

Education and Workforce Development Cabinet

Kentucky Board of Education

Department of Education

(New)

704 KAR 3:370 Professional Growth and Effectiveness System.

RELATES TO: KRS 156.557

STATUTORY AUTHORITY: KRS 156.070, 156.557 (5)(c)

NECESSITY, FUNCTION, AND CONFORMITY: KRS 156.557(2) and (5) (c) require the

Kentucky Board of Education to promulgate administrative regulations to establish a statewide

professional growth and effectiveness system for the purposes of supporting and improving the

performance of all certified school personnel and to develop written guidelines for local school

districts to follow in implementing a statewide system of evaluation for certified school personnel.

This administrative regulation establishes a statewide professional growth and effectiveness system

to support and improve the performance of all certified school personnel.

Section 1. Definitions. (1) “Artifact” means a product of a certified school personnel’s work that demonstrates knowledge and skills.

(2) “Assistant principal” means a certified school personnel who devotes the majority of employed time in the role of assistant principal, for which administrative certification is required by the Education Professional Standards Board pursuant to Chapter 16 of the Kentucky Administrative Regulations.

(3) "Certified administrator" means a certified school personnel, other than principal or assistant principal, who devotes the majority of employed time in a position for which administrative

1 certification is required by the Education Professional Standards Board pursuant to Chapter 16 of
2 the Kentucky Administrative Regulations.

3 (4) "Certified school personnel" means a certified employee, below the level of superintendent, who
4 devotes the majority of employed time in a position in a district for which certification is required
5 by the Education Professional Standards Board pursuant to Chapter 16 of the Kentucky
6 Administrative Regulations and includes certified administrators, assistant principals, principals,
7 other professionals, and teachers.

8 (5) "Conference" means a meeting between the evaluator and the evaluatee for the purposes of
9 providing evaluator feedback, analyzing the results of an observation or observations, reviewing
10 other evidence to determine the evaluatee's accomplishments and areas for growth, and leading to
11 the establishment or revision of a professional growth plan.

12 (6) "Evaluatee" means the certified school personnel who is being evaluated.

13 (7) "Evaluator" means the primary evaluator as described in KRS 156.557(5) (c) 2.

14 (8) "Formative evaluation" is defined in KRS 156.557(1) (a).

15 (9) "Job category" means a group or class of certified school personnel positions with closely
16 related functions.

17 (10) "Local formative growth measures" is defined in KRS 156.557(1) (b).

18 (11) "Observation" means a data collection process conducted by a certified observer for the
19 purpose of evaluation and may include notes and professional judgments made during one (1) or
20 more classroom or worksite visits of any duration, may include examination of artifacts, and may be
21 conducted in person or through video.

(12) "Observer certification" means a process of training and ensuring that certified school personnel who serve as observers of evaluatees have demonstrated proficiency in rating teachers for the purposes of evaluation and feedback.

(13) "Observer recalibration" means the process of ensuring that certified school personnel have maintained proficiency and accuracy in observing teachers for the purposes of evaluation and providing feedback.

(14) "Other professionals" means certified school personnel and does not include teachers, administrators, assistant principals, or principals.

(15) "Overall growth rating" means the rating that is calculated for a teacher evaluatee pursuant to the requirements of Section 8(5) and (6) of this administrative regulation and that is calculated for an assistant principal or principal evaluatee pursuant to the requirements of Section 11(4) and (5) of this administrative regulation.

(16) "Peer Assistance and Review Process" means a process created to provide peer assistance and review for the purposes of supporting and improving instructional practice and making personnel decision recommendations.

(17) "Peer observation" means observation and documentation by trained certified school personnel.

(18) "Performance criteria" means the areas, skills, or outcomes on which certified school personnel shall be evaluated.

(19) "Performance rating" means the summative description of a teacher, principal, or assistant principal evaluatee's performance and includes the following ratings:

(a) "Exemplary" means the rating for performance that consistently exceeds expectations for effective performance.

(b) “Accomplished” means the rating for performance that consistently meets expectations for effective performance.

(c) “Developing” means the rating for performance that inconsistently meets expectations for effective performance.

(d) “Ineffective” means the rating for performance that consistently fails to meet expectations for effective performance.

(20) “Local contribution” means a rating based on the degree to which a teacher, principal, or assistant principal meets student growth goals and is used for the student growth measure.

(21) “Preschool teacher” means a certified school personnel who holds a certificate required by 16 KAR 2:040 and who meets the preschool lead teacher qualifications required by 704 KAR 3:410, Section 7.

(22) “Principal” means a certified school personnel who devotes the majority of employed time in the role of principal, for which administrative certification is required by the Education Professional Standards Board pursuant to 16 KAR 3:050.

(23) “Professional Growth and Effectiveness System” or “System” means an evaluation system to support and improve the performance of certified school personnel that meets the requirements of KRS 156.557(1)(c), (2), and (3) and that uses clear and timely feedback to guide professional development.

(24) “Professional growth plan” means an individualized plan for a certified personnel that is focused on improving professional practice and leadership skills, aligned with performance standards and the specific goals and objectives of the school improvement plan or the district improvement plan, built using a variety of sources and types of data that reflect student needs and

strengths, evaluatee data, and school and district data, produced in consultation with the evaluator, and includes:

- (a) Goals for enrichment and development that are established by the evaluatee in consultation with the evaluator;
- (b) Objectives or targets aligned to the goals;
- (c) An action plan for achieving the objectives or targets and a plan for monitoring progress;
- (d) A method for evaluating success; and
- (e) The identification, prioritization, and coordination of presently available school and district resources to accomplish the goals.

(25) “Professional practice” means the demonstration, in the school environment, of the evaluatee’s professional knowledge and skill.

