

**KENTUCKY GENERAL ASSEMBLY
OFFICE OF EDUCATION ACCOUNTABILITY**

ANNUAL REPORT

December 1995

INTRODUCTION

A review of the Executive Summary from the 1994 OEA Annual Report finds that many of the recommendations presented there have been acted upon.

- The National Panel on assessment completed their work and many changes were made in the assessment program as a result.
- A meeting on SEEK was convened and adjustments and changes for the future were discussed.
- The increased emphasis on school district and state program accountability continued.

This is the fifth Office of Education Accountability Annual Report, each of them subtitled "Measuring Progress." In our travels, we have, indeed, found much progress. We report that extended school programs are at every school. FRYSCs are exceeding their expectations. The Kentucky preschool program is considered a model for the nation.

To date, Kentucky is the only state to fully implement and sustain a major education reform initiative. We will continue to improve, revise and make adjustments in our educational programs and keep our commitment to a quality education for all children of the Commonwealth.

The recommendations found in the 1995 OEA Annual Report are offered in the spirit of improving what we have and anticipating additional reform initiatives. It is our hope that you will read the Annual Report and use it as a resource to review the past and frame the future for education in Kentucky

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EXECUTIVE SUMMARY

The fifth report of the Office of Education Accountability relies, as in years past, on data collection from a variety of sources: Kentucky Department of Education, Cabinet for Human Resources, Council on Higher Education, Prichard Committee, Kentucky Institute for Educational Research, research studies from higher education and OEA field reviews and interviews.

As we move into the final year of the implementation phase of the reform effort, it appears that much of the structure is solidly in place. Preschool, extended school services, family resource and youth service centers, school-based decision making councils, while not in every school, are certainly well underway. As noted in several of the recommendations, these programs need to continue refining their reporting, focusing less on numbers served and more on what has happened as a result of participation in the programs.

The primary program, while the source of much controversy, needs to be continued with improved communication to parents regarding their child's progress. The use of the Kentucky Early Learning Profile (KELP) needs to be clarified, as well as the development of better guidelines on appropriate student grouping and instructional strategies.

Underlying many of the recommendations is the continued need for meaningful professional development. In fact, over the next several years, professional development and training will be the keys to moving our students ahead academically. All activities need to be carefully evaluated for quality. Regional service centers are an essential ingredient in ensuring the delivery of

effective development activities for all educators. Curriculum alignment, a critical instructional component, needs to be a professional development priority for teachers. There must be a discussion of creating more time for professional development so that teachers and students do not lose valuable classroom time.

Technology is also an essential component of on-going training and professional development. While the current ratio of four teachers for every one teacher workstation is an improvement from past years, we must move aggressively to ensure that every teacher in the Commonwealth has his/her own workstation. This would not only provide excellent training for teachers, but would cause the computer to become an essential instructional tool, much like the chalkboard or overhead projector.

In the area of finance, tremendous progress has been made. However, we must continue to review the SEEK formula and begin to determine what instructional impact the additional moneys have had. Some exploratory work in cost-benefit analysis has begun and should be expanded.

The section entitled Alternative Education, located in the Appendix, outlines some of the "horizon" issues that will be under discussion in the next few years. Included here is a brief discussion of alternative programs, an issue more school districts are dealing with.

With the development of the new RFP for assessment, many of the questions and concerns surrounding Kentucky's testing program will be resolved. However, there needs to be continued discussions regarding the appropriateness of high stakes assessment and the related technical quality issues. Because

assessment data is used in so many decisions about schools, it must be a credible "measuring stick."

The implementation phase of the reform initiative is almost at a close. The focus now must be to determine what has changed in schools as a result of our efforts and "chart the course" for continuation of Kentucky's reform agenda as described in House Bill 940.

Involvement in Categorical Programs

- ◆ Generally, many decisions regarding categorical programs -- i.e., special education, gifted education -- continue to be made from the district office. There appears to be a perception among council members that these programs are off limits since the funds for these programs are controlled by the district. District administrators/coordinators should make it an accepted practice to communicate important instructional and programmatic information to councils and committees. Likewise, councils should review categorical program budgets to ensure resources are targeted to the needs of their school.

Parental Involvement

- ◆ Council members frequently express frustration at the lack of parental involvement at their school. However, it appears that very few councils have developed comprehensive initiatives for involving parents in systematic decision making. At best, most parents seem to have a peripheral understanding of many important policy and programmatic issues. School councils should initiate well-planned and organized parental involvement initiatives that employ the many available resources for increasing parental involvement. School district central office personnel should assist councils in this effort.

Superintendent/Principal Training and Assessment

- ◆ Administrator training, testing, and assessment for principals and superintendents should be retained and 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 for the superintendent testing program to address the issue of those who do not complete the qualification process within the allotted year's time.
- ◆ Promulgate a regulation for the superintendent testing program 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 Committee

- ◆ All superintendent vacancies should be posted at the Kentucky Department of Education.
- ◆ Because of ambiguities in KRS 160.352, the Kentucky Department of Education should prepare a program advisory to clarify the responsibilities and expectations for the screening committee.
- ◆ Consideration should be given to changing the composition of the screening committee to include more community participation.
- ◆ Increased efforts must be made to widen search efforts to ensure greater gender, race, and geographic diversity in the candidate pool. Screening committees and school boards should review affirmative action (EEOC) regulations before beginning their work.

Educational Technology In Kentucky

- ◆ The instructional technology component must be the top priority of Kentucky's technology program even if full funding of the total program is not possible.

- ◆ The Kentucky Department of Education should encourage school districts to move rapidly to attain the 1996 Update to the Master Plan for Education Technology's goal of one teacher workstation per teacher. Computer access and training of teachers appear to increase the demand for technology resources in the classroom.
- ◆ The Finance and Administration Cabinet should continue to oversee Kentucky's technology program through the Kentucky Education Technology System Project Office. This oversight could be enhanced by revitalizing the Kentucky Education Technology System Steering Committee and expanding it to include several legislators.
- ◆ The University of Kentucky/Institute on Education Reform's report substantiates that school districts are lagging behind in connecting classrooms to classrooms, schools to schools, and the central office. Also, the report suggests this connectivity restriction is resulting in the low use of technology services (e.g., on-line catalogues, search services, and electronic mail) in the classroom. To accelerate the "connectivity" of classrooms and schools, the next biennial appropriation for Kentucky's technology program should be targeted directly to schools and teacher and student workstations.
- ◆ A careful review should be performed by the Finance and Administration Cabinet of the MUNIS implementation to determine whether the additional \$4.3 million funding is required because of the Commonwealth inadequately identifying the requirements of the financial package or because of The Computer Center Software failing to adequately perform tasks in Milestone 1 and 2 for which they have been paid.

- ◆ The Task Order process needs to again identify all resources required to complete a task and also provide an associated timeline. This will allow the Kentucky Education Technology System Project Office to better determine fiscally if any particular portion of the project is off track.
- ◆ The scope of the project, particularly recurring costs, should be carefully reviewed by the Kentucky Department of Education, the Legislature, and the Executive Branch to insure that adequate funding will be available in the foreseeable future.
- ◆ The Kentucky Department of Education should ensure every effort is made to alleviate any "red tape" so that local districts may be able to spend their money on technology in a reasonable timeframe.
- ◆ The Kentucky Department of Education should continue to discern mission critical human resource requirements for both long and short term. Long term positions should be hired as employees to protect continuity of the project.
- ◆ Studies must be conducted to determine how technology is being used to improve instruction in the classroom.
- ◆ The Kentucky Department of Education must focus on identifying, articulating, and providing acceptable practices for implementing technology to schools that are encountering difficulty.

Funding Kentucky's Schools

- ◆ The SEEK base amount should continue to be increased. A 4-6 percent increase in each year of the 1996-98 biennium appears appropriate when utilizing the

National Center for Education Statistics' projected increases in national per pupil spending as a benchmark index.

- ◆ All SEEK factors; i.e., exceptional children, transportation, at-risk, home/hospital, should continue to be fully funded. This would continue to impact the adjusted guaranteed base component of the SEEK program positively for all 176 Kentucky school districts.
- ◆ A study of professional compensation should be initiated so the Commonwealth can change the base of teacher compensation to professionally recognized factors beyond the indirect measures of education, rank, and experience currently used.
- ◆ Extended school services, preschool, and professional development programs should become additional factors of the SEEK program's calculated base instead of continuing to be "stand alone" categorical programs.
- ◆ Use prior year assessments in the SEEK program calculation. This would allow Kentucky Department of Education to provide local school districts with a final calculation by the close of the calendar year rather than the close of the fiscal year. Also, tentative calculations would be more accurate and timely, thus enhancing the local school district budgeting process.
- ◆ The Facilities Support Program of Kentucky program should continue to be fully funded.
- ◆ Resolve the conflict between KRS 160.470 and KRS 157.440 so that the Tier II limit on the amount of local revenue a school district can raise is absolute.

K.E.R.A.
INITIATIVES

ASSESSMENT

OVERVIEW

Historical Perspective

The General Assembly with the passage of House Bill 940 in 1990, envisioned an assessment program that would eventually change the way classroom instruction was delivered. The goal was a performance-based curriculum that would require students to think critically, solve problems, communicate, integrate and apply knowledge as well as produce responsible and self-reliant individuals.

KRS 158.6453-55 mandated that the Kentucky Board of Education (KBE) contract with three or more consultants in the field of performance assessment to develop a framework for an interim performance-based assessment program that would move all public schools toward a primarily performance-based assessment program by July 1, 1996. These consultants were required to develop a request for Proposal (RFP) that the Kentucky Department of Education (KDE) would issue to potential contractors, then review the proposals and recommend one to the KBE for implementing the five-year interim assessment program. The enabling statute called for the assessment to measure school accountability, be "NAEP-like," and measure reading, writing, mathematics and social studies in grades 4, 8, and 12 so that there could be national comparisons.

Advanced Systems in Measurement and Evaluation (ASME) of Dover, New Hampshire, was awarded the \$29.5 million contract to develop, administer, score and report assessment results for the five-year period. KDE and ASME jointly

developed the Kentucky Instructional Results Information System (KIRIS) in the fall of 1991. The first assessments, administered in the 1991-92 school year, consisted of writing portfolios, performance events, an on-demand essay, and multiple choice items.

KRS 158.6455 and 704 KAR 4:010, the subsequent regulation approved by the KBE, called for this data to be aggregated into a single-school score that would provide a baseline for schools to be measured against over the next two years. Schools would be rewarded or sanctioned based on an expected growth of 10 percent of the distance between the baseline score and 100. The regulation also defined four performance standards and their value: Novice (Value 0), Apprentice (Value .40), Proficient (Value 1.00) and Distinguished (Value 1.40). Individual student scores were multiplied by one of these values to comprise five-sixths of the school score. The remaining one-sixth was a compilation of various non-cognitive indicators that included school attendance, drop-out rate, retention and transition to adult life for all high school graduates.

The enabling legislation also required the creation of a Council for School Performance Standards whose charge was to frame the learning goals and transform them into expected outcomes that were to be couched in "measurable terms." Seventy-five standards were developed and they were called "Valued Outcomes."

As the curriculum frameworks were delivered to schools in the summer of 1992, criticism began alleging that the assessment system was inaccurate and imposed certain values and beliefs on children. The valued outcomes became very controversial, especially as they related to the goals of "self-sufficiency" and

"responsible group membership." Even the term "valued outcome" became controversial.

The 1991-92 assessment data for the baseline year indicated that about 90 percent of the state's students scored either at the Novice or Apprentice levels. In 1992-93, KIRIS assessment data revealed that scores regressed at the 12th grade with only 20 of 256 high schools making progress. Eighth grade showed slight progress and fourth grade scores indicated excellent progress. KDE attributed the low 12th grade scores to schools not taking the test seriously ("senioritis," low motivation). At this point, it became clear that testing students with no consequences attached was not a good indicator of a school's efforts.

In January 1994, Dr. Boysen, Commissioner of Education, requested that the legislature delay until 1996 the "schools-in-crisis" sanctions. Additionally, he requested that the grade 12 tests (after the 1993-94 school year) be moved to grade 11. The rationale was that the test had little meaning for seniors who would not receive scores before they graduated.

Also as part of these "mid-course corrections," Commissioner Boysen requested that goals three and four ("self-sufficiency" and "responsible group membership") be removed from the assessment. Subsequently, KBE promulgated a regulation reducing the number of outcomes from 75 to 57 and changing the name to "Academic Expectations." All these requests were granted by the General Assembly.

Current Status

Results from the 1993-94 assessments indicated that 95 percent of the state's schools made improvement, while less than 5 percent were in-decline after year two of the biennium. There were 480 schools (38 percent) eligible for rewards, while an additional 8 percent (100 schools) met threshold and were deemed successful. In year two of the biennium, 22 percent (269 schools) of schools were categorized as "successful in year two" which exempted them from sanctions. An additional 28 percent (349 schools) of the schools had an accountability index that fell somewhere between baseline and threshold and were classified as "improving." In summary, 46 percent (580 schools) of schools met or exceeded threshold in the first biennium.

Twenty-six million dollars (\$26,000,000) was given to schools as rewards for certified staff to determine how the money was to be distributed. Of the \$26 million reward, initially \$25,531,395 was distributed to 479 schools and 42 districts. It is interesting to note that from a survey by KDE of 74 rewards schools only 8 percent of those who received the bonuses want to continue the reward process as it is. Many educators reported that making decisions about rewards was difficult, emotionally painful, or divisive. In the same survey, 63 percent of teachers want the statute to: (1) Regulate distribution, 32 percent; (2) More guidelines, 19 percent; (3) Money should go to schools, not teachers, 7 percent; (4) Totally do away with rewards, 5 percent. It is obvious that certified staff are not pleased with the decisions related to disbursing awards. (See Appendix A: Major Suggestions Regarding Rewards Based on Survey of 74 Rewards Schools).

During the spring of 1995, schools began KIRIS testing in grades 4, 8, 11, and 12. It was necessary to test grade 12 for one more year to equate with grade 11 and adjust schools' index back to the baseline year. The methodology for this equating has still not been communicated by KDE. Current projections are that school will not receive 1994-95 assessment data until January 1996. This will include the baseline for biennium two. Grade 11 will begin testing in February to determine success for biennium two. There is a one-month window between baseline notification and the beginning of testing at grade 11.

In February 1995, the Kentucky Institute for Education Research (KIER) released a study done by Western Michigan University which concluded that KIRIS, in its current form, was not yielding school scores that were reliable enough for school accountability or disbursing rewards.

OEA, through its Oversight Committee, commissioned a study in the fall of 1994 to review the technical quality of KIRIS. The study was conducted by Dr. Ronald K. Hambleton, University of Massachusetts at Amherst; Dr. Richard M. Jaeger, University of North Carolina at Greensboro; Dr. Daniel Koretz, The Urban Institute, Washington, D.C.; Dr. Robert L. Linn, University of Colorado at Boulder; Dr. Jason Millman, Cornell University; and Dr. Susan E. Phillips, Michigan State University.

The report, completed in June 1995, was presented to the OEA Oversight Committee. The chief purpose of the OEA report was to advise the legislature of technical concerns that needed to be reviewed and corrected before the next KIRIS contract. These included the issues of standard-setting, equating/linking, appropriateness of portfolios, and other technical concerns related to validity and

reliability. While many educators believe that KIRIS has positively changed classroom instruction, the technical integrity issues need resolution. Because KIRIS is used in a "high stakes" environment, there can be no questions about its technical quality or defensibility.

During the June 27, 1995 meeting of the OEA Oversight Committee, the following resolution was enacted affirming the continued support of a primarily performance-based assessment program for Kentucky schools:

Resolution of the OEA Oversight Committee - June 27, 1995

The committee:

1. Emphasizes its fundamental and strong support for an assessment and an accountability system.
2. Recommends the Department of Education report to this committee how portfolios may appropriately be used in an accountability system.
3. Reconfirms its commitment to primarily performance-based testing systems and to a test that provides the state with valid national comparisons, and directs the Department to advise this committee how these objectives will be met, both in the short term and the long term.
4. Reconfirms its commitment to the financial reward system and demands that the Department, before further distribution of rewards, demonstrate adequate proof of the validity and reliability of the accountability system; and further recommends that the reward money be retained in the trust fund, and that the legislature proceed with the expected increase in appropriation in the 1996 session.

5. Recommends that the Department assure that the test emphasizes content, not just process.
6. Recommends that the Department take the time to make appropriate and wise adjustments to the assessment and accountability systems and solicit recommendations from teachers, superintendents, board members, interested members of the public, and test experts, keeping in mind that an accountability system is essential.

The following includes the Executive Summary, Major Evaluative Questions, Major Findings, and Recommendations from the OEA report:

**Review of the Measurement Quality of the Kentucky Instructional
Results Information System, 1991 - 1994**

-Executive Summary-

Purposes of the Review and General Conclusion

In September of 1994 a national panel of six measurement specialists was appointed by the Office of Education Accountability of the Kentucky General Assembly to address the following question:

Is the measurement quality of KIRIS sufficient to support the intended uses of the KIRIS results and the actions taken by the Kentucky Department of Education and the legislature? And, to the extent that shortcomings in KIRIS are identified, what changes would need to be made to improve the accountability and assessment system?

After reviewing large numbers of curriculum and technical documents and assessments, conducting a number of relevant analyses, and carefully considering our findings, the Panel is in unanimous agreement that KIRIS is seriously flawed and needs to be substantially revised. The

Panel is not suggesting that the educational reform movement in Kentucky is a failure or that educators are not working hard to implement the goals of KERA. We are not suggesting either that the educational reforms taking place in the areas of curriculum design and instruction and teacher in-service training are not worthwhile. The Panel is saying that the accountability and assessment system has major flaws which need to be corrected as Kentucky moves into the second accountability cycle. This broad conclusion does not arise from any single piece of evidence but rather is based on the Panel's review and analysis of (1) assessment development procedures, (2) the accountability index and its reliability, (3) portfolio scoring, (4) the linking or equating of assessments from one year to the next, (5) the procedures used to set performance standards, and (6) evidence addressing the impact of KIRIS on student learning. Appropriate corrections or modifications along the lines of the recommendations below should allow KERA to come closer to achieving its full potential.

Background

In 1990 the Kentucky legislature passed a major education bill that was intended to substantially redesign educational goals, services, and programs in the state. The Kentucky Education Reform act (KERA) required that new and ambitious goals for education be set and that curricula, instruction, and school administration to be reorganized to insure that all students in the Kentucky public schools could and would meet the new goals.

A major component of the education reform initiative in Kentucky is the Kentucky Instructional Results Information System (KIRIS). KIRIS is the accountability and assessment system of KERA which (1) produces annual results on the performance of schools, districts, and the state, in relation to the new goals of Kentucky education in the areas of reading, mathematics, science, social studies, and writing, (2) holds schools accountable for achieving the new goals of Kentucky education, (3) results in schools being given rewards and sanctions based upon student performance at selected grades (grades 4, 8, and 12) in relation to expected levels of performance on both cognitive as well as non-cognitive outcomes, and (4) provides student performance results in five subject areas to students, parents, and their teachers.

Among the main features of KIRIS are that (1) the rewarding and sanctioning of schools based upon student performance makes KIRIS a "high-stakes" accountability system for schools, (2) school accountability depends mainly on the assessment of cognitive outcomes in the areas of mathematics, reading, social studies, science and writing performance but also on non-cognitive variables such as school attendance, and (3) assessment is performance-based which means that

students are expected to construct responses to questions and tasks and produce performances and projects rather than select answers to problems (such as is the case with multiple-choice items). These three features of KIRIS as a set as well as others in KIRIS are relatively new in American education and not easy to implement because they represent a major change in educational philosophy, curricula, instructional methods, and approaches to assessment.

Major Evaluative Questions

The main measurement questions which guides the work of the Panel along with brief descriptions of the questions themselves and how the questions were addressed follow:

1. Are the cognitive tests of the Kentucky Instructional Results Information System (KIRIS) built in a sufficiently sound way to support the accountability and assessment tasks of the Kentucky Educational Reform Act?

To answer this question, the Panel reviewed the educational goals in Kentucky along with the efforts to operationalize those goals into instructional initiatives and then considered the assessments which were produced to address the initiatives. How were the assessments developed, and can the development of assessments be improved? To the extent that the educational assessments fall short in quality, then the whole accountability and assessment system becomes questionable. A review of technical documentation and available assessment materials provided the basis for answering this question.

2. For the school accountability system: How accurate is the classification of a school into one of the accountability categories (Eligible for Reward, Successful, Improving, Decline, In Crisis)? Evidence regarding this question can be obtained by evaluating the expected size of the changes from one assessment to another of the same kind in a school's accountability index. Little confidence in the accountability system should exist if the classification of a school depended to a great extent on the particular tasks which were selected for the assessment, on the particular persons who rated the students' work, or on the cohort of students enrolled in a given year. To address this question, the Panel reviewed results of generalizability and decision consistency of school classification analyses provided by the Department of Education.
3. For the assessment uses of scores: What is the likely margin or error in reported scores? Scores are reported in KIRIS for both schools and students. To what extent might student scores change simply due to the choice of raters to grade student work, or the selection of assessment tasks? Without a reasonably low level of error in the scores due to the selection of tasks and assignment of scorers, any use of the scores would be limited. For example, it only makes sense to describe a student as "proficient" when there is reasonable confidence that, on a new assessment with content chosen within the same curriculum framework and of the same difficulty as the first, a student would have a high probability of being classified as "proficient" again. The Panel reviewed analyses of KIRIS data to investigate this important questions.

4. Are the scores from the writing portfolio reliable and valid? The development of writing skills is a central part of the education reform movement in Kentucky and therefore writing assessment is a main part of the accountability and assessment system. Are the portfolios scored accurately enough for the purposes to which KIRIS puts them, and are they implemented in ways that will produce valid inferences about gains in student performance? Available documents and new analyses provided a basis for investigating this question.
5. Are KIRIS scores equivalent across administrations? Equivalent measures are especially important when the focus of an accountability system is on growth or change over time. To the extent that assessments from one year to the next are not statistically equivalent and equivalent in content, comparisons of achievement from one year to the next will be seriously misleading. Analysis of equating data from 1991-92, 1992-93, and 1993-94 enabled the Panel to address this question.
6. Are the performance standards defensible? KIRIS is a criterion-referenced assessment system and this means that performance standards are set to define levels of performance or proficiency in relation to a well-defined set of educational outcomes. Students are classified as Novice, Apprentice, Proficient, and Distinguished, and the percentage of students in each category over time is the primary component in the accountability index which drives school rewards and sanctions. It is critical, therefore, that a defensible method for setting performance standards be adopted and then be implemented with considerable care. A review of available documents and some new analyses provided a basis for addressing this question.
7. Are the reports of accountability and assessment results prepared for policy-makers, administrators, educators, students, and parents clear and understandable? To the extent that any or all of these groups may be misinformed because of the types of report forms used or scales on which results are reported, KIRIS will fall short of its goals. It is impossible for persons who are misinformed to use the wealth of accountability and assessment information provided by KIRIS. This question was addressed by the Panel by reviewing a sample of score reports from 1993-94.
8. To what extent do any gains in KIRIS scores reflect real improvements in student learning? Large gains in KIRIS scores have been reported by the Kentucky Department of Education. However, experiences with other test-based accountability systems suggest caution: Gains in scores on high-stakes assessments do not always indicate commensurate gains in student achievement. Spurious gains can be produced by a variety of factors, such as breaches in security and teaching students to be better test-takers. The Panel examined limited data from other assessments -- in particular, the National Assessment of Educational Progress and American College Testing college admissions tests -- to explore the meaning of the large gains in KIRIS scores during the first biennium.

The questions above provided the framework for the review that was carried out by the Panel. In addition, Professor Susan Phillips provided a review of KIRIS from a legal perspective. That work and recommendations which were generated from Dr. Phillips' review are contained in Appendix A.

Test Standards

The 1985 Test Standards were developed jointly by the American Educational Research Association, the American Psychological Association, and the National Council on Measurement in Education. These professional standards for the construction and use of educational and psychological tests provide a widely accepted and useful basis for reviewing KIRIS. For aspects of KIRIS not covered directly by the test standards, the Panel applied its collective professional judgment.

Methods and Documents Used in Completing the Study

The Panel reviewed the 1991-92, 1992-93, and 1993-94 KIRIS technical reports, and a large number of memos and other curriculum and technical documents, assessments and related materials, training manuals, and interpretive guides and score reports. In addition, the Panel carried out a number of new analyses and repeated several analyses which had been carried out previously by the Kentucky Department of Education or Advanced Systems. All of our findings were considered by the Panel at several meetings and were thoroughly discussed prior to inclusion in our Final Report.

Major Findings

As KIRIS is currently designed and implemented, it is flawed to the extent that, in the Panel's judgment, the present form of KIRIS cannot support its accountability and assessment goals and objectives. Also, as a result of the serious measurement flaws, (1) the public is being misinformed about the extent to which student achievement has improved statewide; and (2) the public is being misled by being given information about the accomplishments of individual students that may be inaccurate.

Our major findings which support the main conclusion above are as follows:

1. The misclassification rates of schools in some reward categories are high and therefore the rewards and sanctions may be difficult to defend.
2. Although limited, evidence from other assessments (National Assessment of Educational Progress and the American College Tests) fails to show any reflection of the large gains observed on KIRIS. This suggests that at least in the grades and subject areas to which these data pertain, KIRIS markedly overstates actual gains in student achievement. The Panel did not have enough information to ascertain the causes of the exaggerated gains on KIRIS, but many factors, such as teaching students

to be better test-takers, faulty baseline scores, or breaches of assessment security, could have contributed.

3. Repeated use of ad-hoc, judgmental procedures for linking or equating assessments in 1992, 1993, and 1994 result in an accumulation of equating errors which make year to year comparisons of KIRIS results of questionable validity. Changes in equating methods over the years further reduce the validity of the equating results and challenge the desired interpretations of KIRIS results.
4. The setting of performance standards was seriously flawed -- for example, by the decision to set standards only on the basis of three items per subject and grade. In addition, critical aspects of the standard-setting process were not well enough documented to determine their adequacy. Therefore, the Panel considers the performance standards used to classify students as Novice, Apprentice, Proficient, and Advanced to be untrustworthy. This makes the information provided to parents and others about student performance potentially misleading. It also compounds the errors in the classification of schools that result from other factors, such as sampling and the limited number of test items.
5. For numerous reasons, the Panel concluded that the KIRIS portfolio assessments are currently inappropriate for use in the KIRIS accountability system. Despite improvements in rater consistency over the first biennium, the scoring of portfolios remains too flawed for use in a high-stakes system. IN particular, scores provided by teachers in students' own schools -- the scores used in the accountability system -- remain biased upward by a substantial and variable amount. Numerous aspects of the operation of the program cast doubt on the validity of portfolio scores, and the evidence pertaining to validity is both very limited and unpersuasive. On the other hand, the Panel remains guardedly optimistic about the potential instructional effects of the portfolio program and would endorse its continuation in a lower-stakes form.

Several other findings which support our main conclusion but are of lesser importance than the five major findings above are as follows:

1. There is inadequate documentation of the assessment development process (e.g. assessment review process), equating, and standard-setting. This inadequacy of documentation undermines the trustworthiness of the key conclusions the assessment is intended to support because it makes it impossible to evaluate numerous threats to validity.
2. Although the Panel recognizes that the Department has terminated the multiple-choice-component of KIRIS primarily for the presumed effects on instruction rather than for measurement reasons, the negative ramifications of this decision for the quality of measurement are numerous and severe. The Panel strongly recommends re-incorporating multiple-choice items by the Department of Education from all of the important analyses unnecessarily restricts content coverage, lowers the reliability of the school accountability index, reduces the stability of the equating or linking of assessments from one year to the next, reduces the stability of the performance

standards, and creates less reliable and valid scores for school and individual score reporting.

3. Collaboration between students and others (other students, teachers, and others) is substantial in KIRIS and poses a potentially serious threat to the validity of both student-level and school-level results. Although formally identified group products play a very limited role in the KIRIS assessment, collaboration between students and others is substantial in both the portfolios and the performance events. The difficulties inherent in collaborative assessment are clear but the Panel is not aware of any evidence having been collected to support the validity of KIRIS's use of collaborative work. The Panel considers it essential that evidence of validity be presented for any collaborative work included in KIRIS for high-stakes purposes.

Other conclusions based upon our Panel's review are important to highlight because they are encouraging for the future of KIRIS:

1. The Panel applauds the Department of Education for encouraging research and evaluation pertaining to KIRIS and for permitting and facilitating independent research by third parties unconnected to the Department or its contractor. This research will be essential for improving KIRIS, and the Panel strongly recommends that the Department continue its support of both internal and external research efforts.
2. The Panel's impression is that the Department of Education is willing to improve KIRIS and there is evidence that improvements have been made over the last four years when problems have been identified (e.g. improvements in portfolio scoring, and assessment development). Even some of the preliminary suggestions from our Panel have already been accepted and incorporated into KIRIS.
3. The Department of Education and Advanced Systems have demonstrated the capability of developing essential material and training documents in the areas of KIRIS implementation, curriculum development, assessment development, and portfolio implementation and scoring.
4. The Department of Education has recognized the central role of teacher training and has devoted significant effort to the delivery of essential teacher training.

Recommendations

The Panel's major recommendation is that KIRIS needs to be restructured and redesigned if it is to accomplish its objectives. Main recommendations follow and more specific recommendations appear in other parts of our Final Report:

1. The portfolios should not be used at this time in the accountability index.

2. Any assessment data used for accountability purposes should be scored externally to the schools in which the data are collected.
3. An ethical code of conduct for assessment activities should be developed and implemented. The Department of Education should also develop an in-house capability for auditing school procedures and sanctioning confirmed breaches of assessment security.
4. The amount of validation work on the assessments should be expanded. Additional construct validation evidence is needed to support the various uses and interpretations of the performance assessment data.
5. The design for equating assessments should be strengthened and the ad hoc procedures eliminated. The Department should use a scientifically sound and rigorous approach to assessment equating because this activity is absolutely critical to the integrity of the total KIRIS system.
6. Performance standards should be re-established and full documentation of the process should be provided. The Department is strongly advised to avoid the use of ad hoc, unjustified statistical linkages in establishing standards.
7. The various score report forms should be field tested prior to their use to insure that communication of important information is clear and understandable. Also, effective communication of results must include caveats about the results (e.g., alternative interpretations and cautions) and indications of the measurement error in the data to reduce the likelihood of over interpretation and misinterpretation.
8. Material provided to the press and the public should provide alternative interpretations of the results when such alternative interpretations are plausible. Results released in the media should contain important caveats such as the lack of generalizability of findings to new sets of tasks.
9. There is a great need to establish routine auditing procedures on all aspects of KIRIS including assessment development, standard-setting, equating, etc. Because of the high-stakes nature of KIRIS and the resulting potential for inflated gains in scores, it is

essential that mechanisms be established for ongoing auditing of observed gains on KIRIS.

10. Item assessment formats should be used which contribute to the validity of the educational assessments. This means that multiple-choice items should have a role to play and will be valuable in enhancing content validity, the reliability of school and student scores, score equating, and score reporting.
11. The documentation in technical areas of equating, standard-setting, and score reporting, needs to be substantially improved to facilitate review and replication.
12. There has been a shift toward process at the expense of content in the curricula and this shift needs to be reconsidered. Our Panel does not have a view that the current situation is wrong. We simply feel that this situation needs to be reviewed to be sure that the impact on instruction, while presumed by the Department of Education to be positive, is, in fact, positive. In addition, the implications of this shift away from content for the adequacy of measurement -- for example, for the accuracy of the estimates of change upon which KIRIS focuses -- should be more fully evaluated.

In summary, the Panel feels that the Kentucky Department of Education set unrealistic expectations for itself and its contractor to deliver an accountability and assessment system that would meet all of the essential Test Standards within a period of several years. The result is a system which has many technical shortcomings and, therefore, is not meeting the accountability and assessment needs of the Commonwealth as represented in KIRIS. Progress has been made in the last four years and the Department, its contractor, and everyone who has worked on KIRIS and its implementation deserve credit for the efforts and accomplishments which have been made. On the other hand, considerably more progress is needed to establish KIRIS as a technically sound accountability and assessment system. The Panel hopes that our conclusions and recommendations will be valuable to the Department of Education as it sets out on the second accountability cycle.

Reference

American Education Research Association, American Psychological Association, & National Council on Measurement in Education (1985). Standards for educational and psychological testing. Washington: APA.

KDE has developed an RFP that addresses most of the recommendations of the OEA Report. The following is a summary of the major changes for the RFP and the strategies developed by KDE to correct identified deficiencies and other concerns raised by educators and citizens:

Table 1.

Major Changes for KIRIS Called for in RFP

Change Specified in RFP	Features of Change	Current System
ACCOUNTABILITY ASSESSMENT		
1. Conduct on-demand testing in half the content areas each in Grades 4/5, 7/8, and 11/12. For example, Grade 4; Reading, Mathematics, Social Studies, Arts & Humanities; Grade 5: Writing, Science, Vocational Studies/Practical Living. (Note: preference is to place accountability assessment in Grades 11 and 12, rather than Grades 10 and 11. Testing in Grade 12 would require legislative approval.)	<ul style="list-style-type: none">• Reduce testing time allocated for on-demand testing by approximately half, to about three days per grade level.• The number of teachers directly involved in teaching accountability grades will approximately double.	Conduct on-demand testing in seven content areas (Reading, Writing, Mathematics, Science, Social Studies, Arts & Humanities, Vocational Studies/Practical Living) each in Grades 4, 8, and 11.
2. Incorporate multiple-choice and other machine-scorable item formats into the on-demand assessment for accountability purposes.	<ul style="list-style-type: none">• Will allow additional evidence to be gathered regarding student understanding and performance.• Will probably not enhance test reliability significantly.	On-demand assessment does not include multiple-choice or other machine-scorable format questions.

3. Require mathematics portfolios in Grades 5, 8, and 12; require writing portfolios in Grades 4, 7, and 12.	<ul style="list-style-type: none"> • Reduce workload on students and teachers in Grade 8. • Involve teachers in Grade 7 directly in accountability assessment. 	In Grade 8, both writing and mathematics portfolios are required. Other grades are same as proposed.
4. Require performance events in content areas where performances fit naturally, and where there is not a portfolio, i.e., science, social studies, arts & humanities, vocational studies/practical living. Distribute performance event materials (e.g., prompts) to schools prior to assessment administration; assess learning derived from performance event activities in on-demand assessment.	<ul style="list-style-type: none"> • Reduces testing time by one content area. • Supports classroom teachers in administering performance event tasks in instructional setting. • Note: reduces types of assessment evidence available for mathematics. 	Includes mathematics performance events, in addition to the proposed content areas. Performance events administered in standardized setting by hired facilitator; grouping of students done at random; administration scheduling somewhat inflexible.
5. Expand work on setting standards, i.e., on new grade levels.	<ul style="list-style-type: none"> • Accurate standards set for each component reflecting each grade level. 	Standards set in 1992 and redone in 1995 for existing test.
6. Contractor will manage expanded work to establish validity of assessments, including consequential impact, concurrent validity, and predictive validity (e.g., DIF and other item/test bias analyses; subgroup and school bias and adverse impact studies; item/test content analyses; relationships between KIRIS and ACT, SAT, NAEP, and other available tests; relationships between assessment and changes in instruction and school practices).	<ul style="list-style-type: none"> • Systematic, extensive evidence collected to address validity of KIRIS assessment. 	Limited evidence collected by KDE and contractor; irregular studies done by external individuals and organizations; very limited studies done of consequential validity.

7. Contractor will manage work by Content Advisory Committees and others to review test specifications, including increased specification of content, skills, and performances to be assessed, while reducing/reorganizing the number of topics to be manageable in a realistic curriculum.	<ul style="list-style-type: none"> • Provide tighter assessment framework for test. • Provide clearer support for curriculum and instruction 	Broad guidelines given in goals and Academic Expectations; extensive topics listed in Content Guidelines (organization varies by content area); on-going work to identify core concepts in content areas.
8. Provide full reports in Fall (Sept./Oct.) following spring KIRIS assessment.	<ul style="list-style-type: none"> • Provide full information earlier • Reduce number of reports 	Preliminary report in Fall, final report in January.
9. Implement tighter test security and administration procedures	<ul style="list-style-type: none"> • Enhance credibility of test results. 	Require local administrators to certify specified conditions were met.
10. Develop and pilot model district, state, and school reports that incorporate more than KIRIS scores.	<ul style="list-style-type: none"> • Provide more comprehensive, localized portrayal of school/district achievement. • Put KIRIS scores in context. 	District report cards required in KERA. Reporting focus primarily on KIRIS scores. Uneven development by districts and schools. Little support by KDE in developing report card standards or models.
11. Develop and analyze alternate models of accountability (e.g., mixed cohort-longitudinal model; variations for small/high mobility schools), growth (e.g., basis for establishing "expected growth," variables indicating achievement), and incentives (e.g., recognition based on achievement other than progress, student motivation).	<ul style="list-style-type: none"> • Examine possibilities for enhancing validity and effectiveness, and reducing undesirable effects. 	All schools held accountable using same Accountability Index formula [Improvement Goal=Baseline +(100-Baseline)/10]; school achievement is measured by performance of cohorts of students (cross-sectional each year).

Change Specified in RFP	Features of Change	Current System
NONCOGNITIVE ASSESSMENT		
12. Collect the noncognitive data required for the accountability assessment system. Analyze other noncognitive data for possible inclusion.	<ul style="list-style-type: none"> Enhanced verification of data collected. Continued refinement of noncognitive assessment. 	Data on attendance, retention, drop-out rate, and successful transition to adult life used to calculate a Noncognitive Index score included in the KIRIS accountability index for each school.

Change Specified in RFP	Features of Change	Current System
NATIONAL REFERENCE ASSESSMENT		
13. Administer national reference assessment annually in Grades pre-4th, 6, 9/10 to produce student-level national reference scores in Reading and Mathematics. Scores reported for individual students to schools, and reported by school/district publicly, but not included in school accountability. Note: pre-4th are Primary students identified as likely to be enrolled in Grade 4 the subsequent year. Note: placement of national reference assessment in Grade 9 or 10 depends on placement of KIRIS accountability assessment (see point #1).	<ul style="list-style-type: none"> Will provide regular, familiar score reports. Will provide national reference data at the individual student level. Will be selected with attention to alignment with Kentucky specifications. 	Student national scores achieved through NAEP linking in Reading and Mathematics.

Change Specified in RFP	Features of Change	Current System
CONTINUOUS ASSESSMENT		
14. Develop materials, professional development training, and other means to help teachers use released items and associated materials to improve student learning.	<ul style="list-style-type: none"> Enhance instructional usefulness of released items (over twice as many items to be released annually). 	Five open-response items released each year, two of which include an annotated example of student work.

15.Refine and extend currently available programs and materials developed to assist teachers do continuous classroom assessment.	<ul style="list-style-type: none"> • Focus on continuous assessment for classrooms integrated with classroom instructional decision-making . • Builds on previous work. 	Continuous assessment focuses on "scrimmage test" that was also useful for Chapter 1 reporting.
16.Develop and pilot new portfolio programs: additional content area portfolio (e.g., science, social studies, arts and humanities); individual "specialization portfolio" (e.g., performing arts portfolio for high school student); integrated portfolio.	<ul style="list-style-type: none"> • Examine possibilities of extending power of portfolios to other areas. • Examine possibility of using portfolios to expand types of assessment evidence used in accountability. • Examine possibility of simplifying portfolios and supporting integrated work. 	Portfolios only in mathematics and writing. Mathematics and writing portfolios scored independently and usually developed separately from each other.
17.Develop and analyze alternate scoring models (e.g., for portfolios; expanded score points, piece scoring, reduced number of pieces; variations of centralized scoring).	<ul style="list-style-type: none"> • Examine possibilities of providing more information, reducing work, enhancing credibility. 	Portfolios scored holistically on Novice, Apprentice, Proficient, Distinguished performance levels by local scorers.

