



2010-2011

District Level School Improvement Grant Application (LEA)

**Title I
School
Improvement
Grant
ESEA 1003(g)**

**TITLE PROGRAM & SERVICES
TEAM**

Purpose:

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

Eligible Schools and Districts:

Districts that have schools identified in Tier I and Tier II and are requesting funds should utilize this application. All Tier I and Tier III schools have a school improvement plan on file that has been reviewed and approved by the KSDE. Tier I and Tier II schools will be expected to update their plan when applying for new school improvement funds. A separate grant application for Tier III schools will be made available in May, 2010, if resources are available.

Eligibility Criteria

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

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

Selection of a Model

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

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

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

A. TURNAROUND MODEL

The following information comes from Guidance from School Improvement Grants on Turnaround Models, pg. 15 and 16.

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

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

Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;

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

B. RESTART MODEL

The following information comes from Guidance from School Improvement Grants on Restart Model, pg. 19.

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

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

C. SCHOOL CLOSURE MODEL

The following information comes from Guidance from School Improvement Grants on School Closure Model, pg. 21.

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

D. TRANSFORMATION MODEL

The following information comes from Guidance from School Improvement Grants on Transformational Model, pg. 23.

An LEA implementing a transformation model must:

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

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

ADDITIONAL REQUIREMENTS WHEN ADOPTING A MODEL

Capacity:

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

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

Goal Setting and Reporting:

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

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

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

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

In addition,

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

Evaluation Criteria:

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

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

- a) Describe the need for each school identified and what interventions have been selected for each school.
- b) Describe how capacity was determined.
- c) Describe how the LEA plans to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school(s)

identified in the application in order to implement, fully and effectively, the selected intervention in each of those schools.

- d) Include a budget to sufficiently implement the funds for the selected interventions named in each Tier I and Tier II school(s) as identified in the application.
- e) Describe how and what support will be given to the school improvement activities in Tier III schools throughout the period of availability of funds (including the possibility of any waiver extending the period of time if applicable).

The Role of the SEA:

- 1) Identify Tier I, Tier II, and Tier III schools;
- 2) Establish criteria to evaluate the quality of applications;
- 3) Analyze the needs and selected intervention(s) for each Tier I and Tier II schools identified in the LEA application;
 - a. demonstrated their capacity to use the funds to provide adequate resources and
 - b. to support each Tier I and Tier II school identified in the application in order to implement fully and effectively the selected intervention in each school; and
 - c. developed a budget with sufficient funds to implement the selected interventions fully and effectively in each Tier I and Tier II school identified in their applications as well as to support school improvement activities in Tier III schools throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).
- 4) Establish criteria to assess LEA commitment to:
 - a. design and implement the interventions; recruit, screen, and select external providers, if applicable, to ensure their quality;
 - b. align other resources with the interventions;
 - c. modify their practices or policies, if necessary, to be able to implement the interventions fully and effectively; and
 - d. sustain the reforms after the funding period ends.
- 5) Prioritize, first, LEA applications that commit to serve Tier I and Tier II schools and, then, LEA applications that commit to serve Tier I schools.

- 6) Award SIG funds to eligible LEAs in amounts of sufficient size and scope to implement the selected interventions;
- 7) Monitor LEA implementation of the selected interventions.
- 8) Hold each LEA accountable annually for meeting, or making progress toward meeting, student achievement goals and leading indicators in each Tier I and Tier II School.
- 9) Post on its Web site, within 30 days of awarding SIG grants, all final LEA applications and a summary of the grants.
- 10) Report school-level data on student achievement outcomes and leading indicators in Tier I and Tier II schools.

Waivers

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

- 1) Extend the period of availability of SIG funds until September 30, 2013.
- 2) “Start over” in the school improvement timeline for Tier I schools implementing a turnaround or restart model.
- 3) Implement a schoolwide program in a Tier I school that does not meet the 40 percent poverty eligibility threshold.
- 4) Serve a Tier II school.

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

PART II: DISTRICT INFORMATION

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

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

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

KSDE General Counsel
120 SE 10th Ave.
Topeka, KS 66612
785-296-3204

A. SCHOOLS TO BE SERVED

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.

Please check (✓) the appropriate boxes.

School Name	NCES #	Identified Tier	Identify a Model (Tier I & II Only)	Requested Amount
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
School Name	NCES #	Identified Tier	Identify a Model (Tier I & II Only)	Requested Amount

		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> Transformation	
		<input type="checkbox"/> Tier 1 <input type="checkbox"/> Tier 2 <input type="checkbox"/> Tier 3	<input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> School Closure <input type="checkbox"/> 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. District Information (To be filled out by district):

Discuss the role the district played in the Exploration and Adoption of the Model(s) with schools in your district. (See Process Timeline based on the Six Steps of Implementation in Appendix C.)

Exploration and Adoption

1. Needs Assessment using the Innovation Configuration Matrix (ICM) for Schools
 - Achievement Data
 - School Leading Indicator Report
 - School AYP Data
 - School Report Card Data
 - Perception Data
 - Contextual (school processes/ programs)
 - Demographic Data
2. Selection of Model
 - School Improvement Model Selection Rubrics
3. Capacity of District
 - Capacity Appraisal using Innovation Configuration Matrix (ICM) for Districts
 - Systemic Coherence and Capacity Addendum to the District Effectiveness Appraisal
 - Sustainability Plan
4. Goal Setting
5. Completion of Steps 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

- a. Discuss recommendations shared in the Systemic Coherence and Capacity Addendum to the District Effectiveness Appraisal and how it will drive changes and support to schools in your district. (See Appendix D)
- b. Provide an explanation of the capacity of the district to serve each of its schools in Tier I and Tier II.
- c. If the LEA is not applying to each Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.
- d. How many Tier III schools in your district? How many are you estimating will adopt a model? (Application for Tier III schools will come out in May if funding is available.)

C. DESCRIPTIVE INFORMATION (TO BE FILLED OUT BY EACH SCHOOL):

Needs Assessment, Selection of the Identified Intervention Model, School and District Capacity, Timeline and Goal Setting

Part 1:

The LEA must provide the following for each Tier I and Tier II school(s) identified to serve:

Step One: Needs Assessment

1. Describe the **needs assessment process** that the school went through before selecting the Intervention Model. A resource on needs assessment is provided in the Kansas Improvement Notebook located at:
<http://www.ksde.org/Default.aspx?tabid=405>
2. Write a brief summary of the school's data analysis results/findings. Include:
 - a. **Achievement Data**
 - School Leading Indicator Report (in Appendix E of LEA Application)
 - School AYP Data
 - School Report Card Data
 - Perception Data**
 - Contextual (school processes/ programs)**
 - Demographic Data**
3. Based on the school's data analysis results, describe the root cause(s) that support the selection of an appropriate intervention model.
 - a. **Root Cause Analysis**

Step Two: Using the needs assessment results, select the Appropriate Intervention Model:

1. Elaborate on how the school utilized the School Intervention Model Selection Rubrics to choose a model. (See Appendix B.)
2. Describe why the model will be an appropriate fit for the school.
3. Describe the actions the school will take to design and implement interventions consistent with the final requirements of the grant. (See Appendix A.)
4. Describe the actions the school will take to recruit, screen and select external providers, if applicable to ensure their quality.
5. Describe how the school will align other resources with the interventions.
6. Explain what practices or policies, if necessary, will need to be modified to enable the school to implement the interventions fully and effectively.
7. Explain how the school will sustain the reforms after the funding period ends.

