III. RACE TO THE TOP APPLICATION ASSURANCES
(CFDA No. 84.395A)

Legal Name of Applicant (Office of the Governor): Office of the Governor	Applicant's Mailing Address: State Capitol 600 Dexter Avenue Montgomery, AL 36130-3024
Employer Identification Number: 636000619	Organizational DUNS: 829915219
State Race to the Top Contact Name: (Single point of contact for communication) Thomas R. Bice	Contact Position and Office: Deputy State Superintendent of Education Alabama Department of Education
Contact Telephone: 334-242-8154	Contact E-mail Address: tbice@alsde.edu

Required Applicant Signatures:

To the best of my knowledge and belief, all of the information and data in this application are true and correct.

I further certify that I have read the application, am fully committed to it, and will support its implementation:

Governor or Authorized Representative of the Governor (Printed Name): Bob Riley	Telephone: 334-242-7160
Signature of Governor or Authorized Representative of the Governor:	Date: 5/28/2010
Chief State School Officer (Printed Name): Joseph B. Morton	Telephone: 334-242-9700
Signature of the Chief State School Officer:	Date: 5/28/2010
President of the State Board of Education (Printed Name): Randy McKinney	Telephone: 251-967-2166
Signature of the President of the State Board of Education:	Date: 5/28/2010

State Attorney General Certification

I certify that the State's description of, and statements and conclusions concerning, State law, statute, and regulation in its application are complete, accurate, and constitute a reasonable interpretation of State law, statute, and regulation.
(See especially Eligibility Requirement (b), Selection Criteria (B)(1), (D)(1), (E)(1), (F)(2), (F)(3).)

I certify that the State does not have any legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

State Attorney General or Authorized Representative (Printed Name):	Telephone:
Larry E. Craven, General Counsel, Alabama State Department of Education Assistant Attorney General, Authorized Representative	**334-242-1899**
Signature of the State Attorney General or Authorized Representative: Larry E. Craven	Date: May 27, 2010

IV. ACCOUNTABILITY, TRANSPARENCY, REPORTING AND OTHER ASSURANCES AND CERTIFICATIONS

Accountability, Transparency and Reporting Assurances

The Governor or his/her authorized representative assures that the State will comply with all of the accountability, transparency, and reporting requirements that apply to the Race to the Top program, including the following:

- For each year of the program, the State will submit a report to the Secretary, at such time and in such manner as the Secretary may require, that describes:
    - the uses of funds within the State;
    - how the State distributed the funds it received;
    - the number of jobs that the Governor estimates were saved or created with the funds;
    - the State's progress in reducing inequities in the distribution of highly qualified teachers, implementing a State longitudinal data system, and developing and implementing valid and reliable assessments for limited English proficient students and students with disabilities; and
    - if applicable, a description of each modernization, renovation, or repair project approved in the State application and funded, including the amounts awarded and project costs (ARRA Division A, Section 14008)

- The State will cooperate with any U.S. Comptroller General evaluation of the uses of funds and the impact of funding on the progress made toward closing achievement gaps (ARRA Division A, Section 14009)

- If the State uses funds for any infrastructure investment, the State will certify that the investment received the full review and vetting required by law and that the chief executive accepts responsibility that the investment is an appropriate use of taxpayer funds. This certification will include a description of the investment, the estimated total cost, and the amount of covered funds to be used. The certification will be posted on the State's website and linked to www.Recovery.gov. A State or local agency may not use funds under the ARRA for infrastructure investment funding unless this certification is made and posted. (ARRA Division A, Section 1511)

- The State will submit reports, within 10 days after the end of each calendar quarter, that contain the information required under section 1512(c) of the ARRA in accordance with any guidance issued by the Office of Management and Budget or the Department. (ARRA Division A, Section 1512(c))

- The State will cooperate with any appropriate Federal Inspector General's examination of records under the program. (ARRA Division A, Section 1515)

Other Assurances and Certifications

The Governor or his/her authorized representative assures or certifies the following:

- The State will comply with all applicable assurances in OMB Standard Forms 424B (Assurances for Non-Construction Programs) and to the extent consistent with the State's application, OMB Standard Form 424D (Assurances for Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders and regulations.

- With respect to the certification regarding lobbying in Department Form 80-0013, no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; the State will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 C.F.R. Part 82, Appendix B); and the State will require the full certification, as set forth in 34 C.F.R. Part 82, Appendix A, in the award documents for all subawards at all tiers.

- The State will comply with all of the operational and administrative provisions in Title XV and XIV of the ARRA, including Buy American Requirements (ARRA Division A, Section 1605), Wage Rate Requirements (section 1606), and any applicable environmental impact requirements of the National Environmental Policy Act of 1970 (NEPA), as amended, (42 U.S.C. 4371 et seq.) (ARRA Division A, Section 1609). In using ARRA funds for infrastructure investment, recipients will comply with the requirement regarding Preferences for Quick Start Activities (ARRA Division A, Section 1602).

- Any local educational agency (LEA) receiving funding under this program will have on file with the State a set of assurances that meets the requirements of section 442 of the General Education Provisions Act (GEPA) (20 U.S.C. 1232e).

- Any LEA receiving funding under this program will have on file with the State (through either its Stabilization Fiscal Stabilization Fund application or another U.S. Department of Education Federal grant) a description of how the LEA will comply with the requirements of section 427 of GEPA (20 U.S.C. 1228a). The description must include information on the steps the LEA proposes to take to permit students, teachers, and other program beneficiaries to overcome barriers (including barriers based on gender, race, color, national origin, disability, and age) that impede access to, or participation in, the program.

- The State and other entities will comply with the Education Department General Administrative Regulations (EDGAR), including the following provisions as applicable: 34 CFR Part 74–Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 34 CFR Part 75–Direct Grant Programs; 34 CFR Part 77– Definitions that Apply to Department Regulations; 34 CFR Part

80– Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the procurement provisions; 34 CFR Part 81– General Education Provisions Act–Enforcement; 34 CFR Part 82– New Restrictions on Lobbying; 34 CFR Part 84–Governmentwide Requirements for Drug-Free Workplace (Financial Assistance); 34 CFR Part 85–Governmentwide Debarment and Suspension (Nonprocurement).

SIGNATURE BLOCK FOR CERTIFYING OFFICIAL

Governor or Authorized Representative of the Governor (Printed Name): Bob Riley	
Signature of Governor or Authorized Representative of the Governor:	Date: 5/28/2010

V. ELIGIBILITY REQUIREMENTS

A State must meet the following requirements in order to be eligible to receive funds under this program.

Eligibility Requirement (a)

The State's applications for funding under Phase 1 and Phase 2 of the State Fiscal Stabilization Fund program must be approved by the Department prior to the State being awarded a Race to the Top grant.

The Department will determine eligibility under this requirement before making a grant award.

Eligibility Requirement (b)

At the time the State submits its application, there are no legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

The certification of the Attorney General addresses this requirement. The applicant may provide explanatory information, if necessary. The Department will determine eligibility under this requirement.

(Enter text here.)

STATE OF ALABAMA
DEPARTMENT OF EDUCATION

Joseph B. Morton
State Superintendent
of Education

Alabama
State Board
of Education

Governor Bob Riley
President

Randy McKinney
District I
Vice President

Betty Peters
District II

Stephanie W. Bell
District III

Dr. Ethel H. Hall
District IV
Vice President
Emerita

Ella B. Bell
District V

David F. Byers, Jr.
District VI

Gary Warren
District VII

Dr. Mary Jane Caylor
District VIII
President Pro Tem

Joseph B. Morton
Secretary and
Executive Officer

May 28, 2010

Secretary Arne Duncan
U. S. Department of Education
Lyndon Baines Johnson (LBJ)
400 Maryland Ave, SW
Washington, DC 20202

Dear Secretary Duncan:

Please find enclosed Alabama's Race to the Top grant application. We are pleased to be able to participate in the Phase II competition and look forward to a favorable review.

Sincerely,

Thomas R. Bice, Ed.D.
Deputy State Superintendent of Education

TRB:LAK

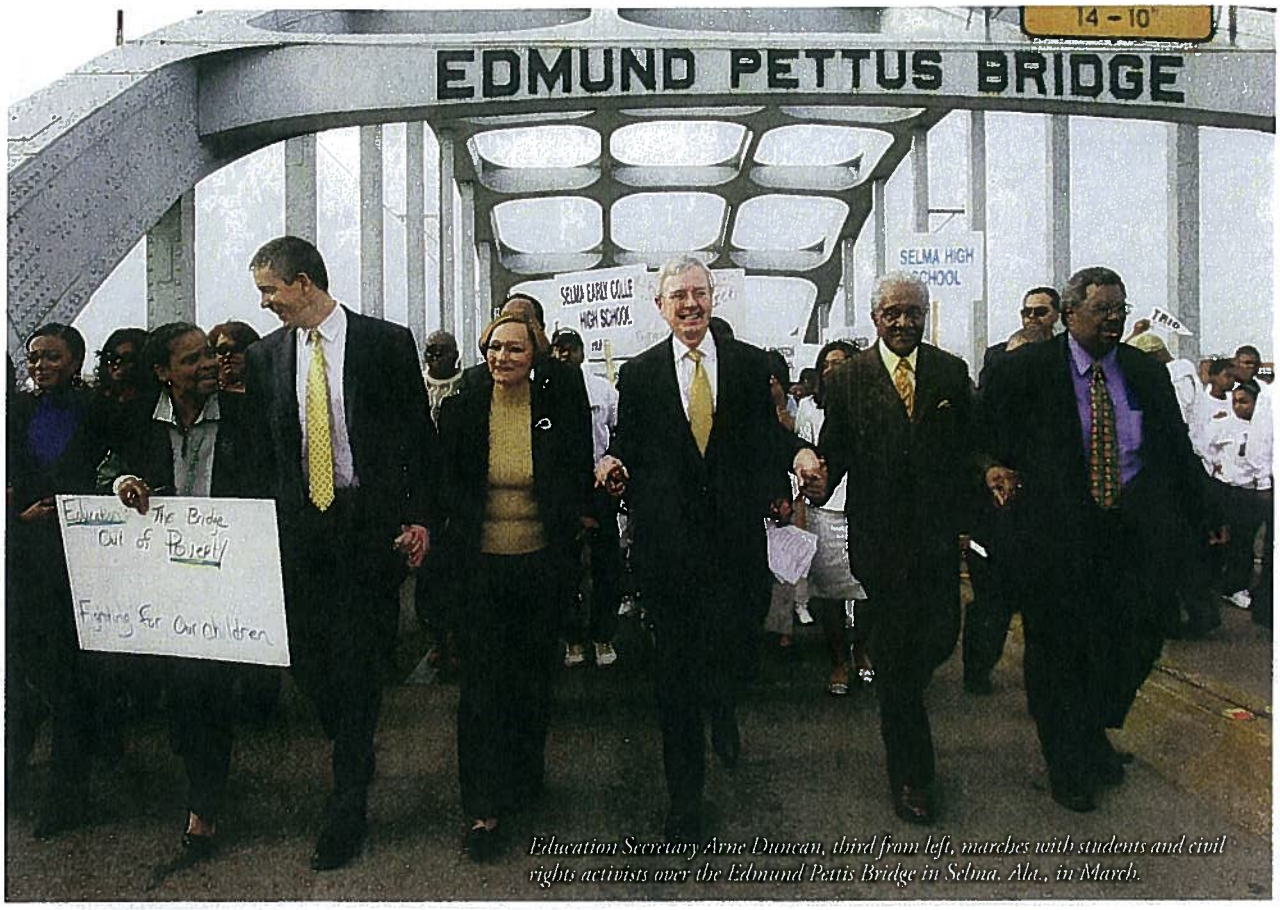
Enclosures

GORDON PERSONS BUILDING • P.O. BOX 302101 • MONTGOMERY, ALABAMA 36130-2101 • TELEPHONE (334) 242-9700 • WEB SITE: www.alsde.edu

Alabama's Race to the Top Application

Submitted June 1, 2010

Under CFDA No. 84.395A



Education Secretary Arne Duncan, third from left, marches with students and civil rights activists over the Edmund Pettis Bridge in Selma, Ala., in March.

Pictured above: Faya Rose Toure, Secretary of Education Arne Duncan, State Senator Vivian Figures, State Superintendent Joe Morton, Reverend F.D. Reese and Senator Hank Sanders

Advancing Education as The 21st Century Civil Right

Race to the Top
Application for Initial Funding
CFDA Number: 84.395A

U.S. Department of Education
Washington, D.C. 20202
OMB Number: 1810-0697
Expiration Date: 05/31/2010
Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0697. The time required to complete this information collection is estimated to average 681 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Race to the Top, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Ave., S.W., Room 3E108, Washington, D.C. 20202-3118

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SIGNATURE BLOCK FOR CERTIFYING OFFICIAL

Governor or Authorized Representative of the Governor (Printed Name):	
Signature of Governor or Authorized Representative of the Governor:	Date:

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(Enter text here.)

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(A) State Success Factors (125 total points)

(A)(1) Articulating State's education reform agenda and LEA's participation in it *(65 points)*

The extent to which—

(i) The State has set forth a comprehensive and coherent reform agenda that clearly articulates its goals for implementing reforms in the four education areas described in the ARRA and improving student outcomes statewide, establishes a clear and credible path to achieving these goals, and is consistent with the specific reform plans that the State has proposed throughout its application; (5 points)

(ii) The participating LEAs (as defined in this notice) are strongly committed to the State's plans and to effective implementation of reform in the four education areas, as evidenced by Memoranda of Understanding (MOUs) (as set forth in Appendix D) or other binding agreements between the State and its participating LEAs (as defined in this notice) that include— (45 points)

- *(a) Terms and conditions that reflect strong commitment by the participating LEAs (as defined in this notice) to the State's plans;*
- *(b) Scope-of-work descriptions that require participating LEAs (as defined in this notice) to implement all or significant portions of the State's Race to the Top plans; and*
- *(c) Signatures from as many as possible of the LEA superintendent (or equivalent), the president of the local school board (or equivalent, if applicable), and the local teachers' union leader (if applicable) (one signature of which must be from an authorized LEA representative) demonstrating the extent of leadership support within participating LEAs (as defined in this notice); and*

(iii) The LEAs that are participating in the State's Race to the Top plans (including considerations of the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty) will translate into broad statewide impact, allowing the State to reach its ambitious yet achievable goals, overall and by student subgroup, for—(15 points)

- *(a) Increasing student achievement in (at a minimum) reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;*
- *(b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;*
- *(c) Increasing high school graduation rates (as defined in this notice); and*
- *(d) Increasing college enrollment (as defined in this notice) and increasing the number of students who complete at least a year's worth of college credit that is applicable to a degree within two years of enrollment in an institution of higher education.*

In the text box below, the State shall describe its current status in meeting the criterion, as well as projected goals as described in (A)(1)(iii). The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional

information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(1)(ii):

- *An example of the State's standard Participating LEA MOU, and description of variations used, if any.*
- *The completed summary table indicating which specific portions of the State's plan each LEA is committed to implementing, and relevant summary statistics (see Summary Table for (A)(1)(ii)(b), below).*
- *The completed summary table indicating which LEA leadership signatures have been obtained (see Summary Table for (A)(1)(ii)(c), below).*

Evidence for (A)(1)(iii):

- *The completed summary table indicating the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty (see Summary Table for (A)(1)(iii), below).*
- *Tables and graphs that show the State's goals, overall and by subgroup, requested in the criterion, together with the supporting narrative. In addition, describe what the goals would look like were the State not to receive an award under this program.*

Evidence for (A)(1)(ii) and (A)(1)(iii):

- *The completed detailed table, by LEA, that includes the information requested in the criterion (see Detailed Table for (A)(1), below).*

Recommended maximum response length: Ten pages (excluding tables)

(A)(1) Articulating Alabama's education reform agenda and LEA's participation in it

(A)(1)(i) Alabama's comprehensive and coherent reform agenda, including its goals for implementing reforms

"We can, whenever we choose, successfully teach all children whose schooling is of importance to us. We already know more than we need to do that. Whether or not we do it must finally depend on how we feel about the fact that we haven't so far." Ron Edmunds

It is with this core belief that Alabama proudly presents its education reform plan in response to the standards set forth in the Race to the Top guidelines.

In 1955 Rosa Parks refused to surrender her seat on a Montgomery, Alabama, bus and a civil rights movement began. Ten years later, in 1965, a group of young civil rights supporters gathered in Selma, Alabama, and marched proudly across the Edmund Pettus Bridge as they made their way on foot from Selma to Montgomery. The march signaled their commitment to advance civil rights and ensure passage of the Voting Rights Bill, an act that changed a nation. Forty-five years later, in 2010, U.S. Secretary of Education Arne Duncan joined many of the remaining marchers in a symbolic crossing of that same bridge, acknowledging the civil rights struggles and accomplishments of the past while pursing the greatest civil rights issue of the 21st Century—access to a high-quality public education for ALL children.

Thankfully, we now live in a 21st Century Alabama where diversity is welcomed and embraced, education is a priority, and civil rights are the standard, not the exception. Modern Alabama is home to an ever-expanding aerospace industry, employing scientists and engineers from across the globe, and home to NASA's space shuttle program. It is a hub to an emerging biotechnology research center and within weeks of the declaration of the H1N1 pandemic produced the vaccine to prevent it. Automakers such as Mercedes Benz, Honda, and Hyundai and the many suppliers that produce the technologies needed for the auto industry have chosen to locate their offices and factories in the State. And, the revitalized seaport in Mobile provides a gateway from the Gulf of Mexico to the global marketplace. Alabama has transformed itself from the vestiges of the past into a 21st Century center of innovation in just under half a century.

To replicate this progress it is necessary that the State continue to invest in and improve the quality of its public education system.

In fact, at the core of the State's educational improvement strategy is the **goal that all students graduate from high school and are prepared to succeed in college or the workplace**. Alabama currently graduates 65 percent of the students who enter ninth grade. The State is wholly committed to raise the percentage and will do so incrementally each year over the next four years, graduating at least 80 percent of students by 2014. In 2008 the Alabama Legislature established the bi-partisan Select Commission on High School Graduation and Dropout to identify strategies and adopt solutions to increase the number and percentage of students who graduate from high school and do so in four years, as well as ensure that a diploma from one of Alabama's public schools represents high academic achievement. (Appendix (A)(1) Recommendations from the Select Commission on High School Graduation and Dropout) As it currently stands, too many of Alabama's graduates must enroll in remedial coursework when they enter college (Appendix (A2) AL Remediation Report). Therefore, it is imperative to the future of Alabama's children and the State's economy that the State prepare students to excel in work and life.

The State will accomplish its goal when the core structure of the education system is transformed from the rigid industrial model of the 1950s to a place where learning is the constant and time the variable, schedules are based on the individual interests and needs of the student, progress is determined by proficiency toward the standard, demography does not determine a child's destiny, and all students are sufficiently equipped to succeed. A number of bold yet attainable strategies will be used, all of which align with the criteria identified in the Race to the Top documents. Specifically, Alabama will:

- Ensure effective teachers teach all students and that all teachers are supported and led by an effective leader who understands instruction
- Adopt academic standards that are internationally benchmarked and measured by rigorous assessments that align to college and career readiness indicators
- Create data systems that inform instructional practice at the classroom, school, system, and State levels and that are readily available to colleges and universities for research, development, and planning purposes

- Ensure that low-achieving schools are either reformed, closed, or replaced with innovative and highly effective public school options

In the last decade, Alabama has enacted a series of changes and adopted new reforms to ensure that all of Alabama's students are taught by great teachers and all teachers are supported by great leaders. Going forward, the State will build on that momentum by strengthening existing policies, practices, and programs and establishing new ones. In 2006, Governor Bob Riley established the Governor's Commission on Quality Teaching (Commission) (A3) Governor's Commission on Quality Teaching) to examine Alabama's current teacher and teaching policies and practices and identify areas of improvement. The Commission developed a new set of rigorous teaching standards focused on quality and effectiveness. Shortly thereafter, the Governor's Congress on School Leadership (Congress) (A4) Governor's Congress on School Leadership) was established to meet a similar objective. Like to the Commission, the Congress created a set of bold new standards for principals. Equipped with the new leadership standards, the Alabama State Board of Education (SBE) required all principal preparation programs throughout the State to halt admissions and redesign their programs. This four-year effort is now complete and the first graduates from the first redesign cohort will enter leadership positions this fall. In section (D) of this application the State describes its plans to embark on a similar process to redesign teacher preparation programs, and align them the State's new and rigorous Quality Teaching Standards.

In a world where talented professionals experience several careers throughout their lives, it is imperative that these individuals have the ability to give back, as well as contribute to the future of their communities. Alternative preparation programs for educators are designed to do just that, and more. Alabama currently offers a variety of alternative pathways for teacher certification (A5) Alternative Pathways for Teacher Certification) and plans to organize existing programs under one umbrella, which will be known as Alabama TeachCorp. The State will create a similar pathway for principals and organize these programs under Alabama LeadCorp. The new organizational structure will permit the State, in partnership with preparation program providers and local education agencies (LEAs), to ensure an adequate and qualified pool of effective teachers to teach STEM and other hard-to-staff subjects and principals to lead high-need schools.

Beginning this fall, Teach for America (TFA) will place 30 new teachers in five of the State's high-need LEAs. In past years these LEAs struggled to identify high-quality teachers, resulting in unfilled or "underfilled" positions. Now, students will be under the tutelage of energetic college graduates who possess the necessary content expertise and are supported by a proven system of pedagogical resources. Alabama is thrilled with this new partnership and looks forward to expanding it to another area of the State.

Ensuring high-quality preparation programs is only part of strategy to ensure great educators serve Alabama's students. Once prepared, and working in schools, teachers and principals are expected to continuously evolve their practice to meet the diverse needs of their students. To support them in this effort, evaluation systems should generate real information about each educator's effectiveness so it can inform development, support, compensation, career options, and other decisions that shape professional experiences. Thus, Alabama will expand its evaluation systems to provide teachers and principals with regular, fair, and accurate assessments of their performance, including tangible data related to their impact on student growth. State leaders, including Governor Riley, State Superintendent Dr. Joe Morton, key legislative leaders, and business and community partners recognize the practical challenges involved in this work, yet they are committed to collaborating with all stakeholders to design and implement these new systems. Only when teachers and principals participate in real-time, formative, and objective assessments, and are able to quickly adjust their practice, will student growth advance at the desired pace.

Alabama recently raised its expectations for high school students, and will continue to require all students to demonstrate high levels of achievement. As such, the State will adopt a new set of rigorous standards that promote its keen focus on graduating all students, and ensuring they are prepared to succeed in college and their chosen careers.

Current progress toward the goal: In 2008, to demonstrate its commitment to set high expectations for student growth, the ASBE unanimously adopted a college preparatory diploma as the default diploma for all students. This new diploma, FIRST CHOICE, (A6) FIRST CHOICE, requires all students enrolled in grades nine through twelve to purse an expanded academic curriculum inclusive of one additional math courses and two additional foreign language courses. FIRST CHOICE is reaching the end of the first year of implementation and while impact data will not be available for some time, anecdotal evidence suggests students have

willingly embraced these higher expectations and look forward to the opportunities they will engender.

Equally important within this policy change is providing flexibility in the Carnegie Unit, or the time requirement, that has driven education advancement or failure for over five decades. Within this new flexibility in Alabama, school systems can create learning environments where student success is based on proficiency toward a standard, rather than time spent in a classroom. Students who demonstrate evidence of proficiency toward the standards of a particular course need not spend weeks of time reviewing previously mastered content and can instead engage in more challenging learning opportunities or higher level coursework (Course Advancement). On the other end of the continuum, students who fall short of demonstrating evidence of proficiency during the allotted course timeframe will participate in an extended and standards-driven plan to measure proficiency (Credit Recovery). Within one year of offering this alternative, as opposed to requiring students to repeat an entire course, the number of students exiting Alabama's schools dropped from 4,651 in 2008 to 3,292 in 2009. This represents a 30 percent improvement in dropouts, which are reflected in Alabama's increasing graduation rate (Appendix A7) Graduate Rates).

Alabama Connecting Classrooms, Educators, and Students Statewide (ACCESS) is a distance education initiative where in SY 2009-10 every high school in the State has a synchronous and asynchronous distance learning lab with "access" to courses and levels of courses never before available, as well as courses that can be "accessed" on a 24/7 basis, based on the schedules and learning needs of students. Currently, there are 11,060 students are enrolled in one or more of the 105 courses offered through the ACCESS program. Establishing educational equity for every student regardless of geography or school system capacity guarantees every student can access a vast array of courses that cover all subject areas. State Senator Hank Sanders called FIRST CHOICE and ACCESS the greatest step forward for public education in Alabama since the end of segregation. The flexibility offered through course advancement, credit recovery, and ACCESS are just another example of Alabama's commitment to advancing the civil right of equal access to high-quality education for all students.

