

## SECTION A SIGNIFICANCE

The Kentucky Department of Education (KDE) is committed to the belief that all children can achieve to high academic standards. This principle, which served as the foundation of the 1990 Kentucky Education Reform Act (KERA), now guides the state's system of public education, a system based on five **core beliefs**:

- All children, given adequate opportunity and support, can learn, and nearly all children can learn at high levels.
- School is the best place to make decisions about what happens in the school.
- High standards, that is, high expectations, produce high achievements.
- Results matter - we can teach for results and build accountability for results.
- Financial support for schools must be equitable.

Programs emerging from the initiatives established by KERA provide the structure and context within which Kentucky can build a comprehensive, coordinated literacy program that provides its youngest citizens with the necessary skills and enthusiasm for reading that lead to a life-long love of learning.

**GOAL:** The proposed Kentucky Reading Excellence plan will build local capacity to provide, improve and expand services to children in schools, particularly those elementary schools identified for school improvement or with high school-age poverty rates, so that all children in Kentucky will read independently and well by fourth grade, as measured by Kentucky's statewide assessment system.

**Assumptions.** The Kentucky Reading Excellence plan is based on the following assumptions for building local capacity, as explained more fully in this section:

- 1. The Needs of the Target Population Are Extensive.** Despite Kentucky's recent successes on the 1998 National Assessment of Educational Progress (NAEP) in 4<sup>th</sup> grade reading, the majority the state's 4<sup>th</sup> graders (68%) are still rated below proficiency in reading. Further, state adult literacy rates, numbers of undereducated parents and family poverty levels hold some of the most significant challenges in the country and have implications as success inhibitors related to improving the achievement of elementary students.
- 2. The Plan Must Build on the KERA Infrastructure.** The systemic design of KERA includes such structures as preschool and primary programs, extended school services, family resource centers, curriculum, assessment, accountability, school-based decision making, technology, professional development, and performance-based teacher preparation programs. This infrastructure can be focused, enhanced and aligned to more effectively promote early literacy.
- 3. The Plan Must Coordinate Current State Literacy Efforts.** While there are a number of Kentucky education initiatives to promote literacy and reading instruction in the classroom as well as initiatives by the Governor and the Kentucky General Assembly in

adult education, early childhood development, teacher quality, and “replicable, reliable research-based reading instruction” (Senate Bill 186), these various initiatives need to be brought together into a comprehensive literacy effort across all ages, given Kentucky’s extensive needs.

***Key Design Elements for Building Local Capacity to Serve the Target Population.***

From these premises, the Kentucky Reading Excellence plan is designed with the following key elements to improve instruction and student results through professional development, tutoring, family literacy, and transition/intervention programs for kindergarten age students, as described more fully in later sections:

- ***Broad Partnerships, Including Families.*** State and community literacy partnerships will include families, civic groups, business, libraries, higher education, volunteers and a variety of community organizations in cooperation with schools and will bring together multiple literacy initiatives into a comprehensive state approach to meeting Kentucky’s needs in literacy, from young children through adults. In addition, parents individually and collectively, are critical in any school or literacy effort.
- ***Quality Preservice and Certification Programs.*** Actions have been initiated and will be extended to improve the quality of Kentucky’s elementary teacher preparation programs in training and methods of teaching reading by enhancing the performance-based assessment of elementary education teacher candidates and by upgrading the knowledge and skills of higher education teaching faculty in reading and literacy as part of an integrated professional development structure linking preservice and inservice in support of schools.
- ***Research-Based Professional Development.*** Improvement of instructional delivery in scientifically based reading research and family literacy will be supported for teachers and other instructional staff, including volunteers, tutors, parents and early childhood providers, through coordination of resources to develop and enhance regional literacy support teams, teacher cadres and mentor networks. Professional development will be supported by technology to address needs across all major components of reading, rather than one-shot grant related workshops on specific programs.
- ***Coordinated and Effective Local Services.*** Administration (release, support and oversight) of a number of state and federal literacy and school improvement grant programs, including Local Reading Improvement and Tutorial Assistance grants, will be coordinated and embedded within the framework of the Kentucky School/District Consolidated Planning process which is focused on improvement in instructional practices and results for students.
- ***Rigorous Evaluation.*** Building on the research base recently established for literacy in Kentucky in literacy through Senate Bill 186 (1998), Kentucky’s plan will involve a comprehensive review of changes in teaching practices and student learning, linked to school improvement and accountability processes.

**PREMISE #1. *The Needs of the Target Population Are Extensive***

Kentucky has clear needs that led to the Kentucky Education Reform Act of 1990, some of which continue to the present. The following are some recent statistics from the

Kentucky Data Center (United States 1990 Census Data), *The State of Literacy in America* (1998), Kentucky Literacy Survey (1997) and current year Kentucky public school data:

- 28% of Kentucky children (0-17 years) live in poverty;
- 46% of elementary age children qualify for free lunch under the National School Lunch Program and another 7% qualify for reduced lunch;
- 158 out of 176 school districts (90%) currently qualify under the Reading Excellence Act for local grants;
- 677 out of 847 elementary schools (80%) qualify for a Family Resource Center by having 20% or more of the student population on free lunch;
- 500 elementary schools currently are in Title I school improvement status (59%);
- Kentucky's poverty rate was 6<sup>th</sup> highest in the country and has been consistently high over the last 30 years;
- 64.6% of Kentucky's population graduates high school;
- 34.5% of adults have not finished high school;
- Kentucky ranks 49<sup>th</sup> in percentage of adults without a high school diploma;
- 20% of Kentucky's adult population functions at Level I, the lowest literacy level;
- 26% of the adult population in Congressional District 5 (southeastern Appalachian Kentucky) function at Level I/literacy;
- 340,000 Kentuckians lack basic reading and writing skills to perform efficiently at work, at home or in the community;
- 656,000 Kentuckians have literacy levels so low as to prevent job advancement; and
- Adult literacy programs serve only 5% of the undereducated adults, many of whom dropped out of school.

Despite these statistics, Kentucky has made some progress since 1990. Through the commitment and dedication of many stakeholders to ensure all students have the support required to help them achieve at high levels, Kentucky has moved from being consistently near the bottom of the states in virtually every measure of educational quality to becoming a pacesetter, model system. That Kentucky's comprehensive reform effort is working was affirmed by the 1998 National Assessment of Educational Progress (NAEP). This report revealed that Kentucky elementary schools are moving ahead in the reading results at the fourth grade and that Kentucky was one of only three states to make statistically significant gains in this area from 1992 to 1998 and from 1994 to 1998. As Kentucky Education Commissioner Wilmer Cody recently noted during the release of the NAEP scores, "In the face of all the national and state efforts over the last decade to improve student achievement - especially reading by 4<sup>th</sup>-graders - Kentucky is moving ahead...We're not there yet, but we have momentum."

Even though Kentucky can celebrate its catapult from mediocrity toward excellence, the state still faces significant challenges as its schools strive for continuous improvement. For example, the 1998 NAEP reading results cited earlier revealed a 25-point gap between scores of African American students and Caucasian students. And even though 4<sup>th</sup> grade students made significant strides in reading achievement, only 29 percent of them are proficient or better while 37 percent are still below basic - far below the state goal to have all students achieving at high levels.

Despite the state's gains in reading achievement at the fourth-grade level on the NAEP, the spring 1998 results on Kentucky's statewide assessment (KIRIS) indicated that reading achievement scores for fourth grade students declined from 1997. While 1998 scores are much improved from the first KIRIS administration in 1993 when only eight percent (8%) scored at proficient and none at distinguished, they are, nonetheless, lower than the 1997 scores. This situation led many schools to reanalyze needs assessment data, priorities and strategies in their school plans this past fall.

In 1998, only two percent (2%) of elementary students scored at the distinguished or highest level while thirty-one percent (31%) scored at the proficient level, the level that is the goal for all learners. Compare these scores to 1997 results when forty-one percent (41%) of Kentucky's fourth graders performed at the proficient and distinguished levels. Although the scores from the six KIRIS administrations may be considered as positive trends, it is important to remember that the majority of Kentucky's fourth graders still score below a competent level. In 1998, sixty-eight percent (68%) of these children were rated as below proficiency in reading.

Despite the significant gains in student achievement since implementation of the Kentucky Education Reform Act (KERA) in 1990, reading success inhibitors like poverty, low literacy levels in the home, and undereducated parents (McIntyre, et al, 1999) continue to challenge Kentucky's efforts to improve literacy instruction for children known to be at risk of school failure. These family factors are historically associated with low levels of literacy in children and difficulty in learning to read.

Likewise, many teachers across the state still struggle with literacy instruction, and seek knowledge and skills in meeting the needs across a wide range of students, especially as they grapple with the previously noted drops in elementary reading results in 1998. Based on the response by teachers to Department training opportunities in reading in 1998-99, elementary teachers are actively seeking information on effective strategies across all areas of reading (phonemic awareness, decoding/phonics, fluency, reading comprehension, meaning, and student motivation) particularly for strategies linked with writing.

**PREMISE #2: *The Plan Must Build on the KERA Infrastructure.***

KERA resulted from a Kentucky Supreme Court ruling that declared the state public school system unconstitutional on the basis of inequity and inadequacy of funding to schools. The Kentucky General Assembly was given the charge to create a new system of common schools that would provide a quality education to all students regardless of where they live in Kentucky. To address this charge, the General Assembly established six **goals for education in Kentucky**.

1. Schools must expect a high level of achievement for all students.
2. Schools must develop all students' abilities to:
  - a. Use basic communication and mathematics skills for real-life situations;
  - b. Apply principles from math, sciences, arts, humanities, social studies and practical living studies to real-life situations;
  - c. Become self-sufficient individuals;

- d. Become responsible members of families, work groups, or communities;
  - e. Think and solve problems in school situations and in life; and
  - f. Connect and integrate experiences and new knowledge with what was previously learned and to acquire new information through various sources.
3. Schools are to improve their students' rate of school attendance.
  4. Schools are to reduce their students' dropout and retention rates.
  5. Schools are to reduce physical and mental health barriers to learning.
  6. Schools are to be measured on the proportion of students making a successful transition to work, post-secondary education, or the military.

These six education goals and the six learner goals embedded in Goal 2 established the context in which Kentucky schools operate. To support these goals, the Kentucky General Assembly designed and funded a number of initiatives that now comprise the state's system of education and established a structure in which schools and districts can utilize a comprehensive school reading program to improve achievement and success for all students. A brief overview of the KERA programs provides a context with which to understand the key elements and strategies proposed in the Kentucky Reading Excellence plan since these strategies are designed to build local capacity through enhancing Kentucky's system of public education.

### **1. Assessment and Accountability System**

Underlying reform efforts in Kentucky is a strong assessment and school accountability system based on the principle of high standards for all students. The mission of the system is to elevate student performance to dramatically higher levels by articulating what students should know and be able to do and holding schools accountable for student performance. Kentucky is the only state which has historically included all children in its assessment and accountability system including all children with disabilities. The resulting Kentucky Instructional Results Information System (KIRIS, 1990-1998) (1) was primarily performance-based, (2) set standards to identify a proficient student based on established academic expectations, and (3) included a system of rewards and assistance based on each school's performance index. The Council on School Performance Standards was established and charged with developing the *academic expectations*, adopted by the Kentucky Board of Education in 1994.

Under the new ***Commonwealth Assessment and Testing System (CATS)***, effective 1999), standards-based tests in reading, practical living and vocational studies, writing and science are administered in grades 4 and 7. Math and social studies are administered in grades 5, 8, and 11. Reading and practical living and vocational studies tests are administered at grade 10, and math, social studies and science tests are administered at grade 11. These tests will include both on-demand (essay) items and multiple choice items. Writing portfolio and writing on demand assessment will occur at grades 4, 7, and 12. In addition, a national norm-referenced test, the CTBS-5 Survey Edition, is administered at the end of primary (grade 3), and grades 6 and 9 in the areas of reading, language arts and math. Also included for accountability purposes are non-academic indicators (attendance rates, retention rates, dropout rates, and the number of students successfully transitioning to adult life.)

As with KIRIS, the CATS includes a system of financial rewards to schools that are doing well. Conversely, schools that receive low accountability results are eligible to receive financial assistance through the **Commonwealth School Improvement Funds** or through the services of a **Highly Skilled Educator (HSE)**. Formerly called Distinguished Educators, these individuals are trained to assist low performing schools through an intensive and sustained effort intended to raise student performance. The HSEs are released from their regular responsibilities in their own school districts and assigned to low performing schools in other districts. They typically work with one school on a full time basis during the accountability cycle (two years).

In the Kentucky Reading Excellence plan, the Kentucky assessment system is the measure used by all elementary schools statewide. It focuses the target of any school instructional plan to include improvement in reading and assures that writing is integral with reading in any well-balanced language arts curriculum. The schools which are eligible to receive assistance from Highly Skilled Educators or from Commonwealth School Improvement Funds include schools that are eligible for local Reading Excellence grants. Consequently, Highly Skilled Educators are members of the proposed regional literacy support teams so that technical assistance is not at cross-purposes and builds local capacity.

## **2. High Standards and Curriculum**

High standards result in greater academic achievement by children and better instruction by teachers. As noted earlier, the Council on School Performance developed the *academic expectations*, which were refined and adopted formally by the Kentucky Board of Education in 1994. The curriculum in Kentucky's schools links content and instructional practice with student learning and assessment. *Transformations: Kentucky's Curriculum Framework* aligns the learner goals, the academic expectations and assessment strategies enacted through or developed as a result of state education reform. That framework provides direction to all schools about the general curriculum focus at each grade and in each subject, but does not serve as a specific guide for teachers to follow. *The Program of Studies for Kentucky's Schools* provides direction for content and classes through the various grades and specifies the courses required for high school graduation. *Core Content for Assessment* addresses the content that will be emphasized in the assessment program.

All of these materials have been developed with extensive teacher input and have been presented in numerous training sessions regionally, in individual school districts and, most recently, collected onto CD rom and distributed statewide. Taken together, these resources enable each school to design its curriculum to address the needs of its students and to align curriculum, instruction and assessment to achieve the standards set by the state.

In the Program of Studies, all components of reading are addressed and integrated with oral language and writing skills into a comprehensive language arts curriculum.

Although somewhat different terms are used, ***all major components of reading identified in the Reading Excellence Act are included within the Program of Studies*** (phonemic awareness, systematic phonics, fluency and reading comprehension and motivation). In Kentucky's Reading Excellence plan, any reading approach or program will need to fit within this curriculum framework.

### **3. Support Education Excellence in Kentucky (SEEK)**

**SEEK** ensures that funds for public education are distributed in a way that provides equal opportunities for all Kentucky children by narrowing the funding gap in per-pupil spending between more and less wealthy districts; by increasing state financial support for education (an increase of 46.5% since 1990); and by encouraging more local financial support. Further, districts are required to allocate a major portion of the SEEK funds to school councils, which make determinations of how funds are best spent to improve instruction at the school (the "March 1 Allocation"). Any long-term capacity-building effort to improve reading or other instruction must help schools and districts look at budget decisions for ways to redirect funds and leverage resources toward more effective service delivery systems and high impact activities, e.g. those with scientifically based reading research. In the Kentucky Reading Excellence plan, part of the local grant application process and technical assistance will address this issue.

### **4. School Based Decision Making (SBDM)**

In recognition that decisions made closest to the student are critical to the student's eventual success, each school elects a group of three teachers and two parents to serve with the principal on a decision-making council. (Some variations in membership exist.) While their school boards are still responsible for setting overall district policies, the SBDM or school council has the authority to make decisions and policies concerning curriculum, instruction, discipline, professional development and areas that affect the school's learning environment and the academic achievement of its students. Today, more than 14,000 parents are involved in school based decision making, either as council members or by serving on committees established by school councils. To ensure equity, schools with minority populations of 8 percent or more are required by law to elect at least one minority council member. During the 1998-99 school year, there were approximately 550 minority parents, teachers, and principals serving on school councils. Any long-term capacity-building effort to improve reading or other instruction must help school councils (faculty and parents) analyze their instructional needs in light of scientifically based reading research, including findings across all areas of reading (phonemic awareness, systematic phonics, fluency, reading comprehension and motivation).

In the Kentucky Reading Excellence plan, part of the grant application process and other professional development activities will assist councils in making these decisions, and the professional organization for school councils is a key member of the state literacy partnership.

## **5. Preschool Program**

With the understanding that children have to be ready to learn when they enter school, the state preschool program assures that a high quality preschool program is available statewide for all free-lunch eligible 4-year-olds and all 3-4-year-olds with developmental delays, regardless of family income. Kentucky's preschool programs are designed to help each child succeed, even those with disabilities or those at risk due to family economic conditions. While preschool children participate in developmentally appropriate activities in early childhood classes or centers, parents are involved through home visits, classroom visits and opportunities to learn parenting skills and the educational, developmental, nutritional and other needs of their child.

