practices" document regarding inclusion.

Progress: This goal was met.

Related 1994-95 Activities and Objectives: The Division intends to have training available for all local districts that addresses the legal obligation of placement in the least restrictive environment and incorporates information about successful practices.

Goal 6. Increase the number of schools having inclusion programs.

Progress: The number of districts with neighborhood school inclusion programs increased from five to ten during the 1993-94 school year.

Related 1994-95 Activities and Objectives: The Division intends to add three more model inclusionary sites to the existing ten. Technical assistance will be provided to these new districts as they plan and develop inclusionary programming for severely disabled students.

Additional Division Objectives for the 1994-95 School Year

Kentucky is the only state to affirmatively include exceptional students in its systematic reform efforts, and five of the Division's 1994-95 goals further reinforce the Commonwealth's commitment to this endeavor. By June 30, 1995, the Division will have disseminated to all local districts revised child find materials that incorporate KERA concepts. By the same date, it is anticipated that there will be a 10 percent increase in the number of students with low incidence disabilities receiving vocational services in 10 pilot districts and a 10 percent increase in the number of districts placing disabled students in paid

employment settings prior to exiting schools. Additionally, the Division is seeking a 10 percent decrease in the drop-out rate for students with disabilities, and will offer mini-grants to districts to develop and support drop-out prevention efforts. Finally, the Division intends to improve KIRIS outcomes for children and youth with disabilities by providing research-based successful practice information to all of the districts.

In addition to the KERA-oriented objectives for the 1994-95 school year, other important goals include:

- Revising the Comprehensive System of Personnel Development in a long-range effort to reduce by 50 percent over five years the use of emergency or probationary certified teachers;
- Providing quarterly updates to hearing officers; and
- Distributing a manual to all local districts on providing occupational and physical therapy.

In addition to the activities cited above, 42 complaints alleging violations of special education law have been investigated by the Division. These complaints involved 24 districts and one of the state schools. Four of the complaints related to systemic violations within the district. Twenty-eight (28) violations were substantiated and corrective action plans were developed.

RECOMMENDATIONS

1. The Division of Exceptional Children should strongly consider maintaining its focus on recalcitrant districts which identify few, if any, EBD students. A disproportionate number of the students expelled or dropping out of these districts are likely EBD students. Laws requiring services to, rather than exclusion of, these students have been in effect for 17 years. It is unrealistic to continue hoping for voluntary compliance.
2. The Division should develop a policy on protecting the confidentiality of individuals who file complaints with the office. Any other policy acts as a deterrent to reporting and can result in punitive action against the complainant.
3. KDE should commit sufficient resources to the Division to ensure effective and timely monitoring. The Individuals with Disabilities Education Act (IDEA) requires monitoring on a five-year cycle, and some districts apparently will meet minimum standards only when intensive compliance reviews are anticipated.

Table #19.

FAMILY RESOURCE AND YOUTH SERVICE CENTERS

Fact Sheet

GRANT BREAKOUT	
# GRANTS	AMOUNT
4	10-19,999
11	20-29,999
37	30-39,999
56	50-59,999
62	60-69,999
65	70-79,999
42	80-89,999
122	90,000

STUDENT FREE LUNCH ELIGIBILITY
TOTAL STUDENT POPULATION
349,323
FREE LUNCH POPULATION
164,333
47%

MINIMUM GRANT	10,800
MAXIMUM GRANT	90,000
AVERAGE GRANT	67,400

CENTER LOCATIONS	
RURAL	309
URBAN	94
SUBURBAN	52

CENTER CLASSIFICATION	
FAMILY RESOURCE	268
YOUTH SERVICES	112
COMBINED	75

FRYSC EXPANSION FY 92-94		
CENTERS ESTABLISHED		GENERAL FUND APPROPRIATION
FY 92	133	9,500,000
FY 93	223	15,900,000
FY 94	382	26,400,000
FY 95	455	31,848,000

SCHOOL SERVICE AREA	
TOTAL CENTERS 455	FRYSC SERVED SCHOOLS 752
# SCHOOLS ELIGIBLE 1,129	
67% OF ELIGIBLE SCHOOLS NOW SERVED	

The Cabinet for Human Resources Evaluation

During the first six months of 1994, 15 FRYSC's were visited as an expansion of the implementation evaluations begun last year and described in a document entitled, Implementation Evaluation of the Family Resource and Youth Service Centers: A Qualitative Analysis (Illback & Kalafat, 1993). The 1994 report from this effort was available from the FRYSC office at CHR in the fall of 1994.

A significant finding in the past year was that center coordinators needed more extensive, "hands-on support" in managing the information and evaluation system that has been developed. The majority of the problems fall into two categories: (1) user familiarity with basic computer concepts and utilization; and (2) hardware problems, such as printer compatibility, telecommunications and the use of Macintosh machines. Many coordinators continue to have little available local support. Extensive computer training and support for FRYSC staff has greatly increased the ability to diagnose and address common problems and issues, while more technically sophisticated problems have been resolved by the programmer.

Now that there are 455 centers, providing comprehensive training and follow-up services is a major challenge. Much effort has been expended in this context. As the second (and more elaborate and refined) version of the software was published (August 1993), nine all-day training sessions were conducted across the state for both new and experienced coordinators. These provided both an overview of the evaluation system and systematic training in the installation and utilization of the information system. Training was conducted in

computer laboratories at regional colleges and universities such that coordinators could practice the specific task requirements of learning the system on a computer system. Based on participants evaluations, this training was well-received. Within the present time frame, as a few new centers come on line, a similar training program will be conducted.

An on-going committee comprised of coordinators and CHR staff continues to advise regarding problems and suggested improvements. Based on this input, software development for the third version is underway. As the software program continues to expand in response to burgeoning informational needs at the local level, it will need to be broken down into flexible modules, due to the limit of information that may be loaded into active memory at one time. A number of other minor changes are also anticipated, which will be field tested and ready for distribution the fall of 1994.

Other on-going training and evaluation activities completed during this period include: (1) the development of training curriculum for prospective coordinators to help them formulate needs-based program goals, available in easy access videotape format; (2) a workshop on information ascertained through the FRYSC evaluation at the National Family Resource Coalition conference in May in Chicago; (3) presentations at local, state and regional meetings regarding evaluative findings to date; (4) participation in the KERA planning process with Dr. Gene Glass; (5) on-going planning and evaluation consultation to the project; and (6) responding to information requests from across the country regarding Kentucky's FRYSC evaluation effort.

OEA Fiscal and Management Review

The Office of Education Accountability (OEA) annually monitors FRYSC's in 35 school districts. These monitoring visits, along with correspondence, hotline calls and legislative comments led to a decision to initiate an extensive FRYSC review in late spring of 1994.

The OEA Spring 1994 Review of Family Resource Youth Service Centers focused specifically on management and fiscal accountability issues. In accordance with the directive for OEA (KRS 7.410), the first method for resolution of a FRYSC concern is to address it locally. CHR field staff are the logical entry point for complaints or concerns. OEA has encouraged, whenever possible, local or CHR resolution to every FRYSC issue. OEA remains concerned that, while considerable flexibility is a plus for FRYSC's, there is insufficient monitoring of the 455 FRYSC's operations. While OEA will continue to monitor developments of the FRYSC's (KRS 7.410 (2)(c)1.), it is not the intent of the office to more intensively monitor FRYSC's or perform the recommended audits. We believe this is a function of CHR. We will continue to investigate allegations of wrongdoing that have not been *resolved* or *satisfactorily explained* (KRS 7.410(4)) and will continue to receive information (KRS 7.410(7)(f)) and work with CHR/FRYSC staff to resolve local and state FRYSC issues.

The following issues were reviewed:

Personnel & Supervision

All employees of the FRYSC's are employees of a school district (KRS 156.4977). The nepotism laws which affect employment in a school district (KRS 160.380) pertain to employees of FRYSC's. OEA recommends an expansion of that statute to prohibit relatives of the district school board, personnel in supervisory positions with the local district and the local center advisory council from being employed by the FRYSC.

The State FRYSC Task Force should review and recommend procedures to prevent "bumping" coordinators out of positions by "down sizing" district staff. While center coordinators *are* employees of the district, we believe they should be exempt from reduction-in-force policies due to the special skills required to be a coordinator. For example, a 20-year veteran social studies teacher is not necessarily qualified to run a resource center and should not "bump" a trained, highly qualified resource center coordinator selected by an advisory council.

OEA continues to receive questions regarding the supervisory authority of FRYSC advisory councils, school-based decision making (SBDM) councils and local school boards. Clarification of the role of FRYSC advisory councils that function in schools with SBDM councils is recommended. In addition, we recommend reciprocal ad-hoc membership between the SBDM council and the FRYSC advisory council.

FRYSC advisory council recommendations are just that ... advisory. It is the view of OEA that school board policy takes precedence over FRYSC advisory council recommendations, if there is a direct conflict of opinion on any policy area outside of KRS 160.345(2)(i).

The FRYSC coordinator should be a broker of services. With the limited grant amounts, this is the most cost effective method for reaching the greatest number of students and families. The disparity in annual salaries for center coordinators continues to be a problem since provision of services and duties are similar in every center. This issue should be addressed locally. To eliminate excessive individual salaries, OEA recommends that the Task Force establish a statewide cap on individual personnel expenses.

The issue of paying certified, tenured teachers as center coordinators should be reviewed. OEA believes that highly qualified individuals are available at salaries significantly lower than those required by certified, tenured teachers. This issue should be carefully considered before using the greater portion of the FRYSC grant for the center coordinator's salary. Dollar for dollar, paying for actual services performed may be the best use of center grants. Contracting with outside resources and agencies for needed services would result in a high cost/benefit ratio. For example, a resource center may not need to hire a full-time nurse if a contract can be established with the health department to provide immunizations and health screenings; a center may not need to hire a licensed counselor if a contract with a regional comprehensive care center can be implemented.

OEA does not recommend a special certification for FRYSC coordinators. Such a requirement would be burdensome and unnecessary. Mentoring programs, while suitable for FRYSC coordinator training, should be voluntary and informal. Exceptional FRYSC coordinators may make exceptional mentors, but their workload could become staggering and decrease their effectiveness at their center.

Individual or Family Annual Funding Limit

After careful review, OEA recommends an annual funding limit on FRYSC grant money given to an individual or family group. This cap should be formally determined by either the State FRYSC Task Force or the local advisory council.

Each local advisory council should implement a written policy to document that families have truly made a good faith effort to try other sources of help. For example, a standard list of agency names, agency staff contacted, date of agency contact and agency response should be on file before FRYSC grant funds are expended. This may be waived in extreme circumstances; i.e., a household fire. Advisory councils should regularly oversee expenditures through review of the agency contact checklist. This may also prove helpful for advisory councils that lack information.

Through the individual/family funding limit, agency checklist and advisory council review, families that are overly reliant and/or abusing the FRYSC's will be encouraged to become more self-reliant. Some centers are basically supporting just two or three families.

Guidelines for Expenditures

Fiscal Oversight

Each center should annually submit to the FRYSC/CHR a full accounting of expenditures, other than personnel. OEA recommends reporting *individual* item expenditures, not expenditures by total vendor expense. Each review should provide the following information:

a) Individual check; b) Vendor/client; c) Item; and d) Amount of check

Centers should be aware that it is illegal to circumvent the spending cap or bidding law by use of split payments to one vendor. Example: One vendor of T-shirts received a payment of \$490 for middle school T-shirts and a check of \$490 for high school T-shirts on the same day.

While this reporting method may appear cumbersome, with a maximum grant of \$90K, this information should be readily available in every center. Districts should expand their annual fiscal audits to include assurances that FRYSC's adhere to line item expenditures outlined in their budget.

CHR should randomly review district audits to ensure appropriate spending. We recommend that the school district fiscal officer review quarterly financial reports to ensure appropriate spending. We also recommend that FRYSC advisory committee minutes reflect a full accounting, disclosure and approval of the advisory committee on expenditures. Any and all vending

machine sales associated with FRYSC's should be subject to annual school district audits.

All FRYSC funds should be totally separate from any other program; i.e., adult or community education. These programs do often complement each other but *all fundraising and program activities should remain separate and distinct expenses.*

All FRYSC funds should remain restricted for FRYSC expenses and maintained in a separate account through the school district office. Individual checking accounts should not be allowed. One-way accounts are acceptable for the purpose of depositing donations. Funds may be deposited in these accounts, but the account may only be drawn upon by the authorized school district fiscal agent.

School board's should not lend money to FRYSC's to be repaid after a fundraising event. Advisory councils and local center staff should remain within the budget when planning any event and should not request loans. Fundraising and in-kind donations should be encouraged. Centers need to keep careful and exact records of volunteer time.

FRYSC's should coordinate their programs with district initiatives. Example: There is no need for FRYSC's to have after school tutoring with paid snacks and transportation if there is an extended school service program at the school. These programs should be coordinated, however, *funds should not be commingled in any circumstances.*

Programs should *not* list items in their budget that are not written into their grant as core or optional components; i.e., recreation may be a program component. All individual expenses should be reported by check, vendor, item and expense. A volleyball and net could be listed under the recreation program component. If recreation is not listed as a program component on the center grant, there should be no FRYSC costs paid for recreation.

Awards and Recognition

After careful review and monitoring of numerous FRYSC's, OEA recommends guidelines for use of *grant* funds for enticements, awards, incentives and recognition (student, parent and volunteer). A 2 percent limit on grant funds that may be used for these expenditures is recommended. This does not include *donated funds* or items of *in-kind contribution* that are made directly to the center.

Under the 2 percent cap of *grant funds* would be all items of promotion for the FRYSC including, but not limited to:

- | | | |
|-----------------|-----------------|-----------------|
| T-shirts | Baseball Caps | Sipper Cups |
| Coffee Mugs | Pens or Pencils | Bumper Stickers |
| Balloons | Litter Bags | Banners |
| Christmas Cards | Tote Bags | Sun Visors |
| Magnets | | |

Participation in community events that require significant funds; i.e., sponsoring an FRYSC float in a parade.

