

School Improvement Grants Application

Section 1003(g) of the Elementary and Secondary Education Act

Fiscal Year 2010

CFDA Number: 84.377A

State Name: KANSAS



U.S. Department of Education
Washington, D.C. 20202



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Paperwork Burden Statement

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SCHOOL IMPROVEMENT GRANTS

Purpose of the Program

School Improvement Grants (SIG), authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants to State educational agencies (SEAs) that SEAs use to make competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. Under the final requirements published in the *Federal Register* on October 28, 2010 (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>), school improvement funds are to be focused on each State's "Tier I" and "Tier II" schools. Tier I schools are the lowest-achieving 5 percent of a State's Title I schools in improvement, corrective action, or restructuring, Title I secondary schools in improvement, corrective action, or restructuring with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain Title I eligible (and participating) elementary schools that are as low achieving as the State's other Tier I schools ("newly eligible" Tier I schools). Tier II schools are the lowest-achieving 5 percent of a State's secondary schools that are eligible for, but do not receive, Title I, Part A funds, secondary schools that are eligible for, but do not receive, Title I, Part A funds with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain additional Title I eligible (participating and non-participating) secondary schools that are as low achieving as the State's other Tier II schools or that have had a graduation rate below 60 percent over a number of years ("newly eligible" Tier II schools). An LEA also may use school improvement funds in Tier III schools, which are Title I schools in improvement, corrective action, or restructuring that are not identified as Tier I or Tier II schools and, if a State so chooses, certain additional Title I eligible (participating and non-participating) schools ("newly eligible" Tier III schools). (See Appendix B for a chart summarizing the schools included in each tier.) In the Tier I and Tier II schools an LEA chooses to serve, the LEA must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model.

Availability of Funds

The Department of Education Appropriations Act, 2010, provided \$546 million for School Improvement Grants in fiscal year (FY) 2010. In addition, the U.S. Department of Education (Department) estimates that, collectively, States have carried over approximately \$825 million in FY 2009 SIG funds that will be combined with FY 2010 SIG funds, for a total of nearly \$1.4 billion that will be awarded by States as part of their FY 2010 SIG competitions.

FY 2010 school improvement funds are available for obligation by SEAs and LEAs through September 30, 2012.

State and LEA Allocations

Each State (including the District of Columbia and Puerto Rico), the Bureau of Indian Education, and the outlying areas are eligible to apply to receive a School Improvement Grant. The Department will allocate FY 2010 school improvement funds in proportion to the funds received in FY 2010 by the States, the Bureau of Indian Education, and the outlying areas under Parts A, C, and D of Title I of the ESEA. An SEA must allocate at least 95 percent of its school improvement funds directly to LEAs in accordance with the final requirements (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>). The SEA may retain an amount not to exceed five percent of its allocation for State administration, evaluation, and technical assistance.

Appendix A provides guidance on how SEAs can maximize the number of Tier I and Tier II schools its LEAs can serve with FY 2009 carryover and FY 2010 SIG funds when making their LEA allocations for the FY 2010 competition. See Appendix A for a more detailed explanation.

Consultation with the Committee of Practitioners

Before submitting its application for a SIG grant to the Department, an SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein. The Department recommends that the SEA also consult with other stakeholders, such as potential external providers, teachers' unions, and business, civil rights, and community leaders that have an interest in its application.

FY 2010 Submission Information

Electronic Submission:

The Department strongly prefers to receive an SEA's FY 2010 School Improvement Grant (SIG) application electronically. The application should be sent as a Microsoft Word document, not as a PDF.

The SEA should submit its FY 2010 application to the following address: school.improvement.grants@ed.gov

In addition, the SEA must submit a paper copy of the cover page signed by the SEA's authorized representative to the address listed below under "Paper Submission."

Paper Submission:

If an SEA is not able to submit its application electronically, it may submit the original and two copies of its SIG application to the following address:

Carlas McCauley, Education Program Specialist
Student Achievement and School Accountability Programs
U.S. Department of Education
400 Maryland Avenue, SW, Room 3W320
Washington, DC 20202-6132

Due to potential delays in government processing of mail sent through the U.S. Postal Service, SEAs are encouraged to use alternate carriers for paper submissions.

Application Deadline

Applications are due on or before December 3, 2010.

For Further Information

If you have any questions, please contact Carlas McCauley at (202) 260-0824 or by e-mail at carlas.mccauley@ed.gov.

FY 2010 Application Instructions

Most of the FY 2010 SIG application is identical to the FY 2009 application. A new section for additional evaluation criteria (Section B-1) has been added and Section H on Waivers has been expanded. Section D on Descriptive Information (Section D – Part 1, Section D – Parts 2-8) has also been reformatted into two separate sections for the FY 2010 application, but all other parts of the application remain the same.

Consequently, except as provided below, an SEA must update only those sections that include changes from the FY 2009 application. In particular, the Department expects that most SEAs will be able to retain Section B on Evaluation Criteria, Section C on Capacity, and Section D (parts 2-8) on Descriptive Information, sections that make up the bulk of the SIG application. An SEA has the option to update any of the material in these sections if it so desires.

We are requiring SEAs to update some sections of the SIG application to ensure that each SEA focuses its FY 2010 SIG funds, including any funds carried over from FY 2009, on serving its persistently lowest-achieving schools in LEAs with the capacity and commitment to fully and effectively implement one of the four required school intervention models beginning in the 2011-2012 school year.

Note that while an SEA may be able to submit significant portions of its FY 2010 SIG application unchanged from FY 2009, we recommend that it review all sections of the FY 2010 application to ensure alignment with any required changes or revisions.

SEAs should also note that they will only be able to insert information in designated spaces (form fields) in the application because of formatting restrictions. Clicking on a section of the application that is restricted will automatically jump the cursor to the next form field which may cause users to skip over information in the application. Users may avoid this issue by using the scroll bar to review the application. However, due to these restrictions, the Department recommends that SEAs print a copy of the application and review it in its entirety before filling out the form.

APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

<p>Legal Name of Applicant: Kansas State Department of Education</p>	<p>Applicant's Mailing Address: Kansas State Department of Education 120 SE 10th Avenue Topeka, KS 66612-1182</p>
<p>State Contact for the School Improvement Grant</p> <p>Name: Dr. Julie Ford</p> <p>Position and Office: Title Programs and Services Team Director</p> <p>Contact's Mailing Address: Kansas State Department of Education 120 SE 10th Avenue Topeka, KS 66612-1182</p> <p>Telephone: (785) 296-3069</p> <p>Fax: (785) 296-5867</p> <p>Email address: jford@ksde.org</p>	
<p>Chief State School Officer (Printed Name): Dr. Diane DeBacker</p>	<p>Telephone: 785-296-3202</p>
<p>Signature of the Chief State School Officer: X Diane M. DeBacker</p>	<p>Date: December 3, 2010</p>
<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>	

FY 2010 Application Checklist

Please use this checklist to serve as a roadmap for the SEA's FY 2010 application.

Please note that an SEA's submission for FY 2010 must include the following attachments, as indicated on the application form:

- Lists, by LEA, of the State's Tier I, Tier II, and Tier III schools.
- A copy of the SEA's FY 2010 LEA application form that LEAs will use to apply to the SEA for a School Improvement Grant.
- If the SEA seeks any waivers through its application, a copy of the notice it provided to LEAs and a copy of any comments it received from LEAs as well as a copy of, or link to, the notice the SEA provided to the public.

Please check the relevant boxes below to verify that all required sections of the SEA application are included and to indicate which sections of the FY 2010 application the SEA has revised from its FY 2009 application.