In 1998-99, \$39.7million was allocated to districts to serve over 15,500 children in schools or in community-based programs by contract from the district. Most state-funded programs are operated collaboratively with children from a variety of funding sources mixed in the classrooms. Other sources include federal **Head Start, Title I, Even Start**, private tuition, local district general funds, and corporate donations. All local school districts have an annual agreement with Head Start on how they coordinate, and 47% of all districts jointly operate classrooms with Head Start. Together with the 33 Head Start grantees serving all counties in Kentucky, 27,769 three- and four-year olds were served on December 1, 1998, including 70% of the free-lunch eligible 4-year olds. This is a fully integrated, inclusive program, and 9.1% of all 3 and 4 year olds in the state are served with IEP's (individual education programs). With Head Start, there is no waiting list for services for state-eligible children, despite the fact that almost half of all 4-year-olds in the state meet eligibility guidelines.

Kentucky's preschool program is an integral component of the state's effort to improve readiness skills of children, and to provide parents with the skills, knowledge, and confidence needed to support their child's educational growth. Parent support for the program is high, with 52% of parents volunteering in classes. Parent support positively affects the child's development and is extremely important in high quality preschools. Kentucky preschools include parent input in the design of parent education activities as well as in the evaluation of the program to identify areas for improvement.

A recent University of Kentucky study found that at-risk 7- and 8-year olds who had attended the preschool program did as well in school as other children their age who were not considered at risk. While **longitudinal research** since 1991 has consistently shown that the Kentucky Preschool Program is effective in helping children, regardless of race, gender or disability, to make strong gains that sustain through grade 5 (*Kentucky Preschool Reports, 1998*), one of the areas for program improvement is language development including literacy, based on student assessment results.

Professional development for preschool teachers (school, Head Start and community programs) is supported through a network of five **Early Childhood Regional Training Centers (RTCs)**. The RTCs were established in 1987 as a unique service delivery for training, technical assistance, consultation, model classrooms that feature integrated,

blended programs, an annual statewide conference on research-based practices, and lending of materials. The RTCs provide peer-to-peer services, which research shows is the most effective approach for working with schools and agencies.

In the Kentucky Reading Excellence plan, public preschool, Head Start and community early childhood programs will be partners in local grants, with staff involved with elementary faculty for professional development about research-based reading and literacy strategies and extended learning opportunities made available to preschoolers ready to enter kindergarten (primary school) in the fall. In addition, the staff of the RTCs will be part of the regional literacy support teams.

## **6. Primary Program**

The primary program is an ungraded program that serves children from the time they enter the elementary school program until they are ready to enter the 4<sup>th</sup> grade (traditional “K-3”). During this period, usually four years, students learn in environments that are appropriate for the developmental levels and learning styles of young children. The curriculum and instructional design provide a framework for teachers to identify the skills and abilities of each child.

The primary program is organized to reflect Kentucky’s learning goals and academic expectations; effectively develop and align curriculum and instruction to meet these goals; and use various ways to support and measure a child’s continuous progress. The primary program, which is grounded in **seven critical attributes** including active parent involvement, allows children to learn basic skills in the context of everyday experiences and natural learning processes. School councils have the authority to determine the configuration of the program and groupings of students. The result is that there is wide variety across the state, from four-year groupings (5-8 year olds), to dual age to predominantly single age groups, and everything in between. In many cases, kindergartners are not in a separate class, nor is there a discernible “1<sup>st</sup> grade”.

Primary teachers establish classroom environments that support individual and group instruction to meet the needs of all children. The instruction includes skill-specific activities as well as integration across content areas and skills. Given Kentucky’s Program of Studies, reading and specific skills are learned as part of a comprehensive language arts program which includes **oral language development, writing, and critical thinking as well as the areas identified in the Reading Excellence Act (phonemic awareness, systematic phonics, fluency, reading comprehension, and motivation)**. Teachers of primary students are responsible for infusing critical language skills into all academic areas including science, math, social studies, writing, and the arts to provide a highly coordinated, motivational education program that will reinforce reading and reading comprehension skills.

In the Kentucky Reading Excellence plan, the primary program is the setting for the comprehensive reading program. Local grants will indicate how early intervention is targeted to students in these settings who are experiencing difficulty in specific skills related to such key areas as phonemic awareness, systematic phonics, fluency, and

reading comprehension. In the plan, primary teachers are key participants in professional development and in implementing the research-based programs. In conjunction with professional development specific to the research-based program selected or designed by the school, regional primary consultants will serve on the regional literacy support teams to address how to group students flexibly for targeted reading skill instruction using research-based strategies as well as to provide a balanced instructional approach as established in the *Kentucky Program of Studies*.

## **7. Extended School Services (ESS)**

The recognition that some students need more than the time allotted in the regular instructional day to develop their skills is addressed through the Extended School Services (ESS) program. ESS provides **academic assistance** outside the normal school hours (before school, after school, evenings, weekends, or summer), to students who need additional instruction and time to meet the goals in KERA, whether long-term support or just a few sessions. Teachers identify students whose academic performance indicates a need and offer them supplemental, voluntary opportunities through ESS. Students move in and out of ESS as their needs dictate.

In 1998-99, \$31,557,690 in state funds were distributed to districts on a formula basis, serving 196,665 students age primary through grade 12. Over the last seven years, eighty percent (80%) of students who participated in ESS programs for six or more days raised their grades in the subject of focus by at least one letter grade. One area for program improvement has been for more frequent use of ESS at the primary level for early intervention before 4<sup>th</sup> grade.

The ESS program also offers a limited number of competitive grants to support systemic change initiatives that improve instruction generally, but especially for ESS students. In 1999-2000, **ESS Innovative** priorities include ways to coordinate ESS, adult education and other programs to provide **family literacy** (11 applicants, requesting \$252,735, selection pending) and ways to coordinate ESS with family resource centers (see below) and other community programs to provide **extended academic and recreation programs** up to six o'clock in the evening every day (17 applications, requesting \$417,765, selection pending). Other priorities include application of the following to address at risk students: Standards-Based Curriculum Development, High Schools That Work, and Accelerated Schools.

In the Kentucky Reading Excellence plan, ESS is clearly an integral part of the Local Reading Improvement grant services, and Tutorial Assistance grants can serve as a pilot to develop different ESS and tutorial delivery options.

## **8. Family Resource/Youth Services Centers (FRYSC)**

The overall principle guiding Family Resource Centers (serving elementary level students and their families) and Youth Services Centers (serving middle and high school students and their families) is to **reduce physical and mental health barriers** to learning. Removal of these non-academic barriers is essential if students are going to be successful in school. These centers provide health, social and other services to students and their families. Often they are a key motivating force that supports student learning, keeps students in school, and families connected with school. Every school in Kentucky with 20% or more of student enrollment on free lunch is eligible for a center (1,100 schools out of 1,400). In 1998-99, \$39 million in state education funds support 602 centers serving 960 out of 1,400 schools.

Core components which the family resource center must address based on local need include: training for new and expectant parents; child care for children age 2-3 years; after-school care for children age 4-12 years; coordination of health services; parent training; and **family literacy**. By involving the entire family in targeted reading and literacy activities, Kentucky has increased student motivation and interest in reading in the long term. Kentucky's goal is to build families of readers. Centers generally seek or coordinate outside fund sources since they do not receive sufficient funds to deliver these programs on their own. The Department of Education transfers funds to the Cabinet for Families and Children to administer the FRYSC program in schools.

In the Kentucky Reading Excellence plan, local family resource centers will be involved in grant services by assisting with extended hours programs (recreation, enrichment, child care), coordinating community opportunities and volunteers, helping to motivate students and families, providing parent training and family services as well as coordinating some family literacy services. Regional FRYSC consultants will be part of the regional literacy support teams.

## **9. Education Professional Standards Board (EPSB)**

The EPSB was created by KERA as an independent board to raise the standards for teacher licensure, certification, and professional development through a performance-based system. As a result of the EPSB's work since 1990, Kentucky's eight **New Teacher Standards** are aligned with those of the Interstate Teacher Assessment and Support Consortium (INTASC). In 1994, Kentucky was one of the first two states to sign an agreement with the National Council for Accreditation of Teacher Education (NCATE) to move to a **performance-based accreditation process** for its teacher preparation programs and away from required courses and seat time. Over the last twelve months, PRAXIS II subject assessments have been revalidated, with cut scores reestablished at higher levels. In addition, beginning in 1998, institutions are required to provide program experiences and continuous assessment of teacher candidates based on the new performance-based format aligned with the teacher standards.

In the Kentucky Reading Excellence plan, content and performance measures in early literacy and reading will be developed to further improve the quality of elementary certification programs.

### **10. Professional Development**

Effecting the type of change mandated through Kentucky's reform effort can only be accomplished with a major commitment (both philosophical and financial) to teacher training. As a result of KERA, Kentucky provides significant resources for the growth and enhancement of teachers and school leaders. In 1990, the General Assembly increased funding for professional development from \$ 1 to \$23 per student per year. Approximately \$15 million per year are now allocated on a formula basis for local professional development. The determination of training needs is made at the school and district level. Local school councils determine how two-thirds of these dollars are spent while the school district can retain one-third of the funds to support district priorities. Each district has a professional development coordinator, receives funding for teachers' salaries for four days of professional development, and receives the above formula funding based on student enrollment. Kentucky has established ***quality standards for professional development***, with emphasis on research-based practices and adult learning principles.

In the Kentucky Reading Excellence plan, local grant applications will address specific professional development on selected scientifically based reading programs and strategies, as determined through school councils. Technical assistance will be provided in leveraging resources to quality professional development at the intensity level needed to fully implement effective research-based strategies.

### **11. Kentucky Education Technology System (KETS)**

Technology is recognized as a communications, instructional and administrative medium. KETS provides access to instructional resources regardless of where students attend school. When fully linked, KETS will link 150,000 student work stations, 35,000 teacher stations, 1,400 school management systems, 176 district administrative systems, higher education campuses, educational television, the state library system and state agencies. This extensive network is supported by professionals at both the district and the state level. A \$553 million initiative, state funding is provided each year to help schools and districts address their unmet needs.

Kentucky was the first state to have every one of its school districts linked to an integrated network, and the ratio of students to computers has improved from 154:1 in 1992 to 8:1 in 1997. This is mirrored by an improvement in the ratio of teachers to computers from 28:1 to 2.5:1. KETS also provides resources for teacher enhancement in the instructional use of technology. In the Kentucky Reading Excellence plan, KETS technology use is integral, through websites, webquests,

Tapped In, email, and other mechanisms for supporting professional communication networks and reading cadres, as well as some technology-dependent research-based reading strategies.

**PREMISE #3. *The Plan Must Coordinate Current State Literacy Efforts***

Starting with the 1998 Kentucky General Assembly, the past twelve months have seen a rise in the number of state planning and other initiatives which link to literacy. In that time period, three different state-level task forces have been established for study in related areas; a family literacy initiative is being developed; and a major legislative initiative in literacy (Senate Bill 186) is just being implemented.

### **Related Task Forces**

***Task Force on Adult Education*** In 1998, the General Assembly established a Task Force of Adult Education to develop a plan to improve the education and skills of the workforce, to be presented to the General Assembly in the 2000 legislative session. The task force is chaired by Governor Patton, co-chaired by a senator and legislator and comprised of legislators, cabinet secretaries, business, labor and the public. Included in the scope of this plan are adult and family literacy initiatives, as well as performance standards, teacher requirements in adult education and other issues.

***Early Childhood Task Force.*** In 1998, Governor Patton established an Office of Early Childhood Development to promote the well being of young children and their families. As part of this initiative, he also established The Governor's Task Force on Early Childhood to develop a plan for early childhood, to be developed by August 1999 and presented to the General Assembly in the 2000 legislative session. This task force is chaired by Nicki Patton, Governor Patton's daughter, who is an early childhood educator. The Task Force is comprised of legislators, cabinet secretaries and the commissioner of education, business, labor and the public. The scope of this plan includes early care and education, parenting skills, family literacy, and before and after school care. Since 1998, Kentucky has established a network of speakers on early brain development and research, with many presentations to process, including ones to the Joint Interim Education Committee (House/Senate) and the Joint Interim Health and Welfare Committee of the General Assembly.

***Task Force on Teacher Quality.*** In 1998, Governor Patton also established a Task Force on Teacher Quality to develop a plan for a strong elementary and secondary teaching force, to be presented to the Kentucky General Assembly in the 2000 legislative session. This task force is chaired by legislators and is comprised of legislators, the chair of the Kentucky Board of Education, and others to look at how to raise standards while keeping an adequate supply of teachers.

While none of these task forces looks exclusively at literacy or across all age groups of Kentuckians, each will play a role in any overall literacy initiative. Viewing the problem from the broader perspective, Gordon Davies, president of the Council on Postsecondary Education, urged that part of the campaign to foster adult literacy should be aimed at early childhood because "we either get them now or we get them later." Recently, he and Education Commissioner Cody have worked together to assist the Kentucky Board of Education and the Council on Postsecondary Education form a

joint "PreK-16 Council" so that the two boards (elementary/secondary and postsecondary education) could coordinate activities and planning.

### **Statewide Family Literacy Initiatives**

In 1985, Kentucky was the first state to develop intergenerational literacy programs, called the PACE (Parent and Child Education) Program. Three years later, this legislation became the **model for the federal Title IB Even Start** program. Consequently, Kentucky has two similar family literacy programs, with a third about to start.

- **PACE Family Independence Program** (as amended in 1998) is administered by the Department for Adult Education and Literacy (Workforce Cabinet). In 1997-98, \$1.8 million in state funds were invested in projects serving about 650 families, including adults in need of a GED with children age 0 to 8 years.
- **Even Start (Title IB)** is administered by the Department of Education. In 1997-98 about \$1.8 million in federal funds were provided to 15 projects, serving about 690 families with children age 0 to 8 years.
- **TANF Family Literacy** is a new state effort, to be initiated by October 1, 1999. Governor Patton and the Cabinet for Families and Children announced in April 1999 that \$1 million of 1998-99 savings from declining TANF (Temporary Assistance to Needy Families) caseloads will be targeted toward family literacy. Plans are in process to allow applicants for PACE and Even Start projects to apply for these funds if they serve TANF clients and meet the work requirements of the adult program (30 or more hours of job skills training each week). This has been a joint effort across the three cabinets, with the Department of Adult Education and Literacy (Workforce Cabinet) to administer the funds.

In short, the two existing programs, PACE and Even Start, are very comparable and coordinate activities. For example, they share a common Family Literacy handbook for local staff, conduct joint new staff orientation each fall, have agreed upon and both use the same Kentucky **Performance Indicators for Family Literacy**, recently developed to implement the same definition of family literacy under federal Adult Education, Head Start, Even Start, and the Workforce Investment Act legislation (Appendix 7). This coordination has provided the base for expanding family literacy services through TANF.

In addition, the two departments (KDE and DAEL) jointly co-chair the **Kentucky Partnership for Family Literacy**, a state and local collaboration among various state and local entities involved in aspects of family literacy: Workforce, Education, FRYSC's, county extension agents, providers, parents. This partnership was initiated out of a National Center for Family Literacy project to help states determine how to best promote family literacy at the state level. As a result of all these efforts, Governor Patton has requested a plan to aggressively promote family literacy. This plan will be submitted in Fall 1999 for funding under the **Even Start Statewide Initiative** competition.

**Senate Bill 186. An act relating to literacy**

In the 1998 legislative session, the General Assembly initiated and passed SB 186, which is supported through funds generated from the state lottery. There are two separate but interrelated sections of SB 186:

- **Early Reading Incentive Grant Program:** competitive grants to elementary schools to support teachers in implementing “**reliable, replicable research-based reading models**” to meet the diverse learning needs of primary students reading at low levels. The school grant program is administered through the Kentucky Department of Education on the advice of a Governor-appointed **Early Reading Steering Committee** which is charged by law with developing the regulations submitted to the Kentucky Board of Education, and providing oversight of the program.
- **Collaborative Center for Literacy Development: Early Childhood Through Adulthood:** a resource center to work collaboratively across public and private institutions of higher education to train teachers in research-based reading models as well as conduct research, including an evaluation of the models implemented in the Early Reading Incentive Grant Program. The Collaborative Center is located at the University of Kentucky as a consortium of the eight state universities and is administered through the Council on Postsecondary Education.