Source: Kentucky Department of Education, October 2, 1995

Summary

In summary, the OEA believes that KDE has recognized the need to address many of the technical and programmatic deficiencies noted in the OEA and KIER reports. The RFP has been framed in a manner that is responsive to those recommendations and provides an opportunity for bidders to be creative in formulating a four-year continued implementation of a performance assessment program that will adequately serve the requirements of school accountability, improved instruction and provide parents national reference indicators. Assessment proposals are due back to KDE on December 11, 1995 and KDE,

according to the current timeline, will award the contract on February 6, 1996 with contractor to begin work on April 1, 1996.

OEA remains concerned that the remaining issues of portfolios and reliability will cause KIRIS to remain vulnerable to criticism. The assessment and accountability programs embedded in KIRIS are at the heart of the school reform movement and the investment and progress in KIRIS to date is too significant to abandon it and go back to the old ways.

RECOMMENDATIONS

1. Since KDE has documented that only 8 percent of teachers who received rewards are satisfied with the existing statute which defines the manner in which rewards are decided, the this statute, as well as the appropriateness of rewards and sanctions, needs review. This review should include a discussion about setting a minimum threshold to be achieved before cash rewards are given.
2. The current RFP for KIRIS assessment states that the professional development for portfolio training and other testing components be supplied and evaluated by the contractor. If implemented in this manner, the contractor becomes **developer, administrator, scorer, reporter, trainer, and evaluator** with full ownership and control of the program. The OEA and its technical review panel views this as problematic. To avoid a potential conflict of interest and to assure objectivity, it seems incumbent on KDE to provide independent professional development and evaluation of the program.

3. Given the continued high stakes inherent in KIRIS, the KDE should react more aggressively to allegations of breeches in test administration. To date more than 100 allegations have been brought before the Board of Review, however, very little has been done to sanction possible violators. The current procedure which allows school administrators (i.e. superintendents, DACs) to investigate their own violations does not yield an objective, unbiased review.
4. Because of the "high stakes" role that KIRIS plays, all questions surrounding the technical quality of the test need to be resolved. It is further recommended that the OEA National Technical Review Panel (KNTRP) review the recommended proposal and submit its evaluation to the OEA Oversight Committee prior to that contract being awarded.

DISTINGUISHED EDUCATOR PROGRAM

OVERVIEW

Historical Perspective

The Kentucky distinguished educator position was created by KRS 158.782 in 1990. Section 2(b) of this statute states, "Beginning with the 1992-93 school year, special recognition shall be given to five Kentucky distinguished educators each year in the form of a one year sabbatical leave to work with instructional personnel across the state and to serve as teaching ambassadors to the state at large." Seven were selected in 1992-93 with two later assigned to employee positions to remain in compliance with the statute. There were 50 additional persons selected in 1993 and 17 in 1994. Currently, there are now 90 persons who have been selected for this designation. Although the statute does not address numbers beyond the five per year, the enabling legislation of House Bill 2 of the 1994 Extraordinary Session to assign distinguished educators to schools "in decline" clearly indicates a greater need than the 20 that would be generated by KRS 158.782 (2)(b).

Current Status

The reform act created the position of Kentucky distinguished educator in KRS 158.782 with the following requirements:

- Serving as teaching ambassadors to spread the message that teaching is an important and fulfilling profession.

- Assisting the Kentucky Department of Education (KDE) with research projects and staff development efforts.
- Accepting assignments in schools whose percentage of successful students declined as described in KRS 158.6455. The assignments shall require the educator to:
 1. Work in a school full-time for a designated period of time to assist the school staff with implementing its school improvement plan. The plan currently used by distinguished educators is the School Transformation, Assistance, and Renewal (STAR) project. This program is designed as a high quality planning and assistance process combining fiscal resources (Commonwealth School Improvement Fund) and the distinguished educator. It contains both an internal and external review component. STAR, as defined by KDE in their Kentucky Education Reform, The First Five Years, 1990-1995, is as follows:

STAR emphasizes both the necessary school consensus for change and the design for long-term capacity, not continued dependency. The project is focused on student performance, strategic planning, staff and community participation, intense professional development, and continuous analysis of student performance. Results form the basis of monthly reports to the school-based council, the district, and the Kentucky Department of Education.

The educator shall have the authority to make decisions previously made by the school staff.

2. Help to increase the effectiveness of the staff, parents, the civic and business community, and government and private agencies in improving the school's performance.
3. Evaluate and make recommendations on the retention, dismissal, or transfer of certified staff in a "school in crisis."

Revised by the 1994 regular session of the General Assembly, legislation 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: Distinguished educators may be assigned "to assist schools not meeting their threshold" and "to develop and implement improvement plans." Thus, the distinguished educator became a consultant to these schools.

PROGRAM IMPLEMENTATION

Eighteen more Kentucky educators were named distinguished educators in April 1995, bringing the total number designated to 90. Of these 90, 46 have been assigned to work with 52 schools determined to be in decline by their KIRIS

assessment scores. KRS 158.782, 2(d) provides "Kentucky distinguished educators assigned to an unsuccessful school shall receive a salary supplement of 50 percent of his annual salary for each year in that capacity." The total amount allocated for these salaries in 1995-96 is \$3,665,751. The budget for this program is \$4,081,800 for each year of the biennium. Each distinguished educator will help their school(s) develop and implement a transformation plan and institute the STAR project for their school.

The transformation plan is a two-three year process that emphasizes "bottom-up" planning -- school-by-school to district-level planning. The plan is based on a comprehensive needs assessment and should detail resources and expertise to address these identified needs.

Training for these distinguished educators consisted of four separate sessions that varied in length from 1½ days to 2 weeks. The sessions covered school-based curriculum development, Kentucky Instructional Results Information System (KIRIS) assessment, school finance, school-based decision making councils, STAR (all topics mandated by KRS 158.782), and general informational materials. A review of the evaluations of these trainings indicates that participants found the training effective.

The first full year for schools to have a distinguished educator assigned to them will be 1995-96. This should provide an indication of the potential effectiveness of the program. The obvious incentive for schools to accept this assistance is to be able "to test out of" the school in-decline category. If all personnel cooperate fully and the school is still in decline/in crisis at the end of the next cycle, the next step should be personnel changes. This "in crisis" authority

must be restored. However, the basis for removal of personnel seems questionable if all personnel have fully cooperated with all efforts and recommendations of the distinguished educator.

In response to a previous Office of Education Accountability recommendation, the criteria for selection and evaluation of distinguished educators has been published. This provides needed information to those interested in becoming part of this program.

RECOMMENDATIONS

1. Extensive training needs to be provided to distinguished educators in the area of personnel evaluation as it relates to removal of teachers and administrators.
2. Monitor how the shift to a consulting role will impact schools who continue to fail to meet Kentucky Instructional Results Information System standards and go from the status of "in decline" to "in crisis."
3. If the removal powers of distinguished educators are not restored, then there should be a review of the compensation plan in KRS 158.782, 2(d).

EDUCATION PROFESSIONAL STANDARDS BOARD

OVERVIEW

Historical Perspective

The Education Professional Standards Board (EPSB), created as a part of the reform act, held its first meeting on November 26, 1990. To date, EPSB has received 429 complaints and resolved 326 cases. Through streamlining certification, 156 different certifications are now 35.

Currently, the EPSB and staff are working to establish a primarily performance-based teacher preparation, accreditation, and licensing program. Work on this project included the adoption of new teacher and experienced teacher standards for preparation and certification. In addition, superintendent and principal administrative standards have been adopted. Work continues to establish accreditation of college/university education preparatory programs based on assessment of product and process. One part of this effort is a pilot program for performance-based accreditation with the National Council for Accreditation of Teacher Education (NCATE). The first accreditation under the pilot program will be conducted during November 1995. Through an on-going partnership with NCATE, the NCATE standards have been used for some time in the accreditation of all Kentucky college/university education preparation programs.

The EPSB continues overseeing the Kentucky Teacher Internship Program (KTIP) and has revised it to reflect the new teacher standards piloted in 1994-95. Alternative certification programs have a current enrollment of 62 persons. Twenty-three of whom have completed the program and are working in their intern

year. This initiative has been bolstered by the new federal program, "Troops to Teachers."

Minority Recruitment and Retention utilizes a four-point approach with scholarships, alternative certification, teacher bridge for high schools and community colleges, and AVID (Advancement Via Individual Determination) for middle and high school students. This unit has a goal of 20 percent increase in minority teachers for Kentucky by the end of 1996. These numbers have grown from 1,770 in 1991-92 to 1,909 in 1994-95.

Dr. Betty Lindsey was selected in August 1995 as the third executive secretary. The fifteen-member board experienced significant change in 1994-95 with the appointment of six new members and the addition of two new members in 1995-96. The EPSB has had only two chairpersons in their five-year history: Dr. Janice Weaver and the current chair, Daniel Greene.

Current Status

During 1994-95, EPSB produced a Master Plan document clearly delineating their position and progress on each issue. It also established EPSB compliance with and on-going efforts to fulfill the requirements of KRS 161.028. The Master Plan includes the following:

- Establish standards and requirements for obtaining and maintaining a teaching certificate.

- Set standards for, approve, and evaluate college, university, and school district programs for the preparation of teachers and other professional school personnel.
- Issue, renew, suspend, and revoke teaching certificates.
- Develop guidelines to follow upon receipt of an allegation of sexual misconduct by a certificated employee.
- EPSB is to receive training on the dynamics of sexual misconduct by professionals.
- Maintain data and submit reports to the Governor and the Legislative Research Commission concerning employment trends and performance of certificated personnel and the quality of professional preparation programs.
- Reduce and streamline the credentialing system to allow greater flexibility in staffing local schools while maintaining standards for teacher competence.
- Develop a code of ethics.

The EPSB has developed a partnership with NCATE which will lead to all Kentucky teacher education programs meeting their national standards. Also, the EPSB has overseen the piloting of KTIP modifications to align it with the new teacher standards.

certificated minority educators by 20 percent during the biennium. The number of minority educators in 1994-95 was 1,909 and the projected number for 1995-96 is 2,082.

This office has been working on the alternative certification plans with the Covington Independent, Fayette County, and Jefferson County School Systems. The chart below indicates the numbers involved.

Table 2.

**ALTERNATIVE CERTIFICATION PROGRAM
Kentucky Department of Education
Division of Minority Educator Recruitment & Retention**

Program	1993-94 Class	1994-95 Class	1995-96 Class
Fayette Co./U.K.	8	10	5
Jefferson Co./K.S.U.	9 ₁	9	6
Covington Ind./N.K.U.	9 ₂	2 ₃	5 ₄
TOTAL	26	21	16

1. One student in this pool is "incomplete."
2. Six of these students were carried over to the next year's class.
3. Six additional students were non-minority.
4. Seven additional students were non-minority.

Table 3.

CERTIFICATION AREA BREAKDOWN

Area	Covington Ind.	Fayette Co.	Jefferson Co.	TOTAL
Elementary Educ.		18	10	28
Middle/Secondary	11		8	19

The "Troops to Teachers" federal program is also a part of the alternative certification initiative. Presently, ten persons have been hired under this program. Another 147 persons and 106 school districts have indicated an interest in participating.

The alternative certification program, as defined in KRS 161.048, provides the guidelines for admittance to this program. These include a minimum grade point average and testing requirements in general knowledge, communication skills, and certification in a specific content area.

The use of individuals from a community with expertise in a specialty field for a class/classes is defined in KRS 161.046 -- Adjunct Instructors. This statute and the supporting regulation, 704 KAR 20:300, define the necessary qualifications and how need for such a position is determined.

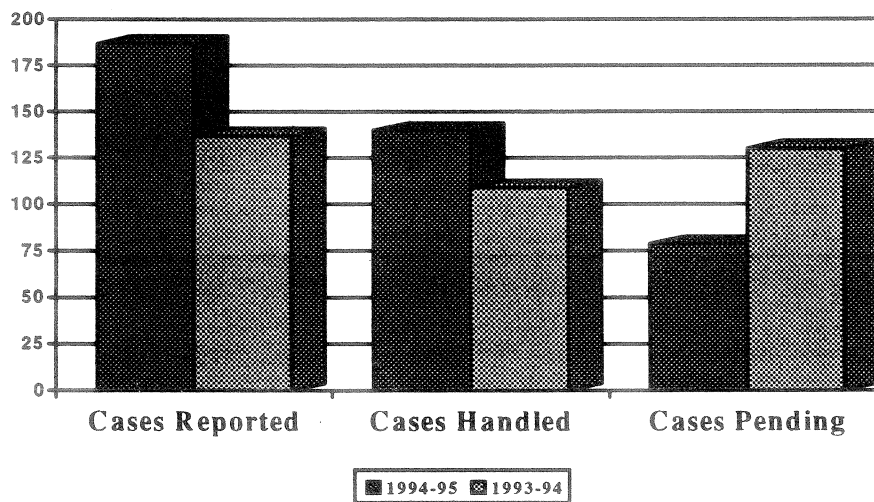
The continuing surplus of traditionally prepared teachers calls in question the need for alternative certification, especially if the program begins to provide significant numbers of teacher candidates.

REVOCATION

During the period July 1, 1994 to August 1, 1995, there were 140 cases handled as compared to 109 cases in 1993-94. These included dismissal at the probable cause level and suspensions, revocations, and dismissals at the hearing level. There are currently 79 cases pending as compared to 130 in 1994. There have been 187 cases reported to the EPSB during this year; there were 137 at this time last year. The current revocation staff consists of one full-time and two

part-time prosecutors, two part-time investigators, and three part-time hearing officers, plus one administrative specialist and one part-time clerk. The EPSB is seeking additional hearing officers and investigative staff.

Figure 1.



RECOMMENDATIONS

1. Efforts must continue to ensure the autonomy of the Education Professional Standards Board. Attention has been given to clarifying their role and budget, but it continues to be a concern.
2. Restructuring efforts, especially at the high school level, require more multi-disciplinary classes that cross the traditional certification categories. The Education Professional Standards Board needs to continue to support certification flexibility for this process.

EXCEPTIONAL CHILDREN

OVERVIEW

Historical Perspective

The statutes related to Kentucky's exceptional children were reviewed and revised by the Legislature in the omnibus Kentucky Education Reform Act (KERA) of 1990. Kentucky's reform effort is at the forefront in its inclusion of disabled children in every facet of education reform.

Since 1990, staff in the Division of Exceptional Children Services (DECS) in the Kentucky Department of Education (KDE) have been committed to ensuring that exceptional children are included in, and receive benefit from, extended school services, family and youth resource service centers, preschool, and primary programs. These students have fully participated in the assessment program, and appropriate special education issues are addressed at the school level in site-based schools.

In addition to ensuring that special education students receive the benefits of education reform in Kentucky, DECS has devoted substantial staff time to two monitoring visits from the Office of Special Education Programs (OSEP) in the United States Department of Education. OSEP reviewed Kentucky's program in February 1992 and made its most recent visit in September 1995. Since 1990, DECS has redrafted virtually all of Kentucky's special education regulations, incorporating reform concepts, addressing issues raised by OSEP in its 1992 monitoring visit, and otherwise updating the provisions related to current practices.

Under federal law related to educational services for disabled students, KDE, through DECS, has monitoring and enforcement obligations with respect to local districts. Under Kentucky's educational statutes, DECS also has technical assistance responsibilities to these same districts. Compliance responsibilities, as reflected by requests for administrative hearings and formal complaints filed with DECS, have substantially increased since 1990. Similarly, districts' need for technical assistance remains intense as numerous districts attempt to provide more inclusive regular education programs for special education students, serve medically involved students, and provide appropriate programming and placement for children with emotional and behavioral disorders. Since 1990, DECS personnel has been reduced from approximately 64 employees to 34. Some of these staff members have been integrated into other divisions in KDE in an effort to ensure that special education issues are melded into all KERA strands. Some functions of the division have been transferred in whole or in part to the regional service centers, and some non-critical functions have been deleted.

Both facets of DECS responsibilities - compliance and technical assistance - are critical if Kentucky is to provide "each and every child in the state . . . (with) a proper and adequate education." Rose v. Council for Better Education, Inc., Ky., 790 S.W. 2d 186 (1989). DECS officials indicate that even with a 47 percent reduction in staff, the division is meeting its basic responsibilities and generally providing better services. It is noteworthy, however, that individual districts, the State Advisory Panel for Exceptional Children, and advocacy organizations have, at various times during the past five years, expressed grave concerns about the ability of DECS to ensure adequate compliance with the law and provide sufficient technical assistance with the massive staff reductions that have occurred. DECS is to be commended for its accomplishments, but concerns remain about compliance

efforts and the level of technical assistance available with staff reductions of almost 50 percent.

Much of Kentucky's special education law is based on requirements contained in the federal Individuals with Disabilities Education Act (IDEA), a grant program currently undergoing reauthorization in Congress. If IDEA is substantially weakened, as is anticipated by some, issues for the future include whether Kentucky will voluntarily continue to retain the high standards it now sets for special education programming and services in the absence of a federal mandate, and whether state law embodied in Rose, supra, and the reform act mandates similar or higher standards than currently exist in federal law. Less legally oriented but equally critical issues to be faced in the future include:

- Continued work to develop a continuum of placements in the state.
- Continued development of inclusionary programs in the regular classroom for students with disabilities who can be appropriately served in these settings.
- Strengthened efforts to develop and implement positive disciplinary strategies that result in enhanced learning opportunities for all students.
- Strategies to obtain at least minimally acceptable compliance in the small number of districts which regularly fail to provide appropriate educational services to their students with disabilities.

Current Status

DECS coordinates, directs, and monitors the Commonwealth's educational programs for exceptional children and youth. KRS 157.224 (1992). Regulations governing these programs are promulgated by the Kentucky Board of Education and are found at 707 KAR Chapter 1.

PROGRAM ADVISORIES

Program Advisories are non-binding interpretations of pertinent law issued periodically to clarify new or complicated legal requirements. No new program advisories related to special education have been issued.

PROGRAM IMPLEMENTATION

DECS identified numerous objectives and activities for 1994-95, and these were set forth in the Office of Education Accountability's (OEA) 1994 Annual Report. Unless otherwise indicated below, the objectives were completed by June 30, 1995.

- 100 percent of local school districts have revised Child Find materials that incorporate KERA concepts.
- 100 percent of school districts have access to training that addresses requirements related to placement in the least restrictive environment and incorporates information from the successful practices document developed by the Inclusion Task Force.

- Revisions to the Comprehensive System of Personnel Development address decreasing the number of local education agencies (LEA) employing emergency or probationary certified special education teachers by 50 percent over the succeeding five years. Status: Incomplete. This was contracted to the Southern Regional Information Board which has requested an extension on the timeline.
- 100 percent of impartial due process hearing officers receive quarterly updates on current trends and issues in special education law.
- Completed revision of the monitoring system to comply with applicable federal and state laws and regulations and the federal Corrective Action Plan issued after the 1992 OSEP visit.
- Proposed revisions for 707 KAR 1:230 (Delivery of Services) to increase the capacity of schools to provide special education services in regular education classes and reduce the need for class size and caseload waivers. Status: Although the proposed regulation was drafted, a decision was made to not go forward with this objective.
- Proposed revisions for 707 KAR 1:015 (Use of Individuals with Disabilities Education Act {IDEA} Part-B Funds) to comply with applicable federal and state laws and regulations and the federal Corrective Action Plan issued after the 1992 OSEP visit.

- 100 percent of school districts have technical assistance materials to support appropriate decision making related to determining need for occupational and physical therapy.
- Expanded the capacity of school districts to appropriately serve students with severe disabilities by increasing the number of model inclusionary sites in the Systems Change Project from 10 to 13 school districts.
- Increase by 10 percent the number of low incidence students with disabilities receiving vocational services at ten pilot site school districts. Status: Incomplete. Recommendations have been developed but not implemented.
- Decrease by 10 percent the number of students with disabilities who drop out in ten pilot site school districts. Status: During the year, this objective was changed to provide: By June 30, 1995, survey a minimum of three staff in each of the 32 districts with high and low disabled student drop out rates to determine reasons for this phenomenon and make recommendations for specific action to decrease dropouts. This amended goal has not yet been met although the survey has been conducted and recommendations have been developed.
- Increase the capacity of school districts to improve the Kentucky Instructional Results Information System (KIRIS) outcomes for

children and youth with disabilities by providing research-based successful practices information to 100 percent of school districts.

- 100 percent of school districts have research-based information related to use of a systematic process for screening students who may be at-risk for having emotional and behavioral problems. This objective was deleted and the following was substituted and completed: Establish a baseline measurement of school districts using research-based screening process to identify students who are at-risk for emotional-behavioral disabilities (EBD).
- Increase by 10 percent the number of school districts placing students with disabilities in employment prior to exiting school through transition planning. This goal was deleted and the following substituted and completed: Increase by 10 percent the number of school districts placing students with disabilities in employment prior to exiting school through the use of job coach services.

Additional DECS Services for the 1994-95 School Year

In addition to progress on the objectives cited above, DECS conducted monitoring reviews and issued reports in 33 districts and an additional 36 districts engaged in self-study. Thirty-six due process hearings were requested during the year. Nine hearings were conducted; nine were pending at the time data was provided; and the remaining hearings were cancelled as a result of settlement. Two administrative decisions were favorable to parents, four to the district, two split, and the remaining hearing ended in a settlement agreement. Forty-one

extended only for exceptional circumstances); either because the Division unilaterally extended its timeline or, in some cases, did not extend it but did not meet it. Due process deadlines are almost never met, and a small minority of these delays can be attributed to the Division. Because the Division serves only as a facilitator for these hearings, rarely, if ever, should delay be caused by that office.

2. There should be continued attention to districts which still identify no emotional-behavioral disability (EBD) children and have no services available for these children. Hopefully the Division of Exceptional Children Services focus on early intervention will avert or minimize future crises, but services must be made available for those older students who are EBD, have not been or have only recently been identified, and whose educational programs are so inappropriate as to impair not only their own educational accomplishments but the educational programs engaged in by other students. Results from the EBD initiative strongly suggest that substantial follow-up and technical assistance will be necessary to create lasting change.

EXTENDED SCHOOL SERVICES

OVERVIEW

Historical Perspective

KRS 158.070 stipulates that all school districts will provide additional instructional time in an attempt to close the achievement gap for low-performing students who may need additional time to achieve expected outcomes. 704 KAR 3:090 specifies that participants in the program must fit one of the following criteria:

- To sustain student's present level of performance to prevent student from falling behind.
- To provide extended programming for students who have been retained.
- To provide assistance for students who are at risk of failing to graduate on time.
- To close the achievement gap of low-performing students so that they can perform at the appropriate age level.

The first year budget for this program (1991-92) was \$21.4 million and for the 1994-96 biennium rose to \$33 million per year.

Grants to school districts are made on an annual basis from a formula based on 50 percent average daily attendance and the remaining 50 percent from the Kentucky Instructional Results Information System (KIRIS) scores, dropout rates, and percent of free lunch eligibility.

After-school tutoring and summer school have consistently been the prevailing models in the program. Up to 5 percent of the total appropriation has been set aside each year for innovative grants that encourage alternative methods for enhancing student success.

The Kentucky Department of Education (KDE) utilizes a student data sheet on each participating student. This information, compiled by teachers, includes demographic and achievement data, goals for each student, as well as entry and exit grades for the students who spend six or more days in the program.

Data from the past four years revealed that between 120,000 and 150,000 students participate in the program each year from referrals by teachers, parents, and students themselves. In the first year of the program, it was substantiated that about 41 percent of the participants improved by one or more letter grades. In the 1994-95 school year, this figure rose to 81 percent (51,000) of students improving by at least one letter grade (See Figure 4.), while at least 24 percent (21,000) improved by two or more letter grades.

Current Status

During the past three years, KDE has made significant improvements in accountability for the extended school services (ESS) program. Cost per child the first year was about \$232 per child enrolled. In 1994-95 the cost was about \$200 per child.

Many superintendents and ESS coordinators report that the ESS program is their "favorite" component, because it allows districts to give extra attention to

students who are at risk of failure. Several school districts provided a summer school or extended day for these students prior to 1990 with Title I or district funds; however, it was not mandated and only served a small percentage of the students now served under this program.

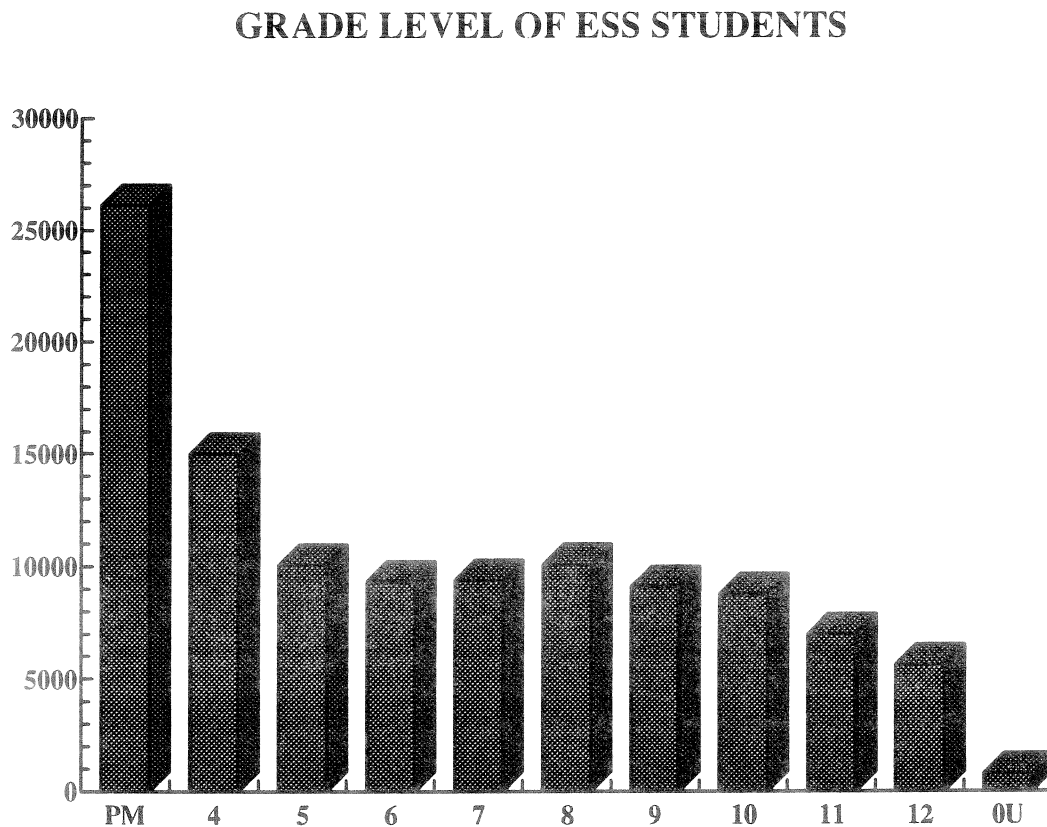
The Office of Education Accountability (OEA) staff visits to over 40 school districts found that in addition to lower costs per student, the programs are higher quality and more focused. A few districts have begun using KIRIS scores on portfolios and essay tests for entry into the program. However, KDE has not yet included KIRIS scores on the student data form, but this issue is under review. The wide range of teacher compensation (\$15-\$40 per hour) is a problem that needs to be addressed. Locally negotiated teacher contracts drive salaries up in some districts; however, ESS is an add-on program and should not be subject to these contracts.

PROGRAM IMPLEMENTATION

ESS program effectiveness continues to be evaluated by a variety of methods. During the past year, data was gathered through focus group meetings (AEL project), visitations to school districts, and district self-studies. The following compilation, based on these data sources, was submitted by KDE.

Data gathered during the 1994-95 regular school term demonstrates an ESS program distributed somewhat evenly across all grade levels. Approximately 54 percent of all students served are found in grades primary through sixth grade, while 26 percent and 20 percent respectively were served in grades 7-9 and 10-12.

Figure 2.



Demographic data indicates that 54 percent of students served were male, 46 percent female, 88 percent were Caucasian, and 12 percent minority. This represents a slight decrease in the percentage of minority students. The number of students transported by ESS programs is significantly higher than prior years and may indicate a trend toward increased service.

Table 4.

	Number of Students
Transported by Program	46424 (42%)

After-school programs continue to comprise the majority of all ESS models, although a slight increase was noted in the number of students served in before-school and Saturday programs.

Table 5.

Type of Service Model	
	Percentage of Students
Before School	5
After School	90
Evening	1
Saturday	3

As has been the case in the past, reading, mathematics, and writing constitute the majority of goals for students in ESS programs.

Table 6.

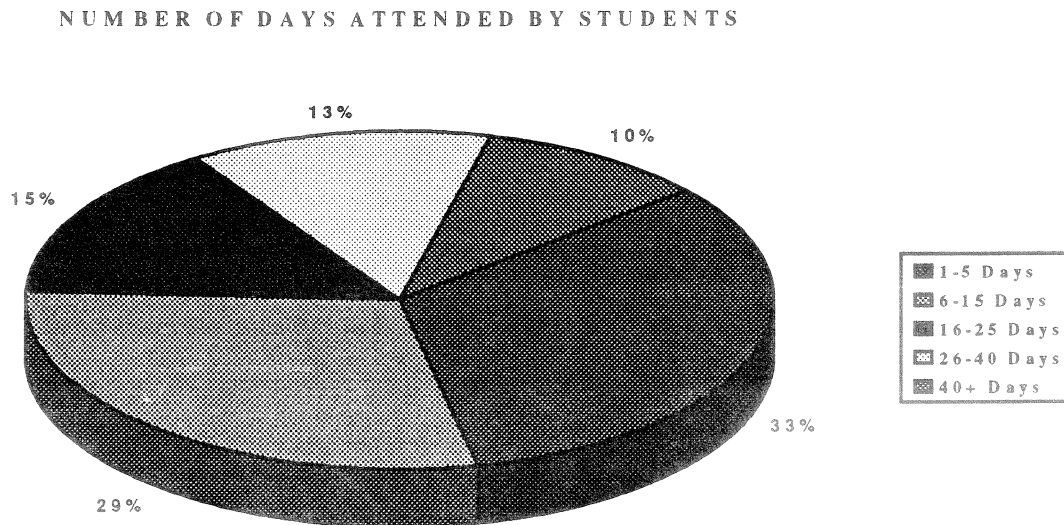
ESS Learning Goals			
	Subject 1	Subject 2	Subject 3
Reading	35	15	13
Mathematics	29	45	23
Written Language	23	26	42
Science	6	7	9
Social Studies	4	5	10
Arts and Humanities	1	<1	1
Vocational Studies	1	<1	<1
Practical Living	1	<1	1

*Numbers represent percentages of students.

Data on ESS attendance represents several models designed to meet both the short- and long-term needs of students. Approximately one-third of all

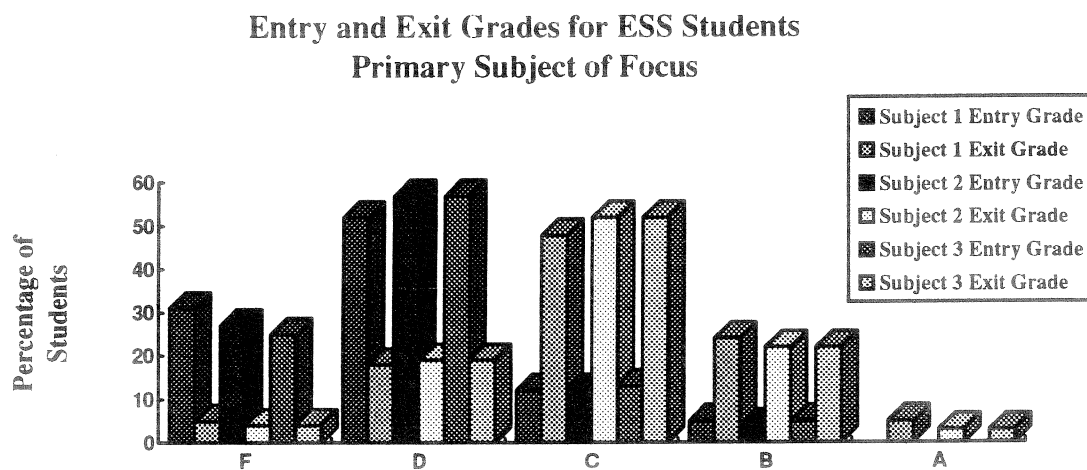
students attended programs five or less days, 44 percent attended 6 to 25 days, and 23 percent were there 26 or more days.

Figure 3.



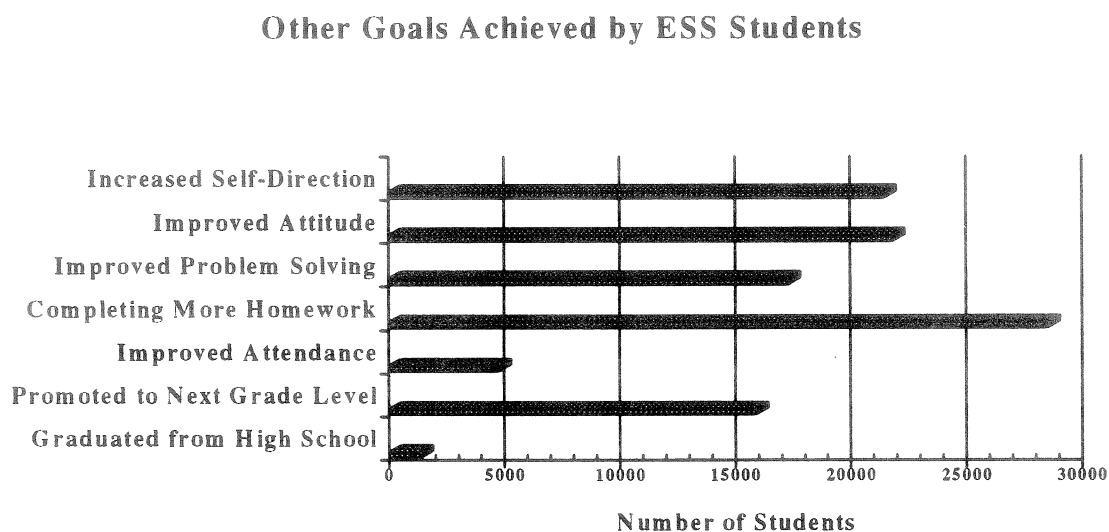
Significant changes were noted in letter grade achievement for students attending ESS six or more days. At the time of entering their program, less than 6 percent of students had entry grades of A or B in the primary focus subject, but 29 percent had A or B grades at the end of the school term. Conversely, 83 percent had entry grades of D or F in the primary focus subject, while only 23 percent had D or F grades at the end of the school term. In other words, 81 percent of all students attending ESS six or more days improved one or more letter grades in their primary focus subject while 17 percent maintained their entry grade.

Figure 4.



In addition to letter grade improvement, 17,295 were promoted or graduated on time as the result of ESS participation. The referring teachers also noted significant qualitative changes: completing homework, improved attitude toward school, and increased self-direction.

Figure 5.



In addition to ESS programs, the following table indicates the number of students served by other programs.

Table 7.

Other Services Rendered	
	Number of Students
Chapter 1	27,487
Migrant Education	992
Special Education	6,168
ESL	275

1995 Summer Term ESS Program

Preliminary data on the 1995 ESS summer program indicates that more than 40,000 students were served in programs statewide. Further information will be available upon completion of all data entry and analysis.

KDE Staff Observations and Self-Study Results

ESS consultants from KDE conducted on-site school visits and ESS classroom observations. During these visits, interviews and surveys were conducted with school personnel, students, and parents. In addition, school districts receiving innovative grants were required to conduct a self-study of their district's needs in relation to the ESS program. These self-studies included observations of programs and surveys of parents, students, staff members, and ESS teachers.

The following are typical responses from regular program teachers to the question: **In my impression, the ESS program could have more impact in the school/district if:**

- Teachers referred the most needy students
- Regular teachers had time to confer with ESS teachers about student goals and strategies
- ESS teachers used a greater variety of teaching strategies and less seat work
- Selection of competent and interested teachers was a higher priority
- ESS started earlier in the fall semester
- ESS classrooms were managed in a more structured manner
- All teachers were fully involved in the design of the program
- Parents were more involved in getting students to attend

Many ESS teachers responded to a similar question: **What would you need to have a model which you think is most effective in helping students to meet important learning goals?**

- Smaller number of students
- A better site with more space and resources
- A more flexible schedule and transportation for students
- Assistance in setting-up structure which would allow students to make optimal use of the time
- Instructional techniques for working with diverse learners
- More parent involvement

- More information from the student's regular classroom teacher about his/her instructional needs including past successes
- Relevant instructional software

Parents responded about the ESS program in the following: **What would you want you child to achieve from attending ESS?**

- Complete their homework
- Study for tests
- Bring up their grade in a subject area
- Be successful in school
- Receive credit in some failed class (high school)

Response by ESS Branch to information from Self-Studies

After ESS consultants received a copy of self-studies from their assigned region, they did a follow-up with district staff. This included:

1. Review key responses from surveys/observations
2. Brainstorm with district staff for possible solutions/actions
3. Determine next steps
4. Implement (with assistance of ESS Branch as necessary)

ESS consultants shared these findings and follow-up actions in staff meetings with colleagues and others.

RECOMMENDATIONS

1. Funding of the extended school services program should continue at the current funding level and according to the current formula which includes average daily attendance, economic deprivation, the Kentucky Instructional Results Information System (KIRIS) scores, and a 10 percent hold-harmless provision.
2. The Kentucky Department of Education should promulgate a regulation that sets hourly rates for teacher compensation that are shielded from locally negotiated contract agreements.
3. The Kentucky Department of Education should revise current regulations regarding Extended School Services Innovative Grants to allow more flexibility for schools implementing high school restructuring, year-round school, and other experimental programs.
4. The Kentucky Department of Education should develop a reporting tool for teachers to report student attendance and progress on a monthly basis. This would insure improved program accountability.
5. The Kentucky Department of Education and regional service center consultants should review extended school services grant applications so that all local and state resources such as family resource and youth service centers grants, Title I, school-age child care, and others are maximized and supplanting avoided.

Child Education (PACE) program administered by the Workforce Cabinet, have provided services to over 85 percent of eligible four-year-olds in the state.

A strong collaboration model has been forged between school districts, Head Start programs, and other public and private providers that have maximized services to children and families. Although the private providers sporadically complain that the state has harmed their business by providing free services, the general public remains supportive.

The University of Kentucky has conducted research regarding the benefits of this program for four years and their data supports continuation at the maximum funding level. A sample of the 1990-91 participants in the program, as well as cohorts from succeeding years, have been tracked through primary school. The conclusions are that participants in the preschool program continue to out-perform others of similar characteristics who may or may not have had a preschool education experience.

This program continues to be one of the most beneficial and well administered programs of all the reform initiatives. The Office of Education Accountability (OEA) continues to find strong support and minimal complaints regarding this program.

Current Status

The Kentucky preschool program was allocated \$37,000,000 in state funds in each year of the 1994-96 biennium. This is the same funding level as 1993-94. At the beginning of 1994-95, school districts were initially awarded a total of

\$34,880,165, based on 1993-94 enrollment. This award left about \$1,500,000 available for enrollment increases during 1994-95.

