

APPENDIX K – LEA Application



Fiscal Year 2010
January, 2011

District Level School Improvement Grant Application (LEA)

**Title I School
Improvement Grant
ESEA 1003(g)
CFDA Number 84.377A**

**TITLE PROGRAM & SERVICES
TEAM**

**APPLICATION
KANSAS STATE DEPARTMENT OF EDUCATION
SCHOOL IMPROVEMENT FUND 1003(g)
2010-2011**

PART II: DISTRICT INFORMATION

USD Name and Number	
Name and Title of District Contact for Grant Application	
Address	Telephone Number
City	Zip Code
E-mail Address	Fax
<p>Qualifications: The school(s) in the district identified as <i>in improvement, corrective action or restructuring</i> and which demonstrate the greatest need and commitment.</p> <p>Schools listed on the following page(s)</p>	
Amount Requested	

Authorized District Signature	Date
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SEA Approval/Date	Amount Awarded
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Employment/Educational Opportunity Agency

The Kansas State Department of Education does not discriminate on the basis of race, color, national origin, sex, disability, or age in its programs and activities. The following person has been designated to handle inquiries regarding the non-discrimination policies:

KSDE General Counsel
120 SE 10th Ave.
Topeka, KS 66612

785-296-3204	<p>The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application</p>
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B. DESCRIPTIVE INFORMATION: An LEA must include the following information in its application for a school improvement grant.

Step 1a: Needs Assessment -- The LEA has analyzed the needs of each school and selected an intervention for each school.

Needs Assessment Process: Describe the **needs assessment process** that the school went through before selecting the Intervention Model. Needs Assessment Resources are provided in the Kansas Improvement Notebook located at: <http://www.ksde.org/Default.aspx?tabid=4398>

Data Analysis: Write a brief summary of the school's data analysis results/findings. Include:

Achievement Data

- School Leading Indicator Report (in Appendix E of LEA Application)
- School AYP Data
- School Report Card Data

Perception Data

Contextual (school processes/ programs)

Demographic Data

Root Cause Analysis: Based on the school's data analysis results, describe the root cause(s) that support the selection of an appropriate intervention model.

Step 1b: The LEA has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA's application in order to implement, fully and effectively the required activities of the school intervention model it has selected.

Using the needs assessment results, select the Appropriate Intervention Model, elaborate on how the school utilized the School Intervention Model Selection Rubrics to choose a model. Refer to Appendix D, p. 48-79.

Model that Supports School: Describe why the model will be an appropriate fit for the school.

Using the Needs Assessment and the Selected School Intervention Model, Assess the District and School Capacity, elaborate on how the school used the Innovation Configuration Matrix (ICM) for Schools. It is located at <http://www.kansasmtss.org/resources.htm>

Strengths and Weaknesses: Discuss the **strengths and weaknesses** identified in the capacity appraisal that was done for the school using the Innovation Configuration Matrix (ICM) for Schools.

Use of Improvement Funds: Provide an explanation of the school’s capacity to use school improvement funds to provide adequate resources and related support for full and effective implementation of all required activities of the selected model.

2. If the LEA is not applying to serve each Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school. (Answer only if applicable.)

3. The LEA must describe actions it has taken, or will take, to design and implement interventions consistent with the final requirements.

Interventions Consistent with Final Requirements: Describe the actions the school will take to design and implement interventions consistent with the final requirements of the grant. (*Using the appropriate table for model selected – complete only one chart.*)

Turnaround Model Requirements: Refer to Appendix B, p. 32-35.

(Fill out this box ONLY if you are choosing the Turnaround Model.)

Write a brief narrative explaining how this school will address each of the Required Activities listed below. (Required Activities)

<p>A. Replace the principal and grant the principal sufficient operational flexibility (including staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates;</p>	
<p>B. Using locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students, 1) Screen all existing staff and rehire no more than 50 percent; and 2) Select new staff;</p>	
<p>C. Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school;</p>	
<p>D. Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies;</p>	

<p>E. Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new “turnaround office” in the LEA or SEA, hire a “turnaround leader” who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;</p>	
<p>F. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;</p>	
<p>G. Promote the continuous use of student data (such as from formative, interim, summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;</p>	
<p>H. Establish schedules and implement strategies that provide increased learning time (as defined in this notice); and</p>	
<p>I. Provide appropriate social-emotional and community-oriented services and supports for students.</p>	

Restart Model Requirements: Refer to Appendix B, p. 36-38.
(Fill out this box ONLY if you are choosing the Restart Model.)

<p><i>Write a brief narrative explaining how this school will address <u>each</u> of the Required Activities listed below. (Required Activities)</i></p>	
<p>A. The LEA creates a “rigorous review process” and examines prospective restart operator’s reform plans and strategies. The prospective operator demonstrates that its strategies are research-based and that it has the capacity to implement the strategies it is proposing.</p>	

<p>B. The LEA allows former students, within the grades it serves, to attend the schools.</p>	
<p>C. The LEA requires all former students who wish to attend the restart school to sign student or parent/student agreements covering student behavior, attendance, and other commitments related to academic performance.</p>	
<p>D. The LEA provides the operator with considerable flexibility, not only with respect to the school improvement activities it will undertake, but with respect to the type of program it will offer.</p>	
<p>E. The LEA includes accountability agreements for meeting final requirements with the operator and can terminate the contract if performance measures are not met.</p>	
<p>F. The LEA reviews and meets fee and service requirements as defined by guidance in grant.</p>	

**Closure Model Requirements: Refer to Appendix B, p. 38-39.
(Fill out this box ONLY if you are choosing the Closure Model.)**

<p><i>Write a brief narrative explaining how this school will address <u>each</u> of the Required Activities listed below. (Required Activities)</i></p>	
<p>A. Families and Communities are engaged by the LEA in the process of selecting the appropriate school improvement model. The data and reasons to support the decisions to close the school are shared with families and the school community and they have a voice in exploring quality options.</p>	

<p>B. The families and communities are allowed to help plan for a smooth transition for students and their families at the receiving schools.</p>	
<p>C. The LEA determines whether higher-achieving schools are within reasonable proximity to the closed school and whether any students are unduly inconvenienced by having to travel to the new location.</p>	
<p>D. Leadership will devise a school closure plan to address all Kansas Learning Network Correlates (Leadership, Culture and Human Capital, Curriculum and Assessment, and Professional Development). The plan would include:</p> <ul style="list-style-type: none"> ✓ Personnel placement ✓ Policy ✓ Board decisions ✓ Student Assignment ✓ Transfer of Records ✓ Transportation ✓ Resource Reassignment ✓ Transfer of equipment ✓ Building numbers ✓ Facility issues ✓ Community PR ✓ Parent Communication ✓ Special Education Issues ✓ Title I Issues ✓ Records ✓ Fiscal Services ✓ Accreditation Issues ✓ Safety and Security Considerations. ✓ Communication with state 	

**Transformation Model Requirements: Refer to Appendix B, p. 39-44.
 (Fill out this box ONLY if you are choosing the Transformation Model.)**

Write a brief narrative explaining how this school will address each of the Required Activities listed under the numbered strategies.

(1) Developing and increasing teacher and school leader effectiveness. (Required Activities)	
A. Replace the principal who led the school prior to commencement of the transformation model; (Note: USDE will accept 2 years of previous experience if the transformation has begun.)	
B. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that-- 3) Take into account data on student growth (as defined in this notice) as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduation rates; and 4) Are designed and developed with teacher and principal involvement;	
C. Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and HS graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so;	

<p>D. Provide staff ongoing, high-quality, job-embedded professional development (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies; and</p>	
<p>E. Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a transformation school.</p>	
<p>(2) Comprehensive instructional reform strategies. (Required Activities)</p>	
<p>A. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards; and</p>	
<p>B. Promote the continuous use of student data (formative, interim, summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.</p>	
<p>(3) Increasing learning time and creating community-oriented schools. (Required Activities)</p>	
<p>A. Establish schedules and strategies that provide increased learning time (as defined in this notice); and</p>	
<p>B. Provide ongoing mechanisms for family and community engagement.</p>	

(4) Providing operational flexibility and sustained support. (Required Activities)	
<p>A. Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates; and</p>	
<p>B. Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).</p>	

External Providers: Describe the actions the school will take to recruit, screen and select external providers, if applicable to ensure their quality.

Resources Aligned to Interventions: Describe how the school will align other resources with the interventions.

Practices and Policies: Explain what practices or policies, if necessary, will need to be modified to enable the school to implement the interventions fully and effectively.

Sustainability: Explain how the school will sustain the reforms after the funding period ends.

4. The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Tier I and Tier II school identified in the LEA’s application. Refer to Appendix D, p. 76-77.

Implementation Steps	SEA Timeline	LEA Timeline and Explanation
<p><u>Exploration and Adoption</u></p> <ol style="list-style-type: none"> 1. Needs Assessment using the Innovation Configuration Matrix (ICM) for Schools <ul style="list-style-type: none"> • Achievement Data <ul style="list-style-type: none"> ○ School Leading Indicator Report ○ School AYP Data ○ School Report Card Data 2. Perception Data 3. Contextual (school processes/ programs) 4. Demographic Data 5. Selection of Model <ul style="list-style-type: none"> • School Improvement Model Selection Rubrics 6. Capacity of District <ul style="list-style-type: none"> • Capacity Appraisal using Innovation Configuration Matrix (ICM) for Districts • Systemic 	<p>SEA grant application is submitted in December 2010.</p> <p>LEAs receive notification of identified Tier I, Tier II and Tier III schools in December 2010.</p> <p>SEA grant application and LEA grant application is approved in January 2011.</p> <p>LEA grant application is distributed in January 2011.</p> <p>KSDE offers technical assistance to LEAs on grant competition January through webinar.</p> <p>LEA grants due March 1, 2011.</p> <p>LEA grants evaluated and site visits April 2011.</p> <p>LEA grants awarded at KSBE meeting May 2011.</p>	

<p>Coherence and Capacity Addendum to the District Effectiveness Appraisal</p> <ul style="list-style-type: none"> • Sustainability Plan <ol style="list-style-type: none"> 7. Goal Setting 8. Completion of Stages 1 through 4 in School Improvement Process 9. LEA Application 10. LEA Presentation on Needs Assessment Results, Model Selection, Capacity Appraisal Results, and Goal Identification 11. Budget Negotiation 12. Approval of LEA Application by KSDE 		
<p><u>*Program Installation and Initial Implementation – PRE-IMPLEMENTATION</u></p> <ol style="list-style-type: none"> 1. Family and Community Engagement Meetings 2. Rigorous Review of External Providers 3. Staffing 4. Instructional Programs (remediation and enrichment programs begin) 5. Professional Development 6. Aligning Accountability Measures for Reporting <p>(*See Pre-Implementation information in SIG Guidance on School Improvement Grants, November 1, 2010, p. 75-80.)</p>	<p>Funds available to LEAs in June 2011.</p> <p>Pre-Implementation activities begin at school site in June.</p>	
<p><u>Full Operation</u></p> <ol style="list-style-type: none"> 1. Beginning of School Year – Back to school kick-off 2. Continuation of School Staff Training 3. IC’s Bi-Weekly Meetings 	<p>August 20, 2011</p>	

<p>on Fidelity of Implementation of School Improvement Plan</p> <ol style="list-style-type: none"> 4. Bi-Monthly and technical assistance monitoring by KSDE Staff 5. Student Orientation Sessions on School Changes 6. Family and Community Orientation Sessions on School Changes Continue 		
<p><u>Innovation</u></p> <ol style="list-style-type: none"> 1. Analysis of Year One Data 2. Revisions to School Improvement Plan 3. Continuation of School Staff Training 	June 2012	
<p><u>Sustainability</u></p> <ol style="list-style-type: none"> 1. Evaluation 2. Resource Alignment 3. Abandonment and Redesign 	August 2012	

5. The LEA must describe the annual goals for student achievement on the State’s assessment in both reading/language arts and mathematics that it has established in order to monitor its Tier I and Tier II schools that receive school improvement funds. Additional goals may be provided based on the root cause analysis findings.

6. For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement.

7. The LEA must describe the goals it has established (subject to approval by SEA) in order to hold accountable its Tier III schools that receive school improvement fund , if applicable.

8. As appropriate, the LEA must consult with relevant stakeholders regarding the LEA's application and implementation of school improvement models in its Tier I and Tier II schools.

C. BUDGET: An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Tier I, Tier II, and Tier III school it commits to serve. Refer to Appendix G, p. 82-85 & Appendix H, p. 86-87

The LEA must provide a budget that indicates the amount of school improvement funds the LEA will use each year to—

- Implement the selected model in each Tier I and Tier II school it commits to serve;

- Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA’s Tier I and Tier II schools; and
- Support school improvement activities, at the school or LEA level, for each Tier III school identified in the LEA’s application.
- The LEA must include a budget and budget narrative to support each line item.

Note: An LEA’s budget should cover three years of full implementation and be of sufficient size and scope to implement the selected school intervention model in each Tier I and Tier II school the LEA commits to serve. Any funding for activities during the pre-implementation period must be included in the first year of the LEA;s three-year budget plan.

An LEA’s budget for each year may not exceed the number of Tier I, Tier II, and Tier III schools it commits to serve multiplied by \$2,000,000 or no more than \$6,000,000 over three years.

Example:

LEA XX BUDGET					
	Year 1 Budget		Year 2 Budget	Year 3 Budget	Three-Year Total
	Pre-implementation	Year 1 – Full implementation			
Tier I ES #1	\$257,000	\$1,156,000	\$1,325,000	\$1,200,000	\$3,938,000
Tier I ES #2	\$125,500	\$890,500	\$846,500	\$795,000	\$2,657,500
Tier I MS #1	\$304,250	\$1,295,750	\$1,600,000	\$1,600,000	\$4,800,000
Tier II HS #1	\$530,000	\$1,470,000	\$1,960,000	\$1,775,000	\$5,735,000
LEA-level Activities	\$250,000		\$250,000	\$250,000	\$750,000
Total Budget	\$6,279,000		\$5,981,500	\$5,620,000	\$17,880,500

**KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PRE-IMPLEMENTATION DISTRICT BUDGET
FOR MAY 15, 2011 TO AUGUST 30, 2011**

Budget Categories	Amount Requested
1000 Instruction	
100 Personnel Services—Salaries	
200 Employee Benefits	
300 Purchased Professional and Technical Services	
400 Purchased Property Services	
500 Other Purchased Services	
600 Supplies and Materials	
700 Property	
2000 Support Services	
2100 Support Services—Students	
2200 Support Services—Instructional Staff	
2300 Support Services (General Administration)	
2329 Other Executive Administration Services	
2400 Support Services	
2700 Student Transportation Services	
3000 Non-Instructional Services	
3300 Community Services Operations	
3400 Student Activities	
TOTAL	\$

Provide a written explanation of each proposed expenditure on a separate page.

**KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PROJECTED DISTRICT BUDGET FOR SEPTEMBER 1, 2011 TO JUNE 30, 2012**

Year 1

Budget Categories	Amount Requested
1000 Instruction	
100 Personnel Services—Salaries	
200 Employee Benefits	
300 Purchased Professional and Technical Services	
400 Purchased Property Services	
500 Other Purchased Services	
600 Supplies and Materials	
700 Property	
2000 Support Services	
2100 Support Services—Students	
2200 Support Services—Instructional Staff	
2300 Support Services (General Administration)	
2329 Other Executive Administration Services	
2400 Support Services	
2700 Student Transportation Services	
3000 Non-Instructional Services	
3300 Community Services Operations	
3400 Student Activities	
TOTAL	\$

Provide a written explanation of each proposed expenditure on a separate page.

**KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PROJECTED DISTRICT BUDGET FOR JULY 1, 2012 TO JUNE 30, 2013
Year 2**

Budget Categories	Amount Requested
1000 Instruction	
100 Personnel Services—Salaries	
200 Employee Benefits	
300 Purchased Professional and Technical Services	
400 Purchased Property Services	
500 Other Purchased Services	
600 Supplies and Materials	
700 Property	
2000 Support Services	
2100 Support Services—Students	
2200 Support Services—Instructional Staff	
2300 Support Services (General Administration)	
2329 Other Executive Administration Services	
2400 Support Services	
2700 Student Transportation Services	
3000 Non-Instructional Services	
3300 Community Services Operations	
3400 Student Activities	
TOTAL	\$

Provide a written explanation of each proposed expenditure on a separate page.

**KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PROJECTED DISTRICT BUDGET FOR JULY 1, 2013 TO JUNE 30, 2014
Year 3**

Budget Categories	Amount Requested
1000 Instruction	
100 Personnel Services—Salaries	
200 Employee Benefits	
300 Purchased Professional and Technical Services	
400 Purchased Property Services	
500 Other Purchased Services	
600 Supplies and Materials	
700 Property	
2000 Support Services	
2100 Support Services—Students	
2200 Support Services—Instructional Staff	
2300 Support Services (General Administration)	
2329 Other Executive Administration Services	
2400 Support Services	
2700 Student Transportation Services	
3000 Non-Instructional Services	
3300 Community Services Operations	
3400 Student Activities	
TOTAL	\$

Provide a written explanation of each proposed expenditure on a separate page.

D. ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant.

The LEA must assure that it will --

- Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
- Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II school that it serves with school improvement funds;
- If it implements a restart model in a Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements; and
- Report to the SEA the school-level data required under section III of the final requirements.

E. WAIVERS: If the SEA has requested any waivers of requirements applicable to the LEA's School Improvement Grant, an LEA must indicate which of those waivers it intends to implement.

The LEA must check each waiver that the LEA will implement. If the LEA does not intend to implement the waiver with respect to each applicable school, the LEA must indicate for which schools it will implement the waiver.

- "Starting over" in the school improvement timeline for Tier I schools implementing a turnaround or restart model.
- Implementing a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

APPENDICES

- APPENDIX A:** General Grant Information
- APPENDIX B:** Requirements for Four Intervention Models –
Guidance on Fiscal Year 2010 School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965 – November 1, 2010, p. 26-42. To access the entire guidance document use the following link: <http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>
- APPENDIX C:** Intervention Models Rubrics
- APPENDIX D:** Process Timeline Based on the Six Steps of Implementation
- APPENDIX E:** Systemic Coherence and Capacity Addendum
- APPENDIX F:** School Leading Indicator Report
- APPENDIX G:** SEA Allocations to LEAS and LEA Budgets
- APPENDIX H:** Explanation of Budget Line Items
- APPENDIX I:** LEA Application Scoring Form

APPENDIX A

GENERAL INFORMATION ABOUT THE GRANT:

Please read this before beginning the application on p. 3!

Purpose:

The School Improvement Grants under the Elementary and Secondary Educational Act (ESEA) are grants awarded to State Educational Agencies (SEAs), to Local Educational Agencies (LEAs) for assisting their Title I schools identified in Tier I, Tier II and Tier III under the new guidance from the Department of Education (DOE). The Kansas State Department of Education (KSDE) will ensure the funds will be granted to those schools that demonstrate the greatest need, have the strongest commitment toward providing the resources necessary to raise substantially the achievement of their students to make adequate yearly progress, and exit improvement status.

Eligible Schools and Districts:

Districts that have schools identified in Tier I and Tier II and are requesting funds should utilize this application. All Tier I and Tier III schools have a school improvement plan on file that has been reviewed and approved by the KSDE. Tier I and Tier II schools will be expected to update their plan when applying for new school improvement funds. A separate grant application for Tier III schools will be made available, if resources are available.

Eligibility Criteria

The School Improvement Grant (SIG) Section 1003 (g) Amended Final Requirements and Guidance published in the Federal Register in January 2010, states that school improvement funds are to be focused on persistently lowest-achieving schools. Further guidance was provided on November 1, 2010. As identified by the Local Education Agency (LEA) as a school(s) served in Tier I or Tier II, the LEA must implement one of the four school intervention models: Turnaround Model, Restart Model, School Closure, or Transformation Model.

	Schools an SEA MUST identify in each tier	Newly eligible schools an SEA MAY identify in each tier
Tier I	Schools that meet the criteria in paragraph (a)(1) in the definition of “persistently lowest-achieving schools.” ¹	Title I eligible ² elementary schools that are no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(1)(i) in the definition of “persistently lowest-achieving schools” <u>and</u> that are: <ul style="list-style-type: none">• in the bottom 20% of all schools in the State based on proficiency rates;<u>or</u>• have not made AYP for two consecutive years.

Tier II	Schools that meet the criteria in paragraph (a)(2) in the definition of “persistently lowest-achieving schools.”	Title I eligible secondary schools that are (1) no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(2)(i) in the definition of “persistently lowest-achieving schools” or (2) high schools that have had a graduation rate of less than 60 percent over a number of years <u>and</u> that are: <ul style="list-style-type: none"> • in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two consecutive years.
Tier III	Title I schools in improvement, corrective action, or restructuring that are not in Tier I. ³	Title I eligible schools that do not meet the requirements to be in Tier I or Tier II <u>and</u> that are: <ul style="list-style-type: none"> • in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two years.

“Persistently lowest-achieving schools” means, as determined by the State —

(a)(1) Any Title I school in improvement, corrective action, or restructuring that –

- (i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

(2) An secondary school that is eligible for, but does not receive, Title I funds that –

- (i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

For the purposes of schools that may be added to Tier I, Tier II, or Tier III, “Title I eligible” schools may be schools that are eligible for, but do not receive, Title I, Part A funds or schools that are Title I participating (i.e., schools that are eligible for and do receive Title I, Part A funds.)

**Certain Title I schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II rather than Tier III. In particular, certain Title I secondary schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II if an SEA receives a waiver to include them in the pool of schools from which Tier II schools are selected or if they meet the criteria in section I.A.1(b)(ii)(A)(2) and (B) and an SEA chooses to included them in Tier II.

Selection of a Model

For each Tier I and Tier II School that the LEA commits to serve, the LEA must demonstrate that –

- The LEA has analyzed the needs of each school and selected an intervention for each school; and
- The LEA has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II schools identified in the LEA’s application in order to implement, fully and effectively, the required activities of the school intervention model it has selected.

The Intervention Model Selection Rubrics, which is in Appendix C, should be used by the district when selecting a model. In the LEA application the district will be asked to provide answers to specific questions about the model they have selected.

A. TURNAROUND MODEL

The following information comes from Guidance from School Improvement Grants on Turnaround Models, Appendix B, p. 26-31.

A turnaround model is one in which an LEA must do the following:

- (1) Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates;
- (2) Using locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students,
 - (A) Screen all existing staff and rehire no more than 50 percent; and
 - (B) Select new staff;
- (3) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school;
- (4) Provide staff ongoing, high-quality job-embedded professional development that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies;
- (5) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new “turnaround office” in the LEA or SEA, hire a “turnaround leader” who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;

- (6) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;
- (7) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;
- (8) Establish schedules and implement strategies that provide increased learning time; and
- (9) Provide appropriate social-emotional and community-oriented services and supports for students.

B. RESTART MODEL

The following information comes from Guidance from School Improvement Grants on Restart Model, pg. 31-34.

A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process. A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.

- A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing certain functions and resources among schools.
- An EMO is a for-profit or non-profit organization that provides “whole-school operation” services to an LEA.

C. SCHOOL CLOSURE MODEL

The following information comes from Guidance from School Improvement Grants on School Closure Model, pg. 34-35.

School closure occurs when an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving. These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available.

D. TRANSFORMATION MODEL

The following information comes from Guidance from School Improvement Grants on Transformational Model, pg. 36-42.

An LEA implementing a transformation model must:

- (1) Replace the principal who led the school prior to commencement of the transformation model;
- (2) Use rigorous, transparent, and equitable evaluation systems for teachers and principals that —
 - (a) Take into account data on student growth as a significant factor as well as other factors, such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduation rates; and
 - (b) Are designed and developed with teacher and principal involvement;
- (3) Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so;
- (4) Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies; and
- (5) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a transformation model.

If the LEA is not applying to serve each Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.

ADDITIONAL REQUIREMENTS WHEN ADOPTING A MODEL

Capacity:

The LEA must demonstrate the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II School identified in the application.

- An LEA is only required to serve the Tier I schools that it has the capacity to serve.
- If an LEA does not serve any Tier I school(s) they may not apply for funding to only serve their Tier III schools.

Goal Setting and Reporting:

An LEA must set annual goals for student achievement related to their results on the Kansas assessments (i.e., reading/language arts and mathematics).

The annual goals for the LEA need to be approved by the State Educational Agency.

For each identified school in Tier I and Tier II the state will report the following:

- identity of the school;
- the interventions adopted, and
- the amount of funding awarded.

In addition,

- Achievement measures must be reported annually (i.e., improvements in student performance) and leading indicators (e.g., student and teacher attendance rates) for each identified school in Tier I and Tier II.
- Funding awards for years two and three will be determined from data received from the LEA receiving funding in year one. This renewal, if extended, will be through a waiver based on availability within a set period of time.

Evaluation Criteria:

The actions listed are required by the LEA and must be completed prior to submitting the application for a School Improvement Grant.

Based on the analysis of the Tier I and Tier II schools the LEA will:

- a) Describe the need for each school identified and what interventions have been selected for each school.
- b) Describe how capacity was determined.
- c) Describe how the LEA plans to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school(s) identified in the application in order to implement, fully and effectively, the selected intervention in each of those schools.
- d) Include a budget to sufficiently implement the funds for the selected interventions named in each Tier I and Tier II school(s) as identified in the application.
- e) Describe how and what support will be given to the school improvement activities in Tier III schools throughout the period of availability of funds (including the possibility of any waiver extending the period of time if applicable).

The Role of the SEA:

- 1) Identify Tier I, Tier II, and Tier III schools;
- 2) Establish criteria to evaluate the quality of applications;
- 3) Analyze the needs and selected intervention(s) for each Tier I and Tier II schools identified in the LEA application;
 - a. demonstrated their capacity to use the funds to provide adequate resources and

- b. to support each Tier I and Tier II school identified in the application in order to implement fully and effectively the selected intervention in each school; and
 - c. developed a budget with sufficient funds to implement the selected interventions fully and effectively in each Tier I and Tier II school identified in their applications as well as to support school improvement activities in Tier III schools throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).
- 4) Establish criteria to assess LEA commitment to:
 - a. design and implement the interventions; recruit, screen, and select external providers, if applicable, to ensure their quality;
 - b. align other resources with the interventions;
 - c. modify their practices or policies, if necessary, to be able to implement the interventions fully and effectively; and
 - d. sustain the reforms after the funding period ends.
 - 5) Prioritize, first, LEA applications that commit to serve Tier I and Tier II schools and, then, LEA applications that commit to serve Tier I schools.
 - 6) Award SIG funds to eligible LEAs in amounts of sufficient size and scope to implement the selected interventions;
 - 7) Monitor LEA implementation of the selected interventions.
 - 8) Hold each LEA accountable annually for meeting, or making progress toward meeting, student achievement goals and leading indicators in each Tier I and Tier II School.
 - 9) Post on its Web site, within 30 days of awarding SIG grants, all final LEA applications and a summary of the grants.
 - 10) Report school-level data on student achievement outcomes and leading indicators in Tier I and Tier II schools.

Waivers

To support effective implementation, the State may award an LEA a waiver to:

- 1) “Start over” in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- 2) Implement a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

APPENDIX B

Intervention Model Requirements November 1, 2010 Guidance

B. TURNAROUND MODEL

B-1. What are the required elements of a turnaround model?

A turnaround model is one in which an LEA must do the following:

- (1) Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in FY 2010 Guidance 27 order to substantially improve student achievement outcomes and increase high school graduation rates;
- (2) Using locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students,
 - (A) Screen all existing staff and rehire no more than 50 percent; and
 - (B) Select new staff;
- (3) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school;
- (4) Provide staff ongoing, high-quality job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies;
- (5) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new —turnaround office in the LEA or SEA, hire a —turnaround leader who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;
- (6) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;
- (7) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;
- (8) Establish schedules and implement strategies that provide increased learning time; and
- (9) Provide appropriate social-emotional and community-oriented services and supports for students.

B-2. In addition to the required elements, what optional elements may also be a part of a turnaround model?

In addition to the required elements, an LEA implementing a turnaround model may also implement other strategies, such as a new school model or any of the required and permissible activities under the transformation intervention model described in the final requirements. It could also, for example, implement a high-quality preschool program that is designed to improve the health, social-emotional outcomes, and school readiness for high-need young children or replace a comprehensive high school with one that focuses on science, technology, engineering, and mathematics (STEM). The key is that these actions would be taken within the framework of the FY 2010 Guidance 28 turnaround model and would be in addition to, not instead of, the actions that are required as part of a turnaround model. (Modified for FY 2010 Guidance)

B-3. What is the definition of —staff as that term is used in the discussion of a turnaround model?

As used in the discussion of a turnaround model, —staff includes all instructional staff, but an LEA has discretion to determine whether or not —staff also includes non-instructional staff. An LEA may decide that it is appropriate to include non-instructional staff in the definition of —staff as all members of a school’s staff contribute to the school environment and are important to the success of a turnaround model. In determining the number of staff members that may be rehired, an LEA should count the total number of staff positions (however staff is defined) within the school in which the model is being implemented, including any positions that may be vacant at the time of the implementation. For example, if a school has a total of 100 staff positions, only 90 of which are filled at the time the model is implemented, the LEA may rehire 50 staff members; the LEA is not limited to rehiring only 45 individuals (50 percent of the filled staff positions). (See G-1c for additional information on how an LEA should determine the number of staff members that must be replaced when taking advantage of the flexibility to continue or complete interventions that have been implemented within the last two years.) (Modified for FY 2010 Guidance)

B-3a. The response to B-3 states that —staff includes —all instructional staff. Does —all instructional staff mean only teachers of core academic subjects or does it also include physical education teachers and teachers of other non-core academic subjects?

—All instructional staff includes teachers of core academic subjects as well as teachers of non-core academic subjects. Section I.A.2(a)(1)(ii) of the final requirements requires an LEA to measure the effectiveness of —staff who work within the turnaround environment. As is stated in B-3, an LEA has discretion to determine whether or not to include non-instructional staff, in addition to instructional staff, in meeting this requirement. An LEA may decide it is appropriate to include non-instructional staff in the definition of —staff as all members of a school’s staff contribute to the school environment and are important to the success of a turnaround model.