SECTION A: ELIGIBLE SCHOOLS	<input checked="" type="checkbox"/> Definition of "persistently lowest-achieving schools" (PLA schools) is same as FY 2009	<input type="checkbox"/> Definition of "persistently lowest-achieving schools" (PLA schools) is revised for FY 2010
	<p><i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i></p> <input type="checkbox"/> SEA will not generate new lists of Tier I, Tier II, and Tier III schools because it has five or more unserved Tier I schools from FY 2009 (SEA is requesting waiver) <input checked="" type="checkbox"/> SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has less than five unserved Tier I schools from FY 2009 <input type="checkbox"/> SEA elects to generate new lists	<p><i>For an SEA revising its definition of PLA schools, please select the following option:</i></p> <input type="checkbox"/> SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition
	<input checked="" type="checkbox"/> Lists, by LEA, of State's Tier I, Tier II, and Tier III schools provided	
SECTION B: EVALUATION CRITERIA	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
SECTION B-1: ADDITIONAL EVALUATION CRITERIA	<input checked="" type="checkbox"/> Section B-1: Additional evaluation criteria provided	
SECTION C: CAPACITY	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
SECTION D (PART 1): TIMELINE	<input checked="" type="checkbox"/> Updated Section D (Part 1): Timeline provided	

SECTION D (PARTS 2-8): DESCRIPTIVE INFORMATION	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
SECTION E: ASSURANCES	<input checked="" type="checkbox"/> Updated Section E: Assurances provided	
SECTION F: SEA RESERVATION	<input checked="" type="checkbox"/> Updated Section F: SEA reservations provided	
SECTION G: CONSULTATION WITH STAKEHOLDERS	<input checked="" type="checkbox"/> Updated Section G: Consultation with stakeholders provided	
SECTION H: WAIVERS	<input checked="" type="checkbox"/> Updated Section H: Waivers provided	

PART I: SEA REQUIREMENTS

As part of its application for a School Improvement Grant under section 1003(g) of the ESEA, an SEA must provide the following information.

A. ELIGIBLE SCHOOLS: An SEA must provide a list, by LEA, of each Tier I, Tier II, and Tier III school in the State. (A State’s Tier I and Tier II schools are its persistently lowest-achieving schools and, if the SEA so chooses, certain additional Title I eligible schools that are as low achieving as the State’s persistently lowest-achieving schools or that have had a graduation rate below 60 percent over a number of years.) In providing its list of schools, the SEA must indicate whether a school has been identified as a Tier I or Tier II school solely because it has had a graduation rate below 60 percent over a number of years. In addition, the SEA must indicate whether it has exercised the option to identify as a Tier I, Tier II, or Tier III school a school that was made newly eligible to receive SIG funds by the Consolidated Appropriations Act, 2010.

Each SEA must generate new lists of Tier I, Tier II, and Tier III schools based on the State’s most recent achievement and graduation rate data to ensure that LEAs continue to give priority to using SIG funds to implement one of the four school intervention models in each of their persistently lowest-achieving schools, rather than using SIG funds to support less rigorous improvement measures in less needy schools. However, any SEA that has five or more Tier I schools that were identified for purposes of the State’s FY 2009 SIG competition but are not being served with SIG funds in the 2010-2011 school year may apply for a waiver of the requirement to generate new lists.

An SEA also has the option of making changes to its FY 2009 definition of “persistently lowest-achieving schools”. An SEA that exercises this option must generate new lists of Tier I, Tier II, and Tier III schools.

Regardless of whether it modifies its definition of “persistently lowest-achieving schools” or generates new lists, along with its lists of Tier I, Tier II, and Tier III schools, an SEA must provide the definition that it used to develop these lists. The SEA may provide a link to the page on its Web site where its definition is posted, or it may attach the complete definition to its application.

<input checked="" type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is same as FY 2009	<input type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is revised for FY 2010
<i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i>	<i>For an SEA revising its definition of PLA schools, please select the following option:</i>

1. SEA will not generate new lists of Tier I, Tier II, and Tier III schools. SEA has five or more unserved Tier I schools from FY 2009 and is therefore eligible to request a waiver of the requirement to generate new lists of schools. Lists and waiver request submitted below.

SEA is electing not to include newly eligible schools for the FY 2010 competition. (Only applicable if the SEA elected to add newly eligible schools in FY 2009.)

2. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has fewer than five unserved Tier I schools from FY 2009. Lists submitted below.

3. SEA elects to generate new lists. Lists submitted below.

1. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition of “persistently lowest-achieving schools.” Lists submitted below.

Insert definition of “persistently lowest-achieving schools” or link to definition of “persistently lowest-achieving schools” here:

Definition:

Kansas State Department of Education

Defining Persistently Lowest-Achieving Schools

The identification of the “persistently lowest-achieving schools” in Kansas is based on the definition in the US Department of Education’s (ED) School Improvement Grants (SIG) Section 1003(g) Final Requirements and Guidance and also Phase II of the State Fiscal Stabilization Fund (SFSF) Frequently Asked Questions document.

Tier I Schools

The universe of schools that could be identified as the persistently lowest-achieving are the Title I schools that are in improvement, corrective action or restructuring.

Since there are only 37 Title I schools in improvement, corrective action or restructuring, five (5) schools rather than 5% will be identified as the persistently lowest-achieving based on rank order. Since there are no Title I high schools in improvement, corrective action or restructuring, no additional schools are identified based on having a graduation rate less than 60% over a number of years. The Title I schools in improvement, corrective action or restructuring identified as the persistently lowest-achieving are the Tier I schools. Kansas is not identifying any additional schools in any tier through the “newly eligible” process.

Tier II Schools

In addition to the Title I schools in improvement, corrective action or restructuring that are identified as persistently lowest-achieving schools, secondary schools that are eligible for but do not receive Title I funds will be identified as the persistently lowest-achieving schools. These are the Tier II schools as defined in the School Improvement Grant Final Requirements. Based on the Consolidated Appropriations Act of 2010 and the ED’s Interim Final School Improvement Requirements, Kansas is seeking the waiver that permits Tier II schools to include not only the persistently lowest-achieving secondary schools that are eligible for and do not receive Title I funds but to also include the lowest-achieving secondary schools that are eligible for and receive Title I funds. These additional secondary schools are in the lowest quintile regarding academic achievement or have missed AYP for two consecutive years.

Since there are approximately 270 secondary schools that are eligible for Title I funds, only the lowest 5% will be identified as the lowest-achieving schools. Secondary schools refer essentially to high schools which are buildings culminating in grade 12.

Not only will secondary schools be identified as persistently lowest-achieving based on academic achievement but also on graduation rate. Any secondary school that is eligible for Title I funds with a graduation rate of less than 60% over three years will be added to the list of Tier II schools.

Tier III Schools

The Tier III schools are Title I schools that are identified in improvement, corrective action or restructuring that are not included in Tier I or Tier II. There are 27 schools that meet the criteria.

Since Kansas is requesting a waiver to exclude schools from Tier I and Tier II which have less than 30 in the all students category (N-Size), it will include in Tier III any

schools that were excluded as a result of that waiver.

Academic Achievement and Lack of Progress

The academic achievement for determining the lowest-achieving schools is based on the percent of students at or above proficient (Meets Standard) on the State reading and mathematics assessments combined. The “All Students” group is the one for which results are calculated. The Single Percentage Method as defined in the School Improvement Guidance is used to calculate academic achievement. The schools are ranked according to the combined percent proficient in reading and mathematics.

Lack of progress on those assessments is based on three years of data.

Achievement and progress are treated equally in that no differing weights are assigned. Lack of Progress is determined by calculating the academic achievement for three years and then ranking the schools according to their three year combined percent proficient. The schools with the lowest rankings (1 is lowest) are identified as the persistently lowest achieving.

All forms of the State reading and mathematics assessments are included: regular assessments, assessments with accommodations, Kansas Assessment of Modified Measures (KAMM) and the alternate assessments. The results for all students who participated in the assessments are included; this is referred to as the “report card” data. No students with disabilities were “reclassified;” actual assessment performance level results were used.

Excluded Schools

The only schools that are excluded from consideration are those that meet one or more of the following conditions:

- The school had less than 30 students in the “All Students” category in the most recent assessment administration. Kansas is requesting a waiver to use a “minimum N” of 30 which is the N size in the approved Accountability Workbook. This will prevent very small schools from being identified as persistently lowest achieving based on invalid or unreliable data due to the small number of students on whom that identification is based.
- The school is missing one or more years of data; therefore, lack of progress over three years may not be determined.
- The school’s primary purpose is to serve over-age, under-credited students. These students’ class has already graduated and they are behind in acquiring credits for graduation.