(26) “Professional practice rating” means the rating that is calculated for a teacher evaluatee pursuant to Section 8(2), (3), and (4) of this administrative regulation and that is calculated for a principal or assistant principal evaluatee pursuant to the requirements of Section 10(2) of this administrative regulation.

(27) “Self-reflection” means the annual process by which certified school personnel assess the effectiveness and adequacy of their knowledge and performance for the purpose of identifying areas for professional learning and growth.

(28) “Sources of evidence” means the multiple measures listed in KRS 156.557(4) and in Section 8 and Section 10 of this administrative regulation.

(29) “State contribution” means the student growth percentiles, as defined in 703 KAR 5:200, Section 1(11), for teachers and the Next Generation Learners Goal for principals and assistant principals.

(30) “Student growth” is defined in KRS 156.557(1) (c).

(31) “Student growth goal” means a goal focused on learning, that is specific, appropriate, realistic, and time-bound, that is developed collaboratively and agreed upon by the evaluatee and evaluator, and that uses local formative growth measures.

(32) “Student growth percentile” is defined in 703 KAR 5:200, Section 1(11).

(33) “Student voice survey” means the department-approved student perception survey that is administered annually to a minimum of one district-designated group of students per teacher evaluatee and provides data on specific aspects of the classroom experience and professional practice of the teacher evaluatee.

(34) "Summative evaluation" is defined by KRS 156.557(1) (d).

(35) "Teacher" means a certified school personnel who has been assigned the lead responsibility for student learning in a classroom, grade level, subject, or course and holds a teaching certificate under 16 KAR 2:010 or 16 KAR 2:020.

(36) “Working conditions survey goal” means a school improvement goal set by a principal or assistant principal every two (2) years with the use of data from the department-approved working conditions survey.

Section 2. Implementation Timeline. (1) During the 2014-2015 school year, all local districts shall fully implement the requirements of KRS 156.557 and this administrative regulation for all certified school personnel except other professionals, preschool teachers, and teachers of career and technical education in area technology centers, and may, if the System plan is approved by the local board of education, use the results from the System to inform personnel decisions. The use of a district’s present evaluation plan, in addition to the System, during the 2014-2015 school year, will comply with this administrative regulation. During the 2014-2015 school year, the overall

1 school and district accountability scores described in 703 KAR 5:225 shall not include the results
2 from the System.

3 (2) During the 2014-2015 school year, all school districts shall pilot the System for other
4 professionals and preschool teachers. During the 2014-2015 school year, school districts shall
5 evaluate teachers of career and technical education in area technology centers pursuant to 780
6 KAR 3:035. During the 2014-2015 school year, school districts shall evaluate preschool teachers
7 and other professionals pursuant to the requirements of Section 13 of this administrative regulation.
8 Beginning in the 2015-2016 school year, all school districts shall fully implement the System for
9 other professionals and preschool teachers. During the 2015-2016 school year, all school districts
10 shall pilot the System for teachers of career and technical education in area technology centers.

11 (3) Beginning in the 2015-2016 school year, all school districts shall fully implement the System
12 for all certified school personnel, use the System to inform personnel decisions for all certified
13 school personnel, and the overall school and district accountability scores described in 703 KAR
14 5:225 shall include the results from the System.

15 (4) Beginning in the 2016-2017 school year, all school districts shall fully implement the System
16 for teachers of career and technical education in area technology centers.

17 Section 3. Approval of Local Professional Growth and Effectiveness System Plan and Procedures.

18 (1) Each local school district shall submit to the department a Professional Growth and
19 Effectiveness System plan and procedures to establish the district's evaluation system for all
20 certified school personnel. The department shall approve each local school district's plan and
21 procedures that comply with the requirements established in KRS 156.557 and this administrative
22 regulation.

1 Section 4. Local Professional Growth and Effectiveness Policies. The local board of education
2 shall establish a written policy for implementing the System for all certified school personnel in the
3 district, consistent with the requirements of KRS 156.557 and this administrative regulation. The
4 local board of education shall develop, adopt, and submit to the department for approval a policy
5 for evaluation of the district superintendent, consistent with the requirements of KRS 156.557(6)
6 and this administrative regulation.

7 Section 5. Local Evaluation Procedures and Forms. (1) A local evaluation committee shall
8 develop, and the local board of education shall act upon, System procedures and forms for the
9 evaluation of certified school personnel positions.

10 (2) The local board of education shall adopt procedures and forms that meet the requirements of
11 KRS 156.557(5) (c) and include the following:

12 (a) The district may require the utilization of additional trained administrative personnel to observe
13 and provide information to the evaluator.

14 (b) The district shall require a minimum of one (1) peer observation of a teacher evaluatee during
15 the summative evaluation year, documentation of peer observations in the department-approved
16 technology platform, and sharing the documentation with the teacher for formative evaluation
17 purposes. At the request of a teacher, peer observations may be used in the formative process.

18 (c) Beyond the minimum observation requirements set forth in KRS 156.557 and this
19 administrative regulation, the district may establish uniform requirements for the length, frequency,
20 and nature of observations conducted by an evaluator for the purpose of evaluation.

21 (d) The district shall require a teacher evaluator to conduct a minimum of three (3) observations of
22 a teacher evaluatee during the summative evaluation cycle and, at a minimum, one (1) full

1 classroom observation during the summative year and to document all observations in the
2 department-approved technology platform.

3 (e) The district shall require a principal evaluator to conduct a minimum of two (2) site visits each
4 year.

5 (f) The district shall create a process for selection of peer observers.

6 (g) The district shall require a formative evaluation conference between the evaluator and the
7 evaluatee within five (5) working days following each observation by the evaluator.

8 (h) The district shall require the summative evaluation conference be held at the end of the
9 summative evaluation cycle and include all applicable System data.

