



Legislative Research Commission

Review of Teacher Evaluation and Compensation

Research Report No. 379

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Foreword

In recent years, policy makers in Kentucky and throughout the nation have focused reform efforts on evaluation and compensation as a way to ensure an adequate supply of high-quality teachers. This report reviews current practices in Kentucky and educators' views regarding certain types of reforms that are being implemented in various parts of the nation.

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Summary

Considerable national attention, effort, and money are going toward developing alternative evaluation and compensation approaches with the goals of attracting and retaining effective teachers, improving teacher performance, and boosting student achievement.

These reforms are responding to criticisms of current evaluation systems in the nation's schools, including those in Kentucky. The criteria for evaluation are not always specific enough and are focused more on processes than on results; measures of the achievement and growth of the teacher's students are usually not factors in the evaluation. Evaluators tend to rate all teachers about the same, without distinguishing excellent or poor performance from average performance. Like most of the nation, Kentucky uses a single-salary schedule based on years of experience and degrees earned—factors that do not strongly and consistently determine student achievement. In Kentucky, opportunities are limited for additional pay above the single-salary schedule.

Many states are making major changes such as using growth in student performance measures as one of the criteria for evaluations, tenure, and rewards. A major catalyst for these changes has been federal funds offered through the Race to the Top competition. Kentucky has begun a 3-year initiative to review and revise its approach to evaluation. At the time of this report, it was too soon to know what shape that initiative will take. Most surveyed Kentucky educators are open to experimenting with additional pay and basing part of evaluation on student growth. Nontenured teachers are more open than tenured, and teacher unions are generally opposed.

However, major improvements in student achievement are not likely to result solely from revising evaluation forms and procedures and offering monetary incentives. There is no consistent research evidence that evaluation and compensation alternatives boost student achievement or attract, retain, and motivate teachers. Research is limited, in part, by the short life span of most initiatives. Most concerns expressed by Kentucky educators and in the research literature relate not so much to evaluations themselves as to how they are used—especially in dealing with poor performance and supporting teachers' improvement efforts. Reforms will be most effective if they focus on how evaluations are used and consider such other factors as the preparation and supply of high-quality teachers, teachers' working conditions, school and district leadership, support for teachers' efforts to improve their teaching, political and social pressures against firing, time and paperwork burdens, student accountability for test results, and factors outside the control of schools. Sustainability must also be considered, in light of the recent failure of a loan forgiveness program; an initiative will influence career-changing decisions only if teachers believe it will last long enough to fulfill its promises.

Chapter 1

Introduction and Overview of the Evaluation Process

Background

This study reviewed Kentucky's current evaluation and compensation practices and explored the advisability and feasibility of alternative approaches.

As part of its 2010 research agenda, the Office of Education Accountability (OEA) was directed by the Education Assessment and Accountability Review Subcommittee to conduct a study of teacher evaluation and compensation. The primary purposes of this study are to review Kentucky's current evaluation and compensation practices and to explore whether alternative approaches would be advisable and feasible in Kentucky.

Teacher evaluation and compensation are considered ripe for reform, with current practices deemed unable to distinguish and act on differences in teacher effectiveness.

Concerns about the ability of the nation's education system to prepare students to compete in the global economy and disappointing results of assessment and accountability efforts have led to a renewed focus on teachers, the linchpin of education. Teacher evaluation and compensation are considered ripe for reform, with current practices deemed unable to distinguish and act on differences in teacher effectiveness (Natl. Council on Teacher 2009; Toch. "Fixing" and *Rush*; Weisberg).

Considerable effort and funds are going toward developing alternative evaluation and compensation programs. To date, none have consistently achieved their goals; however, few last long enough to be thoroughly assessed.

Much national attention, effort, and money are now going toward developing alternative evaluation and compensation approaches with the goals of attracting and retaining effective teachers, improving teacher performance, and boosting student achievement. To date, research has not identified programs that consistently achieve their intended goals; however, few programs last long enough for their effects to be thoroughly assessed.

Kentucky has begun a statewide initiative to review and improve teacher evaluation and compensation systems.

In 2009, Kentucky initiated a pilot to rapidly fine-tune an alternative evaluation and compensation program proposed in the state's application for the Race to the Top competition. In late 2010, when Race to the Top funds were not forthcoming, Kentucky decided to continue its efforts, but at a slower pace and with more flexibility as to the final product. A 3-year statewide process to review and revise evaluation and compensation is scheduled to be completed by 2013. Led by the Kentucky Department of Education, this initiative is combining the efforts of representatives from schools, districts, government agencies, professional associations, and other prominent education

stakeholders (Commonwealth. Dept. *Statewide and Teacher Effectiveness*).

Study Methodology

This study employed a literature review, a review of districts' teacher evaluation forms, and online surveys of Kentucky teachers and principals. The surveys gathered responses from 13,844 teachers and 753 principals.

This study employed the following methods:

- a review of the literature on current and alternative evaluation and compensation practices;
- a review of districts' teacher evaluation forms and related materials; and
- online surveys, which collected responses from 13,844 teachers (32 percent of teachers) and 753 principals (63 percent). Responses represent all Kentucky districts. Appendices A and B provide copies of the surveys.

Organization of This Report

The remainder of this chapter provides an overview of the teacher evaluation process. Chapter 2 discusses current and alternative evaluation approaches. Chapter 3 discusses current and alternative compensation approaches.

The remainder of this chapter provides an overview of the teacher evaluation and compensation process and a summary of pertinent statutes and regulations.

Chapter 2 discusses Kentucky's current and alternative approaches to teacher evaluation.

Chapter 3 discusses Kentucky's current and alternative compensation approaches.

Overview of the Current Evaluation Process

Purpose

Evaluation is meant to identify strengths and weaknesses and provide feedback and support for teachers to improve. In addition, evaluations inform and support personnel decisions.

The evaluation process is meant to identify strengths and weaknesses of individual teachers and provide feedback and support so that teachers can improve their practice. In addition, evaluations are intended to inform and support administrators' personnel decisions, such as which teacher contracts to renew.

Differences by Tenure Status

Tenure is a continuing service contract granted after the teacher has worked in the same district for at least 4 years within a 6-year period.

The evaluation process is different before and after tenure. Tenure is a continuing service contract granted after the teacher has worked in the same district for at least 4 years within a 6-year period (KRS 161.740(1)(b)). A tenured teacher is ensured

continued employment unless sizable workforce reductions are needed or in cases of insubordination, immorality, conduct unbecoming a teacher, physical or mental disability, inefficiency, incompetency, or neglect of duty (KRS 161.790 and KRS 161.800). Workforce reductions and rehiring must give preference to those with more seniority (KRS 161.800).

Kentucky's 4-year probationary period before tenure is longer than that of 43 other states.

Kentucky's 4-year probationary period before tenure is longer than that of 43 other states; most states grant tenure in 3 years or less, which the National Council on Teacher Quality considers too early to have accumulated sufficient data to support an informed decision about the teacher's performance (2009).

Frequency of Evaluation

Kentucky teachers are evaluated several times in their first year, annually for the next 3 years, and then every third year after receiving tenure.

In Kentucky, teachers are evaluated several times in their first year as part of the Kentucky Teacher Internship Program. After that, evaluations are typically annual for nontenured teachers, and every 3 years for tenured teachers.

Steps of the Evaluation Cycle

The evaluation process is an ongoing cycle of choosing criteria, measuring performance and giving feedback, a final summative evaluation, and consequences. Teacher compensation is not directly linked to evaluation.

The evaluation process is an ongoing cycle of

1. choosing criteria for evaluating performance;
2. multiple instances of measuring performance and giving feedback to help the teacher improve;
3. a final summative evaluation to guide professional development and personnel decisions; and
4. consequences, including development recommendations that are incorporated into the criteria for the next evaluation cycle.

Compensation is not directly linked to teacher evaluations.

Kentucky Statutes and Regulations

Kentucky sets general guidelines with KRS 156.557 and 704 KAR 3:345, and districts make implementation decisions.

The design of Kentucky's evaluation process is a shared state and district responsibility, with the state setting general guidelines and districts given the responsibility and autonomy to make implementation decisions. The main statute and regulation—KRS 156.557 and 704 KAR 3:345—lay out state and district responsibilities, performance standards, the minimum frequency of evaluation, training requirements for evaluators, and the primary consequences and uses of evaluations. Other statutes address tenure, compensation, and the appeals process.

Evaluation Criteria

Evaluations must include, but are not limited to, 10 standards in statute.

KRS 156.557 requires the Kentucky Board of Education to establish statewide standards for evaluating and supporting the improvement of all certified school personnel, and lists 10 standards that must be included in evaluations. As Table 1.1 shows, the 10th standard refers to Education Professional Standards Board standards for obtaining and maintaining a teaching certificate, as required by KRS 161.028(1)(a) and 16 KAR 1:010. Table 1.2 lists those certification standards, which overlap with the evaluation and improvement standards.

Table 1.1
Performance Standards for Evaluation and Improvement

- Performance of professional responsibilities, including attendance and punctuality
- Research-based planning of instruction and classroom management
- Knowledge and understanding of subject matter
- Fair instructional strategies that respect diversity and individual differences
- Interpersonal, communication, and collaboration skills among peers, students, parents, and others
- Performance of duties consistent with the goals for Kentucky students, the mission of the school, the local community, laws, and administrative regulations
- Effective use of resources, including technology
- Demonstration of professional growth
- Adherence to the professional code of ethics
- Attainment of standards established by the Education Professional Standards Board that are not in the above list

Source: KRS 156.557(2).

Table 1.2
Performance Standards for Obtaining and Maintaining a Teaching Certificate

- Knowledge of certified content areas
- Design and planning of instruction
- Creation and maintenance of learning climate
- Implementation and management of instruction
- Assessment and communication of learning results
- Use of technology
- Reflection on and self-evaluation of teaching and learning
- Collaboration with colleagues, parents, and others
- Implementation of professional development
- Leadership within the school, community, and profession

Source: 16 KAR 1:010 Section 1.

The evaluation criteria in most districts' evaluation forms are the 10 performance standards laid out in statute.

Evaluating a teacher's performance requires specific determinations as to the teacher's execution of the performance standards. In order to standardize this process, each district develops forms for documenting the evaluator's perceptions and thoughts. In these forms, most districts use the statewide standards as evaluation criteria, though they are permitted to develop their own with approval by the Kentucky Department of Education (KRS 156.557).

Evaluators

The primary evaluator is the immediate supervisor, most often the principal. Evaluators have initial and ongoing training in evaluation techniques.

The primary evaluator is the immediate supervisor—most often the principal, but sometimes the assistant principal, department chair, or director of special education. At the teacher's request, other teachers trained in the teacher's content area or curriculum content specialists may provide formative feedback. Evaluators are trained and tested in evaluation techniques. In addition to approximately 2 days of initial training, evaluators complete at least 12 hours of training every 2 years (KRS 156.557(3)(c)(1-4) and 704 KAR 3:345 Section 6).

Advance Explanation to Teachers

The evaluation criteria and process must be explained to teachers within the first 30 days of the school year.

The evaluation criteria and process must be explained to teachers within the first 30 days of the school year or, if a teacher is hired after that, no later than 30 days after the teacher starts work (704 KAR 3:345 Section 5(2)).

Performance Measurement and Formative Evaluation

Evaluators use classroom observations, portfolios, peer reviews, work products, and other documentation to periodically measure performance and provide feedback.

Evaluators periodically measure the teacher's performance and provide formative feedback to help the teacher improve (KRS 156.557(3)(b)(1)). Information about performance can come from classroom observations, portfolios, peer reviews, work products, and other documentation (704 KAR 3:345 Section 1(3)(a)). Kentucky regulation requires a conference between the evaluator and teacher within one work week after each observation (704 KAR 3:345 Section 4(2)(e)).

New teachers participate in the 1-year Kentucky Teacher Internship Program, which provides supervision, assistance, and assessment.

First-year teachers and those certified out of state with less than 2 years of experience participate in the 1-year Kentucky Teacher Internship Program. The internship provides supervision, assistance, and assessment by a committee made up of the principal, a resource teacher, and a teacher educator from a teacher preparation program. A committee meets with the beginning teacher at least three times during the year for evaluation and

recommendation. In addition, each committee member observes the teacher in the classroom at least three times. The resource teacher spends at least 70 hours working with the beginning teacher, with 20 of those hours in a classroom setting and 50 in consultation or attending assessment meetings ((KRS 161.030(5)-(7)).

After the internship, multiple observations are required for nontenured teachers but not for tenured teachers whose performance is satisfactory.

After the internship, Kentucky regulation requires multiple observations per year for nontenured teachers but not for tenured teachers unless their performance has been identified as unsatisfactory (704 KAR 3:345 Section 4(2)(b)).

Summative Evaluation

The summative evaluation sums up and draws conclusions from information gathered during the cycle. Some organizations recommend annual summative evaluations for tenured teachers as well as nontenured.

At the end of the cycle, the summative evaluation sums up and draws conclusions from information gathered during the cycle. Statute requires a written evaluation report and conference between the evaluator and the teacher (KRS 156.557).

Kentucky regulation sets the maximum time between summative evaluations as 1 year for nontenured teachers, after they complete their internship, and 3 years for tenured teachers (704 KAR 3:345 Section 4(2)(f-h)). Some organizations, such as the National Council on Teacher Quality (NCTQ), recommend annual summative evaluations for tenured teachers as well as nontenured, but Kentucky is not among the 15 states that required this in 2009 (Natl. Council on Teacher. 2009).

Consequences

Policy makers in Kentucky and across the nation criticize the limited role of teacher evaluations in decisions about professional development, compensation, tenure, and dismissals.

The return on investment in evaluations comes in how they are used, yet policy makers in Kentucky and across the nation frequently criticize teacher evaluation systems for having too little bearing on decisions about professional development, compensation, tenure, and dismissals.

Improvement recommendations are incorporated into the teacher's professional growth plan, which includes goals and objectives along with the methods and resources for achieving these goals and objectives.

In Kentucky, improvement recommendations from the summative evaluation are incorporated into the teacher's professional growth plan. No matter how frequently the teacher is evaluated, the professional growth plan must be reviewed and revised annually (704 KAR 3:345 Section 4(2)(c)). Each plan includes

- enrichment and development goals established by the teacher with the assistance of an evaluator;
- objectives, a plan for achieving the objectives, and a method for evaluating success;
- alignment with the specific goals and objectives of the school improvement plan or the district improvement plan; and

- identification of school and district resources within available funds to accomplish the goals (704 KAR 3:345 Section 1(11)).

A negative evaluation may lead to a corrective action plan for improvement, a reprimand, suspension without pay, or dismissal. Performance issues must be supported by written documentation, and a teacher may appeal.

If a teacher's performance does not meet expectations, a corrective action plan details what the teacher needs to correct and the professional development and assistance that will be provided (KRS 156.557(3)(c)(5)). A summative evaluation can recommend that a teacher be dismissed, suspended without pay, or reprimanded privately or publicly. Performance issues must be supported by written documentation, and a teacher may appeal to a tribunal and, if necessary, the Circuit Court (KRS 156.557 (5-6); KRS 161.790).

Exceptions

Districts may request a waiver from the procedures and processes in statutes and regulations if they meet certain requirements, but none are currently exercising this option.

Districts may apply for a waiver from KRS 156.557(3)(c) guidelines and related regulations if they meet certain requirements, but currently no district has a system that required a waiver.

A district with 65,000 or more students is exempt from procedures and processes described in KRS 156.557 as long as the district's evaluation system meets certain requirements (KRS 156.557(7)). Jefferson County is the only district whose enrollment qualifies for this exemption; however, Jefferson County's evaluation forms and procedures do not appear to depart substantially from those of most other districts.

Chapter 2

Current and Alternative Evaluation Approaches

Most Kentucky schools seem to be complying with statutes and regulations.

Although compliance was not the primary focus of the OEA study, the information gathered through review of district evaluation documents and survey responses from teachers and principals suggests that most Kentucky schools are in compliance with statutes and regulations.

Teacher evaluation processes were graded a B average by Kentucky teachers and a B– average by Kentucky principals.

However, while the letter of the law is met, the spirit of the law is less fully realized. Educators responding to the surveys perceived schools' evaluation processes as only moderately useful for improving performance and supporting personnel decisions. When asked to grade the overall impact of evaluations on teaching and learning, teachers gave a B average and principals gave a B– average.