**Early Reading Incentive Grant Program.** Governor Patton appointed the Early Reading Steering Committee in July 1998 as soon as SB 186 went into effect. There are fourteen members:

- a reading faculty member from each of the eight state universities
- two primary level teachers
- two public at large (a family literacy provider and a school council representative), and state agency representatives of
  - Department of Education
  - Department for Adult Education and Literacy and
  - Council on Postsecondary Education.

The statutes (KRS 158.792 Grant Program and KRS 158.794 Steering Committee) and the grant regulation promulgated in October 1998 (704 KAR 3:480) provide definitions for “reading” and “reliable, replicable research” which are very similar to the parallel terms in the Reading Excellence Act. Copies appear in Appendix 1.

The following is a comparison of the Early Reading Incentive Grant Program and the Local Reading Improvement grants in the Reading Excellence Act.

**COMPARISON**

<b><i>DIMENSION</i></b>	<b><i>LOCAL READING IMPROVEMENT GRANTS</i></b>	<b><i>EARLY READING INCENTIVE GRANTS (state)</i></b>
student	K-3 (incoming PreK), public or privately enrolled	Primary (K-3), incoming PreK, public school enrolled
applicant	district or consortia for 1 or more qualifying schools	1 or more public schools, with district or other fiscal agent (cooperative, etc.); all elementary schools eligible
purpose	improve total elementary school reading/literacy program	improve reading for primary students reading at low levels or exhibiting characteristics predictive of reading problems
approach	scientifically based schoolwide reading program: phonemic awareness, systematic phonics, fluency, reading comprehension, motivation	reliable, replicable research-based intervention program within context of a total school reading curriculum; balanced instruction, including phonics
community partner	required	encouraged (match)
expert professional development	required	required
family literacy	required	optional
tutorial services	required	extended school services
early intervention	required for K transition	required; may be K or other primary level (ungraded)
other resources	coordination of services	required 1:1 match, must include some school council contribution
curriculum decision-making	not addressed	school council signature and support required; school must advance the application; must be/become part of the school's consolidated (instructional improvement) plan

Based on the approval of a governor appointed Early Reading Steering Committee, the request for proposal (RFP) for the state Early Reading grants was released November

1, 1998 with applications due February 1, 1999. Interest was very high from across the state, with 215 schools applying (25% of all elementary schools in the state) and requesting over \$9.4 million. Applications were reviewed by independent review panels composed of primary teachers and persons knowledgeable of reading and the Kentucky Program of Studies. Recommendations for selection were made by the Steering Committee in March 1999.

The first round of Early Reading Grants has just been released (FY 1998-99 funds), with projects starting May 15, 1999 and operating 27 months (through August 2001). There are 36 projects from 30 school districts, serving 43 elementary schools across the state, both rural and urban, totaling the \$2.3 million available. A project orientation was held April 15, 1999 with project representatives, the Kentucky legislative sponsors, the Collaborative Center, the Steering Committee and Department staff. Teachers met to begin networking, and to decide how to establish **Early Reading Cadres** of teachers and schools using similar models. In Round 1, schools identified 11 different research-based reading models, including locally designed research-based interventions.

The second round of Early Reading projects (FY 1999-2000 funds) are now in the selection process. Applications were due April 30, 1999, with 151 applications received, on behalf of 89 school districts, requesting approximately \$9.8 million. Review panels are scheduled for May 10-11, with Steering Committee recommendations May 14-15, 1999. Approximately 25-30 projects totaling \$1.8 million will be starting July 15, 1999 for 27 months (through October 15, 2001). Consequently, in 1999-2000, there will be approximately 60 Early Reading Incentive Grant projects operating research-based models/programs in Kentucky with primary students reading at low levels.

### **Collaborative Center for Literacy Development (CCLD)**

SB 186 also established a competitive application process to select a Center for Literacy Development. On October 1, 1998, the University of Kentucky was selected on behalf of a consortium of the eight state universities. Its partners include the National Center for Family Literacy, the Department for Adult Education and Literacy (DAEL), the Kentucky Department of Education and others interested in literacy development.

In SB 186, the following are the charges given to the Center (KRS 164.0207):

- developing and implementing a clearinghouse for information about models addressing reading and literacy from the elementary grades through adult education;
- collaborating with public and private institutions to provide for teachers and administrators quality preservice and professional development in early reading instruction, including phonics instruction;
- assisting districts located in areas with low levels of reading skills to assess and address identified literacy needs;
- providing professional development and coaching for classroom teachers implementing selected reliable, replicable research-based reading models;

- establishing a demonstration and training site for early literacy located at each of the public universities; and
- developing and implementing a comprehensive research agenda evaluating the early reading models implemented in Kentucky under the Early Reading Incentive Grant program.

Due to start-up considerations, the CCLD's first major initiative in addition to establishing a web site is an initiative known as the ***Kentucky Reading Project***. Beginning in summer 1999, the CCLD will collaborate with the eight state universities to conduct a series of professional development sessions, modeled after the successful Kentucky Writing Project (linked to the National Writing Project). This initiative will provide opportunities for long-term, intensive professional development in reading for elementary teachers, while allowing university faculty to reflect upon the methods, strategies and teacher education program as it is related to reading methods and instruction. The National Center for Family Literacy is a partner in providing the course work, building knowledge of family literacy among both teachers and faculty.

During June 1999, teams of primary teachers (35 participants at each of the eight state universities (280 teachers) will participate in a two-week summer institute with an equivalent one-week follow-up during the 1999-2000 school year. During this three-week course of study and research, teachers will focus on:

- theory
- assessment
- balanced literacy approaches
- guided children's reading
- content area reading
- phonological awareness
- writing
- reading/writing connections
- family literacy
- organization/management

As follow up to this summer training, each university will establish three training and demonstration sites for effective reading programs (a statewide total of twenty-four sites). These sites will also become part of the ***Early Reading Cadres*** representing the model reading programs identified through the Early Reading Incentive Grant program.

### **Kentucky Literacy Partnership**

As can be seen from these multiple related ad hoc task forces, family literacy initiatives and the efforts under way with SB 186, Kentucky has the opportunity through the Reading Excellence Act to add one more task force, one more grant program, one more piece into an already complex mix to solve a long-term, deep-rooted statewide literacy problem. Or, Kentucky can use the opportunity to bring various groups together under one umbrella to consider literacy from all angles.

Through the **Kentucky Literacy Partnership**, Kentucky's Reading Excellence proposal is designed to coordinate the numerous local, state, and federal initiatives related to reading into a comprehensive, focused effort to improve motivation, reading and literacy skills of young children through adults across all groups. Kentucky's Reading Excellence plan will help support the umbrella to strengthen, reinforce, and enhance

the fragmented services and resources currently working to improve literacy within the state.



EDUCATION	FAMILY LITERACY	HIGHER EDUCATION	ADULT WORKFORCE	COMMUNITIES
<ul style="list-style-type: none"> <li>• Early Reading Incentive Grants/Steering Committee</li> <li>• Reading Excellence grants</li> <li>• Governor's Early Childhood Task Force (0-5 years)</li> <li>• Kentucky Board of Education</li> <li>• Local Schools - early childhood partners</li> <li>• School libraries</li> </ul>	<ul style="list-style-type: none"> <li>• Kentucky Partnership for Family Literacy</li> <li>• Even Start Statewide Initiative (TBA)</li> <li>• Local Even Start - PACE - TANF Family Literacy programs</li> <li>• Commonwealth Institute for Parent Leadership - University of Kentucky</li> <li>• Parents/Families</li> </ul> 	<ul style="list-style-type: none"> <li>• Teacher Quality Task Force</li> <li>• Council on Post-secondary Education</li> <li>• Education Professional Standards Board</li> <li>• Collaborative Center for Literacy Development</li> <li>• Kentucky Reading Project</li> </ul>	<ul style="list-style-type: none"> <li>• Adult Education Task Force</li> <li>• Workforce/ Department for Adult Education and Literacy</li> <li>• TANF</li> <li>• Workforce Investment</li> <li>• Business</li> <li>• Labor</li> </ul> 	<ul style="list-style-type: none"> <li>• Department of Libraries and Archives</li> <li>• Public libraries</li> <li>• Volunteer organizations</li> <li>• Community-based programs (Head Start, child care, tuition assistance providers)</li> <li>• Local literacy councils</li> <li>• Civic groups</li> </ul>

## SECTION B QUALITY OF PROJECT DESIGN

As outlined in Section A, the Kentucky Reading Excellence plan is designed with five key components to improve instruction and achieve student results. These include:

- Broad Partnerships, Including Parents
- Quality Preservice and Certification Programs
- Research-Based Professional Development
- Coordinated and Effective Local Services
- Rigorous Evaluation

These components are described below, with information about how the Kentucky Reading Excellence plan:

- (a) coordinates with efforts and resources noted in Section A and others;
- (b) is part of a comprehensive effort to improve teaching and learning and to support rigorous academic standards for all students;
- (c) reflects up-to-date knowledge from research and effective practices;
- (d) is based on a specific research design; and
- (e) encourages parental involvement.

### COMPONENT 1: BROAD PARTNERSHIPS INCLUDING PARENTS

#### **Kentucky Literacy Partnership (Application Requirement)**

***Partnership Development.*** As indicated in Section A of this application, there is widespread support for effective reading and literacy initiatives statewide. In considering a Reading Excellence application, discussions were initiated between the Governor's Office and the Department of Education to determine interest and the nature of the required partnership. Given the number of existing groups, Governor Patton expressed a strong preference for a broad group to bring the various entities and initiatives together, coordinated under a ***Kentucky Literacy Partnership***. Existing groups were contacted, with each endorsing the concept. Letters of support for this application and the Partnership are attached as Appendix 3 and include letters from:

- Education Professional Standards Board
- Collaborative Center for Literacy Development
- Adult Education Task Force
- Early Childhood Education Task Force
- National Center for Family Literacy
- Early Reading Steering Committee
- Department for Adult Education and Literacy
- Teacher Quality Task Force
- Kentucky Family Literacy Task Force

***Role of Partnership.*** As established by Executive Order 99-553 (Appendix 3), the general purpose of the partnership is to coordinate statewide efforts to develop a literacy plan and to coordinate activities among partners in this effort:

- Develop a state plan for a coordinated literacy initiative in Kentucky, integrating all aspects from young children through adults across all groups (including community-based early childhood groups; public schools, higher education, libraries, volunteer organizations; parent and citizen groups; businesses; family literacy; and other groups interested in literacy).
- Serve as a clearinghouse coordinating across all groups and entities with a role in improving the reading and literacy of children and adults in Kentucky; and
- Provide general oversight of the Reading Excellence grant program.

Because there is already an existing governor-appointed body established in SB 186 to provide oversight for the similar, state-funded grant program to schools, the **Kentucky Literacy Partnership** will delegate the local grant oversight responsibility to the **Early Reading Incentive Grant Steering Committee** (Refer to page 14-17 for information about SB 186.) At its initial meeting in July 1999, the Partnership may choose to add one or more members to the pre-existing Steering Committee when the federal grants are considered, or may decide simply to provide guidance to the Steering Committee.

The **Kentucky Literacy Partnership** will be chaired by the Cabinet Secretary for Education, Arts, and the Humanities, with staff support from the literacy coordinator in the Kentucky Department of Education. The membership of the **Kentucky Literacy Partnership**, jointly selected with the Commissioner of Education and appointed by the Governor, reflect the roles in Reading Excellence. It will also have **liaison membership** with the existing entities and have both geographic and ethnic **diversity**. Liaison membership will include representation from:

- |  |   |
|--|---|
| ★ Teacher Quality Task Force                       | ★ Early Childhood Task Force  |
| ★ Adult Education Task Force                       | ★ Corporation for National Service  |
| ★ Early Reading Incentive Grant Steering Committee | ★ Cabinet for Education, Arts and the Humanities (including public libraries) |
| ★ Kentucky Board of Education                      | ★ Education Professional Standards Board                                      |
| ★ Council on Postsecondary Education               | ★ Kentucky Partnership for Family Literacy                                    |
|  | ★ Collaborative Center on Literacy Development                                |

The twenty-five (25) member partnership includes:

REQUIRED MEMBERSHIP	NAME
Governor	Governor Paul Patton (Kim Townley, Executive Director, Office of Early Childhood Development, as designee)
Chief State School Officer	Dr. Wilmer S. Cody
Chairman & Ranking Member of Legislative Committees Responsible for Education Policy	Senator Robert Jackson (Senate Education Co-Chair) Senator Lindy Casebier (Senate Education Co-Chair) Representative Frank Rasche (House Education Chair) Senator Jack Westwood (SB 186 sponsor)
Local School District Representative Jointly Selected by Governor and CSSO	Dr. John Settle, Bowling Green Superintendent (member of State team attending National Reading Summit)

Community-Based Organization Working with Children Jointly Selected by Governor and CCSSO	Betsy Wells, Corporation for National Service, State Office
State Directors of Federal/State Programs With Reading Components	Dr. Linda Houghton, KDE, Associate Commissioner, Academic/Professional Development  Dr. Johnnie Grisson, KDE, Associate Commissioner, Special Instructional Services (IDEA, IASA)  Dr. Cheryl King, Workforce Development Cabinet (Technical Education)
Parent Jointly Selected by Governor and CSSO	Rebecca Burton (Commonwealth Institute for Parents)
Teacher Jointly Selected by Governor and CSSO	Regina Catlett, Webster County Schools
Instructional Staff Member	Dr. Freda Meriweather, Assistance Superintendent/Elementary Education, Jefferson County Public Schools
Family Literacy Service Provider Jointly Selected by Governor and CSSO	Sharon Darling, National Center for Family Literacy

### **ADDITIONAL MEMBERS**

Public Libraries	<b>Dr. Marlene Helm, Cabinet Secretary, Education, Arts and Humanities, and KY Literacy Partnership Chairperson</b>
Collaborative Center for Literacy Development (CCLD)	Dr. Lois Adams-Rodgers University of Kentucky
<b>Early Reading Steering Committee</b>	Dr. Lynne Smith (Steering Committee Chair) Northern KY University
KY Board of Education	Martha Dell Sanders
Professional Organizations	Dr. Shirley Long, KY Reading Association (President)
Higher Education	Dr. Gordon Davies, Executive Director, Council on Postsecondary Education
Parent/Volunteer Organization	Bernadette Howe (KY PTA)
Community/Public Interest	Lois Weinberg, Prichard Committee (Citizens Organization)

Public School Governance

Lynn Kelly, Principal  
Morningside Elementary (KY Association of School  
Councils)

The **Early Reading Steering Committee** is composed of 15 members, appointed by the governor:

- A reading professor from each of the eight state universities,
- 2 primary level teachers
- 2 public at-large (family literary provider; school council representative)
- representatives of Education, Adult Education and Literacy, and the Council for Postsecondary Education.

**ASSURANCE: THE GOVERNOR, IN CONSULTATION WITH THE KENTUCKY DEPARTMENT OF EDUCATION, HAS ESTABLISHED THE REQUIRED READING AND LITERACY PARTNERSHIP.**

The **Kentucky Literacy Partnership** will hold three to four meetings per year with related staff work groups operational between meetings. Although the committee will more clearly define its work as it convenes, the projected activities and timelines for these meetings include:

July 1999	<p>Initial meeting to:</p> <ul style="list-style-type: none"> <li>▪ Establish mission</li> <li>▪ Review Reading Excellence responsibilities</li> <li>▪ Provide guidance to the Early Reading Steering Committee</li> </ul>
July 1999-June 2000	<p>Responsibilities will be to:</p> <ul style="list-style-type: none"> <li>▪ Review existing literacy initiatives and linkages statewide</li> <li>▪ Develop goals/results/outcomes for the state level initiative</li> <li>▪ Solicit local input and suggestions for regional/community literacy partnerships</li> <li>▪ Review reports on the local REA grant process as provided by the Early Reading Steering Committee</li> </ul>
July 2000-June 2001	<p>Activities will be to:</p> <ul style="list-style-type: none"> <li>▪ Develop comprehensive, coordinated state literacy initiative based on gap analysis</li> <li>▪ Develop legislative initiative for 2002 General Assembly as applicable</li> </ul>
<b>July 2001-June 2002</b>	<p>The main focus will be to develop public awareness and presentation of the state reading and literacy plan.</p>

**Community Partnerships.** A unique role of the Kentucky Literacy Partnership will be to promote community literacy partnerships. Particular emphasis will be on ensuring that public libraries, community literacy councils, parent and volunteer organizations,

business, higher education, and civic groups all work together with schools to promote literacy at all levels. Some successful partnerships include FRYSC “Born to Read” projects, providing baby books to parents of newborns at the hospital, and Kentucky’s Summer Reading Programs through the public libraries. Such community partnerships are particularly helpful in encouraging family involvement, particularly where parents may have literacy needs of their own. Through these partnerships, research-based practices across all six aspects of reading will be promoted.