B-4. What are —locally adopted competencies?

A —competency, which is a skill or consistent pattern of thinking, feeling, acting, or speaking that causes a person to be effective in a particular job or role, is a key predictor of how someone will perform at work. Given that every teacher brings a unique skill set to the classroom, thoughtfully developed assessments of such competencies can be used as part of a rigorous recruitment, screening, and selection process to identify educators with the unique qualities that equip them to succeed in the turnaround environment and can help ensure a strong match between teachers and particular turnaround schools. As part of a rigorous recruitment, screening and selection process, assessments of turnaround teachers’ competencies can be used by the principal or district leader to distinguish between very high performers and more typical or lower-performing teachers in a turnaround setting. Although an LEA may already have and use a

set of tools to screen for appropriate competencies as part of its normal hiring practices, it is important to develop a set of FY 2010 Guidance 29 competencies specifically designed to identify staff that can be effective in a turnaround situation because, in a turnaround school, failure has become an entrenched way of life for students and staff, and staff members need stronger and more consistent habits in critical areas to transform the school's wide-scale failure into learning success. While each LEA should identify the skills and expertise needed for its local context, in addition to reviewing evidence of effectiveness in previous teaching positions (or other pre-service experience) in the form of recommendations, portfolios, or student outcomes, examples of locally adopted competencies might include acting with initiative and persistence, planning ahead, flexibility, respect for and sensitivity to norms of interaction in different situations, self-confidence, team leadership, developing others, analytical thinking, and conceptual thinking. The value and utility of turnaround competencies for selection are dependent on the process by which an LEA or school leader or team uses them. In addition to assessing a candidate's subject knowledge and mastery of specific instructional practices that the turnaround school uses, using a robust and multi-tiered selection process that includes interviews that ask about past practice in the classroom or situational scenarios, reviewing writing samples, observing teachers in their classrooms, and asking teachers to perform job-related tasks such as presenting information to a group of parents, are all common techniques used to screen candidates against turnaround competencies. Note that these are merely examples of a process and set of competencies an LEA might measure and use in screening and selecting staff to meet the unique needs of the schools in which it will implement a turnaround model.

B-5. Is an LEA implementing the turnaround model required to use financial incentives, increased opportunities for promotion and career growth, and more flexible conditions as strategies to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a turnaround model?

No. The specific strategies mentioned in this requirement (see B-1(3)) are merely examples of the types of strategies an LEA might use to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a school implementing the turnaround model. An LEA is not obligated to use these particular strategies, so long as it implements some strategies that are designed to recruit, place, and retain the appropriate staff.

B-6. What is job-embedded professional development?

Job-embedded professional development is professional learning that occurs at a school as educators engage in their daily work activities. It is closely connected to what teachers are asked to do in the classroom so that the skills and knowledge gained from such learning can be immediately transferred to classroom instructional practices. Job-embedded professional development is usually characterized by the following:

- It occurs on a regular basis (*e.g.*, daily or weekly);
- It is aligned with academic standards, school curricula, and school improvement goals; FY 2010 Guidance 30
- It involves educators working together collaboratively and is often facilitated by school instructional leaders or school-based professional development coaches or mentors;
- It requires active engagement rather than passive learning by participants; and
- It focuses on understanding what and how students are learning and on how to address students' learning needs, including reviewing student work and achievement data and collaboratively planning, testing, and adjusting instructional strategies, formative assessments, and materials based on such data.

Job-embedded professional development can take many forms, including, but not limited to, classroom coaching, structured common planning time, meetings with mentors, consultation with

outside experts, and observations of classroom practice. When implemented as part of a turnaround model, job-embedded professional development must be designed with school staff.

B-7. Does the requirement to implement an instructional program that is research-based and aligned (vertically and with State standards) require adoption of a new or revised instructional program?

Not necessarily. In implementing a turnaround model, an LEA must use data to identify an instructional program that is research-based and vertically aligned as well as aligned with State academic standards. If an LEA determines, based on a careful review of appropriate data, that the instructional program currently being implemented in a particular school is research-based and properly aligned, it may continue to implement that instructional program. However, the Department expects that most LEAs with Tier I or Tier II schools will need to make at least minor adjustments to the instructional programs in those schools to ensure that those programs are, in fact, research-based and properly aligned.

B-8. What are examples of social-emotional and community-oriented services that may be supported with SIG funds in a school implementing a turnaround model?

Social-emotional and community-oriented services that may be offered to students in a school implementing a turnaround model may include, but are not limited to: (a) safety programs; (b) community stability programs that reduce the mobility rate of students in the school; or (c) family and community engagement programs that support a range of activities designed to build the capacity of parents and school staff to work together to improve student academic achievement, such as a family literacy program for parents who need to improve their literacy skills in order to support their children's learning. If funds are not reasonably available from other public or private sources to support the planning and implementation of the services and the LEA has engaged in a comprehensive needs assessment, SIG funds might be used to hire a coordinator or to contract with an organization to facilitate the delivery of health, nutrition, and social services to the school's students in partnership with local service providers. SIG funds also might be used for (1) professional development necessary to assist teachers, pupil services personnel, other staff, and parents in identifying and meeting the comprehensive needs of students, and (2) as a last resort when funds are not reasonably available FY 2010 Guidance 31 from other public or private sources, the provision of basic medical equipment, such as eyeglasses and hearing aids. An LEA should examine the needs of students in the turnaround school to determine which social emotional and community-oriented services will be appropriate and useful under the circumstances. Further, like all other activities supported with SIG funds, any services provided must address the needs identified by the needs assessment the LEA conducted prior to selecting the turnaround model for the school and must be reasonable and necessary. (See I-30.) (Modified for FY 2010 Guidance)

B-9. May an LEA omit any of the actions outlined in the final requirements and implement its own version of a turnaround model?

No. An LEA implementing a turnaround model in one or more of its schools must take all of the actions required by the final requirements. As discussed in B-2, an LEA may take additional actions to supplement those that are required as part of a turnaround model, but it may not implement its own version of a turnaround model that does not include all of the elements required by the final requirements. Thus, an LEA could not, for example, convert a turnaround school to a magnet school without also taking the other actions specifically required as part of a turnaround model.

C. RESTART MODEL

C-1. What is the definition of a restart model?

A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process. A restart model must enroll, within the grades it serves, any former student who wishes to attend the school (see C-6).

C-2. What is a CMO?

A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing certain functions and resources among schools.

C-3. What is an EMO?

An EMO is a for-profit or non-profit organization that provides —whole-school operationl services to an LEA.

C-4. Prior to submitting its application for SIG funds, must an LEA know the particular EMO or CMO with which it would contract to restart a school?

No. Prior to submitting its application, an LEA need not know the particular EMO or CMO with which it would contract to restart a school, but it should at least have a pool of potential partners that have expressed an interest in and have exhibited an ability to restart the school in which the LEA proposes to implement the restart model. An LEA does not need to enter into a contract prior to receiving its SIG funds, but it must be able to provide enough information in its application for the SEA to be confident that, if awarded SIG funds, the LEA would in fact enter into a contract with a CMO or EMO to implement the restart model. (FY 2010 Guidance 32)

C-5. What is the purpose of the —rigorous review processl used for selecting a charter school operator, a CMO, or an EMO?

The —rigorous review process permits an LEA to examine a prospective restart operator’s reform plans and strategies. It helps prevent an operator from assuming control of a school without having a meaningful plan for turning it around. The purpose of the rigorous review process is to provide an LEA with an opportunity to ensure that the operator will use this model to make meaningful changes in a school. Through the rigorous review process, an LEA might, for example, require a prospective operator to demonstrate that its strategies are research-based and that it has the capacity to implement the strategies it is proposing.

C-6. Which students must be permitted to enroll in a school implementing a restart model?

A restart school must enroll, within the grades it serves, all former students who wish to attend the school. The purpose of this requirement is to ensure that restarting the school benefits the population of students who would be served by the school in the absence of —restarting the school. Accordingly, the obligation to enroll any former student who wishes to attend the school includes the obligation to enroll a student who did not actually previously attend the school — for example, because the student was previously enrolled in grade 3 but the school serves only grades 4 through 6 — but who would now be able to enroll in the school were it not implementing the restart model. If the restart school no longer serves a particular grade or grades that previously had been served by the school, the restart school is not obligated to enroll a student in the grade or grades that are no longer served.

C-6a. May an EMO or CMO with which an LEA contracts to implement a restart model require students or parents to agree to certain conditions in order to attend the school?

Yes, under the restart model, a provider may require all former students who wish to attend the restart school to sign student or parent/student agreements covering student behavior, attendance, or other commitments related to academic performance. In other words, a decision by a student or parent not to sign such an agreement amounts to an indication that the student does not wish to attend the school implementing the restart model. A provider may not, however, require students to meet, for example, certain academic standards prior to enrolling in the school.

C-7. May a restart school serve fewer grades than were previously served by the school in which the model is being implemented?

Yes. An LEA has flexibility to work with providers to develop the appropriate sequence and timetable for a restart partnership. Thus, for example, an LEA could allow a restart operator to take over one grade in the school at a time. If an LEA allows a restart operator to serve only some of the grades that were previously served by the school in which the model is being implemented, the LEA must ensure that the SIG funds it receives for the school are used only for the grades being served by the restart operator, unless the LEA is implementing one of the other SIG models with respect to the other grades served by the school. For example, if the school in question previously served grades K-6 and the LEA allows a FY 2010 Guidance 33 restart operator to take over the school only with respect to grades K-3, the LEA could use SIG funds to serve the students in grades 4-6 if it implements a turnaround model or school closure, consistent with the final requirements, with respect to those grades.

C-8. May a school implementing a restart model implement any of the required or permissible activities of a turnaround model or a transformation model?

Yes. A school implementing a restart model may implement activities described in the final requirements with respect to other models. Indeed, a restart operator has considerable flexibility not only with respect to the school improvement activities it will undertake, but also with respect to the type of school program it will offer. The restart model is specifically intended to give operators flexibility and freedom to implement their own reform plans and strategies.

C-9. If an LEA implements a restart model, must its contract with the charter school operator, CMO, or EMO hold the charter school operator, CMO, or EMO accountable for meeting the final requirements?

Yes. If an LEA implements a restart model in a Tier I or Tier II school, the LEA must include in its contract or agreement terms and provisions to hold the charter school operator, CMO, or EMO accountable for complying with the final requirements. An LEA should bear this accountability requirement in mind at the time of contracting with the charter school operator, CMO, or EMO, and should consider how best to reflect it in the contract or agreement.

C-10. May an LEA use SIG funds to pay a fee to a CMO or EMO to operate a restart model?

Yes, but only to the extent the fee is reasonable and necessary to implement the restart model. An LEA, thus, has the responsibility, in entering into a contract with a CMO or EMO, to ensure that any fee that is part of the contract is reasonable and necessary. *See* Office of Management and Budget Circular A-87, Attachment A, C.1.a (to be allowable under a Federal grant, costs must be —necessary and reasonable for proper and efficient performance and administration of [the Federal grant]). In making this determination, the LEA must ensure that there is a direct relationship between the fee and the services that the CMO or EMO will provide using SIG funds and that those services are necessary to implement the SIG model in the school being restarted. It may not be reasonable, for example, for a CMO or EMO to charge a flat percentage

of the SIG funds available, irrespective of the services to be provided, particularly in light of the significant amount of SIG funds that would be available to a school for three years. For example, if a CMO or EMO normally charges a fee of five percent of gross receipts to operate a school, it may not be reasonable to calculate that percentage on the additional \$6 million in SIG funds that could be available, absent a very strong demonstration that its costs for providing services increase commensurately with the large amount of SIG funds available. Moreover, the LEA must be able to demonstrate, as part of its commitment to obtain SIG funds, that it can sustain the services of the CMO or EMO and any attendant fee after the SIG funds are no longer available (Sections I.A.4(a)(vi) and II.A.2(a)(iv)) and include a budget for each school it intends to serve that identifies any fee (Section II.A.2(a)(vi)). In addition, an SEA has the responsibility, in reviewing and approving an LEA's application to implement the restart model in one or more of its Tier I or Tier II schools, to consider the LEA's capacity to implement the model, including the reasonableness of its SIG budget and its ability to FY 2010 Guidance 34 sustain the model after SIG funds are no longer available, and may approve the LEA's application only if the SEA determines that the LEA can implement fully and effectively the model. See Sections I.A.4(b) and II.B.2(b)(ii) and (iv). (New for FY 2010 Guidance)

D. SCHOOL CLOSURE

D-1. What is the definition of —school closure?

School closure occurs when an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving. These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available.

D-1a. How important is it for an LEA to engage families and the community in the LEA's decision to close a persistently lowest-achieving school?

It is extremely important to engage families and the school community early in the process of selecting the appropriate school improvement model to implement in a school (see H-4a), but doing so is particularly important when considering school closure. It is critical that LEA officials engage in an open dialogue with families and the school community early in the closure process to ensure that they understand the data and reasons supporting the decision to close, have a voice in exploring quality options, and help plan a smooth transition for students and their families at the receiving schools. (New for FY 2010 Guidance)

D-2. What costs associated with closing a school can be paid for with SIG funds?

An LEA may use SIG funds to pay certain reasonable and necessary costs associated with closing a Tier I or Tier II school, such as costs related to parent and community outreach, including, but not limited to, press releases, newsletters, newspaper announcements, hotlines, direct mail notices, or meetings regarding the school closure; services to help parents and students transition to a new school; or orientation activities, including open houses, that are specifically designed for students attending a new school after their prior school closes. Other costs, such as revising transportation routes, transporting students to their new school, or making class assignments in a new school, are regular responsibilities an LEA carries out for all students and generally may not be paid for with SIG funds. However, an LEA may use SIG funds to cover these types of costs associated with its general responsibilities if the costs are directly attributable to the school closure and exceed the costs the LEA would have incurred in the absence of the closure.

D-3. May SIG funds be used in the school that is receiving students who previously attended a school that is subject to closure in order to cover the costs associated with accommodating those students?

No. In general, the costs a receiving school will incur to accommodate students who are moved from a closed school are costs that an LEA is expected to cover, and may not be paid for with SIG funds. However, to the extent a receiving school is a Title I school that increases its population of children from low-income families, the school should receive additional Title I, Part A funds through the Title I, Part A funding formula, and those Title I, Part A funds could be used to cover FY 2010 Guidance 35 the educational costs for these new students. If the school is not currently a Title I school, the addition of children from low-income families from a closed school might make it an eligible school.

D-4. Is the portion of an LEA’s SIG sub grant that is to be used to implement a school closure renewable?

Generally, no. The portion of an LEA’s SIG sub grant for a school that is subject to closure is limited to the time necessary to close the school — usually one year or less. As such, the funds allocated for a school closure would not be subject to renewal.

D-5. How can an LEA determine whether a higher-achieving school is within reasonable proximity to a closed school?