In 1994-95, there was an increase of 993 eligible children who were enrolled and served through state funds (a total of 14,896 children counted for funding purposes). More than half of all school districts experienced an enrollment increase of more than 5 percent, making growth widespread without large gains in any particular program or area. This growth is about the same as experienced in each year of the 1992-94 biennium, after the initial 1990-92 start-up of the program. The 1994-95 growth reflects:

221 additional four-year-olds meeting free lunch income guidelines
(without disabilities)
144 additional four-year-olds meeting free lunch guidelines who also
have disabilities
+628 additional three- and four-year-olds with disabilities
993 more children served on 12-1-94 than on 12-1-93

In order to fund school districts for these additional children, \$3,548,654 was needed but only \$1.5 million was available. As a result, there was a shortfall, and school districts received a 5.5 percent prorata reduction in funds mid-year, after the increases in enrollment had been calculated. The total shortfall for 1994-95 was \$2,061,430. Preschool Attachment A (Appendix C) shows a district by district listing for the following:

- Tentative award for 1994-95, based on enrollment and offset adjustments from 1993-94 (\$34.9 million).

- The amount of additional funds the district was eligible for, based on growth of more than 5 percent in enrollment in 1994-95 (\$3.5 million).
- The total award the district was eligible for in 1994-95 if funds had been available (\$38.5 million).
- The prorata reduction each district received as a result (\$2.1 million).

The negative adjustment (offset) to be deducted in 1995-96 for districts where enrollment decreased by more than 5 percent during 1994-95.

To stay within the \$37,000,000 1995-96 budget, the Kentucky Board of Education decreased the amount per-child in the Kentucky preschool allocation formula and limited mid-year adjustments for growth to a total of \$250,000. This reflects a decrease in the per-child rates, which had been unchanged since 1992-93. (Preschool rates have not reflected the increases to the SEEK base since 1992). Preschool growth is expected to continue during 1995-96, and districts are required to serve the additional children. However, districts with increased enrollment will only be eligible to share what is available from the \$250,000 set aside for growth. This \$250,000 will cover only about 100 additional children. In summary, districts are receiving less per child in 1995-96 than in 1992-93 and will have inadequate funds available for the anticipated program growth. Preschool Attachment B (Appendix C) shows the state preschool per-child allocation formula for 1992-95, with the reduced rates set for 1995-96.

A request was made to the Governor's Office for Policy and Management (GOPM) in spring 1995 to transfer state funds to cover the 1994-95 shortfall (\$2.1

million) and to reinstate the per-child rates and provide adequate growth funds in 1995-96 (\$3.0 million-\$4.5 million). This request was not granted.

University of Kentucky Third-Party Evaluation

The 1994-95 study of the effects of the KERA preschool experience on its participants was released in early October 1995. This is the fourth year of the evaluation by the University of Kentucky, which tracks 1,576 children. The primary purpose of this phase of the evaluation was to compare the progress of preschool participants to a control group of their peers who had not attended the KERA preschool programs. Additionally, it was to assess the extent to which parents were satisfied with the preschool programs and their perceptions of the programs' effects on their children. The study included 36 school districts representing a stratified sample (geographic and economic).

Pretest/Posttest Developmental Gains of Economically At-Risk Preschoolers

The pretest/posttest developmental gains of economically at-risk KERA preschool children are reported for each domain of the Battelle Developmental Inventory (BDI) in Table 8. With a mean chronological age of four years, five months at pretesting, at-risk preschoolers demonstrated age equivalent scores as measured with the BDI ranging from a low of three years-ten months in the subdomain of receptive communication to a high of four years-nine months in the area of adaptive abilities. With a mean chronological age of five years, zero months at posttesting, the KERA at-risk preschoolers demonstrated age equivalent scores ranging from a low of four years, two months on the receptive

communication subdomain to a high of five years, two months on the personal social domain.

Table 8.

**Average Developmental Gains for Economically At-Risk Children
Participating in KERA Preschool Programs in 1994-95**

Battelle Domain	Pretest (AE) (N=203)		Posttest (AE) (N=201)		Developmental Gain in Months* (N=199)	
	<u>M</u>	<u>SD</u>	<u>M</u>	<u>SD</u>	<u>M</u>	<u>SD</u>
Personal-Social	56.30(4-8)	11.88	62.02(5-2)	10.22	5.74	9.29
Adaptive	57.28(4-9)	9.22	60.04(5-0)	8.62	2.77	9.18
Motor						
Gross Motor	53.46(4-5)	10.84	58.83(4-11)	9.74	5.27	10.38
Fine Motor	46.91(3-11)	5.90	52.10(4-4)	6.52	5.22	5.28
Communication						
Receptive	45.62(3-10)	7.32	49.96(4-2)	8.68	4.27	8.31
Expressive	49.92(4-2)	6.75	52.71(4-5)	6.47	2.85	7.61
Cognitive	47.46(3-11)	5.59	52.00(4-4)	6.19	4.64	5.14
Total Development	52.20(4-4)	6.68	57.10(4-9)	5.61	4.93	5.87

* The average time between pre- and posttest is
5.15 months.

AE = Age Equivalents

Source: UK Third Party Evaluation October 1995

The overall results showed that, as a group, economically at-risk KERA preschoolers made developmental gains in all areas as reflected in the average difference between their pretest and posttest age-equivalent scores. Developmental gains in age equivalents ranged from a low of three months in the expressive communication and adaptive domains to a high of six months on the personal-social domain. The average gain based on the BDI total developmental score was 4.93 months. The 5.0 month increase in the total score represents gains

demonstrated during the interval between pretest and posttest, which averaged 5.15 months.

Projected Year-Long Developmental Gains of Economically At-Risk Preschoolers

The rates of developmental gain are expressed in terms of a Program Efficiency Index (PEI), following a method developed to assess the efficiency of early intervention programs (Bagnato & Neisworth, 1980). According to this method, a program efficiency index was calculated first by taking the developmental gain in months and then dividing it by the number of months between the pretesting and posttesting. These results represent preschool program outcomes based on the actual time that children participated in the program during the pretest and posttest interval. The PEI is derived from the formula illustrated below:

$$\text{Program Efficiency Index} = \frac{\text{Posttest Developmental Age Equivalent} - \text{Pretest Developmental Age Equivalent}}{\text{Posttest Date} - \text{Pretest Date}}$$

PEIs were calculated first for each child and then summarized into mean PEIs for each of the three samples of children across all domains. Mean PEI results are included in Table 9. PEI ratios at or near 1.00 reflect an average of one month gain in developmental age-equivalent scores for each month in the KERA preschool program and could be considered average or expected gain. Ratios greater than or less than 1.00 would suggest developmental gains that are either above or below the rate assumed to be average development.

Finally, using the PEI ratios, projected developmental gains for the entire school year were calculated. The projected gains were derived by multiplying the PEIs (monthly rates of development between pretest and posttest) by 8.75 months (175 school days is the length of the preschool year). The results are included in Table 9.

Table 9.

**Mean Projected School Year Developmental Gains for
Economically At-Risk Preschoolers
(N=199)**

Battelle Domain	PEI (Gain per Month)	Projected Gain (PEI x 8.75 months)
Personal-Social	1.08	9.43
Adaptive	0.52	4.51
Motor		
Gross Motor	1.02	8.97
Fine Motor	1.00	8.74
Communication		
Receptive	0.87	7.65
Expressive	0.54	4.71
Cognitive	0.88	7.74
Total Development	.96	8.39

**Source UK Third Party Evaluation, October 1995*

The rates of development as represented by the PEI ratios during the interval between pretest and posttest as well as the projected yearly developmental gains are presented in Table 9 for each domain and for the total development score. Reflecting the positive gains in age equivalent scores discussed previously, all PEIs indicate substantial areas of positive gains per month. The PEI for the

total overall development ($\underline{M}=0.96$) approaches one month of developmental gain for each month in the program. This rate of developmental progress is notable given that the low socioeconomic status of these children often contributes to lower rates of development. Adjusting for the length of the pretest and posttest interval, the highest rate of development appeared in the personal-social ($\underline{M}=1.08$), gross motor ($\underline{M}=1.02$), and fine motor ($\underline{M}=1.00$) domains. Gross motor and personal-social skills showed the highest rate of gain at slightly more than one month of development per month in program. Children evidenced their slowest rate of developmental gain in the adaptive domain ($\underline{M}=0.51$).

Based on these rates, the average developmental gains projected for the entire school year (8.75 months) ranged from a low of 4.50 months in the area of adaptive to a high of 9.79 months in the area of personal-social skills. As reflected in their total development score, KERA preschool participants can be expected to achieve approximately eight months of developmental gain during the 8.75 months of the full school year.

Although use of this evaluation is intended to communicate more easily the relationship between developmental progress with time spent in the program, it should be noted that normal child development is a complex process that is difficult to precisely measure and does not progress in equally prescribed monthly intervals. Also, it should be noted that because these children are from low socioeconomic backgrounds, their rate of developmental progress when initially entering KERA preschool programs may vary considerably from expected norms. Therefore, the gains demonstrated by these children suggest an overall positive benefit for program participants.

Summary of UK Study

Results indicate that the KERA preschool program is achieving the goal of reducing the gap between at-risk children and the rest of the children in their program. Children in the KERA preschool program scored higher than a control group of income eligible peers who did not participate in the program on overall development in a variety of cognitive, physical, and social domains and are rated higher by teachers and parents on social skills necessary for success in school.

Results from the last three years indicate that former KERA participants are scoring as well or better than a random sample of their peers on a number of measures of academic progress and expectations for future success in school and life. However, children in the oldest cohort who participated in the KERA preschool program during its first year of implementation (1990-91) are receiving lower ratings on several measures of academic progress and social skills than a random sample of their age mates. Whether this is due to a fade out effect of initial positive results or to the fact that the program was of lower quality during its first year of implementation can only be determined through continued study of the children who have participated in the program during the first five years of implementation. The major findings of this UK study are included in Appendix B.

Budget Information 1994-95

All children funded through Kentucky preschool funds received the following services mandated in state preschool regulations:

- A half-day developmentally appropriate educational program

- Out of 1,336 preschool sessions operated in 1994-95 serving state-funded preschool children:
 - 47 percent (624) met only the minimum of three hours
 - 28 percent [375 met for 3 1/2 hours (double sessions overlapped lunch for the two groups)]
 - 25 percent (337) met for four or more hours

The number of sessions noted above includes all settings where state-funded children are served: district-operated, blended, contract and cost-share sessions with Head Start and other community programs. This is a significant increase in the number of sessions where state-funded children are served (up 651 sessions, from 685 in 1993-94 to 1,336 sessions in 1994-95). This increase is due in part to the additional sessions needed to cover the growth in the number of eligible and other children served. The increase also reflects greater dispersion in jointly-operated blended classrooms with other programs. In 1994-95, there was an increase in the length of day for the sessions, there were 53 percent operating more than three hours, an increase from 49 percent in 1993-94.

Other mandated services included:

- At least one meal and appropriate nutrition information as part of the curriculum
 - All children received at least one meal, generally with an additional snack
 - 53 percent of the children received two meals, generally in sessions over three hours

- Complementary parent education, with a minimum of two home visits and opportunities for other involvement
 - 50 percent of children had a parent who volunteered in the program (preliminary data)
 - 43 percent of children's parents received parent education beyond the two home visits (preliminary data)
- Health screening (hearing, vision, growth and general health, immunizations) and appropriate health information as part of the curriculum
 - 97 percent of participants immunized (preliminary)
 - 97 percent with health screening (preliminary)
 - 94 percent with hearing screening (preliminary)
 - 92 percent with vision screening (preliminary)
- Developmental screening (cognitive, communication, self-help, motor and social-emotional skills)
 - 8.2 percent of all three- and four-year-olds in Kentucky were screened, evaluated, and provided special services (one of the highest service rates in the country)
 - At least 1,361 additional children were screened and determined not to have any delays or be eligible for Kentucky preschool, PACE, or Head Start (Preliminary data from only 79 districts)
- All data were compiled from the 1994-95 and 1995-96 Kentucky preschool proposals and December 1, 1994 Kentucky preschool enrollment data. Some items from the 1995-96 proposals have only been entered for 79 districts and are noted as "preliminary."

PROGRAM IMPLEMENTATION

On December 1, 1994, school districts served 2,453 additional children who were not eligible for KERA, Head Start, or PACE funding. This reflects the state requirement to serve other four-year-olds as placements become available. Sixty-eight (68) districts (39 percent of all districts) report serving additional children. This is an increase from 1993-94 of 16 districts which have expanded their available resources to serve more preschool children. It also reflects an increase in the proportion of total preschool enrollment (14 percent of enrollment in 1994-95 vs. 10 percent in 1993-94; expanded services provided by 39 percent of the district vs. 30 percent of the districts in 1993-94). Sources districts use for these additional children include: general funds, local funds, parent fees (tuition), Chapter 1, corporate donations, and any other sources besides KERA, Head Start, or PACE:

Total Preschool Enrollment on 12-1-94: 17,345 children

KERA eligible/KERA funded:	7,827 children
Non-eligible/other fund source:	2,453 children
(14 percent of total enrollment)	

On December 1, 1994, Head Start programs also provided an enrollment report by district, showing the number of children funded federally through Head Start:

Total Head Start Enrollment (12-1-94): 13,212 children

KERA eligible/Head Start funded:	9,227 children
Funded only by Head Start:	8,335 children
Funded by KERA with a Head Start supplement:	892 children
("KERA Enhanced")	
Others not eligible for KERA:	3,985 children

- 85 percent of the four-year-olds were income-eligible, including both those with and without disabilities (10,616 at-risk four-year-olds both with and without disabilities, out of the 12,444 four-year-olds)

The above statistics reflect relatively more three-year-olds with disabilities in the program and more four-year-olds with disabilities who are not income eligible, compared to 1993-94. This indicates that much of the growth in the program this year has been in children with disabilities who are not eligible for Head Start.

Number Of Contracted, Blended, And Direct Provider Programs

Number of Contracted Programs

"Contract" means that Kentucky preschool funds were paid to another agency for placements for one or more state-funded preschool children:

Outside agency operates total program:	53 school districts (19 percent)
Combination contract & direct provision:	<u>29 school districts (16 percent)</u>
	62 districts with contracted programs (35 percent)

The level of contracting is up 9 percent from 1993-94, generally in the area of combination contract and direct provision. Most contracting continues to be with Head Start and not-for-profit centers, with only five districts reporting contracting with for-profit programs.

Number Of Blended Programs

"Blended" means that children from various funding sources are mixed in classrooms, with the following conditions:

- Costs are prorated to Kentucky preschool and other sources, as appropriate.
- The classroom is operated meeting the highest program standard, if the fund source requirements are different.

Blended operations may have these different funding sources coordinated either through contracting (transfer of funds) or cost-sharing. "Cost-share" means that a school district operates a Kentucky preschool classroom jointly with Head Start, PACE, or other funding sources by sharing proportional costs without any exchange of funds (i.e., each program pays certain costs for the total operation). In general, blending with Head Start and PACE is frequent and has continued at a constant level. However, blending with other funding sources (local, tuition, private, etc.) appears to be increasing, up by 16 districts (9 percent) since 1993-94:

One hundred and nine (109) districts (62 percent) operate blended classrooms with one or more of the following sources:

- 86 districts (49 percent) blend with Head Start funded programs
- 36 districts (20 percent) blend with local district funds supporting additional non-eligible children
- 20 districts (11 percent) blend with district tuition/fee-based programs
- 7 districts (4 percent) blend with district federal Chapter 1 programs
- 10 districts out of the 36 districts having PACE programs blend with PACE (28 percent)

Number of Direct Provider Programs

School districts have a wide variety of arrangements with Head Start, PACE, and other programs to operate the Kentucky preschool program, with the result that only 68 districts (39 percent) operate separate classes for just state-funded children:

Programs without any direct district operation: 35 districts (20 percent)
Districts without any state-funded children: 2
Districts with total program contracted: 33

Programs with direct district operation: 141 districts (80 percent)

Districts with some direct operation: 73 (41 percent)
Cost-share arrangements: 44
Partial contracting: 29

Districts with only direct operation: 68 (39 percent)
(Stand-alone KERA Preschool)

In two districts, all children eligible for Kentucky preschool were served through Head Start funding, with no state funds needed.

National Association For Education Of Young Children Accreditation

NAEYC Certified Programs

The organization (NAEYC) is the highly acclaimed national association for identifying and accrediting quality preschool programs. Accreditation involves a vigorous self-study process.

NAEYC reports 58 centers in Kentucky holding current national accreditation, up from 47 centers last year. These centers are associated with the

following types of programs, with some programs having more than one center/building accredited:

School district KERA Preschool programs:	10
KERA/Head Start blended programs:	10
Other Head Start programs:	6
District or Head Start child care programs:	3
University lab programs:	5
Private programs contracting with districts:	11
Other private programs:	13

Preschool Attachment E (Appendix C) provides the names of the districts, Head Start programs, and private KERA contractors holding NAEYC accreditation. Twenty (20) school districts are included. Seventy-eight (78) percent of all NAEYC accredited programs in Kentucky are operated by schools or are associated with the Kentucky preschool program through contracting or affiliation with Head Start.

Programs Undergoing Study Prior To NAEYC Accreditation

In addition to the school districts with accredited programs, another 15 districts use the NAEYC self-study as one component of their preschool program evaluation. These districts may or may not later pursue national accreditation, but generally report that the self-study process is helpful in program improvement. In addition, 64 districts (36 percent) reported using the Kentucky preschool self-study for program improvement. This document was disseminated in the spring of 1994, after piloting in 1993-94.

Kentucky Preschool Resource Classrooms

Ninety-seven (97) teachers from 45 school districts and 6 contractor sites have met high standards of developmentally appropriate practice, as reflected in a composite score of 246 or higher on the Early Childhood Environment Rating Scale (ECERS) and validated by Preschool Division staff. Teachers and classrooms who achieve these standards are listed as "Kentucky preschool resource classrooms" and serve as "model" sites for visits from other school districts. The ECERS is a nationally recognized measure of program quality and is used in the University of Kentucky (UK) Third Party Evaluation. In the most recent sampling of preschool classes statewide, UK found that the statewide average preschool classroom score was 5.1 on a scale of 1 (low) to 7 (high). The composite ECERS score used for validating Kentucky preschool resources classrooms reflects a 6.0 or better on that scale. Twenty-six (26) percent of school districts have at least one classroom meeting this high standard, and these programs are included on the attached Kentucky Preschool Resource Classroom list (Preschool Attachment F [Appendix C]).

Types Of Curriculum Being Modeled

All Kentucky preschool programs are required to arrange rooms in learning centers and use curriculum resources to provide developmentally appropriate experiences through a balance of activities. The most commonly used curriculum is "high/scope," which includes a plan-do-review sequence for structuring child-initiated learning activities. Two of the five early childhood regional training centers are NAEYC accredited using this curriculum and have national high/scope trainers on staff. A third RTC has an approved high/scope trainer as the early

childhood specialist. The High/Scope Foundation has recognized the Anderson County Schools preschool program as a high/scope demonstration program in the country. Chapel Hill, the Creative Curriculum, Early Prevention of School Failure, and Montessori are also utilized, as well as various theme-based approaches. Federal preschool disabilities state share funds are used to provide local preschool teachers with adaptations for specific disabilities. These are: SHIPP (severe disabilities/deaf/blind); PREVIEW (visual impairments); SKI*HI (hearing impairments); KISSED (social skills and emotional development); PRAISE (mild/moderate disabilities); and KY-TP (early childhood transition planning).

Types Of Developmental Screening Used

The most commonly used comprehensive developmental screening tools are the DIAL-R, the Battelle, and the LAP screening instruments. Developmental screening includes gross and fine motor skills, cognitive functioning, communication skills, self-help skills and social-emotional skills. Screening for children already in preschool or child care settings can be accomplished through systematic observation in the classroom or program. In addition, many districts screen and conduct parent interviews at shopping malls and other public places as part of preschool recruitment.

Transportation Overview

Transportation is required as a related service if needed for a child with disabilities and is an optional service for at-risk four-year-olds. Only five school

districts (with a total of 66 children) do not offer this option to at-risk four-year-olds.

Total KY Preschool Enrollment (12-1-94): 14,901 children
Transportation not available: 66 children

State-funded children transported: 14,835 children
(up 1,007 from 1993-94)

Other preschool children served in district (12-1-94): 2,453 children
(not funded through KERA, Head Start, PACE)

Head Start funded children transported by districts: 6,197 children
(46 percent of Head Start enrollment)
(up 585 from 1993-94)

Total KY preschool/Head Start children
transported by local school districts: 23,485 children

Head Start does not require programs to transport children, nor to provide transportation to all Head Start attachment areas. As part of collaborative efforts to assure full utilization of Head Start, 50 percent of all school districts (88) provide transportation for Head Start children. State funds were not available to reimburse districts for this activity in 1994-95. Based on local agreements, districts generally provided this service at free or reduced cost to the Head Start program, absorbing the transportation cost through other sources. Since Head Start programs must have a match of 20 percent funds from non-federal/Head Start sources in order to receive federal Head Start funds, transportation is often used by Head Start programs as part of this match.

The Division of Pupil Transportation is working in state and nationally to identify or cause commercial development of appropriate school buses and safety

devices (seat belts, restraints, etc.) for preschool children. One such device has been identified and piloted in several school districts, with satisfactory results. It is anticipated that this will become the model for new purchases. Kentucky has an excellent safety record for preschool children.

The more difficult transportation issue is driver assistants (adult bus monitors) who ride all buses that transport any preschool children. While there is consensus that monitors are needed, this requirement has a significant cost in both financial and human resources. Financially, most districts continue to report that due to monitors, transportation costs exceed the amount included in the preschool formula (see Preschool Attachment B [Appendix C]). Many preschool coordinators are expected to recruit and coordinate preschool bus monitors, in addition to overseeing the instructional program.

Collaboration

A large majority of school districts are actively involved in an organized interagency group which plans and coordinates health and social services for preschool children and their families. For most districts, this group is a local Preschool Interagency Planning Council (PIPC) although other existing interagency councils are used instead of or in addition to the PIPC. In particular, preschool programs show strong collaboration with family resource centers to provide parent education, coordinate health and social services, and provide wrap-around child care before-after preschool hours. During 1994-95, the Kentucky Department of Education and the Cabinet for Human Resources Early Intervention System jointly sponsored a series of regional and statewide PIPC leadership training to support and promote these local interagency efforts.

for the certificate and approval of teacher preparation programs in this area. To date, the Education Professional Standards Board has given one-year interim approval to three preparation programs: Murray State, University of Kentucky, and Eastern Kentucky University; a fourth (Spalding in cooperation with Jefferson Community College) has been submitted and is pending interim approval by the Board; and several other programs have expressed their intent to submit to the Board this fall: Northern Kentucky University, Western Kentucky University, and Kentucky State University. Final approval of preparation programs is contingent upon the performance assessment established by the Board during the 1994-96 pilot. These university programs met with interested community colleges to link two- and four-year programs in early childhood, and initiated discussions with the Kentucky TECH vocational child development programs directly or through the community colleges.

During the 1994-96 pilot, two major components are under development, field-testing, and validation:

- Written content specialty exam in Interdisciplinary Early Childhood Education.
- Performance assessment of teaching skills.

The content specialty test was developed and field-tested with 824 early childhood practitioners in spring 1995. Statistical studies are in process, and a report is due to the Education Professional Standards Board in September with recommendations for a minimum passing score. Criteria for minimum test performance will need to be set through regulation, and it is anticipated that the Board will begin this process in September after the report is reviewed. The

assessment of teaching performance is anticipated to include a professional portfolio and successful completion of several randomly assigned performance events (on-demand tasks). Portfolio and on-demand tasks for Interdisciplinary Early Childhood Education have been developed with extensive participation by practitioners and parents during development and field-testing. With the content exam and performance assessment in final development stages and candidates beginning to complete newly approved university preparation programs, it is anticipated that the certificate will be initially awarded later in 1995-96.

A remaining issue for the 1996 General Assembly is to give the Board authority to establish alternative certification programs in all areas, including early childhood. The early childhood regional training centers are prepared to work with school districts and universities to assist in the development of practical, high quality alternative certification models for baccalaureate-level preschool personnel currently employed in local programs.

In addition, the Board will need to specify, in regulation, the requirements for certification once it is fully available (timelines and specific personnel who will need to hold the certificate). It is anticipated that these criteria will be discussed in spring 1996 after the status of alternative certification is known.

The regulation establishing the certificate includes a provision that baccalaureate level teachers in approved preschool programs in 1994-95 can apply for a statement from the Office of Teacher Education and Certification which enables them to continue teaching in preschool classes the required certification ("grandfathering"). Most of these requests have been processed, relieving much of

the frustration. In many cases, teachers in the field would like to get the new certificate, but are waiting for the alternative certification option.

RECOMMENDATIONS

1. The Kentucky Department of Education should take appropriate action to reallocate unused SEEK funds to school districts who were not fully funded for serving KERA-eligible preschoolers.
2. Although excellent progress has been made in the area of collaboration between the school districts and other public and private providers, there will continue to be needed training to maximize federal, state, and local dollars.
3. The Kentucky Department of Education should require the University of Kentucky to begin using 4th grade KIRIS scores as performance indicators among experimental and control groups.
4. Because the Interdisciplinary Early Childhood Education Certificate is such a valuable development opportunity, school districts should encourage all teachers, even those eligible for "grandfathering," to acquire this certification. Districts may want to consider some type of incentive for those teachers completing the certification process.

PRIMARY PROGRAM

OVERVIEW

Historical Perspective

With the passage of the reform act in 1990, public elementary schools in Kentucky dramatically changed the learning environment for children. Traditionally, Kentucky students in K-3 were grouped by age and often ability. This resulted in a 22 percent annual cumulative retention rate for those grades meaning that more than one out of every five children failed a grade before they reached the fourth grade. Common sense indicates that with this many children stigmatized as "failures," it leads to many children becoming disenchanted with school.

Prior to the enactment of House Bill 940, research conducted on non-graded programs concluded that non-graded pupils fared better when compared to their peers in graded classrooms in the areas of academic achievement, mental health indicators, and overall improvement noted in a variety of at-risk populations.

The phase-in period for implementing primary school was initially interpreted by the Kentucky Department of Education (KDE) as five years. However, during the 1992 Legislative Session, full implementation by the beginning of the 1993-94 school year was mandated. This rapid implementation schedule was not perceived favorably by many stakeholders. However, the result was more uniform expectations and consistency in programming.

A report released by the Kentucky Institute of Education Research (KIER) in September 1995 concluded that implementation of the program varies widely across the state but most of the critical program components are being implemented. These include:

- Recommended instructional practices in reading, mathematics, and writing
- Arranging a print-rich classroom
- Providing a warm social climate for learning
- Planning with other teachers
- Reporting to and communicating with parents

Program components that are **not** being implemented at acceptable levels include:

- Recommended instructional practices in science and social studies
- Integrating the arts with other content areas
- Grouping students to promote continuous learning progress
- Using a variety of learning strategies including learning centers and instructional units that are content rich

In the fifth year of the reform program, primary school continues to be labor-intensive and contentious for many teachers, but the KIER study found that less than half the teachers wanted to discontinue multi-age grouping, one of the more controversial requirements.

KDE recently reemphasized basic skills as an important component of an integrated curriculum. It also acknowledged phonics as permissible in teaching reading and its effectiveness in the context of the whole language instruction. Teacher-led instruction is now included as an approved practice.

KDE has fully endorsed the Kentucky Early Learning Profile (KELP), a continuous progress/authentic assessment document that chronicles a child's academic development from the beginning of kindergarten through P-4. This instrument, developed in conjunction with Advanced Systems, requires the teacher to document growth by way of the learning descriptions and various performances in alignment with Kentucky's learning goals and academic expectations. The progress report that mirrors KELP is an appropriate mechanism for reporting continuous progress through narrative reporting and authentic assessment. While KDE has not mandated KELP, a regulation, 703 KAR 4:040: Interim Methods for Verifying Successful Completion of Primary School, requires documentation to verify successful completion of the primary program. KELP fulfills this required documentation.

Current Status

All 837 public elementary schools in Kentucky began the 1994-95 school year with KDE approved Primary Program Improvement Plans that comply with 704 KAR 3:440. This regulation approved by the Kentucky Board of Education in February 1993 clarified much of the confusion surrounding the multi-age and kindergarten inclusion requirements.

Subsequent to that regulation, House Bill 187, enacted in the 1994 regular session of the General Assembly, provided further clarification for multi-age grouping requirements. This legislation, codified in KRS 156.060(b), added flexibility for school councils to determine, based on individual student needs, that multi-age and multi-ability grouping need not apply for every grouping situation throughout the school day.

OEA staff visits to over 40 school districts during the 1994-95 school year indicated there was continued confusion as to how schools' interpret these regulations and KDE's Primary Your Way. KELP, developed by KDE in conjunction with Advanced Systems in Measurement & Evaluation (ASME), continues to be a point of contention with many schools since there does not exist a clear statement from KDE as to whether implementation is mandatory.

Three years ago it was reported by KDE that KELP would be implemented incrementally, beginning with 50 teachers in 1992-93 moving to 350 teachers in 1993-94 and fully implemented in 1994-95. This was obviously an ambitious goal that was not achieved in 1994-95 nor will it be this year (1995-96) since there is no clear timeline or requirement by KDE for schools to utilize KELP.

Schools were advised late in the spring of 1995 to include KELP or a "KELP-like" alternative in their primary improvement plans for 1995-96. However, school plans are not reviewed by KDE for utilization of a primary assessment document that chronicles a child's cognitive growth throughout primary school.

Different Ways of Knowing (DWOK), a curriculum developed by Galef Institute in California, continues to be promoted by KDE as an appropriate professional development program for elementary (K-5) teachers. DWOK utilizes a multiple intelligence/authentic assessment integrated approach to learning that is closely aligned with reform expectations and learning descriptions for primary school. House Joint Resolution 62, enacted in the 1994 regular session, required KDE to develop new strategies such as DWOK to assist teachers in the implementation of primary and elementary school. Many administrators and teachers interviewed by OEA were positive about the DWOK materials but less positive about the quality of the training.

Currently, there is much discussion about the primary program becoming "optional." However, confusion exists as to the implications of "optional." Should the whole program be optional or only the multi-age requirement?

Although the required components of primary school mirror good instructional practices, criticism centers around the lack of emphasis on basic skills and the dual-age requirement. The challenge for teachers is to teach the basics and higher order skills and content. KDE recently included basic skills, phonics, and teacher-led instruction as characteristics of a quality program.

The changes created by the primary program are substantial and difficult to implement. According to a September 1995 report by the University of Kentucky Institute on Education Reform, program implementation and quality still varies widely from school to school and teacher to teacher. OEA staff visits corroborated these findings and concluded that the ability of the building principal to communicate the vision and motivate staff is the key to success. KDE and the

resource service center staff should begin evaluating each elementary school for compliance with the critical attributes.

PROGRAM IMPLEMENTATION

KDE's Primary Branch has been very active during the 1994-95 school year, providing technical assistance to over 80 school sites with training on KERP and other primary school related topics. All 837 elementary schools received a packet in the fall of 1994 containing KERP-related materials (a primary progress report and learning descriptions for content areas). These provided curriculum guidance for all primary teachers whether or not they were using KERP. The scoring guides included descriptors for the four standards of *beginning*, *developing*, *competent*, and *expanding* which are somewhat synonymous with the four standards of *novice*, *apprentice*, *proficient*, and *distinguished* used in KIRIS assessments.

The Primary Branch also produced several informational documents that were sent to all schools. These included five issues of Primarily Yours (these contained 40 weeks of parent activities); The Planbook for Meeting Individual Needs, Primary Your Way, which defined the basics and choices for the primary program; and a question and answer booklet on preschool-primary transition issues. The Branch also conducted four primary advisory committee meetings and eight principal/central office staff training sessions in 1994-95.

Beginning in September 1994, KDE initiated and supported, through teacher salary supplements, the Elementary Resource Teacher (ERT) program. The purpose was to provide additional, targeted, human resources to elementary

schools and teachers throughout the state by creating a cooperative venture among school districts, educational cooperatives, and KDE. The program provided on-site assistance to primary schools (K-5) through the establishment of a network of elementary resource teachers who were partially supported through KDE grants from the Division of Professional Development administered by the education cooperative network. The identified resource teacher was released from an elementary school classroom and the balance of his/her salary was jointly supported by the participating district. Each ERT position received a KDE grant of \$20,000 to be used as a partial salary source for the ERT. The first year there were 19 ERTs serving no more than 10 schools each and working 200 contract days.

The ERT program was expanded during the 1995-96 school year by adding 14 ERTs to the original 19. These new ERTs serve elementary schools in decline. The ERT program is a capacity-building strategy for the elementary schools and the participating teachers will be supported through the ERT professional development network, even after the two-year salary supplement has expired.

Kentucky Early Learning Profile

In the summer of 1994, two Kentucky Early Learning Profile (KELP) train-the-trainer sessions were conducted to prepare a cadre of trainers throughout the state. These four-day trainings consisted of two days on the KELP instrument and its application and two days on how to be effective trainers. Advanced Systems, KDE staff, and three classroom teachers provided the training.

This KELP training, with 150 teachers participating, was designed to be the only training conducted by KDE or Advanced Systems. Now KELP professional development is the responsibility of the district or school. All elementary school principals and district superintendents received a copy of the KELP materials and a list of KELP trainers.

While the train-the-trainer model is used to "filter down" training to all teachers, there remain a large number of primary teachers who have not been trained in the use of KELP. This is a serious deficiency.

Another area of concern expressed by teachers is the extensive time required beyond the six-hour instructional day to complete KELP related record keeping and conferencing. This may be alleviated somewhat as teachers become more familiar with KELP and the use of technology.

Different Ways Of Knowing (DWOK)

As of July 15, 1995, about 2,600 teachers have been involved in DWOK training over the last two years. This represents about 20 percent of the total elementary teaching force of 13,000. Two hundred seventy-two (about one-third) of the total number of elementary schools have had staff involved in DWOK training. This program continues to play a major role in the reshaping of the elementary curriculum.

The only concern expressed related to the cost (\$1,250) per teacher participant. This concern seemed most prevalent in small districts. Both KDE and

the Collaborative for Elementary Learning have worked to secure external funding to supplement the program's costs.

RECOMMENDATIONS

1. The General Assembly should continue to promote the implementation of the primary program. As Mark McKinney, principal of Brodhead Elementary School in Rockcastle County, testified before a recent Interim Committee on Education, "For once don't worry about what your constituents want, but do what's best for kids." While some confusion remains as to the interpretation of the multi-age grouping requirements, the components of this program reflect sound educational practice.
2. The Kentucky Department of Education should clarify the issue of multi-age grouping requirements and suggest appropriate compliance models to achieve requirements in KRS 158.160(b).
3. The Kentucky Department of Education should develop a Program Advisory detailing a timetable for the implementation of Kentucky Early Learning Profile or its alternative. Currently, the only requirement is the interim exit criteria regulation.
4. Although the critical attributes of primary school do not suggest the movement from content knowledge to "process," there needs to be a renewed emphasis on content knowledge with the inclusion of basic skills. This renewed emphasis should include the content areas of science, social studies, and the arts/humanities since the fourth grade Kentucky

Instructional Results Information System assessments set high expectations in these areas.

5. We recommend a continued emphasis on professional development for teachers and principals including the use of technology and Kentucky Early Learning Profile as well as classroom instructional strategies.
6. We recommend that the Kentucky Department of Education implement statewide the use of a standardized, norm-referenced assessment in P-4 (previously third grade) in the content areas of math and reading to provide parents and others with a national reference. While recognizing that the RFP for the Kentucky Instructional Results Information System recommends this if funds are available, it should, nevertheless, be administered as early as 1995-96. Currently 70 districts administer the CTBS/4 or CAT/5 so this change would not be a major one.

PROFESSIONAL DEVELOPMENT

OVERVIEW

Historical Perspective

The importance of professional development is reflected in the growth of the budget for these activities: \$1 per student in average daily attendance (ADA) in 1990-91 to \$23 for 1995-96. KRS 158.070 was amended to provide up to five days of a school district instructional calendar to be used for professional development. This allocation of funds and days demonstrated the high priority placed on allowing teachers to "re-tool" for education reform.

The professional development initiative (KRS 156.095) provides that each district will have a professional development coordinator who receives annual training by the Kentucky Department of Education (KDE). During 1990-91 and 1991-92, KDE provided professional development opportunities for all certified personnel, focusing on the Kentucky Education Reform Act, school-based decision making, performance-based student assessment, ungraded primary, research-based instructional practices, effective use of technology, and training to enable teachers to motivate and nurture students of diverse backgrounds. They were aided in this task by the statutory requirement to form consortia who would assist in providing meaningful professional development activities. KRS 156.0951 provides that school districts shall join a consortium with at least one other district to plan for professional development activities through 1994-95. As this requirement sunsets, districts appear to be continuing their association with these consortia -- many of which are now cooperatives providing a wide range of services, including professional development.

Professional development plans have evolved during this period. Initially, district and consortia plans were required, now district and school plans are required. This change allows professional educators to identify the needs of their student population and develop individual staff plans to best meet those needs.

The following table, prepared by KDE staff, summarizes the use of additional days and increased funds for professional development.

Table 10.

Professional Development Time and Fund Allocations in Kentucky Districts and Schools					
	1990-91	1991-92	1992-93	1993-94	1994-95
Number of Districts Using Four Days Mandated in State Calendar for Professional Development	176	176	176	176	176
Number of Districts Using Optional Days for Professional Development	---	---	Some Days - 125 Five Days - 65	Some Days - 167 Five Days - 131	Some Days - 154 Five Days - 91
Number of District Consortia*	(figure n/a)	17	21	19	20
State Budget for Professional Development	\$1.1 M	\$3.5 M	\$10 M	\$10 M	\$11.6 M
Per Pupil in ADA	\$1	\$5	\$16	\$16	\$18
Percent of Funds in District Control/School Control	100%/0 **	100%/0 **	100%/0 **	35%/65%	35%/65%

* Numbers include Jefferson and Fayette Counties as single-district consortia. Numbers do not include the Ohio Valley Education Cooperative, which does not administer state professional development funds for districts.

** Some districts chose to give schools control over a portion of professional development funds in these years but were not under state mandate to do so.

The school-based decision making 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.

Current Status

Four professional development days are included in each school calendar, as provided for by KRS 158.070. Senate Bill 162, enacted during the 1994 regular session, amended KRS 158.070 to allow for up to five 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 within the regulation school calendar to provide professional development activities.

ADMINISTRATIVE REGULATIONS

KDE's Professional Development Division has no new administrative regulations. They have provided clarity by amendment to the following regulation.

704 KAR 3:305. *Annual Professional Development Plan.* This regulation was amended to reflect that consortia plans are no longer mandated, but that school plans are required. This amendment clarifies a number of the terms in the definition section and adds a section on developing a process for professional development. This amendment provides for individual teacher professional

development activities to satisfy requirements for certification if the degree granting institution approves the activities for the teacher's program.

No program advisories have been issued. However, KDE provides a Professional Development Process manual to all districts. This manual, developed for the 1993-94 school year and revised in November 1994, has been updated reflecting statutory and regulatory changes. It further provides a question and answer section which helps clarify the use of the optional five days granted by legislation.