Step Three: Using the Needs Assessment and the Selected School Intervention Model, Assess the District and School Capacity:

1. Elaborate on how the school used the Innovation Configuration Matrix (ICM) for Schools. It is located at:
<http://www.kansasmtss.org/resources.htm>
2. Discuss the strengths and weaknesses identified in the capacity appraisal that was done for the school using the Innovation Configuration Matrix (ICM) for Schools.
3. Provide an explanation of the school's capacity to use school improvement funds to provide adequate resources and related support for full and effective implementation of all required activities of the selected model.

Step Four: Timeline and Goal Setting – Utilizing the Kansas School Improvement Process, finish Stages 1 through 4 of the School Improvement Plan and complete the following:

1. A timeline delineating the steps the school will take to implement the selected intervention in each Tier I and Tier II School
2. A description of the annual goals for student achievement that the school has established based on the State's assessments in both reading/language arts and mathematics.
3. A description of other annual goals tied to the implementation of the model.
4. Identify the relevant stakeholders, both internal and external, who were consulted by the school when completing Stages 1 through 4 of the school improvement plan.

Part 2: After each school has selected an intervention model, please answer the questions specific to the model selected. These should be done in conjunction with the district staff.

The LEA must provide the following information about the School Intervention Model selected for each Tier I and Tier II school(s). Please write your responses under each question.

The Turnaround Model

1. How will the LEA and school select a new leader for the school, and what experience, training, and skills will the new leader be expected to possess?
2. How will the LEA and school assign effective teachers and leaders to the lowest achieving schools?
3. How will the LEA and school begin to develop a pipeline of effective teachers and leaders to work in turnaround schools?
4. How will staff replacement be executed—what is the process for determining which staff remains in the school and for selecting replacements?
5. How will the language in collective bargaining agreements be negotiated to ensure the most talented teachers and leaders remain in the school?
6. What supports will be provided to staff being assigned to other schools?
7. What are the budgetary implications of retaining surplus staff within the LEA and school if that is necessary?
8. What is the LEA's and schools own capacity to execute and support a turnaround? What organizations are available to assist with the implementation of the turnaround model?
9. What changes in decision-making policies and mechanisms (including greater school-level flexibility in budgeting, staffing, and scheduling) must accompany the infusion of human capital?
10. What changes in operational practice must accompany the infusion of human capital, and how will these changes be brought about and sustained?

The Restart Model

1. Are there qualified charter management organizations (CMOs) or education management organizations (EMOs) willing to partner with the LEA to start a new school (or convert an existing school) in this location?
2. Will qualified community groups initiate a home grown charter school? The LEA is best served by developing relationships with community groups to prepare them for operating charter schools.
3. Based on supply and capacity, which option is most likely to result in acceptable student growth for the student population to be served—homegrown charter school, CMO, or EMO?
4. How can statutory, policy, and collective bargaining language relevant to the school be negotiated to allow for closure of the school and restart?
5. How will support be provided to staff that are reassigned to other schools as a result of the restart?
6. What are the budgetary implications of retaining surplus staff within the LEA if that is necessary?
7. What is the LEA's own capacity to support the charter school with access to contractually specified district services and access to available funding?
8. How will the SEA assist with the restart?
9. What performance expectations will be contractually specified for the charter school, CMO, or EMO?
10. Is the LEA (or other authorizer) prepared to terminate the contract if performance expectations are not met?

The Transformation Model

1. How will the LEA select a new leader for the school, and what experience, training, and skills will the new leader be expected to possess?
2. How will the LEA enable the new leader to make strategic staff replacements?
3. What is the LEA's own capacity to support the transformation, including the implementation of required, recommended, and diagnostically determined strategies?
4. What changes in decision making policies and mechanisms (including greater school-level flexibility in budgeting, staffing, and scheduling) must accompany the transformation?
5. What changes in operational practice must accompany the transformation, and how will these changes be brought about and sustained?

School Closure Model

1. What are the metrics to identify schools to be closed?
2. What steps are in place to make certain closure decisions are based on tangible data and readily transparent to the local community?
3. How will the students and their families be supported by the LEA through the re-enrollment process?
4. Which higher-achieving schools have the capacity to receive students from the schools being considered for closure?
5. How will the receiving schools be staffed with quality staff to accommodate the increase in students?
6. How will current staff be reassigned—what is the process for determining which staff members are dismissed and which staff members are reassigned?
7. Does the statutory, policy, and collective bargaining context relevant to the school allow for removal of current staff?

What supports will be provided to recipient schools if current staff members are reassigned?

9. What safety and security considerations might be anticipated for students of the school to be closed and the receiving school(s)?
10. What are the budgetary implications of retaining surplus staff within the LEA if that is necessary?
11. How will the LEA track student progress in the recipient schools?
12. What is the impact of school closure to the school's neighborhood, enrollment area, or community?
13. How does school closure fit within the LEA's overall reform efforts?

Budget:

1. Each district will have a district budget (combined from all Tier I and Tier II schools) and individual budgets from each school.
2. The district must provide a budget that indicates an amount of school improvement the district will use each year to implement the selected model in each Tier I and Tier II it expects to serve.
3. Each budget line item will have a detailed explanation of all activities associated with the grant.

Note: An LEA's budget must cover the period of availability, including any extension, granted through a waiver, 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.

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

1000 Instruction	
100	Personnel Services—Salaries Instructional salaries for full & part-time certified and non-certified employees, substitute pay, & stipends.
200	Employee Benefits FICA, Group Insurance, Workman’s Compensation, etc., for personnel in line 100 above.
300	Purchased Professional & Technical Services Consultants, subcontracts, mini-grants, counseling, guidance, and accounting services.
400	Purchased Property Services <i>Lease, repair, maintain, & rent property & equipment, owned or used by the district.</i>
500	Other Purchased Services Staff travel, workshops/conference registrations, per diem, mileage, lodging, staff development.
600	Supplies & Materials <i>Items that can be consumed, worn out, or deteriorated through use.</i>
700	Property <i>Initial, additional or replacement equipment.</i>
2000 Support Services	
2100	Support Services --Students Attendance, health services, & parent involvement.
2329	Other Executive Administration Services Amount of funds generated by the indirect cost rate. (i.e., general operating costs such as duplicating, postage, room rental, telephone, etc.)
2700	Student Transportation Services <i>Providing transportation for students.</i>
3000 Non-Instructional Services	
3300	Community Services Operations <i>Providing community services to staff or students.</i>
3400	Student Activities Providing activities associated with the students in these programs.