The school to which students who previously attended a closed school are sent should be located —within reasonable proximity to the closed school. An LEA has discretion to determine which schools are located within a reasonable proximity to a closed school. A distance that is considered to be within a —reasonable proximity in one LEA may not be within a —reasonable proximity^{ll} in another LEA, depending on the nature of the community. In making this determination, an LEA should consider whether students who would be required to attend a new school because of a closure would be unduly inconvenienced by having to travel to the new location. An LEA should also consider whether the burden on students could be eased by designating multiple schools as receiving schools. An LEA should not eliminate school closure as an option simply because the higher-achieving schools that could be receiving schools are located at some distance from the closed school, so long as the distance is not unreasonable. Indeed, it is preferable for an LEA to send students who previously attended a closed school to a higher-achieving school that is located at some distance from, but still within reasonable proximity to, the closed school than to send those students to a lower-performing school that is geographically closer to the closed school. Moreover, an LEA should consider allowing parents to choose from among multiple higher-achieving schools, at least one of which is located within reasonable proximity to the closed school. By providing multiple school options, a parent could decide, for example, that it is worth having his or her child travel a longer distance in order to attend a higher-achieving school. Ultimately, the LEA’s goal should be to ensure that students who previously attended a closed school are able to enroll in the highest performing school that can reasonably be offered as an alternative to the closed school.

D-6. In what kinds of schools may students who previously attended a closed school enroll?

The higher-achieving schools in which students from a closed school may enroll may include any public school with the appropriate grade ranges, including public charter schools and new schools for which achievement data are not yet available. Note that a new school for which achievement data are not yet available may be a receiving school even though, as a new school, it lacks a history of being a —higher-achieving^{ll} school. FY 2010 Guidance 36

E. TRANSFORMATION MODEL

E-1. With respect to elements of the transformation model that are the same as elements of the turnaround model, do the definitions and other guidance that apply to those elements as they relate to the turnaround model also apply to those elements as they relate to the transformation model?

Yes. Thus, for example, the strategies that are used to recruit, place, and retain staff with the skills necessary to meet the needs of students in a turnaround model may be the same strategies that are used to recruit, place, and retain staff with the skills necessary to meet the needs of students in a transformation model. For questions about any terms or strategies that appear in both the transformation model and the turnaround model, refer to the turnaround model section of this guidance.

E-2. Which activities related to developing and increasing teacher and school leader effectiveness are required for an LEA implementing a transformation model?

An LEA implementing a transformation model must:

- (1) Replace the principal who led the school prior to commencement of the transformation model;
- (2) Use rigorous, transparent, and equitable evaluation systems for teachers and principals that —
 - (a) Take into account data on student growth as a significant factor as well as other factors, such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduation rates; and
 - (b) Are designed and developed with teacher and principal involvement;
- (3) Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so;
- (4) Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies; and
- (5) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a transformation model. FY 2010 Guidance 37

E-3. Must the principal and teachers involved in the development and design of the evaluation system be the principal and teachers in the school in which the transformation model is being implemented?

No. The requirement for teacher and principal evaluation systems that —are designed and developed with teacher and principal involvement refers more generally to involvement by teachers and principals within the LEA using such systems, and may or may not include teachers and principals in a school implementing the transformation model.

E-4. Under the final requirements, an LEA implementing the transformation model must remove staff —who, after ample opportunities have been provided for them to improve their professional practice, have not done so. Does an LEA have discretion to determine the appropriate number of such opportunities that must be provided and what are some examples of such —opportunities to improve?

In general, LEAs have flexibility to determine both the type and number of opportunities for staff to improve their professional practice before they are removed from a school implementing the transformation model. Examples of such opportunities include professional development in such areas as differentiated instruction and using data to improve instruction, mentoring or partnering with a master teacher, or increased time for collaboration designed to improve instruction.

E-5. In addition to the required activities, what other activities related to developing and increasing teacher and school leader effectiveness may an LEA undertake as part of its implementation of a transformation model?

In addition to the required activities for a transformation model, an LEA may also implement other strategies to develop teachers' and school leaders' effectiveness, such as:

- (1) Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of students in a transformation school;
- (2) Instituting a system for measuring changes in instructional practices resulting from professional development; or
- (3) Ensuring that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority.

LEAs also have flexibility to develop and implement their own strategies, as part of their efforts to successfully implement the transformation model, to increase the effectiveness of teachers and school leaders. Any such strategies must be in addition to those that are required as part of this model.

E-6. How does the optional activity of —providing additional compensation to attract and retain certain staff differ from the requirement to implement strategies designed to recruit, place, and retain certain staff?

There are a wide range of compensation-based incentives that an LEA might use as part of a transformation model. Such incentives are just one example of strategies that might be adopted to recruit, place, and retain staff with the skills needed to implement the transformation model. The FY 2010 Guidance 38 more specific emphasis on additional compensation in the permissible strategies was intended to encourage LEAs to think more broadly about how additional compensation can contribute to teacher effectiveness.

E-7. Which activities related to comprehensive instructional reform strategies are required as part of the implementation of a transformation model?

An LEA implementing a transformation model must:

- (1) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards; and
- (2) Promote the continuous use of student data (such as from formative, interim, and summative assessments) in order to inform and differentiate instruction to meet the academic needs of individual students.

E-8. In addition to the required activities, what other activities related to comprehensive instructional reform strategies may an LEA undertake as part of its implementation of a transformation model?

In addition to the required activities for a transformation model, an LEA may also implement other comprehensive instructional reform strategies, such as:

- (1) Conducting periodic reviews to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if ineffective;
- (2) Implementing a schoolwide —response-to-intervention model;
- (3) Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that limited English proficient students acquire language skills to master academic content;

- (4) Using and integrating technology-based supports and interventions as part of the instructional program; and
- (5) In secondary schools—
 - (a) Increasing rigor by offering opportunities for students to enroll in advanced coursework, early-college high schools, dual enrollment programs, or thematic learning academies that prepare students for college and careers, including by providing appropriate supports designed to ensure that low-achieving students can take advantage of these programs and coursework;
 - (b) Improving student transition from middle to high school through summer transition programs or freshman academies; FY 2010 Guidance 39
 - (c) Increasing graduation rates through, for example, credit recovery programs, reengagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills; or
 - (d) Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or to graduate.

E-9. What activities related to increasing learning time and creating community-oriented schools are required for implementation of a transformation model?

An LEA implementing a transformation model must:

- (1) Establish schedules and strategies that provide increased learning time; and
- (2) Provide ongoing mechanisms for family and community engagement.

E-10. What is meant by the phrase —family and community engagement and what are some examples of ongoing mechanisms for family and community engagement?

In general, family and community engagement means strategies to increase the involvement and contributions, in both school-based and home-based settings, of parents and community partners that are designed to support classroom instruction and increase student achievement. Examples of mechanisms that can encourage family and community engagement include the establishment of organized parent groups, holding public meetings involving parents and community members to review school performance and help develop school improvement plans, using surveys to gauge parent and community satisfaction and support for local public schools, implementing complaint procedures for families, coordinating with local social and health service providers to help meet family needs, and parent education classes (including GED, adult literacy, and ESL programs).

E-10a. How should an LEA design mechanisms to support family and community engagement?

To develop mechanisms to support family and community engagement, an LEA may conduct a community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community and the school that could be aligned, integrated, and coordinated to address these challenges. An LEA should try to ensure that it aligns the family and community engagement programs it implements in the elementary and secondary schools in which it is implementing the transformation model to support common goals for students over time and for the community as a whole. (New for FY 2010 Guidance)

E-11. In addition to the required activities, what other activities related to increasing learning time and creating community-oriented schools may an LEA undertake as part of its implementation of a transformation model?

In addition to the required activities for a transformation model, an LEA may also implement other strategies to extend learning time and create community-oriented schools, such as:

FY 2010 Guidance 40

- (1) Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;
- (2) Extending or restructuring the school day so as to add time for such strategies as advisory periods that build relationships between students, faculty, and other school staff;
- (3) Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment; or
- (4) Expanding the school program to offer full-day kindergarten or pre-kindergarten.

E-11a. What are examples of services an LEA might provide to create safe school environments that meet students' social, emotional, and health needs?

Services that help provide a safe school environment that meets students' social, emotional, and health needs may include, but are not limited to: (a) safety programs; (b) community stability programs that reduce the mobility rate of students in the school; or (c) family and community engagement programs that support a range of activities designed to build the capacity of parents and school staff to work together to improve student academic achievement, such as a family literacy program for parents who need to improve their literacy skills in order to support their children's learning. (New for FY 2010 Guidance)

E-12. How does the optional activity of extending or restructuring the school day to add time for strategies that build relationships between students, faculty, and other school staff differ from the requirement to provide increased learning time?

Extra time or opportunities for teachers and other school staff to create and build relationships with students can provide the encouragement and incentive that many students need to work hard and stay in school. Such opportunities may be created through a wide variety of extra-curricular activities as well as structural changes, such as dividing large incoming classes into smaller theme based teams with individual advisers. However, such activities do not directly lead to increased learning time, which is more closely focused on increasing the number of instructional minutes in the school day or days in the school year.

E-13. What activities related to providing operational flexibility and sustained support are required for implementation of a transformation model?

An LEA implementing a transformation model must:

- (1) Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates; and
- (2) Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO). FY 2010 Guidance 41

E-14. Must an LEA implementing the transformation model in a school give the school operational flexibility in the specific areas of staffing, calendars/time, and budgeting?

No. The areas of operational flexibility mentioned in this requirement are merely examples of the types of operational flexibility an LEA might give to a school implementing the transformation model. An LEA is not obligated to give a school implementing the transformation model operational flexibility in these particular areas, so long as it provides the school sufficient operational flexibility to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.

E-15. In addition to the required activities, what other activities related to providing operational flexibility and sustained support may an LEA undertake as part of its implementation of a transformation model?

In addition to the required activities for a transformation model, an LEA may also implement other strategies to provide operational flexibility and sustained support, such as:

- (1) Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or
- (2) Implementing a per-pupil school-based budget formula that is weighted based on student needs.

E-16. In implementing the transformation model in an eligible school, may an LEA gather data during the first year of SIG funding on student growth, multiple observation based assessments of performance, and ongoing collections of professional practice reflective of student achievement, and then remove staff members who have not improved their professional practice at the end of that first year?

Yes. Although we expect an LEA that receives FY 2010 SIG funds and/or FY 2009 carryover SIG funds and decides to implement the transformation model in a Tier I or Tier II school to implement that model fully at the start of the 2011–2012 school year, we recognize that certain components of the model may need to be implemented later in that process. For example, because an LEA must design and develop a rigorous, transparent, and equitable staff evaluation system with the involvement of teachers and principals, implement that system, and then provide staff with ample opportunities to improve their practices, the LEA may not be able to remove staff members who have not improved their professional practices until later in the implementation process. (See E-3, E-4, and F-2.) (Modified for FY 2010 Guidance)

E-17. May an LEA implement the transformation model in a high school that has grades 9-12 by assigning the current principal to grades 10-12 and hiring a new principal to lead a 9th-grade academy?

No. The final requirements for the SIG program are intended to support interventions designed to turn around an entire school (or, in the case of the school closure model, provide better educational options to all students in a Tier I or Tier II school). Removing a single grade from a Tier II high FY 2010 Guidance 42 school to create a new school for that grade as part of a strategy to improve the performance of feeder schools would not meet this requirement for whole-school intervention. Similarly, to meet the requirement that a principal be replaced, the new principal must serve all grades in a school, not just one particular grade.

Appendix C

Intervention Models Rubrics



TITLE PROGRAM & SERVICES TEAM

Intervention Model Rubrics for Four Intervention Models

Turnaround Model
Transformation Model
Restart Model
School Closure Model

1003(g) TRANSFORMATION MODEL for Tier I and Tier II

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Replace the principal who led the school prior to commencement of the transformation model.	The district has replaced the principal.			The district has not replaced the principal.
Use rigorous, transparent, and equitable evaluation systems* for teachers and principals, designed and developed with teacher and principal involvement, that take into account <ul style="list-style-type: none"> ✓ Data on student growth; ✓ Multiple observation-based assessments of performance; ✓ Ongoing collections of professional practice; ✓ Increased high school graduation rates. 	The school has adopted and implemented evaluation systems for teachers and principals that are rigorous, transparent, and equitable and that were designed and developed with teacher and principal involvement.	The school has adopted and is in the process of implementing evaluation systems for teachers and principals that are rigorous, transparent, and equitable and that were designed and developed with teacher and principal involvement.	The school is investigating rigorous, transparent, and equitable evaluation systems for teachers and principals.	The school has not adopted and implemented rigorous, transparent, and equitable evaluation systems for teachers and principals.

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.**	The school has adopted and implemented reward strategies for school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.	The school has adopted and is in the process of implementing reward strategies for school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.	The school is investigating reward strategies for school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.	The school has not adopted and implemented reward strategies for school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.
Identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.***	The school has adopted and implemented strategies to identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.	The school has adopted and is implementing strategies to identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.	The school is investigating strategies to identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.	The school has not adopted and implemented strategies to identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).	The school has adopted and implemented strategies to ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization.	The school has adopted and is in the process of implementing strategies to ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization.	The school is investigating strategies to ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization.	The school has not adopted and implemented strategies to ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization.
*The requirement for teacher and principal evaluation systems that “are designed and developed with teacher and principal involvement” refers more generally to involvement by teachers and principals within the LEA using such systems, and may or may not include teachers and principals in a school implementing the transformation model.				
**In addition to the required activities for implementing the transformation model, an LEA may also implement other strategies to develop teachers’ and school leaders’ effectiveness, such as: (1) provide additional compensation to attract and retain staff with the skills necessary to meet the needs of students in the transformation school; (2) institute a system for measuring changes in instructional practices resulting from professional development; or (3) ensure that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher’s seniority.				
***In general, LEAs have flexibility to determine both the type and number of opportunities for staff to improve their professional practice before they are removed from a school implementing the transformation model. Examples of such opportunities include professional development in such areas as differentiated instruction and using data to improve instruction, mentoring or partnering with a master teacher, or increased time for collaboration designed to improve instruction.				

STANDARD: CULTURE AND HUMAN CAPITAL				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Grant the school sufficient operational flexibility in areas such as: ✓ Staffing, ✓ Calendars/time, ✓ Budgeting, To implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.*	The school has addressed areas such as staffing, calendars/time, and budget and has adopted and implemented a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.	The school has addressed areas such as staffing, calendars/time, and budget and has adopted and is in the process of implementing a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.	The school is investigating a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.	The school has not adopted or implemented a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.

*The areas of operational flexibility mentioned in this requirement (staffing, calendars/time, and budget) are merely examples of the types of operational flexibility an LEA might give to a school implementing the transformation model. An LEA is not obligated to give a school implementing the transformation model operational flexibility in these particular areas, so long as it provides the school sufficient operational achievement outcomes and increase high school graduation rates.

In addition to the required activities for a transformation model, an LEA may also implement other strategies to provide operational flexibility and sustained support, such as:
 (1) Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or
 (2) Implementing a per-pupil school-based budget formula that is weighted based on student needs.