**Resources.** Reading Excellence funds will be used to support the *Kentucky Literacy Partnership’s* operational expenses and community literacy and awareness activities, matched by state Early Reading and other agency funds.

**COMPONENT #2: QUALITY PRESERVICE**  
***Competitive Priority on Elementary***  
***Teacher Certification Requirements***

As noted in the earlier description of the Education Professional Standard Board established under KERA (Section A page 11), Kentucky is committed to ensuring that each classroom, regardless of its location in the state, has a qualified teacher in it.

**ASSURANCE: AS DESCRIBED BELOW, ACTIONS CONDUCTED OVER THE PAST TWELVE MONTHS HAVE MODIFIED ELEMENTARY SCHOOL TEACHER CERTIFICATION REQUIREMENTS, WITH ADDITIONAL ACTIVITIES IN PROCESS TO BE COMPLETED BY JANUARY 2001 (18 MONTHS) TO IMPROVE THE TRAINING AND METHODS OF TEACHING READING IN THE ELEMENTARY TEACHER PREPARATION PROGRAMS.**

### **Teacher Certification Requirements**

The independent Education Professional Standard Board (EPSB) was created to establish policies and to manage teacher preparation program approval, set requirements for individual teacher and administrative certificates, and make determination of whether to revoke or suspend certificates. The EPSB also has the authority to develop an alternative certification program and to issue advanced certificates on the basis on non-credit professional development.

Requirements for teacher certification in Kentucky involve both content and pedagogy. Currently, there are three criteria that elementary and all other teacher candidates must meet to receive new teacher certification, and each of these processes have been modified in the past year:

- completion of an approved preparation program
- written testing, via Praxis II content exams
- completion of a one-year internship (1<sup>st</sup> year of employment)

**Preparation Program Requirements.** In 1997, EPSB adopted new standards for preparation program approval that required university program folios to be aligned with the Kentucky New and Experienced Teacher Standards. (The standards were initially

adopted by the EPSB in 1993 and are aligned with those of the Interstate Teacher Assessment and Support Consortium [INTASC]). Beginning in January 1998 for undergraduate programs and September 1998 for graduate programs, colleges and universities must demonstrate in their folio for EPSB program approval how the program will implement continuous assessment of both the program and candidates relative to these performance standards.

As part of this required continuous assessment system, the EPSB has developed on-demand teaching tasks and rubrics that assess the quality of teacher performances addressed in the New Teacher Standards. The “assessment tasks” combine pedagogy with content as authentic teaching tasks. These tasks have been distributed to the 26 teacher preparation institutions for use in their continuous assessment of programs and students. By setting requirements for the continuous assessment system, the EPSB has already upgraded elementary and other certification programs.

In the Kentucky Reading Excellence plan, there will be further development and piloting of on-demand tasks and rubrics for elementary teachers specific to research-based methods of teaching reading and literacy. This is parallel and complementary to activities proposed by the EPSB in the recently submitted Kentucky application for a Teacher Quality Enhancement program under **Title II of the Higher Education Act**. In the Title II HEA application, the EPSB also proposes use of such assessment tasks, as well as “work sample methodology” (such as being implemented in Oregon and Washington), in pilot Teacher Candidate Assessment Centers to determine eligibility for Kentucky certification.

**Written Testing (PRAXIS II).** Elementary candidates in Kentucky are required to make a minimum passing score set by the EPSB on the PRAXIS II. In the last twelve months, the EPSB has revalidated the Praxis II content exams for Kentucky and reestablished cut scores at or above the average Southern Regional Education Board states.

**One-Year Internship.** In effect since 1984, the Kentucky Teacher Internship Program (KTIP) has a three-member assistance and assessment team, consisting of a school principal, a teacher mentor and a teacher educator, to provide guidance to the new teacher and to assess his or her performance prior to certification. (In Kentucky, candidates receive a statement of eligibility for an internship upon completion of the teacher preparation program; the internship is in addition to student teaching requirements during the preparation program.) In fall 1998, the KTIP observation and review system was modified to strengthen teacher portfolio exhibits and criteria for evaluating teacher portfolios. As a member of INTASC, Kentucky has shifted from looking at isolated “snap-shots” of teacher performance through observations to an analysis of student learning through focused instructional units, including student work samples. In the Kentucky Reading Excellence plan, there will be assistance in assuring that the KTIP portfolio rubrics support research-based methods of teaching reading.

### **Other Potential Requirements**

At present, there are a number of teacher quality initiatives in Kentucky, including but not limited to the Governor's Teacher Quality Task Force (Section A p.13 ). The letter of support from the chair of this task force as well as the representation of this group on the Kentucky Literacy Partnership will assure that any recommendations to the General Assembly in 2000 will consider literacy and research-based methods of teaching reading, as appropriate.

### **Quality of Course Work**

In 1998, the Kentucky General Assembly expressly looked at the quality of teacher preparation programs as related to methods of teaching reading and research-based models. In SB 186 (Section A pp.17-18 ), the **university consortium**, the Collaborative Center for Literacy Development, is specifically charged with:

*“Collaborating with public and private institutions of postsecondary education to provide for teachers and administrators quality preservice and professional development in early reading instruction, including phonics instruction.”*

Initially, the Collaborative Center has approached this responsibility through the development of the coordinated content for the **Kentucky Reading Project**, to be used consistently across all eight state universities in the college-credit summer institutes for elementary teachers (June 1999). This collegial discussion by faculty, including researchers associated with the Collaborative Center's research function, has and will lead to qualitative changes in elementary preservice courses and preparation programs relating to scientifically research-based methods of teaching reading. Included in those changes are knowledge of family literacy, through the National Center for Family Literacy's role with the Collaboration Center.

Also under SB 186, reading faculty from the eight state universities are members of the Early Reading Steering Committee and, as such, are integrally involved in discussions surrounding the research-based models being considered and used in local Early Reading grants, as well as the research on those models being implemented by the Collaborative Center.

In the Kentucky Reading Excellence plan, there is a complementary approach to working with the faculty on research-based methods of teaching reading, in addition to the mechanisms already set in place by SB 186. This will be implemented through inclusion of university faculty on the regional literacy support teams, described under Research-Based Professional Development.

### **COMPONENT #3: RESEARCH-BASED PROFESSIONAL DEVELOPMENT**

As noted in Section A, professional development is a critical component of effective services and practices needed to achieve results for students. The Kentucky Department of Education has a commitment to providing and supporting local professional development which:

- is based on national and state standards for professional development;
- reflects adult learning principles (interactive, inquiry-based and hands-on in nature);
- focuses on student learning to make the teaching-learning process more efficient;
- increases teacher knowledge of the respective discipline/content (e.g. reading); and
- enhances the pedagogical skills necessary for delivering that content (e.g. scientific, research-based practices).

A number of professional development initiatives will be coordinated in the Kentucky Reading Excellence plan, in addition to the KERA and SB 186 activities already described in Section A. The plan for delivery in relation to the local grant application process is described in Section C, but the following descriptions provide the framework for the coordinated design.

### **Regional Literacy Support Teams**

The Kentucky Reading Excellence plan relies on providing ongoing assistance to schools in scientific, research-based reading practices by building the capacity of cross-agency regional literacy support teams. By providing initial training to the team members on reading research (similar to the model used in Kentucky's plan for Comprehensive School Reform Demonstration, CSRD), the capacity of an ongoing literacy support network is available and coordinated across agencies and programs, promoting the same research-based approaches to reading.

**Content.** A **bibliography** of key research resources to be used with the regional literacy support teams and through all the professional development appears in Appendix 6. In the Early Reading Incentive Grant application, the emphasis is on a thorough analysis of student needs at the school across all areas of reading, what is referenced in Reading Excellence as phonemic awareness, phonics, fluency and reading comprehension. The local application for the state literacy program (Appendix 1) focuses on those needs and the link to the research-based reading model/program selected or designed. State technical assistance focuses on the analysis process and the essentials of the current reading research, as well as resources for investigating specific programs or models. Training in specific approaches is required professional development obtained as part of the local Early Reading Incentive Grant activities. This approach will be used for Reading Excellence as well.

**Members.** Members of the regional literacy support teams to be included in team training are:

- **Δ Regional Service Center consultants** for language arts, primary, exceptional children, and accelerated learning
- Department of **Adult Education** and Literacy regional professional development coordinators
- Staff from the **Collaborative Center** for Literacy Development
- **Reading faculty** from Institutions of Higher Education

- **Family Resource and Youth Services Center (FRYSC)** regional coordinators
- **Highly Skilled Educators (HSE)** assigned to schools most in need
- **Early Childhood Regional Training Center (RTC)** specialists
- Others as identified by the Kentucky **Literacy Partnership** (e.g. parents, public library staff, etc.)

△ The Kentucky Department of Education includes eight **regional service centers (RSCs)** across the state, making content and program expertise more accessible to schools. The RSCs put their major focus on professional development and school improvement, with an emphasis on schools making insufficient progress. Reorganized in 1998 to improve content-specific assistance, each regional service center is staffed with content area specialists (language arts, writing, math, science and social studies) and specialists in technology, exceptional children services, accelerated learning (Title I), and primary education. RSC consultants in the areas of language arts, accelerated learning, exceptional children and primary education, with one as the liaison, will be actively involved in developing local capacity at the school and community level to:

- Provide a comprehensive, research-based instructional program in reading;
- Improve the skills of the instructional staff so that reading instruction is enhanced for all students, especially those experiencing difficulty with reading; and
- Implement, strengthen, or enhance local literacy programs.

Based on RSC decision, one of the related RSC consultants will be the RSC liaison to help design, coordinate and facilitate regional professional development delivered as part of the Kentucky Reading Excellence plan. This RSC liaison will assist in disseminating information about additional training sessions and resources to schools in their region having Local Reading Improvement or Tutorial Assistance grants.

### **School Reading Leaders (Kentucky Eisenhower 3D Reading Initiative)**

In 1998-99, the Kentucky 3D Reading initiative was funded through the 7.5% of FY 1999 Title II: Eisenhower state-level professional development dollars targeted for reading. The 3D Initiative has established a statewide base of local reading leaders trained to **D**isgnose, **D**esign, and **D**eliver an effective, research-based local reading program across elementary, middle and high schools. The language arts consultant in the Division of Curriculum Development, in conjunction with the language arts regional consultants, developed the program using research-based materials from the 1998 National Reading Summit, the regional America Reads conferences, and many other resources (see Bibliography, Appendix 6). To date, a cadre of over 900 local reading leaders (school and district office representatives) have participated, and a listserv is established, providing a KETS-based monthly electronic newsletter with information, research and tips for implementing a reading program.

- **Diagose.** The first session, which was coordinated with initial training sessions for the new Early Reading Incentive Grant program, focused on diagnosing the school reading efforts through a school team approach and analysis of multiple data sources (KIRIS, other). The session was provided in each of the eight regional services centers during October to

December 1998, with a second day focused on the Early Reading grant applications and diagnosing school reading efforts for primary age students with low reading levels.

- **Design.** The second session for the reading leaders occurred during January and February 1999 as follow up to assist in designing a reading program based on the analysis of local need completed as a result of the initial session.
- **Deliver.** The third session, scheduled for summer 1999, will focus on specific instructional strategies for reading and is planned with follow up in 1999-2000.

In the Kentucky Reading Excellence plan, the reading leader network will be expanded to include recipients of Early Reading grants, Title I CSRD projects with an early reading component, and recipients of federal Local Reading Improvement grants. The local reading leaders program is the local companion piece to the regional literacy support team to build local capacity in scientific, research-based reading methods.

### **Early Reading Cadres (Peer-to-Peer)**

In the description of the Early Reading Incentive Grant Program (Section A pp.15-17), a network of **Early Reading Cadres** of teachers and schools using the same or similar models was initiated in April 1999 at the Early Reading Project Orientation meeting. While each Early Reading project (or now, projects working cooperatively) is responsible for obtaining expert professional development specific to the model/program identified (similar to the Local Reading Excellence grant requirements), peer-to-peer networks of teachers across the state will be available to support and enhance Local Reading Improvement grant applicants and recipients. For example, two small Appalachian schools are working together to bring in expert training in the model they selected and will be linked statewide with others using that same research-based approach.

### **Mentor/Coaching Sites**

A key part of ongoing and intensive professional development needed to assure quality services is mentoring and coaching by programs experienced in practice and grounded in research-based strategies. The following are examples of the mentor - coaching sites to be available:

- **Early Literacy Demonstration Sites.** Under SB 186, the Collaborative Center is responsible for and will be establishing in fall 1999 three demonstration and training sites for early literacy with each university (24 sites total across the state). In the Kentucky Reading Excellence plan, these sites will become part of the mentor/coaching network where schools can visit to see research-based assessment and instruction in action as well as visitation among the Early Reading Cadre members.
- **Family Literacy Sites/Mentors.** The Kentucky Even Start projects, along with their PACE counterparts, are a particularly close-knit group and regularly meet, share information, and visit each other's programs, as well as assist agencies interested in applying for Even Start funds. They report that the most effective assistance they received in planning or starting a family literacy program was to visit an ongoing program and receive individual coaching from a more experienced program. In the Kentucky Reading Excellence plan, a family literacy mentor network identified through criteria established in the Kentucky State Even

Start Evaluation will provide mentor/coaching supports to prospective and new Local Reading Improvement grantees which are starting a family literacy program for the first time in order to qualify for a Local Reading Improvement grant.

- **Volunteer Talent Center: America Reads Challenge Program.** Operated by the Jefferson County (Louisville) Public Schools, the Volunteer Talent Center works with Title I schools in Enterprise Community neighborhoods through VISTA volunteers, federal Work Study and service-learning volunteers. The center will make training and mentoring available to schools and programs which are developing community volunteer programs for to qualify for a REA Local Reading Improvement grant.

### **Expert Training Resources**

While it is not the intent of either SB 186 or the Reading Excellence Act to require in-state experts and trainers in all possible scientific, research-based early reading programs and delivery models, steps are already occurring that build Kentucky's capacity in some areas. This will enable local schools to more efficiently and effectively obtain professional development from experts through local grant funds. The following are some examples of research-based professional development that will be available:

- **Kentucky Family Literacy Team.** In 1998, the Department for Adult Education and Literacy coordinated the establishment of a Kentucky Family Literacy Training Team certified by the National Center for Family Literacy to provide one-day orientation and five-day in-depth training. The Kentucky Team is comprised of an early childhood educator (a regional RTC director) and an adult educator (Department for Adult Education and Literacy regional professional development coordinator).
- **Clearinghouse of Trainers.** SB 186 requires the Kentucky Department of Education to provide a list of professional development providers offering teacher training related to phonics instruction. This has been expanded by the Department to include comprehensive reading across all grade levels. The Department has developed a rubric for applications by prospective providers, similar to the one provided in the Guidance for the Reading Excellence Act. About eighteen providers have submitted information electronically through a web-enabled application form. Local schools will be able to access information directly from the web, making selections based on the rubric.
- **Clearinghouse of Models/Sites.** Under SB 186, the Collaborative Center is responsible for developing and implementing a clearinghouse for information about models addressing reading and literacy from elementary grades through adult education. Currently, the Center's website provides linkages to enable schools to locate contact information on relevant expert models and programs. Besides the link-up with national research-based listings, such as the Northwest Education Laboratory's Catalogue for the Comprehensive School Reform Demonstration (CSRD) program, the Center has included the elementary reading section of the Kentucky Department of Education's 1997 *Research-Based Practices Showcase* review which includes only programs with longitudinal, peer-reviewed data.
- **Reading Recovery.** Under SB 186, the Collaborative Center is developing the capacity for the University of Kentucky to serve as an in-state training site for Reading Recovery as one

of its charges. Kentucky currently has only three Reading Recovery teacher-coaches in the state and no teacher/trainer, greatly limiting availability of resources. One of the eastern Kentucky Early Reading grant schools is supporting a teacher through the grant to become a Reading Recovery teacher-coach.

- **Carbo Learning Styles.** One of the schools receiving an Early Reading grant is planning to become a national training site for Carbo Learning Styles and has already linked up as an informal mentor site for the other schools which are new to this model.
- **Kentucky Reads Network: Reading Coaches Model for Tutor Training.** Utilizing Reading Coaches Session Plan materials developed by Mike Houston of Reading Coaches USA and Ronald Diss (*The ABC's of Tutoring*), a three-tier training for tutors is available in Kentucky for tutors of primary age children.