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

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

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

**KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PROJECTED DISTRICT BUDGET FOR JULY 1, 2011 TO JUNE 30, 2012
Year 2**

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

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

**KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PROJECTED DISTRICT BUDGET FOR JULY 1, 2011 TO JUNE 30, 2012
Year 3**

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

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

KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PROJECTED SCHOOL BUDGET FOR JULY 1, 2011 TO JUNE 30, 2012
Replicate for each Building
Year 1

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

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

KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PROJECTED SCHOOL BUDGET FOR JULY 1, 2011 TO JUNE 30, 2012
Replicate for each Building
Year 2

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

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

KANSAS STATE DEPARTMENT OF EDUCATION
Title I School Improvement Grant
ESEA 1003(g)
PROJECTED SCHOOL BUDGET FOR JULY 1, 2011 TO JUNE 30, 2012
Replicate for each Building
Year 3

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

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

The schools an LEA commits to serve for each year may not exceed the number of Tier I and Tier III schools serve multiplied by \$500,000.

Part 3 – Assurances –The LEA must assure that it will—

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

Part 4: Waivers (if applicable)

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.

- Extending the period of availability of school improvement funds.
- “Starting over” in the school improvement timeline for Tier I schools implementing a turnaround or restart model.
- Implementing a schoolwide program in a Tier I school that does not meet the 40 percent poverty eligibility threshold.
- Serving a Tier II school.

APPENDICES

- APPENDIX A:** Final Requirements for School Improvement Grants
- APPENDIX B:** Intervention Models Rubrics
- APPENDIX C:** Title Program & Service Team (Turnaround Model, Transformation Model, Restart Model, School Closure Model)
- APPENDIX D:** Systemic Coherence and Capacity Addendum
- APPENDIX E:** School Leading Indicator Report
- APPENDIX F:** LEA Application Scoring Form

APPENDIX A

Final Requirements for School Improvement Grants

I. SEA Priorities in Awarding School Improvement Grants:

A. Defining key terms. To award School Improvement Grants to its LEAs, consistent with section 1003(g)(6) of the ESEA, an SEA must define three tiers of schools, in accordance with the requirements in paragraph 1, to enable the SEA to select those LEAs with the greatest need for such funds. From among the LEAs in greatest need, the SEA must select, in accordance with paragraph 2, those LEAs that demonstrate the strongest commitment to ensuring that the funds are used to provide adequate resources to enable the lowest-achieving schools to meet the accountability requirements in this notice. Accordingly, an SEA must use the following definitions to define key terms:

1. Greatest need. An LEA with the greatest need for a School Improvement Grant must have one or more schools in at least one of the following tiers:

(a) Tier I schools: A Tier I school is a Title I school in improvement, corrective action, or restructuring that is identified by the SEA under paragraph (a)(1) of the definition of “persistently lowest-achieving schools.”

(b) Tier II schools: A Tier II school is a secondary school that is eligible for, but does not receive, Title I, Part A funds and is identified by the SEA under paragraph (a)(2) of the definition of “persistently lowest-achieving schools.”

(c) Tier III schools: A Tier III school is a Title I school in improvement, corrective action, or restructuring that is not a Tier I school. An SEA may establish additional criteria to use in setting priorities among LEA applications for funding and to encourage LEAs to differentiate among these schools in their use of school improvement funds.

2. Strongest Commitment. An LEA with the strongest commitment is an LEA that agrees to implement, and demonstrates the capacity to implement fully and effectively, one of the following rigorous interventions in each Tier I and Tier II school that the LEA commits to serve:

(a) Turnaround model: (1) A turnaround model is one in which an LEA must--

(i) Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates;

(ii) Using locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students,

(A) Screen all existing staff and rehire no more than 50 percent; and

(B) Select new staff;

(iii) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school;

(iv) Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies;

(v) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA or SEA, hire a "turnaround leader" who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;

(vi) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;

(vii) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;

(viii) Establish schedules and implement strategies that provide increased learning time (as defined in this notice); and

(ix) Provide appropriate social-emotional and community-oriented services and supports for students.

(2) A turnaround model may also implement other strategies such as--

(i) Any of the required and permissible activities under the transformation model; or

(ii) A new school model (e.g., themed, dual language academy).

(b) Restart model: A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process. (A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing

certain functions and resources among schools. An EMO is a for-profit or non-profit organization that provides “whole-school operation” services to an LEA.) A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.

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

(d) Transformation model: A transformation model is one in which an LEA implements each of the following strategies:

(1) Developing and increasing teacher and school leader effectiveness.

(i) Required activities. The LEA must--

(A) Replace the principal who led the school prior to commencement of the transformation model;

(B) Use rigorous, transparent, and equitable evaluation systems for teachers and principals that--

(1) Take into account data on student growth (as defined in this notice) as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduations rates; and

(2) Are designed and developed with teacher and principal involvement;

(C) Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so;

(D) Provide staff ongoing, high-quality, job-embedded professional development (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies; and

(E) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a transformation school.

(ii) Permissible activities. An LEA may also implement other strategies to develop teachers' and school leaders' effectiveness, such as--

(A) Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school;

(B) Instituting a system for measuring changes in instructional practices resulting from professional development; or

(C) Ensuring that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority.

(2) Comprehensive instructional reform strategies.

(i) Required activities. The LEA must--

(A) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards; and

(B) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.

(ii) Permissible activities. An LEA may also implement comprehensive instructional reform strategies, such as--

(A) Conducting periodic reviews to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if ineffective;

(B) Implementing a schoolwide "response-to-intervention" model;

(C) Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that limited English proficient students acquire language skills to master academic content;

(D) Using and integrating technology-based supports and interventions as part of the instructional program; and

(E) In secondary schools--

(1) Increasing rigor by offering opportunities for students to enroll in advanced coursework (such as Advanced Placement; International Baccalaureate; or science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities), early-college high schools, dual enrollment programs, or

thematic learning academies that prepare students for college and careers, including by providing appropriate supports designed to ensure that low-achieving students can take advantage of these programs and coursework;

(2) Improving student transition from middle to high school through summer transition programs or freshman academies;

(3) Increasing graduation rates through, for example, credit-recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills; or

(4) Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate.

(3) Increasing learning time and creating community-oriented schools.

(i) Required activities. The LEA must--

(A) Establish schedules and strategies that provide increased learning time (as defined in this notice); and

(B) Provide ongoing mechanisms for family and community engagement.

(ii) Permissible activities. An LEA may also implement other strategies that extend learning time and create community-oriented schools, such as--

(A) Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;

(B) Extending or restructuring the school day so as to add time for such strategies as advisory periods that build relationships between students, faculty, and other school staff;

(C) Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment; or

(D) Expanding the school program to offer full-day kindergarten or pre-kindergarten.

(4) Providing operational flexibility and sustained support.

(i) Required activities. The LEA must--

(A) Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates; and

(B) Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).

(ii) Permissible activities. The LEA may also implement other strategies for providing operational flexibility and intensive support, such as--

(A) Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or

(B) Implementing a per-pupil school-based budget formula that is weighted based on student needs.