Monitoring continued progress toward the goal: To monitor progress toward educating students who are college and career ready, Alabama will use the ACT suite of assessments including the EXPLORE in Grade 8, which determines the academic and career plan for

students; the PLAN in Grade 10, which acts as a mid-point measure of the college and career trajectory and any interventions or extensions that might be required; the ACT writing in Grade 11 to inform college and career decisions and applications; and WorkKeys in Grade 12, which measure the 21st Century skills of critical thinking, problem solving, and collaboration (the fundamental skills expected by colleges and businesses that are the recipients of Alabama's graduates). Simultaneously, the State will leverage its existing and forthcoming tools and resources to monitor and increase the percentage of students who are on a trajectory to toward graduation prepared to succeed in college and the workplace. Specifically, the State will work toward the following goals by the end of SY 2013-14:

- 10% increase in the number of students scoring proficient or advanced on the National Assessment of Educational Progress (NAEP) fourth grade math assessment
- 15% increase in the number of students scoring proficient or advanced on the NAEP eighth grade math assessment
- 20% decrease in the performance gap between subgroups on the NAEP math assessment
- 15% increase in the number of students scoring proficient or advanced on the NAEP fourth grade reading assessment
- 15% increase in the number of students scoring proficient or advanced on the NAEP eighth grade reading assessment
- 20% decrease in the performance gap between subgroups on the NAEP reading assessment

Meeting goals that are aligned to high standards: Alabama is recognized by ACHIEVE as meeting the benchmark of aligning high school standards with the expectations of college and career readiness. Alabama has been a member of ACHIEVE's American Diploma Project since 2005. During that time Alabama has adopted a 4 x 4 graduation requirement, which is one of only four in the nation. With this commitment it was logical that Alabama join other states to develop the Common Core Standards and the Common Core Assessment (Appendix A8, Alabama's Participation in the Common Core Standards and Assessments Initiative). This effort has proven to the State that it is able to aim even higher as it adopts these standards and assessments and wraps them in to the core of instructional programs. In Section (B) of this application the State outlines the process it will use to adopt the Common Core Standards, the timeline for implementation and the way in which Alabama educators will be trained to

effectively implement the new standards. Alabama believes that the adoption of these higher standards, aligned to next generation assessments and professional learning opportunities will propel its students forward not only in achieving higher NAEP scores, but also in graduating with the necessary skills to succeed in college and the workplace.

Alabama has the fundamentals of an exceptional state longitudinal data system to inform instructional practice at the classroom, school, system, and state levels and will further develop it for instructional, research development, and planning purposes.

To support the transition to the Common Core Standards and Assessments, Alabama will leverage and build on its current data system, one that has the capability to track each student's achievement, for tested grades and subjects, to his or her school and teacher. In a collaborative effort between Illinois and the Council of Chief State School Officers Office of Information Systems and Research, Alabama will apply a growth model to existing data while continuing to build the State's longitudinal data system, referred to as the Alabama Consolidated Education System, or ACES. Using existing data, Alabama will develop predictive trajectories for its students through graduation and into higher education and careers. In this application, Alabama describes its approach to using data to create a dashboard-style early warning system for teachers, train teachers and principals on its use, and leverage funds to create a P-20 statewide longitudinal database that incorporates data from education and social service sectors. ACES will be organized to enable all stakeholder groups within the State to use data to drive decisions at all levels of the educational institution.

Alabama has a record of success in intervening in the lowest-performing schools using its Rewards and Intervention Plan and plans to leverage this plan to ensure all schools effectively serve students. While the approaches within Alabama's Rewards and Intervention Plan (Appendix A9, Rewards and Intervention Plan) have yielded significant decreases in the number of schools falling into the category of "low performing," Alabama believes the goals set under No Child Left Behind were far too low and that, in reality, far more schools may in fact meet this category, especially relative to the new bar set through the Common Core Standards and Assessment initiative. Alabama will, therefore, redesign the current accountability system with a focus on improving the State's persistently low-achieving schools as measured by student growth. These schools, despite financial and other investments, have been unable to advance student growth to acceptable levels. Alabama is eager to realize

significant improvements in these schools and will require them to adopt one of the four turnaround models prescribed in the Race to the Top guidelines. Schools in the persistently lowest-achieving category will be part of a soon to be created structure known as the Alabama Reformation School System (RSS), which is described in detail in Section (E) of this application. The State will engage the expertise of high-capacity and proven non-profit partners from around the country to engage in a consortium structure where their expertise will be leveraged to dramatically improve the outcomes for students who attend these schools. Alabama is proud to be the home of George Hall Elementary School in Mobile County, which was recognized on November 12, 2009, by the Education Trust and U.S. Secretary of Education Arne Duncan as one of four schools from across the nation with a "Dispelling the Myth" recognition (Appendix A10, Dispelling the Myth Award). This award recognizes schools that serve high-need students, yet, despite the odds, perform at the highest academic achievement levels. This model, as well as others from across the country and State, will inform the core of the RSS model.

Alabama's political and policy environment has a history of supporting the innovations and best practices described here and within the individual sections of the application.

Governor Riley and the Alabama Legislature continue to support key education reform initiatives even during these economically challenging times due to their proven success on improving student growth. These include the incredibly successful Alabama Reading Initiative (ARI) that has raised literacy rates, to the Alabama Math, Science, and Technology Initiative (AMSTI) that brings STEM-related and project-based science and mathematics instruction to Alabama classrooms along with the materials, supplies, and equipment needed to deliver this level of instruction. Alabama has made the right funding choices. Moreover, Governor Riley, State Superintendent Dr. Joe Morton, the Alabama State Board of Education, the Department of Postsecondary Education, the Alabama Commission on Higher Education, along with various foundations, business, and civic and community groups, are committed to and in agreement of the bold reforms included in this application. It is important to note that not only are high-profile individuals and organizations behind and involved in Alabama's plan for reform, but also a variety of key stakeholder groups and individuals, including teachers, principals, and superintendents. The State designed the Education Reform and Innovation Council (ERIC) to guide the details of the work, ensuring that is informed by a diverse array of perspectives, aligned to both State and participating LEA needs and mindful of the need to improve student

growth. Thus, the political and policy environment is primed for these necessary changes and eager to begin design and implementation.

(A)(1)(ii) Alabama's LEAs are strongly committed to the State's plans and to effective implementation of reform

105 of Alabama's 132 school systems have signed Memoranda of Understanding (MOU) committing them to the State's Race to the Top application. This near-unanimous show of support places Alabama in a position for creating a dynamic and innovative statewide system of public education and one that could be replicated across the nation.

The State acknowledges that education reform occurs best within a Professional Learning Community at the local school level and therefore the strength of Alabama's plan comes from the local perspective. LEAs' commitment to the application demonstrates both capacity to embrace change and commitment to the State's ability to fulfill a bold agenda that will result in statewide impact. However, while consensus is important, the State has made a public declaration that it will only award funds to those LEAs that demonstrate a strong plan of action for implementing the bold reforms outlined in the application.

(A)(1)(ii)(a) Terms and conditions of strong LEA support for reform

Alabama gave its LEAs a choice to either participate in the entire reform agenda or only particular aspects, with the goal of gaining participation from LEAs that may have declined if they believed particular reform approaches would conflict with currently successful initiatives or that they would have to forgo some desired reforms because others were not appropriate for their community. The State believes it important to offer choices for such a comprehensive effort, knowing that all reform initiates, specific to Race to the Top or not, will be instructive and to the benefit of the common good. Alabama used the U.S. Department of Education's sample Memorandum of Understanding because its goals are aligned with those of the Secretary Duncan. The MOU, reflecting the terms and conditions of Alabama's application, is attached as Appendix (A11) Alabama's MOU.

(A)(1)(ii)(b) Scope of work descriptions for participating LEAs

As with the U.S. Department of Education's (ED) MOU, Alabama chose to use ED's Scope of Work due to its alignment with the State's goals. Alabama is pleased that 105 of our 132 school systems committed to the reform criterion, as the summary table demonstrates. The State achieved this sign-on rate even through participating LEAs will have to implement a bold set of policy and practice changes, including using student growth as one of the multiple measures in evaluating and compensating teachers and leaders; denying tenure to a teacher who is deemed ineffective as gauged partly by student growth; relinquishing control over the system's persistently lowest-achieving schools; and increasing the number of students who are taught by effective teacher. The sample Scope of Work is attached as Appendix (A12).

(A)(1)(ii)(c) Evidence of commitment from LEAs and other local stakeholders

The required commitment is represented with 105 of our 132 participating LEAs, each of which submitted all or a combination of the applicable signatures—superintendent, local school board president, and teacher union leader. The summary table below indicates that Alabama reached a 100% percent success rate in obtaining the signature of superintendents and their local school board president of the participating LEAs.

(A)(1)(iii) The LEA participation rate indicates Alabama's reforms will translate into broad statewide impact, allowing the State to reach its ambitious goals and for to reach their potential

Alabama's overarching goal for reform is to adopt a series of changes that would transform public education for every student, with the ultimate goal of graduating all students college- and career-ready. The State's approach to involve all interested systems without forcing an "all or nothing" approach, will ensure that student growth will not be compromised as a result of LEA success or community concerns. Yet, as Alabama moves forward it will not sacrifice the strength and innovation of bold ideas that will benefit students for the sake of achieving overall consensus. The State has planned for some level of system attrition acknowledging that some LEAs will be initially unable to implement bold plans. While the State is confident in the strength of its proposal, it will be the level of fidelity with which the plan is implemented that will require the greatest effort. In cases where variation in implementation occurs, the State will

hold systems accountable by withholding funds for activities that fail to meet the proposed standards.

The student achievement goals articulated in this application result from partnerships with Achieve, the Data Quality Campaign, and the State's relationships with ACT and the College Board. Through this collaborative partnership, the Governor's Office, the Alabama Commission on Higher Education, the Alabama State Board of Education and the business, community and parent stakeholders that comprise the Education Reform and Innovation Council, have set achievement and attainment goals of 100% percent of the national averages in each category assessed, recognizing that Alabama's scores may initially slide as a result of forthcoming and more rigorous assessments. The State's goal is to demonstrate that Alabama is fully and wholly committed to advancing student growth among all subgroups and is poised to succeed. The achievement goals were set on the State's assessment, known as the A*labama Reading and Mathematics Test* or ARMT, the Alabama Science Assessment or ASA and the fourth and eighth grade NAEP. As detailed in Appendix (A13) Alabama's achievement goals are:

(A)(1)(iii)(a) Increasing proficiency levels in reading and mathematics on the ARMT and the NAEP: Alabama's ambitious goals are to increase the percentage of students scoring proficient and above to at least one point above the projected national average, which will place students on a new trajectory toward college and career readiness.

(A)(1)(iii)(b) Decreasing achievement gaps between subgroups in reading and mathematics on the ARMT and NAEP: Alabama's most aggressive goals are found in the achievement or performance gap area. Due to the significant disparity found among subgroups, Alabama has projected a 20 percent decrease in this gap across both assessments.

(A)(1)(iii)(c) Increasing high school graduation rates: As noted in the very first paragraph of this application, college and career readiness is the expected outcome for all students. Alabama has set a goal of 80 percent by 2014.

(A)(1)(iii)(d) Increasing college enrollment and increasing the number of students who complete a least a year's worth of college credit applicable to a degree within two years of enrollment: The application asks what Alabama's goals would be if the State is not awarded a Race to the Top grant. The State's goals remain the same: increased rates of proficiency on state and national assessments, decreased achievement gaps, improved teacher effectiveness, increased graduation rates and higher rates of college enrollment and success, all to better

prepare students to successfully compete in a knowledge-based economy. These were Alabama's goals before Race to the Top even though some of the State's terms may not mirror those of the U.S. Department of Education. Alabama believes these are the right goals to best serve students and is committed to delivering them. Winning a Race to the Top award will simply accelerate the pace, but regardless of the outcome, the State will proceed.

Conclusion

Alabama is confident in its ability to build on its current successes, specifically as outlined in each of the four assurance areas, to realize true and sustainable improvements for students. The number of participating LEAs provides evidence that systems across the state are committed to and serious about adopting and implementing bold reforms. By partnering with key stakeholders and using a thoughtful and deliberate approach, Alabama will serve as a model to the rest of the nation on what it takes to meet the greatest civil rights issue of our time—ensuring a high-quality education for all students that will successfully prepare them for the future.

Summary Table for (A)(1)(ii)(b)

Elements of State Reform Plans	Number of LEAs Participating (#)	Percentage of Total Participating LEAs (%)
B. Standards and Assessments		
(B)(3) Supporting the transition to enhanced standards and high-quality assessments	105	100%
C. Data Systems to Support Instruction		
(C)(3) Using data to improve instruction:		
(i) Use of local instructional improvement systems	105	100%
(ii) Professional development on use of data	105	100%
(iii) Availability and accessibility of data to researchers	105	100%
D. Great Teachers and Leaders		
(D)(2) Improving teacher and principal effectiveness based on performance:		
(i) Measure student growth	105	100%
(ii) Design and implement evaluation systems	105	100%
(iii) Conduct annual evaluations	105	100%
(iv)(a) Use evaluations to inform professional development	105	100%
(iv)(b) Use evaluations to inform compensation, promotion and retention	99	90%
(iv)(c) Use evaluations to inform tenure and/or full certification	99	90%
(iv)(d) Use evaluations to inform removal	99	90%

(D)(3) Ensuring equitable distribution of effective teachers and principals:		
(i) High-poverty and/or high-minority schools	105	100%
(ii) Hard-to-staff subjects and specialty areas	105	100%
(D)(5) Providing effective support to teachers and principals:		
(i) Quality professional development	105	100%
(ii) Measure effectiveness of professional development	105	100%
E. Turning Around the Lowest-Achieving Schools	105	100%
(E)(2) Turning around the lowest-achieving schools	105	100%

Summary Table for (A)(1)(ii)(c)

Signatures acquired from participating LEAs:			
Number of Participating LEAs with all applicable signatures			
	Number of Signatures Obtained (#)	**Number of Signatures Applicable (#)**	**Percentage (%)** (Obtained / Applicable)
LEA Superintendent (or equivalent)	105	105	100%
President of Local School Board (or equivalent, if applicable)	105	105	100%
Local Teachers' Union Leader (if applicable)	0	0	0%

Alabama is fortunate to have a high percentage of local superintendents and local school boards in support of our reform plans. As you will note our local Alabama Education Association Presidents did not sign the MOU as directed from their state office. Since we do not have local collective bargaining in our state this should not deter the reform work within the local school system.

Summary Table for (A)(1)(iii)

	Participating LEAs (#)	Statewide (#)	Percentage of Total Statewide (%) (Participating LEAs / Statewide)
LEAs	**105**	**132**	**80%**
Schools	**1310**	**1520**	**86%**
K-12 Students	**647,746**	**741,115**	**87%**
Students in poverty	**354,737**	**411,119**	**86%**

Due to the high percentage of fully participating LEAs representing the majority of Alabama's students the potential of significant reform exceeds our projected expectations. Of primary importance is the percentage of Alabama's children living in poverty who would experience enhanced educational opportunity through this reform effort.

Detailed Table for (A)(1)

This table provides detailed information on the participation of each participating LEA (as defined in this notice). States should use this table to complete the Summary Tables above. (Note: If the State has a large number of participating LEAs (as defined in this notice), it may move this table to an appendix. States should provide in their narrative a clear reference to the appendix that contains the table.)

	LEA Demographics			Signatures on MOUs			MOU Terms	Preliminary Scope of Work – Participation in each applicable Plan Criterion															
Participating LEAs	# of Schools	# of K-12 Students	# of K-12 Students in Poverty	LEA Supt. (or	President of local	President of Local Teachers Union (if	Uses Standard Terms &	(B)(3)	(C)(3)(i)	(C)(3)(ii)	(C)(3) (iii)	(D)(2) (i)	(D)(2) (ii)	(D)(2) (iii)	(D)(2)(iv)(a)	(D)(2)(iv)(b)	(D)(2)(iv)(c)	(D)(2) (iv)(d)	(D)(3)(i)	(D)(3)(ii)	(D)(5)(i)	(D)(5)(ii)	(E)(2)
Name of LEA here				Y/N/NA	Y/N/NA	Y/N/NA	Yes/No	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA	Y/N/NA
Autauga County	15	10029	4053	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Baldwin County	45	27373	11525	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Barbour County	4	1063	1063	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Bibb County	9	3558	2207	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Blount County	17	8452	4240	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Bullock County	5	1620	1510	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
Butler County	5	3382	2648	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Calhoun County	19	9313	5111	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Chambers County	11	3998	2806	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Cherokee County	8	4086	2421	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Choctaw County	5	1830	1403	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Clarke County	8	3342	2451	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Clay County	4	2098	1357	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Cleburne County	8	2589	1548	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Coffee County	4	2060	1135	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Colbert County	8	2831	1790	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Conecuh County	6	1595	1444	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Crenshaw County	4	2313	1424	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Cullman County	29	9917	5771	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Dale County	7	2863	1562	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Dallas County	14	3942	3355	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Dekalb County	15	8837	5935	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Elmore County	15	10,961	5365	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Etowah County	23	9251	4345	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Fayette County	6	2491	1401	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Franklin County	9	3319	2303	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	Y	Y	Y	Y	Y	Y
Greene County	6	1391	948	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Hale County	9	2885	2200	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Henry County	8	2803	1791	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Houston County	11	6370	3707	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Jackson County	19	5833	3703	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	N	N	Y	Y	Y	Y
Jefferson County	55	36058	17031	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
Lauderdale County	13	8817	3921	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Lawrence County	14	5205	2960	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Limestone County	12	8734	3771	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Lowndes County	8	1878	1811	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Macon County	7	2695	2677	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Madison County	27	19547	6028	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Marengo County	5	1520	1239	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Marshall County	15	5692	3768	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Mobile County	103	61587	41908	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Monroe County	11	4038	2754	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Montgomery County	63	31542	22407	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Morgan County	20	7849	3639	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Perry County	4	1888	1828	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Pickens County	9	2955	2176	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Pike County	7	2284	1743	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Russell County	8	3337	2412	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

St. Clair County	18	8348	3761	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Shelby County	39	27,629	8091	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Sumter County	7	2189	2042	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Talladega County	18	7741	5550	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Tuscaloosa County	33	17481	8822	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Walker County	22	8317	5175	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Albertville City	6	3999	2535	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	N	Y	Y	Y	Y	Y
Alexander City	5	3395	1802	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Andalusia City	3	1718	949	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Anniston City	8	2291	2021	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Arab City	4	2449	687	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Athens City	7	3104	1476	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
Attalla City	4	1650	1129	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Auburn City	10	6165	1576	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Birmingham City	67	26436	22723	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Boaz City	5	2234	1236	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Cullman City	7	2923	769	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Daleville City	2	1263	787	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Decatur City	20	8597	5014	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Dothan City	20	9179	5596	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Elba City	3	798	563	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Florence City	9	4170	2430	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Fort Payne City	4	2939	1670	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Gadsden City	16	5472	4005	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Geneva City	3	1254	675	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Guntersville City	4	1871	768	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Homewood City	5	3496	986	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y
Hoover City	16	12826	2467	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	N	N	Y	Y	Y	N
Huntsville City	49	23084	10706	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Jacksonville City	2	1699	759	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Jasper City	6	2607	1093	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
Lanett City	3	859	772	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Leeds City	3	1436	861	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Linden City	4	476	432	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Madison City	10	8614	1511	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Midfield City	4	1265	1011	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Mountain Brook City	6	4397	0	Y	Y	N	Y	Y	Y	Y	Y	Y	N	N	N	N	N	Y	Y	Y	Y	Y	Y	Y
Muscle Shoals City	7	2728	824	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y
Oneonta City	2	1449	592	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Opp City	3	1357	755	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Oxford City	7	4043	2018	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Ozark City	7	2478	1561	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Piedmont City	3	1054	657	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Roanoke City	4	1528	966	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Saraland City	3	1742	990	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	N	N	N	Y	Y	Y	N
Scottsboro City	6	2694	1350	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Selma City	12	3894	3408	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Sheffield City	4	1111	900	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Sylacauga City	5	2402	1291	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Tallassee City	3	1959	1047	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Tarrant City	4	1318	1196	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	N	Y	Y	Y	Y	Y
Thomasville City	3	1559	891	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Troy City	5	2186	1378	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Trussville City	4	4151	412	Y	Y	N	Y	N	Y	Y	Y	N	N	N	N	N	N	N	Y	Y	Y	Y	Y
Tuscaloosa City	24	10040	6259	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Tuscumbia City	7	1542	805	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	
Vestavia City	8	6119	392	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

(A)(2) Building strong statewide capacity to implement, scale up and sustain proposed plans *(30 points)*

The extent to which the State has a high-quality overall plan to—

(i) Ensure that it has the capacity required to implement its proposed plans by— (20 points)

- *(a) Providing strong leadership and dedicated teams to implement the statewide education reform plans the State has proposed;*
- *(b) Supporting participating LEAs (as defined in this notice) in successfully implementing the education reform plans the State has proposed, through such activities as identifying promising practices, evaluating these practices' effectiveness, ceasing ineffective practices, widely disseminating and replicating the effective practices statewide, holding participating LEAs (as defined in this notice) accountable for progress and performance, and intervening where necessary;*
- *(c) Providing effective and efficient operations and processes for implementing its Race to the Top grant in such areas as grant administration and oversight, budget reporting and monitoring, performance measure tracking and reporting, and fund disbursement;*
- *(d) Using the funds for this grant, as described in the State's budget and accompanying budget narrative, to accomplish the State's plans and meet its targets, including where feasible, by coordinating, reallocating, or repurposing education funds from other Federal, State, and local sources so that they align with the State's Race to the Top goals; and*
- *(e) Using the fiscal, political, and human capital resources of the State to continue, after the period of funding has ended, those reforms funded under the grant for which there is evidence of success; and*

(ii) Use support from a broad group of stakeholders to better implement its plans, as evidenced by the strength of the statements or actions of support from— (10 points)

- *(a) The State's teachers and principals, which include the State's teachers' unions or statewide teacher associations; and*
- *(b) Other critical stakeholders, such as the State's legislative leadership; charter school authorizers and State charter school membership associations (if applicable); other State and local leaders (e.g., business, community, civil rights, and education association leaders); Tribal schools; parent, student, and community organizations (e.g., parent-teacher associations, nonprofit organizations, local education foundations, and community-based organizations); and institutions of higher education.*

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. The State's response to (A)(2)(i)(d) will be addressed in the budget section

(Section VIII of the application). Attachments, such as letters of support or commitment, should be summarized in the text box below and organized with a summary table in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(2)(i)(d):

- *The State's budget, as completed in Section VIII of the application. The narrative that accompanies and explains the budget and how it connects to the State's plan, as completed in Section VIII of the application.*

Evidence for (A)(2)(ii):

- *A summary in the narrative of the statements or actions and inclusion of key statements or actions in the Appendix.*

Recommended maximum response length: Five pages (excluding budget and budget narrative)

(A)(2) Alabama is building strong statewide capacity to implement, scale up and sustain proposed plans

The ALSDE will provide the leadership and support needed for the aggressive reforms described in this application. The State has assembled a team from the public and private sectors, as well as committed education stakeholders throughout the state, to assist with development and implementation of the bold reforms proposed in this plan. The plan encompasses a P-20 approach including early childhood, K-12, postsecondary, higher education, and the workforce.

To align the internal human and intellectual capital of the State Department of Education, current divisions will be reorganized around the four assurance areas. The current Division of Instructional Services will be reorganized to the Division of Teaching and Learning led by the Deputy State Superintendent (Appendix A14). Within this newly named Division will be the Office of Standards, Instruction, and Assessment; Office of Data, Research, and Accountability; Office of Educator Education, Evaluation, and Professional Learning; and the Office of School Improvement, Innovation, and Support. Each "office" will be led by a senior level administrator who, along with the Deputy Superintendent, will oversee the implementation of the reform agenda. This reorganization will begin immediately as we prepare our application and in preparation for the awarding of the Race to the Top grant in September. This reorganization will also allow for greater support to schools and systems and over time will change how the department allocates its resources and support. To support this reorganization, experts from Alabama's colleges and universities will also be recruited and strategically assigned to each office within the division to assist the department in posing critical questions, analyzing data, and determining any revisions in the Race to the Top reforms. Serving in an advisory capacity for our aggressive reform agenda, Alabama has assembled the *Education Reform and Innovation Council* (ERIC) representing the multiple education organizations and a broad representation of other key stakeholder groups. There will be no new state level personnel added to staff the department but instead appropriate staff positions will be reassigned and, as needed, individual employees replaced to accomplish the reform agenda. This approach leaves any administrative funding for the department for changing the expectations and culture and the way the State Department of Education conducts business and develops the skills needed to support educators in the field. In addition, Alabama will align the School Improvement Grant, Longitudinal Data

Systems Grant, and Teacher Incentive Fund to support the reforms with our Race to the Top reform plan. Appendix A14—State Race to the Top Budget

To further prepare for the awarding of the Race to the Top funding, the State Department of Education and Alabama's eleven Regional Centers located on eleven college/university campuses will work directly with participating systems in completing the individual Scope of Work proposals within the 90-day window. The center directors will present the Scopes of Work from their respective systems to the State Superintendent and key department leadership for approval and allocation of resources and support.

To ensure a strong and sustainable accounting and compliance component to our Race to the Top reform plan, the State Department of Education's internal Administration and Finance Division will partner with the Alabama Department of Finance on grant administration, ARRA compliance, and other key matters to ensure grant making, tracking, and reporting.

Finally, Governor Bob Riley is committed to see a smooth transition for a new Governor who assumes office in January 2011. Governor Riley has committed to leading this transition to ensure that the tenets of the Race to the Top reform plan are carried through as a major focus of the new governor's education agenda.