Posting

The definition and list of persistently lowest-achieving schools are posted on the

Kansas State Department of Education's American Recovery and Reinvestment Act (ARRA) website at <http://www.ksde.org/Default.aspx?tabid=3498> and on the Federal Programs Title I School Improvement website at <http://www.ksde.org/Default.aspx?tabid=405>.

An SEA must attach two tables to its SIG application. The first table must include its lists of all Tier I, Tier II, and Tier III schools that are eligible for FY 2010 SIG funds. The second table must include its lists of all Tier I, Tier II, and Tier III schools that were served with FY 2009 SIG funds.

Please create these two tables in Excel and use the formats shown below. Examples of the tables have been provided for guidance.

SCHOOLS ELIGIBLE FOR FY 2010 SIG FUNDS								
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE ¹

SCHOOLS SERVED WITH FY 2009 SIG FUNDS							
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE

EXAMPLE:

SCHOOLS ELIGIBLE FOR FY 2010 SIG FUNDS								
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##	X				
LEA 1	##	MADISON ES	##	X				
LEA 1	##	TAYLOR MS	##			X		X
LEA 2	##	WASHINGTON ES	##	X				
LEA 2	##	FILLMORE HS	##			X		
LEA 3	##	TYLER HS	##		X		X	
LEA 4	##	VAN BUREN MS	##	X				
LEA 4	##	POLK ES	##			X		

¹ “Newly Eligible” refers to a school that was made eligible to receive SIG funds by the Consolidated Appropriations Act, 2010. A newly eligible school may be identified for Tier I or Tier II because it has not made adequate yearly progress for at least two consecutive years; is in the State’s lowest quintile of performance based on proficiency rates on State’s assessments; and is no higher achieving than the highest-achieving school identified by the SEA as a “persistently lowest-achieving school” or is a high school that has a graduation rate less than 60 percent over a number of years. For complete definitions of and additional information about “newly eligible schools,” please refer to the FY 2010 SIG Guidance, questions A-20 to A-30.

EXAMPLE:

SCHOOLS SERVED WITH FY 2009 SIG FUNDS							
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE
LEA 1	##	MONROE ES	##	X			
LEA 1	##	JEFFERSON HS	##		X		X
LEA 2	##	ADAMS ES	##	X			
LEA 3	##	JACKSON ES	##	X			

Please attach the two tables in a separate file and submit it with the application.

SEA has attached the two tables in a separate file and submitted it with its application.

B. EVALUATION CRITERIA:

Part 1: The three actions listed in Part 1 are ones that an LEA must take prior to submitting its application for a School Improvement Grant. Accordingly, the SEA must describe, with specificity, the criteria the SEA will use to evaluate an LEA's application with respect to each of the following actions:

- (1) The LEA has analyzed the needs of each Tier I and Tier II school identified in the LEA's application and has selected an intervention for each school.
- (2) The LEA has demonstrated that it 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 selected intervention in each of those schools.
- (3) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school identified in the LEA's application, 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).

Part 2: The actions in Part 2 are ones that an LEA may have taken, in whole or in part, prior to submitting its application for a School Improvement Grant, but most likely will take after receiving a School Improvement Grant. Accordingly, an SEA must describe the criteria it will use to assess the LEA's commitment to do the following:

- (1) Design and implement interventions consistent with the final requirements.
- (2) Recruit, screen, and select external providers, if applicable, to ensure their quality.
- (3) Align other resources with the interventions.
- (4) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.
- (5) Sustain the reforms after the funding period ends.

SEA is using the same evaluation criteria as FY 2009.

SEA has revised its evaluation criteria for FY 2010.

Insert response to Section B Evaluation Criteria here:

B: Evaluation Criteria

Background Information

The Kansas State Department of Education (KSDE) has in place the Kansas System of School and District Support which provides technical assistance to districts and schools. Components of the system include The Kansas Learning Network and the Kansas School Improvement Process. The KSDE will continue utilizing the processes and procedures that are in place in Kansas as well as establishing new practices when working with Tier I and Tier II school requirements.

Kansas Learning Network

The KSDE has developed, in association with Cross & Joftus, LLC, a collaborative district and school improvement model called The Kansas Learning Network (KLN). Every district and school that is identified as in improvement currently participates in a cohort. This collaborative approach involves a needs assessment (district effectiveness appraisal), technical support and collaboration among Learning Network members. KSDE will expand the network to support schools identified in Tier I and Tier II (3 districts) that are not currently in the Kansas Learning Network.

The Network operates at two levels — district and school. **At the district level**, all districts in improvement (currently 24 across the state) begin by signing a Memorandum of Understanding (MOU) that details the responsibilities for participation of each party (i.e., district on improvement, KSDE, and Cross & Joftus, LLC). Part of the detailed district responsibilities are to “implement appropriate reforms effectively and efficiently” and “implement recommendations that will result in high-performing schools and increased student achievement.” These recommendations, as stated in the MOU, “may include strategies, up to and including, closure or complete restructuring of a persistently lowest-achieving school.” A sample Kansas Learning Network Memorandum of Understanding (MOU) is in Appendix A.

The process begins with each district undergoing a three-day, comprehensive assessment (district effectiveness appraisal) that is organized into four key focus areas:

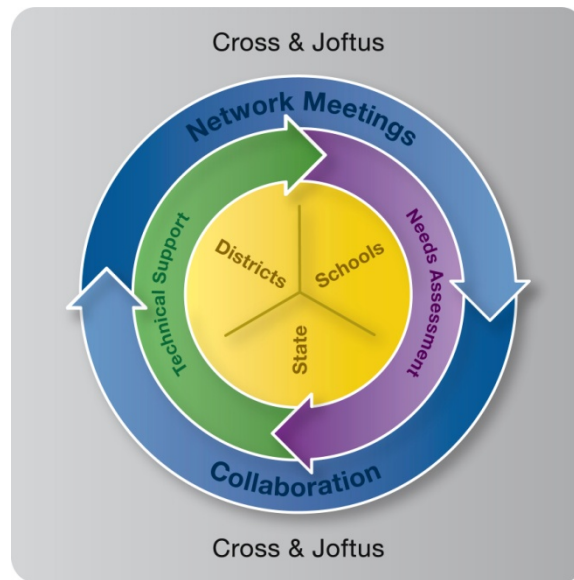
- Curriculum and Assessment
- Instruction and Professional Development
- Leadership
- Culture & Human Capital

Note: Each focus area includes KLN Standards and Supporting Indicators of School Improvement that are in Appendix B.

These focus areas provide a helpful structure for the interviews, focus groups, and

classroom observations that are components of the appraisal process. The assessment involves stakeholders in the district, including certified staff and classified staff, parents, community members, business representatives and the Board of Education. Both qualitative and quantitative data are utilized to determine not only strengths but weaknesses that are keeping the district and any of its schools in improvement, corrective action, or restructuring. The appraisal results often include subgroup and systemic district issues such as lack of district coherence. A final report is written based on all the data that is collected during the appraisal visit.

The Learning Network™
Rethinking School Improvement



The district needs assessment findings identify key challenge areas that could benefit from the help of an external expert or a team of experts. With the help of Cross & Joftus, LLC the district identifies up to three priority issues to receive immediate attention. Support is provided by both members of the Cross & Joftus, LLC project team and if needed, other content experts from the field. Each district is assigned a District Facilitator employed by Cross & Joftus, LLC. Facilitators assist the district in developing a technical assistance plan tied to the district improvement plan and the findings in the Cross & Joftus final report. In the first year, the district receives twenty-four days of focused technical assistance based on the three priority areas. In the second and third year, the district receives 30 days per year of technical assistance. The district also participates in three network meetings a year and is encouraged to collaborate on various projects. These projects have included statewide formative assessment creation, instructional model development, and sharing best practices, such as teacher evaluation procedures. KSDE staff members serve on district appraisal teams throughout the process. A KSDE School Improvement Team member is also assigned to the district to assist in improvement initiatives.