3. Definitions.

Increased learning time means using a longer school day, week, or year schedule to significantly increase the total number of school hours to include additional time for (a) instruction in core academic subjects including English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography; (b) instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations; and (c) teachers to collaborate, plan, and engage in professional development within and across grades and subjects.¹

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

¹ Research supports the effectiveness of well-designed programs that expand learning time by a minimum of 300 hours per school year. (See Frazier, Julie A.; Morrison, Frederick J. "The Influence of Extended-year Schooling on Growth of Achievement and Perceived Competence in Early Elementary School." *Child Development*. Vol. 69 (2), April 1998, pp.495-497 and research done by Mass2020.) Extending learning into before- and after-school hours can be difficult to implement effectively, but is permissible under this definition with encouragement to closely integrate and coordinate academic work between in school and out of school. (See James-Burdumy, Susanne; Dynarski, Mark; Deke, John. "When Elementary Schools Stay Open Late: Results from The National Evaluation of the 21st Century Community Learning Centers Program." *Educational Evaluation and Policy Analysis*, Vol. 29 (4), December 2007, Document No. PP07-121.) <http://www.mathematica-mpr.com/publications/redirect_PubsDB.asp?strSite=http://epa.sagepub.com/cgi/content/abstract/29/4/296>

(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.

(b) To identify the lowest-achieving schools, a State must take into account both--

(i) The academic achievement of the "all students" group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and

(ii) The school's lack of progress on those assessments over a number of years in the "all students" group.

Student growth means the change in achievement for an individual student between two or more points in time. For grades in which the State administers summative assessments in reading/language arts and mathematics, student growth data must be based on a student's score on the State's assessment under section 1111(b)(3) of the ESEA. A State may also include other measures that are rigorous and comparable across classrooms.

4. Evidence of strongest commitment. (a) In determining the strength of an LEA's commitment to ensuring that school improvement funds are used to provide adequate resources to enable persistently lowest-achieving schools to improve student achievement substantially, an SEA must consider, at a minimum, the extent to which the LEA's application demonstrates that the LEA has taken, or will take, action to--

(i) Analyze the needs of its schools and select an intervention for each school;

(ii) Design and implement interventions consistent with these requirements;

(iii) Recruit, screen, and select external providers, if applicable, to ensure their quality;

(iv) Align other resources with the interventions;

(v) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively; and

(vi) Sustain the reforms after the funding period ends.

(b) The SEA must consider the LEA's capacity to implement the interventions and may approve the LEA to serve only those Tier I and Tier II schools for which the SEA determines that the LEA can implement fully and effectively one of the interventions.

B. Providing flexibility.

1. An SEA may award school improvement funds to an LEA for a Tier I or Tier II school that has implemented, in whole or in part, an intervention that meets the requirements under section I.A.2(a), 2(b), or 2(d) of these requirements within the last two years so that the LEA and school can continue or complete the intervention being implemented in that school.

2. An SEA may seek a waiver from the Secretary of the requirements in section 1116(b) of the ESEA in order to permit a Tier I school implementing an intervention that meets the requirements under section I.A.2(a) or 2(b) of these requirements in an LEA that receives a School Improvement Grant to "start over" in the school improvement timeline. Even though a school implementing the waiver would no longer be in improvement, corrective action, or restructuring, it may receive school improvement funds.

3. An SEA may seek a waiver from the Secretary to enable a Tier I school that is ineligible to operate a Title I schoolwide program and is operating a Title I targeted assistance program to operate a schoolwide program in order to implement an intervention that meets the requirements under section I.A.2(a), 2(b), or 2(d) of these requirements.

4. An SEA may seek a waiver from the Secretary to enable an LEA to use school improvement funds to serve a Tier II secondary school.

5. An SEA may seek a waiver from the Secretary to extend the period of availability of school improvement funds beyond September 30, 2011 so as to make those funds available to the SEA and its LEAs for up to three years.

6. If an SEA does not seek a waiver under section I.B.2, 3, 4, or 5, an LEA may seek a waiver.

II. Awarding School Improvement Grants to LEAs:

A. LEA requirements.

1. An LEA may apply for a School Improvement Grant if it has one or more schools that qualify under the State's definition of a Tier I or Tier III school. An eligible LEA may also apply to serve Tier II schools.

2. In its application, in addition to other information that the SEA may require--

(a) The LEA must--

(i) Identify the Tier I, Tier II, and Tier III schools it commits to serve;

(ii) Identify the intervention it will implement in each Tier I and Tier II school it commits to serve;

(iii) Demonstrate that it has the capacity to use the school improvement funds to provide adequate resources and related support to each Tier I and Tier II school it commits to serve in order to implement fully and effectively one of the four interventions identified in section I.A.2 of these requirements;

(iv) Provide evidence of its strong commitment to use school improvement funds to implement the four interventions by addressing the factors in section I.A.4(a) of these requirements;

(v) Include a timeline delineating the steps the LEA will take to implement the selected intervention in each Tier I and Tier II school identified in the LEA's application; and

(vi) Include a budget indicating how it will allocate school improvement funds among the Tier I, Tier II, and Tier III schools it commits to serve.

(b) If an LEA has nine or more Tier I and Tier II schools, the LEA may not implement the transformation model in more than 50 percent of those schools.

3. The LEA must serve each Tier I school using one of the four interventions identified in section I.A.2 of these requirements unless the LEA demonstrates that it lacks sufficient capacity (which may be due, in part, to serving Tier II schools) to undertake one of these rigorous interventions in each Tier I school, in which case the LEA must indicate the Tier I schools that it can effectively serve. An LEA may not serve with school improvement funds awarded under section 1003(g) of the ESEA a Tier I school in which it does not implement one of the four interventions.

4. The LEA's budget for each Tier I and Tier II school it commits to serve must be of sufficient size and scope to ensure that the LEA can implement one of the rigorous interventions identified in section I.A.2 of these requirements. The LEA's budget must cover the period of availability of the school improvement funds, taking into account any waivers extending the period of availability received by the SEA or LEA. The LEA's budget may, and likely would, exceed \$500,000 per year for each Tier I and Tier II school that implements an intervention in section I.A.2(a), 2(b), or 2(d) in order to reform the school consistent with the LEA's application and these requirements. The LEA's budget may include less than \$500,000 per year for a Tier I or Tier II school for which it proposes to implement the school closure intervention in section I.A.2(c) (which would typically be completed within one year) or if the LEA's budget shows that less funding is needed to implement its selected intervention fully and effectively.

5. The LEA's budget for each Tier III school it commits to serve must include the services it will provide the school, particularly if the school meets additional criteria established by the SEA, although

those services do not need to be commensurate with the funds the SEA provides the LEA based on the school's inclusion in the LEA's School Improvement Grant application.

6. An LEA in which one or more Tier I schools are located and that does not apply to serve at least one of these schools may not apply for a grant to serve only Tier III schools.

7. (a) To monitor each Tier I and Tier II school that receives school improvement funds, an LEA must--

(i) Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics; and

(ii) Measure progress on the leading indicators in section III of these requirements.