10 (i) The district shall require summative evaluation, with multiple observations, to occur annually
11 for each teacher who has not attained continuing service status under KRS 161.740 or “continuing
12 status” under KRS 156.800(7) and may utilize the formative data collected during the beginning
13 teacher internship period, pursuant to 16 KAR 7:010, in the summative evaluation of an intern
14 teacher.

15 (j) The district shall require multiple observations of a certified school personnel who has attained
16 continuing service status under KRS 161.740 or “continuing status” under KRS 156.800(7) and
17 whose observation results are determined to be Ineffective.

18 (k) The district shall require summative evaluation at least once every three (3) years for a teacher
19 who has attained continuing service status under KRS 161.740 or “continuing status” under KRS
20 156.800(7).

21 (l) The district, upon the request of a teacher, may use peer observation data in the formative
22 process.

(m) The district shall require summative evaluation annually for a certified administrator, assistant principal, or principal.

(n) The district shall require a summative evaluation of a certified school personnel be documented in writing and be included in the evaluatee's official personnel record.

(o) The district shall require documentation of a summative evaluation of a teacher, principal, and assistant principal in the department-approved technology platform.

(p) The district shall require inclusion of the overall performance rating sources of evidence in the documentation of a certified school personnel's summative evaluation.

(q) The district shall provide an opportunity for a written response by the evaluatee, and require the response be included in the official personnel record.

(r) The district may develop and implement a Peer Assistance and Review process.

(3) The local board of education shall develop, adopt, and submit to the department for approval procedures for evaluation of the district superintendent, consistent with the requirements of KRS 156.557(6) and this administrative regulation.

Section 6. Training and Testing of Evaluators and Observers. (1) The district shall include evaluation and observation training in the district's System plan and procedures submitted to the department for approval pursuant to Section 3 of this administrative regulation.

(2) The district shall ensure an evaluator meets the requirements of the district's System plan and procedures prior to evaluating a certified school personnel.

(3) An evaluator shall be trained and tested and approved on a four (4) year cycle.

(4) Year one (1) of the district's evaluator training cycle shall include the following training requirements:

(a) Training on all statutes and administrative regulations applicable to the evaluation of certified school personnel;

(b) Training in identifying effective teaching and management practices, in effective observation and conferencing techniques, in development of student growth goals, in providing clear and timely feedback, in establishing and assisting with a professional growth plan, and in summative decision techniques; and

(c) Training provided by the department for all certified administrator evaluators who have never evaluated certified school personnel. Other certified administrators who have not received training in the skill areas listed in paragraph (b) of this subsection may also be trained by the department; and

(d) Training, for all other evaluators, by a provider who has been approved by the department as a trainer for the Instructional Leadership Improvement Program established in 704 KAR 3:325.

(5) Year one (1) of the district's evaluator training cycle shall include the following testing requirements:

(a) An evaluator shall successfully complete testing of research-based and professionally accepted teaching and management practices and effective evaluation techniques.

(b) The testing shall be conducted by the department or an individual or agency approved by the department.

(c) The testing shall include certification as an observer through the department-approved observer certification process for an evaluator who is observing teachers for the purpose of evaluation.

(6) The department shall issue year one (1) approval as an evaluator upon the evaluator's successful completion of the required evaluation training and testing program and successful completion of observer certification.

(7) Years two (2) and three (3) of the district's evaluator training and testing cycle shall include in each year:

(a) Observer recalibration training, in the department-approved technology platform, for all evaluators who observe teachers for the purpose of evaluation; and

(b) A minimum of six (6) hours of evaluation training on any changes to the district's System plan, policies, or procedures, or to statutes or administrative regulations related to the evaluation of certified school personnel.

(8) Year four (4) of the district's evaluator training and testing cycle shall include refresher evaluator training and, if evaluating teachers, refresher observer certification training and testing.

(9) The district shall require peer observers to complete the department-developed peer observer training at least once every three (3) years.

(10) The district shall designate a contact person responsible for monitoring evaluator training and for implementing the System.

Section 7. Professional Practice Rating and Student Growth Rating for Teachers. (1) The district's professional practice rating form shall utilize The Framework for Teaching Evaluation Instrument, 2011 Edition, in conjunction with the Teacher Evaluation Crosswalk, in compliance with KRS 156.557 and the requirements of this administrative regulation and shall include the following:

(a) Planning and Preparation Domain. Components shall include: Knowledge of Content and Pedagogy, Demonstrating Knowledge of Students, Setting Instructional Outcomes, Demonstrating Knowledge of Resources, Designing Coherent Instruction, and Designing Student Assessments;

(b) Classroom Environment Domain. Components shall include: Creating an Environment of Respect and Rapport, Establishing a Culture of Learning, Managing Classroom Procedures, Managing Student Behavior, and Organizing Physical Space;

(c) Instruction Domain. Components shall include: Communicating with Students, Questioning and Discussion Techniques, Engaging Students in Learning, Using Assessment in Instruction, and Demonstrating Flexibility and Responsiveness; and

(d) Professional Responsibilities Domain. Components shall include: Reflecting on Teaching, Maintaining Accurate Records, Communicating with Families, Participating in a Professional Community, Growing and Developing Professionally, and Showing Professionalism.

(2) The district's professional practice rating evaluation form shall list, in each component, the performance criteria that characterize effective teaching and apply to the teacher evaluatee.

(3) The district shall explain and discuss the professional practice rating domains, components, and performance criteria, and the evaluation process with a teacher evaluatee no later than the end of the evaluatee's first thirty (30) calendar days of reporting for employment each school year.

Amendments to local systems of teacher evaluation approved by the department after the end of the teacher's first thirty (30) calendar days of the school year shall not apply to the teacher until the following school year.

(4) A professional practice rating evaluation form shall be specific to the teacher's job category.

(5) The evaluator shall utilize The Framework for Teaching Evaluation Instrument, 2011 Edition, in conjunction with the Teacher Evaluation Crosswalk, in compliance with KRS 156.557 and the requirements of this administrative regulation, to determine ratings for the teacher on each of the four (4) domains.