Media should not be an expense category. Newspaper, radio and TV should all be donated or included in the 2 percent limit. Any exception should be approved by the state FRYSC Task Force. *These items may be donated to the FRYSC.*

No FRYSC grant money should be used to send flowers, cards or other items to center staff, advisory council members or volunteers. This includes flowers for funerals and hospitalization. *Donated funds may be used for these items if deemed appropriate by local advisory councils.*

Entertainment expenses, paid for with the FRYSC grants, should be carefully reviewed. Movie tickets, given as awards or incentives, should be categorized within the suggested 2 percent cap. *Donations to be used to cover entertainment expenses*, particularly those that have little academic value; i.e., trips to Kings Island. Guidelines which allow grant funds to be used to make payment for individual children to attend enrichment programs; i.e., YMCA day camp, 4-H or scout camp, should be developed by the State FRYSC Task Force. Local advisory councils may use the guidelines to establish local policy. At a minimum, it should be clearly documented that the FRYSC is the *last* source for funding.

Food and Travel

All food items, i.e., meeting refreshments, pizza suppers, coffee & donuts or lunch for volunteers, should be funded within the 2 percent recommended cap, with nothing more than coffee/soda for advisory council meetings. *Donated* food items are recommended and appropriate for meetings and recognition

dinners. Plaques or framed certification of recognition are included in this category. *We encourage donations for all or any of these items.* All donations should be carefully and accurately documented.

Staff of the FRYSC should accurately document all necessary travel, including home visits. Non-FRYSC staff may not be paid for travel with the FRYSC grant; i.e., administrative staff trips to Frankfort or non-FRYSC staff professional development travel.

OEA strongly recommends that the purchase of a FRYSC designated vehicle be approved only by the State FRYSC Task Force. Travel reimbursements would be a more appropriate use of funds. Additionally, leasing arrangements should be carefully reviewed.

Field Trips

Field trips are a subject of concern and confusion. OEA recognizes the need for local flexibility and recreation *is* an optional component in the grant process. While there are numerous arguments in favor of using FRYSC grant money to fund field trips -- increase self-esteem, promote positive family involvement; reduce isolation and the effects of poverty, increase experiential learning -- it may be inappropriate to use tax money designated as education funds to take children or a family group to Opry Land or Kings Island for purely a recreational outing. Recognizing that children in poverty are denied these experiences, is a field trip to a water park or theme park *the best* use of FRYSC grant money, intended to reduce barriers to help students become prepared for school?

OEA does support FRYSC field trips through *donated items and services*, although out-of-state trips are problematic due to the expense involved. Review of this issue at the state level through clarification of legislative intent and/or State FRYSC Task Force guidelines is suggested.

Field trips sponsored by a club, classroom teacher or school should be solely for educational purposes and should not be funded, *in any way*, with FRYSC grant money, but rather through instructional funds [KRS 160.290, OAG 85-100]. FRYSC funds should not be used to pay for trips for needy students, as schools must not discriminate on the basis of indigence. Schools or school-sanctioned clubs must anticipate funding for needy students if the trip is sanctioned by the district; i.e., chorus, Key Club or computer club.

Day Care

Clarification by the legislature or the State FRYSC Task Force regarding the core component on day care, is necessary. KRS 156.497(3) states, "The plan developed for the centers by the task force shall promote identification and coordination of existing resources and shall include, but not be limited to, the following components for each site: (a) Full-time preschool child care for children 2 and 3 years of age; (b) After school child care for children ages 4 through 12, with the child care being full-time during the summer and on other days when school is not in session." Different interpretations have concluded that FRYSC's must:

- pay for all day care expenses if the family is unable to pay;
- pay for part of the day care expenses;

- establish a day care program and make it available; and
- be required to locate and advise of agencies that may provide day care.

One FRYSC pays \$400/monthly *for one family* - for day-care. This may not be the best use of FRYSC funds.

Proposal Review Process and CHR Administration

CHR is implementing a different FRYSC grant proposal review procedure. The first review of the proposals will be for technical accuracy. Technical errors will be noted and the application returned to the district for revisions. This will be helpful due to the complexity of the application procedure. The second review of the proposal will be the actual scoring on the merit of the proposal. OEA will continue to monitor the FRYSC proposal review process.

Clarification of legislative intent on unexpended funds (carry-over funds) for the FRYSC's is needed. The options include:

- Use all unexpended funds to fund new centers;
- Hold all or a portion of unexpended funds in a pool for use at centers that are created as a result of the appeals process. Require all appeals to be determined by December 30th. Unexpended funds carried over from the appeal process may then be used to award grants on January 1 of the new calendar year.

OEA does not believe it was legislative intent to enhance the administrative operation at CHR with unexpended center funds.

OEA will continue to monitor the impact of CHR's reorganization on the FRYSC's staff. OEA continues to support management of the CHR/FRYSC staff by CHR administrators. It is OEA's understanding that CHR/FRYSC staff will *not* be staffing the Governor's Commission on Families and Children.

Conclusion

Based on OEA's review, FRYSC's have enabled education, social services and health-care providers to reduce or eliminate the barriers to learning which confront many of our children. OEA staff has been encouraged by the caring, enthusiasm, determination and success which can be seen at almost all FRYSC's.

OEA has visited a few centers needing guidance on fiscal issues and administrative policies. The suggestions that have been made should be implemented with minimal effort at all FRYSC's to support sound administrative and fiscal management. FRYSC staff are employees of the local school districts and therefore, are governed by local district policies and state education laws. FRYSC's, now in the fourth year of operation, could benefit from reasonable guidelines to help direct FRYSC coordinators and local advisory councils.

RECOMMENDATIONS

To ensure appropriate fiscal oversight, OEA recommends the following:

1. Each center should annually submit to the FRYSC/CHR a full accounting of expenditures, other than personnel. OEA recommends reporting *individual* item expenditures, not expenditures by total vendor expense.
2. CHR should randomly review district audits to ensure appropriate spending. We recommend that the school district fiscal officer review quarterly financial reports to ensure appropriate spending. We also recommend that FRYSC advisory committee minutes reflect a full accounting, disclosure and approval of the advisory committee on expenditures.
3. All FRYSC funds should be totally separate from any other program; i.e., adult or community education. These programs do often complement each other but *all fundraising and program activities should remain separate and distinct expenses.*
4. FRYSC's should coordinate their programs with district initiatives.
5. Programs should *not* list items in their budget that are not written into their grant as core or optional components.
6. A limit should be established for expenses related to awards, recognition and incentives.

8. The nepotism statute (KRS 160.380) should be expanded to include employees of FRYSC's and FRYSC Advisory Committee members.
9. Clarify the role of FRYSC advisory councils that function in schools with SBDM councils.
10. The State FRYSC Task Force should define the lines of authority and communication between and among center coordinators, central office staff, CHR/FRYSC field liaisons, the State Task Force and CHR/Frankfort-based personnel. The effort is needed because of the FRYSC staff reorganizations at CHR.
11. CHR should review the selection criteria to ensure priority in establishing centers in areas of greatest economic need.

MULTICULTURAL EDUCATION

OVERVIEW

"There isn't adequate information available that can be considered viable for inclusion in existing curriculum activities. The development and understanding of multicultural education will continue to be a slow and laborious process." (The Kentucky Department of Education, September, 1994)

In the Multicultural Education section of the 1993 Office of Education Accountability (OEA) Annual Report, a citation was used from the same section of the 1992 OEA Annual Report; "Following the Statewide Conference on Multicultural Education in November 1992, a number of schools and/or districts will be chosen for participation in design and implementation of model education programs."

In addition, the 1993 OEA report stated, "In the document Multicultural Education Pilot Programs, prepared by staff at the Kentucky Department of Education (KDE) in April 1993, a new timeline is presented. The timeline for this project has been significantly altered from the original proposal. If training had begun in 92-93, pilot sites could have been in place for 93-94, which would reduce the delay."

For the 1994 Annual Report, OEA requested from KDE the evaluation of the schools/districts participating in the model multicultural programs on design and implementation. The following statement was returned from KDE: "The Multicultural Opportunities Branch held a Pilot Program Retreat during August

1993. Staff met with key constituents to develop a model program for local school districts. Following the retreat, we chose to delay the pilot program, therefore we chose no model sites. It was decided that more planning and preparation was needed in order for the model school districts to feel confident with multicultural inclusion in all areas of their curriculum."

Additionally, OEA requested the following information from KDE:

- Assurance by KDE that multiculturalism is being infused into all professional development programs approved by KDE;

KDE Response: Peer review teams were created to examine all professional development plans. Multicultural education was identified and included in many of the professional development plans, however, multicultural education was not included as an indicator in the reviews.

- Copies of the plan created by each pilot school that describe their proposed multicultural program;

KDE Response: Pilot programs have not been incorporated into any school district as the model site project has been delayed for further development. Currently, two of the five staff members from the Multicultural Opportunities Branch have left the department. Until those staff members have been replaced, the remainder of the branch will continue redefining their goals and expected outcomes.

The following is the Executive Summary of the Multicultural Opportunities Branch, received from KDE, September 1994:

A. Branch Mission Statement: The mission of the Multicultural Opportunities Branch is to provide resources to local districts and to build capacity within local districts to address equity and diversity issues systematically.

B. Change Leader: Vacant as of August 1994.

C. Authority: Title IV of the Civil Rights Act of 1964; Guidelines for Multicultural Education adopted by State Board for Elementary and Secondary Education, September 1992.

D. Objectives:

- To provide technical assistance to all KDE program managers and consultants and 176 local districts in cultural issues relating to gender equity, racial, ethnicity and socio-economic concerns.
- To provide professional development experiences in equity and diversity issues for approximately 1,000 local district personnel.
- To promote equal educational opportunities for all students.

E. Activity Summary:

- Provide resource materials, presentations and information on diversity of KDE staff, superintendents, principals and professional

development coordinators in 176 districts and provide support for assessments of local need.

- Provide training through a statewide conference, regional training workshops in eight regions and videotaped training modules on loan from the branch.
- Help other education partners sponsor equity activities with mini-grants through Title IV federal funds and staff time including conference for academically proficient African-American high school seniors; leadership program for women athletes; programs for teachers of students of different national origin and other activities.

KDE reported 56 multicultural training sessions from July 1993 to April 1994, with approximately 17 of those sessions conducted for the direct benefit of teachers. Of the 56 training sessions conducted, less than ten entities received more than one training session. The Regional Service Center in Region 7 reported six individualized training sessions. Participants in the other 39 sessions may have included teachers, with the presentation content directed toward an audience including school administrators, school advocates, staff at institutes of higher education and local boards of education.

PROGRAM IMPLEMENTATION

The following statutes address the role of multiculturalism in reform:

KRS 156.095. *Professional Development/Teaching Students of Diverse Cultures.* "...Professional development shall focus on the following areas for the

1990-1991 and 1991-1992 school years: Effective awareness and sensitivity training so teachers can motivate and nurture students of diverse cultures...."

KRS 156.410. *Selection of Textbooks.* "...Criteria shall require that textbooks include the significance of the diverse ethnic contributors to society...."

KRS 156.500. *Appointments to Reflect Reasonable Minority Representation.* "The General Assembly directs that appointments made by the appointing authority to every board, commission, council or other type of advisory or decision-making body...reflect reasonable minority representation of the membership and that active minority participation at every level of implementation be continually encouraged."

KRS 160.380. *School Employees - Restrictions on Appointment.* "(d) When a vacancy occurs in a local district, the superintendent shall conduct a search to locate minority teachers to be considered for the position."

KRS 161.028. *Education Professional Standards Board; Authority to Promulgate Administrative Regulations.* "(1)(d)...The Board shall study the problem of the declining pool of minority teachers in the Commonwealth and submit recommendations for increasing the number of minority teachers to the 1992 regular session of the General Assembly...."

The OEA Program Review staff remains concerned that while the words multicultural infusion are frequently used by KDE, in actuality, little is being accomplished.

PRESCHOOL PROGRAM

OVERVIEW

A total of 15,717 preschoolers were served in the 1993-94 school year through Kentucky Education Reform Act (KERA) Preschool programs at a total cost of \$37 million dollars. Additionally, 12,426 children, in the same age group (three- and four-year-olds), were served with federal dollars through the Head Start program. These two programs served approximately 75 percent of all eligible (at-risk and handicapped) children in the state and approximately half of all four-year-olds in Kentucky.

Eighty-eight (88) percent of the school districts are actively involved in an interagency group which plans and coordinates health and social services for Preschool children and their families. Expanded collaboration from previous years is evidenced with Family Resource/Youth Service Centers (FRYSC) and primary programs.

A new certification, Interdisciplinary Early Childhood Education (IECE), for Preschool teachers is in final development by the Education Professional Standards Board. Beginning with the piloting of a performance-based certification system, the process for certification will be significantly different from that which currently exists in Kentucky or any other state.

It appears that Kentucky has proven itself the leader in the pursuit of National Education Goal #1 "That all children come to school ready to learn."

- Eighty-two (82) districts (47 percent) report contracting or blending operations specifically with Head Start, indicating a high level of collaboration in day-to-day operations.

On December 1, 1993, local Head Start directors reported 21 districts not fully utilizing Head Start. Many of the reasons given did not reflect negatively on district collaborative efforts (i.e., lack of Head Start transportation; opening of the Head Start center after school started; enrollment fluctuations on December 1; decline in Head Start enrollment of four-year-olds after the beginning of school). Only four districts (2 percent) were cited for reasons relating to competitive recruiting or poor collaboration.

The Early Childhood Advisory Council has initiated a review of issues in contracting and collaborating with private child care providers in order to make recommendations for improvement to the Department. A small number of districts continue to contract with private agencies, but most local coordination is designed to facilitate wrap-around child care by transporting preschoolers to and from child care and otherwise accommodating to a separate system.

IECE Certification

Throughout the development of the proposed Interdisciplinary Early Childhood Education (IECE) certification, the teacher competencies and performance standards proposed for the certificate have had high support among members of the early childhood community. Many early intervention (infant/toddler) and Preschool teachers are excited about and look forward to the professional recognition that a certificate will offer. Common questions deal

more with implementation issues: How do I get the certificate? How many courses/hours will it take? Do I have to go back to school? Will I lose my job? If I have a Child Development Associate (CDA), do I need to get certified? When do I have to be certified?