The KSDE also participates in the Kansas Learning Network as a partner with the

districts and schools in improvement. This included a KSDE needs assessment (state agency effectiveness appraisal) which focused the agency on making improvements in several priority areas to serve Kansas districts and schools more effectively. These priority areas included focusing the agency on effective technical assistance and improvement in internal and external processes.

At the school level, every school in improvement (currently 37 in the state) has been assigned through the Kansas Learning Network an “Implementation Coach” (IC). The role of the IC includes the following:

- Collaborate and provide support to the State Technical Assistance Team (STAT), building principal, and district personnel to establish a strong school improvement plan.
- Provide coaching to the building principal regarding successful implementation of the school improvement plan.
- Provide support to the building staff around the Kansas System of School and District Support that includes the Kansas Indicators of District and School Support Correlates.
- Work effectively with local educators, families, and diverse communities on implementation of the school improvement plan.
- Provide content and pedagogy expertise in reading and/or mathematics.
- Provide knowledge of and expertise in the implementation of Multi-Tier System of Supports (MTSS).
- Provide knowledge of and expertise with the essential educational issues of the English Language Learners (ELL) population.
- Provide knowledge and expertise to support both effective curriculum development and instruction.
- Submit a report of coach and school activities, progress made by the school, and identified barriers to success.
- Integrate with the work of The Kansas Learning Network and serve as a subcontractor to Cross & Jofthus.
- Assist schools/districts with identification of possible technical assistance needs.

IC’s were selected in a competitive application process facilitated by the KSDE, with priority given to individuals who had expertise and experience in turning around persistently lowest-achieving schools. ICs are trained, evaluated, and supervised by Cross & Jofthus, LLC. The KSDE, district representative, and building principal receive a technical report after each bi-weekly visit made by the IC. This includes a recap of the visit and goal setting for expectations of the next visit. A copy of a sample Implementation Coach and Principal Meeting Report is found in Appendix C.

Kansas School Improvement Process

Every school in Kansas that is in improvement is required to write a school improvement plan. The first stage of the school improvement process requires each school to

conduct a needs assessment before writing its school improvement plan. The needs assessment process includes analyzing achievement, perception, contextual (school processes/programs) and demographic data. Schools select a leadership team that includes principals, teachers, classified staff, parents, community members, and external content experts to assist in the school improvement process. Utilizing The Kansas Improvement Notebook, the school improvement plan is organized around the following eight steps: A copy of the Kansas Improvement Notebook is found in Appendix D.

- Stage 1: Orientation and Readiness
- Stage 2: Gather and Organize Data (Needs Assessment)
- Stage 3: Analyze Data (Needs Assessment)
- Stage 4: Prioritize and Set SMART Goals
- Stage 5: Research and Identify Scientifically Based Research Strategies
- Stage 6: Develop and Implement the School Improvement and Results Based Staff Development Plan
- Stage 7: Monitor Implementation and Progress
- Stage 8: Review and Revise

The school improvement plan has become the road map for improving student achievement.

Feedback is a critical aspect of the school improvement process. The school is asked to go through a peer-review process in which it receives feedback from other districts and schools that are participating in the peer review. The IC becomes a critical friend that works with the school bi-weekly, focusing on fidelity of implementation of the school improvement plan. A KSDE school improvement staff member is also assigned to each school for technical assistance. This process will continue for all Tier I, Tier II, and Tier III schools.

Multi-Tier System of Supports (MTSS) and School Improvement

Multi-Tier System of Supports (MTSS) is a term used in Kansas to describe how schools provide supports for each child in their building to be successful and the processes and tools school staff use to make decisions. MTSS is a coherent continuum of evidence-based, system-wide practices to support a rapid response to academic and behavioral needs, with frequent data-based monitoring for instructional decision-making to empower each Kansas student to achieve to high standards.

Cross and Joftus, LLC will assist the schools and the district in assessing their capacity utilizing the MTSS Innovation Configuration Matrix (ICM) as part of the needs assessment (school effectiveness appraisal). This tool will assist the district and schools in understanding the structures and processes necessary to implement a sustainable system. More information about the MTSS process in Kansas is found at www.kansasmstss.org. The ICM, which will help assess building and district capacity is found in Appendix E.

B. Evaluation Criteria – Part 1, (1)-(3)

Needs Assessment

Tier I and Tier II Expectations

The Kansas State Department of Education will utilize the Kansas Learning Network processes that are currently in place and also KSDE developed tools to work with districts as they plan for Tier I, Tier II and Tier III interventions. Implementation Research: A Synthesis of the Literature by Fixsen, Naoom, Blase, Friedman, and Wallace discusses six steps of implementation which will guide the KSDE, KLN and districts and schools through this change process. They are

1. Exploration and Adoption,
2. Program Installation,
3. Initial Implementation,
4. Full Operation,
5. Sustainability, and
6. Evaluation.

Process Timeline Based on the Six Steps of Implementation

Implementation Steps	Timeline
<p>Exploration and Adoption</p> <ol style="list-style-type: none"> 1. Needs Assessment using the Innovation Configuration Matrix (ICM) for Schools <ul style="list-style-type: none"> o Achievement Data <ul style="list-style-type: none"> ▪ School Leading Indicator Report ▪ School AYP Data ▪ School Report Card Data o Perception Data o Contextual (school processes/ programs) o Demographic Data 2. Selection of Model <ul style="list-style-type: none"> o School Improvement Model Selection Rubrics 3. Capacity of District <ul style="list-style-type: none"> o Capacity Appraisal using Innovation Configuration Matrix (ICM) for Districts o Systemic Coherence and Capacity Addendum to the District Effectiveness Appraisal o 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>*Program Installation and Initial Implementation –PRE-IMPLEMENTATION</p> <ol style="list-style-type: none"> 1. Family and Community Engagement Meetings 	<p>Funds available to LEAs June 2011.</p> <p>Pre-Implementation activities begin in June at school site.</p>

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 (**See guidance page 75 through 80 in SIG Guidance on Fiscal Year 2010 School Improvement Grants)	
Full Operation 1. Implementation of grant 2. Beginning of School Year – Back to school kick-off 3. Continuation of School Staff Training 4. IC's Bi-Weekly Meetings on Fidelity of Implementation of School Improvement Plan 5. Bi-Monthly and technical assistance monitoring by KSDE Staff 6. Student Orientation Sessions on School Changes 7. Family and Community Orientation Sessions on School Changes Continue	August 2011
Innovation 1. Analysis of Year One Data 2. Revisions to SIG grant & School Improvement Plan 3. Continuation of School Staff Training	June 2012
Sustainability & Evaluation 1. Evaluation 2. Resource Alignment 3. Abandonment and/or Redesign	August 2012

Needs Assessment Process for Tier I and Tier II Schools

The KLN and the KSDE will provide a needs assessment consultation with the district and the schools identified in Tier I and Tier II. This consultation will provide support to the district and schools to help them organize their needs assessment around four correlates of school improvement identified in the KLN process. These correlates are:

- Leadership
- Culture & Human Capital
- Instruction and Professional Development
- Curriculum and Assessment

Both quantitative and qualitative data will be collected as part of the school's needs assessment. This will include achievement, perception, contextual (schools processes & programs) and demographic data. A prescriptive root cause analysis will also be a part of the process.

Included in the needs assessment will be the **School Leading Indicator Report** which will be used to hold schools accountable that are receiving the School Improvement Grant funds. These metrics will be utilized not only to serve as benchmarks for the beginning of the process but also to measure progress over time on the school improvement grant. The School Leading Indicator Report, which is part of the local

application, is shared in Appendix F.

The school will also continue to review the most recent **KSDE School and District Report Card** and the **KSDE School and District AYP Report**. This data is used to determine if a school has made AYP in the 2009-2010 school year and will also be included in the school's needs assessment. Sample reports are found in Appendix G and H.