Kentucky educators' concerns are less about evaluations themselves than about how they are used, especially for dealing with poor performance and supporting teachers' self-improvement efforts.

Evaluations will achieve their goals if they are perceived to accurately reflect the most important aspects of a teacher's performance and to have meaningful consequences. As this chapter will discuss, Kentucky educators' concerns are less about evaluations themselves than about how they are used, especially for dealing with poor performance and supporting teachers' self-improvement efforts.

Evaluation Criteria

Districts' evaluation documents vary widely with respect to the structure and level of detail.

OEA's review of districts' evaluation documents found wide variation in the structure and level of detail; all districts have a summative evaluation form, but some have a multiplicity of other forms for such purposes as classroom observations, walk-throughs, formative feedback, and conferences. Some have different versions of forms for different types of teachers, such as new teachers or resource teachers.

Rating Scales

Evaluation rating scales in Kentucky and most other places offer few choices, rarely distinguishing excellent and poor performance from average performance.

OEA's review of districts' evaluation forms included an examination of rating scales, which are considered inadequate in many states. A New Teacher Project study of several large districts across the country found that evaluations tend to rate all teachers about the same. The problem was at its worst in districts using two

rating options, generally “satisfactory” or “unsatisfactory.” In those districts, more than 99 percent of teachers were rated as satisfactory; many teachers in the study taught at low-performing schools, so it seems unlikely that only 1 percent had unsatisfactory performance. But the study found rating scales with three or more options to be only a little better, with 94 percent of teachers receiving one of the top two ratings and less than 1 percent rated as unsatisfactory. The report contends that evaluations without meaningful distinctions have “deeply insidious effects” causing teachers and schools to be indifferent to performance, with excellence unrecognized, development neglected, and poor performance unaddressed (Weisberg 6).

The New Teacher Project recommends “multiple, distinct rating options that allow administrators to precisely describe and compare differences in instructional performance.” However, this does not address how to ensure that administrators use all of the rating options appropriately (Weisberg 15).

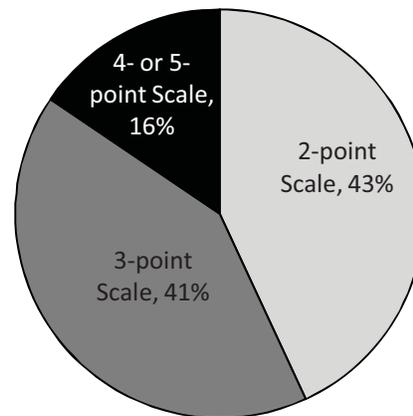
Kentucky’s model evaluation form indicates only whether a teacher meets or does not meet expectations. However, there are spaces for evaluators to suggest improvements even when a teacher meets expectations.

The evaluation form posted on KDE’s website for districts to use as a model has a 2-point rating scale, indicating whether the teacher’s performance “meets” and “does not meet” expectations. The form includes a note that “Any rating in the ‘does not meet’ column requires the development of an Individual Corrective Action Plan,” which suggests that the lower rating is for only serious deficiencies. However, even when a teacher meets all expectations, there are spaces for the evaluator to suggest improvement areas for the teacher’s professional growth plan (Commonwealth. Dept. *Teacher Summative*).

Forty-three percent of Kentucky districts use a 2-point scale similar to the model form; only 11 percent have a rating choice indicating excellence.

Review of district evaluation policies and documents found a variety of rating scales for evaluating teacher performance. As Figure 2.A shows, 43 percent of district forms use 2-point rating scales like the state model form. Another 41 percent use 3-point scales, typically “meets,” “meets but needs improvement,” or “does not meet” expectations. While the 16 percent of forms using a 4- or 5-point scale might seem to foster more accurate and nuanced evaluations, only 11 percent could be used to indicate excellence, such as “exceed expectations,” “exemplary,” or “outstanding.”

Figure 2.A
Teacher Evaluation Rating Scales Used by Kentucky Districts



Source: Staff review of Kentucky districts' evaluation forms.

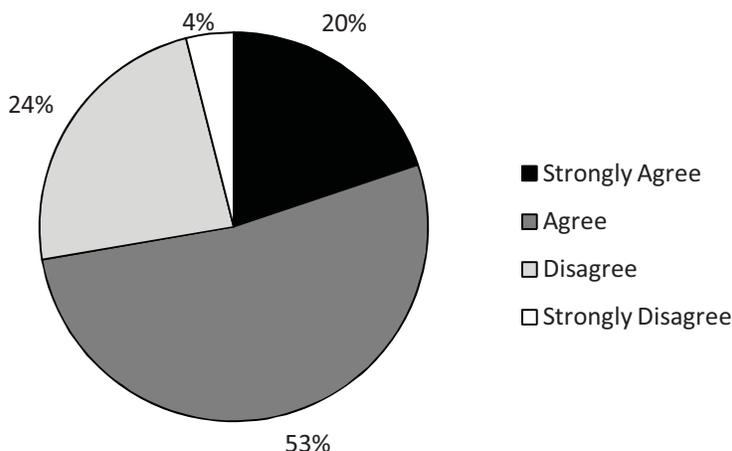
Evaluation Standards

Although teachers and principals considered a teacher's commitment to students and their learning among the most important aspects of teacher performance, principals were less confident in their ability to measure it than other factors. More than one-fourth of principals indicated that evaluation criteria need to be more specific.

Using a list of the teacher performance standards from statute, regulation, and the Kentucky Department of Education, OEA's surveys asked teachers and principals to indicate how much impact each performance standard has on student learning. They were also asked to rate how accurately each of these aspects of teacher performance could be measured. The responses revealed that not all important factors are easy to measure. In particular, although teachers and principals rated a teacher's commitment to students and their learning among the most important factors, principals were less confident in their ability to measure it than relatively less important factors, such as attendance and punctuality. In addition, as shown in Figure 2.B, more than one-fourth of principals indicated that districts' evaluation criteria are not sufficiently specific.

Figure 2.B
Kentucky Principals' Perceptions of the
Specificity of Districts' Evaluation Criteria, 2010

Criteria are clear and concrete enough to be measured.



Note: Percentages do not add to 100% because of rounding.

Source: Staff survey of Kentucky principals.

Evaluators

The evaluator is usually the principal, and most evaluations are carried out by one person. The Center for Educator Compensation Reform recommends multiple evaluators, which would improve reliability but require more time and effort.

Because the primary evaluator is the immediate supervisor, the principal is not always the teacher's evaluator; sometimes the evaluator is another trained administrator, such as the assistant principal, department chair, or special education director. Surveyed teachers reported receiving formative feedback and summative evaluations from the principal about three-fourths of the time. In the case of nontenured teachers, about one in five received feedback from a resource teacher or mentor.

The principal alone conducted two-thirds of summative evaluations, while the assistant principal alone conducted 21 percent, and a team made up of the principal and others conducted 10 percent; 2 percent were conducted by some other person alone. Multiple evaluators were most common for first-year teachers and special education teachers.

The Center for Educator Compensation Reform recommends the use of multiple evaluators for all evaluations. The center also recommends monitoring evaluators' performance and holding them accountable for doing a good job (Milanowski 5-10). These recommendations would likely increase the reliability of evaluations but would require more time and effort.

Advance Explanation to Teachers

Almost all teachers reported that they received an explanation of the evaluation criteria and process, but not all are clear on details, such as how often they should be evaluated.

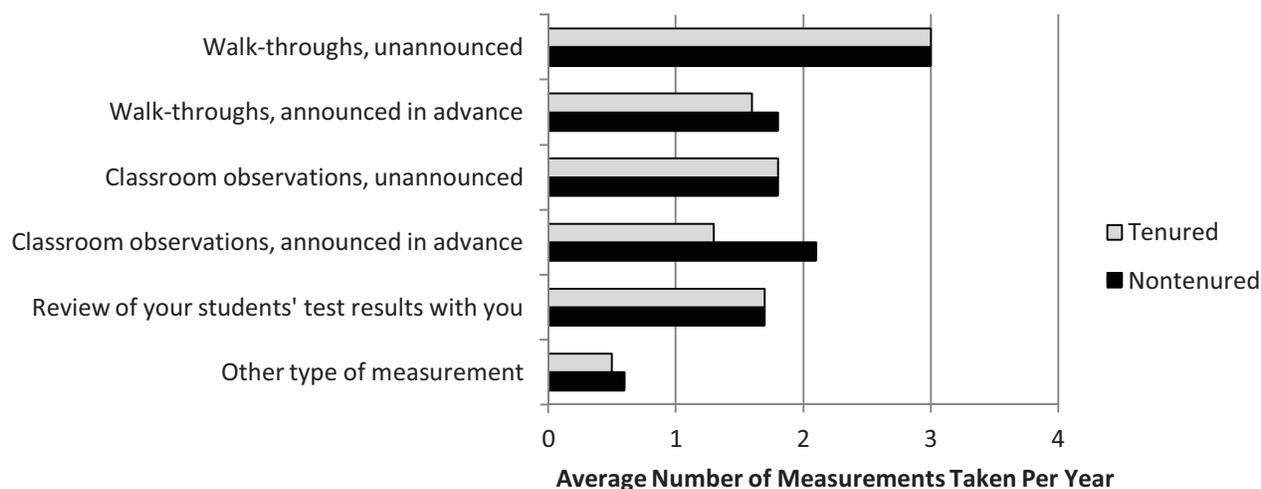
Almost all teachers (92 percent) reported that the evaluation process was explained within the first 30 days of the school year. Despite this high rate of notification, 23 percent of nontenured teachers and 10 percent of tenured teachers did not know how often they should be evaluated.

Performance Measurement and Formative Evaluation

Teachers reported that their performance is monitored in some way about 10-11 times per year. This includes 3-4 classroom observations.

Nontenured teachers reported that their performance was monitored in some way about 11 times per year, on average. This compares to an average of 10 times per year for tenured teachers. However, as Figure 2.C shows, the majority of measures were walk-throughs, which, according to teacher comments, can range from a stay of several minutes to a quick glance into the classroom from the doorway. Classroom observations, which entail staying in the classroom for an entire lesson, are conducted about four times a year for nontenured teachers and three times for tenured teachers.

Figure 2.C
Methods and Frequency of Performance Measurement, by Tenure Status, Kentucky, 2010



Note: Teachers at their current schools for less than a year were excluded from this analysis.
Source: Staff surveys of Kentucky teachers and principals.

Nontenured teachers estimated that they received formative feedback an average of 2.4 times per year. Tenured teachers reported an average of 1.5 times per year.

One possible compliance issue relates to the regulatory requirement that the evaluator meet with the teacher within a week after each observation (704 KAR 3:345 Section 4(2)(e)). It appears that evaluators are not meeting frequently enough with teachers, even if walk-throughs are not counted as observations. Nontenured

teachers reported an average of 3.9 classroom observations (excluding walk-throughs) per year but reportedly received formative feedback only 2.4 times. Similarly, while tenured teachers reported an average of 3.1 classroom observations, they received formative feedback only 1.5 times.

Summative Evaluation

Most teachers and principals (84 percent or more) agreed or strongly agreed that summative evaluations are fair, consistent with formative feedback, consistent with the process and criteria described in advance to teachers, and useful for guiding growth and improvement.

Schools' evaluation schedules meet the minimum requirements of Kentucky regulation, with most nontenured teachers evaluated annually and most tenured teachers evaluated every 3 years. When asked to rate their agreement with various statements, most teachers and principals (84 percent or more) agreed or strongly agreed that summative evaluations are fair, consistent with formative feedback, consistent with the process and criteria described in advance to teachers, and useful for guiding growth and improvement.

However, several teachers reported that the evaluation was simply e-mailed or put on their desk without explanation. Some also said they were not given a written copy of the evaluation.

Consequences and Uses of Evaluation

Importance of Prompt Response to Poor Performance

Studies clearly demonstrate the impact of a teacher's poor performance on student achievement.

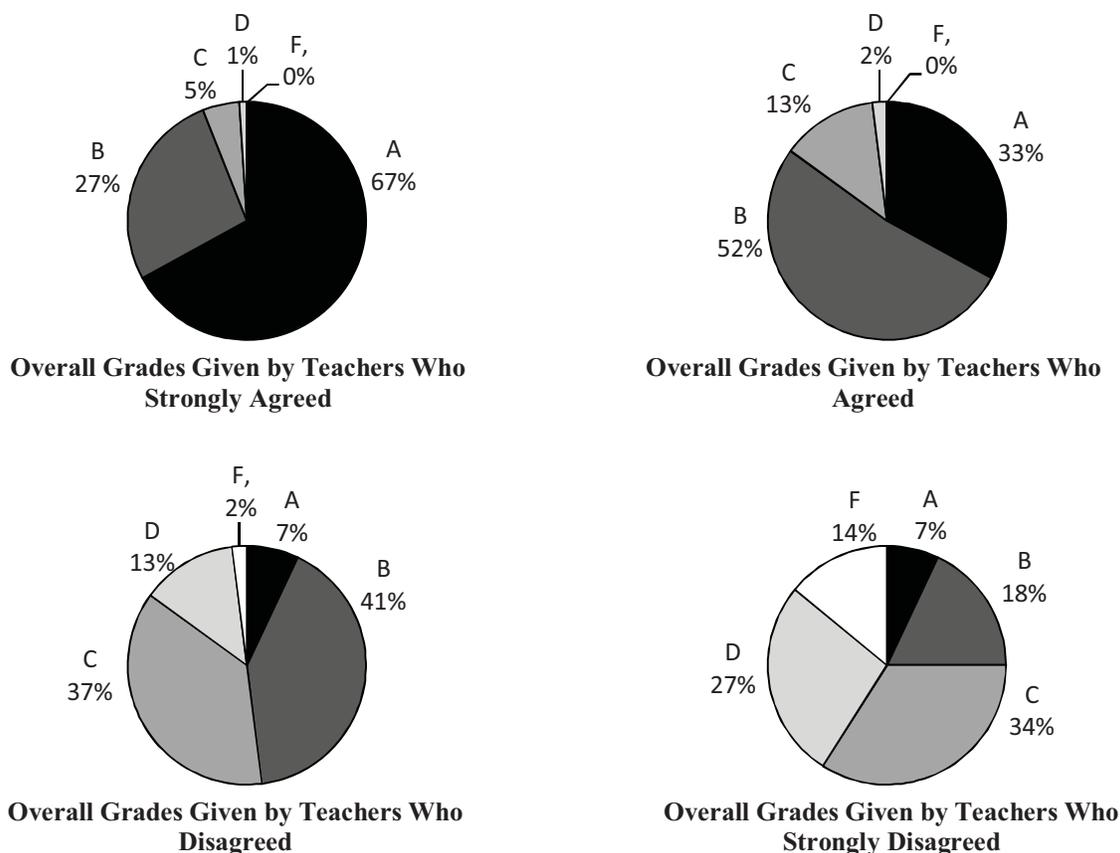
Clearly, working promptly and vigorously to improve ineffective teachers' performance is imperative for ensuring student achievement. Studies show that students who have strong teachers 3 years in a row make achievement gains that are 54 percent higher than those for students who begin at the same level but have weak teachers for 3 consecutive years (Sanders).

Teachers who were confident that poor performance would be dealt with promptly were 10 times as likely to give the overall evaluation process an A, compared to teachers who were not confident that poor performance would be dealt with promptly.

A less obvious reason for dealing with poor performers is their impact on fellow teachers. Staff conducted a correlation analysis of survey responses to determine which factors were most strongly associated with educators' overall perceptions of the evaluation system. The strongest single factor in teachers' perceptions of the evaluation process was swift action to improve the performance of ineffective teachers. As Figure 2.D shows, teachers who strongly agreed that their administrator would promptly work to improve poor performance were almost 10 times as likely to give an A to the evaluation process as those who disagreed or strongly disagreed. Similarly, teachers rated their evaluation processes more highly if

they believed that ineffective teachers would be removed if they failed to improve within a specified period of time.