Some confusion exists for the following reasons:

- Kentucky teachers in this area have not had either certification available or expected as part of their professional development to date;
- Current public Preschool teachers have a variety of backgrounds, training and degrees, including non-baccalaureate status;
- The number of current public school Preschool teachers and teachers in contracted or blended programs is relatively large (500-600 teachers); and
- With the piloting of a change to a performance-based certification system, the proposed process for becoming certified is significantly different from that which currently exists in Kentucky or elsewhere.

The Education Professional Standards Board is in the process of promulgating a regulation to establish the standards for obtaining an early childhood teaching certificate. The regulation to be promulgated simply establishes the criteria for the certificate; it does not require all Preschool teachers to be certified, nor does it set deadlines for getting the certificate. The proposed system includes an alternate route independent of the university for experienced candidates with baccalaureate degrees. Once the new system is piloted, then a separate regulation would require public school Preschool

programs to have IECE certified teachers or use trained teachers (CDA or associate degree level) under the supervision/curricular support of IECE certified teachers.

Because of the confusion surrounding the proposed certificate, KDE has planned a series of activities to answer teacher questions and provide more detail about the proposed system and alternate routes.

Third Party Evaluation of KERA Preschool Programs

In 1993-94, the University of Kentucky continued the third party evaluation related to data on child performance and program quality in the KERA Preschool program. The study was to:

- Determine progress by current participants in the 1993-94 KERA Preschool program and compare this progress to results for eligible preschoolers who did not participate;
- Follow progress of participants from the first three years of the program (1990-93) and compare this progress to results of their current classmates;
- Study the quality of 1993-94 KERA Preschool classrooms and compare this to a similar review conducted of 1991-92 classrooms; and
- Study relationships between program quality and student performance.

The following are conclusions and major findings drawn directly from the UK study presented October 1994:

Student Outcomes

Overall results of the third year of the statewide evaluation of the KERA Preschool Program indicate that the program is reaching the goal of reducing the achievement gap between at-risk youngsters and the rest of their classmates.

Approximately 1,300 KERA Preschool participants and comparison children randomly selected from across the state were assessed on a variety of measures designed to measure their developmental skills, social skills and early literacy skills. Not only did the children who were currently participating in the program in 1993-94 demonstrate significant gains during the program, but also the children who had participated in the program in previous years (1990-1993) demonstrated achievement levels similar to other children in their regular classrooms, many of whom came from more advantaged backgrounds.

The KERA Preschool participants in 1993-94 made statistically significant gains from pre-test to post-test in many developmental skills necessary for school success: adaptive (self-help), personal social, motor, communication and cognitive skills as well as in their knowledge of the alphabet and print concepts. Their teachers and parents judged them to have more positive social skills and fewer behavioral problems after participating in the Preschool program.

When compared to a group of income-eligible peers who had not attended the KERA Preschool program, but three-fourths of whom had attended other child care programs, the KERA preschoolers significantly outscored their age mates in adaptive (self-help) skills and fine motor skills. Both teachers and parents rated their social skills higher and teachers reported that they had fewer behavior problems. They knew more letters of the alphabet, but the difference did not reach statistical significance. In other areas in which they were tested, they scored similarly to their income-eligible peers who had not attended KERA Preschools.

Follow-up tests of former participants revealed that when KERA preschoolers were compared to a random sample of classmates of various income and ability levels, they scored as well or better than their classmates in most developmental skills, social skills and early literacy skills. The only exception was in the social skills of the children who had participated in the first year of Preschool and who were in the third year of primary school. These children were rated by their teachers as having less positive social skills, more problem behaviors and lower academic competence. Further follow-up study is needed to determine whether this finding indicates the beginning of a "fade out" effect common to Preschool programs or whether it is an anomaly in the overall positive pattern of research findings.

Similar positive trends in gains from pre-test to post-test were observed for African-American children who had participated in the KERA Preschool Program. Although their rate of gain in the program was slightly lower than the rate of gain for the White children, the difference was not statistically significant. When their scores were compared to a comparison group of

African-American children who did not participate in the KERA Preschool, the rate of gain for participants was significantly higher in the adaptive and expressive communication areas and similar in other developmental areas.

Results for children with disabilities also showed positive trends. Children in the developmentally at-risk group made particularly impressive gains that exceeded the gains of the economically at-risk children who had no disabilities. However, the small number of children in this group (n=8) necessitates that the results be interpreted cautiously. The children with developmental delays (n=47) and the children with speech-language problems (n=47) gained at a rate equal to the economically at-risk children. Even the children with severe disabilities (n=3) made gains that nearly equaled the economically at-risk children.

Program Quality

The quality of KERA Preschool classrooms has improved substantially from 1992 to 1994. The average ratings derived from classroom observations using the Early Childhood Environmental Rating Scale (ECERS) increased from 4.5 in 1992 to 5.1 in 1994 when rated on a seven-point scale on which five is good and seven is excellent. This finding indicates that the teachers in KERA Preschool classrooms are creating Preschool classrooms that correspond closely to recommended KERA Preschool program guidelines.

Analyses relating program quality (measured by the ECERS) to student outcomes (measured by the Battelle Developmental Inventory) indicated little

relationship between teachers' ECERS scores and children's Battelle scores. However, the fact that almost all of the programs received high ratings on the ECERS provided a restricted range of scores that made it unlikely that any statistical relationship between program quality and student outcomes would be revealed. Further research with more fine-grained analyses of program quality will be needed to study this relationship.

Major Findings

1. Economically at-risk KERA Preschool participants made statistically significant gains between pre-testing and post-testing in several developmental skills. Their most impressive developmental gains were in the personal-social, adaptive (self-help) and cognitive domains.
2. KERA Preschool participants with disabilities made statistically significant progress in several developmental skill areas, particularly in the personal social, fine motor and cognitive skills needed for success in school. The most dramatic gains were made by children in the developmentally at-risk category. Moderate gains were reported for children with speech/language delays and children with developmental delays. Children with severe disabilities made more modest gains, but the gains occurred in the vital areas of gross motor and communication skills.
3. Economically at-risk African-American KERA Preschool participants demonstrated progress in all developmental areas with the greatest gains in the gross motor and adaptive (self-help) areas. Although their rate of

gain was slightly lower than their White counterparts, it was not significantly lower.

4. Economically at-risk KERA preschoolers made statistically significant gains from pre-test to post-test on the Social Skills Questionnaires completed by their teachers and parents. Both teachers and parents reported significantly higher levels of positive social skills. Parents rated preschoolers as having significantly fewer problem behaviors at the end of the program.
5. KERA Preschool children with disabilities were rated by parents and teachers as having developed more positive social skills and fewer problem behaviors. However, these differences reached statistical significance only in teachers' social skills ratings for the children with developmental delays. Both teachers' and parents' social skills ratings for children with speech/language delays approached significance.
6. Economically at-risk African-American KERA preschoolers were rated by teachers as having significantly more social skills at the end of the Preschool program. Parents reported fewer problem behaviors but the difference did not reach significance.
7. Economically at-risk KERA preschoolers made statistically significant gains from pre-test to post-test in the measures of early literacy. They improved in their ability to recognize and write the letters of the alphabet and in their understanding of basic print concepts necessary for learning to read.

8. Economically at-risk African-American KERA preschoolers improved significantly in their ability to recognize and write the letters of the alphabet but their improvement in knowledge of print concepts did not reach statistical significance.
9. When economically at-risk KERA preschoolers were compared to peers who were eligible but did not attend the KERA Preschool, findings indicated that they made gains at a statistically significant higher rate in two developmental areas: the adaptive and the fine motor. In other areas of the Battelle (personal-social, gross motor, receptive communication, expressive communication, and cognitive) and on the total Battelle, the two groups were progressing at a similar rate.
10. When parents and teachers rated the children on the Social Skills Questionnaires, scores indicated that both parents and KERA Preschool teachers rated economically at-risk KERA preschoolers significantly higher in social skills than did the teachers of the comparison children who attended other child care programs. KERA preschoolers were also judged by their teachers to have significantly fewer problem behaviors, although parents did not report a corresponding decrease in problem behaviors at home.
11. When the early literacy scores for economically at-risk KERA preschoolers were compared to their eligible peers who did not attend KERA Preschool programs, the KERA participants were able to recognize and write more letters of the alphabet (14 for KERA preschoolers and 9

for comparisons), but the difference did not reach significance. Their knowledge of print concepts was almost identical.

12. When previous groups of KERA Preschool participants were compared to same age peers of mixed ability and income levels during their first three years of primary school, few differences in achievement were noted. Although their scores were slightly higher on many of the areas tested, these differences were not statistically significant.

13. The quality of KERA Preschool classrooms, as measured by the Early Childhood Environmental Rating Scale was high, with the majority of programs rated in the "good quality" range and showing improvement from ratings two years previous.

14. When the relationship between program quality and student outcomes was considered, a significant difference was found in favor of children in the higher quality programs in the personal social domain.
(end UK study cite)

RECOMMENDATIONS

1. Although the problem has diminished significantly, there appears to be continued "turf battles" in isolated areas that result in poor collaboration between KERA, Head Start and other private providers. It is recommended that the Preschool branch identify these districts and mediate the concerns.

Evidence exists from a recent survey of primary teachers, conducted by the Kentucky Institute of Education Research (KIER), that authentic assessment, thematic-unit and learning center components are lagging behind in full implementation. KDE has been active in these areas by providing to schools sample primary progress reports and providing training opportunities in the use of the KERP (Kentucky Early Learning Profile). The KERP was field-tested in 1993-94 with approximately 350 primary teachers using this continuous progress/authentic assessment document with a few children to illustrate growth and development in cognitive, social, and physical domains. This year Learning Descriptions, to be used with KERP, are being provided to teachers in the primary grades with sequentially designed continuums to identify where the child is in terms of cognitive proficiency and to document growth patterns.

House Bill 187 passed in the 1994 Regular Session of the General Assembly provided clarification to the existing 704 KAR 3:440 which allows flexible grouping and regrouping of students for instructional purposes. This legislation added flexibility for school councils, or schools, if no council exists, to determine, based on individual student needs, that multi-age and multi-ability grouping need not apply for every grouping situation throughout the day.

The Elementary Schools Assistance Plan, developed by KDE as a requirement of House Joint Resolution (HJR) 62, was approved by the State Board for Elementary and Secondary Education (SBESE) in July 1994. This comprehensive plan identified barriers to implementation outlined in HJR 62 and developed strategies to facilitate continued implementation in a more systematic fashion. These include enhanced training in KERP and provisions for a smoother transition to fourth grade.

PROGRAM ADVISORIES

The Elementary Schools Assistance Plan approved by SBESE in July 1994 was in fulfillment of the requirements of HJR 62. This is a comprehensive plan that identifies several barriers to successful implementation of primary school and outlines a strategy to overcome these concerns.

PROGRAM IMPLEMENTATION

Prior to the beginning of the 1993-94 school year, all schools were required to develop action plans for full implementation with alignment in the following critical attributes: multi-age and multi-ability grouping, developmentally appropriate practices, continuous progress, authentic assessment, qualitative reporting methods, professional teamwork and positive parent involvement.

These action plans were reviewed by KDE and RSC staff for alignment with the aforementioned attributes and other learning environment and integrated content areas analysis.

The Division of Program Oversight staff in OEA have observed classrooms in approximately 75 elementary schools in over 40 school districts in Kentucky during the 1993-94 school year. The review focused on grouping patterns, classroom learning centers, continuous progress methodology and general attitudes of teachers toward the concept. Staff also interviewed principals and central office staff as to their knowledge of and beliefs about primary school.

Teachers interviewed were generally positive about the minimum requirements of dual-age grouping but were concerned about not having the freedom to group students of similar abilities together for skills emphasis. Many were not aware of the "flexible grouping and regrouping" provision for meeting individual student needs in the "Best Practices" document. Most teachers were knowledgeable of the fourth grade school accountability testing program and were giving special attention to developing writing skills. At least half of all classrooms visited utilized the whole language method for teaching language arts. Others were using a variety of more traditional methods. Increased emphasis on correct spelling in students' writing became more obvious as fourth grade teachers in several districts complained that they were receiving many students from the primary program who could not spell accurately.

There was evidence of thematic instruction in at least three-fourths of the classrooms and themes were common in other classrooms in the primary block. Generally, learning centers were not well arranged and did not provide an environment conducive to child-initiated activities. Only about one in four classrooms were involved in more than one or two activities at a time and did not accommodate or facilitate individual activities that would move an individual student through a continuum of learning according to his/her needs. Less than a third of the teachers interviewed had any knowledge of KELP and less than one-tenth were using it. A common concern among those using KELP was the time required for parent conferencing and paperwork.

A teacher conversant on issues such as KELP, authentic assessment or continuous progress was the exception rather than the rule throughout the interviews. In almost all cases when teachers were asked to show progress

records on individual students, the response consisted of several examples of students' work filed by content area with very little evidence of expected outcomes. Improvement in methods of reporting to parents was significant when compared to prior-year observations in the same schools.

Data provided by KDE indicates that a small number of teachers (approximately 800) have received training in the use of KELP. Three hundred thirty-three (333) teachers and/or administrators had confirmed to attend summer "Training of Trainer" sessions, however only 241 actually attended. This was in addition to approximately 400 teacher practitioners who had used KELP in a pilot or field study in previous years. Based on these numbers, less than 10 percent of the total 8,500 primary teachers have received enough training to implement this assessment evaluation procedure.

Two years ago it was envisioned by KDE that KELP would be piloted by 50 teachers in 1992-93; field tested by 350 teachers in 1993-94; and fully implemented by all primary teachers in the current 1994-95 school year. This was an ambitious goal and will not be accomplished this year.

KDE has actively endorsed the DWOK curriculum and the Collaborative for Elementary Education's provision of that training to all schools in the Commonwealth. The Collaborative for Elementary Education is a non-profit subsidiary of the Galef Institute located in California. Galef developed the DWOK curriculum which is an integrated learning multiple intelligence/thematic unit approach to learning.

Although this is a very comprehensive approach to professional development for elementary teachers, the cost of approximately \$1,250 per participant is too much for many districts and schools. It would be more appropriate for KDE to identify additional, less costly resources, materials and training that would serve as "a catalyst in the transformation to an integrated curriculum."