The school and its district, using baseline data from the **School Leading Indicator Report**, will then collaborate with the KLN Team and the KSDE staff to select the appropriate intervention model utilizing the **Intervention Model Selection Rubrics**. These tools describe the expectations of KSDE for fidelity of implementation of the model, and will guide the district in the selection of an intervention model. These rubrics are contained in Appendix I.

Goal Setting

Every school in Tier I and Tier II would be expected to complete their needs assessment and begin the process of updating their school improvement plan to match the intervention model they have adopted as part of the LEA application. Stages 1 through 4 of the Kansas School Improvement Process would be completed when the LEA submits its application to KSDE. The stages include:

- Stage 1: Orientation and Readiness
- Stage 2: Gather and Organize Data
- Stage 3: Analyze Data
- Stage 4: Prioritize and Set SMART Goals

The school will articulate the SMART Goals and establish benchmark objectives (measurable targets) to be met throughout the first year of implementation. The IC's and KSDE staff will monitor these goals during the year.

The LEA will work with the KSDE, the KLN and the IC throughout the development of the needs assessment and the goal setting process. The KLN will utilize the following instruments during the Exploration and Adoption phase to determine the capacity of the district to support the schools:

Exploration and Adoption

- Needs Assessment using the Innovation Configuration Matrix for Schools
 - Achievement Data
 - School Leading Indicator Report
 - School AYP Data
 - School Report Card Data
 - Perception Data
 - Contextual (school processes/ programs)
 - Demographic Data

- Selection of Model
 - School Improvement Model Selection Rubrics
- Capacity of District
 - Capacity Appraisal using Innovation Configuration Matrix for Districts
 - Systemic Coherence and Capacity Addendum to the District Effectiveness Appraisal
 - Sustainability Plan
- Goal Setting
- Completion of Stages 1 through 4 in School Improvement Process
- LEA Application
- LEA Presentation on Needs Assessment Results, Model Selection, Capacity Appraisal Results, and Goal Identification
- Budget Negotiation
- Approval of LEA Application by KSDE

If it is determined that the district does not have the capacity to support the school during this process, the school improvement grant request will be denied.

A critical component to determine if the district has the capacity to support the selected intervention model will be a detailed budget analysis, examining all state and federal funds utilized in the building. This component will be included in the Systemic Coherence and Capacity Addendum to the District Effectiveness Appraisal. The LEA will also provide a detailed narrative on each budget line item submitted in the LEA application.

B. Evaluation Criteria – Part 2, (1)-(5)

Approval of LEA Application

An oral presentation by the LEA will be made to KSDE staff during the month of May 2011. The LEA will share in depth information on the Needs Assessment they have completed using the Innovation Configuration Matrix (ICM) for Schools, their process for selection of the Intervention Model(s), their capacity to implement the selected intervention model and their sustainability plan and the goal setting process. Finally, included in this process will be an explanation of the actions the district has taken to:

- (1) Design and implement interventions consistent with the final requirements.
- (2) Recruit, screen, and select external providers, if applicable, to ensure their quality.
- (3) Align other resources with the interventions.
- (4) Modify LEA practices or policies, if necessary, to enable it to implement the interventions fully and effectively.
- (5) Sustain the reforms after the funding period ends.

The LEA Application Scoring Form (Appendix K), will be utilized by KSDE staff to rate each of the above-mentioned areas. Also, the Intervention Models Rubrics (Appendix C) which the LEA is to complete during the Exploration and Adoption phase of the Implementation Process and prior to the presentation will be used in conjunction with the scoring form to provide the LEA with focused and meaningful feedback. An integral part of the presentation visit will be for the agency and district staff to have the opportunity to ask clarifying questions and to negotiate changes in the plan and budget.

In order to complete the Exploration and Adoption Phase of the Implementation process the school will need to complete Stages 1 through 4 in the School Improvement Process. The school would be expected to complete and update the rest of the school improvement plan, Stages 5 through 8, by the time school starts. In early August 2011, all school staff will review the revised plan and give input.

The LEA application is provided in Appendix J. The LEA Application Scoring Form used to evaluate the written application and to be used in the oral presentation is in Appendix K.

B-1. ADDITIONAL EVALUATION CRITERIA: In addition to the evaluation criteria listed in Section B, the SEA must evaluate the following information in an LEA's budget and application:

Please note that Section B-1 is a new section added for the FY 2010 application.

(1) How will the SEA review an LEA's proposed budget with respect to activities carried out during the pre-implementation period² to help an LEA prepare for full implementation in the following school year?

(2) How will the SEA evaluate the LEA's proposed activities to be carried out during the pre-implementation period to determine whether they are allowable? *(For a description of allowable activities during the pre-implementation period, please refer to section J of the FY 2010 SIG Guidance.)*

² "Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2011–2012 school year. To help in its preparation, an LEA may use FY 2010 and/or FY 2009 carryover SIG funds in its SIG schools after the LEA has been awarded a SIG grant for those schools based on having a fully approvable application, consistent with the SIG final requirements. As soon as it receives the funds, the LEA may use part of its first-year allocation for SIG-related activities in schools that will be served with FY 2010 and/or FY 2009 carryover SIG funds. For a full description of pre-implementation, please refer to section J of the FY 2010 SIG Guidance.

Insert response to Section B-1 Additional Evaluation Criteria here:

(1) Pre-implementation activities are not required but are a choice the district can make when submitting the grant. During the grant process the SEA will ask the LEA to submit a pre-implementation budget with a narrative for each line item. The narrative will describe the proposed activities. The Pre-Implementation activities will not be evaluated with a separate rubric. Pre-implementation activities are considered part of year 1 implementation and will be incorporated into the on-site monitoring of the objectives for the first year.

(2) During the site visit the district and school will also include in their presentation information about the pre-implementation activities, the pre-implementation budget and narrative line item explanation. Again, this is not required but a decision a district can make when submitting grant. Using the federal guidance, KSDE will make a decision if these items are allowable expenses at this time.

C. CAPACITY: The SEA must explain how it will evaluate whether an LEA lacks capacity to implement a school intervention model in each Tier I school.

An LEA that applies for a School Improvement Grant must serve each of its Tier I schools using one of the four school intervention models unless the LEA demonstrates that it lacks sufficient capacity to do so. If an LEA claims it lacks sufficient capacity to serve each Tier I school, the SEA must evaluate the sufficiency of the LEA's claim. Claims of lack of capacity should be scrutinized carefully to ensure that LEAs effectively intervene in as many of their Tier I schools as possible.

The SEA must explain how it will evaluate whether an LEA lacks capacity to implement any of the school intervention models in its Tier I school(s). The SEA must also explain what it will do if it determines that an LEA has more capacity than the LEA demonstrates.

SEA is using the same evaluation criteria for capacity as FY 2009.

SEA has revised its evaluation criteria for capacity for FY 2010.

Insert response to Section C Capacity here:

C: Capacity

The KSDE will work with district staff to help them understand the responsibility and capacity issues a district may have when addressing single and/or multiple Tier I and Tier II schools.

It is important to notice that districts that have schools identified in Tier I and Tier II some have some schools. The following information from the guidance will be considered when determining if a district has capacity to truly serve all Tier I and Tier II schools.

Requirements for Serving Tier I, Tier II, and Tier III

IF AN LEA HAS ONE OR MORE...	IN ORDER TO GET SIG FUNDS, THE LEA MUST COMMIT TO SERVE...
Tier I, Tier II, and Tier III schools	Each Tier I school it has capacity to serve; at a minimum, at least one Tier I school OR at least one Tier II school. (1)
Tier I and Tier II schools, but no Tier III schools	Each Tier I school it has capacity to serve; at a minimum, at least Tier I school OR at least one Tier II school (1)
Tier I and III schools but no Tier II schools.	Each Tier I school it has capacity to serve; at a minimum, at least one Tier I school.
Tier II and Tier III schools, but no Tier I schools	The LEA has the option to commit to serve as many Tier II and Tier III schools as it wishes
Tier I schools only	Each Tier I school it has capacity to serve

Tier II schools only	The LEA has the option to commit to serve as many Tier II schools as it wishes
Tier III schools only	The LEA has the option to commit to serve as many Tier III schools as it wishes.