STANDARD: CULTURE AND HUMAN CAPITAL

Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
<p>Implement strategies that will recruit, place and retain staff* with the skills necessary to meet the needs of the students in the transformational school, which may include, but are not limited to:*</p> <ul style="list-style-type: none"> ✓ Financial incentives, ✓ Increased opportunities for promotion and career growth, ✓ Flexible work conditions. 	<p>The school has adopted and implemented multiple innovative and aggressive strategies to help recruit, place, and retain staff.</p>	<p>The school has adopted and is in the process of implementing multiple innovative and aggressive strategies to help recruit, place, and retain staff.</p>	<p>The school is investigating multiple innovative and aggressive strategies to help recruit, place, and retain staff.</p>	<p>The school has made no changes in their strategies to help recruit, place, and retain staff.</p>
<p>Provide ongoing mechanisms for family and community engagement.**</p>	<p>The school has adopted and implemented community-oriented services and supports to students.</p>	<p>The school has adopted, and is in the process of implementing, community-oriented services and supports to students.</p>	<p>The school is investigating community-oriented services and supports to students.</p>	<p>The school offers no community-oriented services and supports to students.</p>

*There are a wide range of compensation-based incentives that an LEA might use as part of a transformation model. Such incentives are just one example of strategies that might be adopted to recruit, place, and retain staff with the skills needed to implement the transformation model. The more specific emphasis on additional compensation in the permissible strategies was intended to encourage LEAs to think more broadly about how additional compensation can contribute to teacher effectiveness.

**In general, family and community engagement means strategies to increase the involvement and contributions, in both school-based and home-based settings, of parents and community partners that are designed to support classroom instruction and increase student achievement. Examples of mechanisms that can encourage family and community engagement include the establishment of organized parent groups, holding public meetings involving parents and community members to review school performance and help develop school improvement plans, using surveys to gauge parent and community satisfaction and support for local public schools, implementing complaint procedures for families, coordinating with local social and health service providers to help meet family needs, and parent education classes (including GED, adult literacy, and ESL programs).

***In addition to the required activities for a transformation model, an LEA may also implement other strategies to extend learning time and create community-oriented schools, such as:

- (1) Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;
- (2) Extending or restructuring the school day so as to add time for such strategies as advisory periods that build relationships between students, faculty, and other school staff;
- (3) Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment; or
- (4) Expanding the school program to offer full-day kindergarten or pre-kindergarten.

Extra time or opportunities for teachers and other school staff to create and build relationships with students can provide the encouragement and incentive that many students need to work hard and stay in school. Such opportunities may be created through a wide variety of extra-curricular activities as well as structural changes, such as dividing large incoming classes into smaller theme-based teams with individual advisers. However, such activities do not directly lead to increased learning time, which is more closely focused on increasing the number of instructional minutes in the school day or days in the school year.

STANDARD: CURRICULUM AND ASSESSMENT				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Use data to identify and implement an instructional program that is* <ul style="list-style-type: none"> ✓ Aligned with State academic standards , ✓ Vertically and horizontally aligned, ✓ Research-based. 	The school used its data to identify and implement a research-based instructional program that is horizontally and vertically aligned as well as aligned with State academic standards.	The school used its data to identify a research-based instructional program that is horizontally and vertically aligned and aligned with State academic standards, and is in the process of implementation.	The school is investigating research-based instructional programs that are horizontally and vertically aligned and aligned with State academic standards.	The school’s instructional program is not research-based, horizontally and vertically aligned, and/or aligned with State academic standards.
Promote the continuous use of student data to inform and differentiate instruction, such as: <ul style="list-style-type: none"> ✓ Formative assessments, ✓ Interim (progress monitoring) assessments, ✓ Summative assessments. 	Across the building, the school continuously utilizes student data in such forms as formative assessments, progress monitoring assessments, and summative assessments to inform and differentiate instruction.	The school has adopted formative assessments, progress monitoring assessments, and summative assessments and is in the process of implementing their use to inform and differentiate instruction.	The school is investigating different forms of assessment to inform and differentiate instruction.	The school does not use student data to inform and differentiate instruction.

In addition to the required activities for a transformation model, an LEA may also implement other comprehensive instructional reform strategies, such as:

- (1) Conducting periodic reviews to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if ineffective;
- (2) Implementing a schoolwide “response-to-intervention” model;
- (3) Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that limited English proficient students acquire language skills to master academic content;

- (4) Using and integrating technology-based supports and interventions as part of the instructional program; and
- (5) In secondary schools –
 - a. Increasing rigor by offering opportunities for students to enroll in advanced coursework, early-college high schools, dual enrollment programs, or thematic learning academies that prepare students for college and careers, including but providing appropriate supports designed to ensure that low-achieving students can take advantage of these programs and coursework;
 - b. Improving student transition from middle to high school through summer transition programs or freshman academies;
 - c. Increasing graduation rates through, for example, credit recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills; or
 - d. Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or to graduate.

STANDARD: INSTRUCTION AND PROFESSIONAL DEVELOPMENT				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies.	The school has adopted and implemented ongoing, high quality, job-embedded professional development* that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the turnaround model.	The school has adopted and is in the process of implementing ongoing, high quality, job-embedded professional development* that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the turnaround model.	The school is investigating high quality, job-embedded professional development* that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the turnaround model.	Professional development is not high-quality, job-embedded and/or aligned with the school's comprehensive instructional program and/or not designed with school staff.
Establish schedules and strategies that provide increased learning time.***	The school has adopted and implemented strategies that provide increased learning time.	The school has adopted and is in the process of implementing strategies that provide increased learning time.	The school is investigating schedules and strategies that provide increased learning time.	The school has not adopted or implemented strategies that provide increased learning time.

1003(g) - TURNAROUND MODEL for Tier I and Tier II

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Replace the principal with a visionary, instructional leader.	The district has hired a new principal.			The district has not hired a new principal.
Adopt a new governance structure which may include, but is not limited to: <ul style="list-style-type: none"> ✓ The school reports to a new “turnaround office” in the LEA. ✓ Hire a “turnaround leader” who reports directly to the superintendent. ✓ Enter into a multi - year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability. 	The school has adopted a new governance structure; the new governance structure has been implemented and is fully functioning	The school has adopted a new governance structure and is in the process of implementation.	The school is in the process of investigating a new governance structure.	The school has not started the process of adoption and implementation of a new governance structure.

STANDARD: CULTURE AND HUMAN CAPITAL

Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
<p>Grant the new principal sufficient operational flexibility in staffing*.</p> <ul style="list-style-type: none"> ✓ Screen all existing staff and rehire no more than 50 percent. ✓ Select new staff. 	<p>The new principal was hired before the staffing process began and was involved in making decisions at every level of the staffing process.</p>	<p>The new principal was actively involved in making decisions during the hiring process but was not hired before the actual process began.</p>	<p>The new principal had limited involvement and/or decision making authority in the hiring process or was involved in only parts of the process.</p>	<p>The new principal was not involved in the hiring process.</p>
<p>Implement strategies that will recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school, which may include, but are not limited to**:</p> <ul style="list-style-type: none"> ✓ Financial incentives, ✓ Increased opportunities for promotion and career growth, ✓ Flexible work conditions, 	<p>The school has adopted and implemented multiple innovative and aggressive strategies to help recruit, place, and retain staff.</p>	<p>The school has adopted and is in the process of implementing multiple innovative and aggressive strategies to help recruit, place, and retain staff.</p>	<p>The school is investigating multiple innovative and aggressive strategies to help recruit, place, and retain staff.</p>	<p>The school has made no changes in their strategies to help recruit, place, and retain staff.</p>

*As used in the discussion of a turnaround model, “staff” includes all instructional staff, but an LEA has discretion to determine whether or not “staff” also includes non-instructional staff. An LEA may decide that it is appropriate to include non-instructional staff in the definition of “staff,” as all members of a school’s staff contribute to the school environment and are important to the success of a turnaround model.

In determining the number of staff members that may be rehired, an LEA should count the total number of staff positions (however staff is defined) within the school in which the model is being implemented, including any positions that may be vacant at the time of the implementation. For example, if a school has a total of 100 staff positions, only 90 of which are filled at the time the model is implemented, the LEA may rehire 50 staff members; the LEA is not limited to rehiring only 45 individuals (50 percent of the filled staff positions).

Standard: Culture and Human Capital				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Grant the principal sufficient operational flexibility in calendars/time.	The new principal was hired before the process began and was involved in making decisions at every level of the calendar/time process.	The new principal was actively involved in making decisions during the calendar/time process but was not hired before the actual process began.	The new principal had limited involvement and/or decision making authority in the calendar/time process or was involved in only parts of the process.	The new principal was not involved in the calendar/time process.
Grant the principal sufficient operational flexibility in budgeting.	The new principal was hired before the process began and was involved in making decisions at every level of the budget process.	The new principal was actively involved in making decisions during the budget process but was not hired before the actual process began.	The new principal had limited involvement and/or decision making authority in the budget process or was involved in only parts of the process.	The new principal was not involved in the budget process.
Grant the principal sufficient operational flexibility in implementing fully the Turnaround Model.	The new principal was hired before the process began and was involved in making decisions at every level the reform process.	The new principal was actively involved in making decisions during the reform process but was not hired before the actual process began.	The new principal had limited involvement and/or decision making authority in the reform process or was involved in only parts of the process.	The new principal was not involved in the reform process.
Provide appropriate social-emotional services* and supports to students.	The school has adopted and implemented appropriate social-emotional services and supports to students.	The school has adopted and is in the process of implementing appropriate social-emotional services and supports to students.	The school is investigating appropriate social-emotional services and supports to students.	The school offers no social-emotional services and supports to students.

STANDARD: CULTURE AND HUMAN CAPITAL				
STANDARD: CULTURE AND HUMAN CAPITAL				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Provide community-oriented services* and supports to students.	The school has adopted and implemented community-oriented services and supports to students.	The school has adopted, and is in the process of implementing, community-oriented services and supports to students.	The school is investigating community-oriented services and supports to students.	The school offers no community-oriented services and supports to students.

**A “competency,” which is a skill or consistent pattern of thinking, feeling, acting, or speaking that causes a person to be effective in a particular job or role, is a key predictor of how someone will perform at work. Given that every teacher brings a unique skill set of the classroom, thoughtfully developed assessments of such competencies can be used as part of a rigorous recruitment, screening, and selection process to identify educators with the unique qualities that equip them to succeed in the turnaround environment and can help ensure a strong match between teachers and particular turnaround schools. As part of a rigorous recruitment, screening and selection process, assessments of turnaround teachers’ competencies can be used by the principal or district leader to distinguish between very high performers and more typical or lower-performing teachers in a turnaround setting. Although an LEA may already have and use a set of tools to screen for appropriate competencies as part of its normal hiring practices, it is important to develop a set of competencies specifically designed to identify staff that can be effective in a turnaround situation because, in a turnaround school, failure has become an entrenched way of life for students and staff, and staff members need stronger and more consistent habits in crucial areas to transform the school’s wide-scale failure into learning success. (See pg. 17 of the guidance document for further information.)

An LEA is not obligated to use these particular strategies, so long as it implements some strategies that are designed to recruit, place, and retain the appropriate staff.)

*Social-emotional and community-oriented services that may be offered to students in a school implementing a turnaround model may include health, nutrition, or social services that may be provided in partnership with local service providers, or services such as a family literacy program for parents who need to improve their literacy skills in order to support their children’s learning. An LEA should examine the needs of students in the turnaround school to determine which social-emotional and community-oriented services will be appropriate and useful under the circumstances.

STANDARD: CURRICULUM AND ASSESSMENT

Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Use data to identify and implement an instructional program that is*: <ul style="list-style-type: none"> ✓ Aligned with State academic standards; ✓ Vertically and horizontally aligned; ✓ Research-based. 	The school used its data to identify and implement a research-based instructional program that is horizontally and vertically aligned as well as aligned with State academic standards.	The school used its data to identify a research-based instructional program that is horizontally and vertically aligned and aligned with State academic standards, and is in the process of implementation.	The school is investigating research-based instructional programs that are horizontally and vertically aligned and aligned with State academic standards.	The school's instructional program is not research-based, horizontally and vertically aligned, and/or aligned with State academic standards.
Promote the continuous use of student data to inform and differentiate instruction, such as: <ul style="list-style-type: none"> ✓ Formative assessments, ✓ Interim (progress monitoring) assessments, ✓ Summative assessments. 	Across the building, the school continuously utilizes student data in such forms as formative assessments, progress monitoring assessments, and summative assessments to inform and differentiate instruction.	The school has adopted formative assessments, progress monitoring assessments, and summative assessments and is in the process of implementing their use to inform and differentiate instruction.	The school is investigating different forms of assessment to inform and differentiate instruction.	The school does not use student data to inform and differentiate instruction.

*In implementing a turnaround model, an LEA must use data to identify an instructional program that is research-based and vertically aligned as well as aligned with State academic standards. If an LEA determines, based on a careful review of appropriate data, that the instructional program currently being implemented in a particular school is research-based and properly aligned, it may continue to implement that instructional program. However, the Department of Education expects that most LEAs with Tier I and Tier II schools will need to make at least minor adjustments to the instructional programs in those schools to ensure that those programs are, in fact, research-based and properly aligned.

STANDARD: INSTRUCTION AND PROFESSIONAL DEVELOPMENT				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Provide staff ongoing, high quality, job-embedded professional development* that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the turnaround model.	The school has adopted and implemented ongoing, high quality, job-embedded professional development* that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the turnaround model.	The school has adopted and is in the process of implementing ongoing, high quality, job-embedded professional development* that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the turnaround model.	The school is investigating high quality, job-embedded professional development* that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the turnaround model.	Professional development is not high-quality, job-embedded and/or aligned with the school's comprehensive instructional program and/or not designed with school staff.
Establish schedules and implement strategies that provide increased learning time.	The school has adopted and implemented strategies that provide increased learning time.	The school has adopted and is in the process of implementing strategies that provide increased learning time.	The school is investigating schedules and strategies that provide increased learning time.	The school has not adopted or implemented strategies that provide increased learning time.
*Job-embedded professional development can take many forms, including, but not limited to, classroom coaching, structured common planning time, meetings with mentors, consultation with outside experts, and observations of classroom practice.				
<i>An LEA implementing a turnaround model in one or more of its schools must take all of the actions required by the amended final guidance requirements. As discussed in B-2 of the final requirements, an LEA may take additional actions to supplement those that are required as part of a turnaround model, but it may not implement its own version of a turnaround model that does not include all of the elements required by the final requirements. Thus, an LEA could not, for example, convert a turnaround school to a magnet school without also taking the other actions specifically required as part of a turnaround model.</i>				

1003(g) RESTART MODEL for Tier I and Tier II

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
LEA converts or closes and reopens a school under a charter school operator, charter organization or education management organization	The district has converted or reopened the school as a charter school.			The district has not made a decision to convert or reopen as a charter school.
Flow of leadership organization is determined:	Leadership flow determined by selecting Option 1, 2 or 3			Leadership flow is not determined
Option 1 – District –Local Board- School Leader	<ul style="list-style-type: none"> ✓ District is governed by a Local board ✓ District hires leader(s) to run or operate school ✓ School Leader is held accountable for performance 	Two of the three components are implemented and operational	One component is implemented and operational	Option 1 is not operational or being implemented as agreed.
Option 2 – District- Local Board – Management Organization – School Leader	<ul style="list-style-type: none"> ✓ District is governed by the Local Board ✓ Local Board hires a Management Organization ✓ Management Organization hires a School Leader 	Two of the three components are implemented and operational . A Management Organization may be involved with more than one school	One components is implemented and operational	Option 2 is not operational or being implemented as agreed.