Section A(2)(ii): Alabama is fortunate to enjoy a broad range of support from education organizations, businesses, foundations, and community partners in our efforts to move the public school agenda forward. As part of our application we are pleased to submit letters of support from the following key leaders and organizations from across the state (Appendix A15):

Alabama Association of School Boards (AASB)
Alabama Commission on Higher Education (ACHE)
Alabama Department of Postsecondary Education
Department of Children's Affairs (DCA), Office of School Readiness
Alabama Public Television
State's Congressional Delegation
Alabama Senate, Lieutenant Governor
Alabama Senate, Chairman of the Finance and Taxation – Education Committee
Alabama House of Representatives, Speaker of the House
Alabama House of Representatives, Chairman of the Education Appropriations Committee

Business Council of Alabama

Community-Based organizations

Philanthropic Foundations

(A)(3) Demonstrating significant progress in raising achievement and closing gaps *(30 points)*

The extent to which the State has demonstrated its ability to—

(i) Make progress over the past several years in each of the four education reform areas, and used its ARRA and other Federal and State funding to pursue such reforms; (5 points)

(ii) Improve student outcomes overall and by student subgroup since at least 2003, and explain the connections between the data and the actions that have contributed to — (25 points)

(a) Increasing student achievement in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA;

(b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA; and

(c) Increasing high school graduation rates.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (A)(3)(ii):

- *NAEP and ESEA results since at least 2003. Include in the Appendix all the data requested in the criterion as a resource for peer reviewers for each year in which a test was given or data was collected. Note that this data will be used for reference only and can be in raw format. In the narrative, provide the analysis of this data and any tables or graphs that best support the narrative.*

Recommended maximum response length: Six pages

Section A(3)(i): Alabama has already begun the preparation for the reform agenda within our Race to the Top application. For example:

Standards and Assessments: Alabama is a partner in the development and adoption of the Common Core Standards and looks to a vote on adoption by the projected 2010 deadline. We are also participating with the Comprehensive Assessment System and the Smarter Balanced Assessment Consortium realizing that any of the assessments resulting from the work of these two consortia will be several years from implementation. In the meantime, Alabama is moving forward realizing that our current student assessment program is not aligned toward a goal of college and career readiness reflected in Alabama's current academic standards. The State Board of Education has approved a plan to revise the student assessment protocol that includes End-of-Course Tests for all core academic subjects not just those required under our current accountability plan as well as a revision of our current assessments in Grades 3 to 8 toward that same goal of college and career readiness. In addition, Alabama has adopted the ACT suite of assessments as our measure of college and career readiness (Appendix A16). These assessments will be administered at strategic grade levels to not only inform the academic needs of individual students but also guide the development of the career planning as well. These assessments will be administered to ALL students with our key goal of achieving college readiness scores on the ACT that would place students into college and career without remediation needs.

Data Systems: Alabama has built the foundation for ACES, the State's longitudinal data system. At this point, the system allows for the easy linkage of individual student achievement data to each student's teachers and principal. Race to the Top funds will allow the State to expand the work we have accomplished to date and meet all of the America Competes Act requirements. Alabama has met the requirements of the Data Quality Campaign standards for data systems since its inception and feels confident in our ability to meet the expanded requirements of the America Competes Act (Appendix A17).

Great Teachers and Leaders: Alabama, through the Governor's Commission on Quality Teaching, has developed a comprehensive set of Quality Teaching Standards upon which all teachers are trained, mentored, and evaluated. These standards also serve as the basis for teachers and their professional learning plans. Upon the adoption of these standards a new

teacher evaluation instrument was developed entitled EDUCATEAlabama (Appendix A18), which serves as the formative component of the system, and beginning in 2010-2011 the measure of teacher effectiveness will be added as the summative component of the system. The Governor's Congress on School Leadership has also developed a comprehensive set of leadership standards upon which all university preparation programs were redesigned over the past three years. Also as part of this redesign, the traditional Continuing Education Credit (CEU) has been replaced by a Professional Learning Unit (PLU) that is a yearlong study of a pertinent leadership topic that applies directly to the leadership standards. The Alabama Council of Leadership Development (ACLD) comprised of practitioners and university professors review submitted PLUs and make recommendations for their inclusion in the statewide offerings (Appendix A19).

Turning Around Persistently Lowest-Achieving Schools: To ensure that a comprehensive support system is in place for Alabama's persistently low-achieving schools, the Rewards and Intervention Plan was developed to not only address those systems that are not meeting established standards but to reward those defying the myth of what can be accomplished in schools with high poverty levels. Alabama has also developed a statewide system of school improvement coaches who work directly with schools identified as in needs of improvement and those efforts have yielded a significant decrease in the number of schools falling into this category during the same time as the annual measurable objectives has been increasing.

Section A(3)(ii): Alabama's progress in enhancing student achievement in the core subjects of mathematics and reading consists of the following:

A(3)(ii)(a): Student achievement has increased steadily for Grades 3–8 and high school in reading and mathematics on the Alabama Reading and Mathematics Test and the Alabama High School Graduation Exam. Student achievement has seen statistically significant increases on NAEP (highest gain in the nation) in fourth grade reading in 2007, and that 8-point gain was maintained in 2009. In the area of mathematics, Alabama has remained constant at the fourth grade level, but experienced an increase at the eighth grade level in the 2009 NAEP assessment (Appendix A13). Even with this achievement, Alabama's overall scores continue to fall under the national average, and there remains an achievement gap between white students and students

of color. Our top priority will be to see not only the achievement levels increase but the achievement gap decrease as well.

A(3)(ii)(b): Alabama has seen a steady narrowing of the achievement gap between white and their black and Hispanic peers on the reading/language arts and mathematics ARMT assessment. On the NAEP, that achievement gap remains extremely high and is an area that is of great concern for our state. Along with moving toward a college and career trajectory we will be as equally focused on ensuring that the achievement gap decrease is a focus of improvement.

A(3)(ii)(c): Alabama is deeply committed to increasing high school graduation rates and this commitment has resulted in steady increases over the last several years (Appendix A7). Based on Alabama's current four-year projected drop-out rate the percentage has decreased from a high of 13.52% in 2003 to 5.98% in 2008. This correlates to an increase in the graduation rate, over this same period of time, from 81.56% to 86.72% based on the Averaged Freshman Graduation Rate. Alabama has now calculated our graduation rate based on the stringent and nationally adopted National Governor's Association (NGA) Four-Year Cohort Model yielding a 65.06% graduation rate, which will serve as our baseline as we move forward. In analyzing these results it became apparent that a significant number of students "stall" at the ninth grade transition year and our plan is designed specifically to address that issue.

Even with the gains described above Alabama is not satisfied that our students are performing to potential. We have verified that our state assessment does not measure the level of rigor we know students must experience to succeed, which is why our performance on the NAEP has trailed that of our state assessments. With the introduction of the Common Core Standards and accompanying assessments, we feel that the bar will be set higher and that our performance will begin to increase at an accelerated pace toward the NAEP expectation. We are also pleased to see our graduation rate percentages increasing but not at the accelerated pace needed to reach our goal of 90% graduation by 2015. A thorough analysis of this data reveals our biggest challenge lies at the ninth grade level where far too many students are not successfully transitioning to the high school.

To support these goals of improvement, Alabama is in the development stages of the Alabama Statewide System of Support through which the needs of Alabama's schools and school systems

will be assessed using three distinct sets of standards: 1. Teacher and Leader Standards assessed through EDUCATEAlabama for teachers and LEADAlabama for leaders; 2. Academic content standards assessed by our student assessment and accountability program; and 3. Individual program standards for areas such as Federal Programs, Career Technical Education, Special Education, and Technology. Through these three lenses a system profile will be developed through which resource and support from the State Department of Education coordinated with our Regional In-Service Centers, partner universities, and other educational organizations will be provided. Through this new approach ALL of Alabama's schools will be involved in the improvement process not just those falling within our persistently low-achieving category. This will also allow the State Department of Education to customize its support to systems whereby leveraging our human and financial capital to its fullest potential.

Through this comprehensive approach to system assessment and accountability, paired with a customized system of support, Alabama is poised to move ALL schools, serving ALL students toward the trajectory of college and career readiness and in doing so remove the achievement gaps currently found among sub-groups of students.

(B) Standards and Assessments (70 total points)

State Reform Conditions Criteria

(B)(1) Developing and adopting common standards *(40 points)*

The extent to which the State has demonstrated its commitment to adopting a common set of high-quality standards, evidenced by (as set forth in Appendix B)—

(i) The State's participation in a consortium of States that— *(20 points)*

(a) Is working toward jointly developing and adopting a common set of K-12 standards (as defined in this notice) that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation; and

(b) Includes a significant number of States; and

(ii) — *(20 points)*

(a) For Phase 1 applications, the State's high-quality plan demonstrating its commitment to and progress toward adopting a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State, and to implementing the standards thereafter in a well-planned way; or

(b) For Phase 2 applications, the State's adoption of a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State in a high-quality plan toward which the State has made significant progress, and its commitment to implementing the standards thereafter in a well-planned way.[1]

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how

[1] Phase 2 applicants addressing selection criterion (B)(1)(ii) may amend their June 1, 2010 application submission through August 2, 2010 by submitting evidence of adopting common standards after June 1, 2010.

each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (B)(1)(i):

- A copy of the Memorandum of Agreement, executed by the State, showing that it is part of a standards consortium.
- A copy of the final standards or, if the standards are not yet final, a copy of the draft standards and anticipated date for completing the standards.
- Documentation that the standards are or will be internationally benchmarked and that, when well-implemented, will help to ensure that students are prepared for college and careers.
- The number of States participating in the standards consortium and the list of these States.

Evidence for (B)(1)(ii):

For Phase 1 applicants:

- A description of the legal process in the State for adopting standards, and the State's plan, current progress, and timeframe for adoption.

For Phase 2 applicants:

- Evidence that the State has adopted the standards. Or, if the State has not yet adopted the standards, a description of the legal process in the State for adopting standards and the State's plan, current progress, and timeframe for adoption.

Recommended maximum response length: Two pages

Part I: Consortium Participation [(B)(1)(i)]

Overview

As Alabama works with our fellow states toward a set of Common Core Standards and Assessments, we return again to the concept of education as the key civil rights issue of the 21st Century. While Alabama has been recognized for the strength of our academic standards, we realize that our collective efforts, working with other states rather than in isolation, has the potential to leverage our students to greater achievement and the goal of college and career readiness. The human and financial capital that had previously been used to create 50 variations of the same subject can be repurposed into support for advancing the practice of our teachers and leaders to implement the standards.

Alabama has been an active contributor to the CCSSO-led Common Core Standards effort, attending all meetings to review drafts and providing extensive written feedback on the proposed standards. On this effort, Alabama is one of 48 states participating in the consortium for internationally benchmarked standards, in partnership with CCSSO, NGA, ACHIEVE, ACT, and the College Board. A copy of the most recent draft of these standards is available in Appendix B1. Alabama has been involved with this initiative since May 14, 2009, when the State Board of Education adopted the Resolution to Consider Common Core Standards. These standards are internationally benchmarked and proven to promote college- and career-readiness; this documentation is available in Appendix B2. The Common Core Standards are supported by 48 states including Alabama, 3 territories, and various sources of international support.

Alabama has also participated in ACHIEVE's American Diploma Project college- and career-readiness indicators program. While the program employs an approach of "one size does not fit all," it uses a set of standardized K-12 and end-of-high-school benchmarks as indicators for career- and college-readiness to ensure that students have the knowledge and skills to succeed when they graduate. Alabama currently subscribes to the end-of-high-school requirements. A copy of these end-of-high-school benchmarks is available in Appendix B3. An outline of the documentation of these standards is available in Appendix B4. Additionally, documentation of these standards' usage in Alabama's mathematics curriculum is available in the Preface and Bibliography of the 2009 Mathematics Course of Study (see Appendix B5). [**This captures**

ADP's *end-of-high*-school benchmarks. ALSDE will supplement if ADP's *K-12 in-school* benchmarks are used as well] Alabama is one of 35 states participating in the consortium. A 2009 ADP survey indicates that Alabama has aligned high graduation requirements with college and workplace expectations. Over 2010-2011, Alabama will develop further compliance with the American Diploma Project's goals through the development of its State Longitudinal Data System and the alignment of its high school *standards* – not just end-of-high-school requirements – with college and workplace standards. Alabama has been a part of the American Diploma Project since 2004 and has participated with this project, raising its requirements for all students to reflect ADP benchmarks. The American Diploma Program, standardizing graduation requirements across its constituents, has 35 states onboard. The 35 states in the ADP Network are Alabama, Arizona, Arkansas, California, Colorado, Connecticut, Delaware, Florida, Georgia, Hawaii, Idaho, Illinois, Indiana, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Nebraska, New Jersey, New Mexico, North Carolina, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, Tennessee, Texas, Virginia, Washington, and Wisconsin.

In support of its commitment to ensuring that all students graduate college- and career-ready, Alabama's FIRST CHOICE Program has raised minimum standards for high school graduation, aligned minimum graduation requirements with higher expectations, and clearly set expectations for all Alabama students. While the standards articulated in FIRST CHOICE have long existed as an academic program that Alabama students could opt into, they are now the default that a student must opt *out* of. Alabama began the FIRST CHOICE program in May 2008, and this program became mandatory for students entering ninth grade in August 2009. State Senator Hank Sanders and his wife attorney and civic leader, Faya Rose Toure, called the passage of FIRST CHOICE "the greatest civil rights project to occur in Alabama since the American Civil Rights movement to end segregation in schools and society." Please note that our cover photo includes Senator Sanders and his wife, and Senator Sanders has written a strong letter of support of this application. Currently, all of the 2009-2010 entering 9th graders are enrolled in the FIRST CHOICE academic program. The cumulative results of this bold move will be actualized in three more years. Additionally, as the first state in the nation to adopt a 4 x 4 curriculum, Alabama has long demonstrated a commitment to ensuring its students graduate with the

knowledge and skills required to be successful in college and careers. This curriculum is based on four full-year courses in four basic subjects (English, social studies, mathematics, and science), and was started in 1995, leading the way for a general standards framework that has been totally adopted by another school system (District of Columbia). However, as many as 15 states have raised their requirements in science, social studies, mathematics, and English language arts. Documentation for Alabama's implementation of a 4 x 4 curriculum can be found in Section §16-6B-2 of Alabama's state code, available in Appendix B6. This set of standards was instituted to start within ninety days of July 7, 1995, and affected the graduation requirements of all grades beginning with students entering the ninth grade in the 1996-1997 school year.

Evidence

The required documents for evidence are available in the following appendices:

- [MOA for Common Core, ADP]
- [Final/draft Standards and date of completion] – The most recent draft of the Common Core Standards is available in Appendix B2. The current American Diploma Project Benchmarks are available in Appendix B3.
- [Documentation that standards are internationally benchmarked and college-/career-ready] – The most recent draft of the Common Core Standards evidence is available in Appendix B1. A documentation for the American Diploma Project's End-of-High-School Benchmarks is available in Appendix B4.
- Documentation of ADP Benchmarks' usage – see Appendix B5.

Part II: Adoption of Standards [(B)(1)(ii)]

Overview

The legal code surrounding the adoption of standards is summarized below. For full statues, see [**Appendix B7 "Legal Statutes - Standards Adoption Process"**].

Evidence (Legal Process)

The State Board of Education, on the recommendation of the State Superintendent of Education, shall prescribe the minimum contents of courses of study for all public elementary and high schools in the state (**§16-35-4**), where a course of study is a curriculum document containing academic content standards that specify what students should know and be able to do in a particular subject area by the end of each grade level or course. The course of study is designed and instituted over a three-year process comprised of a year of research, a year of writing and input, and a year of implementation.

The first step in designing a course of study for a given subject is a year of research. This research involves a contextualization of Alabama's work so far relative to national evaluations (ACHIEVE, American Federation of Teachers, Thomas B. Fordham Foundation, Quality Counts, etc), analysis of standards adopted by peers, and standards set forth by subject-area organizations to create a collection of knowledge. This research, prepared by State Department of Education subject-area specialists, serves as the basis on which a State Course of Study Committee can design standards. Before the beginning of the second year of the process, a State Course of Study Committee is appointed to decide a course of study.

The State Board of Education and the Governor of Alabama share appointments to this State Course of Study Committee. A State Course of Study Committee consists of 28 members, 21 of which are appointed by the State Board of Education and 7 by the Governor assuring broad representation of all of Alabama's citizens. These members include:

(1) One elementary teacher (Grades K-6) and one secondary teacher (Grades 7-12) from each of the seven congressional districts

(2) Four members from the state at-large, who serve as administrators or supervisors and have previous teaching experience in the course of study area being revised

(3) Three employees of state institutions of higher learning who are specialists in the course of study areas being revised

(4) Seven additional representatives, appointed by the Governor, who are either business or professional representatives and not employed in education, but are involved in the course of study field under consideration

Additional members and standards for this committee can be decided by the State Board of Education, but must be communicated to all local boards of education and every county and city superintendent. Local boards of education work through their superintendents to nominate representatives for this committee, supply credentials, and a summary of skills to the State Board of Education, which appoints 21 members of the State Course of Study Committee from these nominees. The Governors' appointees (Section 4) need no local recommendation nor state approval. Each appointment lasts one year, and members hold positions until successors are appointed. **(§16-35-1)**

Each member on this committee takes an oath before an authorized administrator, stating to administer faithfully the duties imposed; each member also attests to a lack of conflicting interests as a person involved with the production or distribution of books or schoolbooks. These members are compensated with a per diem at a rate provided by state law, provided that they do not remain in session at any one time for a period longer than 30 days; they also receive travel expenses at a rate provided by state law for mileage to and from their homes to the place of meeting. This compensation is paid from appropriations made to the State Department of Education. **(§ 16-35-2)**

This committee conducts continuing studies and evaluations of the courses taught in public elementary and secondary schools, preparing and revising the courses of study used. In evaluating the course of study, the committee gives consideration to the required basic content, texts used and available; the educational objective of the course; changing scientific, technological and cultural developments; and established facts of American history, tradition and patriotism. The committee prepares, not less than once every two years, a report of its recommendations with respect to the compulsory minimum content of courses of study and of recommended revisions of courses, materials, subject content, and treatment in specific courses and subject areas. The report is submitted to the State Superintendent of Education and to the members of the State Textbook Committee for separate written recommendations to the State Board of Education for such action as may be considered advisable. **(§ 16-35-3)**

This committee, with these responsibilities in mind, works to develop a set of minimum standards over a yearlong schedule consisting of writing, revision, and eventual adoption. For a full schedule of the design process and timeline, see [**Appendix B8 "Courses of Study Development Process"**].

Throughout the design process, adherence to the state's requirements regarding number of classes is compulsory. The State Board of Education, on the recommendations of the State Superintendent of Education, prescribes the minimum contents of courses of study for all public elementary and high schools in the state, and fixes the maximum number of courses that are compulsory in each grade of the elementary schools. **(§ 16-35-4)**

Designed standards must also keep in line with certain core curriculum standards instilled in the state. The State Board of Education, on the recommendation of the State Superintendent of Education, also prescribes the minimum *contents* of courses of study for all public elementary and high schools in the state. These minimum contents are as follows:

(1) In every elementary school there shall be taught at least reading including phonics, spelling, handwriting, arithmetic, oral and written English, geography, history of the United States and Alabama, elementary science, hygiene and sanitation, physical education, the arts, including musical and visual arts, environmental protection, and such other studies as may be prescribed by the local board of education.

(2) For grades one through eight in all public schools (beginning in 1995-96) English, social studies, mathematics, and science shall be taught each year in grades one through eight. English shall include, but not be limited to, material designed to develop language arts, such as reading, writing, speaking and listening skills. Social studies shall emphasize geography and history of the United States and Alabama. **(§ 16-6B-2(f))**

(3) As a further specification, in every elementary school in the state there shall be taught reading, spelling and writing, arithmetic, oral and written English, geography, history of the United States and Alabama, elementary science, health education, physical education and such other studies as may be prescribed by the State Board of Education. **(§ 16-35-5)**

Once this design is complete, there is a prescribed adoption period. Each document is submitted by the State Superintendent of Education to the State Board of Education for consideration of approval. These documents are also available for public review at textbook reviewing sites across the state and on the Alabama Department of Education website while the State Board of Education considers these documents for adoption. Public input is also received at the State Board of Education meeting when each document is considered for approval.

With the approval of the standards, implementation may begin. A separate State Textbook Committee uses the course of study documents to select textbooks for the state textbook list. Copies of the course of study are provided for all teachers, principals, and supervisors in local school systems that have responsibilities associated with the subject area. Subject-area teachers participate in workshops to become familiar with the course of study standards before implementation in the local school system. Local school systems and local school curriculum committees use the documents to revise local curricula. Local textbook committees use the course of study content standards and local curriculum material as guides to select textbooks for the local school/school system. Schools of education and schools of arts and sciences at state public and private colleges and universities receive copies of the course of study to use in the preparation of pre-service teachers. State assessments are developed using course of study content standards.

The process described involves a design of *minimum* contents (standards) at the state level. Local education agencies are able to tailor curricula to their current needs, ensuring that the state's standards are met.

As the process to adopt a new set of standards is a three-year process per subject area, to adopt the Common Core standards Alabama's State Board of Education will waive the traditional mechanisms for adopting standards. Rather than spending two years conducting research and having a committee design these given standards, a state committee, appointed by the State Board of Education and the Governor, will work to augment the national committee's Common Core Standards with additional state standards, and then recommend adoption to the State Board of Education by November 2010.

(B)(2) Developing and implementing common, high-quality assessments *(10 points)*

The extent to which the State has demonstrated its commitment to improving the quality of its assessments, evidenced by (as set forth in Appendix B) the State's participation in a consortium of States that—

(i) Is working toward jointly developing and implementing common, high-quality assessments (as defined in this notice) aligned with the consortium's common set of K-12 standards (as defined in this notice); and

(ii) Includes a significant number of States.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (B)(2):

- A copy of the Memorandum of Agreement, executed by the State, showing that it is part of a consortium that intends to develop high-quality assessments (as defined in this notice) aligned with the consortium's common set of K-12 standards; or documentation that the State's consortium has applied, or intends to apply, for a grant through the separate Race to the Top Assessment Program (to be described in a subsequent notice); or other evidence of the State's plan to develop and adopt common, high-quality assessments (as defined in this notice).
- The number of States participating in the assessment consortium and the list of these States.

Recommended maximum response length: One page

Response to (B)(2)

Overview

Alabama's state code mandates that the State Board of Education require implementation of an assessment program for the public schools of Alabama. This assessment program may include nationally normed tests or criterion referenced tests or both and may be used to assist in the assessment of student achievement. These assessments, as a measure of accountability, are meant to align to standards that will enable students to succeed in the workforce or college. Thus, legislative oversight mandates that the test will necessarily maintain a set of standards that match accepted content standards. With Alabama's adoption of Common Core Standards, this law will effectually mean that any further assessments designed are built around an internationally benchmarked and nationally accepted set of standards (**§ 16-6B-1**). Full documentation is available in [**Appendix B9 "Legal Statutes – Assessments Accountability"**]

Alabama has developed and implemented a comprehensive set of statewide standards-aligned assessments, including the ARMT (Alabama Reading and Mathematics Test) for Grades 3-8; the ASA (Alabama Science Assessment) for Grades 5 and 7; the ADAW (Alabama Direct Assessment of Writing) for Grades 5, 7, and 10; the AHSGE (Alabama High School Graduation Exam) for graduating high school seniors; and the AAA (Alabama Alternate Assessment), designed for students with significant cognitive disabilities working under Alabama Extended Standards. Alabama is currently one of only fourteen states to gain federal approval of these assessments (general and alternate), based on ESEA standards, in reading, mathematics, and science. While Alabama is still completing its State Longitudinal Data System, each of these tests' results are tracked on Alabama's public web site; this system tracks percent of students at each achievement level, broken down by school system and school and by the required subgroups.

Alabama also has significant participation in nationally and internationally recognized tests. All students take the *Stanford Achievement Test* in Grades 3-8 and Dynamic Indicators of Basic Early Literacy Skills (DIBELS) in Grades K-2. The NAEP (National Assessment of Educational Progress), following national regulations, is administered to a group sampled from Grades 4 and

8 that captures a cross-section of the state; students and schools are selected by the U.S. Department of Education using a stratified random sampling.

The ACT is currently administered to more than 75% of twelfth graders in Alabama, with 29,894 test takers in 2009 versus 26,290 in 2005 – an increase of 14%. To raise this number further, by 2012, all eleventh grade students (except a very small percentage unable to take this test due to severe cognitive disabilities) will be required to take the ACT with all expenses assumed by the Alabama State Department of Education. In addition to the ACT in the eleventh grade, students will take the accompanying EXPLORE test in eighth grade to explore options for high school coursework and post-high school opportunities, PLAN in tenth grade to analyze strengths and weaknesses by subject, and WorkKeys in twelfth grade. WorkKeys is already used as a metric for career readiness.

Regarding Advanced Placement, Alabama was one of eight states funded by the National Governors Association as part of the Honors State Grant Program to explore Advanced Placement expansion as a means to raise standards for all students. Advanced Placement courses and tests have increased dramatically with A+ College Ready, a statewide AP training and incentive initiative focused on increasing the number of students who take AP tests. Eight Jefferson County and four Montgomery County schools piloted this program in 2008-2009 and expansion to the state is planned over the next five years. AP courses and tests have already made an impact in Alabama, with 8,837 test takers in 2008 rising 24.5% to 11,006 test takers in 2009, compared to a 7.5% increase nationwide. Besides an increase in total test-takers, Alabama also experienced an increase in tests taken per student from 1.66 tests on average in 2008 (14,628 total) to 1.72 tests in 2009 (18,960 total). Students taking these tests also demonstrated improved performance, with 8,789 AP scores of 3 - 5 in 2009, an increase of 21.1% from 2008. Another piece of evidence to our commitment of education being the key civil rights issue of the 21st Century is that from 2004 to 2009 the percentages of African-American AP test takers increase 400%.

Alabama participates in a consortium for its English Language Acquisition curriculum and exam. This test for limited English proficiency, built within a consortium of 20 states, is taken by approximately 20,000 non-native English speakers today, versus 6,000 five years ago.

Additionally, a main goal of the American Diploma Project is to align high school standards and assessments, streamlining the assessment system so that the tests students take in high school will serve as readiness tests for college and work. As this initiative is an integral component of a state's participation with the American Diploma Project, by participating in this consortium, Alabama is committing itself to adopting a set of standards-based assessments based on its participation with ADP and within the national assessment work of the Smarter Balanced Assessment Consortium and the Partnership for Assessment of Readiness for College and Career.