Figure 2.D
Overall Grades Teachers Gave to Evaluation Process, by Level of Agreement or Disagreement That Administrator Would Promptly Work To Improve a Teacher’s Poor Performance, Kentucky, 2010



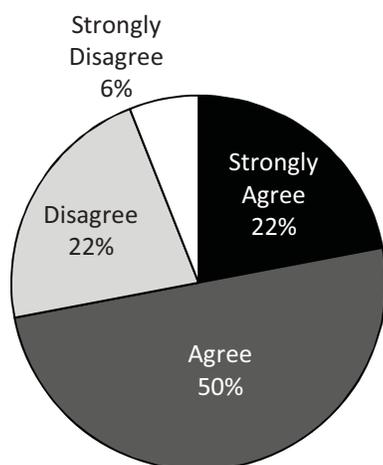
Notes: These charts were created by averaging the overall grades given to the evaluation process by teachers in each of four groups, based on their level of agreement that their administrators would promptly work to improve a teacher’s poor performance. The “strongly agree” group had 2,937 teachers (22 percent), “agree” had 6,852 (50 percent), “disagree” had 3,019 (22 percent), and “strongly disagree” had 771 (6 percent).
Source: Staff survey of Kentucky teachers.

About one-third of teachers perceived that poor performance would go unaddressed.

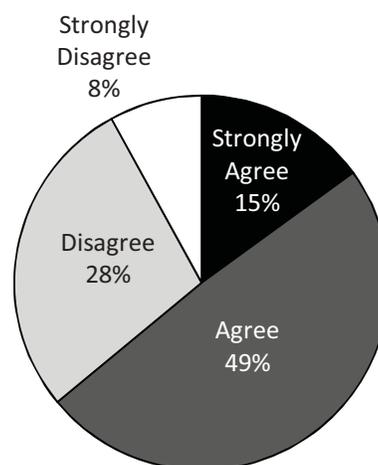
Given the importance of dealing with ineffective performance, it is concerning that about one-third of teachers perceive that poor performance is not addressed. As Figure 2.E shows, 28 percent of teachers disagreed or strongly disagreed that their administrator would promptly work to improve an ineffective teacher’s performance, and 36 percent disagreed or strongly disagreed that an ineffective teacher would be removed if the teacher’s performance did not improve within a specified period of time.

Figure 2.E
Teachers' Perceptions of How Administrators Deal With Poor Performance
Kentucky, 2010

Administrator would promptly work with poor performer to improve performance.



Administrator would remove poor performer who does not improve after a specified period.



Source: Staff survey of Kentucky teachers.

Improving Performance

Although improvement recommendations in evaluations were considered moderately useful, they were less valued than other resources.

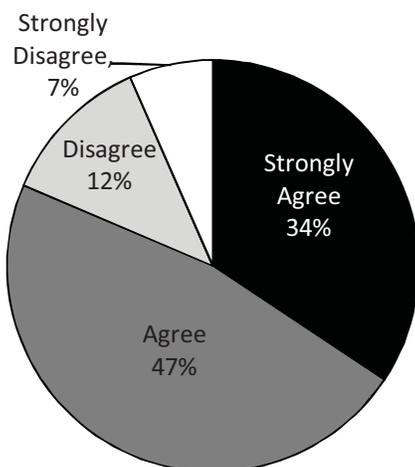
Most teachers indicated that improvement recommendations in evaluations were at least moderately useful and that they had input into how these recommendations were incorporated into their professional growth plans. However, teachers considered professional growth plans less useful than many other resources; their self-assessments and formative assessments of students were considered most useful. They also value fellow teachers' feedback. Principals, too, considered implementation of the professional growth plan less important than most other factors.

One in five teachers indicated inadequate support and resources to help them improve, and one in four reported that the administrator did not follow up to see that improvements were being made.

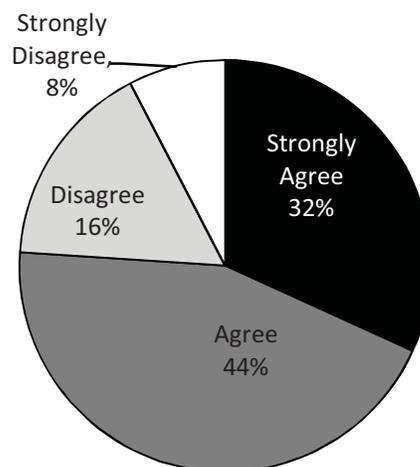
It is essential to back up improvement recommendations with the support and resources needed for teachers to comply. This is not always happening in Kentucky schools. As Figure 2.F shows, one in five teachers indicated inadequate support and resources to help them improve, and one in four reported that the administrator did not follow up to see that improvements were being made.

Figure 2.F
Kentucky Teachers' Perceptions of Support for Their Improvement Efforts, 2010

Support and resources were available to help you address areas identified for growth or improvement.



An administrator followed up to ensure that you were addressing areas identified for growth or improvement.



Source: Staff survey of Kentucky teachers.

Removing Ineffective Teachers Who Fail To Improve

The National Council on Teacher Quality (NCTQ) considers Kentucky weak with respect to the removal of ineffective teachers.

According to NCTQ, removing ineffective teachers is the weakest aspect of Kentucky's teacher policies. NCTQ gave Kentucky state policies a failing grade, F, for

- renewing emergency certificates and allowing new teachers who have not passed licensing tests to remain in the classroom for more than 1 year,
- not addressing whether there are consequences to having two unsatisfactory evaluations,
- allowing tenured teachers who are terminated for poor performance to appeal multiple times, and
- failing to distinguish due process rights for teachers dismissed for ineffective performance from those facing license revocation for dereliction of duty or felony and/or morality violations (51).

Kentucky's processes for dealing with poor performance cannot be studied in detail due to limited state-level data. New federal reporting requirements will increase the amount of available data, probably not at the level of detail required for research.

State-level Data Availability. Kentucky's processes for dealing with poor performance cannot be studied in detail due to limited state-level data. At this time, state-level data include neither the number of teachers receiving unsatisfactory evaluations nor the number removed from the classroom for cause. Data were available at the state level only for teachers who appealed a local disciplinary decision through the tribunal process.

By next year, some evaluation data will be available at the state level. As a condition of receiving American Recovery and Reinvestment Act State Fiscal Stabilization Funds, the Kentucky Department of Education agreed to annually collect and make public the characteristics and results of districts' teacher and principal evaluation systems. Districts were required to provide initial information by October 29, 2010 (Commonwealth. Dept. Monday). The data must be compiled and publicly reported "as soon as possible, but no later than September 30, 2011" (US. Dept. Fact). While the data from these reports will be useful, it is not clear that they will provide sufficient detail to study the outcomes of efforts to improve poor performance.

Recommendation 1.1

Recommendation 1.1

The Kentucky Department of Education and Education Professional Standards Board should track teacher dismissals, distinguishing dismissals for ineffective performance from those for more serious infractions, such as dereliction of duty and legal or ethical violations.

Kentucky principals were almost unanimously in favor of modifying policies to make it easier to remove tenured teachers if they cannot or will not improve.

Impact of Tenure Policies. Tenure provides job security and requires due process before a teacher can be removed. Kentucky principals responding to the OEA survey commented that removal of tenured teachers is rare because of the amount of time and effort required for due process and because of pressure from unions and others in the community. Whether these perceptions are accurate or not, they may discourage some principals from even trying to remove a teacher. Principals responding to the survey were almost unanimously in favor of modifying policies to make it easier to remove tenured teachers if they cannot or will not improve.

A study found that even when barriers to removing ineffective teachers were reduced, principals rarely fired teachers. Causes may include social and political pressures and possibly an inadequate teacher supply.

However, a New Teacher Project study revealed that, even when barriers to removing ineffective teachers were reduced, many principals were reluctant to fire teachers. The study did not examine the reasons for this reluctance, but the New Teacher Project suspects such factors as social and political pressures against firing teachers and possibly an inadequate supply of teachers to replace fired teachers (Jacob).

Most Kentucky principals favored using summative evaluations as a basis for tenure decisions, and about two-thirds favored using student growth measures as a basis.

The NCTQ and others have criticized Kentucky and other states for granting tenure essentially automatically instead of basing the decision on evidence of the teacher's effectiveness (2009). Kentucky principals seemed to agree; most (85 percent) favored using summative evaluations as a basis for tenure decisions, and

about two-thirds (68 percent) favored using student growth measures as a basis.

Some might argue that, with one of the longest probationary periods in the country and frequent evaluations during the first year, Kentucky's tenure policies provide sufficient time to observe a teacher's performance. Although Kentucky's granting of tenure at the beginning of the fifth year does not explicitly consider effectiveness measures, it could be argued that a teacher cannot reach that point without demonstrating sufficient knowledge and skill to be rehired for 4 prior years.

It is unclear whether Kentucky administrators use the state's relatively long probationary period to weed out teachers who are unlikely to succeed before they are granted tenure.

On the other hand, it is not clear whether administrators use Kentucky's relatively long probationary period to aggressively weed out less promising teachers before tenure. Despite all the observations and evaluations during the Kentucky Teacher Internship Program, only 1 percent of teachers fail to complete the internship (Smith).¹

Retaining Effective Teachers

Retaining effective teachers benefits not only students but also fellow teachers.

Research has found that retaining an especially effective teacher has benefits not only for that teacher's students but also for other students. Fellow teachers observe the effective teacher and apply similar techniques to boost their own students' achievement. These "spillover" benefits persist over time and are strongest for less-experienced teachers (Jackson). Strong, effective teachers help create a school culture that can result in improved student performance.

NCTQ charges that shortcomings in pay practices, pensions, and retirement benefits hinder Kentucky's ability to retain teachers.

NCTQ gave a C- to Kentucky's state policies for retaining teachers. Kentucky was criticized for

- not giving districts full authority for how teachers are paid;
- not supporting retention bonuses or compensation for relevant prior work experience;
- a state pension system that is not currently financially sustainable;
- the fact that Kentucky provides only a defined benefit pension plan for teachers;
- pension policies that lack portability, flexibility, and fairness; and
- retirement benefits determined by a formula that is not neutral, meaning that pension wealth does not accumulate uniformly

¹ Due to data limitations, it is unknown how many teachers leave voluntarily during their second, third, and fourth years of teaching.

for each year a teacher works (Natl. Council on Teacher. 2009. 50-51).

Factors other than salary and benefits are also important. Kentucky teachers who agreed that their administrators recognize and acknowledge excellent performance gave significantly higher grades to the evaluation process.

However, NCTQ's focus on salary and benefits is somewhat narrow. Retention is also influenced by such other factors as teacher input in decisions and recognition for excellence. In the OEA survey, Kentucky teachers who agreed that their administrators recognize and acknowledge excellent performance gave significantly higher grades to the evaluation process.

Alternative Approaches to Evaluation

Kentucky's Evaluation Initiative

In 2010, a consortium assembled by KDE began a 3-year initiative to create an integrated system for evaluating teachers and administrators. A working conditions survey will be conducted online in March 2011.

In 2010, a consortium assembled by the Kentucky Department of Education began a 3-year initiative to create an integrated system for evaluating teachers and administrators. Those involved in the initiative represent schools, districts, government agencies, professional associations, and other education stakeholders. The new system is expected to use multiple measures of performance, including student achievement gains; self-assessment; observations; work products such as instruction plans and tests; and 360-degree assessment, which entails gathering feedback from peers, students, and others who come in contact with the person being evaluated (Commonwealth. Dept. *Statewide*). Because work on this initiative had just started at the time of this report, it was too soon to know what shape the new evaluation system would take and how successful it would be. A working conditions survey of teachers and principals will dovetail with these efforts; the survey will be conducted online in March 2011, with initial data available in May 2011 for schools and districts to use in identifying strengths and recognizing areas in need of improvement (Commonwealth. Dept. Teaching).

Revised Model Core Teaching Standards

The Interstate New Teacher Assessment and Support Consortium (InTASC) is updating its Model Core Teaching Standards and expanding them to cover all teachers, not just new teachers.

The Interstate New Teacher Assessment and Support Consortium (InTASC),² led by the Council of Chief State School Officers (CCSSO), is updating its Model Core Teaching Standards, and expanding them to apply to all teachers, not just new teachers. The draft model standards are listed in Table 2.1.

² Created in 1987, InTASC is a consortium of state education agencies and national educational organizations dedicated to the reform of the preparation, licensing, and on-going professional development of teachers. InTASC's primary constituency is state education agencies (Council. *Model*).

Table 2.1
Model Core Teaching Standards, Draft, 2010

The Learner and Learning

1. Learner Development. Understand how children learn and develop.
2. Learning Differences. Understand individual differences and diverse communities.
3. Learning Environments. Work with learners to create environments that support individual and collaborative learning, encouraging positive social interaction, active engagement in learning, and self motivation.

Content

4. Content Knowledge. Understand central concepts, tools of inquiry, and structures.
5. Innovative Applications of Content. Connect concepts and use differing perspectives to engage learners in critical/creative thinking and collaborative problem solving.

Instructional Practice

6. Assessment. Use multiple methods of assessment to engage learners in their own growth, to document learner progress, and to inform the teacher's ongoing planning and instruction.
7. Planning for Instruction. Draw on knowledge of content areas, crossdisciplinary skills, learners, the community, and pedagogy to plan rigorous instruction.
8. Instructional Strategies. Use a variety of instructional strategies to encourage learners to develop deep understanding of content areas and their connections, and to build skills to access and appropriately apply information.

Professional Responsibility

9. Reflection and Continuous Growth. Use evidence to continually evaluate own practice, particularly the effects on others (students, families, and other professionals in the learning community), and adapt practices to meet the needs of each learner.
10. Collaboration. Collaborate with students, families, colleagues, other professionals, and community members to share responsibility for student growth and development, learning, and well-being.

Source: Council. *Model*.

Presenting a broad vision of teacher effectiveness, the standards constitute a common core of teaching knowledge and skills that apply to all subject areas and grade levels. The standards are intended as a resource for states, districts, professional organizations, teacher education programs, and others as they develop policies and programs to prepare, license, support, evaluate, and reward teachers. These entities will need to translate the broad standards into specific performance standards and rubrics for assessing teacher performance. CCSSO plans to work with states and a variety of partners to develop consensus and eventually move the standards into practice (*Council. Model and Frequently*).

Kentucky's current teacher standards and the updated standards drafted by InTASC cover most of the same topics, but show some notable differences in details. For example, unlike Kentucky, InTASC has no explicit standards for attendance, punctuality, ethical, and legal standards. Unlike InTASC, Kentucky has no standard for understanding how children develop and learn.

Kentucky Education Commissioner Holliday said the standards update is very timely and aligns closely with Kentucky's work on teacher effectiveness (Commonwealth. Dept. Friday). A comparison of Tables 1.1 and 2.1 shows that Kentucky's current teacher standards and the model standards cover most of the same topics. However, the detailed documentation for each set of standards shows notable differences:

- Behaviors, knowledge, and attitudes are grouped separately for each model standard.
- Cross-disciplinary skills woven into each of the model standards are: collaboration, communication, creativity/innovation, critical thinking/problem solving, multiple perspectives, and technology use. By integrating the skills across all standards instead of presenting them as stand-alone skills, the drafters sought to treat them not as ends in themselves but as tools for achieving other goals.
- Kentucky's attendance, punctuality, ethical, and legal standards are not explicitly addressed in the model standards.
- The model standard for understanding learner differences has no stand-alone counterpart in Kentucky standard but is integrated into several other Kentucky standards.
- A model standard for understanding how children develop and learn has no counterpart in Kentucky's standards. The National Council for Accreditation of Teacher Education recently called for universities to provide teacher candidates with more training on this topic and recommended that state and federal policies support this change (Nat'l. Council for Accreditation; Commonwealth. Dept. *Kentucky Teacher*; Council. *Model*).

The 20 representatives who drafted the update represented a dozen states (not including Kentucky) and several stakeholder groups, including teachers, administrators, teacher educators, state education agency staff, the National Education Association (NEA), and education services companies. A complete list of the 20 representatives is provided in Appendix C. Funding for the project was provided by NEA, the Educational Testing Service, and Evaluation Systems group of Pearson (Council. *Model* and *Frequently*).

A draft of the updated standards was released for public review and comment for the period of July 17–October 15, 2010. No time line has yet been published for next steps.

Student Achievement Growth as an Evaluation Criterion

Many states' initiatives seek to gauge teacher effectiveness by measuring students' academic growth while in a teacher's class. An example of a growth measure is the difference between a student's test scores before and after taking a class.