(b) The LEA must also meet the requirements with respect to adequate yearly progress in section 1111(b)(2) of the ESEA.

8. If an LEA implements a restart model, it must hold the charter school operator, CMO, or EMO accountable for meeting the final requirements.

B. SEA requirements.

1. To receive a School Improvement Grant, an SEA must submit an application to the Department at such time, and containing such information, as the Secretary shall reasonably require.

2. (a) An SEA must review and approve, consistent with these requirements, an application for a School Improvement Grant that it receives from an LEA.

(b) Before approving an LEA's application, the SEA must ensure that the application meets these requirements, particularly with respect to--

(i) Whether the LEA has agreed to implement one of the four interventions identified in section I.A.2 of these requirements in each Tier I and Tier II school included in its application;

(ii) The extent to which the LEA's application shows the LEA's strong commitment to use school improvement funds to implement the four interventions by addressing the factors in section I.A.4(a) of these requirements;

(iii) Whether the LEA has the capacity to implement the selected intervention fully and effectively in each Tier I and Tier II school identified in its application; and

(iv) Whether the LEA has submitted a budget that includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school it identifies in its application and whether the budget covers the period of availability of the funds, taking into account any waiver extending the period of availability received by either the SEA or the LEA.

(c) An SEA may, consistent with State law, take over an LEA or specific Tier I or Tier II schools in order to implement the interventions in these requirements.

(d) An SEA may not require an LEA to implement a particular model in one or more schools unless the SEA has taken over the LEA or school.

(e) To the extent that a Tier I or Tier II school implementing a restart model becomes a charter school LEA, an SEA must hold the charter school LEA accountable, or ensure that the charter school authorizer holds it accountable, for complying with these requirements.

3. An SEA must post on its Web site, within 30 days of awarding School Improvement Grants to LEAs, all final LEA applications as well as a summary of those grants that includes the following information:

(a) Name and National Center for Education Statistics (NCES) identification number of each LEA awarded a grant.

(b) Amount of each LEA's grant.

(c) Name and NCES identification number of each school to be served.

(d) Type of intervention to be implemented in each Tier I and Tier II school.

4. If an SEA does not have sufficient school improvement funds to award, for up to three years, a grant to each LEA that submits an approvable application, the SEA must give first priority to LEAs that apply to serve both Tier I and Tier II schools and then give priority to LEAs that apply to serve Tier I schools.

5. An SEA must award a School Improvement Grant to an LEA in an amount that is of sufficient size and scope to support the activities required under section 1116 of the ESEA and these requirements. The LEA's total grant may not be less than \$50,000 or more than \$500,000 per year for each Tier I and Tier III school that the LEA commits to serve.

6. (a) In awarding school improvement funds to an LEA, an SEA must allocate \$500,000 per year for each Tier I school that will implement a rigorous intervention under section I.A.2(a), 2(b), or 2(d) for which the LEA has requested funds in its budget and for which the SEA determines the LEA has the capacity to serve, unless the SEA determines on a case-by-case basis, considering such factors as school size, the intervention selected, and other relevant circumstances, that less funding is needed to implement the intervention fully and effectively.

(b) The SEA must allocate sufficient school improvement funds in total to the LEA, consistent with section 1003(g)(5) of the ESEA, to meet, as closely as possible, the LEA's budget for implementing

one of the four interventions in each Tier I and Tier II school it commits to serve, including the costs associated with closing such schools under section I.A.2(c), as well as the costs for serving participating Tier III schools, particularly those meeting additional criteria established by the SEA.

7. If an SEA does not have sufficient school improvement funds to allocate to each LEA with a Tier I or Tier II school an amount sufficient to enable the school to implement fully and effectively the specified intervention throughout the period of availability, including any extension afforded through a waiver, the SEA 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.

8. If an SEA has provided a School Improvement Grant to each LEA that has requested funds to serve a Tier I or Tier II school in accordance with these requirements, the SEA may award remaining school improvement funds to an LEA that seeks to serve only Tier III schools that applies to receive those funds.

9. In awarding School Improvement Grants, an SEA must apportion its school improvement funds in order to make grants to LEAs, as applicable, that are renewable for the length of the period of availability of the funds, taking into account any waivers that may have been requested and received by the SEA or an individual LEA to extend the period of availability.

10. (a) If not every Tier I school in a State is served with FY 2009 school improvement funds, an SEA must carry over 25 percent of its FY 2009 funds, combine those funds with FY 2010 school improvement funds (depending on the availability of appropriations), and award those funds to eligible LEAs consistent with these requirements. This requirement does not apply in a State that does not have sufficient school improvement funds to serve all the Tier I schools in the State.

(b) If each Tier I school in a State is served with FY 2009 school improvement funds, an SEA may reserve up to 25 percent of its FY 2009 allocation and award those funds in combination with its FY 2010 funds (depending on the availability of appropriations) consistent with these requirements.

11. In identifying Tier I and Tier II schools in a State for purposes of allocating funds appropriated for School Improvement Grants under section 1003(g) of the ESEA for any year subsequent to FY 2009, an SEA must exclude from consideration any school that was previously identified as a Tier I or Tier II school and in which an LEA is implementing one of the four interventions identified in these requirements using funds made available under section 1003(g) of the ESEA.

12. An SEA that is participating in the “differentiated accountability pilot” must ensure that its LEAs use school improvement funds available under section 1003(g) of the ESEA in a Tier I or Tier II school consistent with these requirements.

13. 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 and may consult with other stakeholders that have an interest in its application.

C. Renewal for additional one-year periods.

(a) If an SEA or an individual LEA requests and receives a waiver of the period of availability of school improvement funds, an SEA--

(i) Must renew the School Improvement Grant for each affected LEA for additional one-year periods commensurate with the period of availability if the LEA demonstrates that its Tier I and Tier II schools are meeting the requirements in section II.A.7 and that its Tier III schools are meeting the goals in their plans developed under section 1116 of the ESEA; and

(ii) May renew an LEA’s School Improvement Grant if the SEA determines that the LEA is making progress toward meeting the requirements in section II.A.7.

(b) If an SEA does not renew, in whole or in part, an LEA’s School Improvement Grant because one or more of the LEA’s participating schools is not meeting the requirements in section II.A.7, the SEA may reallocate those funds to other eligible LEAs, consistent with these requirements.

D. State reservation for administration, evaluation, and technical assistance.

An SEA may reserve from the school improvement funds it receives under section 1003(g) of the ESEA in any given year no more than five percent for administration, evaluation, and technical assistance expenses. An SEA must describe in its application for a School Improvement Grant how the SEA will use these funds.

E. A State Whose School Improvement Grant Exceeds the Amount the State May Award to Eligible LEAs.

In some States in which a limited number of Title I schools are identified for improvement, corrective action, or restructuring, the SEA may be able to make School Improvement Grants, renewable for additional years commensurate with the period of availability of the funds, to each LEA with a Tier I, Tier II, or Tier III school without using the State’s full allocation under section 1003(g) of the ESEA. An SEA in this situation may reserve no more than five percent of its FY 2009 allocation of school

improvement funds for administration, evaluation, and technical assistance expenses under section 1003(g)(8) of the ESEA. The SEA may retain sufficient school improvement funds to serve, for succeeding years, each Tier I, II, and III school that generates funds for an eligible LEA. The Secretary may reallocate to other States any remaining school improvement funds from States with surplus funds.