(6) The evaluator shall use evidence from professional growth plans and self-reflection, observation, and student voice surveys, in combination with professional judgment, to inform the teacher's rating on each of the four (4) domains listed in subsection (1) of this section.

(7) The evaluator may, if included in the district's approved evaluation plan, use additional district-determined sources of evidence to inform the teacher's professional practice rating.

(8) The evaluator shall utilize the following decision rules for determining the professional practice rating for a teacher:

(a) If a teacher is rated Ineffective in the Classroom Environment domain or in the Instruction domain, the teacher's professional practice rating shall be not be Exemplary or Accomplished;

(b) If a teacher is rated Ineffective in the Classroom Environment domain and in the Instruction domain, the teacher's professional practice rating shall be Ineffective;

(c) If a teacher is rated Ineffective in any domain, the teacher's professional practice rating shall be Accomplished, Developing, or Ineffective;

(d) If a teacher is rated Developing in two (2) domains and Accomplished in two (2) domains, the teacher's professional practice rating shall be Accomplished;

(e) If a teacher is rated Developing in two (2) domains and Exemplary in two (2) domains, the teacher's professional practice rating shall be Accomplished; and

(f) If a teacher is rated Accomplished in two (2) domains and Exemplary in two (2) domains, the teacher's professional practice rating shall be Exemplary.

(9) The district shall determine the teacher's overall student growth rating as follows:

(a) The student growth measure shall consist of a state contribution, when available, and a local contribution.

(b) The Kentucky Board of Education shall determine the scale for low, expected, and high growth regarding the state contribution and the department shall provide the scale to local school districts.

(c) Student growth goals shall be determined as follows:

1. The teacher shall develop and implement a minimum of one (1) student growth goal each year.

2. Because Individualized Education Plan (IEP) goals are student-specific, IEP goals may inform, but shall not be used as, student growth goals.

3. The district shall ensure that student growth goals and measures of student growth are rigorous and comparable across schools in the local school district.

(d) The local school district shall determine the scale for low, expected, and high student growth goal ratings. In determining the scale, local school districts shall consider the definition of typical student growth contained in 703 KAR 5:200, Section 1 (12).

(10) The local school district shall develop a process for using professional judgment and the following sources of evidence to determine the overall student growth rating:

(a) Growth trends consisting of the three (3) most recent years of student growth percentile data , as defined in 703 KAR 5:200, Section 1(9) when available, for teachers; and

(b) Growth trends consisting of the three (3) most recent years of student growth goal data, when available, for all teachers.

Section 8. Overall Performance Category of Teachers. (1) The overall performance category for teachers is determined by combining the teacher's professional practice rating and the teacher's overall student growth rating, as illustrated by the Kentucky Professional Growth and Effectiveness System Model for Summative Evaluation of Teachers.

(2) The district shall determine the teacher's overall performance category with the following decision rules:

(a) A teacher's overall performance rating shall be Exemplary if:

1. The professional practice rating is Exemplary and the overall student growth rating is high;

2. The professional practice rating is Exemplary and the overall student growth rating is expected;

or

1 3. The professional practice rating is Accomplished and the overall student growth rating is high.

2 (b) A teacher's overall performance rating shall be Accomplished if:

3 1. The professional practice rating is Exemplary and the overall student growth-rating is low;

4 2. The professional practice rating is Accomplished and the overall student growth rating is

5 expected; or

6 3. The professional practice rating is Developing and the overall student growth rating is high;

7 (c) A teacher's overall performance category shall be Developing if:

8 1. The professional practice rating is Accomplished and the overall student growth rating is low;

9 2. The professional practice rating is Developing and the overall student growth rating is expected;

10 3. The professional practice rating is Developing and the overall student growth rating is low; or

11 4. The professional practice rating is Ineffective and the overall student growth rating is high.

12 (d) A teacher's overall performance category shall be Ineffective if:

13 1. The professional practice rating is Ineffective and the overall student growth rating is expected;

14 or

15 2. The professional practice rating is Ineffective and the overall student growth rating is low.

16 Section 9. Professional Growth Plan and Cycle for Teachers. (1) A teacher shall be placed on an
17 appropriate growth plan and summative evaluation cycle based on the professional practice rating
18 and the overall student growth rating, as illustrated by the Kentucky Professional Growth Plan
19 Model for Teachers.

20 (a) A teacher whose professional practice rating is Exemplary or Accomplished and has an expected
21 or high overall student growth rating shall have a professional growth plan that includes: goals set
22 by the teacher, with evaluator input; activities that are teacher-directed and implemented with

1 colleagues; a formative review annually; and a summative evaluation that occurs at the end of year
2 three (3) of the evaluation cycle.

3 (b) A teacher whose professional practice rating is Accomplished or Exemplary, with a low overall
4 student growth rating, or Developing, with a high overall student growth rating, shall have a
5 professional growth plan that includes: goals set by the teacher with evaluator input; if there is a low
6 student growth rating, one goal shall focus on low student growth outcome; an annual formative
7 review; and a summative evaluation that occurs at the end of year three (3) of the evaluation cycle.

8 (c) A teacher whose professional practice rating is Developing, with an expected overall student
9 growth rating, shall have a professional growth plan that includes: goals set by the teacher with
10 evaluator input; one goal that addresses professional practice or student growth; activities that are
11 teacher-directed and implemented with colleagues; an annual formative review; and a summative
12 evaluation that occurs at the end of year three (3) of the evaluation cycle.

13 (d) A teacher whose professional practice rating is Developing, with a low overall student growth
14 rating, or whose professional practice rating is Ineffective, with an expected or high overall student
15 growth rating, shall have a professional growth plan that includes goals determined by the
16 evaluator: goals shall focus on professional practice and student growth, include an annual
17 formative review, and include a summative evaluation that occurs at the end of one (1) year.