Importantly, Alabama's assessments do not apply only to college-ready criteria. Career-ready tests offer certification based on credentials that match a given set of careers. The Career Readiness Certificate (CRC) offers a level of certification (bronze, silver, gold, platinum) that corresponds to the level of career-ready standards a person's skill level matches. This standards-based assessment through Career Ready Alabama is designed to rank the percentage of jobs for which an individual's core employability skills would equip him/her to be successful. An individual receives bronze for having skills for 30% of jobs, silver for 65% of jobs, gold for 90% of jobs, and platinum for 99% of jobs. This credential is based on WorkKeys, a nationally recognized assessment used in some capacity in all 50 states. By 2012, 100% of Alabama's twelfth graders will take the WorkKeys assessment.

Evidence

The required documents for evidence are available in the following appendices:

- [MOA for ADP]
- [MOA for Common Core] Appendix A4
- [MOAs for participation in national assessments, if available] Appendix B10
- [Legal documentation for state-wide tests, if available] Appendix B9

The *Stanford Achievement Test* is used in eight states and is nationally recognized as a measure of academic progress. Dynamic Indicators of Basic Early Literacy Skills (DIBELS) is used as a measure of early reading skills in some capacity for all 50 states and some other countries.

The (NAEP) National Assessment of Educational Progress is used across all 50 states as a measure of academic progress.

The ACT, while not the standard college acceptance test for all states, is accepted by virtually all national colleges as a benchmark of college-readiness.

Advanced Placement tests are used nationally and internationally and are recognized by universities in 55 countries as a college-equivalent, making it an effective indicator of college readiness.

The American Diploma Program, standardizing graduation requirements and assessments across its constituents, has 35 states onboard. The 35 states in the ADP Network are Alabama, Arizona, Arkansas, California, Colorado, Connecticut, Delaware, Florida, Georgia, Hawaii, Idaho, Illinois, Indiana, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Nebraska, New Jersey, New Mexico, North Carolina, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, Tennessee, Texas, Virginia, Washington, and Wisconsin.

ACT's WorkKeys is a nationally recognized assessment of career-readiness and is used in all 50 states in at least some capacity.

(B)(3) Supporting the transition to enhanced standards and high-quality assessments *(20 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards that build toward college and career readiness by the time of high school graduation, and high-quality assessments (as defined in this notice) tied to these standards. State or LEA activities might, for example, include: developing a rollout plan for the standards together with all of their supporting components; in cooperation with the State's institutions of higher education, aligning high school exit criteria and college entrance requirements with the new standards and assessments; developing or acquiring, disseminating, and implementing high-quality instructional materials and assessments (including, for example, formative and interim assessments (both as defined in this notice)); developing or acquiring and delivering high-quality professional development to support the transition to new standards and assessments; and engaging in other strategies that translate the standards and information from assessments into classroom practice for all students, including high-need students (as defined in this notice).

The State shall provide its plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Eight pages

Part I: Supporting the transition to common standards and high-quality assessments

Goals

1. Provide national benchmark for Alabama's performance.
2. Enable measurement of student growth
3. Guide differentiated instruction on a day-to-day basis
4. Ensure that new standards drive instruction to needed levels and that teachers are supported in adjusting their instructional approaches
5. Implement strong assessments that accurately measure student performance and align with standards
6. Develop feedback loop that ensures student mastery of standards
7. Build expectations of student performance
8. Retrofit existing systems to align with standards
9. Develop all new programs to consistency with Common Standards
10. Ensure, above all else, that all graduating students are college- and career-ready

Overview

As Alabama commits to develop a more competitive education system and workforce, standards must be aligned with national expectations. This alignment will be accomplished through the implementation of Common Core Standards, which the State Board of Education will vote on no later than November 2010. New standardized assessments aligned to Common Core Standards will ensure that students grow with respect to these standards and that their growth can be tracked effectively.

While measurement of mastery is important, the ultimate goal of a strong assessment program is the use of measurements to inform teaching and learning. Alabama will use standards-based formative assessments to guide day-to-day instruction. This effort requires major changes in the way teaching is addressed in a day-to-day setting with targeted response to individual student needs. Teachers must be supported by strong professional development, clear guides to teaching, and access to up-to-date resources. Through the use of longitudinal data to track student growth and a strong formative assessment system, teachers will be equipped to teach strategically and address individual student needs.

To develop consistency and coherence between all parts of Alabama's educational system, existing educational systems and programs within the state will be aligned with a common set of standards. Any new programs introduced must maintain consistency with the set of standards.

While all of these goals are important, standards are meant to ensure that all graduating students in Alabama are prepared to succeed in college and/or become effective and valuable contributors in the workforce. Adopting initial Common Standards will serve as a minimum. Alabama will expect to extend these standards and raise expectations over time.

The process for reaching these goals will be as follows:

Adapt Alabama Standards Adoption Process – The State Board will appoint a standards committee to consider adoption of the Common Core Standards. Alabama's current standards adoption spans three years per subject; however, the first two years are spent compiling research and designing standards. As the CCSSO, NGA, and states involved with the Common Core Standards have collaborated and revised these standards over the course of 2009-2010 with the input of many states, including Alabama, the first two years of Alabama's process will be waived. The final step of the process, recommendation of the Common Core, will be the focus of the standards committee with a goal of adoption by November 2010.

Supplement Common Core Standards (if needed) – The national committee designing the Common Core standards will be accepted as the committee designing Alabama's core standards. A committee appointed by the State Board of Education will review for possible augmentation of the final Common Core Standards in mathematics and English language arts. This committee will convene for review of the Core Standards upon adoption of the national committee in place of a state's committee. The State Board of Education committee may also design additional standards to supplement the Common Core Standards.

Implementation of Common Core – With the adoption of new Common Core Standards, the State Department of Education will convene a group of program designers who will incorporate the varying curricular needs across LEAs and develop the course of study into a set of practical curriculum guides for distribution statewide. A crosswalk design team of professionals will be appointed to analyze the cost of and components involved in

transitioning materials to support the Common Core Standards. This work will be completed by the end of the 2010-2011 school year.

Professional Development for the Common Core – Significant professional development will be needed to facilitate the transition to a new set of standards. Using a train-the-trainer model, Alabama will facilitate a transition in standards from the state level to eleven regional inservice centers to the LEA and school level. This process will involve investment in the design of curriculum guides, financing of professional learning opportunities for regional staff, travel costs for regional inservice staff and for curriculum leaders from each system, and the cost of printing and distributing materials to support new curricula for wide distribution to all teachers throughout the state. School and system leaders will be an integral part of this learning process to ensure that the standards become part of a sustainable process within their schools. We will expand online delivery of professional development to include podcast delivery of in-service and pre-service training on the new standards. Podcasts will be accessible for constituents' real-time participation and will be recorded for later review.

Building Teacher Leadership and Capacity Around the Common Core – Introduction of the Professional Pathways program (Appendix B11) will offer Alabama's most effective teachers an opportunity to take differentiated leadership roles as Professional Teachers. Some will lead and enhance professional development efforts as Master Teachers; others will design curricula and enhance classroom learning as Program Designers. Fifteen schools will pilot this project in Year 1 and expand to all Alabama schools by Year 4. Professional development will be geared toward aligning Professional Teachers' leadership roles with standards and to ensuring adherence to the Common Core by all teachers. Program Designers will ensure that Core Standards are the foundation on which school curricula are built. Professional Teachers will provide support in each classroom in the use of formative assessments to ensure student mastery of standards. Professional Teachers will be trained and involved in an extended school schedule with additional compensation.

Building Principal Leadership and Capacity Around the Common Core – The establishment of an Educational Leadership Network to develop leadership capacity will be leveraged to build effective leadership skills and techniques that will ensure the Core Standards are embedded in the instructional programs of all schools. Providing leadership

support in the 11 inservice regions will develop strong leadership with a focus on Common Core Standards.

University Partnership in Capacity Building Around the Common Core – Once the Common Core Standards are adopted, teacher preparation programs will be redesigned to equip graduates to teach to the Common Core Standards and to effectively use formative assessments. Current teachers will benefit from a train-the-trainer model, but this approach does not address those entering the profession. To address this need, teacher preparation programs will institute the Common Core Standards into their teacher and leader preparation programs. Programs like the Torchbearer Consortium (Appendix B12) will enable pre-service teachers to train in residency at schools identified as successfully using the Common Core Standards and Common Assessments to assure student success.

Alignment of Current Initiatives Around the Common Core – Alabama's AMSTI (Alabama Math, Science, and Technology Initiative) and ARI (Alabama Reading Initiative) both focus on using a coaching method to ensure best practices in teaching by classroom teachers in their respective fields. As the initial focus of the Common Core Standards is on mathematics and English language arts, AMSTI and ARI will be important routes by which Common Standards are implemented at the state level through coaches to classroom teachers and school leaders. An investment will be necessary to expand the scope of each program to meet the needs of all schools and students in Alabama. Currently, AMSTI coaches serve only 621 schools, or 46% of the schools in Alabama; ARI serves 843 schools – all K-3 schools but only 56 secondary schools. Expansion of AMSTI and ARI is necessary to promote consistency and excellence in teaching practice across the state and to ensure that standardized practice is found in all schools. Race to the Top funds will equip coaches to ensure effective presentation of content matter and coaching of best teaching practices in reading (ARI) and mathematics and science (AMSTI). Alabama is considered a national leader in utilization of a coaching a concept to expand professional development.

Utilizing Technology to Support the Common Core – A support for the Common Core, ALEX (Alabama Learning Exchange), an online resource collection, will be used to keep all standards, curriculum materials, and teaching guides up to date. Additionally, all assessments will have online support for implementation and teaching methods toward

exams. The ALEX infrastructure is in place. The expense of collecting and uploading materials will be the only expense of this support.

ACCESSing the Common Core – To ensure that the Common Core is authentically common, distance learning will be expanded to ensure that all students have access to courses of study based on the newly implemented standards. This focus will require an investment in expanding the range of materials available through distance learning through hiring top-performing teachers (especially in STEM) and investing in distance learning centers so that students can access any core classes not currently offered at their schools. Especially in career and technical centers (focused on STEM courses), funds will be used to equip the remaining 40 career/technical centers not ACCESS equipped to make them fully upgraded and able to provide these learning opportunities. Race to the Top funds will also be used to incentivize top-performing teachers in hard-to-staff subjects (STEM) and expand the variety of courses available on the ACCESS (Alabama Connecting Classrooms, Educators, and Students Statewide) distance-learning platform. ACCESS is another piece of the puzzle that provides equity among all high schools in Alabama by offering a broad array of courses from Highly Qualified (HQ) teachers to all students in Alabama regardless of geography or demography barriers. It is an integral part of assuring that FIRST CHOICE is successful, that achievement gaps are removed, and that graduation rates increase with college- and career-ready graduates receiving diplomas.

Summative Assessment Development and Implementation – When Common Core Standards have been finalized and adopted at the state level, the state's assessment and accountability team will shape the standards into new statewide assessments. Alabama desires to work collaboratively with other states in the development of these assessments. A common assessment of the common standards would allow a true comparison of progress toward a common goal and would be the wisest investment of financial and human capital in this effort. Currently, the State of Alabama is working with two national consortia (Smarter Balanced Assessment Consortium and Partnership for Assessment of Readiness for College and Career) of states in the development of a summative assessment. Through the partnership with these two consortia Alabama feels confident a more efficient, comprehensive and informative instrument will result.

Formative Assessment Development and Implementation – Alabama will invest significant resources in strengthening measurement techniques on the student level by developing new summative assessments and expanding the use of nationally recognized evaluations like the AP and ACT test. Alabama is convening the same consortium of states working toward a summative evaluation solution around the ACT to consider the potential of using the same research base and measurement potential to expand to a formative assessment, PK-12. This consortium has met once and has scheduled several future meetings with ACT to design formative assessments, interim assessments, and summative assessments aligned around the Common Core Standards.

Tracking Student Progress and Growth – Alabama will track student progress toward mastery of common standards and will hold all schools accountable for their performance. ACES, the state's longitudinal data system, which will be expanded using Race to the Top funds, will allow tracking of individual student progress and growth. This data system will be used to monitor assessment results, evaluate trends, and analyze effective teaching techniques and teachers. Additional investment will be put into creating a dashboard by which teachers can access selected parts of this body of data in order to integrate student data into the planning of instruction to ensure that each student is successful.

Timeline & Activities

	2010				2011				2012				2013			
Activity	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Adapt Alabama Standards Adoption Process																
Supplement Common Core Standards (if needed)																
Create implementation plan for Common Core																
Institute professional development to build teacher and principal capacity for implementation of the Common Core																
Develop and implement common summative assessment based on the Common Core Standards																
Develop State Longitudinal Data System to track student growth toward the Common Core Standards																
Develop and implement state-level formative assessment (can begin																

with existing assessments and be adapted once new ones are introduced)																
Align AMSTI and ARI to Common Core Standards and scale programs to ensure distribution and support of standards																
Use ALEX to make information, materials, support and best practices readily available																
Use alternative pathways model as a way to support standards and formative assessments																

(C) Data Systems to Support Instruction (47 total points)

(C)(1) Fully implementing a statewide longitudinal data system *(24 points – 2 points per America COMPETES element)*

The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).

In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.

Evidence:

- *Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State's statewide longitudinal data system.*

Recommended maximum response length: Two pages

(C)(1) America COMPETES Act Elements and Data Quality Campaign Results

Overview

Over the past several years and without the use of external funds or grants, the ALSDE has invested in the development of a state longitudinal data system known as the Alabama Consolidated Education System (ACES) and to date has completely achieved ten of the twelve America COMPETES Act Elements as outlined on the next page in Table 1. Alabama was one of only eleven states in the nation to have all ten essential elements of the statewide data systems as measured by the Data Quality Campaign (DQC). We have included Alabama's DQC Survey Results in Appendix A17 for additional documentation of Alabama's current data capabilities, as well as evidence of its commitment to improving the system over the last several years. We have also included Alabama's Longitudinal Data Systems grant upon which this section is based in Appendix D1.

Table 1: Alabama's Realization of the America COMPETES Act Data Elements

Element	Current Status	Advancements in the SLDS Application
01. A unique statewide student identifier that does not permit a student to be identified by users of the system	Completely meets America COMPETES standards and is available and reported through the statewide student management system. Alabama implemented a unique student identifier in 2005.	The development of the Alabama LDS system (ACES) will provide SSIDs for all public education students as well as those attending IHEs. Additionally, an enhanced non-manual system for historical tracking of students throughout their academic career in Alabama would be developed.
02. Student-level data, including enrollment, demographic, and program participation	Completely meets America COMPETES standards and is available and reported through the statewide student management system.	The development of the Alabama LDS system (ACES) will enhance tracking and reporting of this data to include the trending of education programs and their efficacy.
Element	**Current Status**	**Advancements in the SLDS Application**
03. Student-level information about the points at which students: Exit, Transfer in, Transfer out, Drop out, and Complete P-16 education program	Completely meets America COMPETES standards and is available and reported through the statewide student management system.	ASCEND, the shared data repository proposed in the Statewide Longitudinal Data System Grant, will connect data from ALSDE and partners such as the Alabama Commission on Higher Education (ACHE), the Department of Industrial Relations, Department of Children's Affairs - Office of School Readiness (DCA), the Department of Postsecondary Education (DPE), and the Department of Rehabilitation Services/Office of Early Intervention Programs. This will link enrollment and graduation data for students in postsecondary schools with their K-12 data.
04. Capacity to communicate with higher education data	Currently ALSDE and ACHE exchange student level data for tracking and analysis of high school graduates in Alabama meeting the expectation of the America COMPETES standard. More extensive data sharing is expected.	With the development of ASCEND, funded by the Statewide Longitudinal Data System Grant and/or Race to the Top funding, data will be linked electronically and automatically on a regularly scheduled basis between all partner agencies / entities. This will result in a common data store that can be shared between the ALSDE and other agencies / entities. This enhanced capability will permit deeper and higher value analysis by ALSDE and all partner agencies.

Element	Current Status	Advancements in the SLDS Application
05. State data audit system assessing data quality, validity, and reliability	Completely meets America COMPETES standards and is available and reported through the statewide student management system.	With funding by the Statewide Longitudinal Data System Grant a single integrated audit system will be developed that will handle all existing and future source data systems as they are integrated into ACES and ASCEND.
06. Yearly test records of individual student with respect to assessments under section 1111(b) of ESEA 1965	Completely meets America COMPETES standards and is available and reported through the statewide student management system.	Using funds from the Statewide Longitudinal Data System Grant and/or Race to the Top funding, ALSDE assessment data will be integrated into the ACES and ASCEND data repositories, providing a longitudinal record of student assessments. This effort will accelerate Alabama's focus on teacher effectiveness in the classroom.
07. Information on students not tested by grade and by subject area	Completely meets America COMPETES standards; is statewide student management system.	Using funds from the Statewide Longitudinal Data System Grant and/or Race to the Top funding, ALSDE assessment data will be integrated into the ACES and ASCEND data repositories, providing a longitudinal record of student assessments. This effort will accelerate Alabama's focus on teacher effectiveness in the classroom.
Element	**Current Status**	**Advancements in the SLDS Application**
08. Teacher identifier with the ability to link teachers to students	Completely meets America COMPETES standards and is available and reported through the statewide student management system.	ALSDE plans to develop a statewide staff-unique identifier that does not use SSN as the key.
09. Student-level transcript information	Exists at the LEA level in multiple formats. Thus the seamless exchange of information among LEAs and with IHEs can only be accomplished to a limited degree.	Funds from the Statewide Longitudinal Data System Grant, and/or Race to the Top funding will be used to develop a statewide e-transcript and storage system that will be part of the ASCEND repository used across all partner agencies / entities and based upon a common data dictionary and metadata repository. Alabama anticipates adoption of a national standard such as PESC to increase the utility and flexibility of data transfer.
10. Student-level college-readiness test scores	Completely meets America COMPETES standards and is available and reported through the statewide student management system.	ALSDE is in the process of instituting a program that will allow every eligible student to take the ACT free of charge as part of the state high-stakes testing program. These results will be stored and accessible through the ALSDE Data Warehouse.

Element	Current Status	Advancements in the SLDS Application
11. Data that provide information regarding extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework	Completely meets the America COMPETES standard with our post-secondary institutions providing a detailed report to the state and local systems regarding the number of graduates enrolled in remedial courses.	Through the use of a common data dictionary and metadata, the proposed ASCEND data repository will enable ALSDE and participating partners to share assessment, transcript, and other types of data. This initiative will permit ALSDE to determine how students perform in postsecondary programs and identify patterns based on programs and courses taken in high school.

Element	Current Status	Advancements in the SLDS Application
12. Data that provide other information determined necessary to address alignment and adequate preparation for success in postsecondary education	Current activities in support of this objective are the subject of ALSDE planning efforts.	Data provided to ASCEND by each of the participating partners will enable the ALSDE and other stakeholders to address curriculum alignment and the adequacy of preparation for success in postsecondary education and the workforce. Plans are already underway to add components to the assessment program. The ACT Explore (eighth graders Career exploration/interest), Plan Assessment (tenth graders "pre-ACT" to gauge students readiness for college), ACT (all eleventh graders free of charge), Work Keys (twelfth graders indication of workforce readiness), and the current graduation exam, Alabama High School Graduation Exam (AHSGE); will be included as end-of-course assessments that are more rigorous and indicative of college readiness. These will become part of the final grade for credit. These data will be added to ASCEND as part of the Statewide Longitudinal Data System Grant.

Alabama's expansion of ACES, its statewide longitudinal data system, will enable Alabama to collect and report data in a highly efficient and effective manner, which will allow all participants and constituents to not only access data in a timely manner, but in a way that will provide insight into programs and education in Alabama. These capabilities will provide an excellent platform for determining the efficacy of Alabama's most recent education reform efforts.

(C)(2) Accessing and using State data *(5 points)*

The extent to which the State has a high-quality plan to ensure that data from the State's statewide longitudinal data system are accessible to, and used to inform and engage, as appropriate, key stakeholders (e.g., parents, students, teachers, principals, LEA leaders, community members, unions, researchers, and policymakers); and that the data support decision-makers in the continuous improvement of efforts in such areas as policy, instruction, operations, management, resource allocation, and overall effectiveness.[2]

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Two pages

[2] Successful applicants that receive Race to the Top grant awards will need to comply with the Family Educational Rights and Privacy Act (FERPA), including 34 CFR Part 99, as well as State and local requirements regarding privacy.

(C)(2) - ACES

Goals

1. Useful and relevant data are a fundamental element of improving instruction, and development of the Alabama Consolidated Education System (ACES) will provide the quality and quantity of data necessary for supporting student growth.
2. Student data is only useful if they are easily accessible, updated, and available to all the key stakeholders (including teachers and policy makers) to support decision-making and improvement efforts. The goal of ACES is to achieve this through a robust suite of products and dashboards designed specifically for the various end users.
3. FERPA compliancy will be ensured.

Overview

In order to ensure the accessibility and usability of the State's LDS data, Alabama plans to complete the development and implementation of the Alabama Consolidated Education System (ACES), a consolidated operational data store. ALSDE has already begun the development of several ACES components. Race to the Top funds will enable the completion of ACES and accompanying longitudinal data warehouse with associated data-marts. The operational data store will integrate data from the student management systems in each school and LEA, as well as other non-SMS data sources, using a common data dictionary and metadata repository.

ACES will incorporate a robust and technically compliant suite of products. It will provide frequent updates from the operational data store to the data warehouse resulting in the availability of the most current data possible for use. The data-reporting portal will be easy to use and include a comprehensive dashboard as well as current data-mining technologies. It will have the ability to produce predefined reports as well as dynamic reports with the appropriate blend of graphical, tabular, and analytical presentations to assist SDE and local school system decision makers.

Policy makers will be able to identify trends and needs within the state to address educational and operational issues related to student performance and school management. Student growth

will be presented in an easy-to-navigate and user-friendly format. End users will be able to generate reports at the individual student level (after confirming user authentication and access privileges) to track growth on each content standard. These data will be used to identify at-risk students and create "prescriptions" for student progress using a web-enabled dashboard. The ALSDE plans to develop dashboards designed specifically for the various end-users, down to the teacher level. Teachers will have data to guide instructional processes, including a link between data and menu of instructional interventions proven to work based on results.

Timeline and Activities

	2010				2011			
Activity	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Organization and Administration								
Operational Store Data								
Meta Data Repository								
Consolidated data store for all teacher education and certification information								
ACES Data warehouse / Data-marts								
Data Reporting Portal								
Associated tools – Tools associated with the use and mining of Data								
Automated workflow								

(C)(3) Using data to improve instruction *(18 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan to—

(i) Increase the acquisition, adoption, and use of local instructional improvement systems (as defined in this notice) that provide teachers, principals, and administrators with the information and resources they need to inform and improve their instructional practices, decision-making, and overall effectiveness;

(ii) Support participating LEAs (as defined in this notice) and schools that are using instructional improvement systems (as defined in this notice) in providing effective professional development to teachers, principals and administrators on how to use these systems and the resulting data to support continuous instructional improvement; and

(iii) Make the data from instructional improvement systems (as defined in this notice), together with statewide longitudinal data system data, available and accessible to researchers so that they have detailed information with which to evaluate the effectiveness of instructional materials, strategies, and approaches for educating different types of students (e.g., students with disabilities, English language learners, students whose achievement is well below or above grade level).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note the location where the attachment can be found.

Recommended maximum response length: Five pages

Section C(3)(i) In order to increase the adoption and use of the described data system for instructional improvement, as well as support LEAs and schools in providing professional development in this area, Alabama will develop a "train-the-trainer model" as Alabama's differentiated service delivery system, where customized training and support will be provided through our Regional In-Service Centers. This will not only enable an increased number of teachers and administrators to be trained, it will ensure that the data training and professional development are customized and supported based on the needs of the individual schools and systems within the regions.

Goals

- Enable teachers to efficiently and effectively use data to improve instructional capabilities and student improvement by implementing a train-the-trainer model delivered via the Regional In-Service Centers.
- Enable systems and administrators to use data to evaluate success of educational programs and staff and utilize this information in decision-making and planning.
- Create institutional knowledge about educational data at the state-, system-, and school-levels. Alabama will identify school systems that have a proven track record in the use of data to guide instructional practice and decision making to serve as models for peer systems. These systems will work directly with their respective Regional In-Service Centers to coordinate the development and delivery of appropriate professional development for the Train-the-Trainer delivery system. Participating LEAs will be asked to illustrate within their Race to the Top scope of work how they intend to support instructional improvement systems in collaboration with state support. The State Department, in collaboration with the Regional In-Service Centers and their host universities, will work together to provide a strong support system, data access, and ongoing support for implementation of instructional improvement systems at the local level.

With the inclusion of student growth/achievement as a measure of teacher and principal effectiveness as the summative component of Alabama's educator evaluation system, it will become even more important for engagement in understanding and using data to its fullest potential. Because the inclusion of student growth in the evaluation system is meant to inform human capital decisions such as tenure, professional development, retention and

dismissal, a thorough understanding of how data can be used to both inform, improve, and reflect effectiveness will be of key concern to each and every teacher.

Section C(3)(ii): Alabama realizes that without proper training and support, in the instructional use of data, the data system described in this application will render less than expected results. To ensure proper use and implementation, the Alabama Department of Education will partner with nationally recognized non-profits to accomplish two major goals:

1. Support local schools and school systems in the use of data for instructional improvement.
2. Build the capacity of the Alabama Department of Education to support the work of local schools and school systems beyond the four-year grant period.