III. Reporting and Evaluation:

A. Reporting metrics.

To inform and evaluate the effectiveness of the interventions identified in these requirements, the Secretary will collect data on the metrics in the following chart. The Department already collects most of these data through EDFacts and will collect data on two metrics through SFSF reporting. Accordingly, an SEA must only report the following new data with respect to school improvement funds:

1. A list of the LEAs, including their NCES identification numbers, that received a School Improvement Grant under section 1003(g) of the ESEA and the amount of the grant.

2. For each LEA that received a School Improvement Grant, a list of the schools that were served, their NCES identification numbers, and the amount of funds or value of services each school received.

3. For any Tier I or Tier II school, school-level data on the metrics designated on the following chart as “SIG” (School Improvement Grant):

Metric	Source	Achievement Indicators	Leading Indicators
SCHOOL DATA			
Which intervention the school used (i.e., turnaround, restart, closure, or transformation)	NEW SIG		
AYP status	<u>EDFacts</u>	✓	
Which AYP targets the school met and missed	<u>EDFacts</u>	✓	
School improvement status	<u>EDFacts</u>	✓	
Number of minutes within the school year	NEW SIG		✓
STUDENT OUTCOME/ACADEMIC PROGRESS DATA			
Percentage of students at or above each proficiency level on State assessments in reading/language arts and mathematics (e.g., Basic, Proficient, Advanced), by grade and by student subgroup	<u>EDFacts</u>	✓	
Student participation rate on State assessments in reading/language arts and in mathematics, by student subgroup	<u>EDFacts</u>		✓
Average scale scores on State assessments in reading/language arts and in mathematics, by grade, for the “all students” group, for each achievement quartile, and for each subgroup	NEW SIG	✓	
Percentage of limited English proficient students who attain English language proficiency	<u>EDFacts</u>	✓	
Graduation rate	<u>EDFacts</u>	✓	
Dropout rate	<u>EDFacts</u>		✓
Student attendance rate	<u>EDFacts</u>		✓
Number and percentage of students completing advanced coursework (e.g., AP/IB), early-college high schools, or dual enrollment classes	NEW SIG HS only		✓
College enrollment rates	NEW SFSF Phase II HS only	✓	
STUDENT CONNECTION AND SCHOOL CLIMATE			
Discipline incidents	<u>EDFacts</u>		✓

Metric	Source	Achievement Indicators	Leading Indicators
Truants	EDFacts		✓
TALENT			
Distribution of teachers by performance level on LEA's teacher evaluation system	NEW SFSF Phase II		✓
Teacher attendance rate	NEW SIG		✓

4. An SEA must report these metrics for the school year prior to implementing the intervention, if the data are available, to serve as a baseline, and for each year thereafter for which the SEA allocates school improvement funds under section 1003(g) of the ESEA. With respect to a school that is closed, the SEA need report only the identity of the school and the intervention taken--i.e., school closure.

B. Evaluation.

An LEA that receives a School Improvement Grant must participate in any evaluation of that grant conducted by the Secretary.

Appendix B

Intervention Models Rubrics



TITLE PROGRAM & SERVICES TEAM

Turnaround Model
Transformation Model
Restart Model
School Closure Model

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

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

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

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

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

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

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

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

STANDARD: CULTURE AND HUMAN CAPITAL				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Implement strategies that will recruit, place and retain staff* with the skills necessary to meet the needs of the students in the transformational school, which may include, but are not limited to:* ✓ Financial incentives, ✓ Increased opportunities for promotion and career growth, ✓ Flexible work conditions.	The school has adopted and implemented multiple innovative and aggressive strategies to help recruit, place, and retain staff.	The school has adopted and is in the process of implementing multiple innovative and aggressive strategies to help recruit, place, and retain staff.	The school is investigating multiple innovative and aggressive strategies to help recruit, place, and retain staff.	The school has made no changes in their strategies to help recruit, place, and retain staff.
Provide ongoing mechanisms for family and community engagement.**	The school has adopted and implemented community-oriented services and supports to students.	The school has adopted, and is in the process of implementing, community-oriented services and supports to students.	The school is investigating community-oriented services and supports to students.	The school offers no community-oriented services and supports to students.

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

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

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

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

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

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

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

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

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

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

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

STANDARD: CULTURE AND HUMAN CAPITAL

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

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

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

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

**A “competency,” which is a part of a rigorous recruitment process, help ensure a strong match between teachers’ competencies and the setting. Although an LEA is not obligated to ensure that all teachers have the competencies specifically listed for students and staff, and the guidance document for recruitment.

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

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

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

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

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

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

	<p>Organization Management</p> <ul style="list-style-type: none">✓ Organization hires a School Leader to manage the school.✓ There is no decision made by the local board✓ The management organization uses their board.			
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STANDARD: LEADERSHIP				
Indicator	Rating of Performance			
	4 Exemplary level of development and implementation	3 Full function and operational level of development and implementation	2 Limited development and partial implementation	1 Little or no development and implementation
Application Process - Quality Indicators are evident in the LEA's application/petition as indicated: Educational Need, Mission, Purpose, Enrollment and Recruitment, Educational Philosophy, Support for Learning, Staffing Plan, Measurable Goals/ Assessment, Governance, LEA Responsibilities, Financial Management including budget with implementation detail .	All Quality Indicators are addressed and clearly described to meet SEA requirements.			Quality Indicators are missing or not evident. Description lacking in detail.

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

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

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

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

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

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

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

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

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

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

Appendix C

Process Timeline based on the Six Steps of Implementation

Implementation Steps	Timeline
<p>Exploration and Adoption</p> <p>10. Needs Assessment using the Innovation Configuration Matrix (ICM) for Schools</p> <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 <p>11. Selection of Model</p> <ul style="list-style-type: none"> o School Improvement Model Selection Rubrics <p>12. Capacity of District</p> <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 <p>13. Goal Setting</p> <p>14. Completion of Stages 1 through 4 in School Improvement Process</p> <p>15. LEA Application</p> <p>16. LEA Presentation on Needs Assessment Results, Model Selection, Capacity Appraisal Results, and Goal Identification</p> <p>17. Budget Negotiation</p> <p>18. Approval of LEA Application by KSDE</p>	<p>February 2010 through May 2010</p>
<p>Program Installation</p> <ol style="list-style-type: none"> 1. Completion of Stages 5 through 8 in School Improvement Process 2. Peer Review of School Improvement Plan 3. Resource Realignment 4. Initial Training of School Staff on Identified Model 5. Family and Community Information Sessions 	<p>May 2010 through August 2010</p>
<p>Initial Implementation</p> <ol style="list-style-type: none"> 1. Continuation of School Staff Training 2. Beginning of School Year 3. Student Orientation Sessions on School Changes 4. Families and Community Orientation Sessions on School Changes 	<p>August 2011</p>
<p>Full Operation</p> <ol style="list-style-type: none"> 1. Continuation of School Staff Training 2. IC's Bi-Weekly Meetings on Fidelity of Implementation of School Improvement Plan 3. Bi-Monthly Monitoring by KSDE Staff 4. Student Orientation Sessions on School Changes 5. Family and Community Orientation Sessions on School Changes 	<p>August 2010 through May 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 2011</p>
<p>Sustainability</p> <ol style="list-style-type: none"> 1. Evaluation 2. Resource Alignment 3. Abandonment and Redesign 	<p>August 2011</p>