PROGRAM IMPLEMENTATION

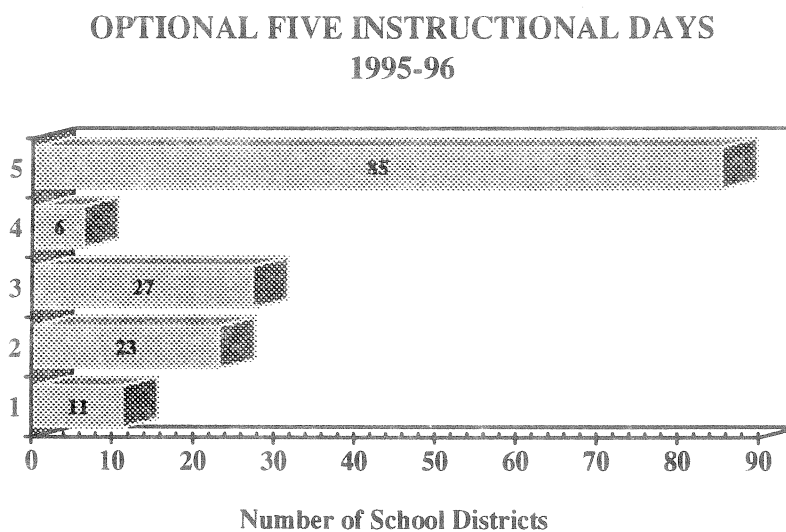
Professional development plans for each school district and each school have been approved and are on file with the regional service centers. The Office of Education Accountability (OEA) review of a sample of these plans indicates that districts and consortia have followed KDE guidelines and are addressing such reform-related issues as ungraded primary, technology, writing and math portfolio processes, the transformation plan, Kentucky Early Learning Profile (KELP), and high school restructuring. Most of the districts in the sample continue to provide training on site-based issues, presumably in response to the requirement of KRS 160.345 that all schools must have councils by July 1, 1996.

Additionally, districts' plans identify training in the following: needs assessments, parent-teacher conferencing skill development, curriculum alignment and interdisciplinary planning, school-to-work initiative, effective schools training, working with the special needs students, conflict resolution, cultural diversity, and instructional strategies. A number of districts are concentrating on science

instruction and the alignment of their science curriculum with the Kentucky Instructional Results Information System (KIRIS).

The optional five instructional days are being utilized to some degree in 152 local school districts for the 1995-96 school year as compared to 154 for the 1994-95 school year. Ten districts have added from one to five days at local expense for additional professional development. The professional development programs presented on these days are selected from a directory approved by KDE staff.

Figure 7.



Role of Consortia

KRS 156.0951 provides that school districts can withdraw from consortia after July 1, 1995. However, it appears that most districts are remaining in their consortia. Most consortia are now cooperatives and are providing a wide range of

Current Status

As professional development emerges as a key component for successful teachers, administrators and SBDM council members, RSCs have begun to play an integral part in that training process. In the July-September 1995 Prichard Committee publication *Perspectives*, several references were made to the involvement of the RSCs. The following are excerpts taken from the primary program recommendations:

Professional Development

We recommend that the Kentucky Department of Education, *the regional service centers*, colleges and universities, local boards of education, and local school councils provide training and time for teachers that concentrate on actual classroom practice.

Regional service centers should identify [model curriculum units] created in Kentucky classrooms and distribute them.

Parent Involvement

We recommend that the Kentucky Department of Education and *regional service centers* create sample report cards for use or adaptation that are clear in pointing out skills that have been traditionally considered "basic skills."

Multi-age Grouping

We recommend that the state Department of Education, the *regional service centers*, and local administrators make requirements absolutely clear to teachers and parents: the law provides flexibility in grouping students - grouping students of two age levels is appropriate, legal, and perhaps more practical, for some schools and classrooms.

Kindergarten Inclusion

We recommend that the Department of Education and *regional service centers* aggressively disseminate information to teachers about flexibility for grouping kindergarten students.

It is apparent from OEA district monitoring visits and meetings with RSC staff across the state, that RSCs are providing a valuable service to help build capacity for educational change. As KDE seeks to become a service delivery agency, it makes sense to begin to decentralize functions to the RSCs. Surrounding states (Virginia, Tennessee), as well as other states, are restructuring their education departments into decentralized systems for service delivery. Kentucky's technology program and the establishment of successful RSCs should be the impetus for redeploying Frankfort-based staff.

What do RSCs look like in 1995? There are eight RSCs, as noted in Figure 8. Each center is staffed by individuals with expertise in a particular area of education reform. As education programs become integrated and educators grasp the interconnectedness of the components, RSC staff have become liaisons for resources and teamwork models. RSC staff work together to coordinate their efforts and knowledge to the benefit of the districts they serve.

The budget for FY 1995 for the eight regional service centers is \$2,048,700. It reflects the re-direction for RSC consulting funding from the following areas: education technology; curriculum development; school-based decision making; and primary education.

The RSC's directors report monthly to KDE and the individual program consultants, which comprise the RSC staff, confer regularly with the staff at KDE who directly oversee their programs, i.e., technology consultants meet and talk with the Kentucky Education Technology System (KETS) office, primary consultants meet with the primary branch staff at KDE in Frankfort, etc. The following is an example of RSC activities during a two-month period:

returning to their home districts, bringing knowledge of and enthusiasm for education reform.

The RSC Associate Program continues to expand and improve. KDE states: *The mission of the RSC Associate Program is to enable a cadre of change leaders to process new information in the context of school restructuring, to encourage transformational leadership through continuous learning, to be catalysts for educational change and to insure each student an internationally superior education.* The benefit of this training becomes evident, as entire schools are trained. To date, 774 RSC Associates have been trained. Due to the demand for support, in April 1995, the first RSC Associate Conference was held in Louisville. A second conference is planned for April 1996, building on the success of the 1995 program.

As the RSC Associate Program expands and builds on its own success, a few precautions are advised; the RSC Associate Program Plan should consider regional needs and avoid establishing a rigid curriculum that does not allow program flexibility. The RSC guidelines should suggest best practices, not a prescribed method. RSC Associate training should be expanded to provide different levels of training. RSC Associates, that have been previously trained, need updated, continuing information tailored to their evolving needs.

While the RSC program as a whole is improving, gaps in service continue to exist across the state. These gaps are reflected in responses from the annual Quality and Improvement (Q & I) Survey sent to approximately 4,600 teachers, administrators, district technology and professional development coordinators. According to KDE, all districts are receiving service, but insufficient staffing

limits the RSC ability to service all schools on a continuing basis. The Q & I Survey indicated that some schools still do not know about or understand the purpose of the RSCs. In response to this data KDE will: 1) increase the in-school circulation of the regional RSC newsletter; 2) pull-out section in an issue of *"Kentucky Teacher"* will have new RSC information; 3) have RSC staff attend local PTA/O, KEA and SBDM meetings to distribute information on the RSC; and 4) work more collaboratively with education cooperatives and other service providers to facilitate the professional development activities in each respective region.

In previous OEA reports, RSCs have been criticized for their failure to build bridges and work cooperatively with the education co-ops. This year an increased effort has been made by training and resource personnel to examine their role, with the emphasis on program overlap and areas that have not been addressed. Gaps still exist in training components. The cooperation between RSCs and other providers, while improving, continues to be less than optimum.

RECOMMENDATIONS

1. A strong link must be created between regional service centers (RSC) and the education consortia. The initial efforts at cooperation must be encouraged and supported.
2. Gaps in service to school districts, as noted in the survey indicate no RSC contact or a negative experience, must have follow up and a RSC plan for corrective action. The Kentucky Department of Education (KDE) appears to be monitoring this issue through 1996 RSC action plans.

Reviews are intended as technical assistance documents and are not binding on schools and districts.

Table 11.

Program Review #	Program Review Topic
91 - SBDM - Oct. 23	Clarification regarding local district SBDM policies
92 - SBDM - 007	1992-93 Allocations for school councils (clarification)
92 - OAIS - 009	Hiring procedures for certified staff
92 - SBDM - 015	School council membership prohibitions
92 - SBDM - 016	SBDM enrollment drive
92 - SBDM - 020	Modifications to KRS 160.345
93 - SBDM - 105	Suggested hiring procedures in SBDM schools
93 - SBDM - 117	Explains OAG 93-31 regarding SBDM
93 - SBDM - 119	Best practices regarding SBDM/Exceptional Children Services
93 - SBDM - 120	Increasing minority participation on school councils
93 - SBDM - 123	School council policy on instructional/non-instructional staff time.
93 - SBDM - 124	Alternative chairperson for school councils
93 - SBDM - 125	School council and committee meetings open to the public
93 - OAIS - 127	Waivers for regulations and revised statutes
93 - SBDM - 129	Best practices: SBDM and preschool programs
94 - SBDM - 126	Legislative changes that affect SBDM (Q&A)
95 - SBDM - 149	Requirements for SBDM implementation
95 - SBDM - 150	Relationship between SBDM/FRC-YSC's

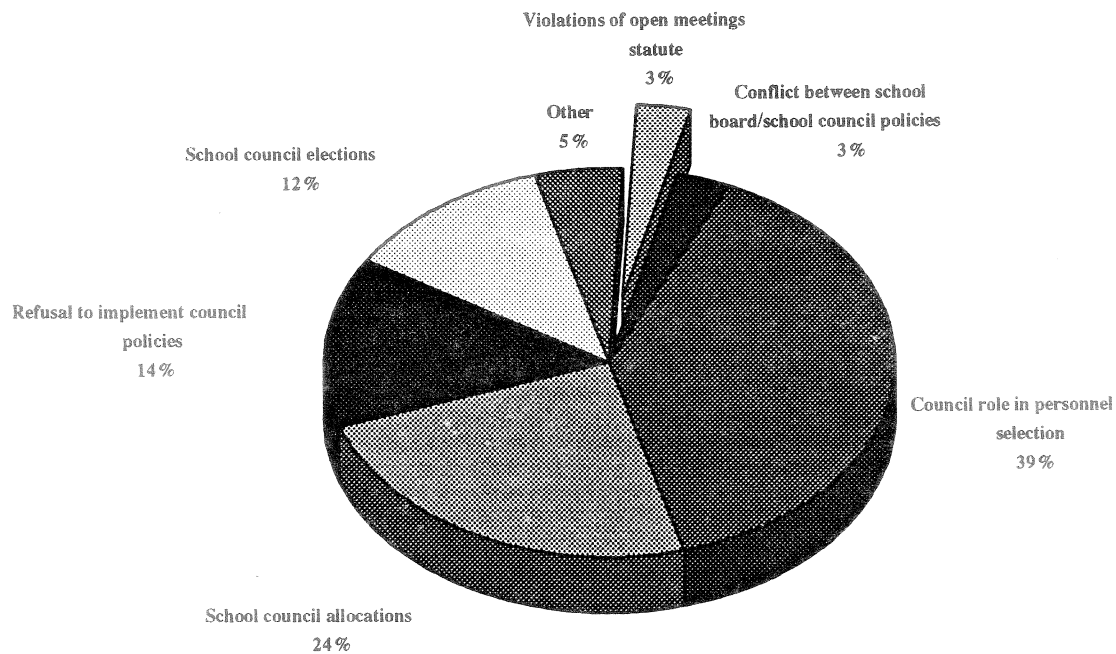
OEA Role

KRS 160.345 (9) directs OEA to investigate written complaints that allege intentional interference or circumvention of SBDM by board members, superintendents, district employees, or members of school councils.

To date, OEA has resolved over 200 formal SBDM complaints. In addition, numerous SBDM issues have been resolved through written correspondence and telephone conversations with local school officials, thereby eliminating the need to file formal complaints.

In reviewing OEA files, it appears that SBDM conflicts fall into the general areas depicted in the following graph:

Figure 12.



*Percentages are approximations

Court Decisions

In a ruling rendered by the Supreme Court of Kentucky on December 22, 1994, the issue of whether or not school council policy had to be consistent with local board policy was resolved. This ruling allowed school councils the autonomy to develop policies in the areas specified in KRS 160.345 (2)(i) and to meet the unique needs and circumstances of their individual schools.

Whether or not councils exercise this autonomy remains to be seen. At this time, it appears that most councils operate within the framework of local board policy in most policy areas. Over time, as support systems evolve and a risk-free environment emerges, councils may consider innovations that today would seem much too risky.

OAG Opinions

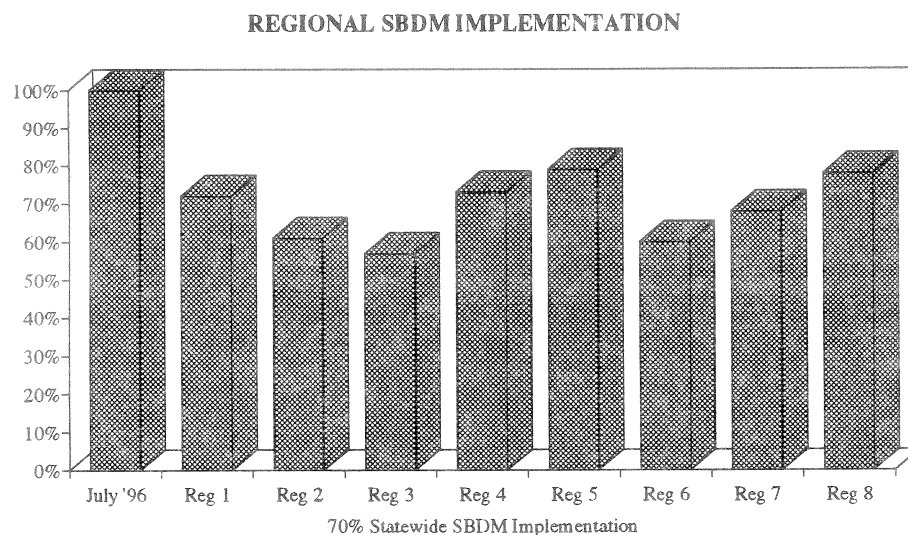
The Office of the Attorney General has rendered several opinions at critical junctures in the implementation of SBDM. Many of the opinions provided clarity and direction concerning issues of direct and indirect concern to school councils and other school officials. Some of the more significant ones are listed in the following table.

Table 12.

OAG #	TOPIC
90-68	Defines relative
91-192	Compensation for council members
91-215	Council authority on policy for use of school space
92-78	SBDM authority in personnel actions
92-157	Nepotism/council membership eligibility
93-52	Council chairperson other than principal
93-55	Assignment of staff time
94-29	Local board review of council policy
94-51	Board policy may not allow for repeal of SBDM
94-60	Special elections for minority council members
95-10	Interpretation of qualified applicants

Current Status

As of October 30, 1995, approximately 950 schools are participating in SBDM. Of these, 36 are operating with an alternative model with 22 councils operating with someone other than the principal serving as chairperson.

Figure 13.

*Percentages are approximations

Source: KDE

A major problem facing local school districts is the limited pool of applicants for principalships. In order to deal with this, the Kentucky Valley Educational Corporation (KVEC) has designed the aspiring principal program in cooperation with Eastern Kentucky University, Morehead State University, and the University of Kentucky to prepare 22 persons as principals. This program is supported by KVEC's member districts by permitting participants release time to participate in the program activities. The program is also supported by KDE with funds to offset tuition costs. The design of the program is a fast track preparation which would have participants available to assume positions in the fall of 1996. This program is a model, which if successful, could be replicated in other areas of the state.

RECOMMENDATIONS

1. Administrator training, testing, and assessment for principals and superintendents should be retained and 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 for the superintendent testing program to address the issue of those who do not complete the qualification process within the allotted year's time.
3. Promulgate a regulation for the superintendent testing program 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

Historical Perspective

During the last five years, there have been an increasing number of superintendent vacancies throughout the state of Kentucky. This has expanded the interest and involvement from the faculty, parents, and community. During the five-year period, the number of minority applicants increased, although there is no increase in the number of minorities hired. Districts appear to be interviewing more applicants from a wider geographic location, i.e., out-of-state, out-of-district.

While there have not been any new regulations or statutes enacted, the selection process seems to be working well. Allegations of undue influence on the screening committee to select a particular candidate have decreased from previous years. Of those districts where problems have occurred, the Office of Education Accountability (OEA) and the Kentucky Department of Education have jointly addressed those issues. Analyzing figures from the last five years, the number of local boards who chose not to hire the person recommended by the screening committee remains low. OEA will continue to assure that all guidelines according to KRS 160.352 are properly met when a superintendent vacancy occurs.

Current Status

As part of the monitoring and oversight responsibilities assigned to OEA under House Bill 940, staff have surveyed 133 school districts affected by KRS 160.352 since July 1990. Seventeen of those districts have had more than

one vacancy within the last five years. See Appendix E for a sample of the survey sent to each district. Although no new regulations or statutes have been enacted, OEA believes there needs to be further clarification of KRS 160.352 to clearly identify the expectations in the selection process. OEA staff have taken numerous calls seeking direction on the selection process because that statute is unclear.

PROGRAM IMPLEMENTATION

In accordance with KRS 160.352, a screening committee shall be established within 30 days of a determination by a board of education that a superintendent vacancy has or will occur. The committee is composed of two teachers, one board of education member, one principal, and one parent. If a minority member is not elected or appointed to a screening committee in districts with a 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. 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.

RECOMMENDATIONS

1. All superintendent vacancies should be posted at the Kentucky Department of Education.

2. Because of ambiguities in KRS 160.352, the Kentucky Department of Education should prepare a program advisory to clarify the responsibilities and expectations for the screening committee.
3. Consideration should be given to changing the composition of the screening committee to include more community participation.
4. Increased efforts must be made to widen search efforts to ensure greater gender, race, and geographic diversity in the candidate pool. Screening committees and school boards should review affirmative action (EEOC) regulations before beginning their work.

INVESTIGATIONS

INVESTIGATIVE DIVISION

OVERVIEW

Historical Perspective

At the conclusion of the Investigative Division's first year of operation, it was reported that approximately 18 matters that warranted review based upon the provisions of KRS 7.410 (4) were identified. Three of those issues were resolved by actions of the district superintendent or by board action, and approximately 14 or 15 issues remained under review. As of October 1995, a review of the Office of Education Accountability (OEA) files indicated that during five years of operation 173 investigative cases have been opened and approximately 145 cases have reached closure leaving 28 cases under some form of review. In the secondary filing system described in previous reports as initial or limited inquiries (miscellaneous issues, programmatic tracking, etc.), 249 files have been opened with approximately 210 issues resolved and 39 issues remaining active at this time. Overall more than 400 inquiries or reviews of some dimension have been initiated with over 350 being brought to some resolution or closure during that period.

Staffing

Initially, the Investigative Division consisted of one full-time attorney/investigator, one part-time contract investigator, and shared support services with other divisions of OEA. During 1991, one full-time administrative assistant, two additional part-time contract investigators, and another attorney/investigator were added to the staff. During 1992, additional support staff joined the division, and a Certified Public Accountant (CPA) was placed under

contract. In 1993, one part-time investigator was added. Currently the Investigative Division's staff consists of two full-time attorneys, a legislative analyst, an administrative assistant, three part-time investigators, and a contract CPA. OEA's three part-time investigators are all retired federal investigators with combined investigative experience in excess of 75 years. While the staff has remained small, prioritization of work has enabled the agency to operate in an efficient and cost effective manner.

Issues Reviewed

During the first five years numerous and various allegations and complaints have been addressed. These allegations have originated from hotline calls, correspondence, personal visits, newspaper reviews, requests and referrals from other agencies, requests from school boards, superintendents, other district employees, and inquiries from legislators and other sources. In some cases sources of information were anonymous or requested confidentiality. Other sources were fully identified. The decision to review an allegation and the scope of any review undertaken is based upon several factors. These factors include, but are not limited to: the quality of the information; the seriousness of the allegation; the specificity of the information; whether the complainant has firsthand knowledge or simply repeating rumor and hearsay; whether there are similar or other complaints regarding the same issues in the same district; and, provability of the complaints.

Cited below are issues that the Investigative Division has addressed in several districts. No effort has been made to rank their importance, significance,

or frequency. The purpose here is simply to show the type and scope of issues that have been reviewed in the past five years.

- Hiring and staffing practices both at the district office level and as they relate to site-based decision making
- Posting failures and irregularities
- Favoritism or political influence in hiring and staffing
- Classified staffing irregularities, qualifications, and criminal checks
- Nepotism as it relates to board members and superintendents
- Conflicts of interests and incompatible offices
- Failure to use purchase orders; misuse of purchase orders
- Failure to document disbursements
- Questionable expenditures
- Bid irregularities under both KRS 424.260 and Model Procurement
- Travel expense reimbursement irregularities
- Misuse of credit cards
- Special education issues
- Attendance tracking and student population issues
- DPP issues
- Failure to charge reasonable tuition when appropriate
- Hospital and Homebound Program abuses
- Failure to follow District Facilities Plans
- Misuse of school property
- Failure to properly report all income of district employees by W-2 and 1099
- Providing of free housing to district employees
- Open Meeting questions/Open Records questions

- Incomplete and/or inaccurate minutes of the board
- Vague and unclear Orders of the Treasurer
- Improper or incomplete certification of teachers
- Demotions and terminations
- KIRIS testing irregularities
- Abuse of students
- Unexplained loss of inventory

In OEA school district reviews, staff observed that a number of these confirmed irregularities were simply mistakes made by the district board or administration with no intention of violating any statute or regulation. In most of these cases, resolution of the issues is usually achieved through correspondence with the district followed by district action to correct the problems. In a small number of reviews where the issues are numerous and there is evidence that the irregularities have occurred due to serious mismanagement, incompetence, or intentional efforts to circumvent statutes or regulations, OEA findings have been referred to the Chief State School Officer for his consideration and action. These referrals occur in only a small percentage of the reviews since most issues have been resolved by the district's corrective action.

Anonymous Complaints

OEA maintains an 800 hotline. While the Investigative Division would like to know the identity of all complainants, the policy has been to take anonymous information by telephone, letter, and fax and to appropriately review the information to determine if it merits further inquiry. Some individuals who have provided anonymous information have at times written follow-up letters

complaining that no action was taken on their complaint. In some cases action has been taken but they are not aware of it since they did not hear of it in the district and this office, having no idea of the identity or the address of complainant, cannot communicate with them. In other cases, the information provided is incomplete, inaccurate, or based upon a misinterpretation of the controlling statute. In those situations OEA is unable to communicate the review and reasons for taking no action and the complainant assumes that "nobody in Frankfort cares." That, of course, is not the case.

Referrals To Chief State School Officer

During the 1991-1995 period, this office found it necessary to refer several matters to the Chief State School Officer for consideration of removal charges under KRS 156.132. Information regarding six district superintendents was furnished to the Chief State School Officer during this period. In each of these referrals the Chief State School Officer presented removal charges against these individuals to the Kentucky Board of Education. As a result, four superintendents resigned under charges and two were removed by formal board action following a hearing.

During the same period, information regarding 18 board members was referred to the Chief State School Officer for possible removal. As a result of these referrals, four were removed by action of the Kentucky Board of Education, ten resigned under charges, and one was reprimanded. One 1995 referral is currently pending with charges filed before the Kentucky Board of Education by the Chief State School Officer. During the same period, four additional board members resigned when it was pointed out that they were in violation of the

provisions of KRS 160.180, eligibility requirements or KRS 61.080, incompatible offices, and one board member was removed by ouster action taken by the Office of the Attorney General.

Liaison With Other Agencies

OEA's Investigative Division has established continuing liaison with other state agencies. Referrals are frequently received from and made to the Auditor of Public Accounts and the Office of the Attorney General. The Investigative Division maintains close contact and works regularly with Kentucky Department of Education's Office of the Commissioner, Legal Services, Division of District Finance, Division of Management Assistance Programs, and the Education Professional Standards Board. Since the Division of Management Assistance Programs is involved with many of the same issues in the same areas as OEA's Investigative Division, close coordination between these units is necessary to assure the best use of both agencies' resources and avoid duplication of effort. On many occasions joint reviews are conducted with the Division of Management Assistance Programs to determine if allegations are accurate and to determine which agency will conduct further necessary reviews. OEA believes this cooperative effort has provided for efficient and cost effective operations, saving both agencies time and expense, and has resulted in a body of findings and recommendations most beneficial to the district involved. The continuation of this cooperative effort is evidenced by current joint reviews being conducted by the Division of Management Assistance Programs and OEA in a number of school districts.

RECOMMENDATIONS

In previous annual reports, OEA's Investigative Division has made recommendations regarding district travel expense reimbursement, banking matters, conflicts of interest, competitive bidding as it relates to professional services, criminal checks, use of credit cards, etc. During recent reviews it has been noted that most of the districts visited have clear policies and procedures in place regarding reimbursement of expenses and have adhered to these procedures. Many districts have discontinued the use of district credit cards and others have established clear guidelines for their use and have limited these uses. We have also noted that in some districts items and services that are not required by law to be bid have been bid in an effort to save money and reduce expenses.

Although the following recommendations were made in previous OEA reports, they still merit consideration. They are:

1. KRS 160.180 (g) and Banking Matters - Conflicts of Interests - School Board Members.

Recommendation: Amend KRS 160.180 (g) to recognize that the mere deposit of school funds in a bank provides 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.

2. KRS 160.570 - Banking Matters - Appointment of Depository Bank(s).

Recommendation: Consideration should be given to amending KRS 160.570 (1) to require that school districts bid all banking services.

3. KRS 160.380 (2) - 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 and in most cases are only statewide inquiries.

4. Additional Staffing of the Division of Management Assistance Programs, Kentucky Department of Education (KDE).

The Division of Management Assistance Programs of KDE is responsible for screening and handling all complaints from all sources regarding school districts; for conducting comprehensive audits of identified troubled districts; for the development of improvement plans for these districts following the comprehensive audit; for the monitoring of the district's implementation of these improvement plans; and for providing state management services when directed to do so. In addition, this division also reviews district annual performance reports and oversees compliance of posting and class size regulations.

The current staff of this division consists of six permanent professional staff including the director and three support personnel. There are also approximately seven part-time contractors available to the division whose

services are limited to 100 or less days per year. It is noted that if each of the part-time contractors were employed for their maximum 100 days of service, the resultant costs would exceed the division's budget.

Over the past 2 to 3 years, it has become apparent that with more districts having to develop improvement plans based upon comprehensive audits, the ability of the division to appropriately monitor the implementation of these plans and provide management assistance or conduct state management has been impaired by the limited personnel and financial resources available. Additional comprehensive audits will be conducted and more districts will be placed on monitored improvement plans of 1 to 3 years, which will further tax the resources of the division.

Recommendation: Consideration should be given to expanding the financial resources available to the Division of Management Assistance Programs and increasing its staff to a level that will allow it to continue to effectively function as an auditing and enforcement arm of KDE.

study's primary purpose was to furnish initial data on the extent of implementation of KETS in school districts throughout Kentucky.

The researchers' findings resulted in the following conclusions and recommendations about technology in the state's classrooms:

- Schools report much progress in implementing the majority of components but some areas need improvement.
- Overall, there is a wide variety of technology available for learning, management, and communication in Kentucky schools. Three-quarters of the sample (75 percent) reported implementation in the acceptable practice category.
- While hardware diffusion is proceeding, the availability of software is lagging somewhat behind with 53 percent of schools reporting a wide array of applications that can be used by most staff and students.
- The planning process for implementation is working. The technology implementation observed is consistent with the diffusion that has been outlined in technology plans in just over a third of the schools. Thirty-six percent report the technology present fully reflects the school plan. Fifty-nine percent report the available technology is on track but only partially implemented.
- There is good news regarding technology used in the instructional process. About two-thirds of the sample technology is arranged in such a way as to enable students access and to support collaboration.

- Just under half (45 percent) note that several technology applications are regularly used as elements in ongoing instruction. The use of word processing for writing tasks is widespread and the use of databases, spreadsheets, and electronic instructional materials is prevalent.
- Teachers are provided with a variety of professional development options in technology. Technology training may be either focused solely on technology (48 percent) or integrated into other training (49 percent).
- The school technology committee represents the majority of stakeholders in its planning process and has input into other plans and interacts routinely with school-based decision making councils. However, the school technology coordinator, while compensated, rarely receives extra training or is involved in instructional planning.
- The installation and availability of KETS resources that involve networking is lagging behind implementation of other components. This lag was reflected by the report of low use of telecommunications in instruction.
- Schools could be grouped as high and low implementors and these groups had some characteristic patterns of implementation, most notably the relationship of professional development to high implementation.
- Only the high implementors were doing a good job at support activities for KETS. Little community outreach or awareness of KETS is evident in schools.

- Principals were generally computer literate and used technology in their work. They indicated their beliefs that technology impacted their assessment scores in positive ways and promoted positive attitudes among students.
- Teachers reported that technology was influencing their classroom practice by changing their role from lecturer to facilitator, increasing instructional resources, and by providing tools for management tasks such as grading and recordkeeping.
- The variations in implementation of the technology program that result in acceptable practice need to be assessed and assistance provided to schools that have less acceptable patterns of implementation.
- Since both high and low implementors reported levels of implementation consistent with their school plans, the low implementors need to be assessed. What financial, instructional, or other reasons are given for this situation? Answers to this question may have implications for the equity aspects of the technology initiative.
- Schools need to work with KDE and with schools that have networks to develop strategies to implement networking in their particular buildings and geographic locations.
- Schools need to focus the use of technology on specific instructional applications and develop strategies to ensure that implementation in instructional settings continues. Professional development needs to include:

- specific uses of software in instruction
 - integration of technology with other professional development
 - the use of networks to deliver professional development and on-line tutorials, and to promote information sharing among professionals
- School Technology Coordinators should have more involvement with instructional planning.
 - Schools need to develop more effective public information and outreach strategies regarding KETS.

OEA's observations support UK/IER's findings that the low incidence of school local area networks, district wide area networks, and connection to the statewide area network are restricting the use of technology resources in the classroom. Of the 38 districts involved in OEA's review, only 16 have established local area networks in one or more of their schools. Only two districts have established wide area networks and provided school with a connection to the statewide area network.

OEA believes if more of Kentucky's technology funds were targeted to the "50/50 state and local match" student and school technology program, then the "connectivity" problem between classrooms, schools, district offices, and the statewide area network could be addressed. This would accelerate the infusion of technology resources into the classroom; thus, impacting and influencing teacher's instructional practices to a greater degree than is currently possible.

Administrative Systems

In August 1995, OEA released to the OEA Oversight Committee, a draft report on Kentucky's technology program. This document reviewed the status of the conclusions, recommendations, and responses articulated by KDE, the KETS Project Office, and OEA in a December 1993 report entitled, Kentucky Education Technology System Report. The primary purpose of the August report was to discuss where the state's technology program currently is in relationship to the direction charted in 1993 by the KETS Project Office and KDE.

Subsequently, KDE was invited by the OEA Oversight Committee to report on the state's technology program in September 1995 (see Appendix J). During their presentation, KDE officials stated that concerns existed about implementing the financial accounting software in the school districts. Additionally, KDE staff acknowledged they were moving too swiftly with the MUNIS implementation and were stopping for two to three months to work out the problems that had been identified.

Further, KDE stated in the 1996 Update to the Master Plan for Education Technology the following:

A revised implementation schedule for the financial management system is being constructed. Undoubtedly, the implementation will require additional resources for on-site support, assistance, and a longer implementation horizon in each site.

In mid-September 1995, OEA requested detailed information concerning KDE's proposed changes in the MUNIS Implementation Plan. As a result, KDE offered the following information.

Plan Revisions

Based on feedback from local superintendents and other interested parties, DAS evaluations, and brainstorming sessions with the Division of Finance and MUNIS support staff, five areas of implementation plan modifications have been identified: Training, MUNIS Reports, Hardware, Implementation Strategy/Schedule, and Human Resources.

These plans have been reviewed extensively during the Division of Finance Fall Regional Meetings with current MUNIS users. Additionally, the plans were reviewed with Region 7 District Technology Coordinators, and with executives and implementation staff of The Computer Center Software. In all cases, the modified plans have been very well received, particularly those related to Training and Report modifications.

Summary of Recommendations:

I. Training

- A. Initiate two-phased (Introduction and Intermediate), regionalized accounting training, focusing on double entry bookkeeping and fund based.
- B. Compile a MUNIS Procedures Manual, building upon work already in progress by MUNIS support staff and Finance field staff.
- C. Compile and maintain the most frequently asked MUNIS and accounting issues and disseminate to users via the Internet. Make MUNIS user documentation updates available via this mechanism as well.

- D. Redirect the current Intelligent Query (IQ - ad hoc query and report writer software tool included with the MUNIS software) training to focus primarily on the reporting functions with MUNIS and only minimally address basic IQ functionality.
- E. Develop an Advanced IQ class, offered to more experienced MUNIS users.
- F. Develop Intermediate MUNIS training for experienced MUNIS users. This training will be offered to district staff after they have been using MUNIS for two or three months.
- G. Develop MUNIS Overview Training for non-MUNIS users. Target audiences will include Superintendents, Technology Coordinators, Board Members, Auditors, etc. Classes for "Superintendents Only" will be the first scheduled.
- H. Invite someone experienced in school finance but not MUNIS to participate in MUNIS training and identify opportunities for incorporation of accounting topics in the MUNIS training.
- I. Develop and present time-sensitive MUNIS Review sessions (year end processing review, W2 review and preparation, 1099 processing, health insurance updates, etc.).

II. Reports

- A. Develop and disseminate a MUNIS Reports Manual which will include samples of all reports available in MUNIS, instructions to generate the report, and a brief description of information contained in the report.
- B. Organize and convene a MUNIS Report User Group (KDE Finance, KDE MUNIS support, and local district staff) to define reports necessary for district financial monitoring and prioritize report development.
- C. Form a Report Development Team to develop, document, and distribute any reports identified by the MUNIS Report User Group. This team will also develop a document to cross-reference existing MUNIS reports to current commonly used reports.

III. Implementation Strategy/Schedule

- A. Finance staff and MUNIS support staff should have pre-planning meetings or discussions prior to the start of each district implementation. This will allow MUNIS support staff to benefit from Finance staff knowledge of district staff strengths and weaknesses.
- B. Develop a detailed, model implementation plan to provide MUNIS support staff, Finance field staff, and district staff more consistent and efficient planning. This will also more realistically set district expectations of tasks to be completed and clearly identify the person responsible for the completion of each task.
- C. Training on specific tasks will take place when it is appropriate to the district business cycle. For example, train on month end close at the end of the first month, not the end of the first week.
- D. Form a post implementation follow up team to provide on-going assistance and remedial training to districts in especially difficult topics.
- E. A person skilled in Kentucky local district finance activities will be added to the MUNIS Implementation team to ensure that software, policies, and procedures reflect an understanding of district finance and serve as the primary liaison with the Kentucky MUNIS Users Group.
- F. A team comprised of the Local District Finance Specialist and the Application Support team will review the MUNIS software periodically to identify opportunities for Kentucky-specific modifications and enhancements.
- G. Implementation Schedule:

MUNIS will be installed in eight new districts each month. Thirty days prior to MUNIS installation, start up tasks will be initiated in each district. Finance field staff will work closely with each district to create the Chart of Accounts, crosswalk the old and new charts of accounts, assign org codes to employees, and enter the budget in new account code format. MUNIS support staff will perform system set up tasks, train district staff in budget entry, monitor data conversion activities, and identify any payroll direct deposit arrangements currently used by the district.

Implementation Team Organization Chart, this person will report to KDE's Director, Division of Finance. This person will be added to the team as soon as an acceptable applicant is identified and the proper paperwork can be processed.

Updated Summary Report

On August 22, 1995, OEA delivered a report to the OEA Oversight Committee which was a partial draft of the technology chapter for the current annual report. KDE was asked by the OEA Oversight Committee to provide a response to the issues raised on August 22, 1995. KDE responded on September 12, 1995, with written responses found in Appendix J as well as a presentation to the committee by KDE staff, school district superintendents, and members of the Kentucky Association of Technology Coordinators.

Because many of the issues raised by OEA in the July 1993 technology report remain unresolved, the conclusions of that report are the basis of the current report. Following the Conclusions of OEA in the July 1993 technology report, are the KETS Project Office's resolutions provided to OEA in December 1993. The Status (August 1995) was a review of how effective the KETS Project Office's resolutions have been. The Status (November 1995) offers the most current status as well as discussion of KDE's September 12, 1995, responses.

OEA Conclusion (July 1993) A:

During this review, no evidence was found of fraud, collusion, or improper influence in the selection of DEC (Digital Equipment Corporation) as the Phase II Information Systems Service Provider (ISSP) and the subsequent award of contract.

OEA Recommendation (July 1993):

None required.

KETS Project Office Response (December 1993):

None required.

Status (August 1995) A.

No further review conducted.

Status (November 1995) A.

No change.

OEA Conclusion (July 1993) B:

Whether DEC was to serve as a consultant or systems integrator for Phase II of KETS was difficult to determine. This was complicated by:

- (a) a lack of clarity when Advice in Change Order 1897 was issued on April 2, 1992*
- (b) passage of House bill 468 which placed a \$1 million cap on technical consultants*
- (c) DEC being a potential provider of hardware and software in addition to technical consulting services*
- (d) differences between resource allocations called for in the approved Master Plan and the Implementation Plan*

OEA Recommendation (July 1993):

DEC's role in the KETS project needs to be clarified by contract.

KETS Project Office Response (December 1993):

DEC's role was clarified by contract on October 8, 1993, by Advice of Change in Order 620. The contract calls for DEC to provide time and material services as specified by individual task orders. Therefore, there is no specific value associated with the contract, nor is there any commitment to DEC regarding future services.

Status (August 1995) B.

1. DEC has been phased out of the project and currently provides no consulting services to the KETS project.
2. Task Orders once were assigned to all contributors of the project including DEC, KDE, and Department of Information Systems (DIS).
3. The Task Order process, which clearly identified all individual project tasks with deliverables, has been eliminated.

Status (November 1995) B.

KDE disagreed that "... a process by which individual project tasks and deliverables are identified has been eliminated. ... Dr. Tarvin instituted a similarly accountable task assignment and reporting process based on the yearly Implementation Plan Budget which does clearly identify all individual project tasks as either a 'service' or a 'deliverable'."

The Task Order Process that OEA referred to was a detailed process by which:

1. Each task within a project was identified. Often multiple task orders were generated for a single budget line item.
2. All required resources were identified to complete the task.
3. The timeline for the task was clearly identified.

Upon implementation of the July 1994 Memorandum of Understanding, KDE requested this process be eliminated based on the fact that the KETS Project Office now only has responsibility for fiscal issues and is no longer involved in the daily operations. The process now in place only identifies budget line items in order to provide a cost center for expenses. No timelines nor completion dates are identified. The KETS Project Office receives monthly status reports which indicates only the amount of funds expended during the previous month for a particular budget item. There is no information to indicate that a task is 50 percent complete if 50 percent of the budget has been spent.

OEA Conclusion (July 1993) C:

Prior to House Bill 1, KDE was responsible for managing KETS. The approved Implementation Plan specifically states that the KDE Project Director is the single person that is completely responsible for the successful implementation of KETS. The KDE Project Director was Joseph Kirkman, former KDE Associate Commissioner of Technology, who reported directly to Commissioner Thomas Boysen. Concern over KDE's

management of the KETS project resulted in the legislature passing House Bill 1 which moved management responsibility and authority for KETS from KDE to FAC. The current KETS Project Director, George DeBin, reports both to Pat Mulloy, Secretary of FAC; and Gene Williams, Vice President for Information Systems at the University of Kentucky. All three have been receptive to recommendations as to how the implementation of KETS can be improved.

OEA Recommendation (July 1993):

Clearly define who is ultimately responsible for the success or failure of KETS and what is the chain of command.

KETS Project Office Response (December 1993):

On August 25, 1993, a Memorandum of Understanding was entered into between Patrick Mulloy, Secretary of FAC; and Thomas C. Boysen, Commissioner of KDE.