Many state and federal efforts seek to gauge teacher effectiveness by measuring the growth that takes place in students' knowledge and skills while in the teacher's class. A basic example of a student growth measure would be the difference in each student's test scores before and after taking a teacher's class. Basing a portion of a teacher's evaluation on student growth measures is a key element in the proposals of all 12 states that won Race to the Top funds (Rose; Natl. Council on Teacher. *The Final*; Ed. Commission. *Pay*; US. Dept. "Overview").

Four out of the nine teacher unions' bargained contracts in Kentucky prohibit the use of student test data for evaluating a teacher. Some states have passed legislation to remove such prohibitions.

While no Kentucky statute or regulation prohibits the use of student test data for teacher evaluations, specific language in four of Kentucky's nine teacher unions' bargained contracts—in Boone, Bullitt, Jefferson, and Martin districts—prohibit the use of such data in evaluating a teacher. The language in these provisions varies. States that are adding student growth as a criterion for evaluation and/or compensation have passed legislation to override such prohibitions in contracts. Those states include California, Maine, Illinois, and Nevada (Ed. Commission. "Teaching").

In 2010, Arizona, Colorado, and Illinois passed laws requiring student growth as an evaluation criterion. Student growth is also a required evaluation criterion in one of the four reform models available to schools receiving federal School Improvement Grant funds. Four Kentucky schools have chosen a model that will make student growth data a significant factor in teachers' and principals' evaluations³ (US. Dept. "School").

Perhaps the biggest obstacle to using student growth in evaluations is that it is poorly understood. Even among experts there is no consensus regarding which measurement method, if any, is valid and reliable. Often, 3 years of data are averaged to improve reliability.

Perhaps the biggest obstacle to using student growth in evaluations is that it is poorly understood. Even among experts, there is no consensus as to which of the many methods for measuring student growth—if any—are valid and reliable. Experts point out that student tests are incomplete measures of achievement that are subject to measurement error, especially for the relatively small sample size of a typical teacher's classroom; for this reason, it is common to use 3 years of data to determine a teacher's effectiveness (Blank; Braun; US. Dept. Ctr. *Alternative*; US. Dept. Inst. Natl. Ctr. for Education Evaluation).

³ The schools are Lawrence County High School, Metcalfe County High School, Caverna High School, and Leslie High School.

If student growth were to be added to Kentucky's evaluations, confusion could be minimized by using the same growth measure as that being developed for the state's new assessment and accountability system. In this model, each individual student's growth is compared to the growth of the student's academic peers.

Student Growth Measure for Assessment and Accountability.

If student growth were to be added to Kentucky's evaluations, confusion could be minimized by using the same growth measure as that being developed for the state's new assessment and accountability system. The Kentucky Department of Education (KDE) is developing a growth model similar to those used by Colorado and Massachusetts. The model uses test scores from two points in time, most often from two annual statewide tests. A student's growth is measured by the difference between the first and second test scores. Each individual student's growth is compared to the growth of the student's academic peers—those who scored in about the same range in the first test—and expressed as a percentile. Percentiles between 40 and 59 would be considered a typical amount of growth, percentiles below 40 would be considered low growth, and those above 59 would be considered high growth (Commonwealth. Dept. *Next-generation* 6)

Kentucky Educators' Perceptions. Growth measures can be based on different tests. Kentucky's statewide student assessment is administered just once a year, but many schools administer standardized formative tests such as Measures of Academic Progress and Compass at the beginning, middle, and end of the school year.

The OEA surveys asked what percentage, if any, of a teacher's evaluation should be based on student growth using two types of tests. Specific wording of the questions is shown in Figure 2.G.

Figure 2.G
OEA Survey Questions About Basing Part of a Teacher's
Evaluation on Student Growth, 2010

One possible measure of teacher performance is student growth, which is the difference in test scores before and after taking a teacher's class. If the scores of a teacher's students improved more than the state average improved, the teacher would be credited with above-average performance. This would be true even if the teacher's students scored below the state average before and after the class; by helping those students improve at an above-average rate, the teacher narrowed the achievement gap.

25. Growth can be based on different tests. Suppose growth measures compared a student's performance on this year's annual statewide assessment to that student's performance on last year's assessment. What percentage of your evaluation should be based on such a measure?
(Enter any number between 0 and 100, WITHOUT a percent sign.)

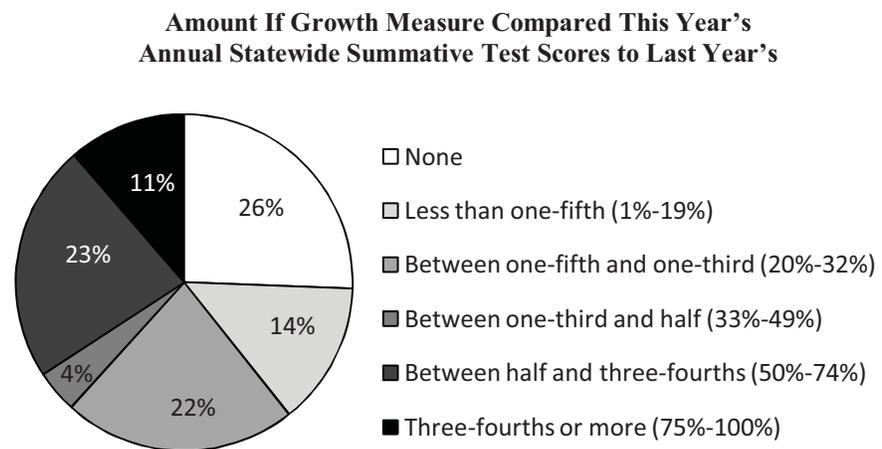
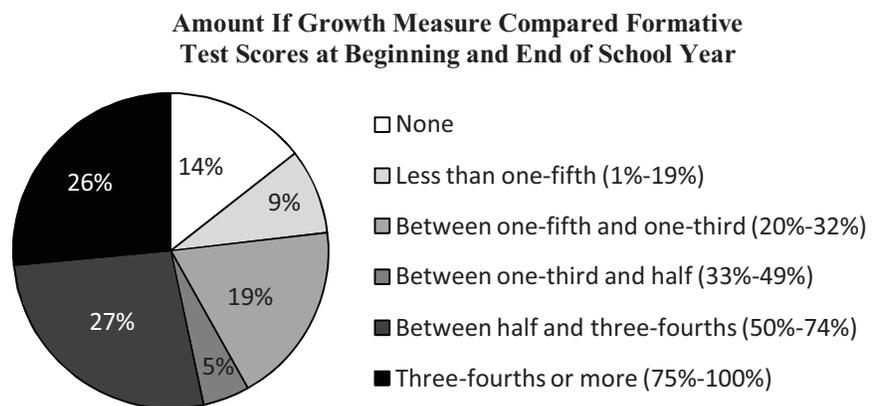
26. Suppose, instead, that growth measures compared a student's performance on formative tests at the beginning of the school year to performance at the end of the year. What percentage of your evaluation should be based on such a measure?
(Enter any number between 0 and 100, WITHOUT a percent sign.)

Source: Staff survey of Kentucky teachers.

Although some teachers adamantly oppose basing their evaluations on student growth measures, 58 percent would accept basing at least one-third of their evaluations on measures that compare tests at the beginning and end of the year. If, instead, measures compared annual statewide tests, 38 percent would accept basing one-third or more of their evaluation on growth.

As Figure 2.H shows, some teachers are adamantly opposed to basing any part of their evaluations on student growth, regardless of the student test used in the calculation. However, a much larger proportion of teachers find the idea acceptable; these teachers would much prefer such growth measures be based on a formative test administered close to the time that a student is in their class instead of being based on the annual statewide summative student assessments. If a growth measure were based on a test given at the beginning and end of the school year, 58 percent of teachers would accept basing at least one-third of their evaluation on student growth. However, if the growth measure used annual statewide assessments, only 38 percent would want to have more than a third of the evaluation based on student growth.

Figure 2.H
Kentucky Teachers' Views Regarding Amount of Teachers' Evaluation That Should Be Based on Student Achievement Growth, 2010



Source: Staff survey of Kentucky teachers.

The OEA survey asked teachers and principals the advantages and disadvantages of basing evaluations and/or compensation on student growth. Most Kentucky teachers and principals mentioned both advantages and disadvantages, which mirrored many of the points raised nationwide by those debating this issue.

Many Kentucky educators commented that using student growth measures for evaluation would focus on results, motivate teachers, encourage help for every student, make evaluations more objective, provide a useful measure for teachers to evaluate new instructional approaches and their own professional development needs, and be fairer than comparisons based on absolute levels of achievement.

Regarding advantages, Kentucky teachers and principals commented that basing teachers' evaluations or compensation on student growth measures would

- focus on results rather than compliance with procedures;
- motivate teachers to work harder and try more things, especially those who are not intrinsically motivated and those who have fallen into a rut in their teaching careers;
- encourage teachers to help every student, not just those who can most easily be brought up to a minimum proficiency level;
- make evaluations more objective;
- provide useful measures for teachers to evaluate instructional approaches and identify their own development needs; and
- be more fair than holding teachers accountable for absolute levels of achievement, because the abilities and backgrounds of students vary from class to class and year to year.

On the other hand, many Kentucky educators said it is unfair to gauge teacher performance on the basis of a student's performance because it is driven by many factors outside a teacher's control. In addition, many said that growth measures are not sufficiently valid and reliable, not all subjects are tested, educators would be tempted to adopt counterproductive behaviors, and teachers would compete instead of collaborate.

As for disadvantages, Kentucky teachers and principals raised concerns that

- it is unfair to gauge teacher performance on the basis of a student's performance, which is driven by many factors outside a teacher's control, including the student's income level, parental support, ability, and motivation. Several Kentucky educators argued that, because students are not held accountable, some would deliberately fail a test to retaliate against a teacher they dislike;
- measures are not sufficiently valid and reliable—at least unless several repeated measures are combined;
- not all subjects are tested;
- more educators would be tempted to adopt counterproductive behaviors, such as teaching to the test, gaming the system, or even cheating, especially if their compensation depends on it; and
- teachers would compete with each other instead of collaborating and would mistrust the administration.

Annual Evaluations for All Teachers

Kentucky lost points in the Race to the Top competition for not requiring annual evaluations for tenured teachers. More than three-fourths of Kentucky principals favored requiring annual evaluations, but many expressed concern about the added time and paperwork such a change would require.

Kentucky requires annual evaluations only for nontenured teachers; all other teachers are required to undergo evaluation every 3 years. Because of this policy—and despite assurances that the state was working on a more rigorous evaluation plan—Kentucky lost points in the Race to the Top competition (US. Dept. *Race to the Top Technical*).

While Kentucky statutes require annual evaluation only of new teachers, 12 percent of principals reported they evaluate tenured teachers annually. About 77 percent of principals favor or strongly favor requiring that all teachers receive a summative evaluation each year. However, many principals expressed concern about the time and paperwork burden of annual evaluations for all.

Chapter 3

Compensation and Lessons Learned

Kentucky's single-salary schedule bases teacher pay on years of experience and formal education, which are weak and inconsistent indicators of teacher effectiveness.

Kentucky schools have a single-salary schedule that bases teachers' pay on years of experience and formal education (KRS 157.320(12)). In 2007, 96 percent of the nation's schools used a similar schedule, but the percentage has been dropping over the past 2 years (Podgursky). The single-salary schedule was created in 1921 to mitigate subjective pay practices that discriminated against women and minorities (US Dept. Ctr. *Alternative 2*). However, the bases for the single-salary schedule are relatively weak and inconsistent indicators of teacher effectiveness. The benefits of experience plateau after about 5 years. Additional degrees often do not translate into enhanced student performance, except in specific circumstances, such as math degrees for high school math teachers (Goldhaber; Hanushek; US. Dept. Ctr. *What 1*).

Proponents of tying compensation to performance believe it will increase teacher quality, motivation, innovation, and satisfaction. These advantages are expected to lead to better instruction and higher student achievement.

Growing support for tying compensation to performance has spawned a multitude of pilots and programs in many states; Appendix D summarizes many of these programs. Proponents of performance-related pay believe it will attract higher-caliber students to the teaching profession and motivate teachers to be harder-working, more innovative, and more satisfied with their salaries. These advantages are expected to lead to better instruction and higher student achievement (Ritter).

Opponents believe performance-related pay will cause competition, degrade the school environment, and cause teachers to neglect low-performing students, leading to lower student achievement.

Opponents believe that performance pay programs will cause too much competitiveness, degrade the school environment, and cause teachers to neglect low-performing students. These opponents charge that the net overall effect will be poorer instruction and lower student achievement (Ritter).

Evaluation and compensation initiatives have shown mixed results. Due to resource shortages and political opposition, programs are often too short, too limited in scale, or offer too small of a bonus for an impact to be seen.

Despite passionate arguments on both sides of the issue, little is known about the impact of performance-based pay. Evaluation and compensation initiatives have shown mixed results (Aldeman; Hess; Hudson; Springer; Sartain). Due to resource shortages and political opposition, programs are often too short or too limited in scale, or they offer too small of a bonus for an impact to be seen (Ritter).

Single-salary Schedule

KDE maintains a minimum salary schedule based on years of experience and rank, which is determined by formal education. Most districts pay more than the state minimums.

KDE maintains a salary schedule that specifies the minimum that districts must pay for each rank and experience level. Table 3.1 shows the current minimums based on rank and years of experience, and Table 3.2 shows the educational attainment levels that determine rank. Most teachers start at rank III, with a 4-year degree, and advance to rank II upon completion of the required master's degree. Some choose to pursue a promotion to rank I by completing an additional 30 hours of graduate work for an Education Specialist Degree or by going on to complete a doctoral degree. Most districts pay more than these state minimums; for example, in FY 2009, the required minimum salary for rank II teachers with 10 years of experience was \$39,308, but these teachers were actually paid, on average, \$47,328 (Commonwealth. Dept. Kentucky's Minimum and Professional).

Table 3.1
Minimum Salary Schedule for Certified Personnel, Kentucky, 2010

Experience:	Rank				
	I	II	III	IV	V
0-3 Years	\$35,487	\$32,239	\$28,930	\$25,509	\$23,848
4-9 Years	38,759	35,487	32,239	25,509	23,848
10-14 Years	42,998	39,701	36,416	25,509	23,848
15-19 Years	44,237	40,953	37,656	25,509	23,848
20 Years and Over	44,857	41,572	38,275	25,509	23,848

Source: Commonwealth. Dept. Kentucky's Minimum.

Table 3.2
Certified Rank Descriptions, Kentucky, 2010

I	Certified with a master's degree and 30 or more hours of approved graduate work
II	Certified with a master's degree
III	Certified with a 4-year degree
IV	Certified with 96-128 hours of approved college training
V	Certified with 64-95 hours of approved college training

Source: Commonwealth. Dept. Certified and Classified; KRS 161.1211.

Each district increases salaries in its salary schedule by the amount of a cost-of-living adjustment in the state budget. In addition, districts pay frequent salary increments called step increases. These increases typically diminish or stop after a certain number of years, specified by each district.

Each district is required to adjust its salary schedule over the previous year's schedule by a cost-of-living adjustment specified in the state's biennial budget (KRS 157.420(1)-(2)). Table 3.3 shows the amounts of these increases between FY 1999 and FY 2010. In addition, districts pay automatic salary increments called "step increases" every few years or annually; the frequency and amount are determined by each district. Step increases

typically diminish or stop after a certain number of years, specified by each district (Commonwealth. Dept. *Certified Salary*).

Table 3.3
Mandated Raises, Kentucky, Fiscal Years 1999 Through 2010

Year	Raise
2010	1%
2009	1%
2008	\$3,000
2007	2%
2006	3%
2005	2% effective 7/1/04 and 1% effective 1/1/05
2004	\$1,080
2003	2.70%
2002	2.20%
2001	2.20%
2000	2.30%
1999	2.30%

Source: Commonwealth. Dept. Kentucky's Minimum.

Before 1999, the General Assembly included a minimum salary schedule in the budget; this required districts to increase a teacher's salary only if it fell below the minimum. However, since 1999, budgets have omitted the salary schedule and instead have mandated an increase for all teachers, even those whose salaries are already well above the minimum schedule.