While the latest fourth grade test scores indicate increased improvement, it is imperative that all schools make the transformation to an integrated curriculum that aligns itself with KERA's Learning Goals and Academic Expectations. Enhancing KERP with its Learning Descriptions and teachers using thematic, integrated approaches should achieve this outcome.

Kentucky Institute for Education Research Study

The following is a summary of the study of The Kentucky Institute for Education Research (KIER). KIER contracted with the University of Kentucky's Institute for Education Reform to conduct research on primary school implementation. Twenty-four (24) elementary schools, three in each of the eight regions across the state, were randomly selected for the study. In each school, four teachers and their classrooms were selected at random for interviews and observations. Of the 96 teachers selected for the study, 86 teachers actually participated. While this is a small sample and may not be representative of teachers in primary programs throughout the state, it is the most extensive effort to date to collect statewide data on the implementation of the primary program.

Information regarding implementation of specific primary program components was collected by trained observers using the Primary Program Component Configuration Map, observing classrooms, and conducting interviews with teachers and the school principals. In addition, teachers completed a teacher survey instrument in which they rated the level of support for primary program implementation they had received from various sources.

The Primary Program Component Configuration Map contained descriptions of different levels of implementation for 31 sub-components in the seven statewide adopted attributes of the primary program. The 31 program sub-components were derived from indicators on the Department of Education's Primary Action Plan Review Form developed in the summer of 1992 with input from the Early Childhood Division staff, Primary Program consultants from the state's Regional Service Centers, and university faculty. The 31 program sub-components were organized around the major themes: the learning environment, developmentally appropriate practices, assessment of learning and educational partnerships.

University staff from across the state were recruited and trained as field observers. Researchers utilized videotapes of elementary classrooms and interview protocols to train field observers and to develop interobserver agreement.

Conclusions Based on Analysis of Data by KIER

- A.** Extent of implementation of the primary program remains dependent on individual teachers in charge of individual classrooms. Observers found wide variations in practice among teachers within most schools visited.
- B.** In about half of the classrooms observed, instructional activities appeared to be related to Kentucky's Learning Goals and Academic Expectations. In the other half of the classrooms, observed activities appeared to have little or no direct relationship to the Learning Goals.
- C.** Progress toward implementation varies widely among the 31 program components. Some have been implemented extensively across the state, others have not. Key components that have been implemented in two-thirds or more of classrooms include:
- Arranging a flexible physical learning environment;
 - Creating a warm and supportive social emotional climate;
 - Utilizing recommended Best Practices in the instruction of reading, writing and mathematics;
 - Collaborating with other regular classroom teachers in planning and implementing instruction; and
 - Communicating with parents about the primary program and helping parents to support instruction at home.

Key program components that are still **not** being implemented in 40 percent or more of the classrooms include:

- Designing and establishing a variety of learning centers;
 - Creating broad-based, theme-centered units;
 - Utilizing recommended practices in the instruction of science, social studies and the arts;
 - Implementing a variety of performance and authentic assessment practices on a regular basis;
 - Collaborating or planning with special education teachers or other specialists;
 - Scheduling regular collaborative planning periods with other teachers; and
 - Involving parents in meaningful classroom activities.
- D.** Three out of four are meeting the multi-age instruction requirement through dual-age (two-grade level) grouping patterns.
- E.** Although kindergarten (five-year-old) children are included in the primary program, the duration and frequency of their inclusion varies widely. The most frequent practice is to include five-year-olds with other primary children for only part of the school day or certain periods of time during the school week. When five-year-olds are included on a regular basis, they are grouped with six-year-olds and rarely with older children.
- F.** Four out of five teachers reported that special needs children are included in their classrooms and that the predominate practice was to include these children for all instructional activities.

instructional days, as approved by the local board, to be used for additional professional development during 1994-95 and 1995-96. During these two years, school districts have a maximum of nine days available for professional development activities.

The SBDM statute KRS 160.345 was amended by House Bill 211 of the 1994 regular session of the General Assembly to provide that 65 percent of all professional development funds flow to the school council. The council will plan the use of these funds for their school in cooperation with the district coordinator.

ADMINISTRATIVE REGULATIONS

704 KAR 3:305. *Annual Professional Development Plan.* Relates to KRS 156.095, 156.0951, 158.070; Statutory Authority, 156.070, 156.095, 158.070. Each school, local district and consortium shall have on file a district professional development plan, mandated by 704 KAR 3:305. This plan must address the following: identified needs from the districts' needs assessment, a statement of their professional development objectives, planning process, districts' instructional improvement goals, a description of specific professional development experiences and a description of how the master plan will be evaluated. The professional development plan shall address any local district instructional improvement or training needs for compliance with KERA. The plan shall be related to teachers' instructional assignments and administrators' responsibilities. This regulation was amended to provide parent-teacher conferencing skill development as an approved professional development activity.

Section 8 of this regulation provides that up to 15 percent of their funds may be used for administrative purposes.

704 KAR 3:345. *Certified Personnel Evaluations.* This regulation was revised for clarity in adding definition, especially as to administrator evaluation. KDE requires school districts to verify that this plan is in place by requiring a letter of assurance to be filed.

KDE has issued a planning guide, "Planning Professional Development with a focus on KERA: the Development and Approval Process for School Districts and Consortia," to assist districts in fulfilling their obligations as defined under 704 KAR 3:035. This guide sets forth the expectations for the plan and the relationship of the plan to the 42 hours of leadership training required for administrators. The guide provides an outline and process for the development of the plan and standards for evaluation of the plan. For 1994-95 the guide supplies indicators that should provide direction for determining quality programs. This data can then be collected and reviewed by KDE staff to more clearly ascertain the quality of programs being presented. The quality issue still remains a major responsibility for the local district professional development coordinator. Data is collected from participants each session, compiled and provided to KDE annually. KDE staff will then review these responses to determine the short- and long-term effectiveness of the programs.

No program advisories were issued. The Department did provide the following to school districts for professional development activities:

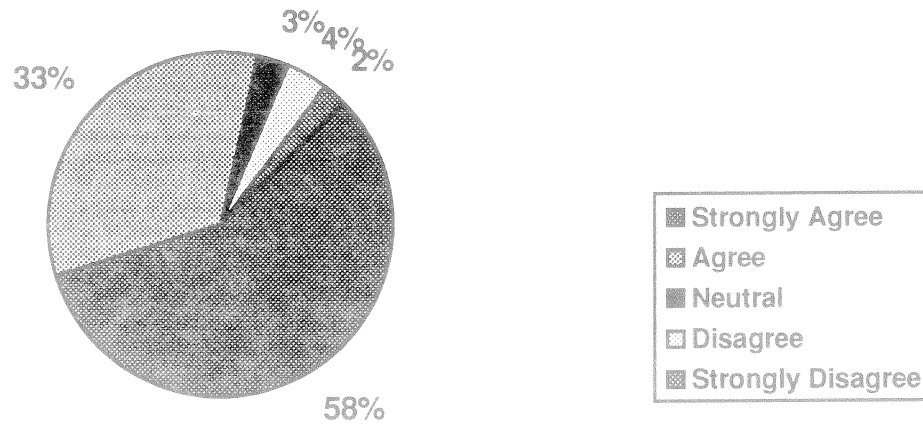
- F.** By June 30, 1994, professional development staff will collaborate with Regional Service Center directors and KDE Frankfort-based KERA directors in five strands to design exemplary professional development programs responsive to the gap analysis and maximize the delivery of training through coordination by the Regional Service Centers.
- G.** By June 30, 1994, the Integrated Professional Development Series (IPDS) will be fully implemented through the managers (consortia, cooperatives) in the eight regions.

Five of these objectives has been substantially completed. In item *E*, the loss of staff allowed only partial completion and item *G* was completed only through the first level of personnel.

KDE prepared a questionnaire for a randomly selected sample of teachers to survey their perception of quality and relevance of current professional development activities; 8,322 were mailed and 1,356 were returned. The following charts prepared by KDE Professional Development staff reflect teacher responses to specific questions:

Figure #2.

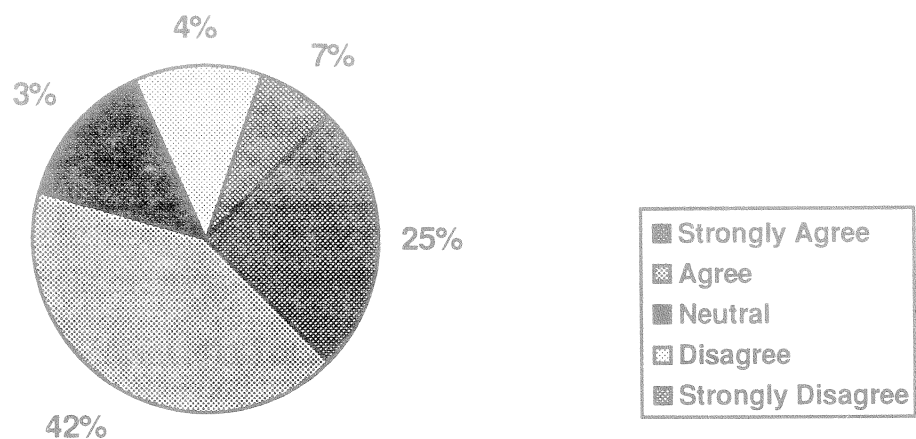
Since the passage of KERA, my personal need for professional development has increased.



Eight-one percent (81%) of all respondents agreed, with 58% strongly agreeing that their needs had increased.

Figure #3.

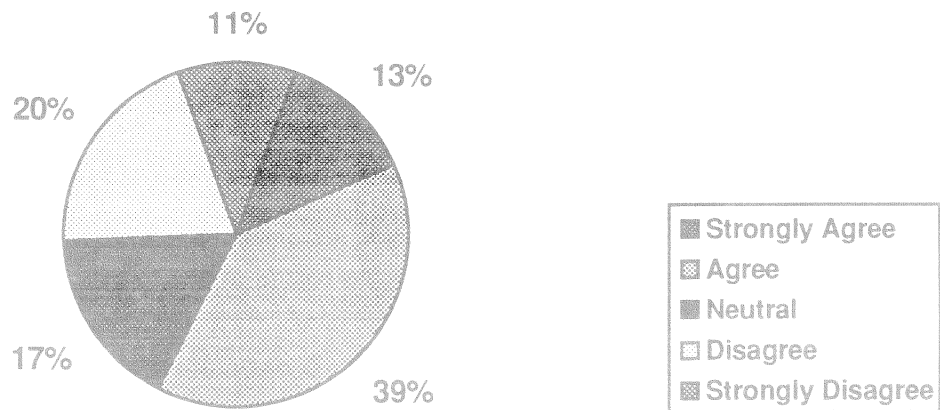
The funds that have been provided for my school district have been valuable...



Sixty-seven percent (68%) of the respondents agreed that the funds had been valuable.

Figure #4.

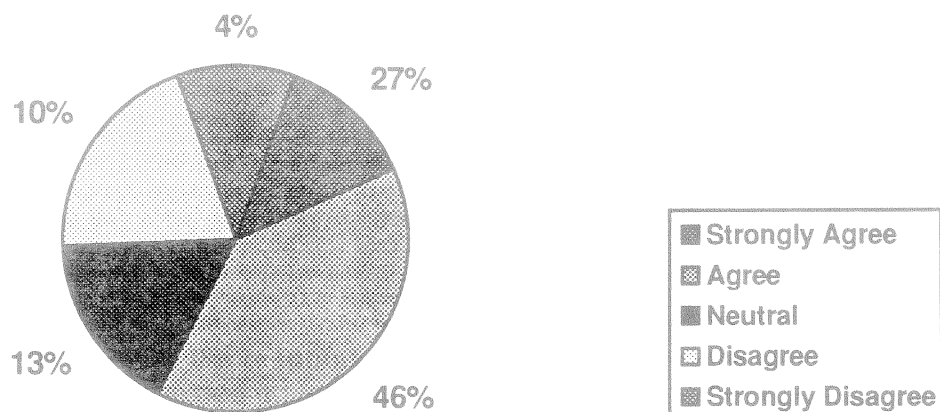
The quality of professional development available to me since KERA began has improved significantly.



Fifty-two percent (52%) of the respondents felt that the qualities of professional development available had improved and 17% were neutral on this item.
Thirty-one percent (31%) disagreed that quality had improved.

Figure #5.

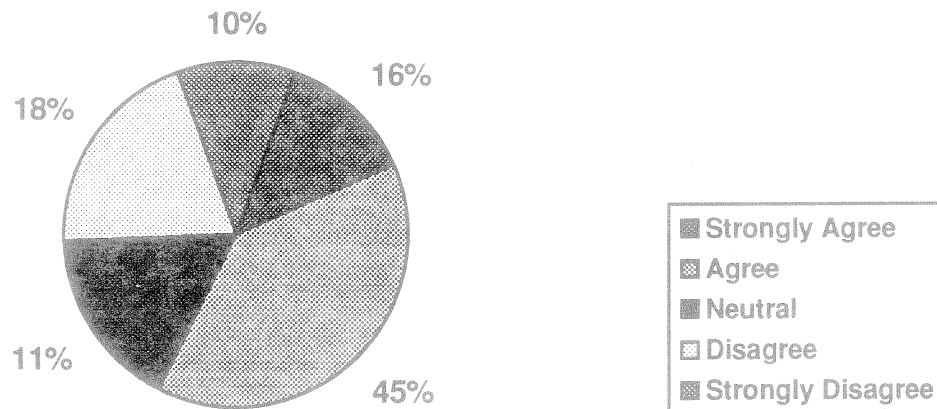
I feel there is strong commitment to professional development in my school.



Seventy-six percent (76%) of the total respondents indicated a positive response to this statement.

Figure #6.