- (1) The number of Tier I schools an LEA has capacity to serve may be zero if, and only if, the LEA is using all the capacity it would otherwise use to serve its Tier I schools in order to serve Tier II schools.

Systemic Coherence and Capacity Addendum

A critical part of the Exploration and Adoption phase will be completing all nine steps which include:

1. Needs Assessment using the Innovation Configuration Matrix (ICM) for Schools
2. Selection of Model
3. School Improvement Model Selection Rubrics
4. Capacity of District
5. Goal Setting
6. Completion of Stages 1 through 4 in School Improvement Process
7. LEA Application Submission
8. LEA Presentation on Needs Assessment Results, Model Selection, Capacity Appraisal Results, and Goal Identification
9. Budget Negotiation

The KSDE will use all of the above to determine if a district has the capacity to serve all schools.

After the school consultation meeting, the KLN District Facilitator, the KLN Implementation Coach and KSDE staff will meet with the District Superintendent and a District representative to discuss the systemic coherence and sufficient capacity in the district to support implementing each school's intervention model. Systemic coherence is one of the key theoretical lenses through which districts are analyzed as part of the Kansas Learning Network. Coherence means that "the elements of a school district work together in an integrated way to implement an articulated strategy." Capacity, as used here, is defined as the ability of the district to support the school in achieving progress on the School Leading Indicator Report, addressing issues in the school(s) and district needs assessment (district and/or school effectiveness appraisal), and implementing with fidelity the chosen model.

A Systemic Coherence and Capacity Addendum to the District Appraisal will be produced to insure the district and the Tier I and Tier II schools have the capacity to implement the selected model. This addendum will include specific recommendations for the district to ensure they have the systemic coherence and sufficient capacity to engineer a successful implementation of the model. Appendix L and M contain a sample District Effectiveness Appraisal Final Report and a Systemic and Coherence Capacity Addendum to the District Effectiveness Appraisal.

Kansas has one LEA that has more than one Tier I school. KSDE has established a set of action steps to follow when an LEA may have more capacity than it has demonstrated on its application. These include:

- A review of the District Appraisal
- A review if each Building's Needs Assessment
- A request for clarifications
- A negotiation process

The Kansas State Department of Education (KSDE) staff will meet with the LEA and if necessary, provide technical assistance to assist the LEA in realizing its capacity and its commitment as a School Improvement Grant recipient. The KSDE will require that evidence be submitted to verify any "lack of capacity" claim by an LEA to implement one of the four required intervention models in an identified Tier I school. If after examining the evidence and meeting with the LEA, the KSDE believes that an LEA has more capacity than it demonstrates, the KSDE will require the LEA to amend its School Improvement Sec. 1003(g) application.

Systemic Coherence and Capacity Indicators

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

All of the school leading indicators identified in the **School Leading Indicator Report** will be considered as baseline data, reviewed as part of the process, will ultimately help determine if the district has capacity to implement the plan, and will be included in the **Systemic Coherence and Capacity Addendum**.

In the leadership section of the **Systemic Coherence and Capacity Addendum**, there will be specific recommendations about the budget and the district's use of resources in a way that is aligned with the its theory of change and strategy. This includes an analysis of all federal and state funds that the school has received and how staff are planning to utilize these funds for implementation of the intervention model. KLN and KSDE staff will discuss with the district and the building staff the specific recommendations about the budget and how the grant will support implementation of the model. The district will be asked to sign an assurance that the resources will be spent to support fidelity of implementation of the model in each Tier I and Tier II school.

D (PART 1). TIMELINE: An SEA must describe its process and timeline for approving LEA applications.

Please note that Section D has been reformatted to separate the timeline into a different section for the FY 2010 application.

D-1 KSDE will work with LEA's through the 12 steps of the implementation process. Schools will be required to write grant that will include Needs Assessment, including Innovation Configuration Matrix (ICM). They must also include achievement, perception, contextual and demographic data as part of their needs assessment. They will use the School Improvement Model Selection Rubric and write an explanation of why they chose that model. The capacity of the district will be accessed using the ICM and also outside assistance from Cross & Jofus, LLC. They will write a sustainability plan based on the district needs assessment that has been done previously or by conducting a phone interview with the district. The written plan will also contain goal setting, completion of Stage 1 through 4 of the School Improvement Process and a completed LEA form. KSDE will use an integrated team from KSDE staff from various teams along with outside team member from Cross and Jofus, LLC to read plans (evaluated with rubric) and to hear an oral presentation by each school. A key part will be the budget presentation, and negotiation, if needed. Using the rubric from reviewing application and also on-site visit, schools will be ranked order. If there is a tie, the priorities established by Committee of Practitioners will be utilized. The timeline below explains this process further:

Insert response to Section D (Part 1) Timeline here:

Process Timeline Based on the Six Steps of Implementation

Implementation Steps	Timeline
<p>Exploration and Adoption</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 Coherence and Capacity Addendum to the District Effectiveness Appraisal • Sustainability Plan 7. Goal Setting 8. Completion of Stages 1 through 4 in School 	<p>SEA grant application is submitted in December 2010.</p> <p>LEAs receive notification of Tier I, Tier II, and Tier III identification in December 2010.</p> <p>SEA state grant application and LEA grant application is approved in April 2011.</p> <p>LEA grant application is distributed in April 2011.</p> <p>KSDE offers technical assistance to LEAs on grant competition in January through a webinar presentation. A follow-up webinar will take place in April.</p> <p>LEA grants due June 1, 2011.</p> <p>LEA grants evaluated and site visits in June 2011.</p> <p>LEA grants awarded at KSBE meeting in July 2011.</p>

<p>Improvement Process</p> <ol style="list-style-type: none"> 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>*Program Installation and Initial Implementation – PRE-IMPLEMENTATION</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 guidance page 75 through 80 in SIG Guidance on Fiscal Year 2010 School Improvement Grants)</p>	<p>Funds available to LEAs in July 2011.</p> <p>Pre-Implementation activities begin at school site in August, 2011</p>
<p>Full Operation</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>Innovation</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>Sustainability</p> <ol style="list-style-type: none"> 1. Evaluation 2. Resource Alignment 3. Abandonment and Redesign 	<p>August 2012</p>

D (PARTS 2-8). DESCRIPTIVE INFORMATION:

(2) Describe the SEA’s process for reviewing an LEA’s annual goals for student achievement for its Tier I and Tier II schools and how the SEA will determine whether to renew an LEA’s School Improvement Grant with respect to one or more Tier I or Tier II schools in the LEA that are not meeting those goals and making progress on the leading indicators in section III of the final requirements.

(3) Describe the SEA’s process for reviewing the goals an LEA establishes for its Tier III schools (subject to approval by the SEA) and how the SEA will determine whether to renew an LEA’s School Improvement Grant with respect to one or more Tier III schools in the LEA that are not meeting those goals.

(4) Describe how the SEA will monitor each LEA that receives a School Improvement Grant to ensure that it is implementing a school intervention model fully and effectively in the Tier I and Tier II schools the LEA is approved to serve.

(5) Describe how the SEA will prioritize School Improvement Grants to LEAs if the SEA does not have sufficient school improvement funds to serve all eligible schools for which each LEA applies.

(6) Describe the criteria, if any, that the SEA intends to use to prioritize among Tier III schools.

(7) If the SEA intends to take over any Tier I or Tier II schools, identify those schools and indicate the school intervention model the SEA will implement in each school.

(8) If the SEA intends to provide services directly to any schools in the absence of a takeover, identify those schools and, for Tier I or Tier II schools, indicate the school intervention model the SEA will implement in each school and provide evidence of the LEA’s approval to have the SEA provide the services directly.³

³ If, at the time an SEA submits its application, it has not yet determined whether it will provide services directly to any schools in the absence of a takeover, it may omit this information from its application. However, if the SEA later decides that it will provide such services, it must amend its application to provide the required information.