This work will include collaboration with the Regional In-Service Center personnel, and coaching and mentoring identified State Department of Education staff, and producing training and tools that will be the property of the State Department once the grant period is completed. Specifically, the areas of support to local school systems would include, but not be limited to, the following:

1. Building capacity within local schools and school systems in the area of balanced assessment.
2. Building capacity within local schools and school systems in the area of the instructional power of formative assessment.
3. Identifying, through data, best practices of instruction that can be replicated within the school, school system and state.
4. Providing student growth data that can be used to determine educator effectiveness.
5. Providing guidance at the local and state levels as to the instructional professional development needs within schools, school systems, and on a statewide basis.

To accomplish these goals some professional development will be offered in a traditional face-to-face method but also through online e-Learning opportunities through the Alabama Learning

Exchange (ALEX) and live interactive WebEx and/or Elluminate training sessions. All of the courses offered will be captured and placed in to a repository within the ALEX library.

This work will also become an integral part of our higher education partners and programs of teacher and leader preparation. This will ensure that future graduates enter the workforce "data ready." The student growth data will also be linked to the educator preparation program to inform each university of the effectiveness of its graduates.

Timeline and Activities

	2010				2011				2012				2013			
Activity	Q1	Q2	Q1	Q1	Q2	Q3	Q4	Q1	Q1	Q1	Q3	Q4	Q1	Q2	Q3	Q4
Acquire non-profit support																
Identify LEA expertise for the train- the -trainer model and collaborate with In-Service Center personnel																
Host regional introductory implementation sessions																
Begin school and school system level professional development																
Ongoing data use training and capture of training for PD repository on ALEX																
Evaluation of training and completion PD repository																

Section (C)(3)(iii) In order to make the data available and encourage effective research, Alabama plans to:

Goals

- Create a more complete set of student data where information outside of a student's K-12 life is aggregated, thus developing a full P-20 system and the ability to fully understand student achievement.
- Create a system that is flexible and easy to access, ensuring that the data is user-friendly as well as powerful.
- Create a research and development relationship between the Alabama State Department of Education, Participating LEAs, and our Research Universities.

Overview

The Alabama System for Collaborative Education Needs Data Warehouse (ASCEND) will connect data from ALSDE and partners such as the Alabama Department of Rehabilitation Services (DRS), Alabama Commission on Higher Education (ACHE), Alabama Department of Postsecondary Education (DPE), Alabama Department of Children's Affairs - Office of School Readiness (DCA), and the Alabama Department of Industrial Relations (DIR). A Memoranda of Understanding (MOU) between agencies has been agreed to in principle and will be formally signed by the second quarter of 2010. The project will begin by developing an agreed-upon set of data structures and elements to be used among participating agencies. This will lead to the development of a common data dictionary and metadata repository. A transport mechanism, including data transformation and loading routines, will be developed to move data into the shared data store for use by all of the cooperating agencies. A data-reporting portal and data-mining tool will be implemented to provide easy access for each of the participating agencies.

ASCEND will feature a common data standard with data that are regularly refreshed. It will provide easy access to required data for federal and state reporting needs, consistent with the business needs of the agencies involved. ASCEND will utilize roles-based access to ensure FERPA compliancy. Reports, dashboards, and interactive inquiry capabilities will allow the

ALSDE and partners to readily make informed decisions regarding policy, procedure, and education in Alabama.

The creation of a common data store that can be shared between the ALSDE and other agencies such as ACHE and DIR will result in timely, accurate, and better quality data. The various constituents will be able to assess the frequency, impact, and nature of the success in programs targeted to improve student retention, completion, and performance. The data store will include data from ACHE on student's enrollment/exit data from public colleges within the state, as well as similar data from DPE for two-year colleges. It is anticipated that this will be completed by the end of 2012.

Through this expanded and comprehensive data system, Alabama realizes the need for a robust research and development component to inform our current and future expenditure of financial, human, and resource capital. Recognizing the strength in a collaborative effort to determine this return on investment, the Alabama Research Triad has been created linking the State Department of Education, participating LEAs, and the Alabama Commission on Higher Education's research universities with a goal of making available to researchers the wealth of untapped data within the educational system as we work to develop answers to current and future questions concerning education and learning. From the evaluation of instructional materials, curriculum methodology, and classroom strategies to the broader variables of teacher and leader effectiveness, the impact of teacher preparation programs on student growth is as infinite as the value of the research resulting from this collaborative effort not just for Alabama but for our nation and the world.

Timeline and Activities

	2010				2011			
Activity	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Organization and Administration								
Data warehouse / Data-marts / E-transcript storage								
Common Data Dictionary								
Meta Data Repository								
Transport mechanism – For Inter-Agency transport of data to the Shared Data Repository								
Data Reporting Portal								
Associated tools – Tools associated with the use and mining of Data								
Automated workflow								
Identify Partner Universities for the "Triad"								
Develop Memorandum of Understanding between partners in the "Triad"								
Identity areas of research focus								
Research activities (ongoing)								

Performance Measures Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Teacher and Administrator Survey on Ability to use and understand Alabama's LDS and data. Percent "Meeting expectations" or above.	TBD				
Percent of Alabama schools using data in professional evaluations and promotion decisions.	100%				
Number of University and Research Center Partnerships	TBD				
Number of research papers produced annually related to Alabama education	TBD				

(D) Great Teachers and Leaders (138 points)

(D)(1) Providing high-quality pathways for aspiring teachers and principals (21 points)

The extent to which the State has—

(i) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and principals, particularly that allow for providers in addition to institutions of higher education;
(ii) Alternative routes to certification (as defined in this notice) that are in use; and
(iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage. In the text box below, the State will describe the current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (D)(1)(i), regarding alternative routes to certification for both teachers and principals:

- *A description of the State's applicable laws, statutes, regulations or other relevant legal documents, including information on the elements of the State's alternative routes (as described in the alternative route to certification definition in this notice).*

Evidence for (D)(1)(ii), regarding alternative certification programs operating in the State under the State's alternative routes to certification (as defined in this notice), and for each:

- *A list of the alternative certification programs operating in the State under the State's alternative routes to certification (as defined in this notice), and for each:*
    - *The elements of the program (as described in the alternative routes to certification definition in this notice)*
    - *The number of teachers and principals that successfully completed each program in the previous academic year.*
    - *The total number of teachers and principals certified statewide in the previous academic year.*

Recommended maximum response length: Two pages

(D)(1) Overview: Provide high-quality pathways for aspiring teachers and principals

Alabama envisions high-quality alternative certification programs that prepare promising non-traditional candidates to teach STEM or other hard-to-staff subjects and/or teach in/lead schools with high percentages of high-need students. The State is dedicated to realizing this vision and will invest in doing so over the next five years.

Alabama already permits alternative certification approaches for teachers and plans to enact the necessary policy and rule changes to allow high-quality programs for principals. Existing alternative certification approaches for teachers will be streamlined with a focus on creating programs that produce high-quality teachers to teach STEM or other high-need subjects and effectively teach in high-need schools. Programs like Teach for America will be expanded to help the highest need LEAs alleviate teacher quantity and effectiveness issues, while alternative certification programs will attract and prepare high-potential and non-traditional principal candidates who will be equipped to turnaround low-achieving schools.

All of these efforts will be informed by data systems and data that help the State and LEAs identify and forecast areas of teacher and principal shortages and overages. Alabama can then focus its resources on preparing adequate numbers of teachers and principals to fill STEM and other high-need positions with talented young people and career-changes.

(D)(1)(i) Legal, statutory and regulatory provisions that allow alternative routes to certification.

The Education Code of Alabama (§16-3-16.1) grants the Alabama State Board of Education, including the State Superintendent of Education, full power and authority to promulgate and adopt rules and regulations governing the training and certification of teachers and instructional leaders and the issuance and administration of certificates, including alternative certificates, consistent with the provisions put forth in the authorized process of alternative certification. Chapter 290-3-2 of the rules of the Alabama State Board of Education provide further articulation related to the allowance of alternative certification approaches for qualified individuals to teach grades pre-kindergarten through twelve and a range of subjects. Additional detail on and evidence of these regulations and rules is located in Appendix D1.

While Alabama currently offers alternative certification approaches for teachers, no such programs are sanctioned for principals. The State is committed to permitting such programs, particularly in high-need and hard-to-staff schools, with concentration in urban and rural principal leadership, and will present a proposal to the Alabama State Board of Education that should lead to its approval, development, and implementation.

(D)(1)(ii) Alternative routes to certification.

Alabama offers two true approaches to alternative certification for public school teachers, the Special Alternative Certificate (SAC) and the Alternative Baccalaureate-Level Certificate (ABC).

Seventeen colleges and universities offer state-approved alternative certification programs and coursework for teacher candidates. See Appendix (D1) for a list of approved alterative certification programs and coursework requirements). The elements of both the SAC and ABC approaches are outlined in Table X below.

Table X—Summary of Alabama's Existing Alternative Certification Approaches

	Special Alternative Certificate (SAC)	Alternative-Baccalaureate-Level Certificate (ABC)
Candidate Selection & Initial Certification Requirements	* Bachelor's degree from a regionally accredited college or university with at least a 2.5 grade point average on a 4.0 scale * Admission to an approved fifth-year program at an Alabama college or university *Recommendation of employing superintendent *Enrolled to take basic skills test *Enrolled to take Praxis II	* Bachelor's degree from a regionally accredited college or university in an academic major for which certification is sought * Recommendation of employing superintendent *Pass basic skills test *Pass Praxis II subject assessment

	subject assessment	
Coursework & Teaching Requirements	*Equal to a Master's degree and specified by individual programs *Can pass out of some coursework requirements *Must effectively teach for three years	*No more 12 semester hours, spanning four courses: 1. Classroom management. 2. Evaluation of teaching and learning. 3. Strategies for teaching special needs students in inclusive environments. 4. Methods for teaching at the grade level for which certification is sought. *Can pass out of coursework requirements as long as course completion equivalency appears on transcript *Must effectively teach for three years
Mentoring & Support	*Work with a mentor for three years	*Work with a mentor for three years
Certification Terms	*Issued once a year for up to three years based on recommendation of employing superintendent	* Issued once a year for up to three years based on recommendation from employing superintendent
Approved Grade-Levels and Subject Areas	*Primarily early childhood and elementary education *Special education for PK-12 *English language learning for elementary and secondary levels	* Specific secondary fields and all grades teaching fields (e.g., physical education, music, art); not early childhood, elementary, or special education.
Professional Certification Requirements	* Successful completion of Alternative Fifth-Year program * Passing scores on three basic skills assessments and the appropriate Praxis II content test.	* Three years of satisfactory full-time service in the teaching field in no more than two school systems or non-public schools while holding the ABC; within four years from issue date of first ABC. *12 semester of applicable coursework while holding ABC * Verification of passing score on three basic skills assessments and the

		appropriate Praxis II content test. * Test requirement must be met before first ABC expires. Courses must be completed before third ABC is issued.
Program Result	*Master's degree *Professional Educator Certificate, the same certificate issued to graduates of traditional teacher preparation programs	* Professional Educator Certificate, the same certificate issued to graduates of traditional teacher preparation programs

Teach for America (TFA) recently established an alternative certification program to serve six high-need rural LEAs in Alabama. TFA will place an initial cohort of 30 teachers in August 2010 and will place 60 more over the following two years. Alabama also offers an array of certification approaches for qualified professionals who seek certification in school counseling, library-media, speech and language impaired, and career and technical education. Current teachers who hold a valid Alabama Professional Educator Certificate are able to earn certification in an additional teaching field after passing the Praxis II subject assessment test in the field for which they seek certification.

Alabama is aware that its alternative certification approaches comprise a patchwork of pathways, and coupled with the lack of an alternative pathway for principals, LEAs may not have ready access to pools of high-quality and effective teachers to teach STEM subjects and in high-need schools, and principals to turnaround low-achieving schools. The state is committed to addressing this issue and plans to employ a series of interrelated strategies over the next five years to ensure high-quality alternative certification programs expand the pool of promising non-traditional teacher and principal candidates.

iii. A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

Alabama does not currently have a formal system for monitoring, evaluating, and identifying areas of teacher and principal shortages and preparing educators to fill these vacancies. However, the State is committed to developing and implementing a system in order to ensure an adequate supply of effective teachers and principals to fill all vacancies across the state. Outlined below is the State's plan for improving and expanding alternative preparation programs, and additional detail is contained in Section (D)(4).

Vision		High-quality alternative certification programs for teachers and principals that consistently prepare promising non-traditional candidates to teach STEM or other hard-to-staff subjects and teach in and lead schools that serve high percentages of high-need students.
Strategies	1.	Evaluate existing alternative certification pathways and certificates based on quality and use; leverage outcomes to propose any necessary policy changes to the Alabama State Board of Education; streamline and strengthen existing pathways; and establish new programs for teachers to teach high-need students and STEM or other hard-to-staff subjects and principals to lead high-need schools.
	2	Partner with a consortium of existing teacher and principal preparation programs to create Alabama Teach Corps and Alabama Lead Corps—highly selective alternative certification programs that will recruit and prepare non-traditional teachers and principals to serve in high-need rural and urban schools; encourage colleges and universities to partner with the colleges of natural science at their institutions to establish STEM programs for undergraduates, career changes or current teachers who wish to teach in a STEM content area; focus the majority of alternatively certified teacher candidate recruitment and preparation on STEM or other hard-to-staff subject areas.
	3	Establish the Adjunct Scholars program, an adjunct teaching pathway that will permit distinguished professionals who possess content expertise in STEM or other hard-to-staff subject areas to teach in Alabama's schools.
	4.	Collaborate with a well-respected and effective national organization to establish a high-quality alternative program to prepare non-traditional principal candidates to teach in high-need schools.
	5	Annually evaluate teacher and principal alternative certification programs using individual graduate impact on student growth as the predominant measure of effectiveness; use the results to continuously improve and expand effective programs and eliminate ineffective programs.

	6.	Conduct an annual study of teacher and principal supply and demand to identify, monitor, and address staffing shortages; excesses; distribution, equity, and effectiveness. Use the data to forecast teacher preparation needs.
Goals		
	1.	By the end of school year 2011-2012, alternative certification pathways for teachers will be streamlined, all programs will use rigorous enrollment standards, and high-quality programs such as Teach for America will be expanded to at least one additional site. The Alabama State Board of Education will have adopted an alternative certification pathway for principals.
	2.	By the start of school year 2013-2014, at least two cohorts of teachers and leaders will have graduated from Alabama Teach Corps and Alabama Lead Corps.
	3.	By the start of school year 2013-2014, an adjunct certificate will be in place and 15% of STEM or other hard-to-staff positions will be filled by a Visiting Scholar.
	4.	By the start of school year 2012-2013, a high-quality alternative certification program to prepare principals to lead high-need schools will be operational and enrolling its first cohort of candidates.
	5.	Beginning with school year 2012-2013, teacher alternative certification programs will be evaluated annually using graduate impact on student growth. Beginning in school year 2013-2014 (after new programs begin to produce graduates), principal alternative certification programs will be evaluated annually using graduate impact on teacher effectiveness and student growth.
	5.	By school year 2014-2015, graduates of teacher and principal alternative certification programs will demonstrate graduate impact on student growth that is equal to or greater than the growth produced by graduates of traditional preparation programs.
	6.	By the start of school year 2012-2013, the state will use teacher supply and demand data to establish annual preparation goals for teacher and principal alternative certification programs and partner with preparation programs to determine enrollment goals for each program.

Conclusion

Alabama is committed to strengthening its current alternative approaches to preparation and establishing new programs to prepare effective teachers and principals to teach STEM and other hard-to-staff subjects, as well as work in hard-to-staff schools.

(D)(2) Improving teacher and principal effectiveness based on performance *(58 points)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice)—

(i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; *(5 points)*

(ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; *(15 points)*

(iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; *(10 points)* and

(iv) Use these evaluations, at a minimum, to inform decisions regarding— *(28 points)*

(a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;

(b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;

(c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and

(d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

(D)(2) Overview: Improving Teacher and Principal Effectiveness Based on Performance

Vision		Teacher and principal effectiveness, and by extension student achievement, will dramatically improve as a result of using data to improve performance, specifically through the design and implementation of a comprehensive evaluation system that includes both a formative and student growth component of teacher and principal impact on student achievement.
Strategies	1.	Develop a clear approach to measuring student growth and teacher and principal effectiveness in partnership with stakeholder groups, including teachers and principals.
	2.	Develop and implement credible evaluation systems for teachers and principals that include both formative and student growth components, and that result in an effectiveness measure for each educator; use student growth as the predominant criteria in determining effectiveness.
	3.	Build the capacity of principals using models, training and technical assistance, to conduct rigorous evaluations, provide meaningful feedback to teachers, and ensure the evaluation process is completed with integrity.
	4	Determine how student growth and teacher and principal effectiveness measures will be used to make key human resources decisions.
	5.	Create and implement a range of new policies and programs to ensure that evaluation data are used to inform key human resources decisions.
Goals		By December 2010, the State, in collaboration with ERIC, will develop clear approaches to measure student growth and teacher and principal effectiveness.
	2.	By the beginning of SY 2012-13, develop and implement credible evaluation systems for teachers and principals that are based on both formative and objective measures.
	3.	By the beginning of SY 2012-13, implement the first phase of evaluation training to ensure participating LEAs are able to implement the evaluation systems with fidelity.
	4.	By the beginning of SY 2011-12, determine how to use student growth and teacher and principal effectiveness measures to make key human resources decisions.
	5.	By the beginning of SY 2012-13, implement a range of new policies and programs to support the use of student growth and effectiveness measures in making key human resources decisions.

In May 2010 the Alabama State Board of Education (ALSBE) passed the Educator Effectiveness Resolution allowing the use of multiple and objective measures of student growth outcomes as the predominant factor for determining teacher and principal effectiveness. The resolution further stipulates that the Alabama State Department of Education (ALSDE) will form a committee, the Education Reform and Innovation Council (ERIC), comprised of ALSDE staff, teachers, principals and other stakeholders to determine the details of process, and charged them to

develop definitions of teacher and principal effectiveness, identify an approach to measure student growth, determine how to fairly and credibly measure teacher and principal effectiveness in tested and non-tested grades and subjects, and identify approaches that might be needed to systematically improve teacher and principal effectiveness across the state. (Appendix D3)

(D)(2)(i) Alabama will establish clear approaches to measure student growth and measure it for each individual student.

Under Alabama's recently adopted Educator Effectiveness resolution, student growth will be the predominant factor for determining teacher and principal effectiveness. ALSDE, in collaboration with a large and diverse advisory as well as working committee, will draft a definition for student growth. The definition will represent some level of change in learning for an individual student between two points in time, as well as any other measures that are determined to be objective, rigorous, and comparable. These same bodies, along with support from national experts, will also develop a transparent approach to measure student growth for each individual student. The State is committed to implementing a model that is proven to be valid, fair, reliable, and transparent beginning in SY 2012-13.

Combining credible measures of student growth with enhanced standards and high-quality assessments, for all grades and subject areas, will allow Alabama to objectively determine an individual teacher's effectiveness and, more importantly, use growth outcomes to help a teacher refine his/her instruction approach based on individual student need. Sections (B)(2) and (B)(3) articulate Alabama's approach to developing and implementing high-quality assessments to match enhanced standards, as well as the transition to using these new standards and assessments. Because these standards and assessments will cover only a portion of grades and subjects taught, the State will conduct a review of its content standards that cover non-tested grades and subject areas to ensure they are rigorous and appropriate. The State will then collaborate with the advisory committee and national experts to design assessments that transparently and objectively measure student growth in these additional areas.

ACES, the State's educational data system, is already structured to capture individual student growth and link it to individual teachers and principals. Alabama will enhance this system to incorporate the growth model for all grades and subjects. Student growth will be measured at least annually, and teachers and principals will have individual student data through an electronic data dashboard (See Section C for additional details on the data dashboard).

(D)(2)(ii) Alabama, in collaboration with the advisory committee, will design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that differentiate effectiveness using multiple rating categories and factor in student growth.

A steadily growing body of research proves that teachers have a greater impact on student growth than any other school-based factor. It has become increasingly clear that effective teachers and principals are the best and most practical solution to ensuring all students graduate from high school college- or career-ready. Alabama is committed to supporting all of its teachers and principals to maximize their potential and believes that rigorous, transparent, and fair evaluation systems that use multiple measures, including student growth, yield the necessary information to enable continuous professional improvement.

To that end, the State will employ a collaborative approach to redesign, refine, and enhance its evaluation systems. The State's recently adopted Educator Effectiveness resolution establishes the creation of an advisory committee to conduct the work. The committee, proposed to be known as the Education Reform and Innovation Council (ERIC), will be comprised of ALSDE staff, teachers, principals, and other stakeholders, with membership further by ALSDE and other stakeholder groups, including, but not limited to, the Alabama Education Association, the Alabama Association of School Boards,, the School Superintendents of Alabama, the Council for Leaders in Alabama Schools, and members from the Congress on School Leadership and the Commission on Quality Teaching, which includes all State Board of Education members. While ALSDE will be part of the discussion and generative body, there will also be professional staff

dedicated to supporting ERIC's work by conducting research, identifying and presenting best practices, organizing and facilitating meetings, engaging third-party expertise, and developing draft tools and resources to inform discussion and accelerate the work.

ERIC will first convene in the summer of 2010 and the committee will propose to the State Superintendent of Education definitions of teacher and leader effectiveness, a transparent approach to measuring student growth in tested and non-tested grades and subjects, and policies and practices that should be modified or adopted to ensure effective teachers and principals work in every classroom and/or lead each school. The State Superintendent of Education will examine the proposals and make any necessary adjustments before submitting them to the Alabama State Board of Education for review and adoption.

While ERIC will recommend the design of the comprehensive evaluation systems for teachers and principals, the Educator Effectiveness resolution requires that multiple and objective measures of student growth be the predominant factor in determining effectiveness. The State will recommend to ERIC that the evaluation systems include formative and student growth components, with the later used as the predominant factor in determining effectiveness.

The State will recommend to ERIC that the formative component for teachers resemble the newly designed EDUCATEAlabama assessment, which was piloted in SY 2009-10, with the expectation that further refinements be made for SY 2010-11. The State will also recommend that a similar formative component be developed for principals and build on the work conducted to date to create LEADAlabama.

As mentioned previously, the formative component will be complemented by multiple and objective measures of student growth. Together, these two inputs will yield an annual "effectiveness" score for each teacher and principal. At least four "effectiveness" rating categories will be used in order to truly differentiate teachers based on their effectiveness. The

State will recommend that the highest rating be reserved for those teachers and principals who realize extraordinary gains in student growth, and the second highest rating reserved for those who meet student growth goals. There should, at minimum, also be a rating to identify those teachers and principals who do not achieve student growth goals but produce evidence that progress is being made and another for those who consistently fail to produce student growth goals for multiple and consecutive years. Overall effectiveness ratings, and the appropriate evidence, will drive individual professional development for all teachers and principals. Those in the lower categories will receive additional support with the goal of moving them to a higher level in a reasonable amount of time.

As these evaluation systems are being developed, the State will seek alignment between the formative and student growth components. For example, classroom observations and content knowledge assessments will correlate to student growth scores. As with all systems of this nature, there will be a need to continuously monitor its effectiveness and make adjustments.

(D)(2)(iii) Teachers and principals that work in participating LEAs will be evaluated annually and will receive timely, constructive feedback.

Participating LEAs will be asked to use the formative and student growth components of the evaluation systems to conduct annual evaluations of teachers and principals and assign each an "effectiveness" rating. The main purpose of the evaluation systems is to improve student growth by providing teachers and principals with timely and constructive feedback to help them improve and refine their performance and engage in meaningful professional development that will help them maximize their potential.

As participating LEAs implement the new comprehensive evaluation systems, they must commit to ensuring all teachers and principals receive timely and constructive feedback throughout the

school year that is evidenced-based, as measured by both the formative and student growth components of the evaluation system. Each teacher and principal will also have access to their students' growth data through a data dashboard that provides real-time access to data.

The State anticipates that teachers and principals will need ample time and training to adjust to the new process. Identifying weaknesses, documenting their existence, delivering/accepting constructive feedback, connecting development needs to the appropriate supports, and incorporating new approaches into one's practice are difficult and time-consuming activities, yet they are necessary and paramount to improving student growth. The State, in partnership with ERIC, will design a comprehensive training module that participating LEAs can use to implement the new evaluation systems.

To ensure the systems are implemented with fidelity and accountability, participating LEAs will be responsible for effectively implementing the new systems and the State will encourage LEAs to establish annual improvement goals based on teacher and principal effectiveness. Because Alabama does not yet have a clear understanding of the distribution of teachers and principals by effectiveness level, it is impossible to recommend improvement goals. Once the new evaluation system is in place, each participating LEA will be required to use the baseline measure to set reasonable and achievable goals. The state will monitor the progress of participating LEAs in meeting their goals and will make this data available to the public, in aggregate, on the ALSDE website.

Alabama will pilot the new evaluation systems in participating LEAs at the beginning of SY 2012-13 and make refinements to the systems throughout the year. Beginning in SY 2013-14, these data will be used to inform key human resources decisions, as determined by ERIC.

(D)(2)(iv) ERIC, along with the state and participating LEAS, will explore how to use student growth and educator effectiveness data to inform key decisions.

The Alabama State Board of Education has charged ERIC to explore the use of student growth and teacher and principal effectiveness outcomes to make key human resources decisions related to professional development, compensation, promotion, retention, granting tenure, and removing ineffective performers.

(D)(2)(iv)(a) Use evaluation outcomes to develop teachers and principals.

Alabama already requires teachers and principals to align their professional learning with the teaching and leadership standards, respectively.