### **Resources Available Through Technology**

In addition to the **KETS network** described in Section A, technology will provide other resources:

- **KET** (Kentucky Education Television) annually provides nearly 150 instructional series (a total of more than 1,500 broadcast hours) to elementary/secondary schools and to adults seeking to obtain a GED through the GED ON TV program. Each year, KET also produces and delivers more than 90 hours of professional development seminars for educators (two to three programs each week) over its network of STAR Channels and has a World-Wide Web site on the Internet (<http://www.ket.org>).
- **KTLN** (Kentucky TeleLink Network) is an interactive compressed video teleconferencing system available statewide with sites at all state universities and many schools. High school and college courses are offered via KTLN, and a number of Department training sessions are offered in this manner. For example, training in completing Even Start and Early Reading applications was offered in this format in 1998-99. Other uses are for network meetings. A special call-meeting of the Early Reading Steering Committee was conducted via KTLN in 1998.
- The **KET/KTLN** system will be utilized to deliver professional development to staff in schools receiving Local Reading Improvement and Tutorial Assistance subgrants.
  - ◇ Provide interactive video training to school staffs;
  - ◇ Provide access to U.S. Department of Education Satellite programs related to reading and literacy; and
  - ◇ Highlight schools implementing effective, research-based reading programs as part of *Inside Kentucky's Schools*, a regular feature of KET.
- **Internet web site** capabilities will expand the Early Reading page on the KDE web home page. Local Reading Improvement and Tutorial Assistance projects will be incorporated into the Kentucky Department of Education's web page, and will be linked to the Collaborative Center for Literacy Development: Early Childhood Through Adulthood (CCLD), the statewide clearinghouse for information related to research-based reading and literacy programs and practices. This information is available to all schools at

<http://www.uky.edu/Education/literacy-cclld/>. It also links to the electronic listing (clearinghouse) of trainers described earlier.

- ***KETS Microsoft Exchange Electronic Mail.*** Through the statewide Microsoft Exchange System, a *listserv* will be developed to network the Early Reading Cadres, schools with an early reading program funded by or developed from the Early Reading Incentive grant program, the Title I Comprehensive School Reform Demonstration grants, the Kentucky Reading Project, and Reading Excellence sub-grants. The electronic e-mail system will also feature an Early Reading Model Tip Back system which make documents instantly available for download such as tip-sheets and other information related to reading and literacy. This information will be communicated to listserv members, school and district personnel through Kentucky Department of Education email distribution lists, and will be available to all stakeholders upon request.
- ***Tapped In.*** This electronic resource used to facilitate communication among cadre members (similar to a chat room) will allow participants to join in on line for "real-time" conversations with other professionals. Early Reading cadres will have regular times to meet for these discussions. The Department will also facilitate electronic conversations with people who have expertise in these models for question-and-answer discussions.
- ***WebQuests*** are designed to assist learners to synthesize and evaluate on-line information. A professional development WebQuest allows participants to tailor the learning to their individual needs, explore a variety of research sources on line, have flexible time to complete the work, and create products related to instruction in their classroom. Professional development WebQuests for Reading will be developed to assist teachers to examine current research and professional resources and practices on the teaching of reading, family literacy, brain development, and appropriate use of students as reading tutors. These WebQuests for Reading will be available on the Kentucky Department of Education Web site. Follow-up discussion and demonstration sessions will be conducted through regional teams and cadre networks.

#### **COMPONENT #4: COORDINATED AND EFFECTIVE LOCAL SERVICES**

There are three types of coordination related to the grant application and consequent services that assure a coordinated approach, embedded in the context of a rigorous school improvement process which encourages parent involvement:

- Consolidated Planning and Local Application
- Coordination of Literacy and Literacy-Related Programs
- Family and Community Engagement

#### **Consolidated Planning and the Local Application**

In 1997, the Kentucky Department of Education developed an innovative consolidated planning process involving most state and federal categorical grant programs. Programs approved through the plan include: **State Preschool, Extended School Services, IDEA Basic and Preschool, Even Start, IASA Titles I, II, IV, IV and Goals 2000, Homeless, Migrant, State Textbooks, State Professional Development, State**

## **Technology, Carl Perkins Vocational, Gifted and Talented, Stewart B. McKinney Homeless Assistance Act, and High Schools That Work.**

Characteristics of the Kentucky model include:

- a focus on student learning, with goals based on results measured by the statewide assessment system;
- a comprehensive needs assessment process that focuses data analysis on the impact on student learning and instructional practice;
- inclusion of 19 state and federal programs (6 state, 13 federal);
- a broad stakeholder development process, including parents, teachers, and the public;
- development of district plans based on needs identified by the schools;
- coordination and leveraging of resources in a single process;
- ongoing, periodic review for impact, with mid-course adjustments as needed; and
- a web-enabled electronic application and process for districts, with schools submitting print or electronic word-processor files to the district.

1997-98 was the initial planning year, with 1998-2000 plans submitted in June 1998. Since that time, a number of new state and federal grant programs have been released (e.g. Early Reading Incentive Grants, Comprehensive School Reform, Commonwealth School Improvement Funds, ESS Innovative) and have expected schools at different times this year to review their existing plans and amend midyear. While this strategy has been effective in assuring that the existing consolidated (school improvement) plan addresses priority needs and leverages resources, the timing and lack of coordination across grant programs has been difficult and confusing for schools, school councils and districts.

1998-99 is the planning year for the next cycle, with districts and schools reviewing their current needs assessment data and existing plans for adjustments to cover the period from July 1, 2000 through June 30, 2002. Spring 1998 CATS results are scheduled to be released September 15 and will affect the school planning. Given the timing of the release of Reading Excellence fund information and the current planning cycle based on the "life of the school", the Kentucky Reading Excellence plan provides for the following timelines to fit into the consolidated planning process:

- information on the local Reading Excellence grants to be released in fall 1999, with other application opportunities
- submission in early spring 2000
- selection by April 2000 for local staff contracting purposes and
- inclusion in the school's and district's 2000-2002 consolidated plan submitted June 2000.

As a school engages in planning and preparation of the 2000-2002 consolidated plan, it will utilize information from its existing plan as it selects and implements a comprehensive reading model. Components of the consolidated plan that will be of specific relevance are:

⇒ **NEEDS ASSESSMENT**

When submitting either a Local Reading Improvement or a Tutorial Assistance grant application, schools will use the same comprehensive needs assessment process as used in planning and preparing the school consolidated plan, with a specific focus on reading. The process requires the school planning team to:

- Collect and analyze relevant data such as conditions, statistics, and surveys;
- Identify trends, patterns, problems, causes or contributing factors and needs through a series of probing questions, organized by Student Achievement, Barriers to Learning, Program Supports, and Community and Family Involvement; and
- Fulfill state and federal planning requirements for programs covered in the consolidated plan.

⇒ **ACTION PLAN**

Schools will use the Action Component format of the school consolidated plan to describe project activities and justify need. The Action Plan defines the Priority Need, Instructional Goal, Contributing Factors, Measurable Objectives, Strategies, Expected Impact, Resources, Time Lines and Person(s) Responsible. Development of the action plan enables the school planning team to:

- Identify priority needs;
- Set measurable goals that address priority needs;
- Develop objectives with measures to address the causes and/or contributing factors;
- Design strategies and activities (based on research based practices) to achieve the objectives;
- Specify the expected impact these strategies/activities will have on teaching and learning and explain what evidence will be used to measure the impact;
- Identify funds needed to support the strategies/activities; and
- Build a budget that strategically integrates multiple resources (i.e. federal, state, and local) to support activities/strategies.

The Action Component for a reading or literacy priority for a Local Reading Improvement or Tutorial Assistance grant will reflect the improvement efforts of the school in that area, as part of a comprehensive school improvement effort focused on results for students measured by the statewide assessment system. In addition, it describes how resources are coordinated across the 19 included programs, as well as other resources, to meet that improvement goal. The Reading Excellence Action Component will become part of the school's action plan in its 2000-2002 consolidated plan.

⇒ **Implementation and Impact Check**

As part of the consolidated planning process, schools and districts use the Implementation and Impact Check to assess progress in meeting identified goals and objectives and to determine if these goals and objectives are producing the improvements in teaching and learning expected. Schools and districts determine how and when they will use this continuous evaluation tool during the year. Districts submit the Implementation/Impact Check and a new year budget electronically at the end of the year (e.g. June 2001), reflecting only those

changes needed. Schools receiving an Reading Excellence grant will submit an end-of-year Implementation/Impact Check with the second-year budget.

### **Coordination of Literacy and Literacy-Related Programs**

As noted earlier, Kentucky elementary schools experienced considerable excitement as well as confusion and stress in 1998-99 with the varying state and federal grant opportunities that became available at different times during the year. Each of these funding opportunities required a review of the new 1998-2000 school consolidated plan as well as different applications, time lines, requirements and conditions. Few districts and fewer schools in Kentucky are staffed with experienced grant writers, available to seek and prepare multiple competitive applications. Fall 1999 could be similar, with at least 5 interrelated literacy applications to be released, as well as others (e.g. ESS Innovative):

(1) <b>Early Reading Incentive Grant</b>	(FY 2001: July 1, 2000-September 30, 2002)
(2) <b>Local Reading Improvement Grant</b>	(FY 2001: July 1, 2000-June 30, 2002)
(3) <b>Tutorial Assistance Grant</b>	(FY 2001: July 1, 2000-June 30, 2002)
(4) <b>Even Start Family Literacy</b>	(FY 2001: July 1, 2000-June 30, 2004)
(5) <b>PACE Family Independence</b>	(FY 2001: July 1, 2000-June 30, 2001)

Consequently, as outlined in the timelines in Section C, the Kentucky Reading Excellence plan includes a coordinated release of information about the literacy grant opportunities as well as professional development opportunities that emphasize research-based practices and performance indicators common across the programs, rather than separate training for each, other than on the specific application format. The Departments of Education and Adult Education and Literacy (DAEL) have already coordinated joint staff training and professional development and have agreed to coordinate release of applications and selection of Even Start and PACE family literacy grantees for 2000-2001. A similar process will coordinate the Early Reading and Reading Excellence grant applications, at the same time as the family literacy grants:

- A preliminary training session for the regional literacy support teams;
- A joint STAR Channel broadcast regarding all five applications, emphasizing the key elements needed to determine which grant program(s) the participant is interested in (October-November);
- Common professional development in research-based reading assessment and instructional programs and practices for elementary students;
- Common professional development in delivering family literacy services meeting Kentucky Family Literacy Performance Indicators, based on the federal standards in the Reading Excellence Act, the Head Start Act and the Adult Education and Family Literacy Act;
- Short application-specific technical assistance sessions;
- Common review processes and coordinated selection of sites;
- Common ongoing professional development for recipients.

The required draft Reading Excellence applications (Local Reading Improvement and Tutorial Assistance) are discussed in Section C and appear in Appendix 4 and 5 respectively, with scoring rubrics.

### **Community Engagement**

As part of the community literacy partnerships, the Department of Libraries and Archives (administered through the chairperson of the Kentucky Literacy Partnership) and community civic and literacy groups will work with elementary schools with Early Reading or Local Reading Improvement grants to supply or otherwise assure **access to engaging reading materials**. A number of the first Early Reading grant schools used such groups and materials as part of the match requirements for the state grant.

106 of the 118 public (county) libraries in Kentucky have summer reading programs including children 3-12 years with some programs beginning to focus on adults/parents as well. A particular area of interest is the School-Public Library Partnership grants, now in the fourth year and funded under the Library Services and Technology Act. In addition, public libraries have made special links with Migrant Programs, and provide specially arranged Book Mobile services.

### **Parent and Family Engagement**

Supporting parents and families in their role as their child's first teacher is critical. One aspect of the local Reading Excellence project is the required family literacy component. "**Family Literacy**" is not simply helping parents read to their children or take them to the library, but rather is an intensive model defined across federal programs (Reading Excellence, Even Start, Head Start, Adult Education and Family Literacy) to include:

- interactive literacy activities between parents and their children;
- training for parents on how to be the primary teacher for their children and full partners in the education of their children;
- parent literacy training that leads to economic self-sufficiency;
- age-appropriate education to prepare children for success in school and life experiences.

Kentucky has already developed "Kentucky Family Literacy Performance Indicators" (Appendix 7) which will be used in all Even Start and PACE projects, effective 1999-2000. Because of Kentucky's history with family literacy, there are a number of other family literacy programs funded through state, local and business sources, as well as Migrant Even Start. These programs, as well as the new TANF Family Literacy programs, form a base for expanding high quality services to support and engage parents in their child's education.

A second area of parent and family engagement is to involve all parents in their child's school program, not just those enrolled in family literacy. Local Reading Excellence projects will be required to adopt and use **A Compact for Reading** (Partnership for Family Involvement in Education, Revised 1999) or another comparable alternative.

The Compact for Reading is a written agreement among families, principals, teachers and students that describes how each partner can help improve the reading and other language arts skills of primary age children, including those with disabilities and with limited English proficiency. Tutors and other community members can also be partners.

The Compact for Reading is supported by the *School-Home Links Reading Kit* (1999) for primary age students, with activities at each age level. A particular advantage of using the Compact for Reading Initiative materials is that the research team of the Collaborative Center for Literacy Development (SB 186) and the National Center for Family Literacy are part of the national team for evaluation of the Compact for Reading, and there will already be some research sites in Kentucky through that effort.

As noted elsewhere, parent and family involvement will be encouraged in the following ways as part of the Kentucky Reading Excellence plan:

- Through public awareness efforts by the Kentucky Literacy Partnership and the state-level parent groups represented on it (Commonwealth Institute for Parents; KY PTA);
- Through public awareness efforts at the local level by the community literacy partnerships;
- As school council members participating in decisions about curriculum and research-based models and programs to be used at their child's school;
- As participants in family literacy programs;
- As volunteers trained individually or collectively in research-based practices for tutorial and other literacy-enhancing programs
- As family members participating in community, public library and school library programs that provide access to engaging reading materials for children and families; and
- As parents who support their child's daily interaction with books and other print materials through the Compact for Reading or other alternative.

#### **COMPONENT #5: RIGOROUS EVALUATION**

The Kentucky Reading Excellence plan calls for a rigorous review of the activities and their impact on student learning and teacher practice related to reading. The evaluation and research design is described in Section 7.

### **SECTION C: QUALITY OF PROJECT SERVICES**

The Kentucky Department of Education is committed to the goal of building local capacity to provide, improve and expand services so that all children, particularly those eligible for Reading Excellence services, will read independently and well by fourth grade. The following project activities and services will enable this goal to be met:

- Local Application and Services Description
- Equal Access and Treatment

- Selection of Quality Local Applications
- State-Level Administration
- Professional Development and Technical Assistance
- Work Plan

### **Local Applications and Service Descriptions: DRAFT**

Kentucky is requesting a total of \$7.5 million in Reading Excellence Funds for the three-year period, 1999-2002. 95% of the funds will be used to fund competitive awards to eligible local school districts for the following activities coordinated through the local School/District Consolidated Plan (2000-2002):

- Professional development in comprehensive reading instruction for all teachers at an elementary school, as well as for other instructional staff, including volunteers and tutors, parents and early childhood providers;
- Intervention programs for kindergartners as well as other primary age children experiencing difficulty with early literacy skills;
- Family literacy involving young children and their parents; and
- Tutoring and extended learning opportunities for preschoolers about to enter primary school and primary students experiencing difficulty in reading, including those who might otherwise be referred for exceptional child services.

***Local Grant Eligibility and Opportunities.*** To compete for a local grant, districts must meet one of the following eligibility requirements: having the highest or second highest percentages of poverty in the state; having the highest or second highest number of poor children in the state; or having schools in Title I school improvement status. Local applicants are expected to have a community partner(s) in the grant, or will be expected to explain why this is not feasible. Partners might include: the public library, a local literacy council, a community early childhood program not administered by the school (Head Start, other), adult education providers, independent tutorial services, or others. Family Resource Centers will be partners as well, but the FRYSC is part of the school district in Kentucky, as are prekindergarten and extended school programs.

Two types of competitive local grants will be available, with activities focused on one or more eligible elementary schools in the district.

- (1) ***Local Reading Improvement Grants*** will allow districts with a community partner (library, literacy council, early childhood program, adult education, etc.) to assist specific schools around a comprehensive, schoolwide program of reading instruction based on scientifically based reading research. The four activities listed above (professional development, early intervention; family literacy; and tutoring) will include coordination of resources across reading, library and literacy services as well as promotion of reading and public and school library programs that provide access to engaging materials and activities.

- (2) **Tutorial Assistance** grants will allow at least one district meeting the above eligibility requirements or located in an empowerment zone or enterprise community to develop and offer parents a pilot system for choosing among school-based or a contracted after-school tutoring program(s) that use research-based instructional methods to help students having difficulty with reading.