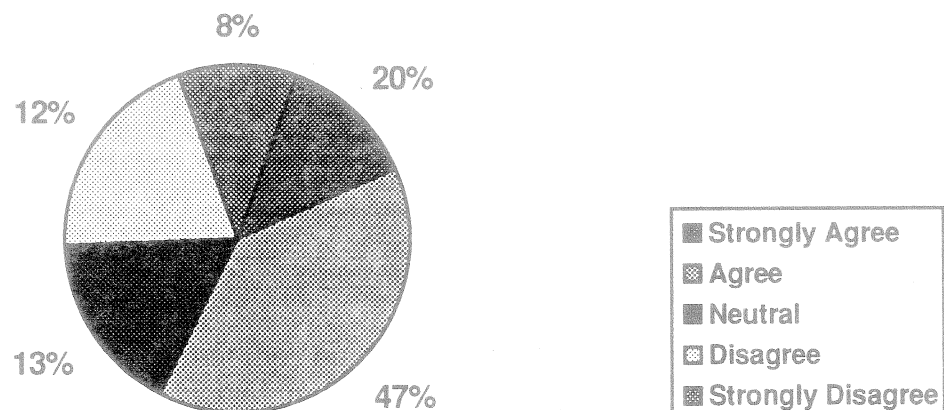
I have been able to participate in professional development that is relevant to my needs.



While 61% indicated that they had relevant professional development, 28% indicated that they had not been able to participate in professional development that was relevant.

Figure #7.

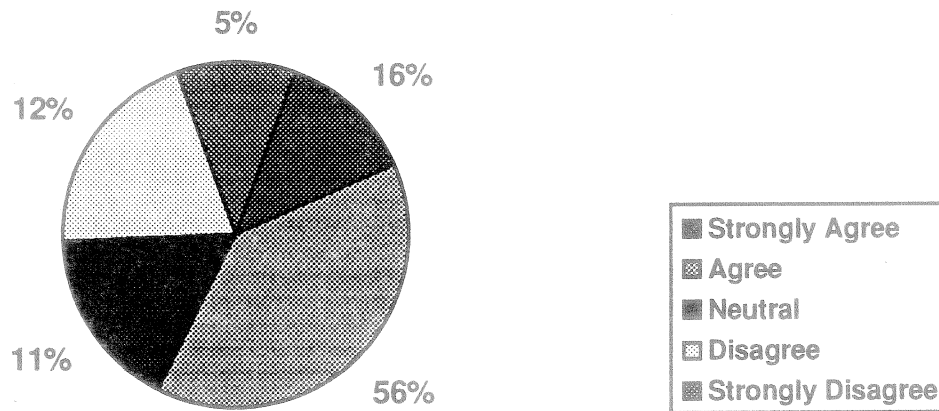
I have improved my teaching/instructional/assessment skills through professional development since 1990.



Sixty-seven percent (67%) of the respondents indicated an improvement of skills as a result of professional development.

Figure #8.

I have been able to apply information and skills gained via professional development in my classroom.



Seventy-two percent (72%) of the total respondents indicated they had been able to apply information and skills within the classroom that had been gained through professional development.

School Plan Reviews

The Office of Education Accountability staff reviewed the school professional development plan for the nine schools - three elementary, three middle and three high schools - making the greatest progress and those nine with the largest regression on the KIRIS testing from our statewide sample of school districts. This review was to determine what differences existed in the school professional development plans that could be related to their KIRIS scores.

This review indicated that the higher scoring schools generally rated their level of readiness lower than those schools with the lower scores. The review

also revealed that the higher scoring schools plans were much more goal specific than the lower scoring schools. The lower scoring schools seemed to still be looking at the broad spectrum of KERA strands, instead of curricula specific issues. In the area of the KIRIS testing, all schools seem to be working toward increased understanding of the techniques of writing and open-response items. The significant difference in the plans appears to be the general area of understanding sought by the low scoring schools as opposed to the task specific areas for the high scoring schools.

Role of Consortia

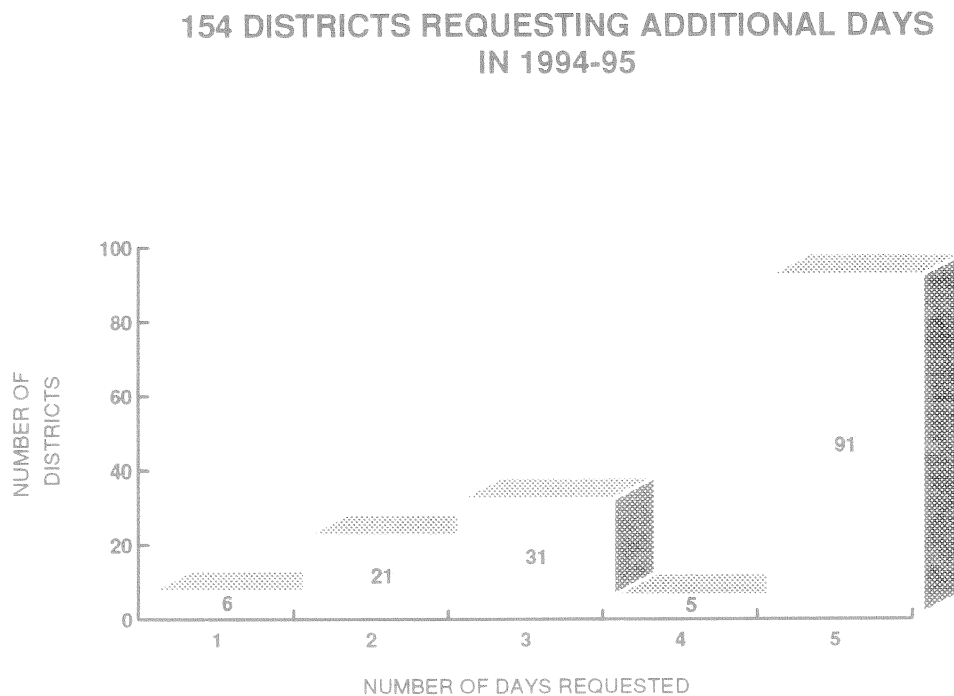
The importance of the role of professional development is emphasized by the fact that both the 1992 and 1994 sessions of the General Assembly passed legislation that allowed school districts to utilize up to 5 days of the 175 days required for student instruction for teacher professional development. This critical need was further emphasized by the report on professional development prepared by the National Center for Research on Teacher Learning for the Partnership for Kentucky School Reform. This report calls for teacher retraining and teacher opportunities to learn if education reform is to be successful. The report states that professional development activities must meet individual teacher needs to bring about change.

Fifteen (15) consortia were formed, as required by KRS 156.0951, ranging in membership from 2 to 30 school districts, excluding Fayette and Jefferson Counties. These consortia are to locate and provide professional development programs to meet the needs of their members and gather data to provide an evaluation of these experiences and programs. Consortia were to

report expenditures to KDE by September 1, 1994. Three have not filed reports as of October 15, 1994. The plans for this year require more detailed reporting of expenditures from the consortia. Three consortia have become cooperatives brokering a wide variety of services beyond professional development activities to their membership. KDE staff has initiated quarterly meetings with consortia professional development coordinators to assure better communication. Among the questions KDE and consortia have resolved include carryover funds which is addressed by the following policy from KDE staff. Each district will be addressed on a case-by-case basis. "Districts with carryover monies must notify their local boards of education as to the extent of the carryover and a plan to account for its expenditure. This plan, with the local board approval, will be sent to the Division of Professional Development for review. Districts will be notified of the results of the review."

The optional five instructional days are being utilized to some degree in 154 local school districts for the 1994-95 school year (see Figure #9.) as compared to 167 for the 1993-94 school year. The professional development programs presented on these days are selected from a menu approved by KDE staff.

Figure #9.



RECOMMENDATIONS

1. The small two- and three-district consortia, of which there are nine (excluding Fayette and Jefferson counties), do not appear to be able to produce the variety of professional development experiences and activities needed by their member districts. These should be merged with other consortias.
2. There should be a strict accounting of all funds sent to consortia and school districts. Consortia should be required to file a budget with KDE, and a report of income and expenditures for the preceding fiscal year by July 31 of each

A hearing officer shall review the complaint and submit to the State Board a recording of all testimony taken, any exhibits filed, findings of fact, conclusions of law and a recommended order. The State Board may accept or reject the hearing officer's report, may return the matter to the hearing officer for further proceedings or may have the parties appear before the State Board.

704 KAR 5:080 and 701 KAR 5:100. These regulations establish the application process and guidelines for the development of alternative models for SBDM.

PROGRAM REVIEWS

The Kentucky Department of Education (KDE) has developed and disseminated seven Program Reviews since June 1993, in the area of SBDM. These Program Reviews are technical assistance documents and are not binding on schools and districts.

✓ **No. 93-SBDM-119, June 15, 1994.** *Best Practices/Recommendations Regarding SBDM and Exceptional Children Services.* This Program Review provides clarification and advice to school councils for developing policies and implementing programs as they relate to special needs students.

✓ **No. 93-SBDM-120, August 3, 1993.** *Increasing Minority Participation on School Councils.* This Program Review provides strategies and suggestions for increasing minority participation in SBDM.

✓ **No. 93-SBDM-123.** *School Council Policy on Assignment of Instructional and Non-Instructional Staff Time.* This Program Review clarifies the role of the school councils in exercising the function of "assignment of all instructional and non-instructional staff time as prescribed in KRS 160.345. It cites OAG 93-55 as the basis for the clarification.

✓ **No. 93-SBDM-124.** *Alternative Chairperson for SBDM Councils.* This Program Review summarizes the conclusions of OAG 93-52, which concerns alternative models for electing chairpersons for school councils.

✓ **No. 93-SBDM-125.** *SBDM Council and Committee Meetings Open to the Public.* This Program Review clarifies the responsibilities of school councils and their committees as public agencies under the Open Meetings Law and makes recommendations for successful communications about school council and committee meetings.

✓ **No. 93-SBDM-129.** *Best Practice/Recommendations Regarding SBDM and Preschool Programs, Including Collaborative Head Start Programs.* This Program Review clarifies the role of school councils with regard to preschool programs, including KERA funded Head Start Programs.

No. 94-SBDM-126. *Legislative Changes that Affect SBDM and Questions and Answers.* This Program Review updates changes in KRS 160.345 as a result of the 1994 General Assembly.

ATTORNEY GENERAL OPINIONS

OAG 94-8. *SBDM Committees.* A local school board does not have the authority to require school councils to have committees. A local school board has the authority to require parental representation on school council committees if, in fact, the council has established committees. A local school board must comply with KRS 156.500 in ensuring minority representation on council committees.

OAG 94-29. *Review of SBDM Policies.* A local school board is authorized to require that proposed SBDM policies be timely reviewed by legal counsel and a central office administrator prior to implementation for consistency with state or federal law, concerns for health and safety, concerns for liability, available financial resources or contractual obligations.

OAG 94-41. *Minority Representation.* The provision of Senate Bill 51 take effect immediately and timely elections should be organized for electing minority members to councils at schools that are eligible for the special elections. A reasonable time period for conducting the special elections would be the first four weeks of school.

OAG 94-51. *SBDM Repeal Provision.* A local board policy which allows the teachers to vote to repeal SBDM is not authorized pursuant to KRS 160.345(5) since the legislature has already determined the criteria a school must follow in order to be exempt from SBDM.

OAG 94-60. *Minority Member Elections.* A school council plan authorizing minority member elections immediately following the regular elections is impermissible since the election is not held in a "timely manner" and proper notice is not given to all minority parents and parents of minority students regarding the special election. The school council's proposed plan allowing all parents to vote in the special election conflicts with the intent of KRS 160.345(2)(b).

PROGRAM IMPLEMENTATION

Several actions have transpired over the course of the past year that have had a positive impact on the implementation of SBDM statewide.

Legislative changes in the 1994 General Assembly amended KRS 160.345 to enable parents of all students enrolled in their respective schools to vote in the elections of parent council members; there is no longer a requirement that voting parents be members of the PTA. New language in KRS 160.345 also ensures minority representation on councils at SBDM schools that have 8 percent or more minority student population. Additional language provides to school councils the opportunity to extend and/or stagger terms of office for council members.

KDE established a task force to review and revise the School Council Allocation Formula. Efforts of this group will potentially provide more direction to boards of education and more understanding to school councils regarding the allocation and expenditure of funds.

KDE also established a network of approximately 50 endorsed training providers in SBDM. As schools become more aware of the existence of this group, training and professional development in SBDM should be more accessible.

A board policy checklist developed and disseminated by KDE should provide local school boards the assistance needed to develop more appropriate and comprehensive policies on SBDM.

In addition, the KDE recently distributed a SBDM handbook entitled "*SYNERGY*" to every school and school district within the state. The handbook is a technical assistance guide that should prove extremely useful to both new and experienced school councils. Please contact Lynn Graves, KDE, for more information at (502) 564-3421.

The Court of Appeals opinion reversing the Boone Circuit Court ruling in the Boone County Board of Education v. Bushee, Reutman, and Mastin seems to have settled, for the present, the issue of whether or not school councils have autonomy in some specified policy areas. This case is currently under review by the Kentucky Supreme Court.

The 1993 SBDM survey conducted by KDE reveals that most school councils are working on a school transformation plan and most council policy decisions are made by consensus.

Sixteen (16) school councils are operating under an approved alternative model, as provided by 701 KAR 5:080 and 701 KAR 5:100:

Woodlawn Elementary - Boyle County
Boyle County Middle - Boyle County
Eastern Elementary - Henry County
Pikeville Elementary - Pikeville Independent
Northern Elementary - Scott County
Shelby County High School - Shelby County
Dunn Elementary - Jefferson County
Fairdale High School - Jefferson County
John F. Kennedy Elementary - Jefferson County
Kammerer Middle School - Jefferson County
Waggener High School - Jefferson County
Wheeler Elementary - Jefferson County
Youth Performing Arts Schools - Jefferson County
Tompkinsville Elementary - Monroe County
Warner Elementary - Jessamine County

Pursuant to KRS 160.345(9) since December 1993, OEA has received 70 complaints of a pattern of practice detrimental to SBDM. These 70 complaints have come from 33 school districts. OEA has been able to resolve most of the complaints through correspondence and meetings with local school and district officials. OEA staff conducted on-site inquiries in five of these situations and is monitoring implementation of SBDM during the 1994-95 school year in seven school districts. In reviewing OEA records, it appears that most problems incurred, related to implementation of SBDM, fall into these general areas: misinformation or lack of information involving SBDM, confusion about the school council allocation process, problems associated with getting school council policies implemented and confusion about the authority of school councils in selection of personnel.