The new comprehensive evaluation systems will yield a more nuanced view of each educator's strengths and weaknesses, including the ability to pinpoint specific development areas. Having this detailed data creates an opportunity for more customized support and professional development. ERIC will determine the details of how these data will be used to align professional development to individual teachers and principals, and once determined, participating LEAs will be expected to use the data to continuously improve their workforce.

Moreover, the integration of teacher evaluation data into ACES will allow the State and participating LEAs to track the professional development activities of each teacher and principal by year and connect these activities to individual effectiveness ratings. To supplement the efficacy of the evaluation data provided by LEAs, the state will conduct an annual survey of teachers and principals who participate in state and federally funded professional development activities. Together, these data will allow the state to measure, by year and over time, the

efficacy of individual professional development offerings and providers, thereby informing which activities produce the desired results and which do not. The state will prepare an annual evaluation of professional development efficacy and provide the results to LEAs. LEAs can use the information to connect teachers and principals to high-quality professional development. The state will use the information to determine how to best invest state and federal professional development dollars, with the understanding that only those programs that demonstrate results will eligible for funding.

(D)(2)(iv)(b)(c)(d) ERIC will examine the use of effectiveness outcomes in making key human resources decisions.

Once the new evaluation systems are in place, participating LEAs will be able to identify which teachers and principals are most effective and which are not. The ASBE has empowered ERIC to explore the possibility of using effectiveness outcomes to make key human resources decisions and, if so, work to define how LEAs may use effectiveness measuring in determining compensation, promotion, retention, granting tenure, renewing certification, and dismissal.

Conclusion

Alabama is committed to improving student growth by investing in teachers and principals. The ASBE's recent adoption of the Educator Effectiveness resolution, and its declaration that student growth will be used as the predominant factor in determining teacher and principal effectiveness, is a necessary first step. The State, in collaboration with ERIC, will now begin to lay the groundwork for comprehensive and bold reform to ensure that all students are taught by an effective teacher and all teachers are led by an effective principal.

(D)(3) Ensuring equitable distribution of effective teachers and principals (25 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to—

(i) Ensure equitable distribution of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that students in high-poverty and/or high-minority schools (both as defined in this notice) have equitable access to highly effective teachers and principals at higher rates than other students (15 points) and

(ii) Increase the number of percentage of effective teachers (as defined in this notice) teaching hard-to-staff subjects and specialty areas including mathematics, science, and special education; teaching in language instruction educational programs (as defined under Title III of the ESEA) and teaching in other areas identified by the State or LEA. (10 points)

Plans for (i) and (ii) may include, but are not limited to, the implementation of incentives and strategies in such areas as recruitment, compensation, teaching and learning environments, professional development, and human resource practices and processes.

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes

will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (D)(3)(i)

- *Definitions of high-minority and low-minority schools as defined by the State for the purposes of the State's Teacher Equity Plan.*

Recommended maximum response length: Three pages

(D)(3) Overview - Ensuring equitable distribution of effective teachers and principals

Vision	All schools across the state, specifically those that serve high percentages of high-need students, will be staffed with a majority of effective teachers, led by an effective principal, and all STEM and other hard-to-staff subject areas will be taught by effective teachers.	
Strategies	1.	Develop a comprehensive equitable distribution plan to guide the State's work related to teacher and principal preparation, hiring, support, retention, and distribution.
	2.	Empower participating LEAs to implement the plan by equipping them with teacher and principal effectiveness data broken down by school, grade level, and subject area. Require LEAs to establish and implement local equitable distribution plans using tools and resources provided by the State. Hold LEAs accountable for meeting goals.
	3.	Conduct an annual teaching and learning conditions survey inclusive of all schools in participating LEAs and use the outcomes to help LEAs improve school environments.
	4.	Increase the number and percentage effective teachers teaching STEM and other hard-to-staff subject areas across the state.
Goals	**By the end of SY 2013-2014 Alabama will:**	
	1.	Increase the equitable distribution of highly effective and effective teachers and principals working in participating LEAs by at least 30 percent.
	2.	Prepare all teacher and principal candidates enrolled in traditional and alternative certification programs to effectively teach in high-need schools.
	3.	Prepare at least 30 percent of STEM and other high-need subject-area teachers through alternative certification programs.
	4.	Prepare at least 20 percent of principal candidates through alternative certification programs.
	5.	Award recruitment and retention bonuses to all highly effective teachers who teach STEM or other hard-to-staff subjects and/or in high-need schools, and principals who lead high-need schools; only in participating LEAs.
	6.	Increase the retention rate of highly effective and effective teachers and principals who serve high-need students by at least 30 percent; only in participating LEAs.
	7.	Improve the number of teachers and principals in participating LEAs who report dramatic improvements in their teaching and learning environment by at least 30 percent.

Alabama is committed to equitably distributing effective teachers and principals across all schools in the State and increasing the number and percentage of effective teachers teaching STEM and other hard-to-staff subjects. To that end, the State will pursue a comprehensive and multifaceted four-prong strategy to achieve its vision: (1) develop a comprehensive equitable distribution plan to guide the State's work related to teacher and principal preparation, hiring, support, retention, and distribution; (2) equip participating LEAs with teacher and principal effectiveness data broken down by school, grade level and subject area, and have LEAs to establish and implement equitable distribution plans; (3) conduct an annual teaching and learning conditions survey across all participating LEAs and use the outcomes to help LEAs improve school environments; and (4) increase the number and percentage of teachers teaching STEM and other hard-to-staff subject areas.

Alabama is capable of achieving equitable distribution in these ways as a result of the State Board of Education's recent adoption of a resolution that permits the use of multiple and objective measures of student learning outcomes to evaluate and support teachers and principals. (Appendix D3)

Moreover, the state will leverage recent enhancements made to its data system that enable the linkage of individual student learning outcomes to individual teachers and principals. This data, coupled with effectiveness outcomes, will allow the State to track distribution and make timely adjustments to meet its goals.

(D)(3)(i) Develop a plan to ensure the equitable distribution of teachers and principals, collaborate with participating LEAs on implementation, and improve teaching and learning conditions

Strategies 1 & 2: Develop a plan and empower participating LEAs to meet equitable distribution targets

Alabama realizes that simply tracking distribution by effectiveness and identifying inequities will not provide students with the effective teachers and principals they deserve. To ensure the equitable distribution of educators, the State will develop a comprehensive equitable distribution plan, update it annually, and use it to guide its work related to teacher and principal preparation, hiring, support, retention, and distribution. All aspects of the plan will center on an analysis of multiple and objective measures of what matters most—an individual educator's impact on student growth. These teacher and principal effectiveness outcomes will allow the state to pinpoint the distribution of teachers and principals by effectiveness level, and by LEA, school, grade level, subject area, and preparation program.

Participating LEAs will be empowered to help the State meet equitable distribution targets by establishing and implementing a local equitable distribution plan. The State will equip LEAs with teacher and principal effectiveness data broken down by school, grade level and subject area, as well as any necessary tools and resources. LEAs will be held accountable for meeting goals.

Recruitment – In collaboration with participating LEAs, the State will identify and forecast annual recruitment targets for teachers and principals, by geographic area, grade level, and subject area. This data will inform recruitment and enrollment goals for both traditional and alternative preparation programs. Traditionally teacher preparation programs will be encouraged as part of the redesign effort to build a pipeline of undergraduates to teach STEM and other hard-to-staff subjects. Programs that produce effective candidates will have access to scholarships to encourage the enrollment of high-potential undergraduate students. The State will collaborate with alternative certification programs to create a recruitment campaign that will attract high potential new graduates and career changers to education. The State will use RTTT funding to grant interest-free loans of up to $10,000 to promising teacher and principal candidates who enroll in an alternative certification program and commit to work in a hard-to-staff subject and/or a high-need school for three years.

Preparation - The State will use effectiveness data, disaggregated by preparation program, to partner with traditional and alternative preparation programs to continue to increase the pool of effective teachers and principals. Highly selective alternative certification programs like Alabama Teach Corp and Alabama Lead Corp will further be expected to prepare candidates to effectively work in high-need schools.

Selection, Hiring, & Staffing - Experience suggests that high-need LEAs and schools often lack the time and capacity to hire and place high-quality teacher and principal candidates. Yet this aspect of school staffing is fundamental in order to ensure the best match between teacher and principal candidates and positions. The State, with the help of one of its partners, will use RTTT funds to:

1. Develop a centralized staffing center to screen and connect promising teacher and principal candidates, and effective veterans, to positions that match their qualifications, interests, and preferences.
2. Monitor participating LEA and school vacancies.
3. Facilitate the use of attractive recruitment and retention bonuses to attract highly effective teachers and principals to high-need schools.
4. Ensure equitable distribution of effective teachers and principals.
5. Provide support to participating LEAs or schools that need help to implement effective hiring and staffing practices.
6. Provide superintendents and principals with tools and resources to accurately forecast vacancies and effectively staff their schools.
7. Train superintendents and principals to use these tools and resources to identify, screen, and hire promising and effective teachers and principals.

Support – As part of the State's evaluation training efforts, teachers and principals will be knowledgeable about using effectiveness outcomes, as measured by the evaluation system, to improve performance. Participating LEAs will develop a plan to improve the effectiveness of

teachers and principals and ensure that high-need students are served by effective educators at the same or greater rates than non high-need students. The State will monitor participating LEAs' progress and hold them accountable for moving teachers and principals to the upper levels of effectiveness, improving the effectiveness of underperformers, removing those deemed ineffective after receiving ample opportunities to improve, and meeting distribution goals. The State will provide technical assistance as needed.

Retention & Distribution – Using effectiveness outcomes as measured by formative evaluations and student growth and provided by the new data dashboard, participating LEAs will be able to accurately identify highly effective and effective teachers and principals and their distribution. LEAs must develop a plan to retain and equitably distribute these individuals, specifically those working in high-need schools and those teaching STEM or other hard-to-staff subjects. The State will provide participating LEAs with resources and tools to help them implement their plans, including:

1. Provide competitive grants to implement new compensation systems that will recognize, reward, and retain highly effective teachers and principals. The State does not believe in a one-size-fits-all approach to compensation reform and will, therefore, encourage LEA creativity in designing systems. Assuming the development and piloting of multiple models, the State and other LEAs can learn from these initiatives and replicate them as appropriate.
2. Professional Pathways to Support Quality Teaching in Alabama, a career pathways model currently in development, will provide effective teachers with an array of options to expand their roles and reach without completely surrendering their teaching responsibilities. These opportunities are as varied as mentoring other teachers or leading a special project to improve instructional practices and student growth.

Strategy 3: Teaching and Learning Conditions

As much as student growth is the predominant measure for determining teacher and principal effectiveness, a professional and supportive school environment is important to teacher and principal success. Alabama will partner with a qualified provider to administer an annual teaching and learning conditions survey of both teachers and principals, and inclusive of all schools in participating LEAs. Results and recommendations will be provided to LEAs and the State will offer technical assistance as needed to help LEAs transform or improve school environments, retain effective educators, and, ultimately, ensure all of Alabama's public schools are attractive places to work.

(D)(3)(ii) Increase the number and percentage of effective teachers teaching STEM and other hard-to-staff subjects

Realizing effective teachers matter so greatly, there is an imperative that principals, regardless of subject area, are able to staff their schools with high-quality teachers, that they support teachers to improve their effectiveness, and that they retain their effective performers. Overall, Alabama schools suffer from a limited supply of effective teachers in math, science, and special education, while urban and rural schools experience shortages in additional subject areas.

In recent years, Alabama has made progress in addressing shortages of effective teachers by advancing the knowledge and skills of existing math and science teachers by leveraging a variety State initiatives and partnerships with non-profits and other entities. See STEM section for additional detail. Yet, the State is committed to doing more and will use RTTT funds to advance the work.

Strategy 4: Alabama will increase the number and percentage effective teachers teaching STEM and other hard-to-staff subject areas across the state.

To ensure all students are taught by effective teachers regardless of subject area, and that principals have access to pools of promising and effective teacher candidates and the necessary tools to improve the effectiveness of existing teachers, specifically those who are qualified to teach STEM or other hard-to-staff subjects, participating LEAs, in partnership with the State, will:

1. Analyze human resources data to identify the number and percentage of teachers teaching STEM, special education, and other hard-to-staff subjects.
2. Use this data to forecast teacher preparation needs by subject area and grade level and collaborate with traditional and alternative teacher preparation programs to establish preparation goals.
3. Use Alabama Teach Corp to prepare effective teachers to quickly address critical shortage areas.
4. Expand Teach for America with a focus on preparing teachers to teach STEM, special education, and other hard-to-staff subjects.
5. Provide financial and career path incentives to attract promising new teachers to teach STEM or other hard-to-staff subject areas in high-need schools.
6. Provide financial and career path incentives to facilitate the redistribution of qualified and effective teachers within and across LEAs.
7. Use financial and career path incentives to retain effective teachers within LEAs.
8. Leverage current initiatives and partnerships to enhance the skills of existing STEM teachers (For additional detail see STEM).
9. Improve the effectiveness of underperforming teachers already teaching STEM, special education and other hard-to-staff subjects.

Conclusion

In short, implementing these four strategies outlined on the preceding pages simultaneously will help the State and participating LEAs meet effectiveness distribution goals. Long term, they will ensure adequate numbers of effective teachers qualified to teach all subjects, especially STEM and other hard-to-staff subjects, build capacity to equip LEAs to make strategic human capital decisions and attract and retain top performers, foster a culture of high expectations, and build a sustainable structure to continuously improve student growth.

(D)(4) Improving the effectiveness of teacher and principal preparation programs ***(14 points)***

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

(i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and

(ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: One page

(D)(4) Overview—Improving the Effectiveness of Teacher and Principal Preparation Programs

Vision	Every preparation program in the state—both traditional and alternative certification--will consistently prepare effective teachers and principals as measured by student growth.	
Strategies	1.	Link student growth data to individual teacher and principal effectiveness outcomes and to educator preparation program; use the data to evaluate program effectiveness; expand successful programs, improve less successful programs, and eliminate unsuccessful programs.
	2.	Redesign teacher preparation programs with a focus on effectiveness, and establish an alternative preparation program to produce effective principals to turn around high-need schools in urban and rural areas.
Goals	**By the end of SY 2013-2014 Alabama will:**	
	1.	By September 2011, Alabama will have a fully functional data system that will enable the assessment of teacher and leader preparation programs based on their graduates' student growth data and/or effectiveness data.
	2.	By September 2012, the State will use teacher and principal effectiveness outcomes to measure preparation program effectiveness, and post the data in aggregate and by preparation program.
	3.	By the beginning of SY 2013-2014, at least 15 teacher preparation programs will begin to enroll and prepare teacher candidates using their respective redesigned approaches.
	4.	By the beginning of SY 2012-2013, an alternative certification program for principals will begin preparing non-traditional candidates to turn around high-need schools.

Alabama envisions high-quality teacher and principal preparation programs that consistently prepare effective teachers and principals as measured by student growth. The State will employ two strategies to achieve this vision: (1) link student growth to individual teacher and principal effectiveness and use the data to improve preparation and (2) redesign teacher preparation programs with a focus on effectiveness and establish an alternative preparation program to prepare principals to effectively turn around high-need schools in urban and rural areas.

(D)(4)(i) Link individual student growth data to students' teachers and principals, as well as to preparation program, and use the outcomes to make decisions.

Alabama will leverage recent enhancements made to ACES, the State's educational data system, that enable the linkage of individual student learning outcomes to students' teachers and principals, and individual teachers and principals to the programs that prepared them for credentialing. With the new policy that permits the use of student growth to evaluate teachers and principals and additional improvements to ACES, Alabama will be able to determine the effectiveness of teachers and principals by preparation program. This information will be publically reported on a new section of the Alabama State Department of Education website, which will show, in aggregate, the effectiveness ratings of graduates of each in-State traditional and alternative preparation program. Browsers can opt to view the aggregate distribution of ratings for all graduates as well as by graduation year, grade level taught, and subject area. LEAs, in particular, can use the data to identify the most successful programs and inform hiring strategies.

The State will maintain more detailed information on individual teacher and principal effectiveness, including outcomes from EDUCATEAlabama and LEADAlabama, and make it available to the leadership of each preparation program. The ALSDE's Office of Data, Research, and Accountability will produce an annual report that will highlight each program's apparent strengths and weaknesses based on effectiveness data. For example, a particular program may produce a large number of graduates who consistently achieve greater than one year of student growth in math, while another may produce a large number of graduates whose students consistently achieve only a half year of growth in reading. This data will allow preparation programs to link the effectiveness of their graduates with their own data (e.g., GPA, demographics, course load, course selection) to identify patterns that most often correlate to future effectiveness.

Once the State has credible and detailed data on preparation program effectiveness, it will use the data to encourage programs to address their specific weaknesses. While the state expects all preparation programs—both traditional and alternative certification—to sufficiently address their areas of weakness, such action will be crucial for those programs close to or undergoing accreditation review. Preparation program leadership must demonstrate that the weaknesses have been addressed, or that the program has a reasonable plan for improvement. Otherwise, the

program will risk losing its accreditation in some or all areas. Alternative certification programs that demonstrate the same weaknesses two years in a row risk losing their ability to prepare candidates in some or all areas the following year.

(D)(4)(ii) Redesign teacher preparation programs with a focus on effectiveness, and expand preparation programs that produce effective principals.

Alabama recently redesigned all 13 of its leadership preparation programs to ensure program alignment with the Alabama Standards for Instructional Leaders. This collaborative effort involved not only the preparation program providers, but also the LEAs they serve. As a result, these programs prepare leaders to meet both the rigorous and comprehensive instruction leadership standards and the practical challenges of leading a school. The first cohort of students enrolled in these programs in fall of 2009 so it is too soon to determine the impact of the changes on student growth. However, the collaborative approach is so successful as judged by individual and institutional feedback that the State will replicate it to redesign traditional teacher preparation programs.

There are currently 27 traditional teacher preparation programs in Alabama and 17 alternative certification programs, with each preparing teachers to teach a range of grade levels and subject areas. Because the state currently lacks a comprehensive and credible approach to measure graduate effectiveness, there is no reliable indicator to determine which programs produce the most effective teachers, and which do not. Those programs that demonstrate the commitment and capacity to undertake redesign, as demonstrated through a competitive grant process administered by the ALSDE, will be awarded the necessary funding to complete the initiative. The State will allocate $2 million of Race to the Top funds over a two-year period to finance the effort. Grants will be available to qualified traditional and alternative preparation programs that commit, at a minimum, to:

1. Require high standards for admission, including a minimum 3.0 GPA.
2. Align curriculum to the Alabama Teaching Standards.

3. Ensure a rigorous academic experience for all program participants.
4. Develop effectiveness requirements and a process for measuring achievement before recommending the participant to the State for certification.
5. Teach program participants to interpret and apply data to improve their practice.
6. Prepare students to effectively teach in high-need schools and provide evidence that demonstrates this.
7. Ensure high-quality and frequent clinical experiences.

ALSDE will develop the specific application criteria and selection process and partner with external reviewers to score the proposals. The Alabama State Superintendent of Education will have final approval over the grant awards.

Redesigned preparation programs and their components will be subject to the review and approval of ALSDE before they can they can begin to implement changes. Alabama believes it is not too soon to implement well thought out and necessary changes to preparation programs. ALSDE will therefore permit preparation programs to phase in changes, i.e., programs can propose and implement changes throughout the two-year redesign process as long as they are reviewed and approved by the State Board of Education.

Teacher preparation programs that choose not to participate in the redesign process, or do not receive a grant award, will continue to be evaluated based the effectiveness of their graduates.

In Years 2 and 3 of the Race to the Top grant, assuming adoption of a resolution to establish alternative certification for principals, Alabama will allocate $200,000 total to fund the establishment of an alternative preparation program for principals. The money will be available to any Alabama college or university, or a qualified third-party provider, with a proven track record of effectiveness. This program must focus on preparing non-traditional candidates to effectively turn around high-need schools in urban and rural areas. Similar to the teacher

preparation redesign grant process, ALSDE will develop the specific application and selection process and partner with external reviewers to identify the top contenders. The Alabama State Superintendent of Education will have final approval over the grant awards.

Conclusion

Recent and forthcoming enhancements to ACES, coupled with the use of student growth to measure teacher and principal effectiveness, enable Alabama to significantly strengthen teacher and principal preparation programs. As teacher preparation programs undergo and implement the redesign effort, the State will capture best practices and share them with all preparation programs to foster a culture of ongoing improvement. Additionally, the use of data will allow the State to determine the strengths and weaknesses of its recently redesigned principal preparation programs and make the necessary adjustments to existing programs, as well as inform the development of an alternative certification program for principals.

(D)(5) Providing effective support to teachers and principals (20 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for its participating LEAs (as defined in this notice) to—

(i) Provide effective, data-informed professional development, coaching, induction, and common planning and collaboration time to teachers and principals that are, where appropriate, ongoing and job-embedded. Such support might focus on, for example, gathering, analyzing, and using data; designing instructional strategies for improvement; differentiating instruction; creating school environments supportive of data-informed decisions; designing instruction to meet the specific needs of high-need students (as defined in this notice); and aligning systems and removing barriers to effective implementation of practices designed to improve student learning outcomes; and

(ii) Measure, evaluate, and continuously improve the effectiveness of those supports in order to improve student achievement (as defined in this notice).

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length: Five pages

(D)(5) Overview –Providing effective support to teachers and principals

Vision	Teachers and principals in Alabama will engage in data-informed, standards-based professional development and support that will continuously improve their effectiveness and ensure a positive impact on student learning outcomes.
Strategies	1. Ensure professional development that is appropriate and relevant by providing schools/LEAs with alternative comprehensive models to use in building their own standards-driven approach to professional learning. 2. Ensure that professional development and support is informed by data and evidence and that schools/LEAs receive the assistance and support to implement a data-driven system that results in learning and growth for teachers and principals. 3. Create a professional development and support system to consistently evaluate and certify programs so that schools/LEAs can make development decisions using program effectiveness data. 4. Establish professional development and support assistance processes that will assist LEAs in organizing, managing, and evaluating the effectiveness of teachers and principal professional development and support.
Goals	1. All participating systems will design a comprehensive, coherent, data-informed approach to professional development for teachers and principals. 2. By the end of 2013-14 school year increase the percentage of effective teachers and principals by 20% above baseline. 3. By the beginning of the 2012-13 school year, use data to inform the approval of 100% of formalized and designed professional studies/development offerings. 4. Beginning in the 2010-11 school years, 100% of new principals will participate in The Alabama New Principal Mentoring Program. 5. Beginning in the 2010-11 school year, 100% of new teachers need to complete goal 6. By the 2013-14 school year, implement Professional Pathways for Alabama Teachers in a minimum of one-third of the LEAs in the State

The impetus for Alabama's professional learning and support system is to ensure that *every* Alabama teacher and leader has access to high-quality professional development and assistance designed to improve their ability to teach all students well so that a continually increasing number of students graduate from high school college- and/or career- ready. The intent is to support individuals at all levels—State, system, school, and individual educator—in the use of data to inform the design and evaluation of professional development. The commitment is to provide *every* teacher and leader in the State with standards-based, job-embedded opportunities to continually improve their practice and effectiveness as defined by Race to the Top guidelines and provided in Alabama's definitions of educator effectiveness.

The State and local systems will work collaboratively to design and implement a comprehensive, coherent, research- and data-informed system of professional development in each of the 132 systems within the State. The figure below graphically depicts the comprehensive system we envision for each teacher.

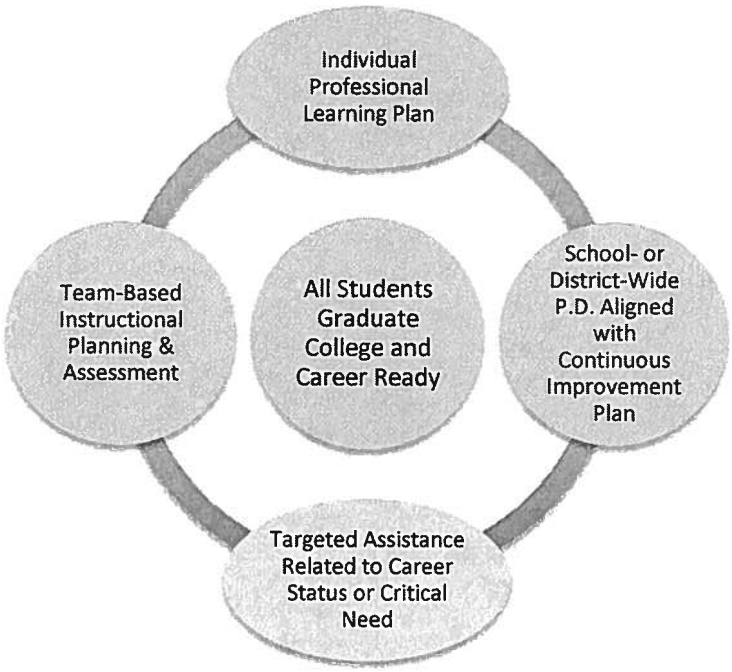

Figure D-5-1, Comprehensive Professional Development & Support for Teachers

System and school leaders will provide a system of wrap-around supports for ongoing teacher learning to include: (1) coaching in use of student achievement and teacher evaluation data to design, monitor, and assess the impact of learning; (2) creation of schedules that provide protected time for team-based planning and assessment; (3) regular conduct of classroom observations to provide teachers with formative feedback on progress; and (4) creation of a schoolwide culture for learning.

The State's focus will be upon (1) developing system and school leaders who can provide the support needed for effective operation of the system; (2) collecting, analyzing, and providing technical assistance in the use of data required for system operation; (3) implementing Professional Pathways for Alabama Teachers to increase the capacity of local systems/schools to implement job-embedded learning and support for teachers at all career and skill levels; (4) building upon the successes of the Alabama Reading Initiative and the Alabama Math, Science, and Technology Initiative to provide targeted supported in these critical content areas; (5) implementing The Alabama New Principal Mentoring Program and adding value to the Alabama Teacher Mentoring Program, especially in low-performing schools; and (6) providing models of comprehensive systems and technical assistance to LEAs in support of this effort.