**THE KENTUCKY DEPARTMENT OF EDUCATION ASSURES THAT EACH LOCAL EDUCATIONAL AGENCY RECEIVING A READING EXCELLENCE GRANT:**

- (1) Will provide professional development for the classroom teachers and other appropriate instructional staff on the teaching of reading based on scientifically based reading research;
- (2) Will provide family literacy services based on programs such as the Even Start family literacy model to enable parents to be their child's first and most important teachers;
- (3) Will carry out programs to assist those kindergarten students who are not ready for the transition to first grade, particularly students experiencing difficulty with reading skills; and
- (4) Will use supervised individuals (including tutors) who have been appropriately trained using scientifically based reading research, to provide additional support, before school, after school, on weekends, during non-instructional periods of the school day, or during the summer, for children preparing to enter kindergarten and students in the primary program (K-Grade 3) who are experiencing difficulty reading.

***Local Reading Improvement Application.*** The application used by schools to request funds from Kentucky's Early Reading Incentive Grant program will be modified to meet the additional criteria required for Reading Excellence Local Reading Improvement grants. (Refer to Appendix 4 for the draft Local Reading Improvement application.) Specifically, a district-level support plan section will be added to the Early Reading school application to address district-level issues and services. In addition, the school-level plan will be extended to address the reading program for all children, not just those targeted for Early Reading intervention. Areas to address more completely for Reading Excellence purposes include:

- family literacy
- extensions of the current interventions to specifically include kindergarten transition and extended learning opportunities by trained volunteers, tutors or parents
- specific parent engagement activities
- specific coordination to school and public libraries,
- total faculty professional development (K-6), including all instructional support personnel, and
- information made available to parents regarding the professional qualifications of the classroom teacher in providing reading instruction.

***Tutorial Assistance Application.*** The application used by the Extended School Services (ESS) program for its Innovative Grants will be modified to address the requirements of the Reading Excellence Tutorial Assistance application. (Refer to Appendix 5 for the draft Tutorial Assistance application.) The ESS program, which provides after-school, before-school, and/or summer instruction to students at risk of

falling behind in school, is described more fully on page 10. The Tutorial Assistance grant application will address procedures and criteria for developing a pilot system to allow parents to select a research-based tutorial program from an independent provider or school-based program. The application will assure that the tutorial services:

- are research-based, of high quality and link to the general reading program in the school for programmatic continuity and
- are administered with effective oversight.

### **Equal Access and Treatment**

**Local Services.** In the provision of project services, both in state administration and local delivery, eligible participants who are members of groups that have been traditionally underrepresented based on race, color, national origin, gender, age or disability will have equal access and treatment in Reading Excellence activities. Local applications for funding will include an assurance and description of activities that support equal access and treatment at the local level. **These activities address the provisions of the General Education Provisions Act (GEPA) - Equitable Access and Participation.**

**Suspected or Identified Disabilities.** Both Local Reading Improvement and Tutorial Assistance applications will contain assurances that instruction in reading will be provided to children with reading difficulties who:

- (1) Are at risk of being referred to special education based on these difficulties; or
- (2) Have been evaluated for special education (Exceptional Child) services but have not identified as being a child with a disability according to state and federal regulations.

In addition, children with identified disabilities and their teachers and parents will participate in general curriculum activities (assessment, instruction, professional development and other training), as appropriate to the Individual Education Program. Strengthening inclusion of students with disabilities in all areas of general curriculum is a key goal in the new **Kentucky State Improvement Grant (SIG)** funded under IDEA. Reading Excellence grants will promote this inclusion.

**English As a Second Language** In response to Kentucky's rapidly expanding elementary population with limited English proficiency, both local applications must either:

- (1) Demonstrate strategies that address ESL needs in family literacy for the child and parent with limited English proficiency (such as the provision of materials in the native languages of non or limited English proficient parents and family members, or the provision of an interpreter during school conferences or home visits) or
- (2) Must contain an assurance that these needs will be met.

***Traditionally Underrepresented Groups.*** Both Local Reading Improvement and Tutorial Assistance applications will contain assurances that groups that have been traditionally underrepresented (based on **race, color, national origin, gender, age or disability**) will have equal access and treatment in all services provided through the grant. In addition, special effort will be made to identify and address needs of children from ***Migrant*** families.

***State-Level Supporting Activities.*** In support of local services, activities conducted by the Kentucky Department of Education will allow equal access and treatment for all participants by such strategies as: interpreter services for non-English-speaking and deaf professionals and parents, large print or Braille editions of materials; meeting room locations which are physically accessible. A particular area will be to strengthen efforts for translators and translation of letters and other documents for families with limited English proficiency. The Department has a strong commitment to and record of employment of minorities and has a policy of diversity representation on all working groups (e.g. Early Reading Steering Committee, Kentucky Literacy Partnership).

### **Selection of Quality Applications: Criteria and Process**

Attached with the draft application for each application in Appendixes 4 and 5 is other proposed public release information:

- the request for proposal (RFP) notice,
- criteria for review (standards and rubric for evaluating applications);
- review process and time lines, and
- submission procedures.

All Kentucky literacy applications will have the above information, including criteria for review, released publicly along with the application. In addition, guidance materials will be developed and will include information from the ***Guidance for State Applications***, particularly the definitions of reading, scientifically based reading research, allowable activities under the Reading Excellence program, and the ***Continuum of Evidence of Effectiveness***.

Since the Kentucky Reading Excellence plan includes a coordinated release of different literacy applications, the guidance materials will reflect that the Reading Excellence standards or materials will be adopted for the other programs or will clearly outline the differing nature of the requirements. For example, the ***Continuum of Program Effectiveness*** is a tool which can be used to evaluate research-based practices and programs for the state Early Reading Incentive Grant program as well. It will be presented as common across all programs. However, the selection criteria and scoring rubrics for the state Early Reading Incentive Grant program and the federal Local Reading Improvement grant program will have some similar parts but will differ since some required services are different (e.g. family literacy is not required as part of the state Early Reading program). The chart comparing these two programs in Section B outlines some of these key similarities and differences.

**Development of Selection Criteria and Process.** In the Early Reading Incentive Grant program, the content of the RFP and application criteria (points, scoring rubric) are reviewed and approved by the Early Reading Steering Committee prior to public release with the application materials. As described in Section B regarding the Kentucky Literacy Partnership, the Early Reading Steering Committee will have this same advisory role relative to the federal Local Reading Improvement and Tutorial Assistance applications. Review and approval by the Steering Committee will occur prior to release of applications in fall 1999.

The Steering Committee also provides guidance on the qualifications and recruitment of reviewers for applications. By regulation, Early Reading applications are read by a panel of persons knowledgeable of reading and the *Kentucky Program of Studies* and include primary teachers. The local Reading Excellence applications will be reviewed by similarly composed panels, using the same process but with different scoring rubrics.

**Project Selection.** Once applications have received a score from the independent review panels, the Early Reading Steering Committee will make recommendations for selection. The regulation for the state Early Reading program expressly authorizes the Steering Committee to consider geographic distribution, after consideration of the qualitative review. In selecting the initial round of state grants in March 1999, the Steering Committee assured that high-scoring (high quality) projects were funded across the state in both rural and urban areas. This same process will be used with the Reading Excellence grants to assure that, **to the extent practicable, Reading Excellence grants will be distributed in both rural and urban areas.**

### **State-Level Administration**

**Literacy Coordinator.** The Kentucky Department of Education (KDE) will incorporate recommendations from the *Kentucky Literacy Partnership* and will utilize existing structures and initiatives to deliver long-term, intensive support to local Reading Excellence applicants and recipients. As described in Section E in the management plan, KDE will have a Literacy Coordinator who will facilitate and coordinate KDE literacy initiatives, provide staff support for the Kentucky Literacy Partnership and the Early Reading Steering Committee, and coordinate oversight to the state Early Reading Incentive Grants and the federal Reading Excellence grants. The proposed literacy coordinator has been the language arts consultant in the Division of Curriculum who has coordinated the development of core content and assessment in for Kentucky and has been the literacy specialist for the Early Reading Incentive Grant program.

Funds from several programs (state Early Reading and Primary) will be combined with Reading Excellence resources to support a full-time Literacy Coordinator. The position will be managed in the Division of Extended Learning, which currently administers preschool and primary programs, Even Start, the Early Reading Incentive Grant Program and Extended School Services (ESS) programs, all of which relate to the Reading Excellence Act.

**Implementation Objectives.** The following are the objectives for state level activities in support of local Reading Excellence services:

**Year One (1999-2000) Focus**

- To train regional literacy support teams in how to assist schools in designing and implementing a comprehensive, research-based reading and literacy program which includes intervention for students having difficulty learning to read.
- To provide schools with information about literacy grant opportunities.
- To provide schools with information about research-based programs, models, and strategies related to reading and literacy.
- To establish the Kentucky Literacy Partnership and supporting activities for selection of local Reading Excellence grants

**Year Two (2000-2001) Focus**

- To initiate the program evaluation
- To assist schools in the effective use of volunteers, paraprofessionals, and parents as reading tutors.
- To assist schools in the initiation of quality family literacy services
- To expand Early Reading Cadres.
- To implement a reading and literacy mentoring program.
- To develop technology support and assistance to the literacy programs, including:
  - Establishing and maintaining listservs and chat rooms;
  - Developing web site linkages

**Year Three (2001-2002) Focus**

- To continue the above activities
- To assist in developing the state plan for literacy
- To complete the program evaluation activities
- To develop a Resource CD-ROM that includes:
  - Information about and demonstrations of effective, research-based reading strategies and programs being implemented by cadre partners.
  - Links to web sites with valid research related to reading readiness, research-based reading programs and strategies, and other relevant web sites.
  - Demonstrations of and practice in ways to use technology to develop and enhance reading readiness and reading skills (e.g. effective software programs and ideas and lessons using the digital camera, Web Quest, PowerPoint, and other technology tools). The production and distribution of the CD-Rom will require collaboration among partners in the use of both fiscal and human resources. However, since it will be distributed to all elementary schools in Kentucky, it is likely to have impact in improving overall reading instruction statewide. If resources are available, the CD-Rom will be adapted and made available as a Parent Reading Resource for use by schools, libraries, family literacy programs as well as by parents.

**Notification of Reading Excellence Grant Opportunities.** During May 1999, KDE will notify eligible schools of submission of the state application for Reading Excellence Act funds and will make them aware of upcoming events, training sessions, and resources that could assist them in planning and preparing a local Reading Excellence

application (Local Reading Improvement and Tutorial Assistance). Information will be disseminated through:

- Regional Service Center Title I Accelerated Learning Consultants, Primary Consultants, and other appropriate RSC staff
- Kentucky Department of Education's web page
- Kentucky Department of Education's electronic mail Tip Back service
- Kentucky Department of Education newsletters (elementary principals, preschool coordinators, etc.)
- Kentucky University partners through the Collaborative Center for Literacy publications and electronic communication systems
- Professional organizations newsletters and electronic communication systems including the Kentucky Reading Association (KRA) and the Kentucky Council of Teachers of English and Language Arts (KCTE/LA)

Eligible schools will be made aware of:

- Title II Eisenhower Kentucky 3D Reading Initiative regional summer workshops related to the Delivery of reading programs.
- Materials and resources developed through the Title II Eisenhower Kentucky 3D Reading Initiative project.
- Training, materials, and assistance available through the Collaborative Center for Literacy Development.
- Sites, models and resources available through the Early Reading Grant Program.
- Training, assistance, and resources available through the United States Region 5 Comprehensive Assistance Center.
- Web resources related to research-based reading programs, strategies, and materials.

In August 1999, the updated Consolidated Planning Guidebook for 2000-2002 will be released, starting the planning year for the next cycle. Fall 1999 is the time when schools review their needs assessment data. New CATS results from Spring 1999 are scheduled to be released September 15, 1999. As a result, by early October, schools will be involved in reviewing current school data for any appropriate changes in needs analysis and consequent priorities or strategies. (In the Consolidated Planning process, district needs assessment is built on the priorities established by the schools, so does not occur until later in the year when the preliminary school plans are received.)

During September 1999, KDE will notify all eligible schools of the availability of funds through Reading Excellence (Local Reading Improvement and Tutorial Assistance) and will provide the date of the STAR Channel Broadcast related to literacy planned for October or November. Notification will be coordinated across the literacy grants (Early Reading, Reading Excellence, Even Start, PACE) and will be made through such sources as:

- A press release prepared and distributed statewide by the KDE Office of Communications.
- A posting on the KDE web homepage.
- Information will be made available through various contact newsletters (school councils, elementary principals, preschool administrators, etc.)
- Direct school contact made by RSC Title I Accelerated Learning Consultants.

At this time eligible schools will be advised that they are required by the Reading Excellence Act legislation to notify parents and tutorial service providers of these funding opportunities before the end of November 1999.

### **Professional Development and Technical Assistance**

***Supports for the Local Application Process.*** Professional development activities to assist schools in planning and preparing a Reading Excellence (Local Reading Improvement, Tutorial Assistance) application will be coordinated with other literacy grant initiatives such as Early Reading Incentive, Even Start, and PACE. Five major events are planned.

(1) **Preliminary Training for Regional Literacy Support Teams.** In September 1999, KDE will provide a two-day training for members of its regional professional development networks to prepare them to assist schools in selecting and coordinating literacy grant initiatives based on school needs and the application requirements of each program. The regional literacy support teams were described in Section B. In addition to specific information for each of the five applications (Local Reading Improvement, Tutorial Assistance, Early Reading Incentive, Even Start, and PACE), training will include information related to:

- Valid research-based programs and strategies.
- Components of a comprehensive reading and literacy program.
- Methods to determine what literacy program meets specific school needs.
- Coordination and leveraging of resources that support literacy program.
- Consolidated planning as it relates to literacy and literacy resources.

(2) **Joint Literacy Opportunities Broadcast.** A STAR Channel broadcast is planned for October or November 1999 to describe the five literacy application opportunities. The focus of this broadcast will be to provide schools with information about each of the grants so that they can determine:

- If they are eligible to apply for a particular grant;
- Which grant is best suited to their unique needs;
- If other funding opportunities are available that support literacy (e.g., Extended School Services Innovative, Title I Comprehensive School Reform Demonstration, or 21<sup>st</sup> Century Community Learning Centers); and
- The types of training and technical assistance available to assist them in planning and preparing their applications.

(3) **Research-Based Practices and Programs.** Between November 1999 and January 2000, a six-hour training is planned in each of the state's eight regional service center areas specific to Local Reading Improvement and Early Reading Incentive applications. The training will focus on current scientifically based research related to reading, research-based programs and models, the ***Continuum of Evidence of Effectiveness***, and providers of services and training related to reading tutoring and family literacy. Follow-up support will be coordinated with the Title II 3D Reading Initiative and the Collaborative Center. **In order to submit an application, schools**

**will be required to participate, at their own expense and time, in this training as a demonstration of commitment to improving the quality of the local reading and literacy program.**

(4) **Family Literacy.** An additional six-hour awareness training will be offered for schools not currently operating a family literacy program. Based upon need, it will be repeated two to four times throughout the state. Training will be provided by the Kentucky Family Literacy training team certified by the National Center for Family Literacy.

(5) **Application.** A two-hour regional training will be offered by the Literacy Coordinator with support from the regional literacy support team specific to preparation of the Local Reading Improvement and Tutorial Assistance applications. The number of training sessions will be determined by request.

***On-Going Support to Grant Recipients.*** Through the Kentucky Literacy Partnership and the regional literacy support teams, networks involving the five literacy grant recipients and their partners will be established. These networks will provide on-going assistance to schools, enhance local capacity and skills related to literacy and build local support coordinated school and community literacy program.