Before 1999, the General Assembly included a minimum salary schedule in the biennial budget; this required districts to increase a teacher's salary only if it fell below the minimum and left other increases to the discretion of the district, based on its local circumstances. However, since 1999, biennial budgets have omitted the salary schedule and instead have mandated an increase for all teachers, even those whose salaries are already well above the minimum schedule (Commonwealth. Dept. Kentucky's Minimum).

Pay Above the Single-salary Schedule

Currently, teachers receive bonuses for National Board Certification and pay for extra duties.

Currently, some teachers receive additional compensation above the single-salary schedule. An annual \$2,000 bonus is paid for National Board Certification. In addition, districts may allow extra pay for extra duties (702 KAR 3:070).

Kentucky's Salary and Benefit Levels Relative to Other States

After adjusting for geographic cost differences, Kentucky paid the 25th highest average teacher salary in FY 2009 and 37th highest benefits in FY 2008.

In FY 2009, Kentucky paid the 25th highest average teacher salary, after adjusting for geographic costs differences; this was down slightly from Kentucky's ranking of 24th in FY 2008 (Natl. Ed. 19;

US. Dept. Inst. Natl Ctr. for Ed. Stat. “NCES”). Kentucky ranked 37th with respect to benefits paid for education employees in FY 2008, after adjusting for student enrollment and geographic costs differences⁴ (staff calculations using data from and US. Dept. Inst. Natl. *Revenues* 14-15 and “NCES”).

Reform Efforts

Alternative Approaches in Kentucky

A pilot authorized in 2002 was meant to test the ability of differentiated teacher compensation to increase the supply of teachers in critical shortage areas, difficult assignments, and hard-to-fill positions; decrease the need for emergency certified teachers; encourage teachers' self-improvement; and provide voluntary career advancement opportunities.

Differentiated Compensation Pilot. Although Kentucky does not currently have an alternative compensation initiative, a pilot to test differentiated teacher compensation was authorized in 2002 by Kentucky House Bill 402. The 2002–2004 biennial budget included a \$1 million professional compensation fund to support districts' participation in the pilot; districts could apply for up to \$200,000 per year for 2 years (Institute 2). Districts submitted proposals for KDE approval to address one or more of the following goals:

- Recruiting and retaining teachers in critical shortage areas;
- Reducing the number of emergency certified teachers;
- Providing incentives for teachers to serve in difficult assignments and hard-to-fill positions;
- Providing voluntary career advancement opportunities; or
- Rewarding teachers who increase their knowledge and skills (KRS 157.075(2)(a)).

The 10 districts chosen for the pilot and the elements of each district's program proposal are summarized in Table 3.4.

⁴ Similar calculations using salaries paid to all education employees showed Kentucky ranking 29th, which is similar to the ranking based on teacher salaries.

Table 3.4
Elements of Kentucky’s Differentiated Compensation Pilot Program Proposal, 2002-2004

District	Elements of Program
Campbell	Reduce number of certified teachers. Salary incentive for middle school certified staff and new teacher mentors. Fund instructional lead teacher positions.
Daviess	Tuition reimbursement for critical shortage area teachers.
Jefferson	Pay certified and classified staff a bonus to work at hard-to-staff school. Add professional development days to calendar.
Jessamine	Stipends and professional development for Student Achievement Coaches for each school.
Lincoln	Stipends and release time for mentor/mentee teams. Training, coaching, and materials for mentors.
Metcalfe	Tuition reimbursement and extra duty pay for critical shortage area teachers. Pay for participation in Skills Enhancement Program.
Montgomery	Salary incentives for minority, bilingual, and critical shortage area teachers. Mentoring program to assist struggling teacher.
Pike	Focused professional development, evaluation, and rewards for teachers scoring proficient or distinguished on classroom implementation. Additional compensation for teacher and evaluators of teacher portfolios.
Shelby	Salary increment and tuition reimbursement for special education teachers. Stipends for teachers who mentor new special education teachers.
Warren	Train teachers at most diverse high school and its feeder schools, who will train other teachers to be teacher leaders. Stipends, substitute pay, trainer, and material for Summer Institute for project teachers.

Targeted areas specified in KRS 157.075(2)(a) were recruiting and retaining teachers in critical shortage areas; reducing the number of emergency certified teachers; providing incentives for teachers to serve in difficult assignments and hard-to-fill positions; providing voluntary career advancement opportunities; and rewarding teachers who increase their knowledge and skills.

Source: Institute 11 and 15.

A FY 2005 evaluation of the pilot found some modest accomplishments, but evaluators could not draw definitive conclusions because districts had different approaches and goals. Legislators were disappointed at the lack of innovation.

A FY 2005 evaluation of the pilot found that districts seemed to have accomplished some modest improvements. However, evaluators could not draw definitive conclusions because each of the 10 participating districts used different approaches and targeted different subsets of the five goals (Institute 6). Ultimately, legislators were disappointed at the lack of innovation; districts’ initiatives, such as incentives for teachers of specific contents and extra duties, were already feasible within existing statutes and regulation (Dailey). The statute permitting differentiated compensation still stands (KRS 157.075). However, funding ended in 2004, and no programs continued after that time.

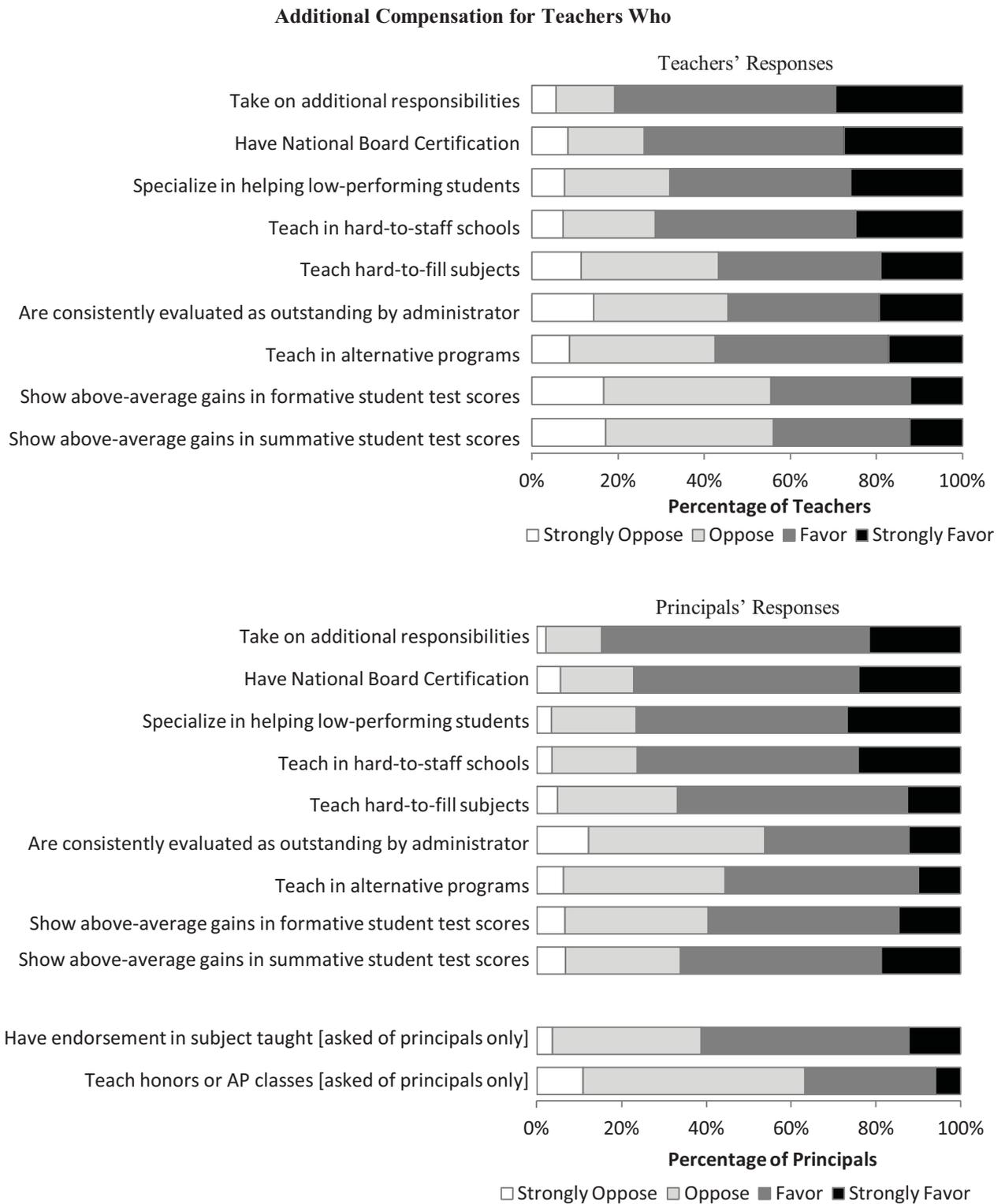
The idea of performance-based pay surfaced again in 2009 and 2010 as Kentucky applied for Race to the Top funds, but is on hold now that those funds are not available to Kentucky.

Kentucky teachers and principals generally favor paying extra compensation for extra duties, National Board Certification, teaching low-performing students, teaching in hard-to-staff schools, and teaching hard-to-fill subjects.

Kentucky Educators' Views on Additional Compensation.

OEA's surveys asked teachers and principals their views on paying additional compensation above the single-salary schedule under certain conditions. As Figure 3.A shows, Kentucky teachers and principals generally favor paying certain teachers additional compensation. The most accepted approaches are those already in place—namely, paying for extra duties and for National Board Certification. In addition, many educators would favor paying additional compensation to those teaching low-performing students, those teaching in hard-to-staff schools, and those teaching hard-to-fill subjects.

Figure 3.A
Kentucky Educators' Views on Compensation Beyond Single-salary Schedule, 2010

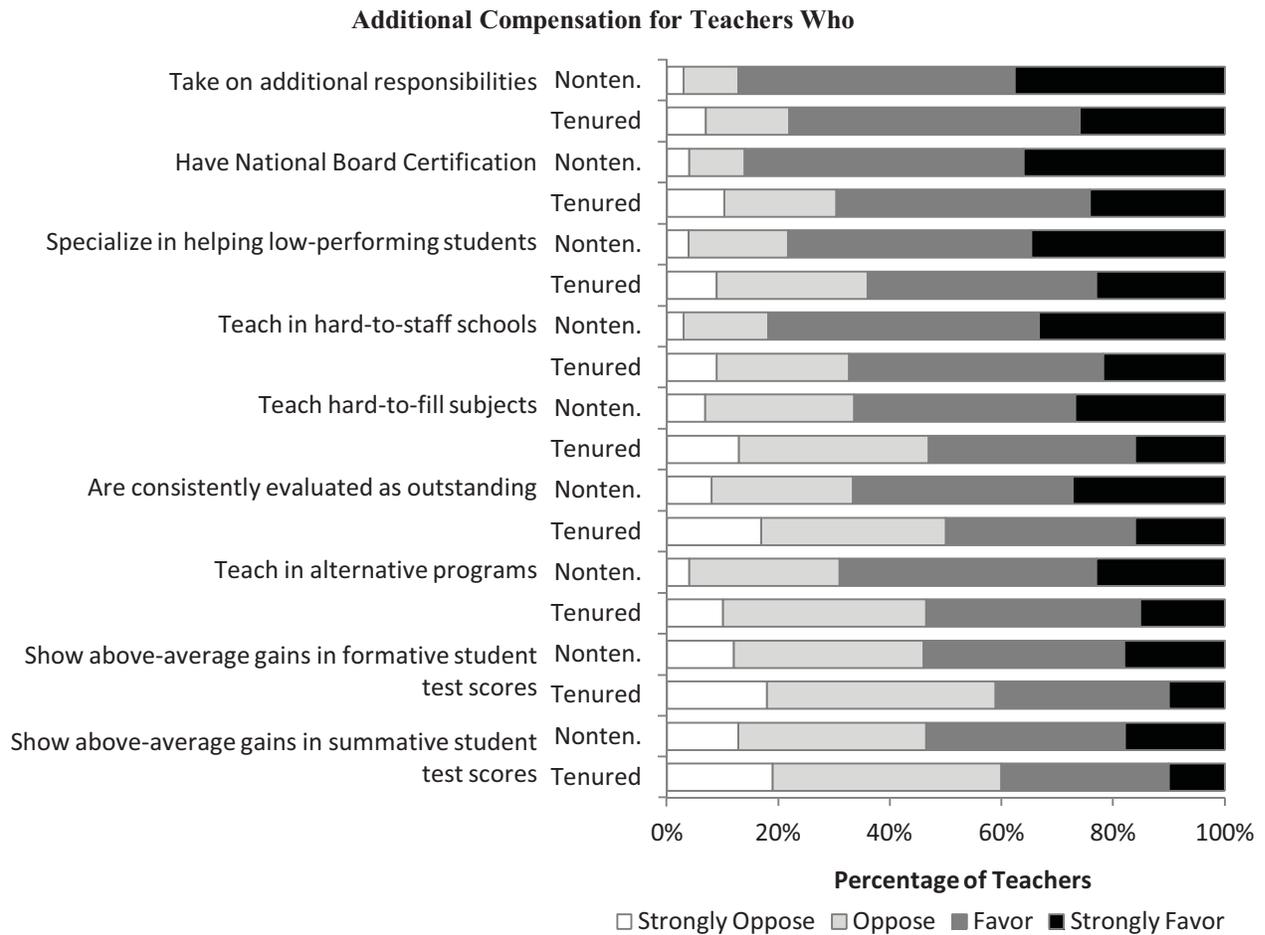


Source: Staff survey of Kentucky teachers and principals.

Nontenured teachers are significantly more favorable toward additional compensation beyond the single-salary schedule than are tenured teachers.

As Figure 3.B shows, nontenured teachers are significantly more favorable toward additional compensation beyond the single-salary schedule. For example, 81 percent of nontenured teachers favored additional compensation for teaching in hard-to-staff schools, compared to 68 percent of tenured teachers. Moreover, nontenured teachers are more enthusiastic about these ideas; one-third or more are strongly in favor of paying more for additional responsibilities, national board certification, specializing in helping low-performing students, and teaching in hard-to-staff schools. That compares to just one-fifth to one-fourth of tenured teachers who strongly favor these compensation provisions.

Figure 3.B
Support for and Opposition to Additional Compensation Beyond Single-salary Schedule
Tenured Teachers Compared to Nontenured Teachers, 2010



Source: Staff survey of Kentucky teachers.

A 2005 survey found that extra compensation of approximately \$5,400 would be sufficiently motivating. In 2010 terms, this would be just over \$6,000.

Non-salary incentives in Kentucky have included allowing teachers a lighter teaching load and allowing them to draw both retirement income and a salary if they teach after retirement.

Some state and federal programs have offered to repay student loans for those teaching math, science, and special education. However, one such program in Kentucky ended abruptly, leaving about 4,000 teachers to repay the loans themselves.

Non-monetary factors—especially working conditions—can influence teachers' decisions even more than salary adjustments. One study found that good working conditions were far more attractive than large salary increases.