Figure #11 is a representation of the KDE goal of 1,000 SBDM schools by June, 1995. The chart also reflects the percentage of SBDM schools in each Regional Service Center Area as of August 1994. Sixty percent of the state's schools were participating in SBDM as of August 1994. OEA's

recommendations will include a call for increased efforts by local, regional and state education agencies and groups to encourage schools to enter SBDM well in advance of the required date of July 1996.

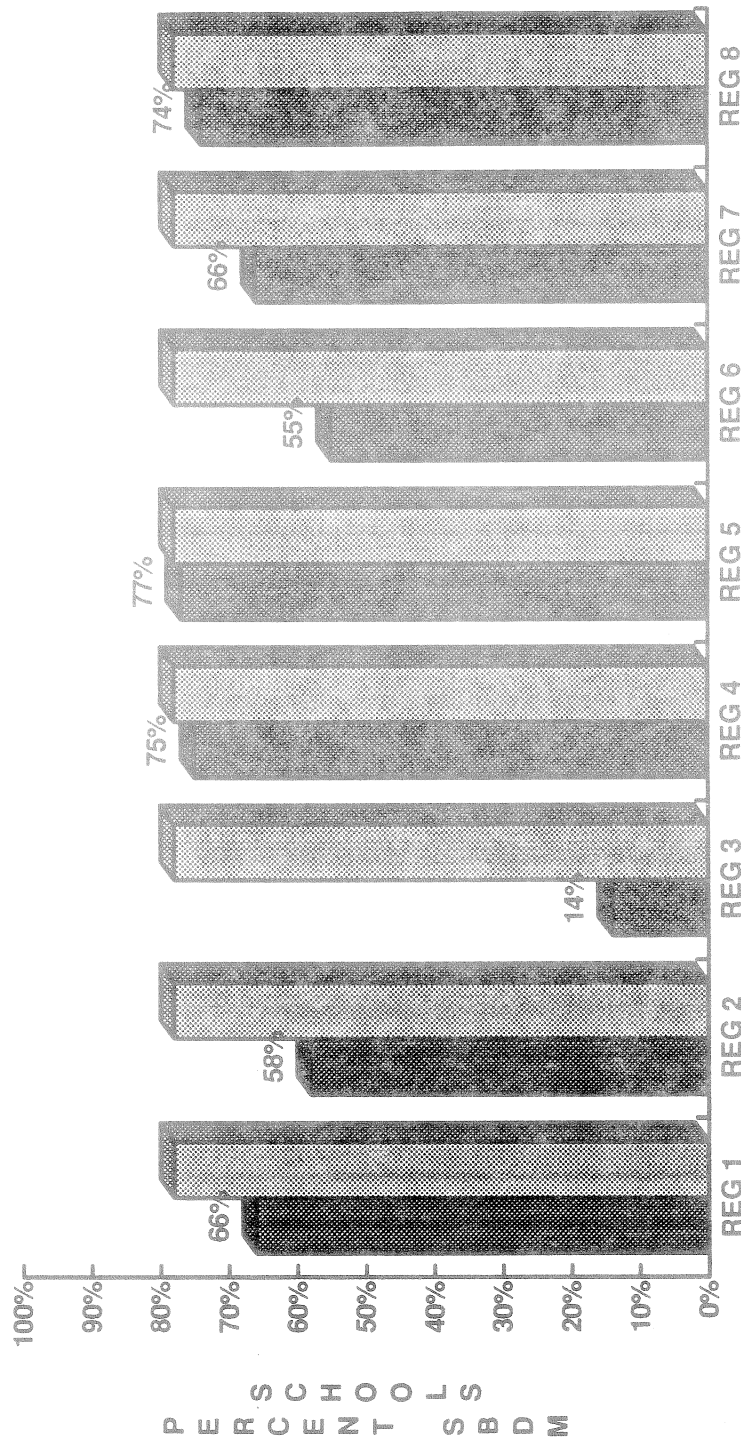
Dr. Jane David, commissioned by the Prichard Committee to conduct a five-year study of SBDM, draws the following conclusions in her third-year report to the Prichard Committee:

Implementing SBDM continues to reflect significant progress. Although the 1993-94 school year did not result in a large increase in the numbers of schools forming councils, those schools with councils already in place began to take on a wider range of issues and a more complicated array of decisions. In schools where councils have delved into the essence of KERA - changing what happens in classrooms - they have strong leadership and strong committee structures that under gird council operations. They also have access to a variety of sources of new knowledge and professional development, as well as effective internal and external communication channels.

However, the mere presence of a site based council does not ensure change, particularly where the principal calls all the shots. Conversely, schools can make major improvements in curriculum and instruction without a school council when strong leadership is present, but without a school council, the possibility of significant improvement is beyond the control of teachers and parents. Given the critical role of site leadership, the fact that

Figure #11.

REGIONAL SBDM GOALS FOR JUNE 1995
STATEWIDE GOAL - 1000 SBDM SCHOOLS



■ SEPTEMBER '94 ■ JUNE '95

AUGUST 1994 SBDM SCHOOLS TOTAL 770 (60%)
SOURCE: KDE

SUPERINTENDENT/PRINCIPAL TRAINING AND ASSESSMENT

OVERVIEW

The Principals' Assessment Center program (KRS 156.105) provides that "...to be qualified and eligible for initial or continued employment as a school principal effective July 1, 1994, the principal or applicant must have successfully completed the assessment center process." The assessment center model was adapted from business and industry in an attempt to eliminate unqualified or potentially unsuccessful candidates from principal positions. The statute, KRS 156.105, was amended during the 1994 session of the General Assembly to provide that all newly hired principals have one year after assuming their duties to complete the assessment center training. In addition, principals are required by KRS 161.027 to successfully complete a test to demonstrate an acceptable level of communication skills, general knowledge, and professional education concepts related to instructional leadership, management and supervisory skills. A second test must be completed to determine their knowledge of current instructional and administrative practices in Kentucky. Furthermore, each candidate is required by KRS 161.027(5) to serve a one-year internship prior to receiving principal certification.

The Superintendent Training and Assessment Program (KRS 156.111) requires superintendents to successfully complete the superintendent assessment center process and training program comprising core concepts of management, school-based decision making, school law, finance, curriculum and assessment. After training, examinations must be successfully completed for each area. All current superintendents, with the exception of two, completed

this process as of July 1, 1994. In addition, the statute requires that anyone employed after July 1, 1994, as a first-time Kentucky superintendent, shall complete the assessment center process within the first year of employment. The State Board for Elementary and Secondary Education is required to establish a continuing professional development program for all superintendents effective July 1, 1994.

ADMINISTRATIVE REGULATIONS

704 KAR 20:460. *Examination Prerequisites for Principal Certification.* Relates to KRS 161.020, 161.027, 161.030; Statutory Authority, KRS 156.070 and 161.027. This regulation sets the acceptable cutoff scores for the National Teachers Exam (NTE) subject areas required to fulfill the mandates of KRS 161.027(3)(a). In addition, the regulation defines the successful completion of the specialty exam as 85 percent correct responses.

704 KAR 20:470. *Principal Intern Program.* Relates to KRS 161.020, 161.027, 161.030; Statutory Authority, KRS 156.070 and 161.027. This regulation defines eligibility requirements of the program, minimum acceptable length of program and the members of an internship committee to supervise the intern during this experience.

704 KAR 3:401. *Principal Assessment Centers.* Relates to KRS 156.105. This regulation sets the process for administering the principal assessment process.

704 KAR 3:405. *Superintendent Training Program and Assessment Process.* Relates to KRS 156.111, 160.350. Statutory authority, KRS 156.111. This regulation provides for the establishment of the Superintendent Training and Assessment Center to serve as a clearinghouse for all assessment, training and examinations. The center shall serve as reporter of scores and repository of assessment reports and be responsible to report same to the Division of Certification. This regulation became effective December 9, 1992.

PROGRAM IMPLEMENTATION

A contract for \$131,300 has been awarded for administrator assessment to the National Association of Secondary School Principals (NASSP). Kentucky will use their assessment program to evaluate problem analysis skills, judgment, organizational ability, decisiveness, leadership, sensitivity, stress tolerance, oral and written communication, range of interest, personal motivation and educational values.

To date, the Kentucky Department of Education (KDE) has identified and trained 1,419 principals who will serve as assessors through the 1994-95 school year. Utilizing the NASSP assessment, approximately 108 new applicants were evaluated in 1993-94. All but four applicants serving as principals in Kentucky have completed the assessor or assessment process as of June 30, 1994. KDE has awarded contracts to regional universities to provide principal assessment centers.

The Kentucky Specialty Test of Instructional and Administrative Practices has been administered to 208 principal candidates from November 1993 through

August of 1994. One hundred and seventy-nine (86 percent) have achieved the required 85 percent score. The remaining 14 percent must retake the exam until they are able to achieve the cutoff score.

The internship program, served during the initial year of employment, is another component of Kentucky's administrative process. For the 1994-95 school year, there are 44 principals serving in an internship. KDE has contracted to provide training for intern committee members with Murray State University, Eastern Kentucky University, Western Kentucky University and the University of Louisville Research Foundation, at a cost of \$7,000 per site.

The Superintendent Training and Testing program and assessment process were developed and piloted in the 1992-93 school year. Twenty-five (25) superintendents successfully completed the training and testing during 1992-93. Eighty (80) percent has been established as the required score for each of the five modules of training. During 1993-94, 148 persons have completed the assessment center process for superintendents. All present superintendents, with one exception, have completed the training, testing and assessment as of June 30, 1994. KDE provided retesting and tutors until this individual was able to pass the modules.

KDE has contracted with the University of Louisville (\$101,868), Eastern Kentucky University (\$91,128), and Western Kentucky University (\$91,128) to provide principal/superintendent assessment centers for the 1994-95 fiscal year.

RECOMMENDATIONS

1. Administrator training, testing and assessment should be included in the university preparation program for certification. This would ensure that no one could receive certification without successful completion of all assessments.
2. Promulgate a regulation to address the issue of those not qualifying for re-certification and those who do not complete their qualification within the allotted year's time.
3. Promulgate a regulation to establish the maximum number of times an individual can take the test for each module before declaring that individual to be ineligible for certification in that position.

SUPERINTENDENT SCREENING COMMITTEES

OVERVIEW

In accordance with KRS 160.345, each board of education is to appoint a superintendent of schools after considering the recommendations of a screening committee composed of two teachers, one board of education member, one principal and one parent. If a minority member is not elected or appointed to the screening committee in districts with minority population of 8 percent or more, as determined by the enrollment on the preceding October 1, the committee membership shall be increased to include one minority parent. This minority parent member shall be elected by the minority parents in a election conducted by the local school board. Minority is defined as: American Indian; Alaskan Native; African-American; Hispanic, including person of Mexican, Puerto Rican Cuban and Central South American origin; Pacific Islander; or other ethnic group underrepresented in a local school district. Prior to appointing a new superintendent, the board is to consider the committee's recommendations but is not bound by them.

PROGRAM IMPLEMENTATION

The Office of Education Accountability (OEA) has surveyed 109 school districts affected by KRS 160.352 since July 13, 1990. Of the 100 districts responding, only a few local boards chose not to hire a person recommended by the screening committee. Contrary to previous years, allegations of undue influence on the screening committee to select a particular candidate have decreased. Of those districts where variances have occurred, OEA and the

Kentucky Department of Education (KDE) have jointly addressed resolution of those issues.

As part of the monitoring and oversight responsibilities assigned to OEA under HB 940, the office will continue to assure that all guidelines according to KRS 160.352 are properly met when a superintendent vacancy occurs.

Consideration should be given to changing the composition of the screening committee to include more input from the community. Currently KRS 160.352 directs that the committee be composed of one school board member, one principal, two teachers and one parent. This formula favors the interests of certified staff of the district with three representatives. The parents have only one representative and currently the business community has no representation. It would seem that the parents and business community should be entitled to more representation than is currently mandated. If this balance was achieved, then consideration might be given to making the screening committees' decisions stronger than mere recommendations that can and have been ignored by boards of education under the current law.

RECOMMENDATIONS

1. All superintendent vacancies should be posted at KDE.
2. Screening committees and school boards should review affirmative action (EEOC) regulations before beginning their work. Increased efforts must be

made to widen search efforts to ensure greater gender, race and geographic diversity in the candidate pool.

3. Consideration should be given to changing the composition of the screening committee to include more input from the community.

INVESTIGATIONS

DIVISION OF INVESTIGATIONS

OVERVIEW

As in past years, approximately 35 new files have been opened in the Investigative Division main file section for some investigative action. Most of these inquiries have been generated by either written or telephone complaints from a school district resident. Since inception, the total number of investigative matters opened in this category has risen to over 150. Over 30 of these 150 matters are designated as active files that currently require one of the following: further investigation; programmatic monitoring; the following of corrective or administrative action of a district or other government agency; tracking the action of the Education Professional Standards Board, a tribunal or a court case. The balance of the approximately 150 matters has been closed with some resolution noted.

Our secondary filing system maintained for miscellaneous issues, limited and preliminary inquiries, correspondence, etc., has doubled in the last year to over 140 titles. As time progresses and the Office of Education Accountability's (OEA) mission is more clearly and widely understood, we have determined that many issues and minor investigative matters can be initiated and in many cases, fully resolved by telephone or written communication without the necessity of actually having to conduct on-site investigations or reviews. This type of inquiry is generally recorded in the miscellaneous filing system. Over 50 of these miscellaneous files are considered to be in active status awaiting responses from correspondents; action of an agency, district or the Kentucky Department of

Education (KDE); or for monitoring programmatic matters, following legislation, promulgation of regulations, etc.

As in past reporting periods, OEA has been provided with allegations that have been determined to be unfounded, false, inaccurate, fabricated or based upon a misunderstanding of statutory provisions. Many of the determinations that no issue exists have been made in the preliminary stages of inquiry or review and have not caused a significant waste of time and resources of this office or the school districts involved. Even with the use of hotline information and our policy of acting on anonymous information if necessary, the incidence of what appears to be intentional abuse of the process by complainants remains insignificant.

All active files in both the investigative and miscellaneous filing system are reviewed and updated by hard copy diary or "tickler" systems. All miscellaneous, investigative and administrative files are indexed and tracked by a new computer program which has enhanced our ability to access files and information through the use of a much larger number of keys and categories than were available under the previous system.