18 (e) A teacher whose professional practice rating is Ineffective, with a low overall student growth
19 rating, shall have an improvement plan with goals determined by the evaluator: the goals shall focus
20 on low performance areas and a summative evaluation shall occur at the end of the plan, whose
21 duration is determined by the evaluator and may last up to one (1) year.

22 Section 10. Professional Practice Rating and Overall Student Growth Rating for Principals and
23 Assistant Principals. (1) The district's professional practice rating form shall utilize the Principal

and Assistant Principal Performance Standards and the Principal and Assistant Principal Performance Standards Crosswalk, in compliance with KRS 156.557 and the requirements of this administrative regulation, and shall include the following performance standards and descriptors:

(a) Instructional Leadership Performance Standard. The evaluatee fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic growth and school improvement.

(b) School Climate Performance Standard. The evaluatee fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate.

(c) Human Resources Management Performance Standard. The evaluatee fosters effective human resources management by assisting with selection and induction and by supporting, evaluating, and retaining quality instructional and support personnel.

(d) Organizational Management Performance Standard. The evaluatee fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

(e) Communication and Community Relations Performance Standard. The evaluatee fosters the success of all students by communicating and collaborating effectively with stakeholders.

(f) Professionalism Performance Standard. The evaluatee fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional learning, and contributing to the profession.

(2) The district's professional practice rating evaluation form for assistant principals and principals shall list, in each standard, the performance criteria that characterize professional effectiveness and apply to the evaluatee.

(3) The district shall explain and discuss the professional practice rating standards, indicators, and performance criteria, and the evaluation process to assistant principal and principal evaluatees no later than the end of the evaluatee's first thirty (30) calendar days of the school year. Amendments to local systems of certified personnel evaluation approved by the department after the end of an evaluatee's first thirty (30) calendar days of the school year shall not apply to the evaluatee until the following school year.

(4) The district's professional practice rating evaluation form shall be specific to the evaluatee's job category. The district, at its discretion, may utilize forms for pre- and post-evaluation conferences.

(5) The evaluator shall utilize the Principal and Assistant Principal Performance Standards and the Principal and Assistant Principal Performance Standards Crosswalk, in compliance with KRS 156.557 and the requirements of this administrative regulation, to determine ratings for an assistant principal or principal evaluatee on each of the performance standards.

(6) The evaluator shall use evidence from professional growth plans and self-reflection, the department-approved survey of perception of superintendents, district personnel, and teachers on principal practice; and the department-approved working conditions survey goal. The evaluator shall also use evidence from site visits, for principals only. The evaluator may, if included in the district's approved evaluation plan, use additional district-determined sources of evidence to inform the evaluatee's rating on each of the six (6) standards listed in subsection (1) of this section.

(7) The evaluator shall use the following decision rules to determine a professional practice rating:

(a) If the evaluatee is rated Exemplary in at least four (4) of the standards and no standard is rated Developing or Ineffective, the professional practice rating shall be Exemplary;

(b) If the evaluatee is rated Accomplished in at least four (4) standards and no standard is rated Ineffective, the professional practice rating shall be Accomplished;

(c) If the evaluatee is rated Developing in at least five (5) standards, the professional practice rating shall be Developing; and

(d) If the evaluatee is rated Ineffective in two (2) or more standards, the professional practice rating shall be Ineffective.

(8) The overall student growth rating for principals and assistant principals shall be determined as follows:

(a) The student growth measure for principals and assistant principals shall consist of a state contribution and a local contribution.

(b) The state contribution for principals and assistant principals shall be based on the degree to which the evaluatee meets the Next Generation Learners Goal. A principal's Next Generation Learners Goal shall be the assistant principal's Next Generation Learners Goal as well.

(c) The local contribution for the student growth measure for principals and assistant principals is a rating based on the degree to which the principal or assistant principal meets student growth goals. Assistant principals share the principal's student growth goals.

(d) All principals and assistant principals shall develop and implement a minimum of two (2) student growth goals each year, one of which shall focus on school gap population data.

(e) One goal shall address the needs outlined in the school's Comprehensive School Improvement Plan.

(f) One goal shall be based on local student growth data.

(g) The district shall ensure that student growth goals are rigorous and comparable across schools in the local district.

(h) The scale for low, expected, and high student growth goal ratings shall be determined by the local school district. In determining the scale, local school districts shall consider the schools goals and measures of success in the Comprehensive School Improvement Plan required in 703 KAR 5:225, Section 9.

(i) The district shall develop a process for using professional judgment and evidence from the following sources of evidence to determine the overall student growth rating:

1. Growth trends over the three (3) most recent years of Next Generation Learners student growth data, calculated pursuant to 703 KAR 5:200; and
2. Growth trends over the three (3) most recent years of student growth goal data.

Section 11. Overall Performance Category of Principals and Assistant Principals. (1) The overall performance category for principals and assistant principals is determined by combining the principal or assistant principal's professional practice rating and overall student growth rating, as illustrated by the Kentucky Professional Growth and Effectiveness System Model for Summative Evaluation of Assistant Principals and Principals.

(2) The district shall determine the overall performance category for principals and assistant principals with the following decision rules:

(a) An evaluatee's overall performance category shall be Exemplary if:

1. The professional practice rating is Exemplary and the overall student growth rating is high;
 2. The professional practice rating is Exemplary and the overall student growth rating is expected;
- or
3. The professional practice rating is Accomplished and the overall student growth rating is high.