On-going professional development opportunities will include:

- ♦ **Family Literacy Staff Orientation.** A two-day staff orientation for new family literacy programs funded through the five literacy partnership grants (Early Reading Incentive, Local Reading Improvement, Tutorial Assistance, PACE, and Even Start). This training will be jointly provided by the Kentucky Department of Education (KDE) and the Department of Adult Education and Literacy (DAEL) and delivered either through regional on-site or interactive KTLN sessions. It will provide information about:
  - Family literacy program delivery, administration, review, and evaluation procedures.
  - Composition, purposes, and functions of the Kentucky Literacy Partnership.
  - Purpose of and participation the Early Reading Model Cadres.
  - Ideas in how to engage school and public libraries as reading partners.
  - Services, funds, or professional development opportunities available through the Collaborative Center, KDE, and other state and federal initiatives. This may include the Kentucky Reading Project, training sessions available through the eight state universities, the Title II Kentucky 3D Reading Leaders program, and others as identified.
- ♦ **Family Literacy Implementation.** An intensive five-day training in the implementation of an effective family literacy project for schools that have not operated a family literacy program. The Kentucky Family Literacy Training Team will conduct this training. The Kentucky Family Literacy team is comprised of members who have been trained by the National Center for Family Literacy.
- ♦ **Effective Use of Volunteers and Tutors.** A one-day program to assist schools in the effective use of volunteers and reading tutors in programs funded by any

of the literacy partnership grants. Training will be conducted by providers available through such sources as America/ Kentucky Reads and the Volunteer Talent Center. (See Section B page 31)

- ♦ **Volunteer/Tutor Resources.** With assistance from the community literacy partnerships, KDE will provide regional information about volunteer and tutor training programs and about reading volunteers and tutors trained through America Reads initiatives on its KDE Literacy web site as well as the locations of other resources and materials to assist tutors as they work within the schools.
- ♦ **Mentoring/Coaching.** A mentoring program that allows schools to visit and partner with other sites with a reading and literacy program. In addition to the twenty-four early literacy training and demonstration sites through the Collaborative Center (3 per each of the eight universities), participants will include reading and literacy programs established from the Early Reading Incentive grants as well as from other programs such as Title I CSR. Directors of Even Start programs will coach new family literacy sites and will help identify other model sites in their region.
- ♦ **On-site Training and Technical assistance.** Support through the regional literacy support teams (professional development networks). These networks consist of the primary, language arts, and accelerated learning Regional Service Center consultants, the Collaborative Center for Literacy Development and university representatives, Department for Adult Education and Literacy professional development consultants, and highly skilled educators.
- ♦ **Early Reading Cadres.** Cadres for teacher study, research, and support. Cadres will be established by (1) reading model and by (2) program delivery type (e.g. family literacy; volunteer/tutorial). The cadres will be open to other schools with programs funded through other sources such as Extended School Services, Title I, Title II, Title VI, Goals 2000, 21<sup>st</sup> Century Learning Centers, or other funds. The Early Reading Cadres will be connected electronically through listservs. Tapped In, and linkage to web site resources and will participate in the literacy mentoring program.
- ♦ **Reading Leaders.** Local, regional, and statewide support and resources from the Title II Kentucky 3D Reading Initiative. Through this program over 900 Reading Leaders have been trained in research-based reading programs and instructional strategies. The Kentucky 3D Reading Initiative provides a monthly electronic newsletter and has established a reading listserv.

**Use of Technology.** As described more fully in Section B, the following technological delivery methods will be used in supporting technical assistance and professional development related to Reading Excellence activities:

- KET (educational television broadcast and STAR Channel)
- KTLN (video conferencing)

- Internet (website)
- WebQuests
- Electronic Communications (listserv, electronic mail Tip Back system)
- Tapped In (On-Line Teacher Professional Development Network)

**PROJECT WORK PLAN**

May 1999	Kentucky Department of Education (KDE) will have notified eligible schools of submission of the state application for Reading Excellence Act funds.
July 1999	Kentucky Literacy Partnership will have convened for first time.
August 1999	Kentucky Department of Education Literacy Coordinator and support staff person will have been hired
September 1999	Training for regional professional development networks in how to assist schools in designing a reading and literacy program and in how to secure funding to implement the program will be provided.
October-November 1999	KDE will notify eligible districts through a STAR Channel broadcast of availability of funds to support reading and literacy programs.  Eligible schools will notify parents and tutorial service providers of the subgrant opportunities.
November – December 1999 – January 2000	Six-hour regional training sessions for applicants for Reading Excellence and Early Reading Incentive grants regarding current research, research-based programs, models, and strategies will be provided.  Six-hour awareness training on family literacy for schools not already operating a family literacy program will be provided.  Two-hour technical assistance sessions in preparation of Local Reading Improvement and Tutorial Assistance applications will be offered.  Follow-up to the two six-hour regional training sessions will be offered through the Kentucky 3D Reading Program and the Collaborative Center.
March 1 2000	Local Reading Improvement and Tutorial Assistance applications will be submitted.
April 1 2000	Early Reading Steering Committee will make funding recommendations for Local Reading Improvement and Tutorial Assistance grants.

April 15 2000	Award notifications will be made so projects can become part of the district and school consolidated plan. Process for release of funds to districts will begin.
May 1 2000	Literacy Project Orientation Meeting for Early Reading Incentive, Local Reading Improvement, Tutorial Assistance, PACE, and Even Start grants will occur.  Early Reading Cadres will be revised and expanded.
September – December 2000	Two-Day Orientation for New Family Literacy Program Staff will occur.  Five-Day Family Literacy Training will be provided.  One-day Volunteer and Tutor training will be offered.  Mentoring program will be established and operational.
January – June 2001	Listservs, Tapped In, webquests, web linkages will be established and a plan for their on-going maintenance developed.
July 2001 - June 2002	Resource CD-Rom will be developed and distributed.
June – July 2001	End of year reports/data due.
June-July 2002	Final project evaluation and other reports are due.

## Section D Adequacy of Resources

### Use of Budget

The Kentucky Reading Excellence funds will be used in the following ways:

#### TOTAL BUDGET REQUEST: \$7,500,000

State Administrative:	\$225,000	(3%)
Contracted Evaluation:	<u>150,000</u>	<u>(2%)</u>
Total Administrative:	375,000	(5%)
Tutorial Assistance Grants:	300,000	(4%)
Local Reading Improvement:	<u>6,825,000</u>	<u>(91%)</u>
Total Local Grants:	\$7,125,000	(95%)

This cost breakdown meets the following guidelines:

- No more than 5 percent of total funds for costs of state administration and evaluation;
- No more than 2 percent of total funds for evaluation and performance reporting; and
- Up to 15 percent of total funds for Tutorial Assistance Grants.

Kentucky has set aside 4 percent (4%) of the total grant for Tutorial Assistance Grants, less than the maximum allowable, because of the current and significant state funds which are already available in schools and districts through the Extended School Services (ESS) program, both ESS formula funds and ESS Innovation Grants.

### Reasonableness of Cost

In coordinating the Reading Excellence program, the Kentucky Department of Education will make significant state in-kind resources available at both the state and local level:

- **State Level Contributions:**

A major contribution will be the shared literacy coordinator position, devoted to early literacy and literacy partnerships, and the shared federal support staff person. Activities will be coordinated across the programs, for related activities:

Literacy Coordinator 0.5 FTE Reading Excellence  
0.5 FTE State funds (Early Reading, Primary)

Secretarial/Finance 0.25 FTE Reading Excellence  
0.75 FTE Federal Funds (IDEA Preschool, Even Start)

Operating costs for many of the state administration activities are funded cooperatively by coordination of activities, particularly professional development,

regional literacy teams and grant administration:

- State Early Reading
- State Primary
- State Extended School Services
- State Preschool
- State PACE
- State FRYSC
- State Curriculum/Language Arts
- State Regional Service Centers
- State Collaborative Center for Literacy Development
- Federal Even Start
- Federal Title Programs (Eisenhower, CSRD, Title 1, Goals 2000, etc.)
- Federal IDEA (Basic, Preschool, State Implementation)
- Federal Teacher Quality (Title II Higher Education Act, if funded)
- Federal Adult Education and Family Literacy

As described in Section F, evaluation activities are also coordinated and supported through other resources, as in-kind:

- State Collaborative Center for Literacy Development (Early Reading)
- State Extended School Services Statewide Evaluation
- Federal Even Start Statewide Evaluation

- **Local Level Contributions**

Local districts will use the following resources to coordinate local grant activities:

- SEEK
- ESS
- Even Start, PACE, TANF Family Literacy (if available)
- Early Reading (if funded)
- Title I
- Title II Eisenhower
- State Professional Development
- IDEA
- CSRD (if funded)
- FRYSC
- Local and county resources (PTA, Library, etc.)

The following budget analysis provides detailed figures, along with sources of significant in-kind supports for activities:

## **BUDGET SUMMARY READING EXCELLENCE ACT**

### **1. PERSONNEL**

**\$ 105,610**

Literacy Coordinator - .50 (FTE) + 5% annual increase \$ 81,965  
 Y-1 = \$ 26,000  
 Y-2 = \$ 27,300  
 Y-3 = \$ 28,665

Secretarial/Finance Officer - .25 (FTE) = 5% annual increase \$ 23,645  
 Y-1 = \$ 7,500  
 Y-2 = \$ 7,875  
 Y-3 = \$ 8,270

*In Kind:* Early Reading, Primary, IDEA, Even Start  
 (jointly funded positions)

## **2. FRINGE BENEFITS \$ 12,673**

Literacy Coordinator \$ 9,836  
 Y-1 = \$ 26,000 x 12% = \$ 3,120  
 Y-2 = \$ 27,300 x 12% = \$ 3,276  
 Y-3 = \$ 28,665 x 12% = \$ 3,440

Secretarial/Finance Officer \$ 2,837  
 Y-1 = \$ 900  
 Y-2 = \$ 945  
 Y-3 = \$ 992

*In Kind:* Early Reading, Primary, IDEA, Even Start  
 (jointly funded positions)

## **3. TRAVEL \$14,238**

Literacy Coordinator - Out-of-State \$ 3,774

Air Fare - \$ 675  
 Y1-3 Lodging - \$100 x 4 days = \$ 400 +  
 Per Diem - \$ 27/day x 4 days/yr = 108 +  
 Miscellaneous (Parking, Taxi, Baggage) = \$75  
**(Total = \$ 1,258 x 3 years = \$ 3,774)**

*In Kind:* Primary, Early Reading (in-state travel)

Literacy Partnership Meetings \$ 9,114  
 Mileage - 150 mi. x .27/mi x 25 members x 3  
 Y1-3 meetings per year = \$ 3,038/year  
**(Total = \$ 3,038/yr x 3 years = \$ 9,114)**

*In Kind:* Early Reading

Regional Literacy Support Team Training	\$ 1,350
Y 1 50 mi x .27 x 50 people x 2 days	

#### **4. EQUIPMENT** **\$ 000**

*In Kind:* Primary, ESS

#### **5. SUPPLIES** **\$ 4,700**

Y-1 Materials for Regional REA Grant Awareness Sessions	\$ 700
Y-2 5- Day Family Literacy Implementation Training	\$ 1,500
Y-2 1-Day Family Literacy Implementation Training	\$ 500
Y-2 Tutorial/Volunteer Training (5 Day)	\$ 1,500
Y-3 Tutorial/Volunteer Training (1 Day Follow-Up)	\$ 500

#### **6. CONTRACTUAL** **\$ 7,285,200**

##### **LEA Subgrants** **\$ 7,125,000**

Y1-3 Local Reading Improvement Subgrants	\$ 6,825,000
Y1-3 Tutorial Assistance	\$ 300,000
<i>In Kind:</i> Early Reading, ESS	

##### **Project Evaluation (\$ 50,000/yr x 3 years)** **\$ 150,000**

*In Kind:* Collaborative Center, ESS, Even Start, CSRD

##### **Other** **\$ 10,200**

Regional Literacy Support Team Training	
Y-1 \$ 600 day x 2 Consultants x 2 days	\$ 2,400

*In Kind:* Early Reading

Family Literacy Orientation (1-Day)

Y-2 \$ 300 per consultant x 2 consultants \$ 600

*In Kind:* Even Start, PACE

Family Literacy Implementation Training

Y-2 \$ 200 per consultant x 2 consultants x 5 days \$ 2,000

*In Kind:* Even Start, PACE

Tutorial/Volunteer Training (2 days)

Y-2 \$ 500 per consultant x 4 consultants x 2 days (not included as administration item) \$ 4,000

Tutorial/Volunteer Follow-Up Training (1 day)

Y-3 \$ 300 per consultant x 4 consultants (not included as administration item) \$ 1,200

**7. CONSTRUCTION \$ 000**

**8. OTHER \$ 46,545**

Printing/Postage \$ 3,545

*Stipends* \$10,600

REA Grant Reviewers

LRIG – \$ 250 x 18 reviewers \$ 4,500

Y-1

TAG - \$ 250 x 10 reviewers \$ 2,500

*In Kind:* Early Reading

Stipends for Development of Literacy Performance Events for Teacher Candidate Assessment System

Y-1 \$ 300 x 12 people \$ 3,600

*In Kind:* Early Reading

**Facility Rental and Refreshments \$ 4,400**

Literacy Partnership Meetings	\$ 900
Facility Rental - \$ 100 per meeting x 3 meetings = \$300	
Y1-3 per year (\$300 x 3 years - \$900)	
 Regional Literacy Support Team Training	 \$ 1,200
Y-1 Facility Rental - \$ 75/day x 4 sites x 2 days = \$ 600	
Refreshments - \$ 75 day x 4 sites x 2 days = \$ 600	
 Regional Meetings re: REA and Early Reading Incentive Subgrants	 \$ 800
Facility Rental - \$ 50 site x 8 sites = \$ 400	
Y-1 Refreshments - \$ 50 site x 8 sites = \$ 400	
 Family Literacy Staff Orientation	 \$ 400
Facility Rental - \$ 50 site x 4 sites = \$ 200	
Y-2 Refreshments - \$ 50 site x 4 sites = \$ 200	
 Family Literacy Training (5 Days)	 \$ 500
Y-2 Facility Rental - \$ 50 day x 5 days = \$250	
Refreshments - \$ 50 day x 5 days = \$ 250	
 Family Literacy Training (1 Day)	 \$ 100
Facility Rental - \$ 50 day	
Y-2 Refreshments - \$ 50 day	
 Tutorial/Volunteer Training (2 Day)	 \$ 200
Y-2 Facility Rental - \$ 50 x 2 days = \$ 100	
Refreshments - \$ 50 day x 2 days = \$ 100	
 Tutorial/Volunteer Training (1 Day)	 \$ 100
Y-3 Facility Rental - \$ 50 day	
Refreshments - \$ 50 day	
 Performance Event Development	 \$ 200
Y-1 Facility Rental - \$ 50 day x 2 days = \$ 100	
Refreshments - \$ 50 day x 2 days = \$ 100	
 <b>Support for Mentor Cadre</b>	 <b>\$ 24,500</b>
Y-3 Reimbursement for subgrantees to visit cadre sites = 35 subgrants x \$ 700	

*In Kind:* Local grantees

<b>Technology Charges</b>	<b>\$ 3,500</b>
Star Channel Broadcast	
Y-1 (includes facility, equipment, staff time) = \$ 1,500	
Regional Literacy Support Training	
Y-1 4 sites x \$50 x 5 hours x 2 days = \$ 2,000	
<b>9. TOTAL DIRECT COSTS</b>	<b>\$7,468,966</b>
(Lines 1 – 8)	
<b>10. INDIRECT COSTS</b>	<b>\$ 31,034</b>
(negotiated rate - 16% on Administrative)	
<b>11. TRAINING STIPENDS</b>	<b>\$ 000</b>
<b>12. TOTAL COSTS</b>	<b>\$ 7,500,000</b>
(Lines 9-11)	

ADMINISTRATION COST BREAK-OUT

PERSONNEL	\$ 105,610
FRINGE BENEFITS	\$ 12,673
TRAVEL	\$ 14,238
SUPPLIES	\$ 4,700
CONTRACTUAL (Other)	\$ 10,200
OTHER	\$ 46,545
INDIRECT	\$ 31,034

<b>TOTAL ADMINISTRATION</b>	<b>\$ 225,000</b>
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**Budget Summary  
Reading Excellence Act**

	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>
<b>Personnel</b>	\$ 33,500	\$ 35,175	\$ 36,935	\$ 105,610
<b>Fringe Benefits</b>	\$ 4,020	\$ 4,221	\$ 4,432	\$ 12,673
<b>Travel</b>	\$ 5,646	\$ 4,296	\$ 4,296	\$ 14,238
<b>Supplies</b>	\$ 700	\$ 3,500	\$ 500	\$ 4,700
<b>Contractual</b>	\$3,614,900	\$3,619,100	\$ 51,200	\$7,285,200
<b>Other</b>	\$ 18,100	\$ 2,545	\$ 25,900	\$ 46,545
<b>Indirect Costs</b>	\$ 10,345	\$ 10,345	\$ 10,344	\$ 31,034
<b>Total Costs</b>	<b>\$3,687,211</b>	<b>\$3,679,182</b>	<b>\$ 133,607</b>	<b>\$7,500,000</b>

## Section E

### Quality of Management Plan

The Kentucky Department of Education is committed to a management plan that coordinates activities with similar and related efforts and resources, provides for high quality services, and ensures that diverse perspectives are brought to bear.