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Option 3 – District – Management Organization – School Leader	<ul style="list-style-type: none"> ✓ District charters or contracts directly with a Management Organization ✓ Management Organization hires a School Leader to manage the school. ✓ There is no decision made by the local board ✓ The management organization uses their board. 	Three of the four components are implemented and operational	Two of the four components are implemented and operational	Option 3 is not operational or being implemented as agreed.

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Application Process - Quality Indicators are evident in the LEA's application/petition as indicated: Educational Need, Mission, Purpose, Enrollment and Recruitment, Educational Philosophy, Support for Learning, Staffing Plan, Measurable Goals/Assessment, Governance, LEA Responsibilities, Financial Management including budget with implementation detail .	All Quality Indicators are addressed and clearly described to meet SEA requirements.			Quality Indicators are missing or not evident. Description lacking in detail.

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
<p>Quality Authorizing - Organizational structures, human resources, and financial resources including the following:</p> <ul style="list-style-type: none"> ✓ Intent to improve quality, ✓ Support the State Charter School law, ✓ A catalyst for Charter school development, ✓ Clarity, consistency, and transparency in developing and implementing policies and procedures ✓ Flexibility for performance based opportunities ✓ Hold schools accountable for academic performance ✓ Determine objective and verifiable 	<ul style="list-style-type: none"> ✓ Implements plans, policies, processes that streamline and systematize the work to be accomplished. ✓ Evaluates work against national and state standards ✓ Recognizes the SEA as the authorizer ✓ Strive for higher critical thinking, cognitive and problem solving skills ✓ Prepare for career ready 21st century skills 			Does not adhere to the authorizing elements, organizational structures and financial resources as defined by the application process led by the SEA.

measures for performance ✓ Build parent and				
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STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
student communication ✓ Decisions centered around student needs.				
Use rigorous, transparent, and equitable evaluation systems for teachers and school leaders, designed and developed with teacher and principal involvement, that take into account: ✓ Data on student growth, ✓ Multiple observations, ✓ -based assessments of performance; ✓ Ongoing collections of professional practice, ✓ Increased high school graduation rates.	The school has adopted and implemented evaluation systems for teachers and school leaders that are rigorous, transparent, equitable, and developed with teacher and school leader involvement.	The school has adopted and is in the process of implementing evaluation systems for teachers and school leaders that are rigorous, transparent, and equitable and developed with teacher and school leader involvement.	The school is investigating rigorous, transparent, and equitable evaluation systems for teachers and school leaders.	The school has not adopted and implemented rigorous, transparent, and equitable evaluation systems for teachers and school leaders.

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.	The school has adopted and implemented reward strategies for school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.	The school has adopted and is in the process of implementing reward strategies for school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.	The school is investigating reward strategies for school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.	The school has not adopted and implemented reward strategies for school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates.
Identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.	The school has adopted and implemented strategies to identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.	The school has adopted and is implementing strategies to identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.	The school is investigating strategies to identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.	The school has not adopted and implemented strategies to identify and remove those leaders, teachers, and other staff who, after ample opportunities have been provided for them to improve their professional practice, have not done so.

STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external partner/ organization such as an EMO.	The school has adopted and implemented strategies to ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization.	The school has adopted and is in the process of implementing strategies to ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization.	The school is investigating strategies to ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization.	The school has not adopted and implemented strategies to ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization.

STANDARD: CULTURE AND HUMAN CAPITAL				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Grant the school sufficient operational flexibility in areas such as: <ul style="list-style-type: none"> ✓ Staffing, ✓ Calendars/time, ✓ Budgeting, to implement fully a comprehensive approach to substantially improve student achievement and increase graduation rates.	The school has addressed areas such as staffing, calendars/time, and budget. The school adopted and implemented a comprehensive approach to substantially improve student achievement and increase graduation rates.	The school has addressed areas such as staffing, calendars/time, and budget. The school is in the process of implementing a comprehensive approach to substantially improve student achievement and increase graduation rates.	The school is investigating a comprehensive approach to substantially improve student achievement and increase graduation rates.	The school has not adopted or implemented a comprehensive approach to substantially improve student achievement and/or increase graduation rates.
Implement strategies that will recruit, place and retain staff with the skills necessary to meet the needs of the students in the Charter school, which may include, but are not limited to: <ul style="list-style-type: none"> ✓ Incentives, ✓ Increased career opportunities, ✓ Instructional flexibility 	The school has adopted and implemented multiple innovative and aggressive strategies to help recruit, place, and retain staff.	The school has adopted and is in the process of implementing multiple innovative and aggressive strategies to help recruit, place, and retain staff.	The school is investigating multiple innovative and aggressive strategies to help recruit, place, and retain staff.	The school has made no changes in their strategies to help recruit, place, and retain staff.

STANDARD: CULTURE AND HUMAN CAPITAL				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Provide ongoing mechanisms for family and community engagement.	The school has adopted and implemented community-oriented services and supports to students.	The school has adopted, and is in the process of implementing, community-oriented services and supports to students.	The school is investigating community-oriented services and supports to students.	The school offers no community-oriented services and supports to students.

STANDARD: CURRICULUM AND ASSESSMENT				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Use data to identify and implement an instructional program that is* <ul style="list-style-type: none"> ✓ Aligned with State academic standards , ✓ Vertically and horizontally aligned, ✓ Research-based. 	The school used data to identify and implement a research-based instructional program that aligned to State academic standards, horizontally and vertically aligned program and included 21 st Century Skills.	The school is in the process of implementation, used data to identify a research-based instructional program, aligned to State standards, horizontally and vertically aligned program and included 21 st Century Skills.	The school is investigating a research-based instructional program, that ensures horizontally, vertically, and State alignment to academic standards.	The school's instructional program is not research-based, horizontally and vertically aligned, and/or aligned with State academic standards.
Promote the continuous use of student data to inform and differentiate instruction, such as: <ul style="list-style-type: none"> ✓ Project based formats ✓ Formative assessments, ✓ Progress monitoring, and ✓ Summative assessments. 	Across the building, the school continuously utilizes student data in such forms as project based formats, formative assessments, progress monitoring assessments, and summative assessments to inform and differentiate instruction.	The school has adopted formative assessments to include project based, progress monitoring assessments, summative assessments and is in the process of differentiating instruction.	The school is investigating different forms of assessment to inform and differentiate instruction.	The school does not use student data to inform and differentiate instruction.

STANDARD: INSTRUCTION AND PROFESSIONAL DEVELOPMENT				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Provide staff ongoing, high-quality, job-embedded professional development that is aligned with a comprehensive instructional program designed to ensure staff are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies.	The school has adopted and implemented ongoing, high quality, job-embedded professional development aligned with a comprehensive instructional program designed to ensure staff are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the Restart model.	The school has adopted and is in the process of implementing ongoing, high quality, job-embedded professional development aligned with a school's comprehensive instructional program designed to ensure staff are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the Restart model.	The school is investigating high quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed to ensure staff are equipped to facilitate effective teaching and learning and have the capacity to successfully implement the Restart model.	Professional development is not high-quality, job-embedded and/or aligned with a comprehensive instructional program.
Establish schedules and strategies that provide increased learning time.	The school has adopted and implemented strategies that provide increased learning time.	The school has adopted and is in the process of implementing strategies that provide increased learning time.	The school is investigating schedules and strategies that provide increased learning time.	The school has not adopted or implemented strategies that provide increased learning time.

1003(g) SCHOOL CLOSURE MODEL for Tier I and Tier II

STANDARDS: LEADERSHIP, CULTURE AND HUMAN CAPITAL, CURRICULUM AND ASSESSMENT, PROFESSIONAL DEVELOPMENT				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
<p>Leadership will devise a plan to address all standards (Leadership, Culture and Human Capital, Curriculum and Assessment, and Professional Development) that could include:</p> <ul style="list-style-type: none"> ✓ Personnel placement ✓ Policy ✓ Board decisions ✓ Student Assignment ✓ Transfer of Records ✓ Transportation ✓ Resource Reassignment ✓ Transfer of equipment ✓ Building numbers ✓ Facility issues ✓ Community PR ✓ Parent Communication ✓ Special Education Issues 	The district has a written plan on how all these issues will be dealt for closing the school.	The district has dealt with most of these issues in a written plan for closing the school.	The district has a written plan for some of these issues for closing the school.	The district has no written plan and has not addressed these issues for closing the school.

✓ Title I Issues ✓ Records ✓ Fiscal Services ✓ Accreditation Issues ✓ Communication with state				
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Appendix D

Process Timeline Based on the Six Steps of Implementation

Implementation Steps	Timeline
<p><u>Exploration and Adoption</u></p> <ol style="list-style-type: none"> 1. Needs Assessment using the Innovation Configuration Matrix (ICM) for Schools <ul style="list-style-type: none"> ○ Achievement Data <ul style="list-style-type: none"> ▪ School Leading Indicator Report ▪ School AYP Data ▪ School Report Card Data ○ Perception Data ○ Contextual (school processes/ programs) ○ Demographic Data 2. Selection of Model <ul style="list-style-type: none"> ○ School Improvement Model Selection Rubrics 3. Capacity of District <ul style="list-style-type: none"> ○ Capacity Appraisal using Innovation Configuration Matrix (ICM) for Districts ○ Systemic Coherence and Capacity Addendum to the District Effectiveness Appraisal ○ Sustainability Plan 4. Goal Setting 5. Completion of Stages 1 through 4 in School Improvement Process 6. LEA Application 7. LEA Presentation on Needs Assessment Results, Model Selection, Capacity Appraisal Results, and Goal Identification 8. Budget Negotiation 9. Approval of LEA Application by KSDE 	<p>SEA grant application is submitted in December 2010.</p> <p>LEAs receive notification of identified Tier I, Tier II and Tier III schools in December 2010.</p> <p>SEA grant application and LEA grant application is approved in January 2011.</p> <p>LEA grant application is distributed in January 2011.</p> <p>KSDE offers technical assistance to LEAs on grant competition January through webinar.</p> <p>LEA grants due March 1, 2011.</p> <p>LEA grants evaluated and site visits April 2011.</p> <p>LEA grants awarded at KSBE meeting May 2011.</p>
<p><u>*Program Installation and Initial Implementation –PRE-IMPLEMENTATION</u></p> <ol style="list-style-type: none"> 1. Family and Community Engagement Meetings 2. Rigorous Review of External Providers 3. Staffing 	<p>Money distributed to LEA’s June, 2011</p> <p>Pre-Implementation activities start at school in June</p>

<p>4. Instructional Programs (remediation and enrichment programs begin) 5. Professional Development 6. Aligning Accountability Measures for Reporting</p> <p>(**See guidance page 75 through 80 in SIG Guidance on Fiscal Year 2010 School Improvement Grants)</p>	
<p><u>Full Operation</u></p> <ol style="list-style-type: none"> 1. Beginning of School Year – Back to school kick-off 2. Continuation of School Staff Training 3. IC’s Bi-Weekly Meetings on Fidelity of Implementation of School Improvement Plan 4. Bi-Monthly and technical assistance monitoring by KSDE Staff 5. Student Orientation Sessions on School Changes 6. Family and Community Orientation Sessions on School Changes Continue 	<p>August 20, 2011</p>
<p><u>Innovation</u></p> <ol style="list-style-type: none"> 1. Analysis of Year One Data 2. Revisions to School Improvement Plan 3. Continuation of School Staff Training 	<p>June 2012</p>
<p><u>Sustainability</u></p> <ol style="list-style-type: none"> 1. Evaluation 2. Resource Alignment 3. Abandonment and Redesign 	<p>August 2012</p>

Appendix E

Systemic Coherence and Capacity Addendum

Leadership

- Coherence from district to school
- Establishment of a leadership team
- Management of the district plan and the school improvement plan
- External coaching for superintendent and principal
- Use of resources in a way that is aligned with district's theory of change and strategy
- Board policy to support school improvement and implementation of the model
- Analysis of district and school resources for successful implementation of the model
- Past history of successful reform initiatives
- Ability to collaborate
- Vision for change
- Vision for abandoning what is not working
- Alignment of programs and services to support change

Culture and Human Capital

- Grant operating funds
- District operating funds
- Grant management
- Organizational learning
- Assignment of resources
- Teacher evaluation system to match grant requirements
- Credentials of staff
- Staff capacity
- Successful recruitment of principal
- Successful recruitment of capable staff
- Support of parents
- Support of community
- Support of union
- Recruitment, screening, and selection of external providers
- Alignment of all programs

Instruction and Professional Development Culture

- Providing training and development sessions for all staff
- Defined instructional expectations for all teachers
- Supporting collaboration with families, community, and business
- Helping staff understand principles of the organizational change process
- Use data from classroom observations to inform instructional improvement and professional development
- Use of professional learning communities to analyze data and plan for improvement.

Curriculum and Assessment

- Aligned district curriculum
- Defined curriculum expectations for all teachers
- Defined assessment expectations for all teachers
- Aligned assessments, including diagnostic, formative, summative, etc.
- Fidelity of model implementation

**Appendix F
School Leading Indicator Report**

USD Number & Name _____ Name of School _____ Grade Span _____ Building Number _____

Indicator	Year 1 (Baseline)	Year 2	Year 3	Year 4
1. Number of minutes within the school year.				
2. Student participation rate on State Assessments in reading/language arts in mathematics by student subgroup				
3. Students proficient or above in reading				
4. Students proficient or above in math				
5. Dropout rate				
6. Student attendance rate				
7. Number and percentage of students completing advanced course work				
AP	/	/	/	/
IB	/	/	/	/
Early College High Schools	/	/	/	/
Dual enrollment classes	/	/	/	/
8. Discipline Incidents				

✓ Weapon Incidents-OSS				
✓ Weapon Incidents-Exp				
✓ Illicit Drug Incidents-OSS				
✓ Illicit Drug Incidents-Exp				
✓ Alcohol Incidents-OSS				
✓ Alcohol Incidents-Exp				
✓ Violent Incidents with injury OSS				
✓ Violent Incidents with injury Exp				
✓ Violent Incidents without injury OSS				
✓ Violent Incidents without injury Exp				
9. Truants				
10. Distribution of teachers by performance level on the LEA's teacher evaluation system				
11. Teacher Attendance Rate				

APPENDIX G

SEA ALLOCATIONS TO LEAS AND LEA BUDGETS

Continuing Impact of ARRA School Improvement Grant Funding in FY 2010

Congress appropriated \$546 million for School Improvement Grants in FY 2010. In addition, most States will be carrying over a portion of their FY 2009 SIG allocations, primarily due to the requirement in section II.B.9(a) of the SIG final requirements that if not every Tier I school in a State was served with FY 2009 SIG funds, the State was required to carry over 25 percent of its FY 2009 SIG allocation, combine those funds with the State's FY 2010 SIG allocation, and award the combined funding to eligible LEAs consistent with the SIG final requirements. In FY 2009, the combination of \$3 billion in School Improvement Grant funding from the American Recovery and Reinvestment Act and \$546 million from the regular FY 2009 appropriation created a unique opportunity for the program to provide the substantial funding over a multi-year period to support the implementation of school intervention models. In response to this opportunity, the Department encouraged States to apply for a waiver extending the period of availability of FY 2009 SIG funds until September 30, 2013 so that States could use these funds to make three-year grant awards to LEAs to support the full and effective implementation of school intervention models in their Tier I and Tier II schools. All States with approved FY 2009 SIG applications applied for and received this waiver to extend the period of availability of FY 2009 SIG funds and, consistent with the final SIG requirements, are using FY 2009 funds to provide a full three years of funding (aka, —frontloading) to support the implementation of school intervention models in Tier I and Tier II schools.