OEA investigative activity during the past reporting period resulted in charges being placed by the Commissioner of Education against one district superintendent who resigned prior to a removal hearing. This investigation, which had been delayed for a considerable period of time at the request of another state agency, was a joint effort of this office and KDE. Findings of fact in this matter resulted not only in charges being placed against the superintendent, but in a comprehensive audit conducted by KDE to determine if the district

should be declared state assisted or state managed under provisions of 703 KAR 3:205 Section 2 and Section 3. As a result of this comprehensive audit, this district is now operating under provisions of 703 KAR 3:205 and is developing and implementing an improvement plan.

In another district, a comprehensive and lengthy review of the Special Education Program, predicated upon numerous complaints from the district regarding the operation of the program, was conducted by OEA. As a result of this review, the district has made significant personnel changes and additions, reestablished proper procedures and programs where appropriate, and is under a corrective action plan supervised by the Division of Exceptional Children Services, KDE, for a period of one year.

Investigations, limited inquiries and information furnished to districts by OEA regarding violations by board members of provisions of KRS 61.080 and/or 160.180 resulted in the resignation of five board members and the ouster of another by the Attorney General's Office. These resignations and the ouster occurred in six different districts. The offensive behavior included nepotism, conflict of interest, incompatibility of offices and residency irregularities.

During this reporting period, OEA has referred information regarding possible criminal activity to the appropriate agency on several occasions. Some of these referrals have resulted in investigations by these agencies and several are still under review. Last year it was noted that three indictments remained outstanding based upon past referrals. One of these indictments has been dismissed at the request of the prosecutor, one case resulted in an acquittal and the third matter under indictment remains unresolved.

Upon receipt of information regarding irregularities in two districts, OEA intervention in one district resolved a situation that if allowed to occur could have resulted in a violation of KRS 160.380 (2)(g), payment of a fine and potential grounds for revocation of the superintendent's certificate. In the second district a plan to inappropriately place a secondary emotional-behavioral disability (EBD) unit at an elementary school site was averted and the unit was subsequently placed on a secondary school campus.

IMPLEMENTATION

Investigative Assistance Rendered

As in the past, OEA has received requests for investigative assistance from superintendents and boards in reviewing irregularities uncovered by their district or referred to them by OEA, KDE or other interested agencies. The assistance provided in these situations has ranged from simply giving advice and direction to the district personnel conducting the review to conducting the review with OEA personnel and providing the findings to the district for their consideration and action.

In one district, two separate situations developed wherein OEA provided information received from complainants regarding continuing inappropriate behavior of two district teachers and of scheduling and payroll irregularities of another employee. These matters were unrelated. In both cases, the superintendent initiated investigations which were followed by OEA. Both investigations were responsive to the issues, comprehensive and complete. One investigation resulted in the termination of two teachers for conduct

unbecoming teachers. The second investigation involved the rescheduling of an employee's responsibilities and duties to accommodate a non-work related matter. It also involved payroll irregularities. None of the rescheduling or payroll changes were approved or even known to the superintendent. Following the investigation, three employees were reprimanded, two were demoted and reimbursement of money to the district was ordered.

In two other districts, administrators resigned after investigations were initiated by the district and assisted by this office. In another district, OEA conducted an investigation regarding questionable expense reimbursements. The findings of this investigation were furnished to the superintendent who reprimanded three employees, suspended each for 30 days without pay and ordered restitution to the district of over \$4000 of inappropriate expense payments.

Two superintendents in two other districts sought assistance and advice in handling sexual abuse allegations regarding teachers in their district. Appropriate procedural advice was furnished and both superintendents made the mandated advisements to Social Services and law enforcement authorities and obtained the results of those investigations. In one case a non-tenured teacher was not renewed and is currently awaiting a court date. In the other district the superintendent terminated the teacher based upon the results of the Social Services investigation.

Annual Audits of School Districts

During 1993, the State Committee for School District Audits issued a new Procedures for Auditing Local School District's Fiscal Records Manual which has been in use by CPA firms doing school district audits for the 1993-94 year. The new procedures should result in a better, more complete and more usable audit report and the State Committee for School District Audits should be commended for their efforts. As we work with these audit documents this year in various districts, OEA will continue to monitor the process and offer suggestions for further improvement as necessary.

Liaison with Other Agencies/Organizations

OEA Investigative Division continues to enjoy good working relationships with numerous agencies of state and federal government; and education-related departments, agencies and organizations. These relationships are essential to the continued success of the division in the development and dissemination of information, referrals to and from OEA, legal research, the free flow of information among interested agencies, and coordination of efforts in order to effectively employ limited resources.

RECOMMENDATIONS

OEA continues to believe that four areas of concern and recommendations for corrections noted in previous annual reports are still worthy of consideration and will be briefly restated in this report.

1. **Area of Concern:** School District Reimbursement of Travel Expenses.

Recommendation: Promulgate statute or regulation causing all school districts to adopt uniform policies and procedures for reimbursement of travel expenses subject to the approval of the Kentucky Department of Education.

2. **Area of Concern:** KRS 160.180 (2)(g) and Banking Matters - Conflicts of Interest - School Board Members.

Recommendation: Amend KRS 160.180 (2)(g) to recognize that the mere deposit of district funds in a bank does confer a direct or indirect beneficial interest to one who has a significant ownership interest in a bank or is a major officer or director of a bank.

3. **Area of Concern:** KRS 160.570 - Depository of the Board - Bond-Duties.

Recommendation: Amend KRS 160.570 (1) to require that school districts bid all bank services.

4. **Area of Concern:** KRS 424.260 - Competitive Bidding

Recommendation: Amend KRS 424.260 to clearly define and limit "professional services" as they relate to school districts.

New Recommendations

5. **Area of Concern:** Lack of Management Staff for Management Assistance Districts

Recommendation: When an OEA investigation results in the Commissioner bringing charges and the State Board taking action to remove school district officials, it becomes necessary for the Division of Management Assistance to identify staff to go into these troubled school districts. These assignments are critical to the successful transformation of these districts.

During the past three years, personnel have been recruited from among the ranks of Kentucky's retired administrators for these special assignments. Kentucky Teacher Retirement System (KTRS) requirements limit retirees to 100 days of employment before benefits are reduced. As a result, these administrators have had a very limited tenure in these management assistance assignments.

This service restriction, as well as the demands of travel, isolation both geographic and political, have affected the efforts of the Management Assistance Program to achieve and maintain long-term successful change. To address this human resource problem, OEA proposes that KDE work with state (KASA, KASS) and national (AASA, NASSP) organizations to identify persons who may be successful candidates for work in the Management Assistance Program. Long-term commitments (one to two years) are essential to the program's success. Attracting qualified people from across

the country to come to Kentucky to work in this program is fundamental to its success.

6. **Area of Concern:** KRS 160.380 (3) - Criminal Record Checks on Applicants.

Recommendation: Amend KRS 160.380 (3) to require nationwide criminal record checks for new school district employees in order to screen out those applicants with a criminal history of sex crimes. These criminal record checks are to be requested from the Justice Cabinet prior to employing the applicant.

We have noted that in one case involving allegations of sexual abuse regarding a teacher that criminal checks were conducted, but only for crimes committed in the state of Kentucky. Involvement with other similar cases and based upon limited inquiries conducted by this office it has been determined that the practice of requesting "Kentucky only" record searches is common. In the case mentioned above, had a nationwide search been requested, it would have been determined that this subject had a history of minor sex offenses in another jurisdiction and in all probability would not have been hired had this been known to the district.

With the current computer systems in use by the Justice Cabinet, State Police, and other police agencies throughout the state, a nationwide records search is easily accomplished at little or no added cost and would prevent the hiring of those unfit to deal with children and save local districts the costs of investigations, disruptions, and terminations that are likely to occur when sex offenders are hired.

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REFERENCES

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APPENDIX A

1989-90 WEALTH QUINTILES

QUINTILE 1	QUINTILE 2	QUINTILE 3	QUINTILE 4
AUGUSTA	ADAIR CO.	BALLARD CO.	ANDERSON CO.
BATH CO.	ALLEN CO.	BARREN CO.	ASHLAND
BELL CO.	BARBOURVILLE	BELLEVUE	BARDSTOWN
BREATHITT CO.	BEREA	BOURBON CO.	BOWLING GREEN
BUTLER CO.	BRACKEN CO.	BOYLE CO.	BOYD CO.
CARTER CO.	BULLITT CO.	BRECKINRIDGE CO.	BURGIN
CLAY CO.	CALDWELL CO.	CALLOWAY CO.	CAMPBELL CO.
CLINTON CO.	CAMPBELLSVILLE	ELIZABETHTOWN	CARROLL CO.
CLOVERPORT	CARLISLE CO.	EMINENCE	CLARK CO.
DAWSON SPRINGS	CASEY CO.	FLEMING CO.	DANVILLE
DAYTON	CAVERNA	GALLATIN CO.	DAVISS CO.
EAST BERNSTADT	CHRISTIAN CO.	GARRARD CO.	ERLANGER-ELSMERE
EDMONSON CO.	CORBIN	GLASGOW	FT THOMAS
ELLIOTT CO.	COVINGTON	GRAVES CO.	FRANKFORT
ESTILL CO.	CRITTENDEN CO.	HANCOCK CO.	FRANKLIN CO.
FLOYD CO.	CUMBERLAND CO.	HARDIN CO.	HENDERSON CO.
HARLAN CO.	FAIRVIEW	HARRISON CO.	JESSAMINE CO.
HARLAN	FULTON CO.	HARRODSBURG	KENTON CO.
HART CO.	FULTON	HENRY CO.	LIVINGSTON CO.
JACKSON CO.	GRANT CO.	HICKMAN CO.	LYON CO.
JACKSON	GRAYSON CO.	HOPKINS CO.	MARSHALL CO.
JENKINS	GREEN CO.	LOGAN CO.	MASON CO/MAYSVILLE
JOHNSON CO.	GREENUP CO.	MADISON CO.	MURRAY
KNOTT CO.	HAZARD	MARTIN CO.	OLDHAM CO.
KNOX CO.	LARUE CO.	MAYFIELD	OWENSBORO
LAWRENCE CO.	LAUREL CO.	MCCRACKEN CO.	PADUCAH
LEE CO.	MARION CO.	MCLEAN CO.	PIKEVILLE
LESLIE CO.	MEADE CO.	MERCER CO.	RUSSELL
LETCHER CO.	MIDDLESBORO	MUHLENBERG CO.	SCOTT CO.
LEWIS CO.	MONTGOMERY CO.	NELSON CO.	SHELBY CO.
LINCOLN CO.	NICHOLAS CO.	OHIO CO.	SOMERSET
LUDLOW	OWEN CO.	PAINTSVILLE	SOUTHGATE
MAGOFFIN CO.	PARIS	RACELAND	TRIMBLE CO.
MCCREARY CO.	PERRY CO.	SIMPSON CO.	
MENIFEE CO.	PIKE CO.	TRIGG CO.	
METCALFE CO.	PULASKI CO.	UNION CO.	
MONROE CO.	ROBERTSON CO.	WARREN CO.	
MONTICELLO	ROWAN CO.	WASHINGTON CO.	
MORGAN CO.	RUSSELL CO.	WEBSTER CO.	
NEWPORT	RUSSELLVILLE	WILLIAMSTOWN	
OWSLEY CO.	SPENCER CO.		
PENDLETON CO.	TAYLOR CO.		
PINEVILLE	TODD CO.		
POWELL CO.			
PROVIDENCE			
ROCKCASTLE CO.			
SCIENCE HILL			
SILVER GROVE			
WALTON VERONA			
WAYNE CO.			
WEST POINT			
WHITLEY CO.			
WILLIAMSBURG			
WOLFE CO.			

QUINTILE 5

ANCHORAGE
BEECHWOOD
BOONE CO.
FAYETTE CO.
JEFFERSON CO.
WOODFORD CO.

1993-94 WEALTH QUINTILES

QUINTILE 1	QUINTILE 2	QUINTILE 3	QUINTILE 4
AUGUSTA	ADAIR CO.	ASHLAND	ANDERSON CO.
BARBOURVILLE	ALLEN CO.	BALLARD CO.	BARDSTOWN
BELL CO.	BATH CO.	BARREN CO.	BEECHWOOD
BEREA	BRACKEN CO.	BELLEVUE	BOWLING GREEN
BREATHITT CO.	BRECKINRIDGE CO.	BOURBON CO.	BOYD CO.
BUTLER CO.	CALDWELL CO.	BOYLE CO.	BURGIN
CARTER CO.	CAMPBELLSVILLE	BULLITT CO.	CAMPBELL CO.
CLAY CO.	CARLISLE CO.	CALLOWAY CO.	CARROLL CO.
CLOVERPORT	CASEY CO.	COVINGTON	CLARK CO.
DAWSON SPRINGS	CAVERNA	DAVISS CO.	DANVILLE
DAYTON	CHRISTIAN CO.	ELIZABETHTOWN	ERLANGER
EAST BERNSTADT	CLINTON CO.	EMINENCE	FRANKFORT
ELLIOTT CO.	CORBIN	GALLATIN CO.	FRANKLIN CO.
ESTILL CO.	CRITTENDEN CO.	GARRARD CO.	FT. THOMAS
FAIRVIEW	CUMBERLAND CO.	GLASGOW	HANCOCK CO.
FLOYD CO.	EDMONSON CO.	GRAVES CO.	JESSAMINE CO.
HARLAN	FLEMING CO.	HARDIN CO.	KENTON CO.
HARLAN CO.	FULTON	HARRODSBURG	LIVINGSTON CO.
HAZARD	FULTON CO.	HENDERSON CO.	LYON CO.
JACKSON	GRANT CO.	HENRY CO.	MARSHALL CO.
JACKSON CO.	GRAYSON CO.	HOPKINS CO.	MASON CO.
JENKINS	GREEN CO.	LOGAN CO.	McCRACKEN CO.
JOHNSON CO.	GREENUP CO.	MADISON CO.	MURRAY
KNOTT CO.	HARRISON CO.	McLEAN CO.	OLDHAM CO.
KNOX CO.	HART CO.	MERCER CO.	OWENSBORO
LEE CO.	HICKMAN CO.	MIDDLESBORO	PADUCAH
LETCHER CO.	LARUE CO.	NELSON CO.	RUSSELL
LEWIS CO.	LAUREL CO.	PAINTSVILLE	SCOTT CO.
LINCOLN CO.	LAWRENCE CO.	PIKEVILLE	SHELBY CO.
LUDLOW	LESLIE CO.	PULASKI CO.	SOMERSET
MAGOFFIN CO.	MARION CO.	SIMPSON CO.	SOUTHGATE
McCREARY CO.	MARTIN CO.	TRIGG CO.	TRIMBLE CO.
MENIFEE CO.	MAYFIELD	UNION CO.	WARREN CO.
MONROE CO.	MEADE CO.	WASHINGTON CO.	WEBSTER CO.
MONTICELLO	METCALFE CO.		WOODFORD CO.
MORGAN CO.	MONTGOMERY CO.		
NEWPORT	MUHENBURG CO.		
OWSLEY CO.	NICHOLAS CO.		
PERRY CO.	OHIO CO.		
PIKE CO.	OWEN CO.		
PINEVILLE	PARIS		
POWELL CO.	PENDLETON CO.		
PROVIDENCE	RACELAND		
ROCKCASTLE CO.	ROBERTSON CO.		
RUSSELLVILLE	ROWAN CO.		
SCIENCE HILL	RUSSELL CO.		
SILVER GROVE	SPENCER CO.		
WEST POINT	TAYLOR CO.		
WHITLEY CO.	TODD CO.		
WILLIAMSBURG	WALTON-VERONA		
WOLFE CO.	WAYNE CO.		
	WILLIAMSTOWN		

QUINTILE 5

ANCHORAGE
BOONE CO.
FAYETTE CO.
JEFFERSON CO.