(b) An evaluatee's overall performance category shall be Accomplished if:

1. The professional practice rating is Accomplished and the overall student growth rating is expected;

2. The professional practice rating is Developing and the overall student growth rating is high;

(c) An evaluatee's overall performance category shall be Developing if:

1. The professional practice rating is Exemplary and the overall student growth rating is low;

2. The professional practice rating is Accomplished and the overall student growth rating is low;

3. The professional practice rating is Developing and the overall student growth rating is expected;

or

4. The professional Practice rating is Developing and the overall student growth rating is low.

(d) An evaluatee's overall performance category shall be Ineffective if the professional practice rating is Ineffective.

Section 12. Professional Growth Plan for Principals and Assistant Principals. (1) The evaluator shall place an assistant principal or principal evaluatee on an appropriate professional growth plan based on the professional practice rating and the overall student growth rating, as illustrated by the Kentucky Professional Growth Plan Model for Assistant Principals and Principals.

(a) An evaluatee whose professional practice rating is Exemplary, with an expected to high overall student growth rating, shall have, at a minimum, a professional growth plan with goals set by the evaluatee with evaluator input and a summative evaluation that occurs at the end of each school year.

(b) An evaluatee whose professional practice rating is Accomplished, with an expected to high student overall student growth rating, shall have, at a minimum, a professional growth plan with goals set by the evaluatee with evaluator input and a summative evaluation that occurs at the end of each school year.

(c) An evaluatee, whose professional practice rating is Developing, with a high overall student growth rating, shall have, at a minimum, a professional growth plan with goals set by the evaluatee with evaluator input and a summative evaluation that occurs at the end of each school year.

(d) An evaluatee whose professional practice rating is Developing, with a low to expected overall student growth rating, shall have, at a minimum, a professional growth plan with goals determined by the evaluator; and a summative evaluation at the end of each school year.

(e) An evaluatee whose professional practice rating is Ineffective shall have, at a minimum, a professional growth plan with the goals determined by the evaluator and a summative evaluation at the end of the plan, as determined by the evaluator, not to exceed one (1) year in duration.

Section 13. Evaluation of Other Professionals and Preschool Teachers During the 2014-2015

School Year. (1) The district shall include, in its Professional Growth and Effectiveness plan, a plan for the evaluation of other professionals and preschool teachers during the 2014-2015 school year.

(2) The district's procedures for other professional and preschool teacher evaluatees, whose evaluation cycle requires evaluation during the 2014-2015 school year, shall include the following:

(a) Beyond the minimum requirements set forth in this administrative regulation, the local district may establish requirements as to the length, frequency, and nature of observations conducted by an evaluator.

(b) The district shall require the evaluation to include a formative evaluation conference between the evaluator and the evaluatee within five (5) working days following each observation, the summative evaluation conference held at the end of an evaluation cycle that ends during the 2014-2015 school year, all evaluation data.

- 1 (c) The district shall require multiple observations to be conducted of an evaluatee who has earned
2 continuing service status pursuant to KRS 161.740 and whose observation results are Ineffective.
- 3 (d) The district shall require a summative evaluation to occur, if required by the evaluation cycle of
4 the evaluatee.
- 5 (e) The district shall include the evaluation in the evaluatee's official personnel record.
- 6 (f) The district shall provide in the evaluation process an opportunity for a written response by the
7 evaluatee and shall include the response in the evaluatee's official personnel record.
- 8 (g) A copy of the evaluation shall be provided to the evaluatee.
- 9 (3) The evaluation form shall include a list of performance criteria. Under each criterion, specific
10 descriptors or indicators that can be measured or observed and recorded shall be listed.
11 Additionally, standards of performance shall be established for each criterion. The performance
12 criteria shall include those that are identified in KRS 156.557(4) that apply to the evaluatee.
- 13 (4) The evaluation criteria and process shall be explained to and discussed with the evaluatee no
14 later than the end of the evaluatee's first thirty (30) calendar days of the 2014-2015 school year.
- 15 (5) An evaluative form shall be specific to each job category. The district, at its discretion, may
16 use forms for pre-and post-evaluation conferences.
- 17 (6) The district shall provide evaluatees an opportunity for an appeal to the local evaluation appeals
18 committee as outlined in Section 18 of this administrative regulation.
- 19 (7) An evaluatee who believes that the local district is not properly implementing the evaluation
20 plan as approved by the department shall have the opportunity to appeal to the Kentucky Board of
21 Education as outlined in Section 19 of this administrative regulation.

1 Section 14. Evaluation of Certified Administrators in the 2014-2015 School Year. (1) The district
2 shall include, in the Professional Growth and Effectiveness plan, a plan for the evaluation of
3 certified administrators.

4 (2) Beyond the minimum requirements set forth in KRS 156.557 and this administrative regulation,
5 the local district may establish requirements as to the length, frequency, and nature of observations
6 conducted by an evaluator.

7 (3) The district shall require the evaluation to include a formative evaluation conference between
8 the evaluator and the evaluatee within five (5) working days following each observation, the
9 summative evaluation conference held at the end of the summative evaluation cycle, and the
10 inclusion of all Professional Growth and Effectiveness data.

11 (4) The district shall document the certified administrator's summative evaluation decision, shall
12 include documentation of the sources of evidence used in determining the performance rating of
13 the evaluatee, and shall include these documentations in the evaluatee's official personnel record.

14 (5) The district shall provide an opportunity for a written response by the evaluatee, and the
15 response shall be included in the evaluatee's official personnel record.

16 (6) A copy of the evaluation shall be provided to the evaluatee.

17 (7) The evaluation form for certified administrators shall include a list of performance criteria that
18 characterize effective administrative practices.

19 (8) Under each criterion, specific descriptors or indicators shall be listed.

20 (9) The performance criteria shall include those that are identified in KRS 156.557 apply to the
21 evaluatee.

(10) The evaluation criteria and process used to evaluate certified administrators shall be explained to and discussed with the evaluatee no later than the end of the evaluatee's first thirty (30) calendar days of the school year.