The Department encouraged frontloading in FY 2009 because the extraordinary amount of SIG funding available in FY 2009 meant that, if those funds had been used to fund only the first year of implementation of a school intervention model, *i.e.*, to make first-year only awards, there would not have been sufficient funding for continuation awards in years two and three of the SIG award period (*i.e.*, SIG funding in FY 2009 was seven times the amount provided through the regular appropriation). Similarly, the estimated nearly \$1.4 billion in total SIG funding available in FY 2010 (an estimated \$825 million in FY 2009 SIG carryover funds plus the \$546 million FY 2010 SIG appropriation) is larger than the expected annual SIG appropriation over the next two fiscal years; if all funds available in FY 2010 were used to make the first year of three-year awards to LEAs for services to eligible Tier I and Tier II schools, there would not be sufficient funds to make continuation awards in subsequent fiscal years.

Maximizing the Impact of Regular FY 2010 SIG Allocations

Continuing the practice of frontloading SIG funds in FY 2010 with respect to all SIG funds that are available for the FY 2010 competition (FY 2009 carryover funds plus the FY 2010 appropriation) would, in many States, limit the number of Tier I and Tier II schools that can be served as a result of the FY 2010 SIG competition. For this reason, the Department believes that, for most States, the most effective method of awarding FY 2010 SIG funds to serve the maximum number of Tier I and Tier II schools that have the capacity to fully and effectively implement a school intervention model is to frontload FY 2009 carryover funds while using FY 2010 SIG funds to make first-year only awards.

For example, if a State has \$36 million in FY 2009 carryover SIG funds and \$21 million in FY 2010 funds, and awards each school implementing a school intervention model an average of \$1 million per year over three years, the SEA would be able to fund 12 schools with FY 2009 carryover funds (*i.e.*, the \$36 million would cover all three years of funding for those 12 schools), plus an additional 21 schools with FY 2010 funds (*i.e.*, the \$21 million would cover the first year of funding for each of those schools, and the second and third years would be funded through continuation grants from subsequent SIG appropriations). Thus, the State would be able to support interventions in a total of 33 schools. However, if the same State elected to frontload all funds

available for its FY 2010 SIG competition (FY 2009 carryover funds and its FY 2010 allocation), it would be able to fund interventions in only 19 schools (\$57 million divided by \$3 million per school over three years). LEAs that receive first-year only awards would continue to implement intervention models in Tier I and Tier II schools over a three-year award period; however, second- and third-year continuation grants would be awarded from SIG appropriations in subsequent fiscal years. This practice of making first-year awards from one year's appropriation and continuation awards from funds appropriated in subsequent fiscal years is similar to the practice used for many U.S. Department of Education discretionary grant programs. States with FY 2009 SIG carryover funds are invited to apply, as in their FY 2009 applications, for the waiver to extend the period of availability of these funds for one additional year to September 30, 2014. States that did not carry over FY 2009 SIG funds, or that carried over only a small amount of such funds, need not apply for this waiver; such States will use all available FY 2010 SIG funds to make first-year awards to LEAs in their FY 2010 SIG competitions.

Continuation of \$2 Million Annual Per School Cap

For FY 2010, States continue to have flexibility to award up to \$2 million annually for each participating school. This flexibility applies both to funds that are frontloaded and those that are used for first-year only awards. As in FY 2009, this higher limit will permit an SEA to award the amount that the Department believes typically would be required for the successful implementation of the turnaround, restart, or transformation model in a Tier I or Tier II school (*e.g.*, a school of 500 students might require \$1 million annually, whereas a large, comprehensive high school might require the full \$2 million annually).

In addition, the annual \$2 million per school cap, which permits total per-school funding of up to \$6 million over three years, reflects the continuing priority on serving Tier I or Tier II schools. An SEA must ensure that all Tier I and Tier II schools across the State that its LEAs commit to serve, and that the SEA determines its LEAs have capacity to serve, are awarded sufficient school improvement funding to fully and effectively implement the selected school intervention models over the period of availability of the funds before the SEA awards any funds for Tier III schools.

The following describes the requirements and priorities that apply to LEA budgets and SEA allocations.

LEA Budgets

An LEA's proposed budget should cover a three-year period and should take into account the following:

1. The number of Tier I and Tier II schools that the LEA commits to serve and the intervention model (turnaround, restart, closure, or transformation) selected for each school.
2. The budget request for each Tier I and Tier II school must be of sufficient size and scope to support full and effective implementation of the selected intervention over a period of three years. First-year budgets may be higher than in subsequent years due to one-time start-up costs.
4. The portion of school closure costs covered with school improvement funds may be significantly lower than the amount required for the other models and would typically cover only one year.
5. The LEA may request funding for LEA-level activities that will support the implementation of school intervention models in Tier I and Tier II schools.
6. The number of Tier III schools that the LEA commits to serve, if any, and the services or benefits the LEA plans to provide to these schools over the three-year grant period.
7. The maximum funding available to the LEA each year is determined by multiplying the total number of Tier I, Tier II, and Tier III schools that the LEA is approved to serve by \$2 million (the maximum amount that an SEA may award to an LEA for each participating school).

SEA Allocations to LEAs

An SEA must allocate the LEA share of school improvement funds (*i.e.*, 95 percent of the SEA's allocation from the Department) in accordance with the following requirements:

1. The SEA must give priority to LEAs that apply to serve Tier I or Tier II schools.
2. An SEA may not award funds to any LEA for Tier III schools unless and until the SEA has awarded funds to serve all Tier I and Tier II schools across the State that its LEAs commit to serve and that the SEA determines its LEAs have capacity to serve.
3. An LEA with one or more Tier I schools may not receive funds to serve only its Tier III schools.
4. In making awards consistent with these requirements, an SEA must take into account LEA capacity to implement the selected school interventions, and also may take into account other factors, such as the number of schools served in each tier and the overall quality of LEA applications.
5. An SEA that does not have sufficient school improvement funds to allow each LEA with a Tier I or Tier II school to implement fully the selected intervention models may take into account the distribution of Tier I and Tier II schools among such LEAs in the State to ensure that Tier I and Tier II schools throughout the State can be served.
6. Consistent with the final requirements, an SEA may award an LEA less funding than it requests. For example, an SEA that does not have sufficient funds to serve fully all of its Tier I and Tier II schools may approve an LEA's application with respect to only a portion of the LEA's Tier I or Tier II schools to enable the SEA to award school improvement funds to Tier I and Tier II schools across the State. Similarly, an SEA may award an LEA funds sufficient to serve only a portion of the Tier III schools the LEA requests to serve.
7. Note that the requirement in section II.B.9(a) of the SIG requirements, under which an SEA that does not serve all of its Tier I schools must carry over 25 percent of its FY 2009 SIG allocation to the following year, does not apply to FY 2010 SIG funds.

An SEA's School Improvement Grant award to an LEA must:

1. Include not less than \$50,000 or more than \$2 million per year for each participating school (*i.e.*, the Tier I, Tier II, and Tier III schools that the LEA commits to serve and that the SEA approves the LEA to serve).
2. Provide sufficient school improvement funds to implement fully and effectively one of the four intervention models in each Tier I and Tier II school the SEA approves the LEA to serve or close, as well as sufficient funds for serving participating Tier III schools. An SEA may reduce an LEA's requested budget by any amounts proposed for interventions in one or more schools that the SEA does not approve the LEA to serve (*i.e.*, because the LEA does not have the capacity to serve the school or because the SEA is approving only a portion of Tier I and Tier II schools in certain LEAs in order to serve Tier I and Tier II schools across the State). An SEA also may reduce award amounts if it determines that an LEA can implement its planned interventions with less than the amount of funding requested in its budget.
3. Consistent with the priority in the final requirements, provide funds for Tier III schools only if the SEA has already awarded funds for all Tier I and Tier II schools across the State that its LEAs commit to serve and that the SEA determines its LEAs have capacity to serve.
4. Include any requested funds for LEA-level activities that support implementation of the school intervention models.
5. Apportion any FY 2009 carryover school improvement funds so as to provide funding to LEAs over three years (assuming the SEA has requested and received a waiver to extend the period of availability to September 30, 2014).

6. Use FY 2010 school improvement funds to make the first year of three-year grant awards to LEAs (unless the SEA has received a waiver of the period of availability for its FY 2010 funds). Continuation awards for years 2 and 3 would come from SIG appropriations in subsequent fiscal years.

Appendix H
KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
Explanation of Budget Line Items

1000 Instruction	
100	Personnel Services—Salaries Instructional salaries for full & part-time certified and non-certified employees, substitute pay, & stipends.
200	Employee Benefits FICA, Group Insurance, Workman’s Compensation, etc., for personnel in line 100 above.
300	Purchased Professional & Technical Services Into District: Consultants, subcontracts, mini-grants, counseling, guidance, medical and accounting services.
400	Purchased Property Services Lease, repair, maintain, & rent property & equipment, owned or used by the district.
500	Other Purchased Services Out of District: Staff travel, workshops/conference registrations, per diem, mileage, lodging, staff development.
600	Supplies & Materials Items that can be consumed, worn out, or deteriorated through use. This includes software that was purchased independently of a hardware package. For Title I, this may be no more than 10% of the total allocation.
700	Property Initial, additional or replacement equipment. This includes software that was purchased as part of a hardware package. For Title I, this amount may be no more than 10% of the total allocation, or \$2,000, whichever is greater.
2000 Support Services	
2100	Support Services --Students Activities designed to assess and improve the well-being of students and to supplement the teaching process. Include only staff in attendance, social work services, substance abuse, guidance and health services, and parent involvement.
2200	Support Services – Instructional Staff Activities associated with assisting the instructional staff in planning, developing and evaluating the process of providing learning experiences for students. These activities include curriculum development, techniques of instruction, child development and understanding, staff training, etc.
2300	Support Services (General Administration) Activities concerned with the overall general administration of the program. These include all personnel and materials required to support

	the program. If a federal program is audited by a state auditor, the CPA audit costs may not be charged to the federal program.
2329	Other Executive Administration Services Amount of funds generated by the indirect cost rate. (i.e., general operating costs such as duplicating, postage, room rental, telephone, etc.)
2400	Support Services Activities that have been assigned in addition to the normal contract concerned with directing and managing the operation of a particular school. Examples would include extended days, Title I summer school or alternative high school.
2700	Student Transportation Services Providing transportation for students. Activities concerned with conveying students to and from school, as provided by State and Federal law. This includes trips between home and school, and trips to and from school activities. Federal funds may not be used to supplant regular transportation costs.
3000 Non-Instructional Services	
3300	Community Services Operations <i>Providing community services to staff or students.</i>
3400	Student Activities Providing activities associated with the students in these programs.

**Appendix I
LEA Application Scoring Form
SUMMARY PAGE**

Reviewer Name: USD Name and USD #: Grant Application Name:

Section	Points Awarded
Section A: Schools to be Served	<i>/5</i>
Section B: Descriptive Information	<i>/210</i>
Section C: Budget	<i>/35</i>
Section D: Assurances	<input type="checkbox"/> Yes <input type="checkbox"/> No
Section E: Waivers	<input type="checkbox"/> Yes <input type="checkbox"/> No
TOTAL APPLICATION SCORE	<i>/250</i>

LEA Grant Scoring Form

A. SCHOOLS TO BE SERVED: An LEA must include the following information with respect to the schools it will serve with a School Improvement Grant.

- 5 pts.** The LEA must identify each Tier I, Tier II and Tier III school the LEA commits to serve and identify the model that the LEA will use in each Tier I and Tier II school.
- (a) the name and NCES ID # of each school along with the identification of the tier level for each school
 - (b) the intervention model that will be implemented in each school

Scoring Rubric

Marginal (0-1 pts.)	Somewhat Rigorous (2-3 pts.)	Most Rigorous (4-5 pts.)
<p>Identification:</p> <ul style="list-style-type: none"> • List of schools is missing. • Models have not been identified for each school. 	<p>Identification:</p> <ul style="list-style-type: none"> • List of schools is provided but tiers are not designated. • Some models have been identified for individual schools but the list is incomplete. 	<p>Identification:</p> <ul style="list-style-type: none"> • List of schools are provided and correctly identified into tiers. • Models of intervention have clearly been identified that will be implemented for each school.

Points Awarded _____

Comments

B: DESCRIPTIVE INFORMATION: An LEA must include the following information in its application for a School Improvement Grant.

B 1a: For each Tier I and Tier II school that the LEA commits to serve, the LEA must demonstrate that – The LEA has analyzed the needs of each school and selected an intervention for each school.

10 pts. Describe the needs assessment process that the school went through before selecting the Intervention Model.

Scoring Rubric

Marginal (0-3 pts.)	Somewhat Rigorous (4-6 pts.)	Most Rigorous (7-10 pts.)
Process: <ul style="list-style-type: none"> • No evidence of a needs assessment process was provided. • Process does not include all required stakeholders. 	Process: <ul style="list-style-type: none"> • Limited evidence of a needs assessment process was provided. • Limited evidence of consultation with stakeholders regarding the needs assessment process. 	Process: <ul style="list-style-type: none"> • Substantial evidence of a needs assessment process was provided. • Relevant stakeholders were involved in the needs assessment process.

Points Awarded _____

Comments

15 pts. Write a brief summary of the school's data analysis results/findings. Include:

- Achievement Data
 - School Leading Indicator Report
 - School AYP Data
 - School Report Card Data
- Perception Data
- School AYP Data
- School Report Card Data

Scoring Rubric

Marginal (0-5 pts.)	Somewhat Rigorous (6-10 pts.)	Most Rigorous (11-15 pts.)
Summary: <ul style="list-style-type: none"> • few sources of data are included. • no summarization of the data is evident. 	Summary: <ul style="list-style-type: none"> • three of the listed sources of data are included. • summarization of data is not clear. 	Summary: <ul style="list-style-type: none"> • four of the listed sources of data are included. • a concise summarization of the data is evident.

Points Awarded _____

Comments

15 pts. Based on the school's data analysis results, describe the root cause(s) that support the selection of an appropriate intervention model (Root Cause Analysis).

Scoring Rubric

Marginal (0-5 pts.)	Somewhat Rigorous (6-10 pts.)	Most Rigorous (11-15 pts.)
<ul style="list-style-type: none"> No evidence of causes and contributing factors with few connections to low student achievement and/or need for schoolwide intervention. 	<ul style="list-style-type: none"> Limited evidence of causes and contributing factors with few connections to low student achievement and/or need for schoolwide intervention. 	<ul style="list-style-type: none"> Clearly analysis of causes and contributing factors to low student achievement and/or need for schoolwide intervention is provided.