SEA is using the same descriptive information as FY 2009.

SEA has revised its descriptive information for FY 2010.

Insert response to Section D (Parts 2-8) Descriptive Information here:

D. Descriptive Information – (1)-(8)

(2) The goal of the persistently lowest-achieving schools is to make adequate yearly progress and exit improvement status. The KSDE will work with districts and will take bold steps with Tier I and Tier II schools to adopt a model and make significant changes in these low performing schools. The KSDE currently uses The Kansas Improvement Notebook to assist schools in writing measurable goals after completing their needs assessments.

School Districts will be expected to update and rewrite the initial part of the Kansas School Improvement Plan to submit with their application through Stage 4. As part of the presentation to the KSDE, the school district, and the KLN will agree upon goals and measurable benchmarks. These objectives will be tied, not only to academic targets (e.g., Math and Reading), but to implementation objectives on fidelity of implementation of the selected intervention model.

The IC would continue to work bi-weekly with the school throughout the school year on the implementation of the school improvement plan. Goals will be monitored monthly by the IC and bi-monthly by KSDE staff. A follow-up technical assistance report will be filed with the building principal, district personnel, KLN staff, and KSDE after each visit. The district will receive technical assistance from KSDE after each visit and if corrective action needs to be taken, a plan will be written immediately. Grant monitoring of expenditures will be part of this monitoring visit.

Tier I and Tier II schools will be required to provide an Annual Progress Report each spring that will include analyzing progress on goals, updating the School Leading Indicator Report, and determining AYP status using the AYP Report and School Report Card. The spring monitoring visit will use the tool created by KSDE to look at both qualitative and quantitative data using interviews with teachers, parents, and students. Progress on the smart goals will be discussed to see if targets have been made. The KSDE site team will make decision whether to continue year Year 2 funding.

(3) KSDE will first approve all Tier I and Tier II applications. Tier III applications will be completed as soon as possible after Tier I and Tier II applications are approved.

Tier III schools that receive funding under this grant will be monitored by both an IC employed by Cross & Jofus, LLC and a KSDE staff member. Each school will develop a school improvement plan and must attend a peer review. Schools will be asked to set measurable objectives annually. These objectives will be negotiated

after the presentation given to the KSDE by each district. These measurable objectives will become baseline data and then will be monitored bi-monthly by both the KSDE staff and the IC. If schools do not meet the identified objectives, additional technical assistance will be provided by the KLN and the KSDE staff. Also, the KSDE will provide compliance monitoring for the Tier III schools, which includes an annual visit. Grant funding will cease if the school does not fulfill the grant obligations.

(4) It is important that the district, the school, and the KSDE work together to make sure the school improvement plan and the model selected will be implemented with fidelity. The following roles will be clearly articulated:

- The KSDE will work with the **superintendent** to clearly understand the responsibilities and assurances that must be provided to KSDE before the grant is approved. The bi-monthly Implementation Coach log is sent to the superintendent, district contact, district facilitator, and KSDE staff member that documents progress on the log.
- The KSDE will ask the district to designate a **district contact** for school improvement. This contact person, along with the superintendent, will receive all correspondence from the KSDE on school improvement issues in their district. This person will also be the contact person for questions about the school improvement grants awarded to the district. In larger districts this person will be responsible for schools in improvement and will report directly to the superintendent.
- The **district facilitator** for KLN will continue to work with the superintendent and the district contact for school improvement. They will also consult with the IC for each school to be sure the district plan aligns with the school improvement plan.
- The KSDE currently assigns an **Implementation Coach (IC)** to all schools on improvement. The implementation coach files a bi-weekly report that documents progress made on the grant. This is received by the superintendent, district contact, district facilitator, and KSDE staff member. Their role is to coach building leadership to fully implement the school improvement plan (grant) with fidelity.
- A **KSDE staff member** is assigned to each district and has the compliance role with the grant. The KSDE staff member facilitates the training on the writing of the school improvement plan, oversees the peer review of the plans, and approves the final plans. The KSDE will monitor Tier I and Tier II schools bi-monthly, including looking at grant over site, implementation of the plan, and serve as the contact for questions and technical assistance. At the monitoring

visit both the school and the LEA participate in the reviews. This includes the superintendent, district contact, and a person that is assigned by the district to oversee the grant budget.

- (5 & 6)** The KSDE met with the Committee of Practitioners and received input on how to prioritize School Improvement Grants if sufficient funds are not available. All schools submitting grants will be scored using the rubric provided and scores calculated. Tier I schools will be given priority over Tier II schools. They recommended the greatest need be determined by the size of the school (How many students will be impacted by this grant?), the number of years on improvement (How many years has the school been failing?), and capacity of the district and schools to implement effective change (How did they score on the Innovation Configuration Matrix?). The same criteria will be used to prioritize Tier III schools. We will also give priority to Tier III schools that choose to implement a model.
- (7)** The KSDE does not have the authority in Kansas to take over a school. The KSDE will monitor each Tier I and Tier II school, will provide technical assistance, and will review required corrective action plans before grant funds are terminated.
- (8)** The KSDE is not planning to provide services directly to any schools in the absence of a takeover. We will continue to collaborate on technical assistance with external providers, such as Cross & Jofus, LLC.

E. ASSURANCES

By submitting this application, the SEA assures that it will do the following (check each box):

- Comply with the final requirements and ensure that each LEA carries out its responsibilities.
- Award each approved LEA a School Improvement Grant in an amount that is of sufficient size and scope to implement the selected intervention in each Tier I and Tier II school that the SEA approves the LEA to serve.
- Ensure, if the SEA is participating in the Department's differentiated accountability pilot, that its LEAs will use school improvement funds consistent with the final requirements.
- Monitor each LEA's implementation of the "rigorous review process" of recruiting, screening, and selecting external providers as well as the interventions supported with school improvement funds.
- To the extent a Tier I or Tier II school implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.
- Post on its Web site, within 30 days of awarding School Improvement Grants, all final LEA applications and a summary of the grants that includes the following information: name and NCES identification number of each LEA awarded a grant; total amount of the three year grant listed by each year of implementation; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Tier I and Tier II school.
- Report the specific school-level data required in section III of the final requirements.

F. SEA RESERVATION: The SEA may reserve an amount not to exceed five percent of its School Improvement Grant for administration, evaluation, and technical assistance expenses.

The SEA must briefly describe the activities related to administration, evaluation, and technical assistance that the SEA plans to conduct with any State-level funds it chooses to reserve from its School Improvement Grant allocation.

Insert response to Section F SEA Reservation here:

F. SEA RESERVATION

KSDE will reserve 5% to assist with state activities. The School Improvement Grant will require monthly monitoring and KSDE will be required to add additional staff to their school improvement staff. Every school will be assigned an implementation coach (IC) that will work with each school in Tier I, Tier II, and Tier III. Implementation coaches, employed by Kansas Learning Network, will work with the principal and leadership team to insure implementation of the school improvement plan and school improvement grant. Implementation coaches will visit each school every other week and provide the KSDE a technical report.

A portion of the 5% may be used to conduct an outside evaluation of The Kansas System of School and District Support, including the Kansas Learning Network. The purpose of the evaluation will be to evaluate the technical assistance that the KSDE and the Kansas Learning Network are providing to districts and schools on improvement.

Currently, KSDE has templates, resource books, handbooks and training modules to support schools and districts on improvement. KSDE anticipates creating a web-based school improvement process which will integrate all improvement initiatives at the KSDE, including school improvement, Title II A, Title III, and IDEA. KSDE envisions a system that would be customer friendly for schools and districts and would integrate different federal timelines and expectations.

G. CONSULTATION WITH STAKEHOLDERS: The SEA must consult with its Committee of Practitioners and is encouraged to consult with other stakeholders regarding its application for a School Improvement Grant.

Before submitting its application for a School Improvement Grant to the Department, the SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein.