Principal development is essential to the attainment of reform goals presented in this proposal, particularly to the development of teacher effectiveness. One important outcome of the work of the Governor's Congress on School Leadership (see Appendix D4 for Final Report of Congress) was the establishment of the Alabama Council for Leadership Development, which currently solicits and approves professional studies for leaders that are aligned to the Alabama Standards for Instructional Leaders and the Alabama Professional Development Standards (https://www.leadershipalsde.com). Coordinated by staff of the ALSDE's Leadership and Evaluation Section, the Council currently has a process for evaluating professional studies for leaders. The intent is to ratchet up the Council's use of data in both the identification of priority needs for professional studies and evaluation of program effectiveness. Additionally, the ALSDE's Leadership and Evaluation Section will work with stakeholder groups to provide a coordinated, systemic program of principal development, with particular emphasis upon principals of high-poverty, low-achieving schools.

(i) Providing effective, data-informed professional development and support to teachers and principals

Figure D-5-1, *Comprehensive Professional Development & Support for Teachers*, displays four critical components of a comprehensive, job-embedded, ongoing system for teacher learning. To ensure the effectiveness of each component, we propose a tri-level support system that represents a coordination of efforts from State, system, and school leadership. Figure D-5-2, *Tri-level Support for Teacher Development*, displays how we will work to promote data-informed decision-making regarding each of these components within a school culture that supports success.

Activity 1. *Assist LEAs/schools in designing a comprehensive professional development plan.* The comprehensive teacher professional development plan offers a coherent approach to planning, supporting, and monitoring implementation of four critical areas of teacher professional learning. As illustrated in Figure D-5-2, *Tri-level Support for Teacher Professional Development*, the State will collaborate with each local system to provide support to school principals that will enable them to lead this effort.

Activity 2. *Design, Field-test, and Implement Professional Pathways.* Local schools and systems do not currently possess the capacity to deliver the targeted assistance described. In the short term, the State (and large systems) will work with school principals to ensure that appropriate assistance is provided for "high-priority improvement plans" (i.e., those targeting teachers in the developing and ineffective categories based upon evaluations). Over time, however, the State plans to develop teacher leadership capacity to assist in this area. The Governor's Commission on Quality Teaching recognized the need for school- (and system-) based expertise in coaching, curriculum, assessment, instructional design, and related areas. To address this need (and to provide opportunities for career advancement for highly effective teachers), the Commission designed a framework for Professional Pathways for Alabama Teachers that was subsequently adopted by the Alabama State Board of Education. Using Race to the Top funds to jump-start the piloting and field-testing of the process, the State intends to repurpose State funds to implementing a refined version of this framework in all systems.

COMPONENT OF TEACHER P.D.	SCHOOL SUPPORT	SYSTEM SUPPORT	STATE SUPPORT
Data-Informed Professional Learning Plan	Principal collaborates with teachers to create PLPs that address needs identified through summative and formative evaluations	Central office staff provide assistance to principal in data analysis and in identification of resources to address evidence-based needs	State operates the SLDSII, providing data to system & school leaders and teachers in data retrieval and usage. State operates Alabama Learning Exchange, online professional development & resource repository.
Team-Based, Collaborative Learning	Principal creates a school schedule that provides collaboration time for teachers within the regularly scheduled school day on at least a weekly basis. Principal ensures that each team has leadership and structures in place to use this time for planning curriculum, instruction, & assessment.	LEA makes collaborative planning a programmatic and budgetary priority. Central office staff support vertical and horizontal teams as needed.	State provides model schedules for creating time for teamwork. State provides literacy and math/science coaches to assist teams in these content areas in data analysis and planning. State begins to fund Professional Pathways positions to build system & school capacity.
School-/District-Wide Training Aligned with Continuous Improvement Plan	Principal works with Continuous Improvement Committee to develop school improvement goals and to identify effective professional development to address these needs.	Central office staff support continuous improvement planning process; assist in identifying effective, high-quality professional development offerings; and serve as link between schools & State in collection of evaluation data on P.D. offered.	State seeks professional development offerings in identified areas of need and assesses proffered programs as to their effectiveness & alignment with Alabama Quality Teaching Standards & State P.D. Standards.
Targeted Assistance for Individuals at (1) Different Career Stages & with (2) Ineffective or Developing Status within the Effectiveness Spectrum	(1) Principal ensures that every first-year teacher is matched with a highly effective, trained mentor and provides time for mentoring during the school day. (2) Principal prescribes a "high-priority improvement plans" for developing & ineffective teachers; monitors teacher's implementation of	(1) Central office mentor liaison ensures that every mentor within the system receives high-quality training; liaison monitors mentoring activities. (2) Central office staff provide resources and technical assistance to principal in delivering and monitoring "high priority plans for	(1) State funds the AL Teacher Mentoring Program and provides ongoing training-of-trainers for mentors as well as high-quality modules for use by mentor and assigned first--year teacher. (2) State funds Professional Pathways positions to provide on-site assistance

	plan and progress toward meeting goals.	improvement"	for implementation of "high-priority improvement plans."

Figure D-5-2, Tri-Level Support for Teacher Development

Activity 3. *Implement The Alabama New Principal Mentoring Program.* The Leadership and Evaluation Section within the ALSDE has developed, in collaboration with the Southern Regional Educational Board and principals of The Torchbearer Schools (Alabama's high-performing, high-poverty schools), The Alabama New Principal Mentoring Program, and supporting training modules. We will use Race to the Top funds to augment State dollars to implement this best practice program. The State will also rigorously evaluate the impact of this mentorship on principal performance.

Activity 4. *Add value to Alabama Teacher Mentoring Program in high-poverty, low-achieving systems/schools.* As a result of the work of the Governor's Commission on Quality Teaching, the State implemented a teacher mentoring program for all first-year teachers during the 2007-08 school year. The original design included plans for a cohort-oriented second and third years as appropriate for novice teachers. Because of recent budgetary constraints, this component has not been funded. During Year 1 of the teacher mentoring program, the State supported training-of-trainers to system mentor liaisons. Again, because of budgetary constraints, the face-to-face component of this training has not been funded during the past two years. The State proposes to activate these program components in high-poverty, low-performing schools with Race to the Top funds. The commitment is to offer these services to all systems when State funding allows.

Activity 5. *Continue to use ARI and AMSTI to provide professional development in all schools in literacy, math, science, and technology.* The ALSDE will build upon past successes in providing statewide assistance in literacy (through the Alabama Reading Initiative), math, science, and technology (through the Alabama Math, Science, and Technology Initiative). Both of these nationally-recognized initiatives incorporate research-based professional development,

data team meetings, coaching, and job-embedded training in use of research-based instructional materials. These initiatives assist every school system within the State in addressing these critical content areas. These initiatives continue to provide direct assistance in the important areas of literacy, math, science, and technology to all schools within the State, thereby supporting school-wide professional learning.

Activity 6. *Develop capacity of educators to use dashboards produced by the State Longitudinal Data System II.* Critically important to the operation of this comprehensive system is easy access to student achievement and individual and collective effectiveness data by educators accessed and used on an as-needed basis by all educators. Developing the capacity of educators to use this system efficiently and effectively is critical to the success of goals for (D)(5) and for other goals presented in this proposal. Hence, Race to the Top funds will be used to provide training in use of this new system to educators at all levels.

Activity 7. *Provide high-quality leadership development to principals.* Effective leaders are essential to the attainment of all reform goals set out in this proposal. Hence, leadership development will be priority. The infrastructure for principal development exists. Not only does the ALSDE's Leadership & Evaluation Section operate the Alabama Council for Leadership Development and The Alabama New Principal Mentoring Program, it has been successful in operating Principal Academies over the past six years. In addition, it has also identified high-poverty, high-performing *Torchbearer Schools* and is endeavoring to isolate effective practices in use in these schools that can be replicated by others. With Race to the Top funding, we will ensure that principals of low-achieving, high-poverty schools receive ongoing professional development that will assist them in turning around their schools. Additionally, the State will "fill the gap" in providing development and support that will enable school principals to manage effectively all four components of the comprehensive teacher professional development system.

The vision is to design and continually improve learning experiences and other supports to provide every teacher and leader in Alabama with the opportunity to become increasingly effective. When evaluation data reveal that a teacher or principal is not meeting the specified standards of effectiveness, the state will provide technical assistance to the system or school leader responsible for delivering intensive and targeted support to the underperforming individual. In the event that a teacher does not meet performance goals within a specified, yet-to-be determined amount of time, the teacher dismissal process will be triggered.

(ii) Measuring, evaluating, and continuously improving the effectiveness of those supports in order to improve student achievement

The previous sub-section details ways in which Alabama proposes to support LEAs in developing teachers and principals so that their performance will have the expected impact on student learning and achievement. In order to ensure high-quality professional development and support, the state will coordinate data collection at multiple levels to ensure that all parties to this endeavor engage in progress monitoring and continuous improvement based upon formative feedback.

Activity 1. *Collaborate with LEAs to use the professional development standards to guide the professional learning opportunities and a committee will be established to develop guidelines and evaluation information...the impact of professional development offerings on improvement of educator practice and, through this, to increases in student achievement.* The State will work through practitioners to ensure that the evaluation process is efficient and user-friendly and that it does not impose a burden on individual educators. The process will be field-tested and refined based on evaluative feedback.

Activity 2. Collect and disseminate data on the performance of LEAs and schools in developing teachers and principals, as reflected in improvements in summative evaluation reports. The State will hold itself and LEAs accountable for developing teachers and principals; therefore, we will collect and publish data on the performance of LEAs, schools, and SDE programs, when appropriate, in developing teachers and principals, as reflected in summative evaluation ratings.

(E) Turning Around the Lowest-Achieving Schools (50 total points)

(E)(1) Intervening in the lowest-achieving schools and LEAs *(10 points)*

The extent to which the State has the legal, statutory, or regulatory authority to intervene directly in the State's persistently lowest-achieving schools (as defined in this notice) and in LEAs that are in improvement or corrective action status.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (E)(1):

- *A description of the State's applicable laws, statutes, regulations, or other relevant legal documents.*

Recommended maximum response length: One page

(E)(1) Alabama's ability to intervene in the lowest-achieving schools and LEAs

The Code of Alabama (§16-6B-3 and §16-6B-6) provides the Alabama State Board of Education (ASBE) substantial capacity to intervene directly in the State's persistently lowest-achieving schools and in LEAs, including those where a majority of students in a school or schools in an LEA score one or more grade levels below the prescribed norm, or that are in improvement or corrective action status. State law requires the ASBE to have a comprehensive plan for intervention and outlines three components that the ASBE must include in its plan for turning around these schools and/or LEAs. Specifically, the ASBE must: (1) designate an approach for school and/or LEA staff, as well as local stakeholders, to explore the problem and develop steps for improvement; (2) if the first approach fails to demonstrate improvement, identify a process for the State to explore the problem with input from local stakeholders and make recommendations that must be part of the school or system improvement plan the following year; and (3) if insufficient progress or no improvement is made after Year Three, the State must intervene by appointing new leadership to a school or assuming day-to-day operations of an LEA. (Appendix E1, Legal Code: §16-6B-3 and §16-6B-6.)

As such, the ASBE created a comprehensive plan, also known as the Rewards and Interventions Plan, that organizes academic standards, assessments, and accountability into a single system that applies to all schools and LEAs without regard to their Title I status. All LEAs and schools are subject to the state's definition of Adequate Yearly Progress (AYP) for achievement of all students, regardless of subgroup, and all are identified for rewards and interventions using the same criteria.

Moreover, the plan thoroughly articulates an approach to intervene directly in the State's persistently lowest-achieving schools as defined in the Race to the Top guidelines and in LEAs that are in improvement, corrective action, or restructuring status. The plan outlines the system of support provided by the State, an approach and criteria that schools and LEAs should use to develop an improvement plan, a detailed account of the various actions available to schools and LEAs that fail to make progress toward their goals two years in a row, and a prescriptive approach to addressing and improving student growth when a school or LEA is placed in corrective action or restructuring. (Appendix A9, Alabama State Department of Education, Rewards and Interventions Plan.)

District and School Support description from R& I:

State Support Team

Local school systems identified for LEA Improvement and those with schools identified for Year 3 or more of School Improvement are required by the SDE to hire **school improvement specialists**. LEAs identified for improvement are required by NCLB to reserve funds for professional development, and these funds may be applied to hiring these specialists, if appropriate.

Support for local school systems is provided by **regional school improvement coaches** who are part of the statewide system of support. A regional school improvement coach is assigned to work in each of the state's 11 in-service regions. These coaches work with local school systems to build their capacity to support all schools; however, focused support is provided to LEAs that have schools identified for improvement. Regional school improvement coaches support LEA school improvement specialists through ongoing, comprehensive training, and consistent communications about school improvement strategies.

Support for schools as identified are provided by Peer Mentors. A Peer Mentor is assigned to work in schools in multiple years of school improvement (*School Improvement Year 4 – Plan for Restructuring* or greater.)

(E)(2) Turning around the lowest-achieving schools *(40 points)*

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

(i) Identify the persistently lowest-achieving schools (as defined in this notice) and, at its discretion, any non-Title I eligible secondary schools that would be considered persistently lowest-achieving schools (as defined in this notice) if they were eligible to receive Title I funds; and (5 points)

(ii) Support its LEAs in turning around these schools by implementing one of the four school intervention models (as described in Appendix C): turnaround model, restart model, school closure, or transformation model (provided that an LEA with more than nine persistently lowest-achieving schools may not use the transformation model for more than 50 percent of its schools). (35 points)

The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (E)(2) (please fill in table below):

- *The State's historic performance on school turnaround, as evidenced by the total number of persistently lowest-achieving schools (as defined in this notice) that States or LEAs attempted to turn around in the last five years, the approach used, and the results and lessons learned to date.*

Recommended maximum response length: Eight pages

(E)(2) Alabama's approach to turning around its lowest-achieving schools and boosting the performance of all other schools

Vision	Alabama will further develop and refine its Rewards and Interventions Plan and consistently use it as a guide to effectively recognize high-performing schools and improve low-achieving schools.	
Strategies	1.	Create a Reformation School System (RSS) for those schools that meet the State's definition of persistently low-achieving (PLA) and are not awarded a School Improvement Grant as determined by the State Superintendent.
	2.	Identify the State's PLA schools and select a subset (cohort) to enroll in the RSS in Year 1 and another in Year 2.
	3.	Successfully implement one of four school intervention models—Turnaround, Restart, Close, or Transform— in the RSS schools.
	4.	Partner with carefully selected organizations and experts that have a proven record of success in turning around low-achieving schools.
	5.	Provide RSS and Restructuring schools with a pool of high-quality and effective teacher and principal candidates with the proven ability to successfully work in low-achieving schools.
	6.	Equip RSS school leadership with the capacity for continued/sustained improvement beyond the terms of school intervention period.
	7.	Implement an Innovation School System (ISS) model to promote innovation and advanced achievement in schools/systems that are currently meeting or exceeding accountability requirements.
Goals	**By the end of SY 2013-2014:**	
	1.	All current PLA schools will implement a school intervention model, with one cohort beginning in SY 2010-11 and another in SY 2011-12, and at least 60 percent will have advanced to the Alabama Quality Schools category.
	2.	A survey of the RSS principals will indicate that at least 70 percent of them believe they have the capacity to sustain successful reform at the conclusion of the five year intervention period.
	3.	ALSDE will have the capacity and expertise to continue to successfully intervene and reform low-achieving schools.
	4.	At least six LEAs will implement an ISS model and all of them will demonstrate advanced achievement as a result of the flexibility provided by the model.

(E)(2) Overview

At the core of Alabama's educational improvement plan is the belief that all students are entitled to a high-quality public education and that each one of them graduates from high school college- and career-ready. This, Alabama believes, is the greatest civil right of the 21st Century. Yet the State's public schools graduate 65 percent of students who enter high school and 264 schools meet the definition of persistently lowest-achieving. These indicators suggest that Alabama can do better and the State has established a plan for doing so. To that end, Alabama will employ a bold approach to ensure all students receive the high-quality educational experience they rightfully deserve. Based on this belief, Alabama will leverage past successes of turning around low-achieving schools and add to that experience new structures of innovation, intervention, and support.

(E)(2)(i) Alabama's ability to identify its persistently lowest-achieving schools, regardless of Title I status, and classify all schools by achievement level

Alabama recently developed a definition for persistently lowest-achieving schools[3] that was approved by the U. S. Department of Education as well as established a process for categorizing these schools into one of three tiers—Tier 1, Tier 2 and Tier 3 schools.

- Tier 1 schools are the persistently lowest-achieving five Title I schools currently in improvement, corrective action, or restructuring. Title I-eligible, both served or not served, elementary schools that are lower performing than the bottom five Title I schools, as determined by the three-year cumulative percent of students scoring at proficient or above on Alabama's approved assessments and Title I high schools with a graduation rate less than 60% for the last three years. In SY 2009-10 Alabama had 39 schools in this category.
- Tier 2 schools are Title I-eligible secondary schools that are the persistently-lowest achieving five non-Title I high schools, Title I eligible, both served not served, secondary schools that are lower performing than the bottom five Title I eligible, but not served, secondary schools, based upon the three-year cumulative percent of students scoring at Levels 3 and 4 on Alabama's approved assessments, and non-Title I high schools with a graduation rate less than 60% for the last three years. In SY 2009-10 Alabama had six schools in this category.
- Tier 3 schools are any remaining Title I schools in school improvement, corrective action, or restructuring status that are not identified in Tier 1, or any remaining elementary and secondary schools, served and non-served, among the bottom 20 percent that do not qualify for Tiers 1 or 2. These persistently lowest-achieving schools will also participate in Alabama's Turnaround process. In SY 2009-10 Alabama had 219 schools in this category.

[3] Persistently lowest-achieving schools means, as determined by the means, as determined by the State: (i) Any Title I school in improvement, corrective action, or restructuring that (a) 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 (b) 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 (ii) Any secondary school that is eligible for, but does not receive, Title I funds that (a) 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 (b) 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.

The ALSDE's Office of Assessment and Accountability will identify the state's persistently lowest-achieving schools using the State's approved definition.[4] Schools will then be ranked using three years of achievement data.

Alabama revised the Rewards and Interventions Plan to include persistently lowest-achieving schools and expand the categories for higher-performing schools. These enhancements ensure that ALL of Alabama's schools are involved in the improvement process, underscoring the belief that high-achieving schools should continue to serve as models of success but also to encourage them to explore new and better ways to effectively serve students. As such, the following categories now form the basis of the State's Rewards and Interventions Plan:

Intervention Categories:

1. Reformation School System – Schools identified as a Tier 1 persistently lowest-achieving schools and not receiving a School Improvement Grant
2. Restructuring Schools – Schools identified as Tier 2 persistently lowest-achieving schools and not receiving a School Improvement Grant
3. Renewal Schools – Schools identified as Tier 3 and not receiving a School Improvement Grant

Recognition Categories

4. Quality Schools – Schools that have met the academic and other achievement goals for AYP
5. Innovation School System – Schools or LEAs that have contracted with the Alabama State Board of Education for higher academic expectations for students in exchange for flexibility in identified financial and human capital areas that allow for LEA-specific innovations to meet the indentified goals

Reward Categories:

6. Reward Schools - Schools that have made AYP for two consecutive years and significantly closed identified achievement gaps among identified subgroups

[4] To identify the lowest-achieving schools, the U.S. Department of Education recommends a State 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.

7. Torchbearer Schools – Schools that have made AYP for two consecutive years and significantly closed identified achievement gaps across all subgroups and all subject areas

(E)(2)(ii): Alabama's approach to support LEAs in turning around the lowest-achieving schools

Overview

As previously indicated, State code permits the ASBE, via the State Superintendent, and as outlined in the Rewards and Interventions Plan (Appendix E2), to intervene in the State's low-achieving schools. The plan outlines a process to guide the reform and involve the State in school oversight and assistance. Alabama will invoke this authority beginning in SY 2010-11 to transform the first cohort of persistently lowest-achieving schools into schools that effectively serve students, and a second cohort will begin the following year. The State Superintendent will determine which schools will be included in each cohort. Schools chosen will participate in one of two overarching strategies based upon their classification as a Tier 1, Tier 2 or Tier 3 school: (1) the ALSDE will develop the Reformation School System (RSS), a new LEA that will be under joint oversight of the State Superintendent and local superintendent, with the goal of swiftly turning around Tier 1 and Tier 2 schools within five years; and (2) Tier 3 schools must adopt and implement a proven reform model and begin to show acceptable progress within the first year.

Alabama's experience with school accountability and intervention

The performance information in Appendix E3 outlines lessons learned from Alabama's years of experience with school accountability. As the chart demonstrates, Alabama uses a multi-faceted approach to accountability, which is known as the Statewide System of Support. Supports range from regional school improvement specialists, peer mentors, graduation coaches, System Grant Coaches, and others working together as a comprehensive team. This approach has resulted in a 17 percent decrease in the number of schools in improvement over the past three years with our highest percentage of turnaround success occurring among Title I schools, which have decreased by 38 percent.

Establishing and implementing the Reformation School System (RSS)

Alabama recognizes the challenges faced by LEAs in turning around low-performing schools and is committed to working with local superintendents to transform these schools to effectively meet the educational needs of all students. As such, Alabama will create the Reformation School System (RSS), which will function within the ALSDE, and under the direction of the State Superintendent and be managed by an RSS superintendent with support from turnaround experts. The RSS superintendent will be a proven reform leader and will have the authority to enact change in schools or confer authority on principals. Administrative tasks such as transportation, food service, utilities, etc., may continue to be provided by the LEA at the discretion of the school leader. This leader's sole job will be to manage the turnaround efforts of the State's persistently-lowest achieving schools, specifically those classified as Tier 1 and Tier 2. Radical and rapid progress is expected with each of the schools performing at acceptable proficient levels as determined by the State within five years. To meet this goal, each school will function under a joint supervision agreement between the RSS superintendent and the local superintendent. The RSS superintendent, in collaboration with the local superintendent, will determine which one of the four U.S. Department of Education recommended intervention models will be used to transform the school.

The **turnaround** model will apply to an RSS school with a newly recruited principal who will screen existing staff to determine school fit, select new staff as needed, establish schedules that increase learning time, develop financial incentives to reward effective teaching, implement flexible working conditions, and adopt a new instructional program.

The **restart** model will apply to an RSS school that re-opens under an education management organization selected through a rigorous process.

The **closure** model will apply to an RSS school that the state decides to close.

The **transformation** model will apply to an RSS school that hires a new principal and implements Alabama's expanded comprehensive teacher evaluation system as described in Section (D)(2) of this application, with the goal of effectively evaluating, supporting and retaining effective teachers.

***Identifying and engaging expert* partners** (Appendix E4).

The State will partner with carefully selected organizations and experts that have a proven record of success in turning around low-achieving schools. These experts will assist the RSS and LEAs with the implementation of the chosen model through a collaborative whereby individual partners will provide their expertise to all relevant schools within the RSS. For example, one partner may focus on staffing RSS schools with high-quality and effective teachers and principals. Another may redesign human resources systems such as evaluation and compensation. A different organization may implement effective professional development and coaching models that have a proven record of improving instruction and leadership. Because of the magnitude of this effort and need to quickly improve student growth, the State believes this approach will not only allow it to quickly apply knowledge and expertise to improve the RSS schools, but also help it build capacity to assist other struggling schools that may not be part of the RSS.

Ensuring pools of high-quality and effective staff to fill open positions

RSS schools will also benefit from the State's intense focus on developing pools of effective teachers and principals who are qualified and prepared to successfully work in low-achieving schools. As described in Sections (D)(1) and (D)(3) of this application, the State will invest in strengthening alternative and traditional preparation programs for teachers and principals. Alternative preparation programs in particular will recruit and prepare specific cohorts of candidates to teach STEM and other hard-to-staff subjects and to work in high-need schools. RSS schools will also have access to a recruitment bonus fund, supported by Alabama's Race to the Top grant, to encourage proven highly-effective teachers from other schools in the LEA or from other LEAs to teach in the school. To that end, RSS schools will be guaranteed access to high-quality and effective teacher and principal candidates.

Improving human resources strategies, systems and practices

Moreover, RSS schools that opt for the Turnaround, Restart or Transformation models will be required to adopt all relevant strategies and practices outlined in the Great Teachers and

Leaders Section of this application, to the extent they are not already articulated as part of the model as described in the Race to the Top guidelines. This includes:

Evaluation

- Monitoring, evaluating, and identifying areas of teacher and principal shortage and building a pipeline of effective candidates to fill positions.
- Conducting annual evaluations of teacher and principal effectiveness and providing timely feedback and data driven suggestions for improvement.
- Using student growth as the determining factor in granting tenure to probationary teachers.

Professional Development

- Improving teacher and principal performance using credible and transparent evaluation systems that rely on multiple and objective measures of student growth to measure effectiveness.
- Linking teacher and principal evaluation outcomes to individualized professional development.
- Providing effective, data-informed professional development, coaching, induction and common planning, and collaboration time, as well as job-embedded professional development as appropriate.

Recruitment and Retention

- Compensating, promoting, and retaining effective teachers and principals and providing career options.
- Ensuring the equitable distribution of teachers.
- Developing a plan to increase the number and percent of effective teachers in the school.
- Removing ineffective probationary and tenured teachers and principals after they have had ample opportunities to improve.