The FAC will be responsible for the following key points:

- *insuring that all financial, personnel, and other resources are applied to each KETS project and subproject so as to effect satisfactory and timely completion*
- *responding to changes in KETS as required by amendments to the KETS Vision, the Master Plan, and the Implementation Plan, made by KDE and the State Board for Elementary and Secondary Education (SBESE)*

- *providing timely and sufficient feedback regarding any issue(s) with the project or subproject which may adversely impact the success of KETS*
- *responding to requests from KDE to assist in addressing any issues related to contractor or subcontractor services*
- *managing and directing the work of the prime contractor*

The KDE Chief State School Officer will be responsible for these key points:

- *promulgating any changes/updates to the KETS Vision, the KETS Master Plan, and the Implementation Plans; and preparing and submitting to the Governor's Office for Policy and Management (GOPM) biennial budget requests for KETS*
- *assigning orders of priority to projects and subprojects*
- *taking appropriate action to ensure the completion of projects and subprojects for which KDE is responsible within the timeframe specified in the project/subproject*

Status (August 1995) C.

With the second Memorandum of Understanding between KDE and FAC signed in July 1994, the responsibility for daily operations and project management has been moved to KDE.

Status (November 1995) C.

No change.

OEA Conclusion (July 1993) D:

There is critical need to determine the application software and curriculum delivery methods that will directly affect learner outcomes before purchasing more hardware.

OEA Recommendation (July 1993):

The establishment of a State Software Commission similar to the State Textbook Commission as outlined in KRS 156.405 would provide districts with information on current and high quality software programs.

KETS Project Office Response (December 1993):

KDE and the KETS Project Office are in total agreement that emphasis needs to be placed on acquisition and development of instructional software designed to enhance learner outcomes. Within the current adopted Implementation Plan, Project 16 (Instructional Technologies) has been identified by KDE as having the highest priority. This project budget is \$867,000 to accomplish the following:

- *evaluate existing software in the context of learner outcomes*
- *complete matrix relating existing products to learner outcomes*

- *identify/seek solutions to fill gaps in existing products and services*
- *establish procedures for correlating student performance with electronic instructional materials*
- *validate effectiveness of electronic instructional materials*
- *develop and maintain a software clearinghouse*

Of the \$867,000 budgeted to accomplish the above, \$242,000 has been earmarked to validate the effectiveness of electronic instructional software as it relates to learner outcomes. In addition, \$20 million in offers of assistance has been budgeted for the current fiscal year to be matched on a one-to-one basis for a total of \$40 million available to the local districts for KETS approved technology. A portion of this money can be used according to local discretion and approved five-year plans to upgrade and acquire new instructional software. This office will closely monitor Project 16 to ensure that the milestones and goals established therein are being accomplished via the task orders initiated by KDE.

A survey was conducted in October 1992 of the leading vendors in the software development, software publishing, and hardware market place. The objective was to gain insight as to the developments and marketing strategies with the educational marketplace in mind. The participants were: Broderbund Software, Claris, Education

Development Corporation, McGraw Hill Publishing, IBM Corporation "Eduquest Division", National Geographic Society - Department of Educational Media, Scholastic Software, Spinnaker Software, The Learning Center, Tom Snyder Productions, Wings for Learning/Sunburst Communications, Apple Computer, Digital Equipment Corporation, DLM Teaching Resources, MECC, Microsoft Corporation, and Milliken Publishing Company.

The results confirmed that the integration of Macintoshes and PCs in the workgroup are evident in an educational subsystem being designed today.

The identification of the standard hardware platform for KETS was the first priority because the software required a hardware product to be operational. As of this date, it is estimated that in excess of \$8 million has been spent on software for use within the classrooms.

Status (August 1995) D.

As noted in previous OEA reports, KDE has licensed the "Only the Best" software review catalog. School districts may buy anything included in this list with education technology funds. Software not included in the list may be purchased with education technology funds if they receive a waiver from KDE. Software included in the "Only the Best" catalog is not based on an evaluation to see that it meets the instructional goals of KERA or the Architectural Standards of KETS.

Status (November 1995) D.

While KDE disagreed with the OEA report, the fact remains that software listed in the "Only the Best" catalog is not based on an evaluation of the software to determine compliance with KERA instructional goals or KETS Architectural Standards. Software not listed must be purchased through a waiver process.

OEA Conclusion (July 1993) E:

There should only be one hardware and software platform (with proper scalability) for the entire KETS Administrative System. While this approach may delay one or more components by a few months, overall system integrity will be preserved, overall system costs can be dramatically reduced, and the overall implementation of a working, highly integrated system will take significantly less time.

OEA Recommendation (July 1993):

The District Administrative System (DAS), School/Student Management System (SSMS), and Statewide Reporting and Information Management System (SRIMS) should be developed in the same timeframe and released as a single Request for Proposal (RFP).

KETS Project Office Response (December 1993):

The DAS RFP was released prior to the development of the SSMS and SRIMS because they are separate components linked by a hardware and software platform. A single RFP would have been massive; and perhaps only a very limited number of responses would

have been received. Also, the Commonwealth may not have benefited from a more competitive situation.

The SSMS and Supplemental System RFPs are being fully developed. When the DAS is awarded, this office will specify the DAS platforms as mandatory in both of these RFPs. Therefore, there will be only one hardware and software platform for the KETS Administrative System.

Status (August 1995) E.

The KETS Project Office response indicated "there will be only one hardware and software platform for the KETS Administrative System." Currently:

- 1. Most district and school office communication services (word processing, spreadsheets, personal databases, graphics, electronic mail, etc.) use:**
 - A. Novell Netware Operating System**
 - B. Intel-based Servers**
- 2. The district financial software, MUNIS, requires:**
 - A. IBM's AIX operating system**
 - B. IBM's RS6000 servers**
 - C. Informix Relational Database**

3. **The district attendance accumulator software uses:**
 - A. **Novell Netware Operating System**
 - B. **Intel-based Servers**
 - C. **Access Database**

4. **Two of the school attendance packages require:**
 - A. **Server:**
 - a. **SCO UNIX operating system**
 - b. **Intel-based Servers**
 - c. **Informix Relational Database**
 - B. **Client**
 - a. **Novell Netware operating system**
 - b. **Intel-based Servers**

5. **One of the school attendance packages requires:**
 - A. **Server and Client:**
 - a. **Novell Netware operating system**
 - b. **Intel-based Servers**

6. **KDE has stated that the attendance and financial software accumulated at the state level will be maintained on "legacy" systems. These systems currently consist of mainframe and PC solutions.**

7. **KDE has stated that the Statewide Reporting System will require:**
 - A. **Novell Netware Operating System**
 - B. **Intel-based Servers**
 - C. **Oracle Relational Database**

8. KDE has stated an objective of migrating to Microsoft Exchange Server for future electronic mail. This software requires:
 - A. Windows NT operating system.
 - B. Intel, Alpha or other NT supported servers

Currently, the systems include a minimum of four different Operating Systems; two different hardware platforms; three different Relational Database Systems; as well as any additional operating systems, hardware platforms, and Relational Database Systems identified by the "legacy systems." Most corporations, government agencies, and other large computer users are trying to reduce the variants and simplify their systems.

Status (November 1995):

OEA incorrectly identified the operating systems required for the attendance packages. OEA indicated that two of the school attendance packages run on SCO UNIX using Intel Servers while the third ran on Netware using an Intel Server. In fact, one of the packages runs on SCO UNIX with an Intel Server, one runs on AIX with an RS6000 server, while the third runs on Netware with an Intel Server.

KDE disagreed with OEA on the implementation of the above varieties of systems noting, "The Technology Advisory Council . . . have heartily endorsed this design . . . " OEA also has

consistently endorsed the design, but expressed concerns about implementation of the system.

KDE points out that "Access is one of the choices . . . for an end-user database . . . These databases are not designed to run major statewide applications." The database choice for district attendance accumulation is Access.

OEA Conclusion (July 1993) F:

A conference should be convened to thoroughly review the existing KETS Vision, the Master Plan, the Implementation Plan, and prepare any revisions.

OEA Recommendation (July 1993):

The current KETS Project Director should establish a "window" (e.g., 45-60 days) to convene a conference that would include: the KETS Steering Committee, legal counsel to be charged with responsibility for drafting contract documents, and others deemed necessary by the Project Director for technical advice.

KETS Project Office Response (December 1993):

The KETS project direction has been and remains under constant review. The project, as specified in the original Master Plan for Education Technology, calls for regular updates to the Master Plan and the Implementation Plan.

Weekly meetings are conducted on Wednesday and attended by a designated representative of KDE, FAC, OEA, DIS, the KETS Project Office, and the Project Director. Current issues are addressed and action items assigned along with an ongoing review of the direction the project is taking.

Additionally, the KETS Steering Committee, established by the Secretary of Finance, meets regularly and receives specific updates regarding each project, contractor status, task orders, etc. This Committee also reviews the updates to the Master Plan and the Implementation Plan. These plans are then submitted to SBESE for approval. The KETS Steering Committee members are Gene Williams, Vice President of UK Information Systems, Committee Chairperson; Steve Dooley, Commissioner, DIS; Penney Sanders, OEA; Sherry Jelsma, Secretary, Education, Arts, and Humanities Cabinet; Thomas Boysen, Commissioner, KDE; Gary Cox, Executive Director, Kentucky Council on Higher Education; and Jeff Mando, SBESE.

Status (August 1995) F.

Since the latest Memorandum of Understanding was put in effect placing more responsibility of the day-to-day operations on KDE and the elimination of task orders, there has been a reluctance for many to attend the weekly leadership meetings. Dr. Tarvin was asked not to have the meetings weekly. Meetings have not been held weekly thereafter due to the "obligations" of various

attendees. Leadership meetings no longer have a dominating impact on the project.

Discrepancies between the KETS Vision, the Master Plan, the Implementation Plan, and the Implementation Schedule include:

1. Teacher and student workstation unmet need cannot be resolved with the current funding level:

June 30, 1995, is half way through the original timeframe of the KETS project. Approximately \$137 million has been spent through June 30, 1995. To remain on target to complete the \$560 million project in six years, \$280 million should have been spent.

Currently, 37,500 student workstations are in place; 12,500 of which were in place before education technology funds became available. At the current funding level, 62,500 student workstations will be in place at the end of the six-year project. This will leave approximately 42,500 workstations to purchase. The KETS plan, which is consistent with Federal Depreciation guidelines, suggests that replacement should begin in the seventh year. Thus, the unmet need will actually rise in 1999 and will remain constant thereafter. While the same problem exists for both student and teacher workstations, the following chart reflects this predicament for student workstations:

	<u>PCs</u>		<u>Total</u>		<u>Unmet</u>	
Year	Added	Current	Replaced	Need	Ratio	
1992	12,500	12,500	0	92,500	1:50	
1993	8,333	20,833	0	84,167	1:30	
1994	8,333	29,166	0	75,834	1:22	
1995	8,333	37,499	0	67,501	1:17	
1996	8,333	45,832	0	59,168	1:14	
1997	8,333	54,165	0	50,835	1:12	
1998	8,333	62,498	0	42,502	1:10	
1999	8,333	58,331	12,500	46,669	1:11	
2000	8,333	58,331	8,333	46,669	1:11	

2. Food Services, Transportation, School Management (class scheduling, etc.), School Activity Fund Accounting, and other components required for efficient management are no longer a part of the current implementation.
3. Aggressive implementation of PBX's and classroom telephones for family/school communications is no longer a part of the current implementation.
4. As of August 1, 1995, neither the pilot district nor any other district has installed the district attendance accumulator and implemented district wide automated attendance.

5. To install an automated attendance package at each school on existing hardware it could cost more than \$3 million assuming the Informix-based software is not purchased at any school. If Informix-based software and the SCO UNIX servers are purchased, the software and servers alone could cost more than \$15 million. The vision requires attendance software to be available at the classroom level.
6. Implementation of the financial administrative system is more than two years behind the original schedule. Currently, the schedule suggests implementation of the bare-bones system by late 1996.
7. While funding made available to the KETS project is approximately one-half of the proposed budget to meet the aggressive schedule, it has not been determined at this time if more funding would really bring the project back on schedule:
 - a. There is currently a signed contract (The Computer Center Software, Sept. 19, 1994, Requisition RQ019195) to provide a financial package to all districts. A memo was sent from KDE to the KETS Project Office dated September 14, 1995, requesting payment be made to The Computer Center Software for completion of Milestone 2. Milestone 2 was to have been completed in January 1995. Additionally, the KETS Project Office was instructed to withhold \$100,000 (or 18 percent of the scheduled \$550,000 payment) until certain tasks of Milestone 2 are completed. This indicates that the project is more

than six months behind in the first ten months of the contract.

- b. A contract was signed with NCS in March 1995 to provide a district attendance accumulator. Contracts were also signed with three providers for school attendance packages in the same timeframe. As of August 1, 1995, no district was prepared to use the district wide automated attendance system for the 1995-96 school year.
- c. In February 1995, the distribution of education technology funds from 1992 through February 1995 indicated that \$34,233,584 (or 32 percent of the \$107.4 million distributed for the three years of the project) was in local district banks.

It appears that financial and attendance administrative systems will be on-line from 176 districts at the end of the 1996-97 fiscal year. The KETS Steering Committee and KETS leadership have taken no definitive action to identify the problems or to resolve the discrepancies between the initial vision and current implementation.

Status (November 1995) F:

- 1. KDE noted that when KETS is fully implemented, the annual recurring cost is estimated to be \$63 million. If 100 percent of the current funding of \$40 million (state and local match) continues, funding will be insufficient in the amount of \$23 million.

2. As of November 15, 1995, the attendance accumulator has been installed in Cloverport Independent and Shelby County school districts.
3. KDE correctly notes that the Master Plan security requirements include physically separate servers for administrative and instructional purposes. In schools that choose to purchase attendance software requiring AIX or SCO UNIX, a minimum of three servers must be purchased: one for administration of attendance, one for office services for administrators, and one for instruction. KDE correctly notes that only two servers are included in the budget.
4. KDE stated that the Technical Review Team recommended the MUNIS product. It should be noted that the Technical Review Team suggested that many changes be made to the product before its purchase.

KDE first announced at the OEA Oversight Committee meeting on August 22, 1995, and confirmed in writing on August 23, 1995, that the MUNIS implementation of new installations would be temporarily put on hold until KDE staff completed a review of the implementation process. KDE presented four areas of review in the September 12, 1995, presentation:

1. Training
2. Reporting
3. Human Resource Needs
4. Implementation Schedule

On October 18, 1995, Randy Kimbrough, Deputy Commissioner of Management Support Services, sent a memorandum to Dr. Tarvin outlining the strategies to improve the implementation of the MUNIS software. An additional item "Hardware" had been added to the items reviewed.

It is not unusual to revisit training, implementation scheduling, and human resource requirements during project implementation. However, it should not be necessary to review reporting requirements and hardware capacity in the first year considering:

1. Extensive Acceptance testing was performed during Milestone 1 of the MUNIS contract. The Computer Center Software was required to "develop an acceptance test plan that adequately tests application stability, functionality, performance, and administration."
2. Performance testing was performed during Milestone 1 of the MUNIS contract. The Computer Center Software was required to "establish hardware and software configurations to accommodate scaled application installation" and to "provide documentation that details expected application times."

3. The Computer Center Software was also responsible to ensure "application code and supporting documentation meet Kentucky implementation requirements" as a part of Milestone 1.

The Computer Center Software has been paid for Milestone 1 indicating completion of the above items.

- 7.c. KDE notes that as of August 29, 1995, 18 percent of all technology funds made available to local districts during the previous three fiscal years, or more than 75 percent of the last year, remained in local bank accounts.

OEA Conclusion (July 1993) G:

A decision should be made to determine if KETS will proceed as a Commonwealth managed implementation project with a consultant providing technical and management assistance.

OEA Recommendation (July 1993):

If the decision is to proceed in this fashion, then the Commonwealth should separate the function of consultant from vendor. This would dispel perceptions of unfair advantage. Also, it would reduce the Commonwealth's cost by using other resources to complete KETS related tasks (e.g., DAS proposal evaluation) because of its current inability to utilize DEC due to potential conflict of interest.

KETS Project Office Response (December 1993):

For KETS to be successfully implemented and recognized as an integral part of KERA reform, it is essential that the Commonwealth, and not a contractor, manage the project. This is essential, relative to cost, but more importantly, from an ownership and accountability standpoint.

Contract negotiations with DEC were initiated in June 1993 whereby DEC would be a time and material provider of services and the Commonwealth would manage the implementation of the project. The contract was subsequently executed on October 8, 1993.

Status (August 1995) G.

Although DEC is no longer involved in the project, contractors still play a very important role. A contractor to KDE is one of the key players in the implementation of DAS. The majority of the technicians, and software and hardware engineers implementing and supporting KETS are contract employees through Seltmann, Cobb, and Bryant (SCB) or other agencies.

Status (November 1995) G.

OEA noted in August that one of the key players in the implementation of the DAS was a contractor. The contractor has returned to the private sector and is no longer working for the Commonwealth.

OEA Conclusion (July 1993) H:

KETS will ultimately require a full-time technical staff.

OEA Recommendation (July 1993):

KDE should begin recruiting qualified candidates and utilizing their services during the implementation of KETS. Attention must be focused on how KDE is going to manage KETS once the project is fully implemented. The issues of how to utilize part-time professionals to implement KETS and how to utilize full-time staff to direct and maintain KETS must be addressed.

KETS Project Office Response (December 1993):

During May 1993, the Digital Regional Technical Experts (DTEs) were identified as candidates to be replaced by either KDE employees or lower cost technical consultants. Their replacement was recommended both from a cost standpoint and also because of the consulting limitations imposed on them due to their being employed by a vendor of KETS equipment. The DEC personnel were subsequently replaced in October 1993 resulting in an estimated project savings of \$1.744 million annually.

The revised Implementation Plan, dated September 8, 1993, requires a KETS staff of 43 individuals. KDE will initially fill nine full-time positions. The remaining requirements will be filled utilizing second and third tier consultants contracted through the (DIS) on an as-needed basis. The nine full-time KDE employees are for positions that will be required beyond the initial phases of KETS.

Status (August 1995) H.

Many of the contractors indicated in G. above cost \$37.00 or more per hour. To determine the costs of hiring Commonwealth of Kentucky employees rather than using contractors, the pay grades in effect for the Commonwealth are:

<u>Code</u>	<u>Pay Grade</u>	<u>Class Title</u>
7333	16	Systems Programmer Senior
7337	16	Systems Engineer Senior
7341	16	Information Systems Manager
7390	16	Network Engineer Senior

These are the highest pay grades of any of these types of positions.

Using the entry level and midpoint wages for a pay grade 16, the total costs including fringe benefits can be determined:

Entry Level: \$20.29/hr.

Mid Level: \$29.19/hr.

Clearly, most contractors being used would not be at these top levels; but these levels indicate that a savings of \$10-\$20 per hour, per employee (more than \$1 million per year) could be realized.

It should be noted that DIS's interagency costs are approximately the same as the outside contractors. This is quite typical due to

the loading factor for DIS. Office space, equipment, etc. are provided to SCB contractors and other contractors by KDE.

Status (November 1995) H:

No change.

OEA Conclusion (July 1993) I:

Originally, KDE's intent was to employ an ISSP to provide a turnkey solution for KETS. Because of budget constraints, DEC was employed to provide consulting services. Since the level of responsibility has lessened, the use of lower cost consultants should be considered.

OEA Recommendation (July 1993):

The KETS Project Director should immediately begin assessing which tasks can be accomplished by using appropriately qualified, lower cost, technical consultants to implement KETS projects.

KETS Project Office Response (December 1993):

In addition to the significant reduction in labor rates negotiated as part of the Time and Materials Contract with DEC, we have contracted with lower cost technical consultants for a number of tasks associated with the implementation of KETS.

Status (August 1995) I.

See item H. above.

Status (November 1995) I.

See item H. above

Summary

As of August 25, 1995, the administrative offices of every school district were connected to the Kentucky statewide area network. In some districts, schools (161) are actually connected to this network. Also, KDE estimates that the current student to student workstation ratio is 13:1 and the teacher-to-teacher workstation ratio is 4:1 (1995).

The research conducted by the University of Kentucky/Institute on Education Reform suggests instructional technology is being used to improve teaching and learning. Also, KDE has made progress in identifying instructional software products, securing these products, and correlating these products to the curriculum frameworks and academic expectations. Further, school districts continue to find the Regional Service Center (RSC) technology coordinators and engineers helpful in moving this component of the Kentucky technology program forward.

In the area of administrative systems, KDE has deployed office and communications software, the local area networks in school district offices, and the statewide area network in all 176 school districts. Additionally, KDE is moving forward with the MUNIS Implementation Plan revisions and its accompanying \$4.3 million of increased costs (see Table 14). The new installation timetable projects all districts having KDE's mandated financial accounting and

district attendance accumulator software operational by June 30, 1997, a change from the previous date of June 30, 1996.

RECOMMENDATIONS

In the spirit of continuing progress for Kentucky's technology program, the Office of Education Accountability offers the following recommendations:

1. The instructional technology component must be the top priority of Kentucky's technology program even if full funding of the total program is not possible.
2. The Kentucky Department of Education should encourage school districts to move rapidly to attain the 1996 Update to the Master Plan for Education Technology's goal of one teacher workstation per teacher. Computer access and training of teachers appear to increase the demand for technology resources in the classroom.
3. The Finance and Administration Cabinet should continue to oversee Kentucky's technology program through the Kentucky Education Technology System Project Office. This oversight could be enhanced by revitalizing the Kentucky Education Technology System Steering Committee and expanding it to include several legislators.
4. The University of Kentucky/Institute on Education Reform's report substantiates that school districts are lagging behind in connecting classrooms to classrooms, schools to schools, and the central office. Also,

the report suggests this connectivity restriction is resulting in the low use of technology services (e.g., on-line catalogues, search services, and electronic mail) in the classroom. To accelerate the "connectivity" of classrooms and schools, the next biennial appropriation for Kentucky's technology program should be targeted directly to schools and teacher and student workstations.

5. A careful review should be performed by the Finance and Administration Cabinet of the MUNIS implementation to determine whether the additional \$4.3 million funding is required because of the Commonwealth inadequately identifying the requirements of the financial package or because of The Computer Center Software failing to adequately perform tasks in Milestone 1 and 2 for which they have been paid.
6. The Task Order process needs to again identify all resources required to complete a task and also provide an associated timeline. This will allow the Kentucky Education Technology System Project Office to better determine fiscally if any particular portion of the project is off track.
7. The scope of the project, particularly recurring costs, should be carefully reviewed by the Kentucky Department of Education, the Legislature, and the Executive Branch to insure that adequate funding will be available in the foreseeable future.
8. The Kentucky Department of Education should ensure every effort is made to alleviate any "red tape" so that local districts may be able to spend their money on technology in a reasonable timeframe.

9. The Kentucky Department of Education should continue to discern mission critical human resource requirements for both long and short term. Long term positions should be hired as employees to protect continuity of the project.
10. Studies must be conducted to determine how technology is being used to improve instruction in the classroom.
11. The Kentucky Department of Education must focus on identifying, articulating, and providing acceptable practices for implementing technology to schools that are encountering difficulty.

focused on the well documented problems these disparities create for urban school districts (Kozol, 1991). The appropriate financing of all schools (rural or urban), however, is critical to the education provided to this nation's children. It directly affects the social quality of life, individual opportunities, national economic competitiveness, and other dimensions of life.

Historical Perspective

The Kentucky Education Reform Act (KERA) of 1990 redesigned the Commonwealth's public school system. The finance reforms abolished all existing school funding mechanisms and created a tiered school finance program 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/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 program 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 include 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 program is the state'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). In short, Kentucky has and continues to underwrite school reform with considerable new state and local resources.

Current Status

This report is the fifth year review of the SEEK program. Unfortunately, it is a partial report, because financial data for local school districts is not available from the Kentucky Department of Education (KDE) at the time of publication (November 22, 1995). Therefore, the analysis presented in this report concerning school district revenues and expenditures is not as detailed as in previous reports. The Office of Education Accountability (OEA) will prepare an addendum to this report when the necessary data becomes available.

The report continues to follow the framework for the study of equity established in the 1991 OEA Annual Report. The distribution of state and local funds is examined. Only a limited review of how those funds were expended, however, is currently possible. The report reviews certain components of the SEEK program. Finally, it is a report that does demonstrate the advancements that have been made during the past five years. The severe pre-1990 disparities described in Table 15 continue to close. Thus, moving the Commonwealth closer -- - to fulfilling the Kentucky Supreme Court's ruling in Rose v. Council for Better Education, Inc. (1989).

TABLE 15
1989-90 PRE-REFORM 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

Base +	Pupils At-Risk +	Transportation +	Exceptional Children +	Home and Hospital =	Adjusted Base Guarantee -	Local Effort =	State SEEK Aid
\$2,517	\$189	\$330	\$256	\$15	\$3,307	\$574	\$2,733

The base amount (\$2,495) was set by the Kentucky General Assembly for 1994-95. On July 1, 1995, pursuant to Part XI, the General Fund Surplus Expenditure Plan, an additional \$13M was made available for the SEEK base. Thus, raising the 1994-95 base amount to \$2,517. In the above example, the base amount is the only factor 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 example, 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 \$378 (\$2,517 times .15) for a total of \$378,000 (\$378 times 1,000 approved students). This \$378,000 is then spread across the entire student population to display an amount per pupil. In this example, the at-risk factor is \$189 (\$378,000 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 the SEEK program. It is optional and allows local school districts to generate additional revenue of up to 15 percent of the adjusted base guarantee. School districts whose per pupil property wealth is less than 150 percent of the statewide average per pupil property wealth (\$295,000 in 1994-95) receive state equalization funds if they choose to levy this additional tax. Districts may participate at any level up to 15 percent, 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 1994 Kentucky General Assembly appropriated \$88.4 million for 1994-95 in equalization funds for Tier I. These funds were distributed to the local school districts that levied taxes under Tier I and were eligible to receive state equalization funds.

3. Tier II. Tier II, the third component of the SEEK program, is also optional. Tier II allows school districts to generate additional revenue up to 30 percent 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 revenue a local school district can raise, thereby, maintaining some control over the disparity in per pupil revenues that might be available in local school districts. In districts with similar needs and student population, the disparity in revenues will not exceed 49.5 percent (1.15 times 1.30). House Bill 940 mandated that no school district would be required to levy an equivalent tax rate lower than the rate levied during 1989-90. This "grandfathering" does make it possible for a school district to have a tax rate higher than that permissible under Tier II.

The amount of additional funding that can be achieved through Tier II, like Tier I, is dependent on the adjusted base guarantee. This provides an incentive for every school district in the state -- not just the less wealthy -- to be vitally concerned about the SEEK base amount established each biennium by the Kentucky General Assembly. Table 16 illustrates how the SEEK program works in two Kentucky school districts -- one of low per pupil property wealth and one of high per pupil property wealth.

Analysis

KRS 7.410 provides that OEA shall analyze the level of equity achieved by the SEEK program. While national attention has been given to the study of equity, yet, there is no consensus on a definition of the term. A consensus definition of equity is not essential to continue exploring the principles of equity. What is important, however, is a solid framework for analysis over time. This section of the report continues to utilize the framework begun in 1991. It also continues the process of providing the Kentucky General Assembly with information necessary to make decisions about equity in Kentucky and how to insure its delivery. The previously cited limitations on available data make it essential for the reader to understand that this report does not represents a comprehensive equity study.

Robert Berne and Leanna Stiefel's (1984) work will be referenced frequently in this report. 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 Kentucky General Assembly, there can be no doubt that Kentucky's SEEK program 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 determine than identifying 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 (e.g., earning potential, satisfaction with one's status in life).

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 some expenditures.

The determination that the distribution of revenues and/or expenditures (dollars) will provide the framework of study for the equity of the Kentucky's SEEK program 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. These revenues, however, will not be reviewed at this time. The primary reason for not reviewing federal revenues (when data is available) is that local and state revenues are within the abilities of the Kentucky General Assembly to control. For instance, state revenues are determined by direct appropriation and local revenues by state law restrictions. Conversely, the state 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.

TABLE 16
EXAMPLE OF SEEK CALCULATION FOR TWO SCHOOL DISTRICTS

District Characteristics	District A	District B
Per Pupil Assessment	\$87,618	\$353,674
Equivalent Tax Rate	54.3	54.3
SEEK		
Base	\$2,517	\$2,517
At-Risk	\$291	\$61
Home & Hospital	\$11	\$2
Exceptional Child	\$466	\$251
Transportation	\$293	\$252
Subtotal	\$3,578	\$3,083
Required Local Effort - \$.30	\$263	\$1,061
State Adjusted Base Per Pupil	\$3,315	\$2,022
Tier I State	\$325	0
Hold Harmless	0	\$0
Tier I Local	\$159	\$463
Tier II Local	\$10	\$252
Total State Aid Per Pupil	\$3,640	\$2,022
Total State and Local Aid Per Pupil	\$3,809	\$3,798

Another question is what equity principles can be used to determine the fairness of the distribution. Berne and Stiefel (1984) suggest applying three equity principles:

1. equal treatment of equals
2. unequal treatment of unequals
3. equal opportunity

Berne and Stiefel (1984, 1994) refer to these as horizontal, vertical, and equal opportunity equity. Kentucky's SEEK program is designed to deal with each of these principles. Therefore, 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 program that minimizes the disparity of objects among districts, be it revenue, expenditures, or resources. Horizontal equity would provide like amounts of funds for each and every student in the state 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 appropriate unequal treatment. An unequal distribution of objects or dollars is required under this principle. For instance, additional dollars may be mandated for special services or 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). 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 core 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 program seeks 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 noted earlier, this study provides limited analysis. 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, however, does include 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).

Measures of vertical equity include the correlation coefficient, simple slope, simple elasticity, and simple adjusted relationship. As data becomes available in the future, these measures may be employed. Measures of vertical equity will be particularly important to Kentucky if additional weights are added to the SEEK program and/or existing weights are changed.

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 that 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).

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.

TABLE 17
PUPIL WEIGHTED AVERAGES FOR EQUIVALENT TAX RATES
BY WEALTH QUINTILE

	1989-90					1994-95						
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Quintile Characteristics												
Number of Districts	54	43	40	33	6	176	55	49	36	32	4	176
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454	115,477	114,974	117,044	112,117	121,110	580,722
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$104,767	\$146,018	\$185,496	\$249,159	\$360,085	\$210,329
Equivalent Tax Rates	32.92	35.81	34.99	44.04	68.79	43.60	56.40	54.98	55.51	56.69	74.78	59.83

OEA supports the need to use prior year assessments in the SEEK program calculation. Since the inception of the program, current assessments have been utilized. Doing so creates a serious problem for local school districts, because current year assessments frequently are not finalized until late in the school year. Thus, using prior year assessments in the SEEK program calculation would allow KDE to provide school districts with a final calculation by the close of the calendar year rather than the close of the fiscal year. Additionally, this would make the tentative calculation more accurate and timely which would improve the local school district budgeting process.

The Kentucky 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 K). 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 continue to be monitored closely.

During the first five years of the SEEK program, the base amount has risen from \$2,305 in 1990-91 to \$2,517 in 1994-95. An appropriate question becomes, "Is this \$212 increase over the past five years sufficient?" The SEEK base amount per pupil increased 4.98 percent in 1991-92, 0 percent in 1992-93, 3.00 percent in 1993-94, and .009 percent in 1994-95.

There is an inherent conflict between the provisions of KRS 160.470 and KRS 157.440. Currently, the provisions of KRS 160.470 allow local school districts to "bleed" into Tier II. The number of districts participating in Tier II has steadily increased (e.g., 1993, 125 districts; 1994, 133 districts) over the past five years. This is contrary to the provisions outlined in KRS 157.440. Except for the districts "grandfathered" under the provisions of the education reform act in 1990, all Tier II tax levies are to be approved by a local referendum. OEA's observation is that without corrective action, the intended "maximum cap" on school district local revenues does not exist.

Table 19 illustrates that the lowest wealth quintile received on average \$3,357 per pupil in state funds through the SEEK program, including Tier I. The highest wealth quintile averaged \$2,203 per pupil in state revenues from SEEK. The range was \$1,985. This compares to a range of \$256 in 1989-90. This demonstrates that the SEEK program is performing as designed.

In 1990, a companion to the SEEK program, the FSPK program was established. This program provides additional fiscal support for school construction and has as its goal the more equitable distribution of school facilities among the school districts. The program works in conjunction with the School Facilities Construction Commission (SFCC) which has been in operation for the past nine years. The SFCC assists local school districts in school construction projects by providing a portion of the debt service. The amount of debt service provided by the state through this program is determined by the needs of the individual district and the level of appropriation by the Kentucky General Assembly.

TABLE 19
1994-95 PUPIL WEIGHTED AVERAGES
SEEK PERFORMANCE CHARACTERISTICS

	1994-95					
	Lowest	Second	Third	Fourth	Highest	Statewide
Quintile Characteristics						
Number of Districts	55	49	36	32	4	176
Average Daily Attendance	115,477	114,974	117,044	112,117	121,110	580,722
Property Wealth Per Pupil	\$104,767	\$146,018	\$185,496	\$249,159	\$360,085	\$210,329
State Adjusted Base Plus Tier I	\$3,357	\$3,041	\$2,825	\$2,453	\$2,203	\$2,772

To date, OEA has interviewed personnel in 38 school districts across the state concerning school finance. A major concern of school officials is that the bonding potential of local school districts is becoming more restricted each year. With few exceptions, school officials acknowledged the favorable impact the FSPK program has had on their districts, and were appreciative of the program being 100 percent fully funded in 1994-95.

The FSPK program requires that local school districts levy an equivalent tax rate of at least 5 cents in order to participate in FSPK and SFCC. The 5 cent levy (levied in addition to the local required effort of 30 cents) is equalized at 150 percent of the average per pupil property wealth (the same level of equalization as Tier I). Like Tier I, FSPK is designed to guarantee that districts receive the same revenue (combined state and local) for a similar levy - - without regard for the property wealth of the district. Once the local school district commits the 5 cent FSPK levy to debt service, it is equalized by the state. In 1994-95, all 176 local school districts levied the 5 cents required by FSPK. Of this number, 160 received equalization funds. The 1994-95 state appropriation of \$27.4 million 100 percent fully funded the state FSPK program for the first time since its inception.

Still at issue are the categorical programs outside the SEEK program. Currently, the extended school services program, the pre-school program, family resource-youth service centers, gifted and talented, and other categoricals remain outside the SEEK program. Because categorical programs usually negatively affect the equity of a state's school funding program, Augenblick (1991) -- recommends that categorical and/or pilot programs remain as such for no more than four years. After this period of time, he suggests that these programs should become a part of the SEEK program or be eliminated.

The 1994 OEA Annual Report contained a recommendation that certain categorical programs be studied for possible inclusion in the SEEK program. During the Spring of 1995, Augenblick conducted discussions with representatives of various education interest groups and legislators to move this initiative forward. At this point, 3 categorical programs; i.e., extended school services, preschool, professional development, appear stable enough for inclusion in the SEEK program. These programs should become additional factors (e.g., exceptional children, transportation, at-risk, home/hospital) in the SEEK program's calculated base. This will preserve the identity of these programs while providing greater flexibility in decision making by schools and school districts.

Total state funds available to local school districts consist of the SEEK adjusted base guarantee, Tier I, and the categorical programs. The financial data used to prepare Table 20, however, is not available at this time.

Another source of funds not yet discussed are those funds provided by the state for local school districts; i.e., health and life insurance, and teachers' retirement. Health and life insurance is provided for all eligible local school district personnel. In 1994-95, the state paid health and life insurance premiums for approximately 82,000 eligible local school district employees. The state does not control the number of these employees, leaving that decision to the local districts. The implications for equity, however, are evident.

Further, the employer contribution for teachers' retirement is paid in total for the state for all eligible local school district 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 21 demonstrates the disparity.

While the state is contributing an average of \$357 per pupil in the lowest wealth quintile, it is contributing \$376 in the highest quintile. This relationship is diametrically opposite the relationship the SEEK program is designed to develop and enhance.

Local District Spending

A basic tenet of education reform 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 a limited overview of spending patterns for 1989-90 and 1994-95 with particular attention to personnel expenditures.

Table 22 indicates over \$3 billion was distributed to or for local school districts in 1994-95, an increase of 46.94 percent over 1989-90. Reviewing expenditures of districts is best facilitated by reducing the scope of the review to current operating expenses. These expenses (e.g., administration, instruction, transportation, maintenance) best demonstrate spending patterns in districts during a particular year. The financial data for local school districts used to prepare Table 23 and Figure 14 is not available at this time.

Salaries for personnel have traditionally comprised more than 65 percent of local school district budgets. Therefore, it is important to take a look at the changes in this category in the fifth year of reform. Average teacher salaries were addressed by the Supreme Court as being disparate. Table 24 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 \$3,223 in 1994-95.

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 24). The disparity in average total salaries in 1994-95 was reduced to \$3,567. Although the reduced disparity is a positive outcome of the SEEK program's efforts to equalize spending, the disparity remains significant.

Also, Table 24 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 30 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 30.7 percent. An inverse relationship exists between the lowest and highest wealth quintiles when comparing Rank 2 personnel. Certified personnel in the highest quintile are comprised of 52.7 percent Rank 2, while the lowest quintile has 42.9 percent. Concerning Rank 3 personnel, the lowest wealth quintile has the highest percentage at 22.1 percent, while the highest wealth quintile has the lowest at 16.3 percent.

A Finance Committee of the Task Force on Education Reform recommendation in 1990 was to develop a new approach to pay teachers. Basically, this plan was to be designed to compensate all teachers at adequate and

competitive salary levels throughout their careers. Additionally, it was to expand the opportunities for advancement based on the professional skills of the teachers.

Kentucky has changed the methods of instruction, the manner in which schools are funded, and the way schools are assessed. To-date, however, the Commonwealth has not changed the way teachers are compensated. In 1993, a work group attempted to develop a new professional compensation plan. The work group agreed on several major points regarding skill-based pay; however, a consensus on the implementation phase could not be reached. KDE in late 1993, proposed a Performance Assessment Plan to the Kentucky Board of Education. Ultimately, the 1994 Regular Session of the General Assembly ended with no change in Kentucky's teacher compensation structure.

A review of documents/information from meetings of the Finance Committee of the Task Force on Education Reform in 1989 and 1990 indicates that teacher compensation was intended to be a major component of the new system for financing Kentucky's schools. Research is evolving that supports skill-based pay, team and school performance awards, and other pay structure changes that would reduce or replace the indirect measures of education, rank, and experience currently used in compensating teachers.