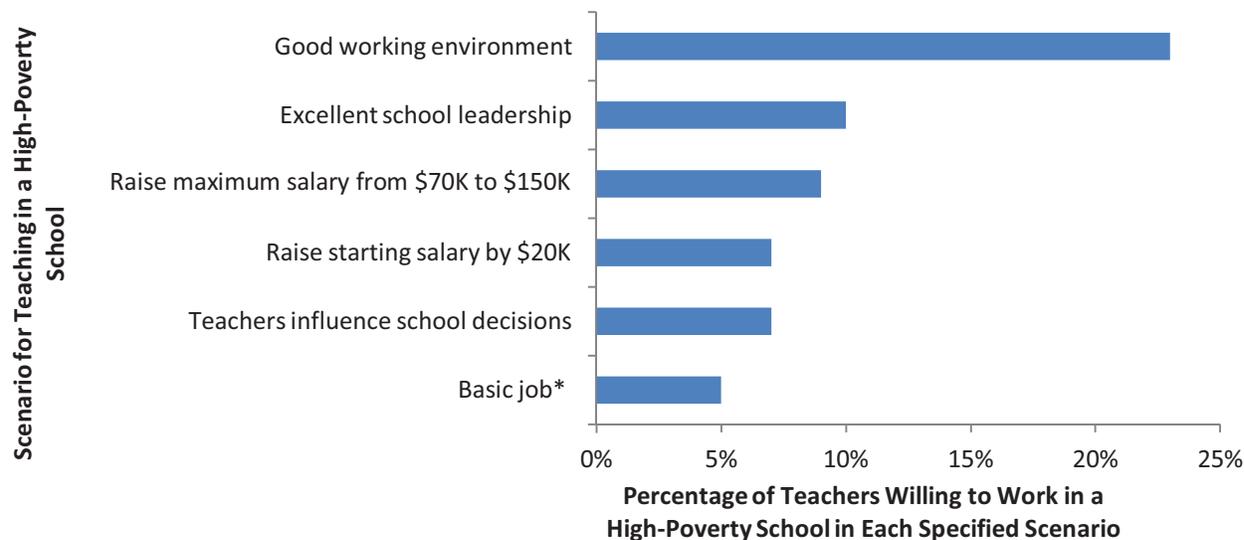
Amount of Additional Compensation That Would Be Motivating. Surveys conducted in FY 2005 as part of the evaluation of Kentucky's differentiated compensation pilot asked educators how much of an annual salary bonus would motivate them to teach in a critical shortage area, accept a difficult assignment, or teach at a hard-to-staff school. Teachers participating in the pilot indicated, on average, \$5,456.74. Nonparticipating teachers in a control group indicated an average of \$5,403.44 (Institute 50). Adjusting for inflation, the 2010 equivalent of those amounts would be \$6,103.25 and \$6,043.64, respectively (US. Bureau).

Non-salary Incentives. Other approaches besides salary increments and bonuses have been used for attracting and retaining teachers. One Kentucky program allowed teachers to opt for a lighter teaching load and, if they were asked to teach after retirement, allowed them to draw both their retirement income and a salary (KRS 164.757).

Some state and federal programs have offered to repay, or “forgive,” part or all of a student loan for those teaching subjects considered critical shortage areas, such as math, science, or special education. Appendix E lists the subjects currently considered critical shortage areas. Unfortunately, while these programs prompted decisions that had lifetime consequences, the programs themselves have not always lasted long enough to fulfill their promises. In 2009, the Kentucky Higher Education Student Loan Corporation abruptly discontinued a loan forgiveness program and then aggressively sought to collect from approximately 4,000 teachers who had not expected to repay the loans (Burd; Young). At the federal level, the Federal Family Education Loan program started offering loan forgiveness in 2005 but made no new loans after 2009 (US. Dept. Federal).

Non-monetary factors—especially working conditions—can influence teachers' decisions even more than salary adjustments. When new teachers who had graduated in the top third of their class were asked their willingness to work in a high-poverty school under various scenarios, good working conditions were about three times as persuasive as doubling the maximum salary or raising the starting salary by \$20,000. Excellent school leadership or giving teachers influence in school decisions would be as influential as the salary adjustments. While this study focused on factors that influence recruiting, these same factors are likely to be important for teacher retention as well (August 33).

Figure 3.C
Impact of Monetary and Nonmonetary Incentives on
Top-third Graduates' Willingness To Teach in High-poverty Schools



*The basic job presented for comparison purposes was a high-poverty school where teachers would have the same salary, tenure, and benefits options as all other teachers; poor working conditions; basic administrative leadership; and limited teacher influence on decisions. Only 5 percent of the teachers surveyed would opt to take this job, even though 44 percent indicated that they were working in a high-poverty school at the time of the survey.

Source: August 33.

Initiatives in Other States

Since 2009, the US Department of Education has been spurring and shaping states' reform efforts by tying certain conditions to sizable but transitory incentives.

Since 2009, the US Department of Education has been spurring and shaping states' reform efforts by tying certain conditions to sizable but transitory incentives, including the \$4.35 billion Race to the Top competition, \$48.6 billion in State Fiscal Stabilization Funds, and a total of \$600 billion in the 2009 and 2010 Teacher Incentive Fund (US. Dept. Race to the Top Fund, *American*, and Teacher Incentive). In addition, federal School Improvement Grants of up to \$2 million per school encourage the use of financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions to recruit, place, and retain staff; one option for using the grants ties compensation to the achievement gains of an individual teacher's students (US. Dept. "School").

State legislatures have introduced and passed a host of new bills, many of which tie student performance to teacher evaluation and compensation. The District of Columbia and 41 states have alternative evaluation and compensation initiatives.

State legislatures have been introducing and passing a host of new bills, many of which tie student performance measures to teacher evaluation and compensation. The District of Columbia and 41 states are piloting or attempting to implement alternative evaluation and compensation initiatives. Approaches vary considerably, but the following features are most common:

- annual evaluations for all teachers;

- compensation based partly on measures of individual teacher performance;
- performance measures include student growth (gains in achievement);
- differentiated pay for additional teacher responsibilities;
- incentives for teaching in hard-to-staff schools or high-need subjects; and
- a shifting patchwork of funding from multiple federal, state, local, and private foundation sources (Rose; US. Dept. Race to the Top Fund and Teacher Incentive; US. Dept. Ctr. *Alternative*).

Some states have a patchwork of multiple initiatives run by different entities, including state departments of education, individual districts, and/or partnerships of nonprofit organizations with one or more districts or schools. Appendix D contains a list of initiatives by state.

Lessons Learned

Pay for performance is more successful when accompanied by improvements in evaluation, professional development, data systems, policies, stakeholder involvement, and sustainability of funding.

A report from the Committee for Economic Development asserts that merit pay systems can successfully boost student achievement only if they are accompanied with improvements in teacher evaluations, professional development, data systems, support from state and federal policies, broad stakeholder involvement, and the sustainability of funding (Committee).

Having studied many programs, the US Department of Education advises those developing alternative compensation to consider fairness from all perspectives, use multiple measures and award types, balance transparency against accuracy when choosing measures, consider unintended consequences, and think systemically and holistically.

After studying a large number and variety of systems that base evaluations and compensation on student growth, even for teachers of subjects and grades not in regular standardized tests, the US Department of Education's Center for Educator Compensation Reform made the following recommendations for states developing alternative compensation systems:

- **Consider fairness from all perspectives.** A program must give every teacher opportunities to earn bonuses and other incentives for their contributions, but opportunities need not be identical.
- **Include multiple measures and award types.** Use multiple measures of student performance, student growth, and teacher effectiveness, and multiple incentives at the individual, team, department, and school levels.
- **Weigh transparency against accuracy.** Difficult trade-offs are necessary between measures that are highly valid and reliable but hard to explain and measures that are less accurate but easily understandable to those they affect.

- **Be aware of potential unintended consequences.** Consider how the manner in which teacher effectiveness and student performance are measured will influence motivation and behavior of those teaching all grade levels, subject areas, student ability levels, and demographic groups.
- **Think systemically and holistically.** Programs should 1) provide indicators of teacher effectiveness; 2) supply teachers with feedback, support, and professional development; 3) be part of an integrated system that develops skills for all positions and at all stages of careers; and 4) be well defined and aligned with school and district goals across the curriculum (US. Dept. Ctr. *The Other*).

Policy makers should not expect major improvements in student achievement solely from changes to evaluation and compensation. Research has yet to identify a consistently effective program, and Kentucky educators' concerns are more about how evaluations are used than about evaluations themselves. Reformers need to design sustainable programs and consider the many other factors that impact teaching and learning.

Policy makers should be cautious about expecting major improvements in student achievement solely from evaluation and compensation reforms. As yet, no alternative approach is consistently proven to boost student achievement or attract, retain, and motivate teachers. Research is limited, in part, by the short life span of most initiatives. Most concerns in the research literature and voiced by Kentucky educators relate not so much to evaluations themselves as to how they are used—especially in dealing with poor performance and supporting teachers' improvement efforts. Reforms will be most effective if they focus on how evaluations are used and consider such other factors as the preparation and supply of high-quality teachers, teachers' working conditions, school and district leadership, support for teachers' efforts to improve their teaching, political and social pressures against firing, time and paperwork burdens, student accountability for test results, and factors outside the control of schools. Sustainability must also be considered, in light of the recent failure of a loan forgiveness program; an initiative will influence career-changing decisions only if teachers believe it will last long enough to fulfill its promises.

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Appendix A

Questions in OEA Teachers Survey

Introduction. The Kentucky General Assembly has directed the Office of Education Accountability (OEA) to study teacher evaluation and compensation. As part of this study, OEA is surveying teachers and school administrators. Your experiences and opinions are essential for giving legislators a greater understanding of these issues. We encourage you to take this opportunity to express your views. *Your answers will be strictly confidential. No one in your school, district, or the state will see information that could identify individuals.* The survey will take about 15 minutes to complete. **Please answer this survey by April 23, 2010.** If you have questions, call Brenda Landy or Keith White at (502) 564-8167 or e-mail brenda.landy@lrc.ky.gov or keith.white@lrc.ky.gov.

Instructions. Please answer every question. Some questions allow you to answer "not applicable" if you are new to the school or if your evaluator is new. **We will not receive your answers until you press "Submit Answers"** at the end of this survey. If you exit before pressing "Submit Answers," your previous answers will not have been saved. You will need to start over.

Background Information. The following questions are important for understanding different perspectives regarding the topics in this survey.

1. Please mark all grade ranges you currently teach.

Preschool
Elementary/Primary/Intermediate
Middle School
High School

2. Please mark all subjects you currently teach.

Multiple Elementary School Subjects
Arts & Humanities
Math
Physical Education
Practical Living or Vocational/Career Studies
Reading/Language Arts
Science
Social Studies
Special Education
Technology
World/Foreign Language
Other
If other, please specify below:

3. What is the highest level of education you have completed?

Associate's Degree
Bachelor's Degree
Master's Degree
Education Specialist Degree
Ed.D./Ph.D.

4. What is your rank?

Rank I
Rank II
Rank III

5. How many years have you been teaching, in total and in your current school?

Total years of teaching experience
Number of years in current school
Years in teaching

6. Which of the following best describes how you first entered the teaching profession?

Associate's Degree
Bachelor's Degree
Education Planned Fifth-Year Program
Master's Degree
Alternative Route
Emergency Certification
Other (specify)

7. In what state did you begin your teaching career?**8. Do you have tenure?**

Yes
No

9. Do you teach at more than one school? (If yes, please answer survey questions with your primary location and primary evaluator in mind.)

Yes
No

10. Which of the following best describes your long-term career goal?

Remain a classroom teacher
Become a teacher leader who spends some time helping other teachers improve their skills
Move into education administration
Move into other work within the field of education
Leave the education field

The Teacher Feedback and Evaluation Process At Your School

In this survey, **formative feedback** means an ongoing process of monitoring your performance and providing you with feedback and suggestions.

A **summative evaluation** is the final summing up of all information that was collected about your performance over a specified period of time. This is a formal, written evaluation that includes a conference between you and your administrator.

An **evaluation cycle** is the length of time covered by each summative evaluation. In each cycle, formative feedback can be frequent but summative evaluation happens only once.

11. The evaluation process includes - Choosing evaluation criteria and setting performance goals; - Measuring performance and providing formative feedback (usually multiple times); - A formal summative evaluation of your performance for a specified time period; and - Positive or negative consequences for meeting or not meeting performance goals. If you had to assign an overall grade to the evaluation process at your school, what grade would you give it?

A B C D F

12. How long is your summative evaluation cycle?

1 Year

2 Years

3 Years

Other (specify)

Don't Know

For questions 14 through 19, please think about your most recent complete evaluation cycle at your school. If you have not been at your school for a complete evaluation cycle, please answer for the current cycle.

13. Who provided formative feedback on your performance? (Mark all that apply.)

Principal

Assistant Principal

Resource Teacher/Mentor

Peers (other teachers at your school)

Teacher Educator

No One

Other (specify)

14. Who provided your summative performance evaluation? (Mark all that apply.)

Principal

Assistant Principal

Other (specify)

Not applicable--I have not had a summative evaluation at this school.

15. Did an administrator explain the evaluation criteria and process to you within 30 days of the beginning of this school year?

Yes

No

Don't Know

If "No," when was the last time an administrator provided an explanation?

16. How much do you agree or disagree with each of the following statements?

(Strongly Disagree, Disagree, Agree, Strongly Agree, Not Applicable)

Evaluation criteria focused on factors that are important for teaching and learning.

Evaluation criteria were clear and concrete enough to be measured accurately.

You received useful formative feedback.

Your summative evaluation used the process and criteria that were described to you in advance.

Your summative evaluation was consistent with the formative feedback you had received.

Your evaluation was fair.

The growth and improvement recommendations in your evaluation were useful for improving your teaching.

Your Professional Growth Plan was consistent with your summative evaluation.

Your Professional Growth Plan was developed with your input and collaboration.

Support and resources were available to help you address areas identified for growth or improvement.

An administrator followed up to ensure that you were addressing areas identified for growth or improvement.

17. About how often were each of the following performance measures taken? (Note: Classroom observations usually entail observing an entire lesson while walkthroughs are less formal and can be any length of time.)

(Never, Every 4 years or longer, Every 3 years, Every 2 years, Once a year, Twice a year, 3 times a year, More than 3 times a year)

Formative feedback on your performance

Unannounced walk-throughs

Walk-throughs announced in advance

Unannounced classroom observations

Classroom observations announced in advance

Administrator or mentor reviewed your students' test results with you

You had an opportunity to confidentially evaluate your administrator

You had an opportunity to confidentially evaluate your working conditions

Performance was measured in other way

18. To what extent do you agree or disagree with the following?

(Strongly Agree, Agree, Disagree, Strongly Disagree)

If a teacher had excellent performance, your administrator would recognize and acknowledge it.

If a teacher at your school had poor performance, your administrator would promptly work to improve his/her performance.

If that teacher's performance did not improve within a specified time, your administrator would work to remove the teacher from the school.

Professionals in your school share a common language for discussing feedback and evaluations.

Professionals in your district share a common language for discussing feedback and evaluations.

19. How helpful have the following resources been in your professional growth?

(Not Helpful 1 2 3 4 Extremely Helpful 5 I've Never Used This)

Feedback on your performance

Summative evaluations of your performance

Your Professional Growth Plan

Feedback from your peers

Self-assessment

Reviewing audios/videos of your teaching

Summative state and national assessments of your students

Periodic formative assessments of your students

Professional development workshops, seminars, and conferences

A corrective action plan for improving your performance

Coursework for a master's or other advanced degree

Continuing Education Option (alternative rank change)

District Leadership Training

District resources, such as content or pedagogy specialists

Kentucky Department of Education resources, such as content or pedagogy specialists

Web-based tools

National Board Certification training

Other

If other, please specify below

20. Now please think again about the overall evaluation process, including

- **Choosing evaluation criteria and setting performance goals;**

- **Measuring performance and providing formative feedback (usually multiple times);**

- **A formal summative evaluation of your performance for a specified time period; and**

- **Positive or negative consequences for meeting or not meeting performance goals.**

Please grade your school's overall evaluation process based on its benefits for improving teaching and learning

(Not Helpful 1 2 3 4 Extremely Helpful 5 I've Never Used This)

Feedback on your performance

Summative evaluations of your performance

Your Professional Growth Plan

Feedback from your peers

Self-assessment

Reviewing audios/videos of your teaching

Summative state and national assessments of your students

Periodic formative assessments of your students

Professional development workshops, seminars, and conferences

A corrective action plan for improving your performance

Coursework for a master's or other advanced degree
 Continuing Education Option (alternative rank change)
 District Leadership Training
 District resources, such as content or pedagogy specialists
 Kentucky Department of Education resources, such as content or pedagogy specialists
 National Board Certification training
 Other (specify)

21. How would you grade each component of the process based on its benefits for teaching and learning?

(A B C D F)

Choosing evaluation criteria and setting performance goals
 Measuring performance and providing formative feedback
 A formal summative evaluation of your performance for a specified time period
 Positive or negative consequences for meeting or not meeting performance goals

22. How much impact does each of the following aspects of teacher performance have on student learning?

Least Impact 0 1 2 3 4 5 6 7 8 9 Most Impact 10:

Teacher attendance and punctuality
 Adherence to ethical and legal standards
 Knowledge of the subject matter taught
 Planning and design of instruction
 Pedagogical knowledge--ability to teach assigned subjects
 Classroom management--ability to maintain a positive, productive learning climate
 Ability to measure what students know so that you can help them (formative assessment)
 Ability to communicate formative assessment results to students, parents, and others
 Ability to collaborate with colleagues
 Demonstration of leadership
 Homework assignments and portfolios
 Commitment to students and their learning
 Teacher's use of evidence to assess his/her own performance and development needs
 Implementation of the Professional Growth Plan
 Use of technology to support instruction

23. In addition to the aspects of teacher performance listed in question 22 above, can you think of another aspect that has a high impact on student learning?