(11) The district's evaluation form shall be specific to the evaluatee's job category. The district, at its discretion, may utilize forms for pre- and post-evaluation conferences.

(12) The district shall provide certified administrator evaluatees an opportunity for an appeal to the local evaluation appeals committee as outlined in Section 18 of this administrative regulation.

(13) An evaluatee who believes that the local district is not properly implementing the evaluation plan as approved by the department shall have the opportunity to appeal to the Kentucky Board of Education as outlined in Section 19 of this administrative regulation.

Section 15. District Evaluation Plan. (1) The local board of education shall review, as needed, the district's evaluation plan to ensure compliance with KRS 156.557 and this administrative regulation.

(2) If a substantive change is made to the district's evaluation plan, the local board of education shall utilize the evaluation committee, described in KRS 156.557(5) (c) 1, in formulating the revision. Examples of substantive change shall include changes in the evaluation cycle, observation frequency, forms, or appeal procedures.

(3) The local board of education shall review and approve revisions to the plan and submit the amended plan to the department for approval.

Section 16. Reporting. (1) Beginning in the 2014-2015 school year, districts shall report to the department the percentage of principals, assistant principals, and teachers in each overall performance category listed in Section 8 and Section 11 of this administrative regulation and the percentage of teachers on each plan listed in Section 9 of this administrative regulation.

(2) The department shall publicly report, by district, the aggregate number of principals, assistant principals, and teachers in each overall performance category.

Section 17. Monitoring. (1) Districts implementing an alternative Professional Growth and Effectiveness plans approved by the department pursuant to KRS 156.557(7) shall be monitored within three (3) years of the initial implementation of the alternative plan, and subsequently at the discretion of the department.

Section 18. Local Evaluation Appeals Panel. The district shall provide in its System Plan, for an appeal to the local evaluation appeals panel, the following:

(1) A right to a hearing as to every appeal;

(2) An opportunity, five (5) days in advance of the hearing, for the evaluator and evaluatee to adequately review all documents that are to be presented to the local evaluation appeals panel; and

(3) A right to presence of evaluatee's chosen representative.

Section 19. State Evaluation Appeals Panel. (1) A certified school personnel who believes that the local district is not properly implementing the evaluation plan as approved by the department shall have the opportunity to appeal to the Kentucky Board of Education.

(2) The appeal procedures shall be as follows:

(a) The Kentucky Board of Education shall appoint a committee of three (3) state board members to serve on the State Evaluation Appeals Panel (SEAP). The SEAP's jurisdiction shall be limited to procedural matters already addressed by the local appeals panel or the district's failure to implement an evaluation plan as approved by the department. The SEAP shall not have jurisdiction of a complaint involving the professional judgment conclusion of an evaluation, and the SEAP's review shall be limited to the record of proceedings and documents therein, or lack thereof, at the local district level and any documents submitted pursuant to paragraph (c) of this subsection.

(b) No later than thirty (30) calendar days after the final action or decision at the local district level, a certified school personnel may submit a written request to the chief state school officer for a review before the SEAP. An appeal not filed in a timely manner shall not be considered. A specific description of the complaint and grounds for appeal shall be submitted with the request.

(c) A brief, written statement, or other document that a party wishes to submit for consideration by the SEAP shall be filed with the panel and served on the opposing party at least twenty (20) days prior to the scheduled review.

(d) A decision of the SEAP shall be rendered within fifteen (15) working days after the review.

(e) A determination of district noncompliance with the local evaluation plan or absence of a district local evaluation plan shall render the evaluation void, and the certified employee shall have the right to be reevaluated.

Section 20. Incorporation by Reference. (1) The following material is incorporated by reference:

(a) “The Framework for Teaching Evaluation Instrument, 2011 Edition”, May, 2014;

(b) “Principal and Assistant Principal Performance Standards”, May, 2014;

(c) “Kentucky Professional Growth and Effectiveness System Model for Summative Evaluation of Teachers”, May, 2014;

(d) “Kentucky Professional Growth and Effectiveness System Model for Summative Evaluation of Assistant Principals and Principals”, May, 2014;

(e) “Teacher Evaluation Crosswalk”, May, 2014;

(f) “Principal and Assistant Principal Performance Standards Crosswalk”, May, 2014;

(g) “Kentucky Professional Growth Plan Model for Tenured Teachers”, May, 2014; and

(h) “Kentucky Professional Growth Plan Model for Assistant Principals and Principals”, May, 2014.

- 1 (2) This material may be inspected, copied, or obtained, subject to applicable copyright law, at
- 2 the Department of Education, 1st Floor, Capital Plaza Tower, 500 Mero Street, Frankfort,
- 3 Kentucky 40601, Monday through Friday, 8 a.m. to 4:30 p.m.

This is to certify that the chief state school officer has reviewed and recommended this administrative regulation prior to its adoption by the Kentucky Board of Education, as required by KRS 156.070(5).

(Date)

Terry Holliday, Ph.D.
Commissioner of Education

(Date)

Roger Marcum, Chairperson
Kentucky Board of Education

PUBLIC HEARING AND PUBLIC COMMENT PERIOD: A public hearing on this proposed administrative regulation shall be held on _____, 2014, at 10 a.m. in the State Board Room, First Floor, Capital Plaza Tower, 500 Mero Street, Frankfort, Kentucky.

Individuals interested in being heard at this meeting shall notify this agency in writing five working days prior to the hearing, of their intent to attend. If no notification of intent to attend the hearing is received by that date, the hearing may be canceled. This hearing is open to the public. Any person who wishes to be heard will be given an opportunity to comment on the proposed administrative regulation. A transcript of the public hearing will not be made unless a written request for a transcript is made. If you do not wish to be heard at the public hearing, you may submit written comments on the proposed administrative regulation. Written comments shall be accepted through close of business _____, 2014. Send written notification of intent to be heard at the public hearing or written comments on the proposed administrative regulation to:

CONTACT PERSON: Kevin C. Brown, Associate Commissioner and General Counsel, Kentucky Department of Education, 500 Mero Street, First Floor, Capital Plaza Tower, Frankfort, Kentucky, 40601, phone 502-564-4474, fax 502-564-9321.