TABLE 20
PUPIL WEIGHTED AVERAGES FOR REVENUE
BY WEALTH QUINTILE

Quintile Characteristics	1989-90						1994-95					
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Number of Districts	54	43	40	33	6	176	55	49	36	32	4	176
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454	115,477	114,974	117,044	112,117	121,110	580,722
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$104,767	\$146,018	\$185,496	\$249,159	\$360,085	\$210,329
Local Revenue Per Pupil	\$290	\$436	\$587	\$895	\$1,985	\$851						
Coeff. of Var.	.525	.376	.328	.299	.167	.779						
State Revenue Per Pupil	\$2,352	\$2,270	\$2,221	\$2,176	\$2,125	\$2,228						
Coeff. of Var.	.056	.048	.045	.050	.048	.061						
Local-State Per Pupil	\$2,642	\$2,706	\$2,808	\$3,070	\$4,110	\$3,079						
Coeff. of Var.	.079	.083	.072	.099	.086	.200						
Federal Revenue Per Pupil	\$545	\$394	\$321	\$289	\$276	\$365						
Coeff. of Var.	.287	.261	.289	.538	.173	.420						
Total Revenue Per Pupil	\$3,187	\$3,099	\$3,129	\$3,359	\$4,386	\$3,444						
Coeff. of Var.	.081	.083	.067	.119	.088	.170						

Data not available from KDE at this time

TABLE 21
1994-95 PUPIL WEIGHTED AVERAGES TEACHER'S RETIREMENT

	1994-95					
	Lowest	Second	Third	Fourth	Highest	Statewide
Quintile Characteristics						
Number of Districts	55	49	36	32	4	176
Average Daily Attendance	115,477	114,974	117,044	112,117	121,110	580,722
Property Wealth Per Pupil	\$104,767	\$146,018	\$185,496	\$249,159	\$360,085	\$210,329
Employers' Match Teachers' Retirement	\$357	\$342	\$332	\$333	\$376	\$348
Coeff. of Var.	.079	.068	.075	.075	.071	.088

TABLE 22
STATE AND LOCAL REVENUE (IN THOUSANDS) PROVIDED
FOR KENTUCKY SCHOOL DISTRICTS IN 1989-90 AND 1994-95

REVENUE SOURCE	<u>1989-90</u>	<u>1994-95</u>	<u>AMOUNT</u>	CHANGE <u>PERCENT</u>
STATE SOURCES				
Formula	\$1,179,143	\$1,551,631	\$372,488	31.59%
Capital/Debt*	\$56,091	\$85,839	\$29,748	53.04%
Grant Programs**	\$33,681	\$162,960	\$129,279	383.83%
Health/Life Ins.	\$84,689	\$162,125	\$77,436	91.44%
Teacher Retirement	\$168,398	\$202,000	\$33,602	19.95%
Escrow Accounts*** (Rewards, Technology)		\$20,000	\$20,000	100%
School Facilities Construction Comm.	\$39,293	\$57,066	\$17,773	45.23%
Total (All State)	\$1,561,295	\$2,241,621	\$680,326	43.57%
Local Sources Total	\$484,475	\$764,477	\$280,002	57.79%
State and Local Total	\$2,045,770	\$3,006,098	\$960,328	46.94%

*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 FY1994-95 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.

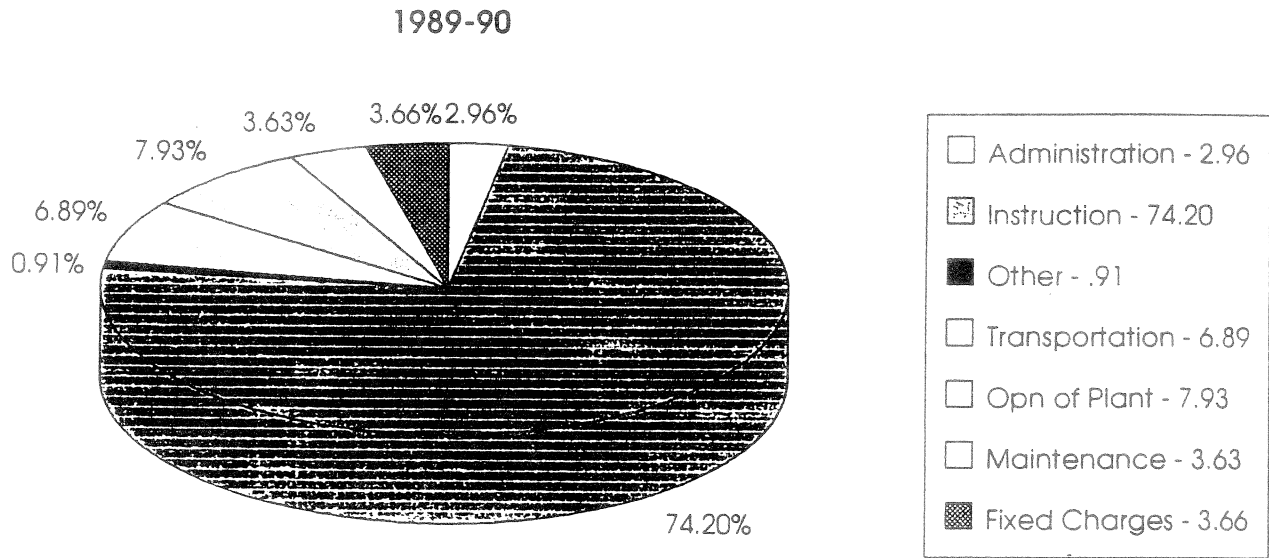
***Funds appropriated in 1989-90 through 1994-95 for rewards and education technology that are in the escrow account are not included in the amount.

TABLE 23
PUPIL WEIGHTED AVERAGES FOR EXPENDITURES
BY WEALTH QUINTILE

	1989-90					1994-95						
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Quintile Characteristics												
Number of Districts	54	43	40	33	6	176						
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454	55	49	36	32	4	176
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$104,767	\$146,018	\$185,496	\$249,159	\$360,085	\$210,329
Administration	\$86	\$79	\$70	\$77	\$118	\$86						
Instruction	\$1,894	\$1,933	\$1,992	\$2,158	\$2,714	\$2,145						
Attendance	\$24	\$24	\$21	\$20	\$24	\$23						
Health	\$5	\$3	\$3	\$3	\$5	\$4						
Transportation	\$211	\$195	\$194	\$169	\$226	\$200						
Operation of Plant	\$190	\$194	\$201	\$218	\$340	\$230						
Maintenance	\$87	\$91	\$90	\$109	\$152	\$105						
Fixed Charges	\$100	\$86	\$99	\$98	\$145	\$106						
Total Current Expenditures	\$2,592	\$2,604	\$2,670	\$2,847	\$3,723	\$2,898						

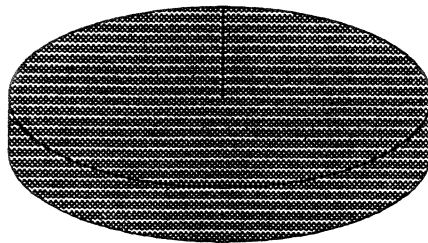
Data not available from KDE at this time

FIGURE 14
CURRENT EXPENSE BY CATEGORY



1994-95

Data not available
from KDE at this
time



- ☐ Administration -
- ☐ Instruction -
- ☐ Other -
- ☐ Transportation -
- ☐ Opn of Plant -
- ☐ Maintenance -
- ☐ Fixed Charges -

TABLE 24
PUPIL WEIGHTED AVERAGES FOR CERTIFIED PERSONNEL CHARACTERISTICS
BY WEALTH QUINTILE

Quintile Characteristics	1989-90						1994-95						
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide	
Number of Districts	54	43	40	33	6	176		55	49	36	32	4	176
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454	115,477	114,974	117,044	112,117	121,110	580,722	
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$104,767	\$146,018	\$185,496	\$249,159	\$360,085	\$210,329	
Average Salary	\$24,530	\$24,899	\$25,483	\$26,071	\$29,230	\$26,078	Information not available at this time						
Average Total Salary	\$26,115	\$26,563	\$27,188	\$27,895	\$31,239	\$27,837							
Rank 1	34.3%	34.2%	34.2%	32.1%	28.8%	32.7%							
Rank 2	41.9%	44.3%	46.6%	48.4%	53.0%	46.9%							
Rank 3	23.0%	20.6%	18.6%	18.9%	16.8%	19.6%							

Table 25 shows that the average number of certified personnel increased in 1994-95. The average number of school administrators increased slightly from 3.00 to 3.17 per thousand students. Other categories showed more significant increases: school guidance counselors increase from 1.83 to 2.16 per thousand, central office staff from 2.99 to 3.99, and, teachers increased from 63.20 to 65.35. However, librarians declined slightly from the 1989-90 level of 1.96 to 1.95 in 1994-95.

It is important to understand that for Table 25, school administrators are defined as principals and assistant principals. Guidance counselors are defined as those who actually are assigned to a particular school. This is somewhat different than how guidance counselors are presented in other documentation in Kentucky. It was determined, however, that particular attention should be given to the number of "school" guidance counselors. Librarians are also those assigned to schools. This table refers to Central Office Staff, which is a category comprised of a number of different personnel, but who are all actually assigned to a central office. These personnel include superintendents, assistant superintendents, directors of transportation, coordinators, supervisors, and numerous other certified personnel.

While the average number of personnel in all but one category is higher, other significant information can be found in Table 25. For instance, in the category of school administrators, the lowest quintile has the highest average at 3.62 per thousand pupils in 1994-95, while the highest quintile has the lowest average, 2.85. Part of this difference can be attributed to the fact that the lowest wealth quintile has 55 school districts in 1994-95 while the highest wealth quintile has only four districts.

TABLE 25
PUPIL WEIGHTED AVERAGES FOR CERTIFIED PERSONNEL PER 1000 PUPILS
BY WEALTH QUINTILE

Quintile Characteristics	1989-90						1994-95					
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Number of Districts	54	43	40	33	6	176	55	49	36	32	4	176
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454	115,477	114,974	117,044	112,117	121,110	580,722
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$104,767	\$146,018	\$185,496	\$249,159	\$360,085	\$210,329
School Administrators	3.26	3.00	2.97	2.95	2.86	3.00	3.62	3.31	3.09	3.01	2.85	3.17
School Guidance Counselors	1.46	1.63	1.67	1.82	2.52	1.83	1.77	2.08	2.18	2.17	2.56	2.16
Librarians	2.06	2.02	1.93	1.93	1.88	1.96	2.11	2.07	1.94	1.87	1.78	1.95
Central Office Staff	3.19	2.91	2.61	2.50	3.65	2.99	4.81	4.47	3.66	3.30	3.70	3.99
Teachers	63.80	62.00	60.97	62.87	66.3	63.20	68.98	65.23	63.46	62.69	66.29	65.35
TOTAL	73.80	71.50	70.10	72.10	77.20	73.00	81.29	77.16	74.33	73.04	77.18	76.62

School guidance counselors increase from left to right, or from the lowest wealth quintile to the highest. The highest quintile showed a slight gain in guidance counselors while the lower four all showed relatively significant increases. Librarians decreased from lowest to highest quintile, but comparing 1989-90 to 1994-95 show consistent gains in quintiles 1, 2, and 3. This group, however, declined in quintiles 4 and 5 when comparing 1989-90 to 1994-95. Teachers per thousand pupils remained constant in quintile 5, but declined slightly in quintile 4. Considerable gains occurred in each of the other three quintiles.

Salaries of classified personnel are not discussed in this report. Changes in the numbers of classified personnel in selected categories, however, are shown in Table 26. Aides include aides to teachers, nurses, librarians, and administrators. Lunchroom personnel include managers and workers. The custodians/maintenance category includes custodians, maids, maintenance personnel, and school plant supervisors/operators. Finally, transportation includes bus maintenance, drivers, and transportation supervisors. This table indicates that the average number of classified personnel per thousand pupils increased in nearly every category statewide and in nearly every category by quintile.

Total salaries for certified and classified personnel combined are usually reported in Table 27 by expenditure category. The financial data for local school districts used to prepare this table, however, is not available at this time.

TABLE 26
PUPIL WEIGHTED AVERAGES OF SELECTED CLASSIFIED PERSONNEL PER 1000 PUPILS
BY WEALTH QUINTILE

Quintile Characteristics	1989-90					1994-95						
	Lowest	Second	Third	Fourth	Highest	Statewide	Lowest	Second	Third	Fourth	Highest	Statewide
Number of Districts	54	43	40	33	6	176						
Average Daily Attendance	113,817	116,108	112,657	106,026	120,846	569,454						
Property Wealth Per Pupil	\$73,100	\$107,837	\$140,804	\$180,740	\$281,361	\$157,814	\$104,767	\$146,018	\$185,496	\$249,159	\$360,085	\$210,329
Aides	10.3	10.6	9.6	10.1	15.3	11.3	19.5	19.5	19.3	16.9	22.1	19.5
Secretaries	5.5	5.3	5.5	5.9	9.6	6.4	6.9	6.7	7.33	6.7	11.2	7.8
Lunchroom Personnel	13.8	13.4	11.9	12.7	8.8	12.1	14.3	13.4	12.8	12.2	9.0	12.3
Custodians/Maintenance	9.3	7.8	7.7	8.4	10.0	8.7	10.2	9.4	8.3	8.6	9.5	9.2
Transportation	14.8	13.7	12.5	10.7	8.5	12.0	15.4	15.8	13.3	11.4	9.0	13.0
Other	0.7	1.0	1.0	1.3	4.7	1.8	6.2	3.3	4.4	4.2	8.5	5.4
TOTAL	54.5	51.8	48.3	49.0	56.8	52.2	72.5	68.2	65.4	59.9	69.2	67.1

TABLE 27
TOTAL SALARIES BY EXPENDITURE CATEGORY
1989-90 AND 1994-95

	<u>1989-90</u>	<u>1994-95</u>	<u>% Change</u>
Administration	\$36,565,075		
Instruction	\$1,160,471,233		
Attendance	\$11,981,500		
Maintenance	\$23,329,190	Data not available from KDE at this time	
Health Services	\$1,381,241		
Transportation	\$59,003,190		
Operation of Plant	\$56,963,562		
TOTAL SALARIES	\$1,349,694,991		

5. Use prior year assessments in the SEEK program calculation. This would allow Kentucky Department of Education to provide local school districts with a final calculation by the close of the calendar year rather than the close of the fiscal year. Also, tentative calculations would be more accurate and timely, thus enhancing the local school district budgeting process.
6. The Facilities Support Program of Kentucky program should continue to be fully funded.
7. Resolve the conflict between KRS 160.470 and KRS 157.440 so that the Tier II limit on the amount of local revenue a school district can raise is absolute.

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APPENDIX A

EXECUTIVE SUMMARY

An Independent Evaluation of the Kentucky Instructional Results Information System (KIRIS)

Report Submitted
by
The Evaluation Center
Western Michigan University
to
The Kentucky Institute for Education Research
January 1995

Purpose

This executive summary and the detailed report on which it is based provide an evaluation of Kentucky's new system for assessing student performance, the Kentucky Instructional Results Information System (KIRIS). The reports are intended to provide useful feedback to parents, students, teachers, principals, state officials, and other Kentucky education policymakers at an early stage in the development of the new education assessment system. This summary gauges progress so far, highlights some strengths to be built upon and problems to be resolved, and provides some suggestions for improvement. Our main report delineates the information needed to conduct a comprehensive evaluation of the reliability and validity of KIRIS.

KIRIS

KIRIS is Kentucky's legislatively mandated effort to develop a state-of-the art, "high stakes" student assessment system that is primarily performance based -- that is, one that uses a variety of students' performances of tasks, instead of multiple-choice tests, to assess student learning. This new system is used to drive curriculum, instruction, and school administration to ensure that all schools meet the "goals for the Commonwealth's schools" (KRS 158.6451).

Through KIRIS, the Commonwealth (1) provides an annual assessment of the performance of Kentucky students at selected grade levels, (2) holds each school accountable for achieving the reform goals, (3) administers economic rewards and sanctions based on the test data and noncognitive information, and (4) promotes and supports the use of performance assessment as an integral part of classroom instruction. The Kentucky Education Reform Act requires that KIRIS be used to grant economic rewards to schools that showed improvement over a threshold level. For the 1992-1994 biennium, schools with growth rates below expectations will receive planning grants and a "distinguished educator" to help them improve. The rewards and sanctions make the Kentucky educational reform a "high stakes" program and KIRIS a "high stakes" assessment.

The Accountability Index. A school's accomplishment is described by an accountability number, which is a composite of six equally-weighted component scores. In the initial year of the program, 1991-1992, five of the components were cognitive: reading, mathematics, social studies, science, and writing. There was one noncognitive component, which itself is a composite of attendance, retention, dropout rate, and transition to adult life. This noncognitive component counts as 1/6 of the total score on the accountability index. The noncognitive component and the calculation of the school improvement goals lie outside of KIRIS itself.

Difficulty of Implementing a Totally New and Innovative Performance-Based Assessment System

We recognize the long and hard work put into the KIRIS assessment system by the Kentucky Department of Education (KDE) and its outside assessment contractor, Advanced Systems in Measurement and Evaluation (ASME). The use of performance assessments in large-scale assessment systems in the U.S. is relatively new compared to the more traditional multiple-choice tests. Neither education and testing agencies nor the measurement profession has solved the many technical and operational problems with large-scale use of performance-based assessments. KDE and ASME might have preferred to proceed slowly when implementing the new performance assessment system. However, in the face of the legislative mandate and the press for reform in Kentucky, KDE and ASME postponed much of the needed research and development of assessment questions and implemented the legislatively mandated performance-based system at a very fast pace. KDE continues to work on the needed assessment research and development.

KDE and its collaborators have exerted herculean efforts and have accomplished much. They have developed a complex system of performance assessment and applied it on a statewide basis. They have encountered problems, which is to be expected in so massive and fast-paced an undertaking on the cutting edge of technology. KDE is and must be in a constant state of innovation, trial and error testing, and refinement of the measurement system.

KDE and ASME have only had since 1991 to design, develop, implement, explain, and obtain stakeholder acceptance of the concept of the new performance assessment system. During that time they had to train the participants and work through the inevitable problems of developing, administering, scoring, and reporting performance-based assessments.

KDE had to (1) work out the logistics concerning the new assessment (open-ended questions, performance events, portfolios); (2) train teachers to prepare students to submit portfolios; (3) develop a system to train teachers to evaluate portfolios; (4) set standards without a history of pertinent data; (5) define successful students; (6) develop guidelines for the participation of special education students; (7) develop the weights for the accountability index; (8) establish thresholds; (9) develop a rewards system; (10) develop the criteria for sanctions; and (11) deal with other issues mandated by the legislature. It would not be appropriate for any party to use this report to destroy the valuable progress that KDE is making in developing KIRIS into an educationally sound system of assessment and accountability.

The Need for Evaluation of KIRIS

In view of the prodigious amount of work under way, the innovativeness of the effort, and the high stakes involved for Kentucky schools, it was important that KIRIS be subjected to independent evaluations. Since the system was being implemented while much of the supporting research and development was under way, it was important to get feedback on strengths, weaknesses, and issues requiring attention. The nonpartisan Kentucky Institute for Education Research (KIER), with endorsement by the State Board for Elementary and Secondary Education, commissioned this study.

The Evaluators

KIER contracted with the Western Michigan University Evaluation Center to conduct this evaluation. The evaluation team included Mark Fenster (political scientist from Western Michigan University), Anthony Nitko (University of Pittsburgh and past president of the National Council on Measurement in Education), Daniel Stufflebeam (Western Michigan University and past chair of the national Joint Committee on Standards for Educational Evaluation), and William Wiersma (educational researcher from the University of Toledo). The evaluation team thanks Robert Meyer (University of Chicago) for providing expert consulting advice. No member of the team was involved in the development of KIRIS, and none has any vested stake in the Kentucky education reforms. All, however, are dedicated educators who very much want to see the Kentucky educational reforms succeed to the benefit of all the children in the public schools of the Commonwealth.

The Evaluation Procedure

During the period of May through December 1994, our team evaluated KIRIS by using the following procedures:

1. Collected and reviewed a wide range of relevant technical documentation of KIRIS
2. Collected and reviewed sports, newspaper articles, monographs, etc., having to do with KIRIS
3. Observed an administration of KIRIS performance events exercise
4. Interviewed key persons involved in the development of KERA and KIRIS
5. Interviewed key persons involved in the implementation and use of KIRIS
6. Observed meetings of Kentucky educators concerned with KIRIS
7. Conducted informal discussions with several groups, including teachers, parents, principals, superintendents, and district assessment coordinators

15. The legislative intent of integrating assessment and feedback into the instructional process at every grade level has not been achieved. Teachers need more assistance than the Department of Education has so far been able to provide to embed performance assessments into the instructional process as was envisaged in the legislation.

Technical Adequacy of the KIRIS Assessment.

16. On the whole we judged the KIRIS assessment tasks to be technically well crafted (the questions are clear and appropriate for the age group, the scoring rules are valid, and instructions are easy for students to follow).
17. The open-ended questions (those requiring a written answer) generally meet currently accepted technical item-writing standards for open-ended questions.
18. The district assessment coordinators and the superintendents overwhelmingly prefer a longitudinal approach (tracking the same group of individual students as they progress through the grades) over a cohort approach (comparing each group of 4th graders to those of previous years) for assessing a school's growth or change. In the opinion of the research team, longitudinal analysis gives a better picture of what impact the school is having on a group of students as it goes through the educational system, although it is more difficult and costly to implement. We believe that effective use of the longitudinal approach would require that assessments be administered at least to students at every other grade level and preferably at every grade level. It may also entail developing a growth scale on which a school's progress may be assessed. We note here that KDE made a deliberate policy decision early in the reform movement not to use the longitudinal model to evaluate growth in assessment scores.
19. The 1993-1994 KIRIS assessment included several modes: extended answer open-ended tasks, shorter answer open-ended tasks, multiple-choice tasks, portfolios, and performance events. This diversity of approaches is a strength of the scheme. The multiple modes of assessment approach is supported by educational assessment specialists because it enhances the validity of the results. Validity is enhanced by allowing students opportunities to demonstrate their abilities in a variety of ways over an appropriate range of knowledge and skills. The proposed 1994-1995 KIRIS assessment will allow students fewer opportunities to demonstrate their abilities compared to the 1993-1994 KIRIS assessment due to the elimination of multiple-choice items. We think it was a mistake that KDE did not count the performances on multiple-choice items in computing the school accountability index; we think it would be a further mistake if KDE were to eliminate the multiple-choice items altogether. In addition, plans to increase the number of short-answer questions, instead of increasing the more in-depth performance components, narrows the modes of the assessment. The general point is that it will be desirable to broaden the assessment modes used.

20. The reliability of the accountability index is problematic for us. KDE has reported impressive reliabilities that reach or exceed .90, a level generally considered to be acceptable for use in high stakes decisions. However, because of the particular statistical model employed, there are unresolved questions about whether the high reliability estimates are indicative of the actual reliability. These concern, for example, whether to treat items or students as fixed, how agreements among raters are taken into account, and whether student scores should be estimated with regression.
21. Setting aside the issue of the statistical model for estimating reliability, it is clear that taken by themselves two of the three components of the KIRIS accountability index are not sufficiently reliable to be used in a high stakes assessment. These two components are the writing portfolio and performance events. We question whether the combination of these two components and the open-ended questions, which do evidence good reliability, give the Commonwealth a sufficiently reliable index for administering rewards and sanctions to schools. More reliability evidence is needed on this matter. If the index is unreliable, then its validity is open to question since validity depends in part on reliability. The issues of the validity as well as the stability of the index require careful study, so that all stakeholders can be reassured that it provides a credible basis for administering rewards and sanctions or so that it can be corrected as needed.

Main Recommendations

The preceding assessment of strengths and weaknesses denotes that efforts to improve the KIRIS need to be continued if it is to provide a defensible basis for high stakes decisions and if it is to contribute productively to improving classroom instruction. In this section we offer our ideas about some of the steps that could be taken to address the continuing needs for improvement. While we have not had the time and resources to thoroughly develop these recommendations and to compare them to other possible improvement steps, we offer them in the spirit of helping Kentucky stakeholders to consider how best to continue improving KIRIS.

Additional Information and/or Reporting is Needed.

1. There is a need to evaluate and address as appropriate concerns about the use of the accountability system. Among the concerns heard in our exchanges with Kentucky educators are that the current KIRIS assessment
 - narrows the curriculum
 - produces undue stress, especially on 4th grade teachers
 - yields an unstable index and unfair basis for accountability in those schools where individual student populations may vary widely from year-to-year and grade-to-grade
 - does not provide parents with reliable individual level student scores

2. The Commonwealth should investigate and report whether inner-city urban schools are being unfairly sanctioned because they have a more difficult educational task than the more stable schools. We understand that KDE plans to undertake such investigation following the completion of the first accountability cycle. However, this does not mitigate the fact that KIRIS results are being used in high stakes decision making before the needed evidence on the validity of KIRIS for this purpose could be obtained.
3. An index should be developed to report on the progress of students in meeting each of the four reform goals. It would also be desirable to report performance of schools on clusters of academic expectations.
4. Document and fully publicize the degree of interpretive and consequential validity of KIRIS. Also, document its instructional utility. Publicized reports should explain the appropriate cautions in using KIRIS results to claim educational improvement in Kentucky.
5. Continue to develop methods for reporting to schools on how they could use the KIRIS results to alter teaching and to improve student learning.

Training of Stakeholders.

6. Given the weight of the writing portfolio in the accountability index, we recommend that the state continue to place great importance on the training of teachers to understand the deeper meaning of student writing and to score the writing portfolio.
7. Because of the instructional value of portfolios and the importance of having teachers seriously evaluate the best work of their students, teachers in Kentucky should continue to score the portfolios, even though scores of the same portfolios may vary from one teacher to the next and are, therefore, less reliable.
8. Expand on the steps being taken to involve and inform Kentucky educators about issues and developments in KIRIS. As much as possible, bring them into the partnership for developing a using a sound accountability index and helping to communicate KIRIS results to parents and other interested groups. Involve all Kentucky teachers in the process of crafting tasks that will be used in the operational assessment instruments.
9. Expand activities to help Kentucky teachers to incorporate the performance tasks and higher quality continuous assessments into their regular classroom instruction for all grade levels, as envisioned by the KERA.

Technical Issues.

10. The technical reports should be organized so that an outside technical reader can evaluate the reliability and validity of the KIRIS results for achieving the uses and interpretations claimed for them. They also should summarize all the research results underpinning the program. There should be sections in the technical reports that point out problems and inconsistencies with the assessment. In general, they should include all the relevant technical information specified in the Standards for Educational and Psychological Testing (1985).
11. Beyond the requirements of the current standards, we suggest that KDE calculate and report reliability estimates for the accountability index based on a model that considers both students and items to be random sources of error, along with the estimates they now report using a model that considers students and items to be fixed factors. While this dual reporting would not resolve the debate about which model is the more appropriate, it would show readers the consequences to the reliability estimate of using one model or the other. We continue to believe that students and items should be considered as random sources of error in the generalizability model employed, since scores from one set of students and one set of assessment items are obtained in one year to set a threshold for evaluating the performance of a different set of students on a different set of assessment items in a subsequent year.
12. Continue to use the performance events. If the necessary approval can be obtained, we think it would be desirable to use the performance events to assess individual abilities to work collaboratively in groups as well as perform important learning targets as derived from the Kentucky goals and academic expectations. We note that KDE's current practice of not assessing students' ability to work effectively in groups is consistent with what the legislation permits.
13. Increase the priority and human energy resources devoted to analyzing data that support the technical underpinnings of the assessment results. This may or may not require an expanded staff. (We perceive that this change may already be under way, e.g., through studies relating the KIRIS results to American College Test [ACT] scores and through the Office of Education Accountability's study of the assessment.)
14. Provide evidence to demonstrate that the accountability index has a level of validity sufficient for use in high stakes decisions such as those affecting rewards and added resources such as planning grants and assignment of distinguished educators. Alternatively, if the necessary level of validity is not attained, do not continue to use the index for such decisions and actions until it is improved.
15. A key step toward improving validity will be to obtain external confirmation, as, for example, from the ACT, that the accountability index does manifest an

acceptable level of reliability. Reliability is a necessary, but not sufficient, condition for validity. We recommend that KDE consult with a nationally recognized psychometrician who specializes in generalizability theory. The specialist should evaluate the statistical model, the estimated score procedures, and the design of the generalizability studies.

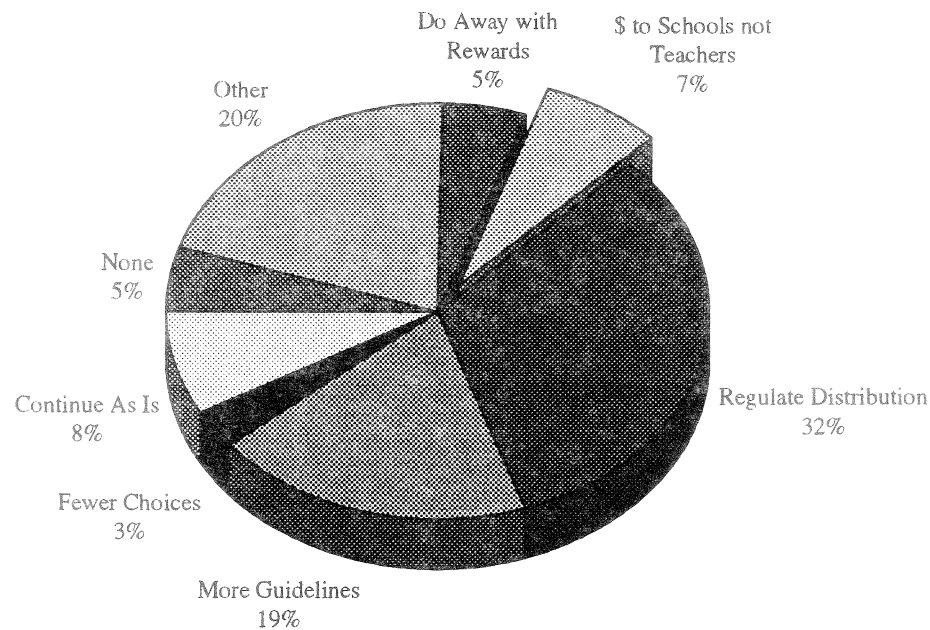
16. We think the decision not to include enhanced multiple-choice items in the index also limits the validity that could be attained, e.g., through improving both content coverage and reliability. We recommend, therefore, that KDE reassess the decision not to use enhanced multiple-choice test items, along with the short answer and performance assessments, in assessing student progress and computing the accountability index.
17. In the spirit of KERA's concern for authentic assessment, we also recommend that KDE at least consider increasing the emphasis on performance assessments that require speaking, developing products, organizing and planning activities, etc., compared to the heavy emphasis now given to performance assessments that require only written responses. We acknowledge that KDE and its contractor would need to conduct relevant research and development to fulfill this recommendation.
18. Consider using a longitudinal model to assess change in a school's accountability index.

Summation

We are mindful of the Kentucky Department of Education's important responsibility of informing Kentucky citizens about the outcomes of the Kentucky Education Reform Act. We fully support the goal of developing more effective ways to inform the public, educational policymakers, and educators about the progress of Kentucky students. We commend the state legislature, the state school board, the Department of Education, and the KIRIS contractors, Advanced Systems for Measurement and Evaluation (ASME), for starting this bold innovation aimed at breaking the mold of using only multiple-choice tests to assess school outcomes and installing instead an open-ended and performance-based assessment system aimed at furthering educational reform. We think that much of the new assessment system is conceptually consistent with the aims of the legislation but that many critical problems and issues must be effectively addressed. We endorse the Department's continuing efforts to assure that KIRIS will fulfill its important role of driving curriculum and classroom instruction so that all students in Kentucky will meet the state's standards for educational achievement.

The Kentucky Department of Education and ASME have achieved much and are to be commended. They need more time to resolve a range of difficult technical, utility, and communication issues in KIRIS. We hope this report will be of use in that process.

Major Suggestions Regarding Rewards Based on Survey of 74 Rewards Schools



Kentucky Department of Education
Presentation to Subcommittee on Students and Curriculum

July 6, 1995

Preschool Third Party Evaluation by UK

Major Findings

1. The overall rate of development for economically at-risk Kentucky Education Reform Act (KERA) preschool participants was significantly higher than that of the control group of peers who did not participate in the KERA preschool program.
2. Economically at-risk preschool children continue to demonstrate significant gains in the area of social development. Both parents and teachers note particular improvements in the children's development of self-control. As their social skills develop, the children's problem behaviors are observed less often.
3. Economically at-risk KERA preschool participants made significant gains from pretest to posttest in important early literacy skills, such as the ability to recognize and write the letters of the alphabet and in their knowledge of print concepts necessary for learning to read.
4. Economically at-risk KERA preschool participants made greater gains on measures of early literacy than their income eligible peers; however, these gains were not significantly higher.
5. African-American economically at-risk preschool participants achieved gains on all measures that equaled or exceeded white preschool participants, thus indicating that the KERA preschool

program is meeting their needs as well as those of their white counterparts.

6. Longitudinal research investigating the social skills, academic competence, and behavioral adjustment of former KERA economically at-risk preschoolers during the primary years has consistently shown that participants do as well as or better than their same age classmates. Behavioral adjustment during the transitional year from preschool into kindergarten generally appears to be as positive for economically at-risk KERA preschoolers as for their peers from varying socioeconomic backgrounds. Some evidence suggests that attention and aggression could be potential areas of difficulty for at-risk children, leading to differences from their classmates over time, and may warrant additional study in future evaluations.
7. When teachers of former KERA preschool participants were asked to rate the children's academic performance and their expectations for the children's future success in high school graduation and successful transition to work, the military, or post-secondary education, their ratings indicated that they expected these children to do as well or better than a comparison group of children from their classes.
8. Positive gains were observed across all groups of children with disabilities. The changes were most consistent for the children with developmental and speech delays as compared to the children with severe disabilities. The lack of a control group limits these findings.

However, given that these children had significant delays prior to attending the KERA preschool program, the finding that some are gaining one month per year during intervention is important.

9. The oldest group of children who were in the KERA preschool program during the first year of implementation (1990-91) continue to receive less favorable ratings on academic and social measures than a control group of randomly selected children. Longitudinal research is needed to determine whether this finding represents a fade out effect of the positive effects of preschool participation or simply the fact that the newly implemented program was of lower quality in 1990-91 than in subsequent years.
10. The parent survey provided useful findings in two major areas. First, parents reported that a variety of activities were available to them and their family. Second, parents reported high levels of satisfaction with the KERA preschool programs in terms of the effect the program had on their children's development.

FINAL 1994-95 PRESCHOOL ADJUSTMENTS

2:02 PM

Thu, Aug 10, 1995

DISTRICT	ADJUSTED TENTATIVE	GROWTH ADJUSTMENT	ELIGIBLE TOTAL (DISBURSED)	TOTAL FINAL DISBURSED W/ PRORATA	COST OF PRORATA	(94-95 NEG. ADJMT) 95-96 DEDUCT
Adair County	\$118,022	\$20,886	\$138,908	\$131,643	\$7,265	\$0
Allen County	\$77,891	\$13,099	\$90,990	\$86,231	\$4,759	\$0
Anchorage Independent	\$8,297	\$0	\$8,297	\$7,811	\$486	(\$5,876)
Anderson County	\$258,173	\$0	\$258,173	\$244,671	\$13,502	\$0
Ashland Independent	\$123,270	\$0	\$123,270	\$116,823	\$6,447	(\$11,175)
Augusta Independent	\$7,219	\$17,697	\$24,916	\$22,617	\$2,299	\$0
Ballard County	\$281,682	\$31,822	\$313,504	\$297,108	\$16,396	\$0
Barbourville Independent	\$55,276	\$0	\$55,276	\$52,385	\$2,891	(\$8,400)
Bardstown Independent	\$164,253	\$13,101	\$177,354	\$168,078	\$9,276	\$0
Barren County	\$142,237	\$0	\$142,237	\$134,798	\$7,439	\$0
Bath County	\$184,056	\$0	\$184,056	\$174,430	\$9,626	\$0
Beechwood Independent	\$4,802	\$0	\$4,802	\$4,551	\$251	\$0
Bell County	\$62,037	\$14,682	\$76,719	\$70,345	\$6,374	\$0
Bellevue Independent*	\$176,582	\$0	\$176,582	\$167,347	\$9,235	\$0
Berea Independent	\$88,324	\$0	\$88,324	\$82,860	\$5,464	\$0
Boone County	\$542,462	\$166,740	\$709,202	\$672,111	\$37,091	\$0
Bouton County	\$192,943	\$19,511	\$212,454	\$201,343	\$11,111	\$0
Bowling Green Independent	\$174,999	\$0	\$167,876	\$158,723	\$9,152	(\$6,082)
Boyd County	\$107,742	\$0	\$107,742	\$101,647	\$6,095	\$0
Boyle County	\$287,642	\$0	\$287,642	\$272,598	\$15,044	\$0
Bracken County	\$85,558	\$18,716	\$104,274	\$98,820	\$5,454	\$0
Breathitt County	\$147,809	\$91,020	\$238,829	\$223,340	\$15,489	\$0
Breckinridge County	\$91,635	\$0	\$91,635	\$86,842	\$4,793	(\$9,759)
Bullitt County	\$622,168	\$62,451	\$684,619	\$648,813	\$35,806	\$0
Burgin Independent	\$0	\$0	\$0	\$0	\$0	\$0
Butler County*	\$83,467	\$0	\$83,467	\$79,102	\$4,365	\$0
Caldwell County	\$172,904	\$29,936	\$202,840	\$192,231	\$10,609	\$0
Calloway County	\$272,190	\$22,798	\$294,988	\$279,560	\$15,428	\$0
Campbell County	\$150,011	\$12,626	\$162,637	\$154,067	\$8,570	\$0
Campbellsville Independent	\$104,464	\$0	\$104,464	\$99,001	\$5,463	(\$5,617)
Carlisle County	\$26,449	\$16,923	\$43,372	\$40,479	\$2,893	\$0
Carroll County	\$35,052	\$0	\$35,052	\$33,219	\$1,833	(\$5,213)
Carter County	\$315,081	\$38,602	\$353,683	\$335,185	\$18,498	\$0

OEA REPORT - 1994-95 ENROLLMENT

1:44 PM

Wed, Aug 2, 1995

DISTRICT	ATR ONLY	SPL	DD	SEV	DISAB	TOTAL KERA	SUPPL 3'S	ATR 4'S	TOTAL KERA 4'S	DISAB 3'S	TOTAL 3'S	OTHERS	CHILDREN
Clinton County	26	25	2	0	27	53	0	26	44	9	9	0	53
Cloverport Independent	0	5	11	0	16	16	0	1	8	8	8	0	16
Corbin Independent	14	10	8	0	18	32	0	25	30	2	2	0	32
Covington Independent	186	60	9	10	79	265	7	221	234	31	38	42	314
Crittenden County*	5	12	4	4	20	25	0	13	20	5	5	0	25
Cumberland County	10	2	5	0	7	17	0	14	17	0	0	3	20
Danville Independent	37	7	15	0	22	59	7	47	52	7	14	31	97
Daviess County	115	63	2	10	75	190	3	158	173	17	20	0	193
Dawson Springs Independent	20	2	10	0	12	32	2	26	27	5	7	0	34
Dayton Independent	30	20	17	2	39	69	5	47	58	11	16	17	91
E Bernstadt Independent	21	4	5	0	9	30	0	27	30	0	0	9	39
Edmonson County	45	11	0	4	15	60	0	59	60	0	0	0	60
Elliott County	5	1	0	0	1	6	0	5	5	1	1	0	6
Eminence Independent	24	2	0	0	2	26	0	25	25	1	1	0	33
Erlanger-Elsmere Independent	14	11	0	1	12	26	0	17	24	2	2	0	26
Estill County	27	17	10	0	27	54	2	42	50	4	6	48	104
Elizabethtown Independent	17	7	8	0	15	32	2	21	24	8	10	3	37
Fairview Independent	17	6	9	1	16	33	1	28	29	4	5	13	47
Fayette County	462	113	74	16	203	665	43	519	579	86	129	0	708
Fleming County	14	7	3	2	12	26	0	24	21	5	5	0	26
Floyd County	65	44	0	0	44	109	0	93	99	10	10	0	109
Frankfort Independent	5	13	17	1	31	36	9	25	25	11	20	0	45
Franklin County	33	30	29	6	65	98	4	55	67	31	35	0	102
Ft. Thomas Independent	5	10	4	4	18	23	1	5	13	10	11	0	24
Fulton County	22	0	5	0	5	27	3	27	27	0	3	10	40
Fulton Independent	15	7	4	0	11	26	0	25	22	4	4	0	26
Gallatin County	26	13	4	3	20	46	0	32	37	9	9	0	46
Garrard County	44	31	6	2	39	83	4	64	67	16	20	17	104
Glasgow Independent	24	12	4	0	16	40	2	31	31	9	11	0	42
Grant County	0	0	0	0	0	0	0	0	0	0	0	0	0
Graves County	40	21	39	1	61	101	5	61	75	26	31	1	107
Grayson County	30	12	6	2	20	50	0	38	46	4	4	0	50
Green County	0	0	0	0	0	0	0	0	0	0	0	0	0
Greenup County	19	4	7	0	11	30	3	20	27	3	6	0	33
Hancock County	6	9	0	3	12	18	2	11	13	5	7	0	20
Hardin County	222	79	72	7	158	380	17	278	312	68	85	27	424
Harlan County	90	34	11	2	47	137	0	122	128	9	9	0	137
Harrison County	22	23	3	3	28	50	2	28	37	13	15	0	52