Points Awarded _____

Comments

B 1b: For each Tier I and Tier II school that the LEA commits to serve, the LEA must demonstrate that – The LEA has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA’s application in order to implement, fully and effectively the required activities of the school intervention model it has selected.

15 pts. Using the Needs Assessment results and the selected School Intervention Model, assess the district and school capacity: Elaborate on how the school used the Innovation Configuration Matrix (ICM) for Schools.

Scoring Rubric

Marginal (0-5 pts.)	Somewhat Rigorous (6-10 pts.)	Most Rigorous (11-15 pts.)
<ul style="list-style-type: none"> Needs assessment does not address all academic areas or subpopulations in which the school is underperforming or showing regression Non-academic needs and associated data are not linked to conditions that impact student achievement 	<ul style="list-style-type: none"> Needs assessment addresses all academic areas or subpopulations in which the school is underperforming or showing regression Non-academic needs and associated data are generally linked to conditions that impact student achievement 	<ul style="list-style-type: none"> Needs assessment is comprehensive, addresses all academic areas or subpopulations in which the school is underperforming or showing regression, and addresses underlying conditions and causes for academic performance issues Non-academic needs and associated data are clearly and logically linked to conditions that impact student achievement

Points Awarded _____

Comments

5 pts. Discuss the strengths and weaknesses identified in the capacity appraisal that was done for the school using the Innovation Configuration Matrix (ICM for Schools).

Scoring Rubric

Marginal (0-1 pts.)	Somewhat Rigorous (2-3 pts.)	Most Rigorous (4-5 pts.)
<ul style="list-style-type: none"> Unclear evidence of strengths and weaknesses was provided. 	<ul style="list-style-type: none"> Limited evidence of strengths and weaknesses was provided. 	<ul style="list-style-type: none"> Substantial evidence of strengths and weaknesses was provided.

Points Awarded _____

Comments

10 pts. Provide an explanation of the school’s capacity to use school improvement funds to provide adequate resources and related support for full and effective implementation of all required activities of the selected model.

Scoring Rubric

Marginal (0-3 pts.)	Somewhat Rigorous (4-6 pts.)	Most Rigorous (7-10 pts.)
<ul style="list-style-type: none"> School’s capacity to use school improvement funds has not been addresses or has been minimally addressed. 	<ul style="list-style-type: none"> School’s capacity to use school improvement funds has been addressed. 	<ul style="list-style-type: none"> School’s capacity to use school improvement funds has been clearly demonstrated.

Points Awarded _____

Comments

B 2: If the LEA is not applying to serve each Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.

5 pts.

Scoring Rubric

Marginal (0-1 pts.)	Somewhat Rigorous (2-3 pts.)	Most Rigorous (4-5 pts.)
<ul style="list-style-type: none">LEA's attempt to explain why it lacks capacity to serve each Tier I school is unclear or does not provide sufficient reason to omit from serving school.	<ul style="list-style-type: none">Explains why it lacks capacity to serve each Tier I school.	<ul style="list-style-type: none">Clearly explains with supporting detail why the LEA lacks capacity to serve each Tier I school.

Points Awarded _____

Comments

B 3: The LEA must describe actions it has taken, or will take, to design and implement interventions consistent with the final requirements.

15 pts. Using the needs assessment results, select the Appropriate Intervention Model. Elaborate on how the school utilized the School Intervention Model Selection Rubrics to choose a model.

Scoring Rubric

Marginal (0-5 pts.)	Somewhat Rigorous (6-10 pts.)	Most Rigorous (11-15 pts.)
<ul style="list-style-type: none"> Selected intervention model(s) does not address the needs identified in the school(s)'s needs assessment 	<ul style="list-style-type: none"> Selected intervention model(s) adequately addresses the needs identified in the school(s)'s needs assessment 	<ul style="list-style-type: none"> Selected model(s) fully addresses the needs identified in the school(s)'s needs assessment

Points Awarded _____

Comments

5 pts. Describe why the model will be an appropriate fit for the school.

Scoring Rubric

Marginal (0-1 pts.)	Somewhat Rigorous (2-3 pts.)	Most Rigorous (4-5 pts.)
<ul style="list-style-type: none">Rationale for model selection is unclear or is not logical	<ul style="list-style-type: none">Rationale for model selection is logical and clear.	<ul style="list-style-type: none">Rationale for model selection is detailed, strong, and directly links the model to the needs assessment.

Points Awarded _____

Comments

15 pts. Describe the actions the school will take to design and implement interventions consistent with the final requirements of the grant..

Scoring Rubric

Marginal (0-5 pts.)	Somewhat Rigorous (6-10 pts.)	Most Rigorous (11-15 pts.)
<ul style="list-style-type: none"> Interventions are not consistently designed and implemented to meet final requirements. Selected intervention model(s) does not address the needs identified in the school(s)'s needs assessment 	<ul style="list-style-type: none"> Interventions are designed and implemented to be consistent with final requirements. Selected intervention model(s) adequately addresses the needs identified in the school(s)'s needs assessment 	<ul style="list-style-type: none"> Interventions are carefully designed and implemented with integrity to be consistent with final requirements. Selected model(s) fully addresses the needs identified in the school(s)'s needs assessment

Points Awarded _____

Comments

10 pts. Describe the actions the school will take to recruit, screen and select external providers, if applicable to ensure their quality.

Scoring Rubric

Marginal (0-3 pts.)	Somewhat Rigorous (4-6 pts.)	Most Rigorous (7-10 pts.)
<ul style="list-style-type: none">The application lacks documentation that thorough recruiting, screening and selecting of external providers was done to ensure their quality.	<ul style="list-style-type: none">Where applicable, the application describes the recruiting, screening and selecting of external providers to ensure their quality.	<ul style="list-style-type: none">Where applicable, the application clearly describes the recruiting, screening and selecting of external providers to ensure their quality.

Points Awarded _____

Comments

5 pts. Describe how the school will align other resources with the interventions.

Scoring Rubric

Marginal (0-1 pts.)	Somewhat Rigorous (2-3 pts.)	Most Rigorous (4-5 pts.)
<ul style="list-style-type: none">Other resources are not aligned with the interventions.	<ul style="list-style-type: none">Other resources are aligned with the interventions to aid implementation.	<ul style="list-style-type: none">Other resources are carefully aligned with the interventions to aid implementation.

Points Awarded _____

Comments

5 pts. Explain what practices or policies, if necessary, will need to be modified to enable the school to implement the interventions fully and effectively.

Scoring Rubric

Marginal (0-1 pts.)	Somewhat Rigorous (2-3 pts.)	Most Rigorous (4-5 pts.)
<ul style="list-style-type: none">Where necessary, changes in practices and policies have not fully taken place where these changes would enable the school(s) to implement interventions.	<ul style="list-style-type: none">Where necessary, practices and policies have been modified to enable the school(s) to implement interventions.	<ul style="list-style-type: none">Where necessary, practices and policies have been modified to enable the school(s) to implement interventions fully and effectively.

Points Awarded _____

Comments

5 pts. Explain how the school will sustain the reforms after the funding period ends.

Scoring Rubric

Marginal (0-1 pts.)	Somewhat Rigorous (2-3 pts.)	Most Rigorous (4-5 pts.)
<ul style="list-style-type: none">The application does not clearly describe how the reforms will be sustained after the funding period ends.	<ul style="list-style-type: none">The application does not clearly describe how the reforms will be sustained after the funding period ends.	<ul style="list-style-type: none">The application clearly describes how the reforms will be sustained after the funding period ends.

Points Awarded _____

Comments

B 4: The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Tier I and Tier II school identified in the LEA's application.

10 pts.

Scoring Rubric

Marginal (0-3 pts.)	Somewhat Rigorous (4-6 pts.)	Most Rigorous (7-10 pts.)
<ul style="list-style-type: none"> Provides a vague timeline without delineation of the steps that will be taken to implement the selected intervention. 	<ul style="list-style-type: none"> Provides a timeline for each step the LEA will take to implement the selected intervention. 	<ul style="list-style-type: none"> Provides a detailed timeline delineating each step the LEA will take to implement the selected intervention.

Points Awarded _____

Comments

B 5: The LEA must describe the annual goals for student achievement on the State's assessment in both reading/language arts and mathematics that it has established in order to monitor its Tier I and Tier II schools that receive school improvement funds..

15 pts.

Scoring Rubric

Marginal (0-5 pts.)	Somewhat Rigorous (6-10 pts.)	Most Rigorous (11-15 pts.)
<ul style="list-style-type: none"> Goals for student achievement on the state reading/language arts and mathematics assessments are vague, insignificant, or unrealistic. Goals are generic and do not address intervention models chosen Objectives are not directly related to the goal, the selected intervention, or the school(s)'s needs 	<ul style="list-style-type: none"> Describes annual goals for student achievement on the reading/language arts and mathematics state assessments There is a goal for each intervention model chosen Objectives are related to the goal, selected intervention and the school(s)'s needs 	<ul style="list-style-type: none"> Clearly describes significant annual goals for student achievement on the reading/language arts and mathematics state assessments Goals specifically address which intervention model will be implemented at which school(s) and there is a separate goal for each intervention model chosen Objectives are directly related to the goal and selected intervention and clearly address each school(s)'s needs

Points Awarded _____

Comments

B 6: For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement, if applicable.

- 10 pts.**
- (a) Each Tier III school that the LEA plans on serving has been identified.
 - (b) A description of the services that the LEA will provide to the school is provided.
 - (c) A description of the activities that the school will implement was provided.

Scoring Rubric

Marginal (0-3 pts.)	Somewhat Rigorous (4-6 pts.)	Most Rigorous (7-10 pts.)
<p>The grant is not clear in:</p> <ul style="list-style-type: none"> • identifying the Tier III schools to be served. • describing the services that the LEA will provide to the Tier III schools. 	<p>The grant provides:</p> <ul style="list-style-type: none"> • some but not all Tier III schools to be served. • a general description of the services that the LEA will provide to the Tier III schools. 	<p>The grant:</p> <ul style="list-style-type: none"> • clearly identifies all Tier III schools to be served. • clearly and concisely describes the services that the LEA will provide to the Tier III schools.

Points Awarded _____

Comments

B 7: The LEA must describe the goals it has established (subject to approval by SEA) in order to hold accountable its Tier III schools that receive school improvement funds.

- 30 pts.**
- (a) Identify goals/objectives consistent with the desired outcomes and required activities. These must be specific, measurable, attainable and time-bound.
 - (b) Describe how the evaluation plan will document the effectiveness of the activities within identified schools.
 - (c) Describe how the district will use school evaluation data to determine the effectiveness of the school improvement funded activities.

Scoring Rubric

Marginal (0-9 pts.)	Somewhat Rigorous (10-20 pts.)	Most Rigorous (21-30 pts.)
<ul style="list-style-type: none"> • The proposal fails to identify the goals/objectives to document the effectiveness of activities for individual schools. • The proposal fails to provide an evaluation plan, which would document the effectiveness of the activities in the schools. • The proposal lacks a clear description of how the LEA will determine the effectiveness of the school improvement funded activities. 	<ul style="list-style-type: none"> • The proposal establishes overall minimum achievement expectations. • The proposal provides a vague evaluation plan, which would document the effectiveness of the activities in the schools. • The proposal provides a vague plan on how evaluation data will be used to determine the effectiveness of the school improvement funded activities. 	<ul style="list-style-type: none"> • The proposal identifies goals/objectives, which are consistent with the desired outcomes and required activities of the grant (specific, measurable, attainable, and time-phased). • The proposal describes how evaluation plan will document effectiveness of the activities within the identified schools. • The proposal describes how the district will use school evaluation data to determine the effectiveness of the school improvement funded activities.

Comments

Points Awarded _____

B 8: As appropriate, the LEA must consult with relevant stakeholders regarding the LEA's application and implementation of school improvement models in its Tier I and Tier II schools. It should include:

- 10 pts.**
- (a) A list of stakeholders who provided input.
 - (b) The process of how the stakeholders were consulted with regarding the application.

Scoring Rubric

Marginal (0-3 pts.)	Somewhat Rigorous (4-6 pts.)	Most Rigorous (7-10 pts.)
<ul style="list-style-type: none"> • The grant fails to identify any stakeholders whom the LEA consulted with concerning the application and the implementation of the school improvement models in its Tier I and Tier II schools. • The grant fails to describe how the stakeholders were consulted with concerning the application and the implementation of the school improvement models in its Tier I and Tier II schools. 	<ul style="list-style-type: none"> • The grant identified stakeholders whom the LEA consulted with concerning the application and the implementation of the school improvement models in its Tier I and Tier II schools, however it was not clear if these were relevant stakeholders. • The grant provided a vague description of the how the stakeholders were consulted with concerning the application and the implementation of the school improvement models in its Tier I and Tier II schools. 	<ul style="list-style-type: none"> • The grant identified key stakeholders whom the LEA consulted with concerning the application and the implementation of the school improvement models in its Tier I and Tier II schools. Resumes were included to determine their relevance. • The grant provided a detailed description of the how the stakeholders were consulted with concerning the application and the implementation of the school improvement models in its Tier I and Tier II schools and what role they would play in the implementation of the funded activities.

Points Awarded _____

Comments

C: BUDGET: An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Tier I, Tier II, and Tier III school it commits to serve.

- 35 pts.** The LEA must provide a budget that indicates the amount of school improvement funds the LEA will use each year to –
- (a) Implement the selected model in each Tier I and Tier II school it commits to serve;
 - (b) Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA’s Tier I and Tier II schools; and
 - (c) Support school improvement activities, at the school or LEA level, for each Tier III school identified in the LEA’s application.

Scoring Rubric

Marginal (0-11 pts.)	Somewhat Rigorous (12-23 pts.)	Most Rigorous (24-35 pts.)
<ul style="list-style-type: none"> • Grant funds are not aligned or clearly tied to the goals, objectives, and strategies. • The budget does not fully support all required components of the intervention model selected. • Other state, local and federal funds supporting grant activities are not specified. • Budgeted items do not comply with supplement, not supplant, provisions of ESEA. 	<ul style="list-style-type: none"> • Grant funds are tied to the goals, objectives, and strategies. • Budgeted items support all required components of the intervention model selected. • Other state, local and federal funds supporting grant activities are specified. 	<ul style="list-style-type: none"> • Grant funds are clear and well defined and directly support the goals, objectives, and strategies. • Budgeted items are of sufficient scope and amount to ensure strategy success and full intervention model implementation. • Other state, local and federal funds clearly and logically support the plan. • All budgeted items comply with supplement, not supplant, provisions of ESEA, including Title I, Part A, §1114(a)(2)(B) and §1120A(b)

Points Awarded _____

Comments

D: ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant.

Assurances have been checked. Yes No (Circle one.)

E: WAIVERS: If the SEA has requested any waivers of requirements applicable to the LEA's School Improvement Grant, an LEA must indicate which of those waivers it intends to implement.

Waivers the LEA will implement have
been checked. Yes No (Circle one.)