Appendix D

Systemic Coherence and Capacity Addendum

Leadership

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

Culture and Human Capital

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

Instruction and Professional Development Culture

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

Curriculum and Assessment

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

Appendix E School Leading Indicator Report

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

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

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

Appendix F
LEA Application Scoring Form
SUMMARY PAGE

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

Section	Points Awarded
Section A: District Information - 5 Points ✓ Cover Page ✓ Schools Identified by Tier & Model	/5
Section B: District Information - 20 Points ✓ Explanation of Exploration & Adoption Process (6 Steps)	/20
Part One: Section C - 30 Points ✓ Descriptive Information for Each School in Tier I and Tier II <ul style="list-style-type: none"> ▪ Needs Assessment ▪ Selection of Intervention Model ▪ School Capacity ▪ Timeline and Goal Setting 	/30
Part Two: Section D - 25 Points ✓ Questions Specific to the Intervention Model <ul style="list-style-type: none"> ▪ Turnaround Model ▪ Restart Model ▪ Transformation Model ▪ School Closure Model 	/25
Section E: Budget - 20 Points ✓ District Budget Provided ✓ Individual School Budgets Provided ✓ Detailed Explanation for each line item in the budget	/20
TOTAL SCORE FOR APPLICATION-100	/100

Status of District: (Circle One): Not in Improvement In Improvement Corrective Action

Reviewer Name:		District Name/USD#:
Section A: District Information – 5 Points	Points Awarded	Comments:
Cover Sheet with District Information 2.5 pts	___/2.5	
Schools Identified by Tier and Model 2.5 pts	___/2.5	
<u>Total Section A: District Information – 10 Points</u>		
Section B: District Information – 20 Points	Points Awarded	Comments:
<p>The district has explained how it assisted the schools through the <i>Exploration and Adoption Process.</i></p> <ol style="list-style-type: none"> 1. Needs Assessment 2. Selection of Model 3. Capacity of School 4. Goal Setting 5. Completing 1-4 Stages on School Improvement Plan 6. Budget <p>4 pts</p>	___/4	

<p>The district has explained the results of the <i>Systemic Coherence and Capacity Addendum to the District Appraisal</i> and how it will utilize the results.</p> <p>4 pts</p>	<p>___/4</p>	
<p>The district has provided an explanation of its capacity to serve Tier I and Tier II schools and the tools utilized in order to make this determination.</p> <p>4 pts</p>	<p>___/4</p>	
<p>The district has provided an explanation for it is not serving Tier I schools.</p> <p>4 pts</p>	<p>___/4</p>	
<p>The district has estimated the number of Tier III schools and how many may be adopting a model.</p> <p>4 pts</p>	<p>___/4</p>	
<p><u>Total Section B: District Information –</u> <u>20 Points</u></p>	<p>___/20</p>	

PART ONE: A Scoring Form will be Completed for Each School.

Section C: Descriptive Information for Each School –30Points	Points Awarded	Comments:
NEEDS ASSESSMENT		
<p>The School has explained the <i>Exploration and Adoption Process</i></p> <ul style="list-style-type: none"> • Needs Assessment • Selection of Model • Capacity of School • Goal Setting • Completing 1-4 Stages on School Improvement Plan • Budget <p>2 pts</p>	<p>___/2</p>	
<p>Data has been displayed and analyzed.</p> <ul style="list-style-type: none"> • Achievement Data • School Leading Indicator Report • School AYP Data • School Report Card Data • Perception Data • Contextual • Demographic Data <p>Innovation Configuration Matrix for School</p> <p>2 pts</p>	<p>___/2</p>	
<p>A root cause analysis has been conducted.</p> <p>1 pt</p>	<p>___/1</p>	

SELECTION OF INTERVENTION MODEL		
<p>School explained how it used needs assessment in helping to select model.</p> <p>1 pt</p>	<p>___/1</p>	
<p>School described why the model will be an appropriate fit for the school.</p> <p>2 pts</p>	<p>___/2</p>	
<p>School described how it used the School Intervention Model Selection Rubrics to choose a model.</p> <p>2 pts</p>	<p>___/2</p>	
<p>The school described the actions the school will take to design and implement interventions consistent with the final requirements of the grant.</p> <p>2 pts</p>	<p>___/2</p>	
<p>The school described how the school will align other resources with the interventions?</p> <p>2 pts</p>	<p>___/2</p>	
<p>The school described what practices or policies, if necessary, will need to be modified to enable the school to implement the interventions fully and effectively.</p> <p>2 pts</p>	<p>___/2</p>	

<p>Explain how the school will sustain the reforms after the funding period ends.</p> <p>2 pts</p>	<p>___/2</p>	
<p>SCHOOL CAPACITY</p>		
<p>The school described how the school used the Innovation Configuration Matrix (ICM) for Schools to access capacity.</p> <p>2 pts</p>	<p>___/2</p>	
<p>The school provided an explanation of the school's capacity to use school improvement funds to provide adequate resources and related support for full and effective implementation of all required activities of the selected model.</p> <p>2 pts</p>	<p>___/2</p>	
<p>TIMELINE AND GOAL SETTING</p>		
<p>A timeline was delineated the steps the school will take to implement the selected intervention in each Tier I and Tier II School .</p> <p>2 pts</p>	<p>___/2</p>	
<p>The school wrote description of the annual goals for student achievement that the school has established based on the State's assessments in both reading/language arts and mathematics.</p> <p>2 pts</p>	<p>___/2</p>	

<p>The school wrote a description of other annual goals tied to implementation of the model.</p> <p>2 pts</p>	<p>___/2</p>	
<p>The school identified the relevant stakeholders, both internal and external, who were consulted by the school when completing Stages 1 through 4 of the school improvement plan.</p> <p>2 pts</p>	<p>___/2</p>	
<p><u>Total Part One, Section C: Descriptive Information</u> <u>- 30 Points</u></p>	<p>___/30</p>	

The school selected the following model: _____

PART TWO: Questions Specific to Intervention Model – Turnaround Model
Complete questions for appropriate model.