OEa REPORT - 1994-95 ENROLLMENT

1:44 PM

Wed, Aug 2, 1995

DISTRICT	ATR ONLY	SPL	DD	SEV	TOTAL DISAB	TOTAL KERA	SUPPL 3'S	ATR 4'S	TOTAL KERA 4'S	DISAB 3'S	TOTAL 3'S	OTHERS	TOTAL CHILDREN
Harrodsburg/Burgin Independents	9	10	14	2	26	35	0	18	19	16	16	0	35
Hart County	36	5	13	2	20	56	0	48	53	3	3	1	57
Hazard Independent	19	16	3	5	24	43	4	35	38	5	9	0	47
Henderson County	115	62	9	4	75	190	9	158	173	17	26	0	199
Henry County	68	8	2	2	12	80	1	77	78	2	3	1	82
Hickman County	16	5	14	0	19	35	0	20	20	15	15	0	35
Hopkins County	104	49	15	3	67	171	2	123	143	28	30	0	173
Harlan Independent	14	6	9	1	16	30	1	22	24	6	7	54	85
Jackson County	5	3	3	0	6	11	0	8	9	2	2	18	29
Jackson Independent	4	11	0	0	11	15	1	5	10	5	6	0	16
Jefferson County	1532	257	548	53	858	2390	47	1726	2074	316	363	1241	3,678
Jenkins Independent	4	7	0	1	8	12	2	7	7	5	7	0	14
Jessamine County	105	43	15	1	59	164	3	132	144	20	23	0	167
Johnson County	4	20	8	7	35	39	0	32	36	3	3	0	39
Kenton County	83	48	57	8	113	196	8	94	152	44	52	3	207
Knott County	30	61	2	0	63	93	4	56	69	24	28	3	100
Knox County	58	9	41	2	52	110	3	75	98	12	15	0	113
Larue County	26	12	1	0	13	39	0	32	33	6	6	0	39
Laurel County	10	6	17	1	24	34	3	21	26	8	11	0	37
Lawrence County	71	9	3	3	15	86	1	84	86	0	1	0	87
Lee County	0	0	3	0	3	3	0	2	3	0	0	0	3
Leslie County	88	9	3	1	13	101	0	97	97	4	4	17	118
Letcher County	45	18	5	2	25	70	2	62	65	5	7	13	85
Lewis County	16	3	1	0	4	20	0	18	19	1	1	0	20
Lincoln County	16	19	94	4	117	133	2	59	89	44	46	40	175
Livingston County	8	19	3	0	22	30	0	16	25	5	5	0	30
Logan County	24	30	107	1	138	162	3	57	111	51	54	2	167
Ludlow Independent*	22	6	5	0	11	33	0	25	32	1	1	0	33
Lyon County	8	7	0	0	7	15	0	13	13	2	2	0	15
Madison County	115	68	73	10	151	266	1	155	196	70	71	0	267
Magoffin County	3	1	2	1	4	7	0	4	4	3	3	0	7
Marion County	36	16	15	1	32	68	1	50	60	8	9	44	113
Marshall County	37	39	9	2	50	87	3	50	66	21	24	6	96
Martin County	7	2	0	0	2	9	0	7	7	2	2	1	10
Mason County	25	6	40	1	47	72	0	39	61	11	11	0	72
Mayfield Independent	10	2	7	0	9	19	3	13	16	3	6	0	22
McCracken County	37	37	35	11	83	120	6	85	98	22	28	0	126
McCreary County	126	18	63	2	83	209	1	176	180	29	30	14	224

OLEA REPORT - 1994-95 ENROLLMENT

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Wed, Aug 2, 1995

DISTRICT	ATR ONLY	SPL	DD	SEV	DISAB	TOTAL KERA	SUPPL 3'S	ATR 4'S	TOTAL KERA 4'S	DISAB 3'S	TOTAL 3'S	OTHERS	CHILDREN
McLean County	21	6	2	4	12	33	1	26	30	3	4	0	34
Meade County	59	6	28	0	34	93	1	71	83	10	11	0	94
Menifee County	8	4	2	0	6	14	0	11	13	1	1	2	16
Mercer County	12	9	26	1	36	48	0	26	37	11	11	0	48
Metcalfe County	22	31	6	1	38	60	0	75	54	6	6	0	60
Middlesexro Independent	14	1	9	1	11	25	0	21	22	3	3	15	40
Monroe County	30	31	4	1	36	66	2	42	53	13	15	7	75
Montgomery County	53	31	30	6	67	120	0	101	106	14	14	0	120
Monticello Independent	17	7	0	0	7	24	0	21	22	2	2	0	24
Morgan County	11	25	0	0	25	36	0	22	25	11	11	0	36
Muhlenberg County	60	87	6	9	102	162	0	110	121	41	41	0	162
Murray Independent	2	10	4	0	14	16	0	12	13	3	3	3	19
Nelson County	32	29	31	1	61	93	7	55	79	14	21	0	100
Newport Independent	23	13	5	1	19	42	0	28	35	7	7	0	42
Nicholas County	19	8	0	0	8	27	0	27	27	0	0	0	27
Ohio County	39	25	40	3	68	107	3	75	89	18	21	0	110
Oldham County	37	21	21	3	45	82	1	51	69	13	14	0	83
Owen County	49	10	6	1	17	66	7	61	62	4	11	2	75
Owensboro Independent	98	40	10	2	52	150	3	115	126	24	27	0	153
Owsley County	0	0	2	1	3	3	1	1	1	2	3	2	6
Paducah Independent	7	0	9	5	14	21	4	11	13	8	12	0	25
Paintsville Independent	0	4	0	0	4	4	0	1	3	1	1	0	4
Paris Independent	12	3	15	0	18	30	0	20	20	10	10	16	46
Pendleton County	33	17	22	3	42	75	1	47	65	10	11	0	76
Perry County	104	35	37	13	85	189	5	149	164	25	30	67	261
Pike County	4	5	0	1	6	10	1	10	6	4	5	0	11
Pikeville Independent	14	3	1	0	4	18	0	16	18	0	0	0	18
Pineville Independent	12	5	1	0	6	18	1	16	16	2	3	8	27
Powell County	17	4	4	2	10	27	1	21	24	3	4	0	28
Providence Independent	18	21	0	0	21	39	1	26	29	10	11	2	42
Pulaski County	135	29	25	6	60	195	3	164	174	21	24	0	198
Raceland Independent	1	3	1	0	4	5	0	3	4	1	1	0	5
Robertson County	0	0	9	1	10	10	0	1	1	9	9	0	10
Rockcastle County	49	18	20	1	39	88	2	67	74	14	16	35	125
Rowan County	46	13	34	1	48	94	7	72	82	12	19	9	110
Russell County	50	18	5	0	23	73	0	60	66	7	7	0	73
Russell Independent	18	9	1	0	10	28	2	24	27	1	3	0	30
Russellville Independent	34	12	19	0	31	65	0	50	49	16	16	43	108

OEa REPORT - 1994-95 ENROLLMENT

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Wed, Aug 2, 1995

DISTRICT	ATR ONLY	SPL	DD	SEV	DISAB	TOTAL KERA	SUPPL 3'S	ATR 4'S	TOTAL KERA 4'S	DISAB 3'S	TOTAL 3'S	OTHERS	CHILDREN
Science Hill Independent	10	4	0	0	4	14	0	14	13	1	1	6	20
Scott County	64	34	30	2	66	130	3	85	110	20	23	0	133
Shelby County	53	28	17	1	46	99	13	66	84	15	28	0	112
SilverGrove Independent	4	8	12	1	21	25	0	9	17	8	8	9	34
Simpson County	27	57	2	0	59	86	15	54	70	16	31	0	101
Somerset Independent	24	4	3	1	8	32	0	28	30	2	2	0	32
Southgate Independent*	2	10	0	0	10	12	1	6	8	4	5	0	13
Spencer County	34	5	19	1	25	59	0	46	48	11	11	0	59
Taylor County	19	4	65	2	71	90	28	35	61	29	57	2	120
Todd County	30	17	108	0	125	155	10	67	101	54	64	0	165
Trigg County	13	31	2	2	35	48	3	29	33	15	18	0	51
Trimble County	0	0	0	0	0	0	0	0	0	0	0	0	0
Union County	50	31	27	2	60	110	1	78	85	25	26	0	111
Walton Verona Independent	8	13	8	1	22	30	2	12	19	11	13	0	32
Warren County	165	39	12	2	53	218	4	188	205	13	17	0	222
Washington County	14	7	11	1	19	33	0	26	30	3	3	47	80
Wayne County	48	14	39	0	53	101	2	70	77	24	26	11	114
Webster County	23	47	12	2	61	84	0	45	57	27	27	0	84
West Point Independent	10	5	3	2	10	20	0	17	17	3	3	0	20
Whitley County	57	22	20	1	43	100	1	82	84	16	17	0	101
Williamsburg Independent	12	8	10	0	18	30	0	28	26	4	4	17	47
Williamstown Ind/Grant County	30	7	5	0	12	42	0	33	39	3	3	0	42
Wolfe County	0	0	18	0	18	18	0	12	15	3	3	2	20
Woodford County	20	22	10	3	35	55	1	25	47	8	9	0	56
TOTALS	7,827	3,431	3,267	376	7,074	14,901	473	10,616	12,444	2,457	2,930	2,453	17,827

Congratulations to these KERA, Head Start Programs and Contractors that have achieved NAEYC Accreditation!

KERA Programs

Anderson County
Bardstown Independent
Berea Independent
Bowling Green Independent
Boyle County
Campbell County
Covington Independent
Danville Independent
McCreary County
Warren County

KERA/Head Start Blended Programs

Carroll County Head Start
Graves County/Murray Head Start
Harrison County Head Start/Pre-K
Lincoln County/ Head Start
Marshall County/Murray Head Start
Mayfield Independent/Murray Head Start
McCracken County/Murray Head Start
Murray Preschool/Murray Head Start
Nicholas County Head Start/Pre-K
Oldham County Preschool

Head Start Programs

Audubon Area Head Start (Hopkinsville & Owensboro)
Breckinridge-Grayson Head Start (Leitchfield)
Community Action Head Start (Lexington)
L.K.L.P. Head Start (Yeadiss & Blackley)
Southern Kentucky Head Start (Cave City & Butler County)
WKU Head Start (Bowling Green)

Private Programs Contracting with School Districts

Burrier Child Development Center (EKU)
Cathedral Child Development Center (Covington)
The Chance School (Louisville)
California Area Family Development Center (Louisville)
Clark County Early Childhood Development Center (Winchester)
DuValle Child Care Center (Louisville)
Early Childhood Lab (UK)
Family Place (Louisville)
Christian Appalachian Project Child Development Center (Berea)
Family Life Child Development Center (Mt. Vernon)
Jefferson Community College Early Childhood Development Center (Louisville)

PRESCHOOL RESOURCE CLASSROOMS

July 1995

<i>DISTRICT OR SCHOOL</i>	<i>CLASSROOM LOCATION</i>	<i>TEACHER</i>	<i>YEAR</i>
Anderson County	Western Elementary	Lynn Akins	1993
	Saffell Street School	Cheri Beckett	1992
	Saffell Street School	Becky Jones	1993
	Saffell Street School	Faye O'Nan	1994
*Ashland Independent	Verity Middle School	Jane Singleton	1992
	Verity Middle School	Juda Wells	1992
*Barbourville Independent	Barbourville Elementary	Ethel Starks	1993
		Peggy Mills	1993
Bardstown Independent	Early Childhood Center	Sandy Myers	1992
		Susan Christensen	1992
		Angela Filiatreau	1992
Bellevue Independent	Grandview Elementary	Lynn Krohmer	1993
		Gina Hildebrandt	1993
Berea Independent	Preschool Center	Kathy Stone	1992
		Jennifer McIntosh	1992
Boone County	Kelly Elementary	Amy Andrews	1994
	Ockerman Elementary	Judy Clore	1994
Bowling Green Independent	Dishman McGinnis Elementary	Penny Adams	1994
	Dishman McGinnis Elementary	Pamela VanMeter	1994
Boyle County	Junction City Elementary	Susan Pettit	1993
	Perryville Elementary	Karen Dunagan	1993
	Woodlawn Elementary	Wendy Ross	1993
Bullitt County	Brooks Elementary	Becky Wollam	1994
	Old Mill Elementary	Marsha Outlaw	1994
Caldwell County	Caldwell Primary School	Mollie Ward	1992
*Calloway County	East Elementary	Lynn Howe	1992
		Amy Baker	1992
	North Elementary	Cheryl Dunn	1992
		Joan Weber	1992
	Southwest Elementary	Teri Hjetland	1992
Campbell County	Cold Springs Elementary	JoAnn Spence	1993
CAP Child Development Center	CAP Child Development Center	Judy Dillingham	1994
		Sherrie Linville	1994
		Mary Mundy	1994
Chance School	Chance School	Lucy Harman	1992
Child Development Centers of the Bluegrass	CDC - Lexington	Jo Avers	1994
	CDC - Lexington	Michelle Rogers	1994
Christian County	Civitan Education Complex	Doris McGregor	1992
	Belmont Elementary	Ann Smith	1993
Clay County	Manchester Elementary	Theresa Durham	1994
	Manchester Elementary	Mary Anne Roberts	1994
Covington Independent	Early Childhood Center	Mary Wheatley	1991
Danville Independent	Hogsett Elementary	Kay Huffman	1991
		Ruth Anne White	1991
Eastern Kentucky University	Child Development Center	Hope Jones	1991
Edmonson County	Brownsville Elementary	Barbara Alford	1993
	Kyrock Elementary	Barbara Alford	1993
	Kyrock Elementary	Cindy Hudson	1995
Fayette County	Cardinal Valley Elementary	Anne Mountford	1993
		Kathleen Gunning	1993
Gallatin County	Gallatin County Elementary	Tammy Hubbard	1995

*Graves County	Sedalia Elementary	Carol Elder	1994
*Hancock County	Lowes Elementary	Sharon Melton	1993
Hardin County	Hawesville High School	Julia Tyler	1993
Harlan Independent	Lewisport High School	Kathryn Posten	1993
	Burkhead Elementary	Linda Patterson	1994
	Vine Grove Elementary	Lois Yoakum	1995
	Sunshine School	Pat Bryson	1991
*Henderson County		Cathy Estep	1991
Jefferson County	Southern Heights Elementary	Linda Markham	1992
	Chandler Elementary	Janet Kirk	1992
Jessamine County	Brandeis Elementary	Patricia Decker	1994
	Cane Run Elementary	Joan Levy	1994
	Brookside Elementary	Barbara Reese	1993
	Rosenwald/Dunbar	Cissie Litt	1993
	Wilmore Elementary	Pamela Budd	1995
Kenton County	Warner Elementary	Laurel Valentine Sittig	1993
	Ft. Wright School	Andi Runnels	1992
K.C.E.O.C. Head Start	Beechgrove Elementary	Vickie Kotz	1992
*Laurel County	Island Creek - Clay County	Cheryl Whitehead	1995
Leslie County	Pittsburgh Head Start	Mitzi Morgan	1992
*Lincoln County	Stinnett Elementary	Eugenia S. Napier	1994
	Stanford Elementary	Dorothy Bishop	1993
	Kings Mt. School	Lucille Hubbard	1993
	McKinney Elementary	Joyce Mullins	1993
	Broughtontown Elementary	Bonnie Farris	1994
	Crab Orchard Elementary	Clara Hawkins	1994
	East College Elementary	Kathy Wilber	1991
*Mayfield Early Childhood/ Head Start Program			
*McCracken County	Heath Elementary	Delphine LaMarr	1992
McCreary County	McCreary County Preschool	Joan Bell	1994
		Carolyn Jones	1994
		Sherry King	1994
		Linda Lay	1994
		Nancy Murphy	1994
*Murray Preschool/Head Start Program	Murray Preschool	Debbie Lampe	1993
Nelson County		Monica Lawson	1993
Owen County	Foster Heights Elementary	Bonnie Cecil	1995
	Owen County Preschool	Alice England	1993
		Karen Mullins	1993
Pulaski County	Southern Elementary	Kathy Barlow	1991
Rockcastle County	Burnside Elementary	Beverly Stringer	1992
Russellville Independent	Roundstone Elementary	Paula Davis	1992
	Stevenson Elementary	Ann Siedler	1992
Shelby County		Pam Robertson	1992
	Shelby County Preschool	Mary Steinhilber	1993
Simpson County		Sondra Powers	1993
Todd County	Franklin Elementary	Candy Stolt	1992
	South Todd Elementary	Toni Gambrel	1992
		Betty Shackelford	1992
	North Todd Elementary	Ginger Simons	1992
		Vickie Myers	1992
University of Kentucky	Early Childhood Lab	Charlotte Gish Manno	1992
Warren County	Bristow Elementary	Linda Armstrong	1993
	Warren Elementary	Jenny Chance	1993
	Richardsville Elementary	Dana Williams	1994
*Whitley County	Wofford Preschool	Margaret Coffey	1993
		Ruth Elswick	1993
		Phyllis Lawson	1993

*KERA/Head Start Blended Classrooms

APPENDIX D

THE OFFICE OF EDUCATION ACCOUNTABILITY PROJECT REPORT

Principals Selected By SBDM Councils 1995-96 School Year

BACKGROUND

By July 1, 1996, most Kentucky schools will be participating in the school-based decision making (SBDM) process. The exceptions are those from one school districts and those that exceed their KIRIS threshold, with a majority of faculty voting to request an exemption. Currently, there are approximately 950 schools participating. One of the fundamental responsibilities provided to school councils in KRS 160.345 is the selection of a principal when there is a vacancy in the principalship. To date, over 400 councils have selected principals. For the 1995-96 school year, 101 councils had the opportunity to exercise this important responsibility.

PROJECT PURPOSE

This project represents an effort to gather quantitative and qualitative data for policy makers and training providers at the local, regional, and state level regarding the principal selection process. To accomplish this task, staff at the Office of Education Accountability constructed a 13-item questionnaire. The questionnaire was mailed to teacher and parent council members at the 101 SBDM schools that selected principals for the 1995-96 school year.

RESULTS

Of the 505 questionnaires mailed to parent and teacher council members, 225 were completed and returned. This represents a response rate of 45 percent.

ROLE OF CENTRAL OFFICE

One purpose of the survey was to ascertain the degree to which local district central office personnel provided assistance to councils in the principal selection process. The following chart presents this information:

Central Office Involvement

Comment By Respondents About Central Office	Frequency of Comment
Met with council to discuss process	80
Helped establish interview process	21
Provided copies of SYNERGY	13
Screened applications	37
Provided legal guidance	16
Sent applications	131
Was an obstacle to process	16
Helped develop interview questions	19

PROFESSIONAL DEVELOPMENT

In the area of professional development, the intent was to determine the degree, nature, and source of any professional development activities used by councils in the principal selection process. In this process, 63.6 percent of respondents indicated that their councils received training; 36.4 percent reported no training was used by the council. The following chart reflects a general reporting of training sources utilized by councils in the selection of principals.

Training Provider	Frequency of Response
Central Office Personnel	82
State Agency Personnel	19
Out-Going Principal	8
Other School Council Members	2
Co-op Personnel	6
Private Training Providers	25

The kind of assistance provided to councils through professional development is reported in the following chart.

Type of Assistance	Frequency of Response
Type of interview questions	58
Develop selection procedures	70
Answered legal issues	28
Screening procedures	2
Develop guidelines	32
Answered general questions	6
How to involve parents & community	2
Technical assistance documents	8

The questionnaire also revealed the following information concerning the principal selection process:

Average number of applications initially sent to council	--	6.4
Percentage of respondents who reported requesting additional applications	--	29.8%
Average number of applicants interviewed by council	--	4.0
Average number of hours involved in principal selection process	--	20.2
Percentage of respondents indicating selection made by consensus	--	70.7%
Percentage of respondents indicating selection made by vote	--	26.7%
Average number of years respondents reported serving on council	--	1.6

Respondents were asked to identify the step-by-step process followed in selecting a principal. While no respondent indicated following all steps listed below, the list represents a compilation of all steps as reported by respondents.

1. Received applications
2. Surveyed parents and teachers
3. Established selection criteria
4. Interview questions developed
5. Reviewed applications and resumes
6. Formed a selection committee
7. Received training
8. Selected a chair for the selection committee
9. Council met with parents

10. Principal qualities developed
11. Checked references of applicants
12. Met with teachers
13. Secured facilitator to conduct interviews
14. Sent criteria to superintendent
15. Ranked applicants
16. Met with superintendent
17. Held open house for finalists
18. Public forum
19. Deliberated about applicants
20. Conducted second interviews

The questionnaire also provided an opportunity for respondents to make additional comments about the process. The following represents the total collection of comments:

SBDM worked well	Superintendent supportive
Should have had <i>SNERGY</i> Handbook	Hard to build consensus
Council should get all applications	Rushed into selection
Superintendent was uncooperative	Wish more applications to choose from
A lot of responsibility on council	Had no guidance
Must develop good questions for interviews	Teachers should not choose principal
Tough duty	SBDM should check references
Good process	Out-going principal should not be involved
A lot of teacher and parent input	Superintendent should have a say
Time-consuming process	Easier process than expected

The chart below breaks out by school level and gender the principals who were selected by school councils for the 1995-96 school year.

School Level	Male	Female	Total
Elementary	22	26	48
Middle/Jr. High	12	5	17
Secondary	30	6	36
Grand Total	64	37	101

SUMMARY

The principal selection responsibility is one that councils appear to take very seriously. This is evidenced by the number of hours council members are willing to commit to the task and the comprehensive process that seems to occur when presented the opportunity to select a principal.

Overall, the process appears to work, with few problems. Councils were able to select permanent principals (93 out of 101) from the applicants submitted by the superintendent. In only eight cases were principals appointed for an interim period until permanent selections could be made. This would appear to indicate a high level of cooperation between superintendents and councils regarding this task. The collaborative relationship between central office personnel and councils in the principal selection process also seems to be maturing but shows much room for growth. Approximately two-thirds of the respondents indicated receiving some form of training in the principal selection process. This, again, seems to reveal the seriousness with which most councils approach this responsibility. Interestingly, most of the training was provided by local, regional, or state personnel. This may indicate that specific training in the principal selection process is not readily available from traditional sources of professional development.

Most councils receive several applicants from which to choose a principal. Councils usually follow several steps in the selection process, including: seeking input from teachers and parents, screening applicants, interviewing candidates, and then deciding by consensus, in most cases, who to select as principal.

**SCHOOL-BASED DECISION MAKING
HIRING PROCESS OF PRINCIPALS
QUESTIONNAIRE**

1. What type of services, if any, did the central office provide to the council in the selection of the principal?
2. Did the council receive any training on the principal selection process?
3. Who provided the training?
4. In what ways, if any, was it helpful?
5. How many individuals were interviewed?
6. How many applications were initially sent to the council?
7. Did the council request additional applications?
8. How many hours did the council invest in the screening, interviewing, and selection process?
9. Describe the step-by-step process used by the council in the selection of the principal.
10. Was the final decision reached by consensus or was a vote taken?
11. List any additional comments you would like to share about the selection process.
12. How many years have you served on the council?
13. Are you a teacher representative or a parent representative?

APPENDIX E

SUPERINTENDENT SCREENING COMMITTEE PROCESS

SCHOOL DISTRICT

1. On what date was a vacancy declared by the board of education for the position of local school superintendent? Please attach board minutes which reflect that discussion.

DATE: _____

2. On what date was the superintendent screening committee established? Please attach board minutes which reflect that formation.

DATE: _____

3. Please attach a brief description of the elections for teacher, principal, and parent representatives to the screening committee which includes the date notice was given to the participants and the date the elections were held. Please include copies of ballots, letters to parents, ads in the newspaper, or any other supporting material.

4. On what date was a board of education member appointed by the board chairman to serve on the screening committee? Please attach board minutes which reflect that appointment.

DATE: _____

5. How many candidates applied for the superintendency, and on what date did/will the screening committee present recommendations to the board of education?

NUMBER OF CANDIDATES: _____

DATE COMMITTEE PRESENTED RECOMMENDATIONS: _____

OPTIONAL RESPONSE: Please include the race, gender and geographic location of the applicants.

6. Within 10 working days following the Board's decision to hire a new superintendent, please forward to this office board minutes reflecting such action denoting whether or not the person was recommended by the Superintendent Screening Committee.
7. **OPTIONAL RESPONSE:** Please include the race, gender and geographic location of the finalists considered by the board.

Please return questionnaire and supporting documentation to:

**Dr. K. Penney Sanders, Director
Office of Education Accountability
Capitol Annex
Frankfort, KY 40601**

APPENDIX F

OEA EDUCATION HOTLINE

The Office of Education Accountability (OEA) created in January 1991, has maintained a toll-free hotline to receive questions, concerns, comments, and suggestions from teachers, parents, administrators, and citizens. A second hotline was added in the spring of 1992 to make OEA services more accessible.

Since January 1991, there have been a total of 3,948 calls received; 931 since January 1, 1995. The staff person receiving hotline calls must answer questions and determine whether or not the concern should be addressed by local officials, the Kentucky Department of Education, other state agencies, or OEA .

When possible the hotline staff identify the school district, name of school, position and name of caller, along with specific information related to the complaint and the names of all parties involved. A majority of the callers wish to remain anonymous; however, staff stress that OEA will protect their information with strict confidentiality if they release their identify.

If the problem is a local district issue, the caller is advised on appropriate action(s) to take by working with teachers, principals, administrators, superintendents, or board, to resolve the problem.

If the problem involves wrong doing at the state or district level, the caller is told to place their concerns in writing to OEA for review. When the written information is received, the director determines what action to take to resolve the problem.

Since January 1995, approximately six cases, resulting in an OEA investigation, have developed from information reported via the hotline and then followed up with written documentation. Irregularities reported this year include: school-based decision making, special education, the Kentucky Instructional Results Information System testing, nepotism, governance issues, conflict of interests of board members, inadequate educational programs, and various problems involving local district policies.

APPENDIX G

HIGH SCHOOL RESTRUCTURING

OVERVIEW

The high school restructuring effort has moved to the new phase of study and implementation. In 1992-93, the State Task Force on High School Restructuring, created by the Kentucky Board of 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 gather data for review by the State Board and the Council on Higher Education. KDE issued a request for proposals in January 1994 whereby schools may apply for grants to facilitate their restructuring efforts. 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 data from the restructuring program.

PROGRAM IMPLEMENTATION

Designated schools 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

Forty-one schools, termed partial sites, have chosen to work on one of these components. Twenty-seven schools, termed comprehensive sites, have chosen to address all of the components during a two-year cycle. The partial sites will receive \$2,000 for the two-year cycle to assist in their efforts and the comprehensive sites will receive \$7,900 for the two-year cycle. As their restructuring programs emerge, the schools will focus on improvements in core curriculum, performance standards and accountability, professional development, and technology.

The 27 sites are:

Allen High School	Heath High School	Model Lab High School
Belfry High School	Henderson High School	Montgomery Co. High School
Bell Co. High School	Iroquois High School	North Laurel High School
Brown High School	Jackson Co. High School	Pendleton Co. High School
Butler Co. High School	Jessamine Co. High School	Pineville High School
Calloway Co. High School	Johnson Central High School	Reidland High School
Carroll Co. High School	Lee Co. High School	South Laurel High School
Fairdale High School	Lynn Camp High School	West Carter High School
Frankfort High School	Madison Southern High School	Western High School

Each of the 27 development sites were visited by both Office of Education Accountability and KDE staff during the 1994-95 school year. Staff visits in the fall of 1994 found a number of the sites to be in early planning stages. Some schools had leadership changes and were attempting to adjust accordingly. Other sites were found to be searching for ways to best define the five components to meet the needs of their students and community. Finally, there was a group moving beyond planning and into various stages of implementation. This group was very enthusiastic.

KDE staff prepared the following charts to reflect the various stages of development found in their spring of 1995 visits.

Descriptor: Individual Graduation Plans

Prior to entering high school, with the guidance of parents and educators, each student shall develop an Individual Graduation Plan that documents an academic program of study for achieving the six KERA Learning Goals and demonstration of the Academic Expectations. As part of the plan, students shall indicate a program of study that enables them to complete high school and be eligible for each of the following: college, vocational/technical school, the workforce (or home as a workplace), and the military or community service. The plan will include academic courses and projected school sponsored or approved activities.

Observation 1:

- ◆ 100 percent of the Developmental Sites have begun implementation/planning of the Individual Graduation Plan as compared to 70 percent of the KIER schools.

INDIVIDUAL GRADUATION PLAN	Implementation	Planning	Not in Place
Kentucky Department Findings	0.69	0.31	0.00
KIER Findings	0.31	0.49	0.30

Descriptor: Integrated Academic Profile

The student shall maintain a required Integrated Academic Profile for the years he/she is enrolled in high school. The student would assemble a single portfolio from all courses and experiences throughout high school. The Academic Profile includes a transcript; a resume; appropriate test data (such as ACT, SAT, etc.); statewide assessment results; recommendations from educators and employers; certificates and awards; print and non-print examples of performance; demonstrations and/or exhibitions; documentation of satisfactory participation in school sponsored and approved activities and the culminating project.

Observation 2:

- ◆ 100 percent of the Developmental Sites have begun implementation/planning of the Integrated Academic Profile as compared to 54 percent of the KIER schools.

INDIVIDUAL ACADEMIC PROFILE	Implementation	Planning	Not in Place
Developmental Sites	0.25	0.75	0.00
KIER Findings	0.27	0.27	0.46

Descriptor: Required School Sponsored and Approved Activities

The student shall actively participate in at least one school sponsored or approved activity during each year he/she is enrolled in high school. In addition, during the years he/she is enrolled in high school, the student shall actively participate in any two of the following activities: (a) service learning, meaningful activity that benefits the community; (b) school service, a meaningful activity that benefits the school, school personnel, or other learners; (c) work-based learning, a work program, internship, or simulation with predetermined learning goals, and; (d) student-initiated enrichment -- a personally enriching activity or experience that complements the student's graduation plan.

Observation 3:

- ◆ 100 percent of the Developmental Sites have begun implementation/planning for Required School Activities as compared to 51 percent of the KIER schools.

REQUIRED SCHOOL ACTIVITIES	Implementation	Planning	Not in Place
Kentucky Department Findings	0.58	0.42	0.00
KIER Findings	0.18	0.33	0.49

Descriptor: Culminating Project and Panel Presentation

During the review process of the Individual Graduation Plan, prior to the anticipated final year of high school, the student shall design a significant culminating project. The Culminating Project will include a major written component supported by

appropriate documentation, references, and research; and an oral or visual performance, demonstration, exhibition, or presentation to be delivered to a panel.

Observation 4:

- ◆ 100 percent of the Developmental Sites have begun implementation/planning for Culminating Project as compared to 70 percent of the KIER schools.

CULMINATING PROJECTS	Implementation	Planning	Not in Place
Kentucky Department Findings	0.35	0.65	0.00
KIER Findings	0.21	0.49	0.30

Descriptor: Exit Review

The components required for high school graduation will be verified by the school official so designated.

Observation 5:

- ◆ 95 percent of the Developmental Sites have begun implementation/planning for Exit Review as compared to 18 percent of the KIER schools.

EXIT REVIEWS	Implementation	Planning	Not in Place
Kentucky Department Findings	0.22	0.73	0.05
KIER Findings	0.15	0.30	0.55

EXCEPTIONS: The school council/district will develop policies and procedures to individualize the graduation requirements for students who have special needs or with extenuating circumstances.

RECOMMENDATIONS

1. Establish a Division for Secondary Education at the Kentucky Department of Education. Such a division could more effectively evaluate and monitor the high school restructuring effort.
2. As high schools move to more collaboration and interdisciplinary activities, the Education Professional Standards Board needs to review high school certification requirements.
3. 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 the Education Professional Standards Board and local boards. New efforts to develop school leaders, such as the Kentucky Valley Educational Corporation initiative and the University of Louisville/Jefferson County Schools partnership, need to be supported by the Kentucky Department of Education and the state university system.

APPENDIX H

MEMORANDUM OF AGREEMENT

OVERVIEW

Historical Perspective

During the three years that Memorandum of Agreements (MOA) and Personal Service Contracts (PSC) have been reviewed, the number of MOA contracts has remained fairly constant. However, the amount of funds increased each year with a significant increase from 1993-94 to 1994-95. This year the increased cost for personnel was approximately 11 percent.

SY	# OF MOAs	EXPENDITURE FOR PERSONNEL	AMOUNT EXPENDED	TOTAL AMOUNT OF MOA CONTRACTS
1994-95	162	LEAs Programs OVEC	4,658,180 923,011 4,970,860	\$18,747,831
1993-94	179	Local Districts Programs OVEC	3,197,088 1,205,546 4,227,407	\$12,129,097
1992-93	172	LEAs Programs OVEC	3,064,832 1,232,806 3,784,364	\$11,608,218

The number of PSCs increased from 22 to 66 during this three-year period. When excluding the contract for Advanced Systems, the amount spent on these contracts increased approximately 49 percent.

SY	# OF PSCs	EXPENDITURE FOR PERSONNEL	AMOUNT EXPENDED	TOTAL AMOUNT OF PSC CONTRACTS
1994-95	66	Personnel Adv. Systems	373,718 6,988,625	\$8,153,955
1993-94	32	Personnel Adv. Systems	224,146 6,485,628	\$7,461,706
1992-93	22	Personnel Adv. Systems	142,284 5,037,601	\$5,604,333

Current Status

The MOA is a contract between governmental entities for services and personnel. This allows the Kentucky Department of Education (KDE) to utilize personnel for a fixed time period and then the individuals return to their regular employer (usually a local district). KDE also employs personnel by MOAs through the Ohio Valley Educational Cooperative (OVEC). There were 98 such contracts in 1994-95, as permitted by KRS 156.017 which states, "The department may contract directly with a school district cooperative or consortia for services or assistance to accomplish goals and duties of the commissioner of education and the department as established under the Kentucky Education Reform Act of 1990." Thus, KDE can employ persons outside the state personnel system (18A). KDE also employs persons from local school districts by authority of House Bill 2 of the Extraordinary Session -- June 1994. This act reaffirmed the authority of KDE to hire 50 percent of its employees "below the division director level with individuals employed as school administrators and educators in Kentucky." In

1994-95, 84 persons were hired through this arrangement, excluding those on OVEC contracts.

IMPLEMENTATION

KDE entered into 162 MOAs with 120 amendments for the fiscal year 1994-95. One hundred and twenty of these were submitted after the effective date of the contract. These agreements were with local school districts, universities, state agencies, and OVEC. The MOAs obligated \$18,747,831 for the 1994-95 fiscal year; \$10,552,051 was obligated for personnel expenses. The largest contract for personnel is with OVEC for \$4,970,860. KDE also has contracts with local school districts for personnel totaling \$4,658,180.

KDE contracts with universities to provide services and programs. The total amount of contracts per institution is as follows:

Eastern Kentucky University	\$ 759,810
Kentucky State University	48,332
Morehead University	241,614
Murray State University	478,818
Northern Kentucky University	198,461
University of Kentucky	812,888
University of Louisville	797,706
Western Kentucky University	436,312
	<u>\$3,773,941</u>

Of this total, \$934,011 was designated to cover personnel within the projects.

RECOMMENDATIONS

1. The Legislative Program Review and Investigation Committee is preparing a review of the use of Memorandum of Agreement contracts throughout state government. This study is expected to impact the Kentucky Department of Education's reliance on Memorandum of Agreements for personnel.
2. Contracts filed after the effective date of the contract should not be honored.

APPENDIX I

ALTERNATIVE EDUCATIONAL INITIATIVES

OVERVIEW

The fundamental premise of the Kentucky Education Reform Act is that quality educational services are critically important for all children and to the Commonwealth. Rose v. Council for Better Education, Ky., 790 S.W. 2d 186 (1989). The Legislature, Kentucky Department of Education, and local districts have struggled to devise alternative strategies to keep children in school who might otherwise drop out and to improve services for students who have historically been under-served. Although some of these initiatives have not been rigorously evaluated, anecdotal information suggests that educational services for some children have been maintained or improved as a result of these efforts.

PROGRAM IMPLEMENTATION

Creative Discipline

Several strategies are being tried in Kentucky's schools to address behavioral disruptions in the classroom. The Department's emotional-behavioral disability (EBD) initiative includes focused intervention to reduce behavioral problems very early in students' academic careers. Some schools are initiating peer mediation programs and incorporating curricula designed to assist students in developing anger control and strategies for appropriately resolving peer disputes. Teacher assistance programs are being implemented to provide teachers with information and effective strategies for improving students' peer behavior and interactions. Larger districts are developing magnet "traditional schools" for students whose parents want structured educational settings as a strategy for

improving academic performance. It will be important to analyze the success of these various efforts to determine their relative effectiveness so that successful programs can be replicated in other districts.

Year-Round Schooling

House Joint Resolution 66, passed in the 1994 General Assembly, directs the Kentucky Board of Education to encourage year-round programming. Four districts developed a year-round calendar for 1995-96 and others are reviewing the concept. A draft Program Review was presented to the Kentucky Board of Education at the June 1995 meeting providing implementation information and listing resources from which additional data can be obtained. Expected outcomes include accelerated learning, resulting from greater retention and less regression in skills, and increased opportunities to use inter-sessions for prompt remediation to students experiencing difficulty.

Drivers Licensing

KRS 159.051 and 186.440 authorize districts to limit the driving privilege of students who drop out or who are academically deficient. However, districts implementing these statutes must have alternative educational programming available for these students. For calendar year 1994 (the most recent year for which data is available), 63 districts sought the suspension of 3,094 drivers' licenses, and 583 or about 19 percent of those licenses were restored after the students demonstrated academic sufficiency. In addition to meeting the specified academic requirements, students can regain their licenses by proving hardship in a district court proceeding. Anecdotal information indicates that some judges

require students in these proceedings to obtain a G.E.D. in order to regain their licenses. Although there is no statistics to establish a causal relationship between the statute and the number of students who remain in or return to academic settings, the anecdotal data suggests that the statute has had some positive effects.

Alternative Programs/Schools

"Alternative programs" are being developed in an increasing number of districts. There is no statutory or regulatory definition of "alternative program" nor is there a formal tracking system to assist in determining the number of programs, the admission and release criteria and procedures, or the success rates with this population. Thirty-two public schools are formally identified as alternative schools serving approximately 1,300 students. In addition, 38 "alternative programs" have been identified but, again, there is no common definition for these programs. Some of these alternative programs are viewed as punitive and repressive by some children's advocates. There is general awareness that some of these programs may simply become warehouses for students most in need of intensive services. Concern has also been expressed that absent great care, admission to these schools might be handled in a racially disparate manner, resulting in minority students being deprived of educational services in regular school settings. Because alternative school students' KIRIS results are attributable to their home schools, there is no simple way to evaluate with KIRIS the success of students in these alternative settings. Anecdotally, there are reports of substantial success with some students, and some of these reports come from the students themselves. These schools can be substantially more expensive than regular programs, although there is no statewide data available on average costs. In one urban setting, the school district reports that the cost per student is almost

double that of children in regular classrooms; in one rural setting, the cost was 338 percent higher than the Support Education Excellence in Kentucky program (SEEK) base figure. In view of the above, it is important that these programs be carefully studied so that successful strategies can be identified and modeled in other districts while eliminating less successful or counterproductive ones. Those programs which become warehouses or which function in an racially discriminatory manner do nothing to further the education goals, but those that are successful in helping "all children to learn at high levels" should become an important component of reform.