24. How accurately can your current evaluator measure performance in these areas?

(Low Accuracy, Medium Accuracy, High Accuracy)

Teacher attendance and punctuality
 Adherence to ethical and legal standards
 Knowledge of the subject matter taught
 Planning and design of instruction
 Pedagogical knowledge--ability to teach assigned subjects
 Classroom management--ability to maintain a positive, productive learning climate

Ability to formatively assess students
Ability to communicate formative assessment results to students, parents, and others
Ability to collaborate with colleagues
Demonstration of leadership
Homework assignments and portfolios
Commitment to students and their learning
Teacher's use of evidence to assess his/her own performance and development needs
Implementation of the Professional Growth Plan
Use of technology to support instruction
Other specified in question 23, if any

One possible measure of teacher performance is **student growth**, which is the difference in test scores before and after taking a teacher's class. If the scores of a teacher's students improved more than the state average improved, the teacher would be credited with above-average performance. This would be true even if the teacher's students scored below the state average before and after the class; by helping those students improve at an above-average rate, the teacher narrowed the achievement gap.

25. Growth can be based on different tests. Suppose growth measures compared a student's performance on this year's annual statewide assessment to that student's performance on last year's assessment. What percentage of your evaluation should be based on such a measure? (Enter any number between 0 and 100, WITHOUT a percent sign.)

26. Suppose, instead, that growth measures compared a student's performance on formative tests at the beginning of the school year to performance at the end of the year. What percentage of your evaluation should be based on such a measure? (Enter any number between 0 and 100, WITHOUT a percent sign.)

27. (ASKED OF A RANDOMLY SELECTED SUBSAMPLE) What are the main advantages, if any, of basing teacher evaluations, in part, on the achievement growth of their students?

28. (ASKED OF A RANDOMLY SELECTED SUBSAMPLE) What are the main disadvantages, if any, of basing teacher evaluations, in part, on the achievement growth of their students?

29. Additional compensation above the single salary schedule that is based on years of experience and degrees completed may be an option to attract and retain teachers, as well as to encourage professional development. Would you favor or oppose additional compensation for teachers who have the indicated characteristics/qualifications?

(Strongly Favor , Favor, Oppose, Strongly Oppose)

Have National Board Certification

Teach hard-to-fill subjects, such as math, science, or world languages

Teach in hard-to-staff schools

Specialize in helping low-performing students

Teach in alternative programs

Show above-average gains in summative student test scores
Show above-average gains in formative student test scores
Are consistently evaluated as outstanding by their administrators
Take on additional responsibilities, such as mentoring, while remaining classroom teachers

30. (ASKED OF A RANDOMLY SELECTED SUBSAMPLE) What are the main advantages, if any, to offering some teachers additional compensation above the single salary schedule?

31. (ASKED OF A RANDOMLY SELECTED SUBSAMPLE) What are the main disadvantages, if any, to offering some teachers additional compensation above the single salary schedule?

Additional Topics

32. Please check the box in column A for every role you have served and check the box in column B if you received extra duty pay for that role.

(A. Served in This Capacity B. Received Extra Duty Pay)

Academic Coach

Athletic Coach

Athletic Director

Chairperson of a department

Club Sponsor

ESS/community learning coordinator

ESS/community learning instructor

Highly Skilled Educator or Distinguished Educator

Literacy Coach

Mentor

Math Coach or Math Intervention Teacher

Participant in an initiative to improve your school's evaluation process

Peer reviewer of another teacher's performance

Resource Teacher

School-Based Decision-Making council member

Teacher Leader/Cluster Leader

Technology Integration Specialist or Technology Resource Teacher

Other (specify)

34. What is your age?

Less than 30

30-39

40-49

50-59

60 or over

35. Which of the following best describes your race/ethnic background?

American Indian or Alaska Native

Asian

Black/African American, Not Hispanic or Latino

Hispanic or Latino

Native Hawaiian or Other Pacific Islander

White, Not Hispanic or Latino

If other, please specify below:

33. What is your gender?

Female

Male

36. OPTIONAL: Feel free to share any additional comments or suggestions below.

Please press "Submit Answers" below to send us your survey answers.

Thank you for taking the time to complete this survey!

Appendix B

Questions in OEA Principals Survey

Introduction

The Kentucky General Assembly has directed the Office of Education Accountability (OEA) to study teacher evaluation and compensation. As part of this study, OEA is surveying principals and teachers.

Your experiences and opinions as a school administrator are essential for giving legislators a greater understanding of these issues. We encourage you to take this opportunity to express your views. ***Your answers are strictly confidential. No one in your school, district, or the state will see information that could identify individuals.***

The survey will take about 15-20 minutes to complete.

Please respond by June 15, 2010. If you have any questions, e-mail oeasurvey@lrc.ky.gov. We are happy to help. If you need immediate assistance, call OEA at (502) 564-8167 and ask for Brenda or Keith. (The Office of Education Accountability is part of Kentucky's Legislative Research Commission. More information can be found at: <http://www.lrc.ky.gov>.)

Instructions

Please answer every question. Some questions allow you to answer "not applicable" if you are new to the school or new to your role.

We will not receive your answers until you press "Submit Answers" at the end of this survey. If you exit before pressing "Submit Answers," your previous answers will not have been saved. You will need to start over.

Background Information

1. How many years of experience do you have as a principal, assistant principal, and classroom teacher, in total and in your current school?

(Total years, years in current school):

Principal

Assistant Principal

Classroom Teacher

2. What grade levels have you taught? Check all that apply.

Preschool

Elementary/Primary/Intermediate

Middle School

High School

3. What subjects have you taught? (Mark all that apply.)

Multiple Elementary School Subjects
Arts & Humanities
Mathematics
Physical Education
Practical Living or Vocational/Career Studies
Reading/Language Arts
Science
Social Studies
Special Education
Technology
World/Foreign Language
Other (specify)

4. What other roles have you served? (Mark all that apply.)

Preschool principal
Elementary school principal
Middle school principal
High school principal
Director/coordinator of extended school services
Guidance counselor
Other (If other specify)

5. What is the highest level of formal education you have completed?

Bachelor's Degree
Master's Degree
Education Specialist Degree
J.D.
Ed.D.
Ph.D.

6. In what state did you begin your career as an educator?**7. Besides yourself and teachers, what types of other administrators and professional staff does your school have? (Mark all that apply.)**

Assistant Principal
Dean of Students
Department Chair
Guidance Counselor
Instructional/Curriculum Coach
Librarian/Media Specialist
Resource Teacher/Mentor
School Administration Manager (SAM)
Staff Developer
Technology Integration Specialist
Other (specify)

The Teacher Feedback and Evaluation Process At Your School

In this survey, formative feedback means an ongoing process of monitoring a teacher's performance and giving the teacher feedback and suggestions based on that monitoring.

A summative evaluation is the final summing up of all information that was collected about a teacher's performance over a specified period of time. This is a formal, written evaluation that includes a conference between the teacher and the evaluator.

An evaluation cycle is the length of time covered by each summative evaluation. In each cycle, formative feedback can be frequent but summative evaluation happens only once.

8. At your school, how long is the summative evaluation cycle for each type of teacher?

(1 year, 2 years, 3 years, other (specify), don't know)

First-year Teachers

Other Nontenured Teachers

Tenured Teachers

9. Did you or someone you designated explain the teacher evaluation process to all teachers within the first 30 days of the beginning of this school year?

Yes

No

Don't Know

10. By what means was the teacher evaluation process explained to teachers (Mark all that apply.)

Written memo

Email

Verbal announcement at a group meeting

One-on-one meeting

Other (specify)

11. Reflect on the evaluation system designed by your district and implemented at your school, including

- Evaluation criteria and performance goals;

- Procedures for measuring performance and providing formative feedback;

- The formal summative evaluation of performance for a specified time period; and

- Positive or negative consequences for meeting or not meeting performance goals.

If you had to assign overall grades based on benefits for improving teaching and learning, what grades would you give?

(ABCDF)

District's design of system

How the system is working at your school

12. How would you grade each of the following components of the evaluation system based on its benefits for teaching and learning?

(ABCDF)

Evaluation criteria and performance goals

Procedures for measuring performance and providing formative feedback

The formal summative evaluation of performance for a specified time period

Positive or negative consequences for meeting or not meeting performance goals

13. How much do you agree or disagree with each of the following statements?

(Strongly Disagree, Disagree, Agree, Strongly Agree, Don't Know/Not Applicable)

You have input into the design of the district's evaluation system.

Evaluation criteria focus on factors that are important for teaching and learning.

Evaluation criteria are clear and concrete enough to be measured accurately.

Teachers receive useful formative feedback.

Summative evaluations use the process and criteria described to teachers in advance.

Summative evaluations are consistent with the formative feedback teachers receive.

Evaluations are fair.

The growth and improvement recommendations in evaluations are useful for improving teaching.

Professional Growth Plans are consistent with teachers' summative evaluations.

Professional Growth Plans are developed with teachers' input and collaboration.

Support and resources are available to help teachers address areas identified for growth or improvement.

An administrator follows up to ensure that teachers addressed areas identified for growth or improvement.

All staff in your school share a common language for discussing feedback and evaluations.

All staff in your district share a common language for discussing feedback and evaluations.

14. How helpful have the following resources been in preparing you to evaluate and guide teacher performance?

(1=Not Helpful to 5=Extremely Helpful, I've Never Used This)

Feedback and evaluations of your own performance when you were a teacher

Feedback and evaluations of your own performance as a principal by the district superintendent

Feedback from teachers at your school about your school's evaluation process

Information and advice from other administrators at your school

Information and advice from principals of other schools

Self-assessment of your own performance and development needs

"Professional Growth and Evaluation of Certified Personnel" training for initial evaluation certification

The 12 hours of evaluation training taken every 2 years for continuing certification

Coursework for a master's or other advanced degree

District Leadership Training

Highly skilled educator/Distinguished educator assistance

District resources and assistance

Kentucky Department of Education resources such as management assistance

Other (specify)

15. Many issues compete for a principal's time. In a typical year, about what percentage of your time is focused on the following sets of issues?

Curriculum, instruction, and learning interventions
Student assessment and accountability
School culture, professional learning communities, and professional ethics
Staff selection, evaluation, working conditions, and professional development
Organizational operations, laws, regulations, procedures, policies, and student discipline
Relationships and partnerships with families, community leaders, and political leaders
Other (specify in question 16)

17. How much impact does each of the following aspects of teacher performance have on student learning?

(0=Least Impact to 10=Most Impact)

Teacher attendance and punctuality
Adherence to ethical and legal standards
Knowledge of the subject matter taught
Planning and design of instruction
Pedagogical knowledge--ability to teach assigned subjects
Classroom management--ability to maintain a positive, productive learning climate
Ability to measure what students know so the teacher can help them (formative assessment)
Ability to communicate formative assessment results to students, parents, and others
Ability to collaborate with colleagues
Demonstration of leadership
Homework assignments and portfolios
Commitment to students and their learning
Teachers' use of evidence to assess own performance and development needs
Implementation of Professional Growth Plan
Use of technology to support instruction
Ability to engage and motivate students
Ability to communicate with/engage parents
Other (specify in question 18)

19. How accurately can you measure each of the following performance attributes?

(Low Accuracy, Medium Accuracy, High Accuracy)

Teacher attendance and punctuality
Adherence to ethical and legal standards
Knowledge of the subject matter taught
Planning and design of instruction
Pedagogical knowledge--ability to teach assigned subjects
Classroom management--ability to maintain a positive, productive learning climate
Ability to measure what students know so the teacher can help them (formative assessment)
Ability to communicate formative assessment results to students, parents, and others
Ability to collaborate with colleagues
Demonstration of leadership
Homework assignments and portfolios
Commitment to students and their learning

Use of evidence to assess own performance and development needs
 Implementation of the Professional Growth Plan
 Use of technology to support instruction
 Ability to engage and motivate students
 Ability to communicate with and engage parents
 Other specified in question 16, if any

One possible measure of teacher performance is student growth, which is the difference in test scores before and after taking a teacher's class. If the scores of a teacher's students improved more than the state average improved, the teacher would be credited with above-average performance. This would be true even if the teacher's students scored below the state average before and after the class; by helping those students improve at an above-average rate, the teacher narrowed the achievement gap.

20. Growth can be based on different tests. Suppose growth measures compared a student's performance on this year's annual statewide assessment to that student's performance on last year's assessment. What percentage of a teacher's evaluation should be based on such a measure?

21. Suppose, instead, that growth measures compared a student's performance on formative tests at the beginning of the school year to performance at the end of the year. What percentage of a teacher's evaluation should be based on such a measure?

22. Suppose growth measures compared a student's performance on a course-specific exam before and after taking the course. For example, the student would take an exam that covers the content of Algebra II before and after taking the Algebra II class. What percentage of a teacher's evaluation should be based on such a measure?

23. What are the main advantages, if any, of basing teachers' evaluations partly on the achievement growth of their students?

24. What are the main disadvantages, if any, of basing teachers' evaluations partly on the achievement growth of their students?

25. Additional compensation above the single salary schedule that is based on years of experience and degrees completed may be an option to attract and retain teachers, as well as to encourage professional development. Would you favor or oppose additional compensation for teachers who have the indicated characteristics/qualifications?

(Strongly Oppose, Oppose, Favor, Strongly Favor)

Have National Board Certification

Teach hard-to-fill subjects, such as math, science, or world languages

Teach in hard-to-staff schools

Specialize in helping low-performing students

Teach in alternative programs

Show above-average gains in summative student test scores

Show above-average gains in formative student test scores

Are consistently evaluated as outstanding by their administrators
Take on additional responsibilities, such as mentoring, while remaining classroom teachers
Have endorsement on certification (such as reading specialist or math specialist) in subject being taught
Teach honors or AP classes

26. Do you favor or oppose the following?

(Strongly Oppose, Oppose, Favor, Strongly Favor)

Requiring annual evaluations for all teachers, regardless of tenure
Basing teacher tenure decisions on summative evaluations
Basing teacher tenure decisions on student growth measures
Making it easier to remove tenured teachers when they are ineffective
Giving teachers opportunities to confidentially evaluate school administrators
Giving teachers opportunities to confidentially evaluate their working conditions

27. In your efforts to hire, retain, and develop quality staff, to what extent are you impeded by shortages of the following?

(Not a Problem, Slight Problem, Moderate Problem, Serious Problem)

Supply of quality applicants to fill teaching positions
Your time available to work with teachers
Effective professional development opportunities for teachers
Availability of supporting staff (mentors, resource teachers)

28. Optional: Use the space below to clarify if the factors listed in question 27 vary (for example, if math teachers are hard to find but other teachers are not).

29. In addition to the factors in question 27, list other factors, if any, that have a major impact on your efforts to ensure your school has a quality teaching staff.

30. What is your gender?

Female
Male

31. What is your age?

Less than 30
30-39
40-49
50-59
60 or over

32. Which of the following best describes your race/ethnic background?

American Indian or Alaska Native
Asian
Black/African American, Not Hispanic or Latino
Hispanic or Latino
Native Hawaiian or Other Pacific Islander

White, Not Hispanic or Latino
If other, please specify below:

36. OPTIONAL: Feel free to share any additional comments or suggestions below.

Please press "Submit Answers" below to send us your survey answers.

Thank you for taking the time to complete this survey!