#### **Management Plan**

**Organization.** As depicted in the Kentucky Department of Education organizational chart (Appendix 2), the Kentucky Reading Excellence plan is a coordinated effort across four offices reporting to the KDE Deputy Commissioner, Learning Support Services:

- Office of Special Instructional Services
- Office of Academic and Professional Development
- Office of Teacher Education and Certification
- Office of Supportive Learning Environments

The Office of Special Instructional Services includes the administration of most federal programs, including Improving America's Schools Act (IASA) and Individuals with Disabilities Education Act (IDEA). The Office of Academic and Professional Development administers the regional service centers and curriculum specialists (Division of Curriculum Development). The Office of Teacher Education and Certification provides staff support to the independent Education Professional Standards Board and administers teacher certification and approval of teacher preparation programs. The Office of Supportive Learning Environments includes the Divisions of Extended Learning and Minority Recruitment and Retention.

The Kentucky Reading Excellence program will be managed in ***the Division of Extended Learning***, which currently administers preschool and primary programs, Even Start, the Early Reading Incentive Grant Program and Extended School Services programs, all of which relate to the Reading Excellence Act. (The Office of Special Instructional Services already transfers administration of federal IASA Title IB Even Start and IDEA Preschool State-Share Funds to the Division of Extended Learning.) The Division of Extended Learning currently administers approximately \$80 million in state and federal grant programs. The Director of the Division of Extended Learning will serve as the project director, with the project managed by a Literacy Coordinator.

**Literacy Coordinator.** As noted in Section C, KDE will have a full-time Literacy Coordinator who will facilitate and coordinate KDE literacy initiatives, provide staff support for the Kentucky Literacy Partnership and the Early Reading Steering Committee, and coordinate oversight to the state Early Reading Incentive Grants and the federal Reading Excellence grants. The Literacy Coordinator will be housed with the Even Start Family Literacy Coordinator in the division. The job description of the Literacy Coordinator specific to Reading Excellence includes the following duties and

responsibilities:

- Provide staff support to the Kentucky Literacy Partnership through establishing communication, scheduling activities and providing resource materials;
- Coordinate application processes and selection for Local Reading Improvement and Tutorial Assistance grants;
- Develop communication procedures to notify schools and districts of availability of the grant program;
- Provide professional development on appropriate research-based reading practices to state and regional staff, local educators, parents and others;
- Provide technical assistance on grant process to state and regional staff and schools;
- Establish and monitor Early Reading Cadres, networks and electronic communication among grant recipients; and
- Serve as liaison with other divisions within the Kentucky Department of Education and with outside agencies related to literacy.

The proposed literacy coordinator has been the language arts consultant in the Division of Curriculum who has coordinated the development of core content and assessment in reading for Kentucky, developed the Eisenhower 3D Reading Leaders program, and has been the literacy specialist for the Early Reading Incentive Grant program. A resume of the proposed literacy coordinator appears in Appendix 2.

As noted in the budget (Section D), funds from several programs will be combined with Reading Excellence resources to support a full-time Literacy Coordinator and support staff. Half of the salary and fringe benefits for the Literacy Coordinator will come from Reading Excellence funds, with match from the state's Early Reading Incentive and Primary programs. The Reading Excellence grant will also support one fourth of the salary and fringe benefits of the secretary/financial specialist, with match for the remainder of a full-time position coming from the Even Start and IDEA Preschool programs.

**Operational Plan.** Activities and time lines for project activities have been provided in Section C.

### **Diversity of Perspectives**

**State Level.** At the state level, diversity of perspectives in the planning and implementation of the Kentucky's Reading Excellence plan is ensured through the membership of the **Kentucky Literacy Partnership**. In addition to geographic and ethnic diversity, the membership reflects representation from national, state and local educational programs and organizations, parents, businesses, and community groups with an interest in literacy. This coordination and collaboration is further expanded through linkages to community literacy partnerships and the cadres and networks developed through the project. In addition, the **Early Reading Excellence Grant Steering Committee** reflects higher education, teachers and the public.

**Local Level.** At the local level, the **school council** must approve all programs related to instruction, including any developed and implemented through Reading Excellence

funds. The council represents the views of teachers, administrators, parents, and students through its members as well as through the parent and community work groups and committees that support its work. In Kentucky, the parent and teacher members of school councils are elected: the faculty select the teacher representatives; parents select the parent representatives. By law, in schools with minority enrollment of over 8%, a member must be elected to the school council.

Active participation of parents, businesses, and the community is also a requirement in the development and implementation the school and district **consolidated plan**. The plan details who was involved in the planning process and how diversity will be assured as the plan is implemented. All Reading Excellence projects will become of part of the school consolidated plan and will be subject to the requirements and oversight provided for in the plan.

Through the establishment of **regional literacy support teams** and local partnerships, networks, and mentoring programs, parents, teachers, community members and a variety of disciplinary and professional fields will be involved in the project. This involvement is fully described in Sections B and C of this application but includes primary, language arts, exceptional child, and preschool consultants, Family Resource and Youth Services Center staff, institutions of higher education, and family literacy programs such as PACE and Even Start.

Finally, as described in Section 3 regarding equal access and treatment, Reading Excellence applicants must demonstrate either through project strategies or assurances that they have addressed the needs of special populations, such as ESL, migrant, and students referred for or with disability classifications.

## SECTION F

### Quality of the Project Evaluation

The Kentucky Reading Excellence plan includes two types of project evaluation activities:

- Performance Feedback and Progress
- Impact Evaluation and Research

#### **Performance Feedback and Progress**

Performance feedback and progress for the Early Reading and Reading Excellence grants will be in part through the Kentucky statewide assessment and accountability system, in conjunction with Consolidated Planning.

- **Statewide Assessment.** Each spring, all public elementary schools in Kentucky participate in CATS assessment, which includes the use of the CTBS-5 Revised in reading, language arts and math at the end of primary (3<sup>rd</sup> grade). Consequently, school results in reading at the end of 3<sup>rd</sup> grade are available each year (by mid-September) and schools are held accountable for the results.
- **Consolidated Plan.** Schools are expected to review the CATS (CTBS) results and make mid-point adjustments as needed in the Consolidated Plan. By embedding the Early Reading and the Reading Excellence grant activities into the Consolidated Plan, progress is automatically reviewed and analyzed each year, with public results. Further, the Consolidated Plan includes the Implementation/Impact Check, where the activities are regularly reviewed at the school level for progress, implementation issues and impact on student learning and teacher practice. This is a form of Management-By-Objectives for grant activities, in the context of the comprehensive school plan.

**Program Performance Reports.** Standard local reports on numbers of children served and other indicators will be part of local grant reporting requirements. (In Consolidated Planning, such data collection is referred to as “program reports” to address basic questions about what services the funds provide.) At the state level, the performance report of this type will include information on the reading programs selected across the grants and descriptive information about the grants.

A unique feature in Kentucky is that SB 186 requires a report to the Legislative Research Commission (the General Assembly) by September 1 each year regarding the Early Reading Incentive Grant program and the evaluation results from the Collaborative Center for Literacy Development on the models (reading programs). In the Early Reading regulation, the Early Reading Steering Committee advises the Kentucky Department of Education in the preparation of this report, which is presented to the Kentucky Board of Education before being submitted to the Legislative Research Commission. Linking the Reading Excellence Act grants with the Early Reading grants

will lead to high visibility of the two programs with state policy makers and legislators, in addition to federal reporting requirements.

### **Evaluation Instrument**

A critical question in all the work through Reading Excellence is whether the individual students who are beneficiaries improved in their skills across all areas of reading. While the CTBS-5 Revised noted above measures reading, it is not a comprehensive measure, and only students who are exiting the primary program are assessed on it. Consequently, tool(s) are needed that measure the reading skills of individual students throughout the primary education experience (K-3), particularly students targeted for assistance or intervention.

At this time, the specific tool(s) to be used has not been selected for Kentucky, but this decision is in process. Under SB 186, the Collaborative Center for Literacy Development is responsible for evaluation of the state Early Reading Incentive Grant Program. A research team has been established for the Collaborative Center, comprised of a number of researchers and faculty from universities in Kentucky, with outside evaluation and assistance:

Dr. Deneese Jones, Research Committee Co-Chair (University of Kentucky)  
Dr. Ellen McIntyre, Research Committee Co-Chair (University of Louisville)  
Dr. Akeel Zaheer, National Center for Family Literacy  
Dr. Edward St. John, University of Indiana

The Collaborative Center and the National Center for Family Literacy are part of the group which is conducting the evaluation of the Compact for Reading. Members of this group met on March 29, 1999 in Louisville, Kentucky to discuss and select reading assessments for Grades K, 1, 2, and 3 for the evaluation of the Compact. The meeting was sponsored by Westat, the United States Department of Education and the National Center for Family Literacy.

Through the Kentucky participants, there will be pilot sites for the evaluation of the Compact in some schools in Kentucky. Consequently, the Kentucky Reading Excellence plan proposes to use the Compact for Reading (or a comparable alternative) with all schools with Reading Excellence grants. In addition, the reading assessment instrument(s) to be used in that effort will be considered for the Early Reading Incentive Grant program as well as the Reading Excellence grants. Given the timing of this application, final decision about the tool has not been made for Kentucky by the Collaborative Center. (The Center's research committee met on May 4 and decisions are still in process.) Tools under consideration include those identified in *A Simple Guide to Reading Assessment* (1999), recently developed as an activity of the Partnership for Family Involvement in Education for the Compact for Reading.

As described below, the research design for the Early Reading Incentive Grant program is more extensive than just the reading measure and is described under impact evaluation and research. A variety of instruments and techniques will be used

to collect data. These include:

- z Benchmarking
- z Principal Interviews
- z Teacher Surveys
- z Interview Design Process for Parents, Students, and Community Members
- z Teacher Focus Groups
- z School Climate Audit
- z Observations

### **Impact Evaluation and Research**

**Contractor.** The Kentucky Reading Excellence plan proposes to use the Collaborative Center for Literacy Development as the main contractor for the Reading Excellence program. As part of SB 186, the Collaborative Center for Literacy Development (CCLD), located at the University of Kentucky, was charged with designing and implementing an evaluation of the state's Early Reading Incentive program. Since this program complements the purpose and intent of the Reading Excellence Act, the Center will evaluate the implementation of both the Early Reading Incentive and the Reading Excellence Grant Programs and will research the effectiveness of the various early reading models adopted by the schools receiving grants. This supports the linkages between the state and federal early literacy programs and enables significant state resources to contribute to the overall effort. As noted in the budget section, two percent (2%) of Reading Excellence funds (\$150,000) will be designated for evaluation.

In addition, the Kentucky Department of Education sponsors outside evaluations of the following related programs:

- **Even Start Statewide Evaluation.** The Kentucky Even Start program is in the fourth year of a statewide evaluation across all projects. The Even Start programs jointly plan, conduct and fund this with Dr. Robert Popp (Partnership for Family Education and Support, Louisville, Kentucky). This evaluation includes onsite formative evaluation and technical assistance the first year of a project, with common data collection across all sites and a longitudinal plan (yet to be funded).
- **Comprehensive School Reform Demonstration (CSRD).** The Kentucky CSRD program is initiating an evaluation of instructional strategies and their effectiveness at the school level by the Center for Research in Educational Policy at the University of Memphis in partnership with the Appalachia Education Laboratory (AEL).
- **Extended School Services.** The ESS program is in the process of developing a request for proposal (RFP) for a state-funded evaluation of the program in 1999-2000.

As each of these research efforts is developed, questions regarding Reading Excellence grants or activities will be embedded and coordinated with these other evaluations.

**Research Questions.** The Collaborative Center will employ both qualitative (descriptive, action research, and ethnographic) and quantitative (descriptive and inferential) procedures. The overall approach is pragmatic (Patton, 1990) in that the research team will employ methods that most efficiently and effectively answer the set of tentatively posed research questions. These research questions for the Early Reading Incentive Grant program are:

1. What are the “reliable, replicable, research-based models” for reading intervention chosen by grant participants for identified primary grade students reading at low levels? What do the grants reflect about current understanding and practices in early literacy instruction?
2. How did schools select the models chosen?
3. How is family involvement reflected in the grant? Extent and type of involvement; Evaluation?
4. What kind of technical assistance did grant recipients receive and what was most helpful?
5. How are schools serving the literacy needs of families? Is there change in how families are served through the grants?
6. Do teachers’ beliefs about at-risk children change as a result of the interventions? If so, how?
7. What changes in classroom practice, as perceived by teachers, occurred in schools with grants? Extent (development)? Types?
8. How did teachers implement and evaluate the models of intervention for identified primary grade students who are reading at low levels?
9. What are the reading achievement outcomes reported by the grant recipients of the “reliable, replicable, research-based models” of reading interventions chosen by teachers for identified primary grade students reading at low levels?
10. What is the effectiveness of the models selected as measured by early literacy assessment instruments commonly selected across programs?
11. What are the non-instructional variable/attributes (e.g. attendance, teacher attitudes/expertise/training) that may affect student achievement as perceived by teachers?

These questions can be adopted, adapted or extended for the Reading Excellence program.

**Proposed Timeline of Procedures**

March 1999	<p><b><i>Early Reading Incentive Grant: Evaluation/Research</i></b> Prepare, apply and secure permission from the University of Kentucky Human Studies Review Board</p> <p><b><i>Evaluation of the Compact for Reading</i></b> Meeting on Reading Assessment Instruments</p>
April 1999	<p><b><i>Early Reading Incentive Grant: Evaluation/Research</i></b> Develop surveys and interview protocols</p>
May-June 1999	<p><b><i>Compact for Reading/Early Reading Incentive Grant</i></b> Selection of Reading Assessments (K, 1,2,3)</p>
September 1999	<p><b><i>Early Reading Incentive Grant</i></b> Administer pre-tests in schools (Rounds 1 and 2; approximately 60 schools)</p>
March 2000	<p><b><i>Reading Excellence Evaluation</i></b> Adapt/adopt Early Reading assessment tools for Reading Excellence grants. Secure permission from the University of Kentucky Human Studies Review Board</p> <p><b><i>Early Reading Incentive Grant</i></b> Complete final observations in selected schools Videotape programs in selected schools</p>
May 2000	<p><b><i>Early Reading Incentive Grant</i></b> Complete post-testing of students (Rounds 1-2)</p>
June 2000	<p><b><i>Early Reading Incentive Grant</i></b> Midpoint summative evaluations due to CCLD research committee by all grant recipients</p> <p>Midpoint analysis of instruction in selected schools complete</p>
June 2000	<p><b><i>Early Reading Incentive Grant</i></b> Report of performance and preliminary evaluation progress to Early Reading Steering Committee</p>

August 2000	<p><b>Early Reading Incentive Grant</b> Report of performance and preliminary evaluation progress to Kentucky Board of Education (704 KAR 3:480) and the Kentucky Literacy Partnership</p>
by September 1 2000	<p><b>Early Reading Incentive Grant</b> Report of performance and preliminary evaluation progress to the Legislative Research Commission (Kentucky General Assembly)</p>
September 2000	<p><b>Early Reading Incentive Grants and Reading Excellence Grants</b> Administer pre-tests for selected sample schools:</p> <ul style="list-style-type: none"> <li>• new students Early Reading Rounds 1-2 (1999-2001 programs)</li> <li>• new students Early Reading Round 3 and Reading Excellence (2000-2002 programs)</li> </ul>
March 2001	<p><b>Early Reading Incentive Grants</b> Complete final observations of selected sample schools Videotape programs in selected schools</p>
May 2001	<p><b>Early Reading Incentive Grants and Reading Excellence Grants</b> Complete final testing in selected sample schools</p>
June 2001	<p><b>Early Reading Incentive Grants/Reading Excellence Grants</b> Final summative evaluations due to CCLD research committee by all grant recipients</p> <p>Analysis of instruction in selected schools completed (field notes and videotapes)</p>
July 2001	<p><b>Early Reading Incentive Grants/Reading Excellence Grants</b> Review final evaluations and data reports of grant recipients</p> <p>Early Reading Rounds 1-2: Develop final report</p> <p>Early Reading Round 3/Reading Excellence: Preliminary report</p> <p>Submit reports to Early Reading Steering Committee</p>

- August 2001                    ***Early Reading Incentive Grants/Reading Excellence Grants***  
Submit report to Kentucky Board of Education and Literacy Partnership
- by September 1 2001        ***Early Reading Incentive Grant***  
Report of performance and evaluation to the Legislative Research Commission (Kentucky General Assembly)
- September 2001 - May 2002    ***Early Reading Incentive Grants/Reading Excellence***  
Repeat of 2000-2001 activities
- September 2002                ***Reading Excellence Grants***  
Report to United States Department of Education