The SEA has consulted with its Committee of Practitioners regarding the information set forth in its application.

The SEA may also consult with other stakeholders that have an interest in its application.

The SEA has consulted with other relevant stakeholders, including Superintendents, Cross & Jofuts, LLC, State Curriculum Director's Meeting,

H. WAIVERS: SEAs are invited to request waivers of the requirements set forth below. An SEA must check the corresponding box(es) to indicate which waiver(s) it is requesting.

WAIVERS OF SEA REQUIREMENTS

Enter State Name Here Kansas requests a waiver of the State-level requirements it has indicated below. The State believes that the requested waiver(s) will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and raise the academic achievement of students in Tier I, Tier II, and Tier III schools.

Waiver 1: Tier II waiver

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2010 competition, waive paragraph (a)(2) of the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and incorporation of that definition in identifying Tier II schools under Section I.A.1(b) of those requirements to permit the State to include, in the pool of secondary schools from which it determines those that are the persistently lowest-achieving schools in the State, secondary schools participating under Title I, Part A of the ESEA that have not made adequate yearly progress (AYP) for at least two consecutive years or are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined.

Assurance

The State assures that it will include in the pool of schools from which it identifies its Tier II schools all Title I secondary schools not identified in Tier I that either (1) have not made AYP for at least two consecutive years; or (2) are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined. Within that pool, the State assures that it will identify as Tier II schools the persistently lowest-achieving schools in accordance with its approved definition. The State is attaching the list of schools and their level of achievement (as determined under paragraph (b) of the definition of “persistently lowest-achieving schools”) that would be identified as Tier II schools without the waiver and those that would be identified with the waiver. The State assures that it will ensure that any LEA that chooses to use SIG funds in a Title I secondary school that becomes an eligible Tier II school based on this waiver will comply with the SIG final requirements for serving that school.

Note: An SEA that requested and received the Tier II waiver for its FY 2009 definition of “persistently lowest achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier

III schools.

Waiver 2: n-size waiver

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2010 competition, waive the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and the use of that definition in Section I.A.1(a) and (b) of those requirements to permit the State to exclude, from the pool of schools from which it identifies the persistently lowest-achieving schools for Tier I and Tier II, any school in which the total number of students in the “all students” group in the grades assessed is less than **[Please indicate number]** 30.

Assurance

The State assures that it determined whether it needs to identify five percent of schools or five schools in each tier prior to excluding small schools below its “minimum n.” The State is attaching, and will post on its Web site, a list of the schools in each tier that it will exclude under this waiver and the number of students in each school on which that determination is based. The State will include its “minimum n” in its definition of “persistently lowest-achieving schools.” In addition, the State will include in its list of Tier III schools any schools excluded from the pool of schools from which it identified the persistently lowest-achieving schools in accordance with this waiver.

Note: An SEA that requested and received the n-size waiver for its FY 2009 definition of “persistently lowest-achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.

Waiver 3: New list waiver

Because the State neither must nor elects to generate new lists of Tier I, Tier II, and Tier III schools, waive Sections I.A.1 and II.B.10 of the SIG final requirements to permit the State to use the same Tier I, Tier II, and Tier III lists it used for its FY 2009 competition.

Assurance

The State assures that it has five or more unserved Tier I schools on its FY 2009 list.

WAIVERS OF LEA REQUIREMENTS

Enter State Name Here Kansas requests a waiver of the requirements it has indicated below. These waivers would allow any local educational agency (LEA) in the State that receives a School Improvement Grant to use those funds in accordance with the final requirements for School Improvement Grants and the LEA’s application for a grant.

The State believes that the requested waiver(s) will increase the quality of instruction for students and improve the academic achievement of students in Tier I, Tier II, and Tier III schools by enabling an LEA to use more effectively the school improvement funds to implement one of the four school intervention models in its Tier I, Tier II, or Tier III schools. The four school intervention models are specifically designed to raise substantially the achievement of students in the State’s Tier I, Tier II, and Tier III schools.

Waiver 4: School improvement timeline waiver

Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Tier I, Tier II, and Tier III Title I participating schools that will fully implement a turnaround or restart model beginning in the 2011–2012 school year to “start over” in the school improvement timeline.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests the waiver in its application as part of a plan to implement the turnaround or restart model beginning in 2011–2012 in a school that the SEA has approved it to serve. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

Note: An SEA that requested and received the school improvement timeline waiver for the FY 2009 competition and wishes to also receive the waiver for the FY 2010 competition must request the waiver again in this application.

Schools that started implementation of a turnaround or restart model in the 2010-2011 school year cannot request this waiver to “start over” their school improvement timeline again.

Waiver 5: Schoolwide program waiver

Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a schoolwide program in a Tier I, Tier II, or Tier III Title I participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests to implement the waiver in its application. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

Note: An SEA that requested and received the schoolwide program waiver for the FY 2009 competition and wishes to also receive the waiver for the FY 2010 competition must request the waiver again in this application.

PERIOD OF AVAILABILITY WAIVER

Enter State Name Here Kansas requests a waiver of the requirement indicated below. The State believes that the requested waiver will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and improve the academic achievement of students in Tier I, Tier II, and Tier III schools.

Waiver 6: Period of availability of FY 2009 carryover funds waiver

Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY 2009 carryover school improvement funds for the SEA and all of its LEAs to September 30, 2014.

Note: This waiver only applies to FY 2009 carryover funds. An SEA that requested and received this waiver for the FY 2009 competition and wishes to also receive the waiver to apply to FY 2009 carryover funds in order to make them available for three full years for schools awarded SIG funds through the FY 2010 competition must request the waiver again in this application.

ASSURANCE OF NOTICE AND COMMENT PERIOD – APPLIES TO ALL WAIVER REQUESTS

(Must check if requesting one or more waivers)

The State assures that, prior to submitting its School Improvement Grant application, the State provided all LEAs in the State that are eligible to receive a School Improvement Grant with notice and a reasonable opportunity to comment on its waiver request(s) and has attached a copy of that notice as well as copies of any comments it received from LEAs. The State also assures that it provided notice and information regarding the above waiver request(s) to the public in the manner in which the State customarily provides such notice and information to the public (e.g., by publishing a notice in the newspaper; by posting information on its Web site) and has attached a copy of, or link to, that notice.

PART II: LEA REQUIREMENTS

An SEA must develop an LEA application form that it will use to make subgrants of school improvement funds to eligible LEAs. That application must contain, at a minimum, the information set forth below. An SEA may include other information that it deems necessary in order to award school improvement funds to its LEAs.

Please note that for FY 2010, an SEA must develop or update its LEA application form to include information on any activities, as well as the budget for those activities, that LEAs plan to carry out during the pre-implementation period to help prepare for full implementation in the following school year.

The SEA must submit its LEA application form with its application to the Department for a School Improvement Grant. The SEA should attach the LEA application form in a separate document.

LEA APPLICATION REQUIREMENTS

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.

An 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.

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	INTERVENTION (TIER I AND II ONLY)			
					turnaround	restart	closure	transformation

Note: An LEA that has nine or more Tier I and Tier II schools may not implement the transformation model in more than 50 percent of those schools.

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

- (1) 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 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.
- (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.
- (3) The LEA must describe actions it has taken, or will take, to—
 - Design and implement interventions consistent with the final requirements;
 - Recruit, screen, and select external providers, if applicable, to ensure their quality;
 - Align other resources with the interventions;
 - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively; and
 - 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.
- (5) The LEA must describe the annual goals for student achievement on the State’s assessments 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.
- (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 the SEA) in order to hold accountable its Tier III schools that receive school improvement funds.
- (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.

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.

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

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

The LEA must assure that it will—

- (1) 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;
- (2) 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, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
- (3) 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
- (4) 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 and Tier II Title I participating 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.

APPENDIX A

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.
3. 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.
4. 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.
5. 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.
6. 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 B

	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.” [‡]	Title I eligible [§] 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. ^{**}	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) Any 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 include them in Tier II.