APPENDIX B

COLLECTION RATES FOR REAL AND TANGIBLE PROPERTY

DISTRICT	1989-90	1990-91	1991-92	1992-93	1993-94
ADAIR CO	97.69%	97.51%	97.38%	97.24%	97.94%
ALLEN CO	97.82%	98.07%	98.49%	98.45%	98.91%
ANDERSON CO	98.21%	98.19%	98.43%	98.61%	98.62%
BALLARD CO	97.38%	98.41%	99.00%	98.54%	97.78%
BARREN CO	97.85%	97.48%	98.83%	98.96%	99.05%
BATH CO	96.09%	95.96%	96.57%	96.92%	96.64%
BELL CO	95.09%	94.52%	95.41%	96.01%	N/A
BOONE CO	97.65%	97.92%	97.93%	98.52%	N/A
BOURBON CO	97.83%	98.17%	97.67%	98.50%	98.70%
BOYD CO	96.82%	96.82%	97.02%	97.50%	97.94%
BOYLE CO	98.62%	97.19%	98.39%	98.85%	99.33%
BRACKEN CO	98.80%	98.22%	98.69%	99.20%	99.43%
BREATHITT CO	80.90%	90.06%	88.18%	91.15%	90.69%
BRECKINRIDGE CO	98.13%	98.34%	98.50%	98.19%	98.41%
BULLITT CO	96.39%	96.42%	97.13%	97.04%	96.97%
BUTLER CO	97.89%	97.55%	97.95%	98.13%	98.11%
CALDWELL CO	97.71%	97.78%	98.27%	97.17%	98.43%
CALLOWAY CO	98.58%	98.08%	98.49%	98.42%	N/A
CAMPBELL CO	95.84%	96.33%	95.47%	96.31%	96.77%
CARLISLE CO	97.49%	97.58%	98.80%	98.82%	98.83%
CARROLL CO	99.14%	99.50%	99.50%	99.92%	99.27%
CARTER CO	93.12%	92.67%	93.38%	95.16%	N/A
CASEY CO	97.59%	98.57%	98.12%	98.31%	98.49%
CHRISTIAN CO	97.71%	96.47%	97.74%	98.21%	98.02%
CLARK CO	97.83%	98.06%	98.54%	98.88%	98.52%
CLAY CO	91.08%	90.61%	95.84%	95.44%	N/A
CLINTON CO	94.74%	94.78%	92.60%	93.35%	94.55%
CRITTENDEN CO	98.89%	98.71%	98.90%	99.25%	99.29%
CUMBERLAND CO	94.21%	95.04%	94.98%	95.52%	96.18%
DAVISS CO	99.32%	99.26%	99.16%	99.25%	N/A
EDMONSON CO	96.72%	96.30%	96.72%	96.92%	96.28%
ELLIOTT CO	87.45%	91.94%	93.23%	95.51%	N/A
ESTILL CO	95.09%	94.67%	94.58%	94.43%	N/A
FAYETTE CO	97.25%	96.55%	94.79%	98.00%	98.40%
FLEMING CO	99.07%	98.94%	98.91%	99.25%	99.07%
FLOYD CO	92.08%	89.02%	89.46%	92.28%	N/A
FRANKLIN CO	96.66%	97.18%	97.78%	97.76%	98.59%
FULTON CO	97.77%	97.20%	97.97%	98.21%	98.33%
GALLATIN CO	94.50%	96.20%	95.03%	96.82%	96.99%
GARRARD CO	97.36%	97.32%	97.38%	97.55%	97.93%
GRANT CO	98.27%	97.69%	98.08%	98.07%	98.31%
GRAVES CO	96.58%	96.90%	98.05%	98.07%	98.13%
GRAYSON CO	96.49%	97.22%	96.68%	97.58%	N/A
GREEN CO	98.54%	98.33%	98.34%	98.34%	98.50%
GREENUP CO	92.41%	93.07%	93.90%	91.92%	N/A
HANCOCK CO	99.58%	99.62%	99.53%	99.61%	99.68%

APPENDIX D

APPENDIX E

**1989-90 to 1993-94
STATEWIDE DATA**

	1989-90	1991-92	% Change 90 to 92	1993-94	% Change 92 to 94	% Change 90 to 94
REVENUE						
Local	484,474,510	655,229,933	35.25%	733,875,059	12.00%	51.48%
State	1,268,915,122	1,643,093,682	29.49%	1,764,904,996	7.41%	39.09%
Federal	207,808,883	282,593,966	35.99%	316,728,725	12.08%	52.41%
Total	1,961,198,515	2,580,917,581	31.60%	2,815,508,780	9.09%	43.56%
Total Per Pupil	3,444	4,496	30.56%	4,876	8.44%	41.58%
EXPENDITURES						
Per Pupil	2,977	3,833	28.73%	4,183	9.14%	40.50%
AVG DAILY ATTEND						
End of Year	569,453	573,990	0.80%	577,416	0.60%	1.40%
SALARIES						
Classroom Teachers	26,292	30,869	17.41%	31,625	2.45%	20.28%
All Certified Staff	27,909	32,788	17.48%	33,561	2.36%	20.25%
ASSESSMENT						
Per Pupil	157,814	177,069	12.20%	194,585	9.89%	23.30%
EQUIVALENT TAX RATES						
Collected	49.9	60.3	20.84%	62.1	2.99%	24.45%

Source: Kentucky Department of Education

APPENDIX F

Kentucky Education Technology System District Administrative System

Technical Review Team Final Report

Background

The Technical Review Team was formed on March 25, 1994 with the following mission:

... review mandatory and desired architectural requirements for KETS administrative systems. Additionally, the advisory team will review off-the-shelf software recommended by the functional requirements teams for compatibility with technical requirements, and recommend one to three off-the-shelf software products to project management for contract negotiation.

Team members include:

District Technology Coordinators
Cecil Conley, Ashland Independent
Michael Bidwell, Shelby County
Steve Burton, Daviess County

Department of Education
David Couch
Robin Wolfe

University of Kentucky
Janet Baynham

Department of Information Systems
Peggy Meyer
Robin Robertson
Ralph Long
David Burke

In order to accomplish their mission, the team met April 12, 13, 21, 29, May 12, 20, 23, 26, 31 and June 2 at the Education Technology Assistance Center in Frankfort, KY.

Kentucky Education Technology System
District Administrative System
Technical Review Team

Findings and Recommendations

The findings and recommendations contained in this document are the consensus of the
Technical Review Team.

Office Services - Word Processing and Spreadsheet

Recommendation:

The Technical Review Team concurs with the recommendations of the office services team.

Implementation Issues:

Word Processing and spreadsheet: From the technical and users perspectives, this team is not aware of any particular advantages to the use of a suite of products. Districts should be allowed their choice in this area. Districts should be cautioned that use of suite packages will not allow concurrent use of different modules within the suite of products by simultaneous users. (While one person uses word processing someone else can't use spreadsheet from that package at the same time.)

Microsoft must be pushed to provide a Mac version of Access. Definite plans must be provided. Pricing must be at the same level of discount as the Intel version.

Given the large installed base of many of these products in districts and schools, reduced pricing for product upgrades should be pursued.

Include the modules of Excel and Lotus which reads SQL databases without having to go through the import and export process (i.e. ODBC drivers). *(The technical review team felt this might be product add ons and not included with the basic products.)*

The merge function in the Macintosh version of Word is not as good as this function in the Windows version of Word. Microsoft must be strongly advised to maintain Mac/Intel comparability in all areas of functionality.

Future Upgrades of Software:	Project leadership may need to standardize on a certain version of software to stabilize all districts - then, plan for upgrades with plenty of warning to districts (any upgrade with budgetary implications may need to be planned 18 months in advance). With proper warning and after a
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transition period, old versions of software should not be supported.

All vendors must be willing and able to work with KETS help desk.

Communication Services - E-Mail and Calendar

Considerations:

Mail - Neither product, Microsoft Mail or cc:Mail, scales well in current releases. Both are written on a DOS platform and are tied to a single server. Microsoft incorporates a better mail router solution, with a strong commitment to future improvements to their products. After repeated attempts, cc:Mail has not responded to functional queries about scalability of their products from both the local and corporate office level.

When future releases of Microsoft's operating system are commercially available (Chicago), a high level of integration for office products (word processing, mail, calendaring, etc.) is expected to be included. Future releases will also be able to load users from secondary files (payroll, pupil attendance, etc.), a feature viewed to be very desirable from the district and school perspective.

Other points of consideration: cc:Mail offers a good user interface. Microsoft has a lower quality Mac interface than that offered by cc:Mail. However, Microsoft has expressed a strong commitment to improve this.

Both products offer an Internet gateway which is fairly equivalent. Both products are true cross-platform products (are accessing same mailbox from Intel and Mac platform.)

Calendaring - Microsoft does not have a Macintosh version of Schedule + available at this time. The beta version is undergoing testing at this time.

Recommendation:

The technical review team **strongly** concurs with the Communication Services team recommendation of Microsoft mail and Schedule + calendar product.

Implementation Issues:

Microsoft should be asked to provide architects on site to lay out mail strategy.

APPENDIX G

OEA EDUCATION HOTLINE

The Office of Education Accountability (OEA) maintains two toll-free Education Hotlines to receive public comment and suggestions from teachers, parents, administrators, and citizens. Staff are also available to answer questions regarding the Kentucky Education Reform Act (KERA) and/or refer individuals to the appropriate contact in the Kentucky Department of Education (KDE) or other appropriate agency. The second hotline was added in the spring of 1992, to allow for greater accessibility to OEA's services.

Since the creation of the office, January 1991, the hotline has taken 3,017 calls, with a total of 876 since January 1, 1994. Statistics indicate that the majority of calls taken are from Eastern Kentucky. With the public becoming more interested in the changes involving the education system of our state, there is a great demand for KERA information including copies of the Citizen's Handbook, OEA's Annual Report and KERA videos.

The staff person receiving hotline calls must possess extensive knowledge in all areas of KERA to answer questions and determine whether or not the concern should be addressed by local officials, KDE, other state agencies or by OEA. Many times habitual callers rely on the expertise of staff for direction and advice in resolving their concerns. Also, OEA staff provide an avenue for individuals to be heard and will spend any amount of time needed in order to assure the caller that his or her concern has not "fallen on deaf ears."

If possible, the hotline staff will try to identify the school district, name of the school, position and name of caller, along with specific information relevant

HIGH SCHOOL RESTRUCTURING

OVERVIEW

The High School Restructuring effort has moved to a new phase. In 1992-93 the State Task Force on High School Restructuring, created by the State Board for Elementary and Secondary Education, under the authority of KRS 156.160(1)(c) presented its report in June 1993. The Kentucky Department of Education (KDE) is sponsoring the restructuring program based on this report to accumulate research and suggestions for review by the State Board and the Council on High Education. KDE issued a request for proposals in January 1994 for schools to apply for grants to facilitate their efforts in this restructuring. These grants were awarded in March 1994 to 67 schools. The State Board will base future decisions on high school graduation requirements in part on the result of the restructuring program.

PROGRAM IMPLEMENTATION

Selected schools have chosen to work on restructuring using the five core components developed by the Task Force on High School Restructuring as their base. Those five components are:

- individual graduation plans
- integrated academic portfolios
- student-initiated culminating projects
- school-sponsored and approved activities
- exit reviews

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Veralyn Hale
Raceland
(rep. comm. action agencies)

William Huston
Secretary
Workforce Dev. Cabinet
Frankfort

Paul Isaacs
Acting Secretary
Justice Cabinet
Frankfort

Sherry Jelsma
Secretary
Education, Arts,
& Humanities Cabinet
Frankfort
(rep. the Governor's office)

Connie Jones
Frankfort
(rep. teachers)

Carol Lainhart
Erlanger
(rep. coordinators)

Frank Lavender
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Georgetown
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Debbie Schumacher
Director
KDE/Div. Preschool Programs
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Charles Terrett, Chair
Fulton County Schools
Hickman
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Bill VonderHaar, M.D.
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Elizabeth Wachtel
Commissioner
Dept. of Mental Health/
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Frankfort

Peggy Wallace
Commissioner
Dept. of Social Services
Frankfort

Gleason Wheatley
Frankfort
(rep. parents)

Tom Willis
Associate Commissioner
KDE/Office of Mgmt. Support
Frankfort

Treva Wright-Donnell
Commissioner
Dept. of Employment Services
Frankfort

**KENTUCKY EDUCATION TECHNOLOGY SYSTEM
STEERING COMMITTEE**

Thomas C. Boysen
Commissioner
Department of Education

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