Appendix C

Model Core Teaching Standards Update Committee

- Richard Allan, Vice President, Evaluation Systems group of Pearson
- Katherine Bassett, Director of Educator Relations, Educational Testing Service (State Teacher of the Year)
- Victoria Chamberlain, Executive Director, Oregon Teacher Standards and Practices Commission
- Pamela Coleman, Director of Teacher Education and Licensure, Kansas State Department of Education
- Lynne Cook, Professor of Special Education and Director of the Ed.D. in Educational Leadership California State University, Dominguez Hills
- Manuel Cox, Lead Teacher, Engineering Academy for Student Excellence (EASE), American High School (NBCT*)
- Nadene Davidson, Interim Head, Department of Teaching, University of Northern Iowa (NBCT)
- Sydnee Dickson, Director, Teaching and Learning, Utah State Office of Education
- Karen Huffman, Assistant Superintendent, Division of Educator Quality and System Support, West Virginia Department of Education
- Maria Hyler, Assistant Professor, University of Maryland, College Park (NBCT*)
- Susan Johnsen, Professor in the Department of Educational Psychology and Director of the PhD Program, School of Education, Baylor University
- Carlene Kirkpatrick, Instructional Coach, DeKalb County School System (NBCT*)
- Jean Miller, Consultant, Council of Chief State School Officers
- Antoinette Mitchell, Interim Dean, School of Education, Trinity Washington University
- Gwen Wallace Nagel, Director, Iowa Learning Online, Iowa Department of Education
- Richelle Patterson, Senior Policy Analyst, Teacher Quality Department, National Education Association
- Irving Richardson, Coordinator for Public Education and School Support NEA-NH (State Teacher of the Year)
- Maria del Carmen Salazar, Assistant Professor, Curriculum and Instruction Morgridge College of Education, University of Denver
- Theodore Small, 5th-grade teacher, Clark County School District, Nevada
- Afi Y. Wiggins, PhD Student, Research Statistics and Evaluation, Curry School of Education, University of Virginia

*NBCT - National Board Certified Teacher

Source: US. Dept. *Teacher Shortage* 4, 38.

Appendix D

Alternative Evaluation and Compensation Initiatives by State

State	Compensation Reform Initiatives
Alabama	Mobile County Transformation Plan
Alabama	Lowndes County District: Lowndes County Teacher Incentive Program (TIF grant 9/23/10)
Alabama	Butler County District (TIF grant 9/23/10)
Alaska	Alaska Teacher and Principal Incentive Project
Arizona	Career Ladder Program
Arizona	Classroom Site Fund
Arizona	Amphitheater Unified School District: Project Excell!
Arizona	Safford District #1: Effective Teachers and Principals Program (TIF grant 9/23/10)
Arizona	Maricopa County Education Service Agency: Rewarding Excellence in Instruction and Leadership (TIF grant 9/23/10)
Arizona	Arizona State University: Ready-for-Rigor evaluation and compensation program (in partnership with Arizona Department of Education, National Institute for Excellence in Teaching, 17 districts, and one charter school) (TIF Evaluation grant 9/23/10)
Arkansas	Arkansas Comprehensive Testing and Accountability Program for Schools
Arkansas	Rewarding Excellence in Achievement Program
Arkansas	Teacher Advancement Program
Arkansas	Achievement Challenge Pilot Program
Arkansas	Augusta District: Teacher Advancement Program (TIF grant 9/23/10)
Arkansas	National Institute for Excellence in Teaching (non-profit charity formed by founders of the Teacher Advancement Program, in partnership with Cross County and Lincoln districts in Arkansas) (TIF grant 9/23/10)
California	Los Angeles District: Teacher Recruitment and Student Support Grant
California	Lynwood District: Qwest for Success
California	San Fernando: Vaughn Next Century Learning Center
California	ARISE High School (in partnership with two other charter schools and Reach Institute for School Leadership) (TIF grant 9/23/10)
California	The College-Ready Promise (coalition of five charter management organizations) (TIF grant 9/23/10)
California	Lucia Mar District: Teacher Advancement Program (TIF grant 9/23/10)
California	Northern Humboldt Union High School District: Towards Higher Results through Incentives for Value-added Education (TIF grant 9/23/10)
California	Teacher Advancement Program (partnership with National Institute for Excellence in Teaching) (TIF grant 9/23/10)
Colorado	Denver: ProComp (non-TIF portion)
Colorado	Denver: ProComp (TIF-supported portion)
Colorado	Harrison District: Recognizing Engagement in the Advancement of Learning
Colorado	Douglas County District: Pay for Performance Program
Colorado	Eagle County: Performance-Based Compensation Program
Colorado	Weld County: Weld County Teacher Incentive Fund
Colorado	Colorado Springs School District 11 Performance-Based Compensation System (TIF grant 9/23/10)
Colorado	Jefferson County District: Jeffco Strategic Compensation Plan (TIF Evaluation grant 9/23/10)
Connecticut	Vanguard Schools Program
Connecticut	Achievement First (non-profit charter management organization in charge of four charter schools in Connecticut): Teacher Career Pathway (TIF grant 9/23/10)
Delaware	Program evaluates teachers and principals annually across multiple dimensions, including student growth, and using evaluations to inform teacher and principal development, rewards, and

State	Compensation Reform Initiatives
	consequences. (Awarded \$100 million on 3/29/10 in Round 1 of Race to the Top competition)
District of Columbia	Effective Practice Incentive Community
District of Columbia	IMPACTplus (introduced Sept. 10, 2010)
District of Columbia	(Awarded \$75 million on 8/24/10 in Round 2 of Race to the Top competition)
Florida	(Awarded \$700 million on 8/24/10 in Round 2 of Race to the Top competition)
Florida	Merit Award Program
Florida	Hillsborough County: Performance Outcomes With Effective Rewards (POWER) (TIF grant renewed 9/23/10 for POWER II, POWER's replacement)
Florida	Miami-Dade County: Project RISE (TIF grant renewed 9/23/10)
Florida	Duval District (TIF grant 9/23/10) G.R.E.A.T. (Gaining Rewards with Effective & Accountable Teachers) Expectations
Florida	Pinellas County District (TIF grant 9/23/10)
Florida	Putnam County District (TIF grant 9/23/10)
Florida	Orange County: Recognizing Excellence in Achievement and Professionalism (TIF grant renewed 9/23/10)
Florida	Palm Beach County: Complexity Pay for Principals
Georgia	Georgia Salary Schedule
Georgia	(Awarded \$400 million on 8/24/10 in Round 2 of Race to the Top competition)
Hawaii	(Awarded \$75 million on 8/24/10 in Round 2 of Race to the Top competition)
Idaho	Idaho State Teacher Advancement and Recruitment System
Illinois	Chicago District: Recognizing Excellence in Academic Leadership (TIF Evaluation competition grant 9/23/10—application mentions ongoing work, but not specifically the Recognizing Excellence in Academic Leadership program)
Indiana	Indiana Department of Education (TIF grant renewed 9/23/10)
Indiana	Archdiocese of Indianapolis: Project EXCEED
Iowa	Iowa Department of Education Initiative
Kansas	None
Kentucky	None
Louisiana	Teacher Advancement Program (was already operating before 9/23/10 TIF grant)
Louisiana	National Institute for Excellence in Teaching (in partnership with five schools in Louisiana) Teacher Advancement Program (TIF grant 9/23/10)
Louisiana	Jefferson Parish: Teacher Advancement Program
Louisiana	St. Bernard Parish: Teacher Advancement Program
Louisiana	New Orleans: Teacher Advancement Program (TIF grant 9/23/10 to New School for New Orleans, a non-profit partnering with 29 high-need schools that are either part of the Recovery School District or one of three charter management organizations)
Louisiana	New Orleans: Performance Pay Plan
Louisiana	Iberville Parish District (partnership with Louisiana TAP and Advance Innovative Education) (TIF Evaluation grant 9/23/10)
Maine	Portland Professional Learning Based Salary Schedule
Maine	Five districts in partnership with National Board for Professional Teaching Standards (TIF grant 9/23/10)
Maryland	Prince George's District: Financial Incentive Rewards for Supervisors and Teachers
Maryland	Washington County District: Performance Outcomes with Effective Rewards performance-based compensation system (TIF grant 9/23/10)
Maryland	(Awarded \$250 million on 8/24/10 in Round 2 of Race to the Top competition)
Massachusetts	Roslindale: Edward W. Brooke Charter School Teacher Excellence Incentive Project
Massachusetts	Massachusetts <i>aMAzing educators</i> performance-based compensation system (TIF grant 9/23/10)
Massachusetts	(Awarded \$250 million on 8/24/10 in Round 2 of Race to the Top competition)

State	Compensation Reform Initiatives
Michigan	Michigan Association of Public School Academies (in partnership with 20 public school academies in Detroit) Teacher Excellence & Academic Milestones for Students (TIF Evaluation grant 9/23/10)
Minnesota	Quality Compensation
Minnesota	Minneapolis: Alternative Teacher Professional Pay System
Mississippi	Mississippi Department of Education (TIF grant 9/23/10)
Missouri	Kansas City Missouri District (TIF grant 9/23/10)
Missouri	Hogan Preparatory Academy, Inc. (TIF grant 9/23/10)
Montana	None
Nebraska	Ralston District: Performance Incentives for Principals
Nevada	Washoe County District: Principal and Teacher Performance Growth System (TIF grant 9/23/10)
New Hampshire	None
New Jersey	None
New Mexico	Northern New Mexico Performance-Based Compensation Program
New York	New York City: Schoolwide Performance Bonus Program
New York	New York City: Urban Excellence Initiative (TIF Evaluation grant 9/23/10)
New York	New York Department of Education: Teacher and Principal Career Development program (TIF Evaluation grant 9/23/10)
New York	Elmira District: Principal Performance Incentives
New York	New York City: Partnership for Innovation in Compensation for Charter Schools
New York	New York City: Effective Practice Incentive Community
New York	Achievement First (non-profit charter management organization in charge of eight NY charter schools): Teacher Career Pathway (TIF grant 9/23/10)
New York	Center for Educational Innovation: Partnership for Innovation in Compensation for Charter Schools (TIF grant renewed 9/23/10)
New York	(Awarded \$700 million on 8/24/10 in Round 2 of Race to the Top competition)
North Carolina	ABC's of Public Education
North Carolina	Cumberland County District: Cumberland County Schools Teacher Incentive Fund
North Carolina	Guilford County District: Mission Possible
North Carolina	Winston-Salem District Teacher Compensation Plan (appears to have been replaced 9/23/10 with the Winston-Salem/Forsyth County District's Project STAR)
North Carolina	Winston-Salem/Forsyth County District: Project STAR (School Transformation by Actively Recruiting, Retaining, and Rewarding) (TIF Evaluation grant 9/23/10)
North Carolina	Charlotte: Community Training and Assistance Center and the Charlotte-Mecklenburg School Leadership for Educator's Advanced Performance
North Carolina	(Awarded \$400 million on 8/24/10 in Round 2 of Race to the Top competition)
North Dakota	None
Ohio	Ohio Teacher Incentive Fund (TIF grant renewed 9/23/10) (partnering with non-profit Battelle for Kids)
Ohio	Teacher Advancement Program
Ohio	Toledo Review and Alternative Compensation System
Ohio	(Awarded \$400 million on 8/24/10 in Round 2 of Race to the Top competition)
Oklahoma	Beggs District: System to Motivate and Reward Teachers
Oregon	Creative Leadership and Student Success
Oregon	McMinnville District: Investing in Effective Educators (TIF grant 9/23/10)
Oregon	Chalkboard Project (in partnership with six school districts) (TIF Evaluation grant 9/23/10)
Pennsylvania	Philadelphia Teacher and Principal Incentive Fund
Pennsylvania	Pittsburgh School District Principal Incentive Program (TIF grant renewed 9/23/10. Teachers are now added to program as a result of a 5-year collective bargaining agreement approved 6/14/10.)
Pennsylvania	Mastery Charter High School performance-based compensation system (TIF grant 9/23/10)
Rhode Island	Achievement First (non-profit charter management organization in charge of two charter schools in Rhode Island): Teacher Career Pathway (TIF grant 9/23/10)

State	Compensation Reform Initiatives
Rhode Island	(Awarded \$75 million on 8/24/10 in Round 2 of Race to the Top competition)
South Carolina	South Carolina Teacher Incentive Fund (TIF grant renewed 9/23/10 and Teacher Advancement Program model incorporated)
South Carolina	Charleston County District: Teacher Outstanding Performance
South Carolina	Florence County District: Teacher Advancement Program
South Carolina	Richland County: Pay for Results
South Dakota	South Dakota Teacher Incentive Fund
Tennessee	Tennessee Teacher Incentive Fund (TIF grant 9/23/10)
Tennessee	Hamilton County District: Benwood Initiative
Tennessee	Knox County District: Teacher Advancement Program (TIF grant 9/23/10)
Tennessee	Memphis District: Effective Practice Incentive Community (not on list of 9/23/10 TIF recipients)
Tennessee	Memphis District: TIF3 In the Zone project (TIF grant 9/23/10 – application stated that it will serve the district’s 28 lowest performing schools and will not serve the same schools as the “current TIF/Effective Practices Incentive Community (EPIC) project”)
Tennessee	Nashville: Project on Incentives in Teaching
Tennessee	State funding for districts to design alternative compensation systems, with Memphis as a model. State requires annual evaluations with 50% based on student achievement data (primarily from Tennessee Value-Added Assessment System) (Awarded \$500 million in Round 1 of Race to the Top competition on 3/29/10)
Texas	Governor’s Excellence Award, Texas Educator Excellence Award, and District Award for Teacher Excellence
Texas	Texas Teacher Incentive Fund (TIF grant 9/23/10; partnership with Texas Teacher Advancement Program system, the New Teacher Project, and Teach for America)
Texas	Aldine District: Performance Pay
Texas	Austin Independent District: AISD REACH Strategic Compensation Initiative (operated as a pilot without TIF funds for 3 years before 9/23/10 TIF grant; will now be expanded)
Texas	Dallas District: Dallas Principal and Teacher Incentive Pay Program
Texas	Houston District: Project SMART (Strategies for Motivating and Rewarding Teachers) (appears to have been replaced 9/23/10 with Project ASPIRE)
Texas	Houston District: Project ASPIRE (Accelerating Student Progress. Increasing Results & Expectations) (TIF grant 9/23/10)
Texas	Pasadena District: Performance Pay Plan
Texas	Austin: University of Texas System (in partnership with seven independent school districts and the Teacher Advancement Program) Teacher Incentive Fund Program
Texas	Round Rock Independent District: Round Rock Incentives for Superior Education Program
Texas	San Antonio School of Excellence in Education Charter School District: Teachers and Principals Awarded for Student Achievement
Texas	Uplift Education (charter management organization) (TIF grant 9/23/10)
Texas	Fort Worth Independent District: PEAK Rewards Program (operated without TIF funds before 9/23/10 TIF grant)
Texas	Galveston Independent District: performance-based teacher compensation (TIF grant 9/23/10)
Texas	Youth Employment Services (charter schools) (TIF grant 9/23/10)
Utah	Teacher Performance Pay Bonuses
Vermont	None
Virginia	Incentive Program to Attract and Retain Teachers in Virginia’s Hard-to-Staff Schools
Virginia	Community Training and Assistance Center of Massachusetts in partnership with Henrico County District (TIF grant 9/23/10)
Virginia	Richmond District in partnership with National Board for Professional Teaching Standards (TIF grant 9/23/10)
Washington	Seattle District (TIF grant 9/23/10)
West Virginia	None
Wisconsin	Milwaukee Public Schools (TIF grant 9/23/10)

State	Compensation Reform Initiatives
Wyoming	None

Notes: TIF=Teacher Incentive Fund. A state-led program is run by the state education agency. This table is based primarily on a list of programs identified by the US Department of Education's Center for Educator Compensation Reform as active as of March 1, 2010. It was augmented and updated with programs receiving Teacher Incentive Fund grants or Race to the Top awards in 2010, as noted.

Sources: US. Dept. Ctr. CECR; Natl. Conference; US. Dept. Nine, Race, and Teacher; Delaware; District of Columbia; Tennessee; Rose.

Appendix E

Critical Teacher Shortage Areas

The US Department of Education must approve states' lists of teacher shortage areas. Kentucky's approved shortage areas for FY 2011 are listed below.

- Biology
- Chemistry
- Engineering Technology
- English—Middle School
- English—Secondary
- English as a Second Language
- Exceptional Children (Emotional and Behavioral Disorders, Functional Mental Disabilities, Learning and Behavior Disorders, and Physical Disabilities)
- Information Technology
- Mathematics—Middle School
- Mathematics—Secondary
- Science—Middle School
- Social Studies—Middle School
- Social Studies—Secondary
- World Language

Source: US. Dept. *Teacher Shortage* 4, 38.