KECSAC

Concerned that Kentucky's "state agency children" might not be receiving the full benefits of reform, the Kentucky Legislature in 1992 created the Kentucky Educational Collaborative for State Agency Children (KECSAC) to "serve children in facilities and programs operated or contracted by" various Cabinet for Human Resources programs. KRS 605.110. In the 1994 Legislative Session, children in "private child care facilities" were added to the population covered by KECSAC, and currently KECSAC is responsible for serving approximately 2,300 children residing in over 100 facilities. It is projected that 2,935 and 3,146 students will fall under the auspices of KECSAC in 1997 and 1998 respectively. KECSAC has served as a conduit for educational funds to local districts, retaining over the biennium approximately \$700,000 for administrative costs, including training for local district staff. KECSAC has not been without controversy. It has operated on emergency regulations virtually since its inception. It is the only Kentucky statute permitting local districts to "opt out" of providing services to some children, and there is little agreement among the various parties about the

constitutionality and scope of this provision. There is also debate about whether the funds flowing to KECSAC represent an unconstitutional diversion of educational funds to an entity other than a local school district. Some districts argue that these funds could and should be better spent providing direct services to students. Perhaps the sole point of agreement is that these students represent some of Kentucky's most troubled and needy. With this point of common focus, a timely review of KECSAC legislation is needed.

House Bill 826

In an effort to maximize educational programming for students who need adjunctive services, House Bill 826, enacted in 1994, established a procedure by which local school districts could become Medicaid providers, thereby accessing Medicaid funds which are approximately two-thirds federal dollars. Although the Cabinet for Human Resources and the Department have been working for 18 months to implement this statute, their efforts have been complicated by necessary amendments to the state Medicaid Plan, thereby involving the federal Health Care Financing Administration. The statute has not yet been implemented, and thus its effect on services for students cannot be assessed at this time.

Summary

In sum, Kentucky is continuing its efforts to ensure that educational benefits extend to all children by utilizing a number of creative strategies to address the needs of these students. Creativity is to be encouraged. As some strategies prove to be effective and others do not meet expectations, it will be

Kentucky School Districts. Their findings are noted in the project's annual report. Based on their observations, these researchers found that the use of instructional technology did not appear to be widespread. Overall, fewer than 20 percent of all observed teachers utilized or reported utilizing instructional technology as a regular part of instruction. Where class sizes were relatively small, computers were in almost constant use on the days visited. Younger students were found to work primarily with a program to teach keyboarding skills, while older students mostly used the word processor to type portfolio entries.

Bridge (1994) investigated the progress of the implementation of the Primary Program. Comments from observers during the debriefing sessions for the report noted differences in the variety of instructional materials used in primary classrooms from the previous year's study. Computer-based instructional materials were more prevalent in 1994 than had been observed in the schools in 1993. While the information is clearly anecdotal, it is notable as an inductive indication of increased instructional use of computer-based instructional material.

Evans-Andress, M. (in progress). Computer Technology Implementation and Occupational Dynamics Among Teachers in Rural School Districts. This qualitative study of technology implementation in several rural counties in Kentucky specifically focuses on how, or if, schools use models that is, do they use representatives from experienced schools as consultants or some other sources of expertise? The study, funded by the University of Kentucky/University of Louisville Joint Center for the Study of Educational Policy specifically asks if -- school districts are "re-inventing the wheel" each time technology is integrated into a particular district.

Bliss, T. & Hovda, R. (in progress). Cases Studies of KERA Related Changes in Instruction and School Structure. This project seeks to develop cases of KERA related changes in instruction and school structure. Case writers and subjects will be trained in the case method and writing techniques modeled after the Harvard Business School approach. Cases depict accomplished teachers who integrate the state's new teacher performance standards into their classroom practice. Cases may also address other aspects of KERA such as school-based decision making. The true story cases of teachers in the midst of reform will be available in hard copy through the UK/UL Joint Center and will also be transformed into compact disc cases for use in professional development and ongoing collaboration among teacher educators, practicing teachers, and pre-service students in Kentucky.

Mazur, J. (in progress). Common Thread Cases: Teachers in the Midst of Reform: Designing the Compact Disc Interface and Navigation Tools. The purpose of this research was to design a computer interface for the conversion of published cases of teachers engaged in instructional change related to KERA goals. In a compact disc electronic format, the cases will be accessible to teachers in schools as well as to pre-service teachers in the state's teacher education programs. This project dovetails with the efforts defined by Bliss and Hovda in their proposal to the UK/UL Joint Center for the Study of Educational Policy. The larger project, co-directed by Bliss & Mazur and funded by Bell South, the Gheens Foundation, and Kentucky Education Television, proposes to develop and use networked compact disc technology to deliver case-based professional development materials in support of educational innovation and KERA performance based reform in Kentucky.

Smith, D. and Parker, J. (in progress). Clarifying the Role of the District Technology Coordinator. The purpose of this study is to analyze the current practice of technology coordinators and to provide a set of performance outcomes that have been validated by the membership of the Kentucky Association of Technology Coordinators. A delphi approach is being used to gather data on which consensus coding will be applied.

Thomas, D. & Mazur, J. (in progress). Many Fingers, One Hand: Multicultural Education Through the Use of Distributed Hypermedia Technology. The goal of this collaborative project is to design an interactive computing program that focuses on multicultural education as shaped by the multicultural education strand of KERA. The program highlights implementation strategies which are relevant for teacher education as well as for school teachers and administrators. The multicultural content of this program will be developed initially as an interactive videodisc. Case study vignettes are included using videotaped segments of teaching episodes in classrooms in Kentucky. The program will eventually be available in digital form through the use of multimedia internet tools such as CELLO or MOSAIC.

Minix, N. (in progress). Using Technology to Develop Creative Thinking in Middle School Students. This study explores KERA's Goal 5 (Creative Thinking) as applied to technology, using a brainstorming program called Idea Fisher.

Stroble, B. and Rohav, R. (in progress). Implementing KERA Reforms Using Student Teacher Networks. This study assesses student teachers' use of an electronic mail network designed for professional development.

Source: A Review of Research on the Kentucky Education Reform Act (KERA).
University of Kentucky/University of Louisville Joint Center for the
Study of Education Policy. 1994.

EDUCATION TECHNOLOGY

DEPARTMENT OF EDUCATION RESPONSE TO OFFICE OF EDUCATION ACCOUNTABILITY REPORT OF 22 AUGUST 1995:

Status B, page 2, regarding the elimination of a process to identify tasks and deliverables:

1. The Department does not agree with the contention that a process by which individual project tasks and deliverables are identified has been eliminated. The Task Order process, as instituted by George DeBin, former Finance and Administration KETS Project Director, was discontinued by Dr. Tarvin, current Finance and Administration KETS Project Director. Dr. Tarvin instituted a similarly accountable task assignment and reporting process based on the yearly Implementation Plan Budget which does clearly identify all individual project tasks as either a "service" or a "deliverable." Each service or deliverable has performance deadlines and an associated line item in the budget.
2. The Department submits monthly status and financial reports on each project, by deliverable or service; labor and operating expenses are detailed, copies of associated pay documents with accompanying invoices are provided to the project office. The project office approves each expenditure and reimburses the override account to which the Department charges KETS expenditures.

Status C, page 3, regarding the second Memorandum of Understanding between KDE and the Finance Cabinet signed in July 1994 and the changing roles of the agencies:

1. The Department agrees that the second MOU lessened the direct involvement of the Finance and Administration Cabinet in daily KETS activities, and transferred project management responsibilities to the Department.
2. The Department would like to note, however, that this transition was initiated by George DeBin prior to his leaving the Project Office with the support of former Secretary Mulloy based on the stability and progress of the project. The intent of the current MOU, as is evident from its provisions, was to recognize the Finance and Administration Cabinet's role in KETS as one primarily of a fiscal manager for the Education Technology Trust Fund.
3. The MOU recognizes the Department as the party responsible for KETS implementation with oversight provided by the Kentucky Board of Education.

Status D, page 5, regarding allegations that the "Only the Best" software catalog is not based on evaluations or standards:

The Department disagrees with the description of the "Only the Best." Further, there is structured process, of which OEA is aware, by which KETS "provides districts with information on current and high-quality software programs."

Only the Best

1. "Only the Best" was selected as the consumers-guide to instructional software for Kentucky teachers based on the 1992 software survey process described in the KETS Project Office Response, December 1993, noted in the OEA report. The implication of the OEA report is

- that the selection of "Only the Best" as a consumers-guide is a deviation from the previously stated direction. This is not true. Kentucky teachers do not want a "buy list;" Kentucky teachers want good information on which to base instructional decisions.
2. The "Only the Best" catalog is, in fact, based on evaluations. The instructional goals of KERA are not totally unique to Kentucky. Software reviewed and deemed excellent by 51 leading organizations and publications around the nation may also be appropriate to Kentucky.
 3. "Only the Best" is provided free to every teacher in Kentucky. It's use is optional. Teachers are not restricted to buying software listed in the guide.
 4. The Association for Curriculum Supervision and Development (ASCD) is vendor and software publisher independent. ASCD is one of the most respected professional curriculum associations. The "Only the Best" catalog is updated routinely. The Commonwealth continues to evaluate its quality against other industry offerings and is not obligated to continue its license with ASCD beyond the point at which it ceases to be the best product available.
 5. The Department could mandate which instructional software teachers can purchase, but prefers to provide guidance information so that schools can make local purchasing decisions.
 6. The architectural standards of KETS specify that the software must run on Macintosh or Intel workstation platforms, preferably both. The overwhelming majority of software listed in "Only the Best" runs on one or both. The platform on which the software runs is noted in the software review. The reader has no difficulty ascertaining whether or not the software meets this standard.
 7. In summary, thirteen thousand software/multimedia programs now flood the education marketplace. Making effective decisions about this mountain of instructional materials could overwhelm the most energetic and diligent educator. The Department could have chosen to ease the software selection burden by restricting choices. Instead the Department has chosen to place the decision-making in the hands of those individuals who best know the needs of their -- the classroom teachers. Educators could be overwhelmed with the mass of programs now available. They want this mass sifted down to a much more manageable field -- the programs truly worthy of an "A" grade. After 10 years of existence, "Only the Best" continues to provide a quick, easy way for educators to find the top technology-based materials available to meet their needs. Currently, OTB contains reviews and information on the top 8% of software on the market, or 1,030 programs. Providing this information to any P-12 public school teacher in the state in an electronic format means that they can easily search the information to identify top notch software to fit their hardware, grade level, and subject area needs quickly and easily.

The Electronic Instructional Materials Evaluation Process and the Software Advisory Council:

1. In addition to selecting "Only the Best" as a consumers guide, KETS has collaborated with the textbook selection process to advertise and establish contracts for electronic instructional materials (software) which may be bought with textbook funds. So far, materials for geography, science, and language arts have been selected.
2. The KETS Software Advisory Council, composed of educators from throughout the state, meets regularly to determine priorities for software evaluation and usage guidelines. This group monitors "Only the Best" for quality and formulates instructional software policy.

3. Both of these groups are components of the current Implementation Plan and are reported on routinely.

Status E, page 6, regarding hardware and software platforms and calling the current system design a "hodgepodge":

Contrary to OEA analysis, Kentucky Education Technology System hardware platforms, software platforms, and the network have been successfully implemented, are operational today in all 176 districts, and are working together today as one system. The Kentucky Education Technology System is not a theory; it is an emerging reality which is today constrained only by limited funding. Design and implementation of the systems has followed the Building Blocks (requirements, design, process engineering, and implementation) described in 1992 HB 698, the Master Plan for Education Technology approved in 1992, the KETS Implementation Plans approved yearly by the Kentucky Board of Education and the Finance and Administration Cabinet, the KETS Architectural Standards and Technical Specifications, and the KETS Blueprint and Selection Guide. Rigorous attention to detail and careful execution of plans has meant that all KETS components work in harmony today throughout the Department, 176 school districts, 8 regional service centers, and several hundred schools across urban and rural Kentucky. The contention that this carefully architected, state-of-the-art design is fatally flawed because it incorporates multiple platforms is incorrect.

It is not true that the KETS design is inconsistent with industry trends. The Technology Advisory Council, composed of Chief Information Officers from leading Kentucky corporations (Toyota, Ashland Oil, Fidelity Investments, Brown-Foreman, Bank One, etc.) have heartily endorsed this design as incorporating high-level functionality, a high degree of integration, a high degree of interoperability, the flexibility to incorporate emerging technologies, and extensive network management capability to handle a system of this size and scope.

Every instructional and administrative component is tested against the technical specifications and for interoperability before it is released to the field. The Education Technology Assistance Center (ETAC), implemented in January 1994, has every KETS hardware and software component that can be found in schools, schools offices and district offices. Before a component is selected, it is tested to ensure that it operates with every other KETS hardware, software or network component on both local area networks and the wide area network. This process provides verification to school and district customers; when they buy a KETS component it will work independently as well as with other KETS instructional and administrative components.

Large system implementations are also tested at the Shelby County Pilot Site, the innovation centers, and volunteer districts before going to full scale implementation. For example, during the recent office and communications implementation in 176 district offices, all components were fielded successfully with no project slow down (the KETS network operating system(Novell), workstation operating systems(MS Windows, Mac's System 7, Unix), application software packages (WordPerfect, Word, Excel, Lotus 123, Powerpoint, MS Mail, Netscape, MS Schedule), file servers(IBM RS6000, IBM/Pomeroy's

486/Pentiums), network hubs (Bay Networks, Cabletron), Routers(Wellfleet), and 6 different workstations(DEC, IBM, Compaq, Accent, Apple, Tandy). Hardware, software and networking components in this design are recognized by the industry as the best of their kind.

Because KETS is built upon solid adherence to open standards the state has the ability to select from a multitude of different components. Kentucky schools do not have to settle for a single vendor's proprietary solution; Kentucky schools have choices. Kentucky schools also benefit from competition; KETS goes after the "best of breed" in every category regardless of manufacturer. Because KETS leverages the state's buying power as a single customer to industry, intense competition is created among top vendors in each product line. As a result, Kentucky pays very low prices for top-quality products which are proven winners.

Specific inaccuracies in the OEA report:

1. Novell is a Network Operating System; Novell is not an Operating System.
2. Although this verbiage may be confusing, the industry makes clear distinction among the two. They are not the same; they do not perform the same functions. A user needs both. The Network Operating System handles resource balancing, file and print sharing, and manages traffic among multiple users on a network. A Network Operating System is capable of supporting simple database applications. It is not designed to support large relational database applications which handle multiple interrelated tasks among multiple users simultaneously. These tasks are performed by the Operating System. It is true that Novell is the single KETS standard for a Network Operating System.
3. Unix is not a Network Operating System. Unix is an Operating System. Unix is the industry standard based on performance and cost for relational database, multi-tasking systems shared by multiple users on a network (such as the KETS district and school administrative systems). UNIX comes in three "flavors," each of which has slight variations but all of which are interoperable: AIX UNIX; SCO UNIX; and, Apple UNIX.
4. DOS, Windows, and Apple 7 are also operating systems. These low-end operating systems are generally single user, single tasking, and handle the user's interaction with the computer. These systems reside on KETS workstations.

The OEA report consistently confuses issues by using terms (Network Operating System, Operating System, and platform) interchangeably to discuss items which are not interchangeable.

On the subject of multiple databases:

1. KETS uses Informix and Oracle as high-end, multi-user relational databases. Each product is an industry leader; each has particular strengths and weaknesses. **KETS applications would not run as well or as inexpensively if the project tried to force applications engineered to run on one to run on another.** These products work well together and both are necessary. The typical KETS user will never deal directly with either Informix or Oracle; these products are embedded within applications such as MUNIS or the Statewide Reporting System and the user is more or less unaware of their

- existence. If it becomes beneficial and cost effective to migrate applications from one database to another in the future, that can be done.
2. Access is one of the choices KETS users have for an end-user database; their other choice is FoxPro. The user's choice is bundled within the office product suite. These are low-end databases used by the typical KETS user for smaller applications which do not require specialized programming skills. Teachers and students use these types of databases extensively in the classroom to organize, manipulate, and present information. These databases are not designed to run major statewide applications.
 3. **High-end databases are not interchangeable with end-user databases. KETS requires both.**

Status F, page 9:

1) *Regarding teacher and student workstation counts:*

The Department agrees that substantial additional funding will be needed to achieve the desired teacher and student workstation ratios.

The Department's position on this issue was presented in the Concept Paper on the Update of the Master Plan, which OEA received in May. The Department estimates that beginning with the end of the 97/98 school year approximately one-sixth of the desktop (not the network) will have to be refreshed each year. The Concept Paper estimated the cost to replace teacher and student workstations at this rate at approximately \$33 M each year; total recurring costs were estimated at \$63 M each year.

2) *Regarding food services, transportation, school management, school activity fund accounting and other components.*

- This assertion that these components "are no longer a part of the current implementation" is not true.
- These components, categorized collectively in the Master Plan as part of the Student/School Management Systems (SSMS), are still in the Master Plan and are still part of the KETS implementation. In fact, the *Concept Paper on the Update of the Master Plan*, which was sent to the Office of Education Accountability in May and discussed at a KETS Steering Committee meeting in June at which OEA was present, contains a section entitled "Completing Implementation of District and School Management Systems" under the heading "Implementation Goals for the 1996-98 Biennium."
- The decision to defer selection and implementation of these components until the 1996-98 biennium was made in response to funding limitations within the 1994-96 biennium. The KETS Project Office, the Department, and superintendent representatives ranked these components as lower in priority when compared to district financial management and pupil attendance and accounting systems.

3) *Regarding implementation of PBXs and classroom telephones:*

- The assertion that implementation of these components is “no longer a part of the current implementation” is not true.
- These components are still in the Master Plan, are still part of the KETS implementation, and are being implemented in many schools today. The decision on when to place voice services in the classroom is up to the school. Typically, it is more efficient and cost-effective to place phones in the classroom at the time the classroom is wired for voice, video and data together. The Department reviews all wiring plans to ensure that adequate provision for voice service is included. The Department has never denied, nor tried to dissuade a district from, placing telephones in the classroom.
- In fact, the *Concept Paper on the Update of the Master Plan*, which was sent to the Office of Education Accountability in May and discussed at a KETS Steering Committee meeting in June at which OEA was present, contains a recommendation that the Master Plan and associated KETS standards be amended to include a cordless phone, rather than a traditional handset, in every classroom.

4) *Regarding, the district accumulator and district wide attendance:*

- The district attendance accumulator was installed in Cloverport Independent School District on 7 August. The district attendance accumulator is being installed in eight additional districts during August and September 1995.
- Several districts plan to utilize school-based district-wide automated attendance software in the 1995/96 school year including Cloverport Independent, Knox County, Pendleton County, and Shelby County. Most districts utilize some sort of automated software to maintain attendance information today. All districts utilize a state developed package to report attendance statistics to KDE at the end of the second school month and the end of the school year. The district attendance accumulator software will replace this state-developed package.
- This portion of the OEA report overlooks the fact that limited funding has prohibited the vast majority of schools from wiring classrooms and installing teacher workstations to access automated attendance systems. As more classrooms are brought onto the network, fully automated attendance tracking and reporting will increase.

5) *Regarding automated attendance:*

The contention that the database and operating system decision supporting school administrative systems will add an unplanned \$15 M to the project is not true. In previous reports, OEA has contended that schools could “get by” with one file server supporting both instructional and administrative purposes. The Master Plan budget includes two file servers at the school; administrative and instructional use are to be segregated for reasons of security and performance.

6) *Regarding implementation of the financial administrative system:*

- The original target date for complete implementation of the financial management system was June 1994 (as established by the KETS Master Plan of April 1992). To that end, a Request for Proposal for the implementation of a comprehensive and all-encompassing financial management system was issued on May 18, 1993, with responses to the RFP due by September 24, 1993.
- Because of funding levels contemplated in the 1994-956 Biennial KETS Budget, the Finance and Administration Cabinet recommended that the RFP be canceled on February 25, 1994. In response to a 28 February letter to the Department, Commissioner Boysen concurred with Mr. DeBin's recommendation for two primary reasons: available funding would not support implementation of the bid system in all districts within the biennium; and, the Department considered it imperative to implement network connection to each district as soon as possible and no later than June 1996, which required that network installation be allowed to precede financial system installation.
- KDE was asked, therefore, by the Project Office, to rescale the DAS to provide critical functions more appropriate to the funding levels available.
- On 21 March 1994, the Department alerted superintendents of the revised implementation plan. This correspondence states that by June 1996 each district will be operating a local area network and connected to the statewide network, each district will run a basic set of office and communications services; each district will run a basic set of critical business applications; each district will report data via the network; and districts will have the option of implementing critical school administrative applications. **To date, ten months before the target completion date, each district is running a local area connected to the wide area network, each district is running office and communications services, each district has the capability to report data via the network, and districts have the option of implementing pupil attendance and accounting systems at the school level for which KETS contracts have been established (See KETS Infrastructure Implementation Fact Sheet, attached).**
- Implementation of the financial management system follows network implementation. On 12 April 1994, a group of local district superintendents, KDE staff, and KETS Project office staff met to set the priorities for software acquisition. Modules selected for priority of implementation were: Payroll, Accounts Payable, General Ledger, Personnel, Budgeting and Purchasing.
- A team of functional experts (four state employees, four local school district representatives; five of the team members had financial backgrounds, three were Certified Public Accountants) met to determine mandatory and desired functional software requirements, set priorities, and review off-the-shelf software for compatibility with critical functional requirements. The team was asked to recommend one to three off-the-shelf products for review by a Technical Review Team. The functional team met for 12 days over a five week period from April 14 to May 16, 1994 and utilized a structured methodology to make their recommendation. The Technical Review Team recommended the Munis product to the software negotiation team. Munis contract negotiations proceeded until 19 September 1994 under the direction of the Finance and Administration Cabinet. The Munis software

was installed in the Shelby County Pilot Site on 19 September 1994, the same day the contract was signed by the Finance and Administration Cabinet. Since that time, Munis has been installed in 46 additional districts across the state.

- The District Administrative System (DAS) Implementation Team developed a comprehensive support structure to provide assistance to districts in all phases of the implementation. Support features include an Implementation Guide, a Memorandum of Understanding (defining each participant organization's responsibilities), Data Conversion, training program for new Chart of Accounts, and use of MUNIS software, on-site support for the first cycle of financial processes, and a 1-800# accessible central help desk.
- The Department of Education has committed substantial professional resources to MUNIS implementation. The labor effort has been intensive and highly demanding. Key staff have been moved from other projects and devoted to this effort.
- KDE did not anticipate some of the difficulties that local district personnel have encountered moving to an fund based, modified accrual accounting system. While the Department realized that the project team would be engaged in 176 unique implementations, it underestimated the degree of uniqueness of the financial operations, payroll procedures, and reporting processes among local districts. This situation has lead to increased frustration among some local district superintendents and central office personnel and has generated a tremendous work load for KDE's financial support staff to provide accounting expertise and support. The work load that has resulted at both the state and local levels is above and beyond normal responsibilities and was not anticipated.
- Based on meetings with concerned local superintendents and feedback from the implementation evaluation process, KDE is currently reviewing all implementation processes and schedules to address problem areas. KDE staff is reviewing four specific areas for improvement and revision: training; reporting; human resource needs; and, implementation schedule. During this time KDE has decided to delay new installations (except for a few districts who have expressed a desire to proceed) until these issues are resolved. This strategy will also permit the DAS implementation to concentrate additional support on the 47 districts currently engaged in implementation. The improvements are expected to include an on-going program of professional development in accounting principles and reporting for local finance personnel and superintendents. KDE expects to complete recommendations for improvement by 30 September 1995 and will review its recommendations with the Finance and Administration KETS Project Office, the Local Superintendents Advisory Council, and local district user personnel prior to implementation.

7) a) *Regarding contract with The Computer Center:*

1. **The OEA report incorrectly states the terms of the contract. The Commonwealth's contract with The Computer Center includes both Milestones (based on performance) and Target Dates (estimates of when the Milestones might be reached). Payment is authorized when the Milestone is completed satisfactorily, not when the Target Date occurs. The Commonwealth reserves the right to slow down or accelerate progress**

Department of Education Response
to Office of Education Accountability Report
1 September 1995

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- toward each Milestone based on best interests such as district readiness, site preparation, district requests for enhancements, software fixes, etc.
2. During contract negotiation initial Milestones and Target Dates were established which called for the first payment to be made in August 1994. The contract was not signed until 19 September 1994.
 3. OEA is correct in reporting that the Department recommended that the Project Office withhold \$100,000 from payment of Milestone #2. The Department does not and will not recommend payment against any Milestone until all specific deliverables and services promised are delivered satisfactorily.

b) *Regarding the contract with NCS:*

(See response to 4, Regarding the District Accumulator)

c) *Regarding local bank accounts:*

Although the February data is accurate, the Department objects to the fact that this month was singled out to imply that districts are slow to spend technology funds. This approach is misleading. OEA is routinely provided with data depicting status of the offers of assistance. In fact, OEA requested and received data on the status of monies in local banks on 21 August, the day before the OEA report was delivered, which indicated an amount approximately \$9 M less than the amount reported during the meeting.

1. The Department raised the issue of monies in local bank accounts in March to the KETS Leadership Team, indicating that letters would be sent to Superintendents inquiring about relatively high balances. Since many districts receive their offers in late Fall and early Winter, local bank account balances are usually highest in the first quarter of the calendar year.
2. Responses to these letters indicated a variety of reasons for the relatively large balances, but the **majority of these funds were encumbered**. Reasons ranged from pending procurements to monies being saved over multiple years for extensive and expensive wiring projects which would take place in mid-late Summer 1995. The cost of wiring even small districts can be \$200,000. Larger districts, such as Calloway County, spend around \$350,000. In almost all cases, districts must not only set aside a portion of their trust funds to save for wiring but must raise substantial additional funds locally.
3. By May 15 the amount of funds encumbered in local bank accounts had been reduced to \$29M ; by 30 June 1995, had been reduced to \$25M. As is typical, local expenditures are unusually large during July and August as districts prepare for the new school year. Bank balances are typically at their lowest point following this late summer activity. In the seven day period ending 28 July alone, \$1.3M was expended from local bank accounts.
4. The total of encumbered funds encumbered local bank accounts as of 29 August 1995 is \$19.7 M or 18% of funds made available.



SCHOOL FACILITIES CONSTRUCTION COMMISSION

EDUCATION TECHNOLOGY FUNDING PROGRAM

FINANCE AND ADMINISTRATION CABINET

267 CAPITOL ANNEX

FRANKFORT, KENTUCKY 40601

(502) 564-5582

BRERETON C. JONES
GOVERNOR

CRIT LUALLAN
SECRETARY

JOE WALTERS
CHAIRMAN

ROBERT E. TARVIN, Ed.D.
EXECUTIVE DIRECTOR

MEMORANDUM

TO: Don Coffman, Associate Commissioner
Kentucky Department of Education

FROM: Bob Tarvin, ^{RET}Chairman
KETS Steering Committee

DATE: October 19, 1995

SUBJECT: MUNIS Implementation Plan Revisions - Project 9 of Implementation

During the last few days I have reviewed and discussed with representatives of the Kentucky Department of Education (KDE) ideas concerning revisions to the implementation plan on the MUNIS financial accounting package and district accumulator along with the potential budgetary impact these changes might have. In addition to the documents coming out of those discussions, there are some specific concerns and issues that need to be addressed by KDE. In testimony before the OEA subcommittee on September 12, 1995, KDE stated the MUNIS rollout was placed on hold to work out problems with the software, but that the problems were not anything earthshaking. Also, at that forum KDE indicated there appeared to be a need to enhance training for local district personnel. Those public statements might lead one to believe that only a small corrective action would be necessary, however, an increase in a project budget of over thirty percent appears to be substantial.

1. What causes KDE to now come forth with the current revision of plans? What are the problems, and when were they apparent?
2. Is this additional money needed for a change in scope of the project or is it needed for corrective action in meeting the project's original scope?
3. What are the alternatives to the proposed plan that you may or may not have considered, and what are the reasons these alternatives have been rejected.

October 19, 1995

4. If this increase in budget is obtained, what assurances exist that MUNIS will be implemented in all school districts within the funds allocated and time schedule set?
5. If this increase in budget is not available to the project, what are the alternatives to the Commonwealth?

While it is not within the Finance and Administration Cabinet's responsibilities to address programmatic decisions, there are some questions with a programmatic impact that need to be addressed.

- A. KDE deserves credit for listening to local district personnel on problems being encountered with MUNIS software, especially the need for training. Our concern is that funds to address training today may not solve the long-range problem. The real problem may be that the software is too complicated and should be revised to make it more user friendly. Has that issue been considered?
- B. If the training of local staff to use the software is so difficult now, will not the Commonwealth and local districts expect additional recurring costs to maintain staffs with higher skill levels? If MUNIS is not revised to make it an easier system to use, what steps are being taken to avoid recurring training costs?
- C. The plan to add a staff person with local school district experience can be a very positive step in providing better oversight and coordination in the implementation of the MUNIS software in the various school districts. Will the new person be assigned primary responsibility for the implementation and oversight of the MUNIS financial accounting package? When will that person be employed?
- C: Randy Kimbrough
Robin Wolfe



KENTUCKY DEPARTMENT OF EDUCATION
CAPITAL PLAZA TOWER 500 MERO STREET FRANKFORT, KENTUCKY 40601
Wilmer S. Cody, Commissioner

MEMORANDUM

TO: Dr. Robert Tarvin, Executive Director
School Facilities Construction Commission

FROM: Don F. Coffman, Associate Commissioner
Office of Education Technology *DFC*

DATE: October 26, 1995

SUBJECT: Response to October 19, 1995 Memorandum on MUNIS
Implementation Plan Revisions

I would first like to clarify the implication that the Kentucky Department of Education's testimony before the OEA Subcommittee on September 12, 1995 led the public to believe that corrective action to the implementation plan for MUNIS would be minor. KDE's written testimony submitted to the OEA Subcommittee on September 12, 1995 stated reasons for placing rollout on hold were the need to review four specific areas for improvement prior to continuing implementation. The areas being reviewed are: training for local district staff, reporting requirements, human resource needs for expanded support requested by local district superintendents and the speed of implementation set forth in the original schedule. The degree and depth of corrective action necessary was not known at the time of the 9/12 report because the needs assessment was not complete. KDE did not indicate that these corrective actions would be minor. **During discussion concerning the software, KDE did advise that software problems were not problematic nor the cause for placing the rollout on hold.**

Below are responses to the specific questions addressed in the memo:

- 1) In the original implementation plan and budget, KDE misjudged the accounting skills and knowledge of staff available in local district offices. Also, KDE found that fiscal accounting and management operations were unique in each district, especially the payroll functions. The MUNIS implementation includes major changes to the chart of accounts, a change to a fund-based double-entry accounting system and installation of new software to support these changes. The introduction of new processes and procedures, the complexity of these changes, the lack of accounting expertise among local staff and the unique operational and staff environments in each district has required extensive on-site support by the MUNIS support team. These problems have become apparent during the milestone one and two installations.

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.

1994-95 WEALTH QUINTILES

Quintile 1	Quintile 2	Quintile 3	Quintile 4	Quintile 5
<p>ALLEN CO. AUGUSTA BARBOURVILLE BATH CO. BELL CO. BREATHITT CO. BUTLER CO. CARTER CO. CASEY CO. CLAY CO. CLOVERPORT DAWSON SPRINGS DAYTON EAST BERNSTADT ELLIOTT CO. ESTILL CO. FAIRVIEW FLOYD CO. HARLAN HARLAN CO. JACKSON JACKSON CO. JENKINS JOHNSON CO. KNOTT CO. KNOX CO. LAWRENCE CO. LEE CO. LESLIE CO. LETCHER CO. LEWIS CO. LINCOLN CO. LUDLOW MAGOFFIN CO. MARTIN CO. McCREARY CO. MEADE CO. MENIFEE CO. MONROE CO. MONTICELLO MORGAN CO. NEWPORT NICHOLAS CO. OWSLEY CO. PENDLETON CO. PINEVILLE POWELL CO. PROVIDENCE ROCKCASTLE CO. SCIENCE HILL SILVER GROVE WEST POINT WHITLEY CO. WILLIAMSBURG WOLFE CO.</p>	<p>ADAIR CO. BEREA BRACKEN CO. BRECKINRIDGE CO. CALDWELL CO. CAMPBELLSVILLE CARLISLE CO. CAVERNA IND. CHRISTIAN CO. CLINTON CO. CORBIN CRITTENDEN CO. CUMBERLAND CO. EDMONSON CO. EMINENCE FLEMING CO. FULTON FULTON CO. GALLATIN CO. GRANT CO. GRAYSON CO. GREEN CO. GREENUP CO. HARRISON CO. HART CO. HAZARD LARUE CO. LAUREL CO. MARION CO. MAYFIELD METCALFE CO. MONTGOMERY CO. MUHLENBURG CO. OHIO CO. OWEN CO. PARIS PERRY CO. PIKE CO. RACELAND ROBERTSON CO. ROWAN CO. RUSSELL CO. RUSSELLVILLE SPENCER CO. TAYLOR CO. TODD CO. WALTON-VERONA WAYNE CO. WILLIAMSTOWN</p>	<p>ASHLAND BALLARD CO. BARREN CO. BELLEVUE BOURBON CO. BOYLE CO. BULLITT CO. CALLOWAY CO. COVINGTON ELIZABETHTOWN FRANKFORT GARRARD CO. GLASGOW IND. GRAVES CO. HARDIN CO. HARRODSBURG HENDERSON CO. HENRY CO. HICKMAN CO. HOPKINS CO. JESSAMINE CO. LOGAN CO. MADISON CO. McLEAN CO. MERCER CO. MIDDLESBORO NELSON CO. PAINTSVILLE PULASKI CO. SIMPSON CO. SOMERSET TRIGG CO. TRIMBLE CO. UNION CO. WASHINGTON CO. WEBSTER CO.</p>	<p>ANDERSON CO. BARDSTOWN BEECHWOOD BOWLING GREEN BOYD CO. BURGIN CAMPBELL CO. CARROLL CO. CLARK CO. DANVILLE DAVIESS CO. ERLANGER FRANKLIN CO. FT. THOMAS HANCOCK CO. KENTON CO. LIVINGSTON CO. LYON CO. MARSHALL CO. MASON CO. McCRACKEN CO. MURRAY OLDHAM CO. OWENSBORO PADUCAH PIKEVILLE RUSSELL SCOTT CO. SHELBY CO. SOUTHGATE WARREN CO. WOODFORD CO.</p>	<p>ANCHORAGE BOONE CO. FAYETTE CO. JEFFERSON CO.</p>

COLLECTION RATES FOR REAL AND TANGIBLE PROPERTY

DISTRICT	1989-90	1990-91	1991-92	1992-93	1993-94	1994-95
ADAIR CO	97.69%	97.51%	97.38%	97.24%	97.94%	96.21%
ALLEN CO	97.82%	98.07%	98.49%	98.45%	98.91%	97.19%
ANDERSON CO	98.21%	98.19%	98.43%	98.61%	98.62%	98.53%
BALLARD CO	97.38%	98.41%	99.00%	98.54%	97.78%	97.15%
BARREN CO	97.85%	97.48%	98.83%	98.96%	99.05%	98.94%
BATH CO	96.09%	95.96%	96.57%	96.92%	96.64%	100.68%
BELL CO	95.09%	94.52%	95.41%	96.01%	N/A	98.42%
BOONE CO	97.65%	97.92%	97.93%	98.52%	N/A	94.66%
BOURBON CO	97.83%	98.17%	97.67%	98.50%	98.70%	99.14%
BOYD CO	96.82%	96.82%	97.02%	97.50%	97.94%	97.74%
BOYLE CO	98.62%	97.19%	98.39%	98.85%	99.33%	96.55%
BRACKEN CO	98.80%	98.22%	98.69%	99.20%	99.43%	97.88%
BREATHITT CO	80.90%	90.06%	88.18%	91.15%	90.69%	95.83%
BRECKINRIDGE CO	98.13%	98.34%	98.50%	98.19%	98.41%	93.25%
BULLITT CO	96.39%	96.42%	97.13%	97.04%	96.97%	98.85%
BUTLER CO	97.89%	97.55%	97.95%	98.13%	98.11%	98.18%
CALDWELL CO	97.71%	97.78%	98.27%	97.17%	98.43%	98.10%
CALLOWAY CO	98.58%	98.08%	98.49%	98.42%	N/A	97.00%
CAMPBELL CO	95.84%	96.33%	95.47%	96.31%	96.77%	96.43%
CARLISLE CO	97.49%	97.58%	98.80%	98.82%	98.83%	92.05%
CARROLL CO	99.14%	99.50%	99.50%	99.92%	99.27%	97.80%
CARTER CO	93.12%	92.67%	93.38%	95.16%	N/A	92.50%
CASEY CO	97.59%	98.57%	98.12%	98.31%	98.49%	96.26%
CHRISTIAN CO	97.71%	96.47%	97.74%	98.21%	98.02%	95.73%
CLARK CO	97.83%	98.06%	98.54%	98.88%	98.52%	96.13%
CLAY CO	91.08%	90.61%	95.84%	95.44%	N/A	92.06%
CLINTON CO	94.74%	94.78%	92.60%	93.35%	94.55%	95.00%
CRITTENDEN CO	98.89%	98.71%	98.90%	99.25%	99.29%	100.74%
CUMBERLAND CO	94.21%	95.04%	94.98%	95.52%	96.18%	97.51%
DAVIESS CO	99.32%	99.26%	99.16%	99.25%	N/A	98.59%
EDMONSON CO	96.72%	96.30%	96.72%	96.92%	96.28%	100.20%
ELLIOTT CO	87.45%	91.94%	93.23%	95.51%	N/A	98.79%
ESTILL CO	95.09%	94.67%	94.58%	94.43%	N/A	91.75%
FAYETTE CO	97.25%	96.55%	94.79%	98.00%	98.40%	98.23%
FLEMING CO	99.07%	98.94%	98.91%	99.25%	99.07%	97.54%
FLOYD CO	92.08%	89.02%	89.46%	92.28%	N/A	93.00%
FRANKLIN CO	96.66%	97.18%	97.78%	97.76%	98.59%	97.43%
FULTON CO	97.77%	97.20%	97.97%	98.21%	98.33%	95.36%
GALLATIN CO	94.50%	96.20%	95.03%	96.82%	96.99%	99.46%
GARRARD CO	97.36%	97.32%	97.38%	97.55%	97.93%	99.31%
GRANT CO	98.27%	97.69%	98.08%	98.07%	98.31%	98.25%
GRAVES CO	96.58%	96.90%	98.05%	98.07%	98.13%	99.31%
GRAYSON CO	96.49%	97.22%	96.68%	97.58%	N/A	97.54%
GREEN CO	98.54%	98.33%	98.34%	98.34%	98.50%	98.25%
GREENUP CO	92.41%	93.07%	93.90%	91.92%	N/A	96.96%
HANCOCK CO	99.58%	99.62%	99.53%	99.61%	99.68%	99.25%

APPENDIX L

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