REGULATORY IMPACT ANALYSIS AND TIERING STATEMENT

Administrative Regulation: 704 KAR 3:370

Agency Contact Person: Kevin C. Brown

(1) Provide a brief summary of:

(a) What this administrative regulation does: This administrative regulation establishes a statewide professional growth and effectiveness system, as required by KRS 156.557, for the evaluation and support and improvement of performance of all certified school personnel in school districts.

(b) The necessity of this administrative regulation: KRS 156.557 requires the agency to develop a framework for a statewide personnel evaluation system for all certified school personnel in school districts and to establish a statewide professional growth and effectiveness system for the evaluation and support and improvement of performance of all certified school personnel in school districts. This administrative regulation includes a framework for a statewide personnel evaluation system and establishes a uniform method of evaluation of certified school personnel in school districts.

(c) How this administrative regulation conforms to the content of the authorizing statute: As required by KRS 156.557, this administrative regulation establishes a uniform method of evaluation of certified school personnel in school districts.

(d) How this administrative regulation currently assists or will assist in the effective administration of the statutes: This administrative regulation sets out the requirements for the uniform evaluation of certified school personnel, below the level of superintendent.

(2) If this is an amendment to an existing administrative regulation, provide a brief summary of:

(a) How the amendment will change this existing administrative regulation:

(b) The necessity of the amendment to this administrative regulation:

(c) How the amendment conforms to the content of the authorizing statute:

(d) How the amendment will assist in the effective administration of the statutes:

(3) List the type and number of individuals, businesses, organizations, or state and local governments affected by this administrative regulation: All public school districts in Kentucky.

(4) Provide an analysis of how the entities identified in question (3) will be impacted by either the implementation of this administrative regulation, if new, or by the change, if it is an amendment, including: The administrative regulation will impact all schools and districts due to the implementation of a new certified school personnel evaluation system.

(a) List the actions that each of the regulated entities identified in question (3) will have to take to comply with this administrative regulation or amendment: School districts shall provide training

and resources to school and district personnel to ensure consistent and accurate implementation of the requirements of the statewide evaluation system for certified school personnel.

(b) In complying with this administrative regulation or amendment, how much will it cost each of the entities identified in question (3): No additional costs to current operations.

(c) As a result of compliance, what benefits will accrue to the entities identified in question (3): Evaluation of certified school personnel will lead to the support and improvement of the performance of all certified school personnel and promote the continuous professional growth and development of skills needed to be a highly effective teacher or administrator.

(5) Provide an estimate of how much it will cost the administrative body to implement this administrative regulation:

(a) Initially: Any funds currently being spent in the local school district on teacher evaluation shall be redirected to address the requirements of KRS 156.557 and this administrative regulation. Local school districts should review how they use currently available state and federal grant funds (e.g. school improvement, Title I, Title II, Professional Development) for possible redirection to implementation of KRS 156.557 and this administrative regulation.

(b) On a continuing basis: Any funds currently being spent in the local school district on teacher evaluation shall be redirected to address the requirements of KRS 156.557 and this administrative regulation. Local school districts should review how they use currently available state and federal grant funds (e.g. school improvement, Title I, Title II, Professional Development) for possible redirection to implementation of KRS 156.557 and this administrative regulation.

(6) What is the source of the funding to be used for the implementation and enforcement of this administrative regulation: General funds.

(7) Provide an assessment of whether an increase in fees or funding will be necessary to implement this administrative regulation, if new, or by the change if it is an amendment: No increase will be necessary.

(8) State whether or not this administrative regulation establishes any fees or directly or indirectly increases any fees: This administrative regulation does not establish fees or directly or indirectly increase any fees.

(9) TIERING: Is tiering applied? (Explain why or why not) No, tiering does not apply because the requirements of this administrative regulation apply to all school districts.

FISCAL NOTE ON STATE OR LOCAL GOVERNMENT

Regulation Number: 704 KAR 3:370
 Contact Person: Kevin C. Brown
 Phone number: 564-4474

(1) What units, parts, or divisions of state or local government (including cities, counties, fire departments, or school districts) will be impacted by this administrative regulation? All Kentucky public school districts.

(2) Identify each state or federal statute or federal regulation that requires or authorizes the action taken by the administrative regulation. KRS 156.557.

(3) Estimate the effect of this administrative regulation on the expenditures and revenues of a state or local government agency (including cities, counties, fire departments, or school districts) for the first full year the administrative regulation is to be in effect.

(a) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for the first year? None.

(b) How much revenue will this administrative regulation generate for the state or local government (including cities, counties, fire departments, or school districts) for subsequent years? None.

(c) How much will it cost to administer this program for the first year? Any funds currently being spent in the local school district on teacher evaluation shall be redirected to address the requirements of KRS 156.557 and this administrative regulation. Local school districts should review how they use currently available state and federal grant funds (e.g. school improvement, Title I, Title II, Professional Development) for possible redirection to implementation of KRS 156.557 and this administrative regulation.

(d) How much will it cost to administer this program for subsequent years? Any funds currently being spent in the local school district on teacher evaluation shall be redirected to address the requirements of KRS 156.557 and this administrative regulation. Local school districts should review how they use currently available state and federal grant funds (e.g. school improvement, Title I, Title II, Professional Development) for possible redirection to implementation of KRS 156.557 and this administrative regulation.

Note: If specific dollar estimates cannot be determined, provide a brief narrative to explain the fiscal impact of the administrative regulation.

Revenues (+/-):

Expenditures (+/-):

Other Explanation: