

DOCUMENT RESUME

ED 217 557

EA 014 688

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 TITLE Selection, Implementation, and Quality Control of a Personnel Evaluation System.
 INSTITUTION Louisiana State Dept. of Education, Baton Rouge.
 PUB DATE 20 Mar 82
 NOTE 46p.; Paper presented at the Annual Meeting of the American Educational Research Association (New York, NY, March 19-23, 1982).

EDRS PRICE MF01/PC02 Plus Postage.
 DESCRIPTORS Accountability; Check Lists; Elementary Secondary Education; Formative Evaluation; *Personnel Evaluation; *Professional Personnel; *Program Implementation; School Districts; *School Personnel; State Departments of Education; State Legislation; *State School District Relationship; State Standards
 IDENTIFIERS *Louisiana

ABSTRACT

Among the six components of Louisiana's Shared Accountability Law, passed in 1977 in response to public demands for accountability in education, is the requirement that all certified and other professional educational personnel in the state be assessed and evaluated at least once every 3 years. Each of the state's 66 local education agencies was required to develop its own uniform personnel evaluation process that included the following elements: job descriptions, statements of individual goals and objectives, evaluations of performances in light of those goals and objectives, and remediation programs for those proving deficient. The law also required the state education agency to provide guidelines for local agencies to use in developing their evaluation processes and to review local agency compliance. This document describes the guidelines and the techniques used to review compliance with them and presents the forms used in the monitoring process. (Author/PGD)

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SELECTION, IMPLEMENTATION, AND QUALITY CONTROL
OF A PERSONNEL EVALUATION SYSTEM

by

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Paper presented at the Annual Meeting
of the American Education Research
Association, New York, March 20, 1982;
Session Title: A Study of the Effec-
tiveness of the NTE for Selection of
Teachers and Appraisal of Teacher
Performance

J. KELLY NIX, State Superintendent
Louisiana Department of Education

ED217557

EA 014 688

This public document was published at a cost of \$1.36 per copy by the Louisiana Department of Education to disseminate information and to provide technical assistance to local school boards and the public under authority of LA R.S. 17:391.1-19. This material was printed in accordance with the standards for printing by state agencies established pursuant to R.S. 43:31.

Introduction

The decade of the 70's will be recorded in educational history as the era of accountability. Legislators and laymen demanded that educators be more accountable for the practices within our public school systems. In his 1970 Congressional message, President Richard M. Nixon stated that "school administrators and school teachers alike are responsible for their performance and it is in their interest as well as the interest of their pupils, that they be held accountable."

The attitude toward the educational community was changing. Reports revealed many students were failing, reading levels were three grades below the norms, and too few students were able to perform simple arithmetic. Polls were conducted and publicized that revealed a large percentage of parents thought teachers were not performing satisfactorily and schools were not operating effectively. The public demanded reforms in the educational community. Business and industry had instituted changes in management procedures, so the public believed changes were necessary in the schools. The demand was made for schools to be accountable.

The claim for accountability was that no complex and expensive equipment was necessary, merely the institution of measurement and control practices that had been in operation for years in virtually every successful business establishment. Employment of sound business principles to the inadequate methods of the educational system to produce efficiency and

effectiveness was propagated by the leaders of the accountability movement.

Thus the stage was set for the many states to enact some form of accountability legislation. The laws ranged in content from definite and explicit to broad and vague in guidelines. Some required the assessment of students, some required the evaluation of personnel, and some required analyses of cost-effectiveness. Several of the laws established multiple components. Accountability was the focus for legislators, the concern of educators, and the panacea for the public.

Background

The message from the constituency clearly revealed the need for reforms in the education community. In Louisiana, the administration of the State Education Agency (SEA) changed in 1976 and cooperated with the State Legislature to enact more than a dozen pieces of legislation which turned around the direction of education in the state.

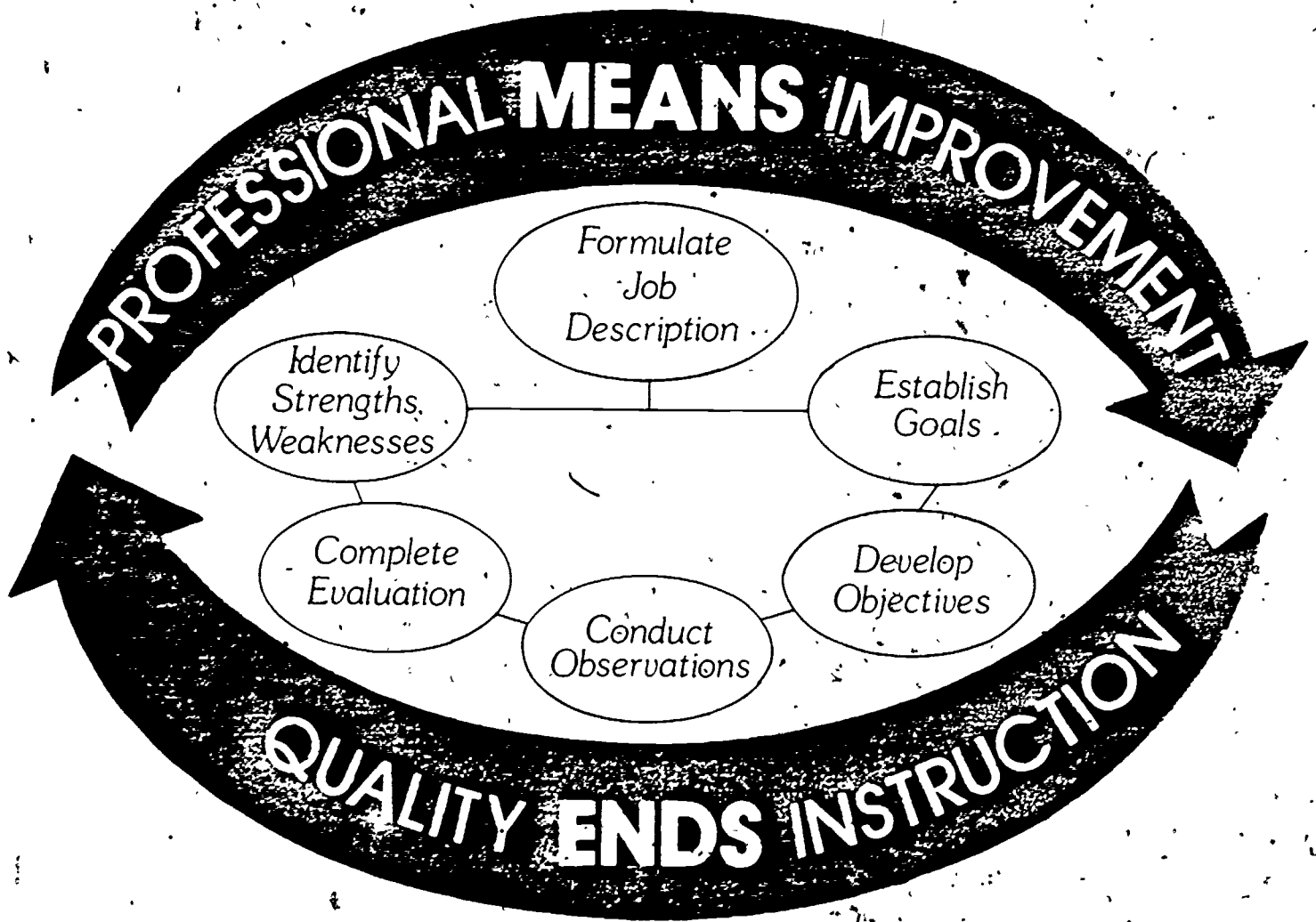
The historical role of the SEA had been that of offering technical assistance to the local education agencies (LEA's). The demand of the public sector that educational outcomes be documented, as well as the involvement of state government in educational management, required more and better planning and accounting. To satisfy the legislative mandates and to provide assurance that Louisiana afforded quality educational experiences in its academic institutions, the SEA moved from a passive to an active role.

Among the enactments was the Accountability Law, Louisiana R.S. 17:391.1-9, passed in the Regular Session, 1977. The law established six components of accountability which included the requirement of assessment and evaluation of all certified and other professional personnel--at least annually for probationary personnel and at least once every three years for permanent-status personnel. In passing this Act, the Legislature's intent was to establish within each LEA a uniform system for the assessment and evaluation of the performance of all personnel in the extension of their teaching duties.

The law required that job descriptions be developed for all personnel included in the evaluation process. The performance responsibilities on the job description served as individual goals, and the individual then established objectives to attain the goals. Standard criteria were formulated to assess the individual's performance, which included how well the goals and objectives were achieved. For those persons not performing in a satisfactory manner, remediation programs were to be prescribed to remove such noted deficiencies. Thus, a job description, individual goals and objectives, evaluation, and necessary remediation were the elements to be included in the process for personnel evaluation implemented within the 66 LEA's in Louisiana.

The law also instructed the SEA to create a Task Force comprised of representatives from the local agencies. The Statewide Task Force served in an advisory capacity to develop

A PERSONNEL



EVALUATION SYSTEM

guidelines which the LEA's used in the formulation of plans to comply with legislation. The guidelines provided structure to develop the written plan, yet extended flexibility to meet the needs, resources, and goals of the local situation.

The LEA's used the guidelines disseminated by the SEA and established procedures for the evaluation process. The process required the plan to be submitted annually to the SEA for review for a determination to be made as to its compliance or non-compliance with the legislative requirements.

Program Description

Recognizing the need for excellence in education and in order to comply with Louisiana R.S. 17:391.1-9, the State of Louisiana established a program of shared accountability in the area of personnel evaluation (Figure 1). The system of personnel evaluation, inclusive of data gathering instruments, was designed by members of the SEA personnel evaluation staff.

The Law was very thorough in establishing expected outcomes. Specifically, the products of the personnel evaluation process included:

1. Job descriptions that listed performance responsibilities;
2. Goals and objectives that established and measured achievements;
3. Written evaluations for all certified and other professional personnel;
4. Identification of individual strengths and weaknesses;
5. Prescribed remediation for those persons performing less than satisfactorily; and
6. Ample assistance to remove denoted deficiencies.

The Task Force formulated guidelines which LEA's used to institute programs deemed appropriate for addressing the

personnel who ultimately determine the educational programs in the state became involved in a process designed to identify and retain the most competent qualified persons. The procedures fulfilled the objectives of retaining competent, professional employees, embraced sound educational principles, and ensured the strengthening of the formal learning environment.

Quality Control

The humanistic process of personnel evaluation was directed toward professional growth and development of all certified and other professional personnel. Established procedures required the annual submission of the LEA's written plan to the SEA for review to determine compliance or non-compliance. A checklist was constructed to document the status of the written plan (Figure 2a-i).

The implementation of the personnel evaluation system also required the SEA to collect summary data from the LEA's and to compile the data into a Legislative Report presented annually to the Joint Legislative Committee on Education. The 1978-79 Report indicated less than 5 percent of the certified population was evaluated as less than satisfactory. The consensus of committee members in 1980 was that findings did not represent a true reflection of personnel performance. Concern was created among Legislators which resulted in the enactment of Louisiana R.S. 17:391.10 (Act 605 of the 1980 Session). The mandate required the SEA to monitor periodically all programs of educational accountability established pursuant to the provisions of

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LOUISIANA DEPARTMENT OF EDUCATION
 LEA PERSONNEL EVALUATION PROGRAM
 COMPREHENSIVE COMPLIANCE CHECKLIST
 REVISED PLANS, 1981-82

LEA _____

FIRST _____

SECOND _____

DATE RECEIVED _____

SUBMISSION _____

DATE REVIEWED _____

CONTACT PERSON _____

IN COMPLIANCE _____

SDE OFFICIAL _____

REVISIONS REQUESTED _____

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
1.0	Philosophy			
2.0	Definition of Personnel Evaluation			
3.0	Glossary of Terminology			
	Assistance Level			
	Job Description			
	Objective			
	Observation			

Figure 2a

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
	Triennially (Min.=32)			
4.0	LEA Goals/Objectives			
5.0	Committee Involvement			
6.0	Evaluation Process			
	6.1. Evaluate/Evaluator Register			
	6.2. Program Instruments Register			
	6.3. Goals/Objectives Development Process			
	6.4. Process Narrative			
	A. Observation Procedures			
	1. Who will conduct?			
	2. How often? (minimum--one observation prior to evaluation)			
	3. Advanced notification			

Figure 2b

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
	4. Required length of time			
	5. Standard form(s)			
	6. Procedures for post-observation conference			
	7. Procedures for filing copies of forms			
	8. Assistance initiated			
	B. Evaluation Procedures Annual Evaluation 0-3 years in position Triennial Evaluation 4+ years in position 1. More than one evaluator (consensus of overall rating)			
	2. How often?			
	3. Predetermined conditions			
	4. How evaluatee is informed of criteria of expected performance			

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
	4. Required length of time			
	5. Standard form(s)			
	6. Procedures for post-observation conference			
	7. Procedures for filing copies of forms			
	8. Assistance initiated			
	B. Evaluation Procedures Annual Evaluation 0-3 years in position Triennial Evaluation 4+ years in position			
	1. More than one evaluator (consensus of overall rating)			
	2. How often?			
	3. Predetermined conditions			
	4. How evaluatee is informed of criteria of expected performance			

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
	5. Form(s) utilized			
	6. Procedures for post-evaluation conference			
	7. Procedures for filing copies of forms			
	8. Assistance initiated			
	C. Due Process			
	1. Copy of results w/in 15 days			
	2. Post-evaluation conference			
	3. Individual's own written evaluation (self-evaluation)			
	4. Written response to evaluation			
	5. Informed in writing of non-satisfactory performance			
	6. Proof, by documentation, of items inaccurate, invalid, or misrepresented in evaluation			

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
	7. Ample assistance to improve			
	8. Request that evaluation be conducted by another source			
	9. Confidentiality of results			
	10. Grievance procedure follows proper line of authority			
	D. Criteria for Overall Rating			
	E. Other			
	6.5. Professional Assistance Programs			
	A. Philosophy			
	B. Types of Programs			
	C. Provisions for Multi-opportunity			
	D. Individual(s) Responsible for Designing Schedule			
	E. Action to Address Non-improvement			

Figure 2f

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
	6.6. Job Description			
	A. Categories			
	1. Administration			
	2. Instructional			
	3. Support services			
	B. Contents of Job Descriptions			
	1. Position title			
	2. Position qualifications			
	3. Reports to			
	4. Supervises			
	5. Performance responsibilities			
	6. Signature and date lines			

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
	6.7. Process Instruments (Coincides with 6.2.)			
	A. Goals/Objectives Specification Form			
	B. Personnel Observation Form(s)			
	C. Personnel Evaluation Form(s)			
	1. Standard criteria			
	2. Specific performance			
	3. Disclaimer clause			
	4. Evaluator's/evaluatee's signature and date			
	D. Professional Assistance Schedule			
	1. Space for evaluatee and evaluator names and positions			
	2. Space for level of assistance			
	3. Space for performance(s) assigned assistance			

SECTION NUMBER	SECTION TITLE	SECTION RATING		COMMENTS
		S	U	
	4. Space for description of assistance			
	5. Space for date of assistance			
	6. Space for time-plot relative to the completion of assistance			
	7. Space for follow-up comments			
7.0.	Statement of Assurance			
	A. Superintendent's Signature			
	B. School Board President's Signature			

Figure 2h

16

27

23

RECORD OF CONTACTS

DATE	METHOD OF CONTACT	CONTACT PERSON	SDE OFFICIAL	COMMENTS

Figure 21

29

30

R.S. 17:391.1-9. In accordance with the Administrative Procedures Act, the SEA developed guidelines to audit the programs formulated and submitted by the LEA's to the SEA.

The overall intent of the monitoring process was to determine:

1. Whether such programs as formulated by LEA's for the assessment of personnel performance have been implemented;
2. To what extent they have been implemented; and
3. Whether such programs comply with the provisions of shared accountability legislation.

The compliance auditing was designed to observe on a three-year cycle the process of personnel evaluation implemented within the LEA's.

The guidelines, constructed and approved by the Statewide Task Force on Personnel Assessment, included the following:

1. Introduction
2. Rationale
3. Definition of Monitoring
4. Purpose
5. Timelines
6. Glossary of Terms
7. SEA Goals and Objectives for Monitoring LEA Personnel Evaluation Programs
8. Approach
9. Procedures for Monitoring Personnel Evaluation Programs
10. Instruments
11. Legislative Report
12. LEA Monitoring Schedule
13. Revisions

The procedures coordinated the efforts of the SEA in attesting to compliance with the efforts of the LEA in formulating a written plan to comply with legislation. An SEA team conducted on-site visits in the spring of 1981 to pilot the monitoring process. Interview checklists (Figures 3, 4, 5) were

INTERVIEW CHECKLIST (LEA CONTACT PERSON)

PARISH _____	DATE _____	YES	NO
1. Do all employees have a copy of the plan? Inservice?	_____	_____	_____
2. Have LEA goals and objectives been achieved?	_____	_____	_____
3. Are all personnel listed as evaluatees under 6.1.?	_____	_____	_____
4. Are observers same as evaluators?	_____	_____	_____
5. Are evaluators same as in 6.1.?	_____	_____	_____
6. Are all instruments utilized the same as in 6.2.?	_____	_____	_____
7. Have goals and objectives been established?	_____	_____	_____
8. Are goals and objectives appropriately filed?	_____	_____	_____
9. Are observers same as in 6.4. A?	_____	_____	_____
10. Are copies of observations properly filed?	_____	_____	_____
11. Has any assistance been initiated?	_____	_____	_____
12. Do evaluations occur as scheduled?	_____	_____	_____
13. Are evaluations properly filed?	_____	_____	_____
14. Are current signatures on job descriptions?	_____	_____	_____
15. Does LEA inform personnel of criteria for overall rating?	_____	_____	_____
16. Are evaluatees informed of expected performance/conditions?	_____	_____	_____

INTERVIEW CHECKLIST (EVALUATOR)

PARISH _____ LOCATION _____
POSITION _____ DATE _____

YES NO

- 1. Have you given proper notification of criteria of expected performance? YES NO
- 2. Have predetermined conditions been met? YES NO
- 3. Have goals and objectives been established according to plan? YES NO
- 4. Are your procedures for observing according to plan? YES NO
- 5. Has any other person observed? YES NO
- 6. Are number of observations on schedule? YES NO
- 7. Are post-observation procedures according to plan? YES NO
- 8. Is assistance procedure according to plan? YES NO
- 9. Is evaluation procedure according to plan? YES NO
- 10. Have overall rating procedures been implemented? YES NO
- 11. Are post-evaluation conferences according to plan? YES NO
- 12. Have evaluations been conducted as frequently as required by the plan? YES NO

13. Check records on file:

Signed/dated job description _____ Goals and objectives _____

Observation forms _____ Evaluation forms _____

Assistance schedules _____



INTERVIEW CHECKLIST (LEA CONTACT PERSON)

DATES:

SUBMISSION OF PERSONNEL EVALUATION PLAN _____

COMPLIANCE OF PERSONNEL EVALUATION PLAN _____

SUBMISSION OF PERSONNEL EVALUATION SUMMARY REPORT _____

SIGNATURE:

(SDE Team Member)

DATE _____

developed and completed on-site and records were viewed as:

well. Areas to be checked were:

1. Dissemination of a complete personnel evaluation plan;
2. Achievement of LEA objectives;
3. Verification of listing of evaluators/observers in Subsection 6.1.;
4. Comparison of evaluator/observer signatures on instruments;
5. Verification that instruments listed in S.S. 6.2. are the same as those submitted in S.S. 6.7.;
6. Verification that all certified and other professional personnel are included in the evaluation process;
7. Verification of goals and objectives as being established by evaluatees;
8. Determination that stated procedures for developing goals and objectives have been implemented;
9. Determination that stated observation procedures have been implemented;
10. Determination that stated evaluation procedures have been implemented;
11. Verification of evaluatee's knowledge of criteria for overall rating;
12. Verification of dissemination of job descriptions; and
13. Verification of necessary professional assistance schedules.

The law specifies actions resulting from the monitoring. If, in conducting the monitoring, the SEA determines that a school system has failed to implement properly its program of personnel evaluation, the LEA is notified (Figure 6a-i) of such failure and shall correct such failure within 60 calendar days after receiving notification. If failure is not corrected within the prescribed 60 calendar days, the Superintendent of Education shall notify the State Board of Elementary and Secondary Education (BESE) of such continued failure and shall recommend to the BESE whatever sanctions against such school system are deemed appropriate. The BESE shall act upon such recommen-

PERSONNEL EVALUATION MONITORING DATA GATHERING REPORT
LOUISIANA DEPARTMENT OF EDUCATION
J. KELLY NIX, STATE SUPERINTENDENT

PERSONNEL EVALUATION MONITORING DATA GATHERING REPORT
LOUISIANA DEPARTMENT OF EDUCATION
J. KELLY NIX, STATE SUPERINTENDENT

NAME OF LEA _____
DATE OF VISIT _____
SUPERINTENDENT _____
CONTACT PERSON _____
SDE TEAM _____

CATEGORIES OF PERSONNEL INTERVIEWED:

SUPERINTENDENT _____ CLASSROOM TEACHERS _____
ASST. SUPERINTENDENT _____ PSYCHOLOGICAL STAFF _____
DIRECTORS _____ SPEECH THERAPISTS _____
SUPERVISORS _____ SOCIAL WORKERS _____
CONSULTANTS _____ GUIDANCE COUNSELORS _____
MANAGERS _____ LIBRARIANS _____
PRINCIPALS _____ AUDIO VISUAL STAFF _____
ASST. PRINCIPALS _____ OTHER PERSONNEL _____

SITES VISITED



1. Louisiana R.S. 17:391.1-10

Have completed copies of the personnel evaluation plan been provided to all employees?

YES _____ NO _____

Method of dissemination _____

COMMENT: _____

S. 4.0. LEA GOALS AND OBJECTIVES

2. Have the stated objectives been implemented according to schedule?

YES _____ NO _____

Have the completed objectives advanced the system toward the corresponding goal?

YES _____ NO _____

3. Have the LEA objectives been achieved?

YES _____ NO _____

4. Are copies of evidence on file?

YES _____ NO _____

Location of files: _____

COMMENT/EVIDENCE: _____

S.S. 6.1. EVALUATEE/EVALUATOR REGISTER

5. Are all certified and other professional personnel listed as evaluatees under S.S. 6.1.?

YES _____ NO _____

COMMENT: _____

6. Are the observers the designated evaluators according to S.S. 6.1.?

YES _____ NO _____

COMMENT: _____

7. Are the evaluators the same as the designated personnel listed under S.S. 6.1.?

YES _____ NO _____

COMMENT/EVIDENCE: _____

S.S. 6.2. PROGRAM INSTRUMENT REGISTER

8. Are the process instruments being utilized the same as those listed in S.S. 6.2.?

YES _____ NO _____

Are all process instruments listed in S.S. 6.2. being utilized in the process?

YES _____ NO _____

COMMENT/EVIDENCE: _____

S.S. 6.3. GOALS AND OBJECTIVES DEVELOPMENT PROCESS

9. Did the evaluators adhere to stated procedures for establishing goals and objectives?

YES _____ NO _____

COMMENT: _____

10. Have evaluatees completed goals and objectives specification forms?

YES _____ NO _____

COMMENT/EVIDENCE: _____

11. Did evaluatees meet specified timelines for establishing goals and objectives?

YES _____ NO _____

COMMENT/EVIDENCE: _____

12. Are the established goals and objectives for the evaluatees appropriately filed?

YES _____ NO _____

COMMENT/EVIDENCE: _____

S.S. 6.4.A OBSERVATION PROCEDURES FOR ALL PERSONNEL

13. Are the actual observers those persons as specified under S.S. 6.4.A?

YES _____ NO _____

COMMENT/EVIDENCE: _____

14. Have the required number of observations been conducted?

YES _____ NO _____

COMMENT/EVIDENCE: _____

15. If the required number of observations have not been conducted, is the observation process on schedule?

YES _____ NO _____

COMMENT/EVIDENCE: _____

16. Does LEA adhere to pre-established length of time?

YES _____ NO _____

COMMENT/EVIDENCE: _____

17. Is a post-observation conference part of the process?

YES _____ NO _____

COMMENT: _____

18. Is the required post-observation conference conducted?

YES _____ NO _____

COMMENT/EVIDENCE: _____

19. Is the post-observation conference conducted within established time period?

YES _____ NO _____

COMMENT/EVIDENCE: _____

20. Are copies of observations properly filed?

YES _____ NO _____

COMMENT/EVIDENCE: _____

21. Does LEA initiate necessary assistance following an observation?

YES _____ NO _____

COMMENT/EVIDENCE: _____

S.S. 6.4.B EVALUATION PROCEDURES FOR ALL PERSONNEL

22. Does the LEA comply with the established procedure for the assignment of an overall rating?

YES _____ NO _____

COMMENT: _____

Are evaluatees informed of procedures used?

YES _____ NO _____

COMMENT/EVIDENCE: _____

23. Does the LEA process establish specific periods for conducting evaluations?

YES _____ NO _____

COMMENT: _____

Do evaluations occur as scheduled?

YES _____ NO _____

COMMENT/EVIDENCE: _____

24. Are there predetermined conditions established by the LEA?

YES _____ NO _____

COMMENT/EVIDENCE: _____

25. Have the evaluatees been properly informed of the criteria of expected performance?

YES _____ NO _____

Method of informing evaluatees: _____

COMMENT/EVIDENCE: _____

- 26. Is a post-evaluation conference conducted? YES _____ NO _____
- Is due process practiced? YES _____ NO _____
- Is established time period followed? YES _____ NO _____
- Is evaluatee afforded an opportunity for self-evaluation? YES _____ NO _____
- Is there documentation of performance? YES _____ NO _____
- Is there written notification of unsatisfactory performance? YES _____ NO _____

COMMENT/EVIDENCE: _____

- 27. Are copies of the evaluation properly filed? YES _____ NO _____

COMMENT/EVIDENCE: _____

- 28. Are evaluatees provided a written copy of evaluation results within fifteen working days? YES _____ NO _____

COMMENT/EVIDENCE: _____

S.S. 6.5. ASSISTANCE PROGRAMS

- 29. Have necessary assistance schedules been completed? YES _____ NO _____

COMMENT/EVIDENCE: _____

30. Are assistance schedules completed by the proper authority?

YES _____ NO _____

COMMENT/EVIDENCE: _____

S.S. 6 JOB DESCRIPTIONS

31. Do LEA records reflect current signatures for receipt of job descriptions?

YES _____ NO _____

COMMENT/EVIDENCE: _____

32. (Act 621)

Was the LEA personnel evaluation plan for the current year submitted by the designated date?

YES _____ NO _____

COMMENT/EVIDENCE: _____

33. Was the LEA personnel evaluation plan determined by the SDE to be in compliance prior to the beginning of the current school year?

YES _____ NO _____

COMMENT/EVIDENCE: _____

34. Was the personnel evaluation summary report for the preceding school year submitted by the designated date?

YES _____ NO _____

COMMENT/EVIDENCE: _____

ation(s) within 60 calendar days after its receipt. Those LEA's that are reported to the BESE shall be monitored at least annually until such failure is corrected.

The 1981 pilot program tested the process of monitoring. Six LEA's were chosen on the basis of demographic variables. The on-site auditing recorded those areas where discrepancies between the written plan and the actual practice did exist. The process also attested to those areas where the written plan and the actual practice were in accord. The results indicated that the completed interview checklists and the viewing of records did assure that personnel evaluation systems within the LEA's were implemented and to what degree they had been implemented.

Summary

The dissatisfaction with educational practices expressed by segments of society caused concern among Louisiana leaders. Segments from the governmental agencies, educational institutions, and the public sector were in agreement that changes in the direction of the public schools were necessary. The Shared Accountability Law, Louisiana R.S. 17:391.1-9, was enacted in the Regular Session of the 1977 Louisiana Legislature. One of the six components of the mandate was the establishment of a uniform system for the assessment and evaluation of certified and other professional personnel in the state's public school system.

The annual summary data reported to the Joint Legislative Committee on Education in 1980 caused concern among the

legislators that the personnel evaluation system, as implemented, did not assure quality control. The 1980 Regular Session of the Louisiana Legislature amended R.S. 17:391.1-9 to include Section 10 which required the SEA to monitor periodically all accountability programs. The mechanism to provide such assurance has been piloted and is in the first year of implementation.

The success of a school is dependent on how well teachers teach. Administrators must make sure instruction is of the highest quality. Management must plan and be accountable. Louisiana, with comprehensive legislation, is a leader in being responsive to its citizens. The positive, purposeful, professional personnel evaluation system is one response.