Section D: Descriptive Information for Each School – 25 Points	Points Awarded	Comments:
Turnaround Model		
<p>How will the LEA and school select a new leader for the school, and what experience, training, and skills will the new leader be expected to possess?</p> <p>3 pts</p>	<p>___/3</p>	
<p>How will the LEA and school assign effective teachers and leaders to the lowest achieving schools?</p> <p>3 pts</p>	<p>___/3</p>	
<p>How will the LEA and school begin to develop a pipeline of effective teachers and leaders to work in turnaround schools?</p> <p>2 pts</p>	<p>___/2</p>	

<p>How will staff replacement be executed—what is the process for determining which staff remains in the school and for selecting replacements?</p> <p>2 pts</p>	<p>___/2</p>	
<p>How will the language in collective bargaining agreements be negotiated to ensure the most talented teachers and leaders remain in the school?</p> <p>2 pts</p>	<p>___/2</p>	
<p>What supports will be provided to staff being assigned to other schools?</p> <p>3 pts</p>	<p>___/3</p>	
<p>What are the budgetary implications of retaining surplus staff within the LEA and school if that is necessary?</p> <p>2 pts</p>	<p>___/2</p>	
<p>What is the LEA's and schools own capacity to execute and support a turnaround? What organizations are available to assist with the implementation of the turnaround model?</p> <p>3 pts</p>	<p>___/3</p>	

<p>What changes in decision-making policies and mechanisms (including greater school-level flexibility in budgeting, staffing, and scheduling) must accompany the infusion of human capital?</p> <p>2 pts</p>	<p>___/2</p>	
<p>What changes in operational practice must accompany the infusion of human capital, and how will these changes be brought about and sustained?</p> <p>3 pts</p>	<p>___/3</p>	
<p><u>Total Part Two, Section D: Descriptive Information – 25 Points</u></p>	<p>___/25</p>	

PART TWO: Questions Specific to Intervention Model – Restart Model

Section D: Descriptive Information for Each School – 25 Points	Points Awarded	Comments:
Restart Model		
<p>Are there qualified charter management organizations (CMOs) or education management organizations (EMOs) willing to partner with the LEA to start a new school (or convert an existing school) in this location?</p> <p>3 pts</p>	<p>___/3</p>	
<p>Will qualified community groups initiate a home grown charter school? The LEA is best served by developing relationships with community groups to prepare them for operating charter schools.</p> <p>2 pts</p>	<p>___/2</p>	
<p>Based on supply and capacity, which option is most likely to result in acceptable student growth for the student population to be served— homegrown charter school, CMO, or EMO?</p> <p>2 pts</p>	<p>___/2</p>	
<p>How can statutory, policy, and collective bargaining language relevant to the school be negotiated to allow for closure of the school and restart?</p> <p>2 pts</p>	<p>___/2</p>	

<p>How will support be provided to staff that are reassigned to other schools as a result of the restart? 3 pts</p>	<p>___/3</p>	
<p>What are the budgetary implications of retaining surplus staff within the LEA if that is necessary? 3 pts</p>	<p>___/3</p>	
<p>What is the LEA's own capacity to support the charter school with access to contractually specified district services and access to available funding? 2 pts</p>	<p>___/2</p>	
<p>How will the SEA assist with the restart? 3 pts</p>	<p>___/3</p>	
<p>What performance expectations will be contractually specified for the charter school, CMO, or EMO? 3 pts</p>	<p>___/3</p>	
<p>Is the LEA (or other authorizer) prepared to terminate the contract if performance expectations are not met? 2 pts</p>	<p>___/2</p>	
<p><u>Total Part Two, Section D: Descriptive Information – 25 Points</u></p>	<p>___/25</p>	

PART TWO: Questions Specific to Intervention Model – Transformation Model

Section D: Descriptive Information for Each School –25 Points	Points Awarded	Comments:
Transformation Model		
<p>How will the LEA select a new leader for the school, and what experience, training, and skills will the new leader be expected to possess?</p> <p>5 pts</p>	<p>___/5</p>	
<p>How will the LEA enable the new leader to make strategic staff replacements?</p> <p>5 pts</p>	<p>___/5</p>	
<p>What is the LEA’s own capacity to support the transformation, including the implementation of required, recommended, and diagnostically determined strategies?</p> <p>5 pts</p>	<p>___/5</p>	
<p>What changes in decision making policies and mechanisms (including greater school-level flexibility in budgeting, staffing, and scheduling) must accompany the transformation?</p> <p>5 pts</p>	<p>___/5</p>	

What changes in operational practice must accompany the transformation, and how will these changes be brought about and sustained 5 pts	___/5	
<u>Total Part Two, Section D: Descriptive Information – 25 Points</u>	___/25	

PART TWO: Questions Specific to Intervention Model – School Closure Model

Section D: Descriptive Information for Each School – 25 Points	Points Awarded	Comments:
School Closure Model		
<p>What are the metrics to identify schools to be closed? 2 pts</p>	<p>___/2</p>	
<p>What steps are in place to make certain closure decisions are based on tangible data and readily transparent to the local community? 2 pts</p>	<p>___/2</p>	
<p>How will the students and their families be supported by the LEA through the re-enrollment process? 2 pts</p>	<p>___/2</p>	
<p>Which higher-achieving schools have the capacity to receive students from the schools being considered for closure? 1 pt</p>	<p>___/1</p>	

<p>How will the receiving schools be staffed with quality staff to accommodate the increase in students?</p> <p>2 pts</p>	<p>___/2</p>	
<p>How will current staff be reassigned—what is the process for determining which staff members are dismissed and which staff members are reassigned?</p> <p>2 pts</p>	<p>___/2</p>	
<p>Does the statutory, policy, and collective bargaining context relevant to the school allow for removal of current staff?</p> <p>2 pts</p>	<p>___/2</p>	
<p>What supports will be provided to recipient schools if current staff members are reassigned?</p> <p>2 pts</p>	<p>___/2</p>	
<p>What safety and security considerations might be anticipated for students of the school to be closed and the receiving school(s)?</p> <p>2 pts</p>	<p>___/2</p>	

<p>What are the budgetary implications of retaining surplus staff within the LEA if that is necessary?</p> <p>2 pts</p>	<p>___/2</p>	
<p>How will the LEA track student progress in the recipient schools?</p> <p>2 pts</p>	<p>___/2</p>	
<p>What is the impact of school closure to the school's neighborhood, enrollment area, or community?</p> <p>2 pts</p>	<p>___/2</p>	
<p>How does school closure fit within the LEA's overall reform efforts?</p> <p>2 pts</p>	<p>___/2</p>	
<p><u>Total Part Two, Section D: Descriptive Information – 25 Points</u></p>	<p>___/25</p>	

Section E: Budget – 20 Points	Points Awarded	Comments:
<p>The district provided a district budget (combined from all Tier I and Tier II schools)</p> <p>5 pts</p>	<p>___/5</p>	
<p>Individual budgets for each school were provided.</p> <p>5 pts</p>	<p>___/5</p>	
<p>Each line item for the district and school budgets had a detailed explanation of all activities associated with the grant.</p> <p>10 pts</p>	<p>___/10</p>	
<p><u>Total Section E: Budget – 20 Points</u></p>	<p>___/20</p>	

Note: An LEA’s budget must cover the period of availability, including any extension, granted through a waiver, and be of sufficient size and scope to implement the selected the selected school intervention model in each Tier I and Tier II school the LEA commits to serve.