Planning for intensive reform

Beginning in SY 2010-11, planning work will begin with the first cohort of RSS schools. This one-year planning phase will allow the RSS superintendent and the LEAs to collaboratively engage parents, community leaders, and the community at large to provide context and input to guide the reform effort and meet the needs of the community's children. This work will begin with an examination of each school's capacity and include specific facilitated meetings using the school's Continuous Improvement Plans (CIP). The CIP will be revised to reflect the new expectations and specific strategies and steps that will be adopted to rapidly improve the persistently low-achieving school. The intervention model will be implemented in earnest at each RSS school beginning with SY 2011-12, with the expectation that at the end of the five-year period each school will be classified as a Quality School. This process will be repeated in SY 2012-13 for the second cohort of RSS schools.

Accountability in the Reform School System

Each school within the RSS will set individual academic goals based on the statewide goal of ensuring all students graduate high school and that all are college- and career-ready through individual student learning plans. These goals will be reflected in each RSS school's CIP. After the second year of RSS oversight, the State Superintendent will assess each school's progress and begin to plan its transition, if appropriate, from the RSS at the five-year mark. The transition plan will guide years three through five of RSS oversight.

During the initial five-year period of RSS oversight, the ALSDE will use existing resources to work closely with each school's home LEA to build capacity so that achievement gains are not reversed when the school returns to exclusive home LEA control. As a result, there will be ongoing collaboration between the RSS school and its LEA while the RSS and the State Superintendent have ultimate oversight in consultation with the local superintendent.

Throughout the reform process, the ALSDE will collect and analyze data to determine each RSS school's progress toward its goals. By regularly measuring and monitoring progress, the State Superintendent will be able to make the necessary adjustments to ensure that student growth rapidly improves.

Planning for and implementing a restructuring model

Alabama created another category for schools that are not meeting their potential, but not in need of the intensive support provided by the RSS. These schools, also known as Tier 2 schools or **Restructuring Schools**, will remain under the oversight of their LEA but be required to adopt proven successful capacity-building and school improvement models. This can include a number of providers, partnerships with higher education, collaboration with non-profits, etc. The State will issue a request for information that will detail what quality expectations the state has for possible providers for schools in this category and identify providers to assist schools with the work.

Some schools in the persistently lowest-achieving category, and therefore eligible to enter the RSS, may remain in the Restructuring Schools category at the discretion of the State Superintendent. If after a full assessment by the State and interaction with the LEA superintendent, the school demonstrates some critical capacity necessary for reform, the State Superintendent may choose to allow it to remain in the Restructuring Schools category. If this occurs, the school will be subject to the requirements of that category and will be obligated to implement one of the four required intervention models. It may also be placed in the RSS at the State Superintendent's discretion should the school not succeed in meeting the goals outlined in its CIP.

Schools not making AYP and those within the school improvement category will be categorized as **Renewal Schools.** In 2009-2010, Alabama had 243 schools in this category with 186 not making AYP and 57 in Year 1 of improvement. These schools will receive the supports outlined in the Alabama Rewards and Intervention Plan, and if these schools' absolute achievement outcomes fit the definition of persistently-lowest achieving they will be required to adopt one of the four turnaround models detailed above.

Alabama schools and LEAs that make AYP for two or more consecutive years and significantly close their achievement gap between subgroups of students will be recognized in one of the following categories: **Advancing the Challenge** - Schools where the percent of students scoring advanced in reading and math exceeds the state's percent scoring advanced. Schools must have at least an 80 percent poverty rate or 90 percent of students that score advanced in reading and math.

- **Meeting the Challenge** – Schools with at least 80 percent poverty that have made AYP for two or more consecutive years
- **Exceeding the Challenge** – Schools with subgroups of students that score proficient in reading and math and exceed their state counterpart
- **Addressing the Challenge** – Schools with subgroups that close the achievement gap among students scoring proficient in reading and math by at least 15 percent when compared to their state counterpart
- **Torchbearer School** – Schools meeting all of the above criteria and that agree to serve as sites of best practice for the State

Principals and teachers who work in a school that fits one of the above definitions and have been highly effective and instrumental in closing the achievement gap and/or making AYP will be asked to serve as Peer Mentors on the State Support Team and work directly with schools identified for intervention.

Schools that have met or exceeded the academic expectations set under the Alabama Accountability System but are not eligible for the designations listed above due to a lesser percentage of students in poverty will be designated as a **Quality Schools.** These schools will receive official recognition from the State Superintendent and ASBE, and on all correspondence where the schools are referenced. Schools will maintain this designation as long as they continue to maintain the accountability requirements applied to all of Alabama's schools.

For those schools who meet all current academic expectations but desire to push their students to even higher levels, the **Innovation School System** designation may be obtained through a contractual agreement with the State Department of Education. This new category was approved by State Board resolution in May 2010 (Appendix E5) Innovation School System Resolution). This category creates opportunities for LEAs to have the flexibility as found in many charter schools but under the authorizing power of the ASBE.

Conclusion

Alabama created a unique and comprehensive approach to school rewards and interventions where not only those schools traditionally considered for this reform receive attention and supports, but a system that expects all of Alabama's schools to set high expectations for students and educators, and when those expectations have been met, raise them

again. Only then will student learning accelerate to meet the goal of college and career readiness for ALL.

Section E(2) Key Activities and Timelines

Alabama will achieve the goals listed above as we move our schools into continually achieving status through the following

Key Activity	Supporting Evidence	Action	Start Date	End Date
Identify persistently lowest-achieving schools according to Race to the Top guidelines	NA	Analyze multiple years of state assessment data to identify those schools meeting the persistently low-achieving status	March 2010	Annually
Assist local school systems in identifying highly-effective teachers and leaders for placement in identified persistently lowest-achieving schools	Research supports the fact that effective teachers are the key to increased student achievement. Research also supports that effective teachers can be even more effective when supported by an effective leader	Hire highly effective teachers and leaders through the state's pipeline of high-quality teachers and leaders. Provide support to school leaders to implement the best practices associated with identified needs.	June 2010	Ongoing
Identify local school systems to	School systems need flexibility to	Specify the terms of the LEA	July 2010	Ongoing

participate in the Innovation Systems program	create innovations to meet the need of students (Mass Insight, 2009).	contract to participate in the Innovation School Systems program		
Based on model of intervention chosen by participating schools, a menu of best practices will be offered by the Alabama State Department of Education. List of SDE options…TBA	NA	The SDE will work with local school systems to identify strengths and challenges to inform the appropriate intervention model.	July 2010	Ongoing

Approach Used	# of Schools Since SY2004-05	Results and Lessons Learned
State Support/Turnaround Team Intervention	163	Services/Support that has been effective but reactive. State needed a more proactive approach to support schools/systems in improvement Regional support provided to highest need schools and assessed quarterly in 2007-2008
Statewide System of Support	91	91 LEAs worked with the SDE Regional School Improvement Coaches. 21 were required due to their improvement status with the Rewards and Intervention Plan. 70 LEAs proactively chose to participate due to its proven success of assisting school systems from moving into the improvement category. From 2006 – 2010, the number of "schools in improvement" decreased from 452 to 121 during the same period that the annual measureable objective was increasing.

Performance Measures	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
The number of schools for which one of the four school intervention models (described in Appendix C) will be initiated each year.		20 Based on current SIG grant and designation as Persistently Lowest Performing	TBD Based on need	TBD Based on need	TBD Based on need

[Optional: Enter text here to clarify or explain any of the data]

(F) General ***(55 total points)***

State Reform Conditions Criteria

(F)(1) Making education funding a priority *(10 points)*

The extent to which—

(i) The percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2009 was greater than or equal to the percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2008; and

(ii) The State's policies lead to equitable funding (a) between high-need LEAs (as defined in this notice) and other LEAs, and (b) within LEAs, between high-poverty schools (as defined in this notice) and other schools.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(1)(i):

- Financial data to show whether and to what extent expenditures, as a percentage of the total revenues available to the State (as defined in this notice), increased, decreased, or remained the same.

Evidence for (F)(1)(ii):

- Any supporting evidence the State believes will be helpful to peer reviewers.

Recommended maximum response length: Three pages

(F) General ***(55 total points)***

State Reform Conditions Criteria

(F)(1) Making education funding a priority *(10 points)*

The extent to which—

(i) The percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2009 was greater than or equal to the percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2008; and

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In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(1)(i):

- Financial data to show whether and to what extent expenditures, as a percentage of the total revenues available to the State (as defined in this notice), increased, decreased, or remained the same.

Evidence for (F)(1)(ii):

- Any supporting evidence the State believes will be helpful to peer reviewers.

Recommended maximum response length: Three pages

Section F(1)(i): Even in one of the worse economic times in the history of our nation, Alabama, as a state, has actually increased the percentage of state revenues that were available to support education. In FY 2008, state educational appropriations made up 77.95% of all state appropriations. In FY 2009, that percentage increased to 78.00% for all state appropriations. The specific calculations for the total state revenues for FY 2008 totaled $8,228,943,274. Of that total, $6,414,630,671 was appropriated for educational purposes only. In FY 2009, our state's economy began to decline similar to the national economy. In that year, the collection of state taxes available for appropriations totaled $7,285, 519,131. Of that amount, Alabama dedicated $5,682,947,475 in state funds for educational purposes. That was an increase in the percentage available of .05% between the two years.

Alabama depends on the collection of a wide variety of taxes. These taxes are collected and deposited into two dedicated funds. One is the Educational Trust Fund, which supports K-20 educational appropriations. The other dedicated fund, is the state's General Fund Account. It exclusively supports appropriations dedicated to other essential state services. Neither account, nor their taxes, can be co-mingled. The state's total tax effort is calculated by adding the two funds together for a particular year. (Appendix F1)

Section F(1)(ii)(a): Alabama revised its state law regarding how schools were funded in 1995. This revision effort created a state funding distribution method known as the Foundation Program. It replaced a system that had been in place since 1935 that essentially rewarded the more affluent LEAs with additional state dollars.

A key feature of the Foundation Program that we currently use is the required local tax, which is collected and is used as a match in order to receive state funds. Based on an LEA's property wealth, the local match requires wealthy LEAs to provide greater percentages of local funds than the tax poorer LEAs. The Foundation Program supplements state dollars accordingly to fund certain state defined educational activities and requirements. This percentage of state support ranges from a low of 48% in the most affluent LEAs, to almost 80% in the poorest LEAs. The Foundation Program calculates appropriations on a school by school basis and on the number of students that are enrolled in those schools.

Section F(1)(ii)(b): Alabama further distributes state revenues on a weighted formula used to support the unique needs of at-risk students. These at-risk funds are appropriated to particular schools within an LEA for the development and support of programs that address the needs of at-risk students.

For state funding purposes, these funds are calculated based on poverty data and academic achievement. These at-risk programs provide additional services that increase the amount and quality of instructional support, to those specific

students, in an effort to remove barriers that tend to inhibit school success. These opportunities include but are not limited to, extended learning times, summer programs, tutoring programs, mentoring efforts, behavioral support, parenting efforts and other services that meet identified critical needs of at-risk students.

These funds are earned based on the unique qualities of a particular group of students at a particular school and are required to be spent on those students and cannot be transferred or used for other activities or other schools within the LEA.

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools *(40 points)*

The extent to which—

(i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;

(ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;

(iii) The State's charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;

(iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other

supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and

(v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(2)(i):

- A description of the State's applicable laws, statutes, regulations, or other relevant legal documents.
- The number of charter schools allowed under State law and the percentage this represents of the total number of schools in the State.
- The number and types of charter schools currently operating in the State.

Evidence for (F)(2)(ii):

- A description of the State's approach to charter school accountability and authorization, and a description of the State's applicable laws, statutes, regulations, or other relevant legal documents.
- For each of the last five years:
    - The number of charter school applications made in the State.
    - The number of charter school applications approved.
    - The number of charter school applications denied and reasons for the denials (academic, financial, low enrollment, other).
    - The number of charter schools closed (including charter schools that were not reauthorized to operate).

Evidence for (F)(2)(iii):

- A description of the State's applicable statutes, regulations, or other relevant legal documents.
- A description of the State's approach to charter school funding, the amount of funding passed through to charter schools per student, and how those amounts compare with traditional public school per-student funding allocations.

Evidence for (F)(2)(iv):

- A description of the State's applicable statutes, regulations, or other relevant legal documents.

- A description of the statewide facilities supports provided to charter schools, if any.

Evidence for (F)(2)(v):

- A description of how the State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

Recommended maximum response length: Six pages

Section F (2)(i)(ii)(iii)(iv) Alabama is one of the 11 states without legislation through which charter schools may be established. Through the leadership of Governor Bob Riley and State Superintendent Joe Morton, a bill was developed and introduced in the 2010 Regular Session of the Alabama Legislature to create Charter Schools in Alabama. The bill was sponsored by Senator Steve French and Representative Mary Sue McClurkin (Appendix ___). Regrettably the bill was defeated by an intensive lobbying effort by the predominant teacher union in Alabama, the Alabama Education Association. Senator French and Representative McClurkin have vowed to pursue it again in 2011.

While unsuccessful in passing legislation for the establishment of charter schools, the efforts of the Governor Riley, State Superintendent Morton, Senator French and Representative McClurkin, along with the support of a number of legislators, valuable attention was brought to the public of Alabama identifying why there must be more options for school systems who have persistently low-achieving schools, but most importantly options for the students these schools serve, or in the extreme under-serve. An outgrowth of this effort has been the creation of an Innovation System category for local school systems desiring many of the options found in charter schools but under the authority of the State Board of Education. The Innovative System category will be described in the following section.

Section F(2)(v) Alabama believes that the flexibility for innovation is key to meeting the needs of today's students. In response, Alabama has created the Innovation School Systems option for systems desiring to move student achievement along an accelerated trajectory (Appendix ___). Through this contractual agreement between the local school system and the state board of education,

school systems can receive much of the same regulatory and policy waiver options as charter schools.

In addition, Alabama has created an environment of flexibility, through FIRST CHOICE, whereby local school systems may be granted options for student scheduling that is not dependent on the traditional Carnegie Unit. Through this innovative approach to meeting student need many high schools have created schedules that include high interest, non-credit bearing learning opportunities for students that is having significant impact on their academic progress. This flexibility of time versus learning has also given our rural schools a method of providing interventions, accelerations and co-curricular opportunities to all students during the school day which was previously impossible with a majority of our public school students transported by school bus.

Alabama is also fortunate to have a system of ____Community Colleges where many of our students participate in Dual Enrollment or Early College Enrollment programs. Through a partnership with the Governor's Office of Workforce Development, the tuition fees for most participating students are paid creating opportunities for many students that would have otherwise been financially impossible.

As Alabama continues to look at new and more effective and efficient ways to deliver quality education an environment of innovation has been created through the actions of our State Board and State Superintendent, Joe Morton, where student learning is the primary focus and how that occurs is open for innovation. There is a renewed sense of urgency and commitment in the air in Alabama regarding a spirit to do everything humanly possible to enable every student to succeed academically. This application reflects that urgency, commitment of spirit by putting forth a plan to ensure the civil right to a quality education to every child.

(F)(3) Demonstrating other significant reform conditions *(5 points)*

The extent to which the State, in addition to information provided under other State Reform Conditions Criteria, has created, through law, regulation, or policy, other conditions favorable to education reform or innovation that have increased student

achievement or graduation rates, narrowed achievement gaps, or resulted in other important outcomes.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(3):

- A description of the State's other applicable key education laws, statutes, regulations, or relevant legal documents.

Recommended maximum response length: Two pages

Section (F)(3) As referenced in several previous sections of this application, FIRST CHOICE has been the catalyst to truly open the doors of innovation and reform in Alabama. Through this state board policy, all entering 9th graders, beginning with the 9th grade class of 2009-2010 have as their default diploma the Advanced Academic Endorsement to the Alabama High School Diploma. Capstone courses include Algebra II with Trigonometry, two years of a foreign language and an on-line experience or course. This move toward college and career readiness will ensure that students who might not have had the motivation or support to pursue this level of academic rigor will do so and open doors of opportunity that would have previously been unavailable.

Also within this state board policy is flexibility related to the amount of time required to earn credits. This initial move opens up limitless possibilities for local school systems to move toward a true standards-based education environment where the traditional school day is "disrupted" based on the learning needs of the students. While only in the first year of implementation the creativity and innovation from our school systems is only limited by our ability to relinquish our hold on the industrial model of education within which we were educated.

Alabama is also embracing the revival in teacher and leader effectiveness being determined, in part, by the academic growth of their students. While in the planning stages, an overwhelming positive response has been received from educators and the broader citizenry. There remain deep discussions regarding the measures used in this determination and the factors that could influence

learning outside of the control of the teacher and leader but for now the conversation has begun and the potential for accelerated students learning is great (Appendix ___).

Alabama is also home to the Alabama Reading Initiative (ARI), the Alabama Math, Science and Technology Initiative (AMSTI) and the Alabama Connecting Classrooms, Educators and Students Statewide (ACCESS) our distance learning initiative each having been recognized at the state, regional and national levels for their positive impact on teacher and leader effectiveness and increased student achievement (Appendix ___). While the impact of these initiatives has been significant we see adapting these to a more efficient and effective model moving forward based on a data-driven assessed need within each school and each school system. Through this customized approach we will be able to leverage existing human and financial investment for a greater return on investment.

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools *(40 points)*

The extent to which—

(i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;

(ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local system student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;

(iii) The State's charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;

(iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and

(v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(2)(i):

- A description of the State's applicable laws, statutes, regulations, or other relevant legal documents.
- The number of charter schools allowed under State law and the percentage this represents of the total number of schools in the State.
- The number and types of charter schools currently operating in the State.

Evidence for (F)(2)(ii):

- A description of the State's approach to charter school accountability and authorization, and a description of the State's applicable laws, statutes, regulations, or other relevant legal documents.
- For each of the last five years:
    - The number of charter school applications made in the State.
    - The number of charter school applications approved.
    - The number of charter school applications denied and reasons for the denials (academic, financial, low enrollment, other).
    - The number of charter schools closed (including charter schools that were not reauthorized to operate).

Evidence for (F)(2)(iii):

- A description of the State's applicable statutes, regulations, or other relevant legal documents.
- A description of the State's approach to charter school funding, the amount of funding passed through to charter schools per student, and how those amounts compare with traditional public school per-student funding allocations.

Evidence for (F)(2)(iv):

- A description of the State's applicable statutes, regulations, or other relevant legal documents.
- A description of the statewide facilities supports provided to charter schools, if any.

Evidence for (F)(2)(v):

- A description of how the State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

Recommended maximum response length: Six pages

Section F (2)(i)(ii)(iii)(iv) Alabama is one of the 11 states without legislation through which charter schools may be established. Through the leadership of Governor Bob Riley and State Superintendent Joe Morton, and with the support of the State Board of Education as demonstrated by its unanimous adoption of a resolution in support of charter school, a bill was developed and introduced in the 2010 Regular Session of the Alabama Legislature to create charter schools in Alabama. The bill was sponsored by Senator Steve French and Representative Mary Sue McClurkin (Appendix F2). Regrettably, the bill was defeated by an intensive lobbying effort by the predominant teacher union in Alabama, the Alabama Education Association. Senator French and Representative McClurkin have vowed to pursue it again in 2011.

While unsuccessful in passing legislation for the establishment of charter schools, the efforts of the Governor Riley, State Superintendent Morton, Senator French and Representative

McClurkin, along with the support of a number of legislators, valuable attention was brought to the public of Alabama identifying why there must be more options for school systems who have persistently low-achieving schools, but, most importantly, options for the students these schools serve or, in the extreme, under-serve. An outgrowth of this effort has been the creation of an Innovation School System category for local school systems desiring many of the options found in charter schools but under the authority of the State Board of Education. The Innovative School System category will be described in the following section.

Section F(2)(v) Alabama believes that the flexibility for innovation is key to meeting the needs of today's students. In response, Alabama has created the Innovation School Systems option for systems desiring to move student achievement along an accelerated trajectory (Appendix 3). Through this contractual agreement between the local school system and the State Board of Education, school systems can receive much of the same regulatory and policy waiver options as charter schools.

In addition, Alabama has created an environment of flexibility, through FIRST CHOICE, whereby local school systems may be granted options for student scheduling that are not dependent on the traditional Carnegie Unit. Through this innovative approach to meeting student needs many high schools have created schedules that include high-interest, non-credit bearing learning opportunities for students that are having significant impact on their academic progress. This flexibility of time versus learning has also given our rural schools a method of providing interventions, accelerations and co-curricular opportunities to all students during the school day, which was previously impossible with a majority of our public school students transported by school bus.

Alabama is also fortunate to have a system of 29 community colleges where many of our students participate in Dual Enrollment or Early College Enrollment programs. Through a partnership with the Governor's Office of Workforce Development, the tuition fees for most participating students are paid creating opportunities for many students that would have otherwise been financially impossible.

As Alabama continues to look at new and more effective and efficient ways to deliver quality education, an environment of innovation has been created through the actions of our State Board of Education and State Superintendent, Joe Morton, where student learning is the primary focus

and how that occurs is open for innovation. There is a renewed sense of urgency and commitment in the air in Alabama regarding a spirit to do everything humanly possible to enable every student to succeed academically. This application reflects that urgency and commitment of spirit by putting forth a plan to ensure the civil right to a quality education to every child.

(F)(3) Demonstrating other significant reform conditions *(5 points)*

The extent to which the State, in addition to information provided under other State Reform Conditions Criteria, has created, through law, regulation, or policy, other conditions favorable to education reform or innovation that have increased student achievement or graduation rates, narrowed achievement gaps, or resulted in other important outcomes.

In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also include, at a minimum, the evidence listed below, and how each piece of evidence demonstrates the State's success in meeting the criterion. The narrative and attachments may also include any additional information the State believes will be helpful to peer reviewers. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Evidence for (F)(3):

- A description of the State's other applicable key education laws, statutes, regulations, or relevant legal documents.

Recommended maximum response length: Two pages

Section (F)(3) As referenced in several previous sections of this application, FIRST CHOICE has been the catalyst to truly open the doors of innovation and reform in Alabama. Through this State Board of Education policy, all entering ninth graders, beginning with the ninth grade class of 2009-2010, have as their default diploma the Advanced Academic Endorsement to the Alabama High School Diploma. Capstone courses include Algebra II with Trigonometry, two

years of a foreign language, and an on-line experience or course. This move toward college and career readiness will ensure that students who might not have had the motivation or support to pursue this level of academic rigor will do so and open doors of opportunity that would have previously been unavailable.

Also within this State Board of Education policy is flexibility related to the amount of time required to earn credits. This initial move opens up limitless possibilities for local school systems to move toward a true standards-based education environment where the traditional school day is "disrupted" based on the learning needs of the students. While only in the first year of implementation the creativity and innovation from our school systems are only limited by our ability to relinquish our hold on the industrial model of education within which we were educated.

Alabama is also embracing the revival in teacher and leader effectiveness being determined, in part, by the academic growth of their students. While in the planning stages, an overwhelming positive response has been received from educators and the broader citizenry. There remain deep discussions regarding the measures used in this determination and the factors that could influence learning outside of the control of the teacher and leader, but for now the conversation has begun and the potential for accelerated student learning is great.

Alabama is also home to the Alabama Reading Initiative (ARI); the Alabama Math, Science, and Technology Initiative (AMSTI); Alabama Learning Exchange (ALEX); and the Alabama Connecting Classrooms, Educators and Students Statewide (ACCESS), our distance learning initiative, each having been recognized at the state, regional, and national levels for its positive impact on teacher and leader effectiveness and increased student achievement (Appendix F3). While the impact of these initiatives has been significant, we see adapting these to a more efficient and effective model moving forward based on a data-driven assessed need within each school and each school system. Through this customized approach we will be able to leverage existing human and financial investment for a greater return on investment.

I. COMPETITION PRIORITIES

Priority 1: Absolute Priority -- Comprehensive Approach to Education Reform

To meet this priority, the State's application must comprehensively and coherently address all of the four education reform areas specified in the ARRA as well as the State Success Factors Criteria in order to demonstrate that the State and its participating LEAs are taking a systemic approach to education reform. The State must demonstrate in its application sufficient LEA participation and commitment to successfully implement and achieve the goals in its plans; and it must describe how the State, in collaboration with its participating LEAs, will use Race to the Top and other funds to increase student achievement, decrease the achievement gaps across student subgroups, and increase the rates at which students graduate from high school prepared for college and careers.

The absolute priority cuts across the entire application and should not be addressed separately. It is assessed, after the proposal has been fully reviewed and evaluated, to ensure that the application has met the priority.

Priority 2: Competitive Preference Priority -- Emphasis on Science, Technology, Engineering, and Mathematics (STEM). *(15 points, all or nothing)*

To meet this priority, the State's application must have a high-quality plan to address the need to (i) offer a rigorous course of study in mathematics, the sciences, technology, and engineering; (ii) cooperate with industry experts, museums, universities, research centers, or other STEM-capable community partners to prepare and assist teachers in integrating STEM content across grades and disciplines, in promoting effective and relevant instruction, and in offering applied learning opportunities for students; and (iii) prepare more students for advanced study and careers in the sciences, technology, engineering, and mathematics, including by addressing the needs of underrepresented groups and of women and girls in the areas of science, technology, engineering, and mathematics.

The competitive preference priority will be evaluated in the context of the State's entire application. Therefore, a State that is responding to this priority should address it throughout the application, as appropriate, and provide a summary of its approach to addressing the priority in the text box below. The reviewers will assess the priority as part of their review of a State's application and determine whether it has been met.

Recommended maximum response length, if any: One page

Overview

Alabama is proud of its commitment to promoting STEM education and in delivering high-quality STEM instruction to students. A number of non-profit organizations, universities, research centers, businesses, and community groups partner with the State and with individual LEAs and schools to provide and enhance teacher professional development and STEM coursework across the state.

Over the next four years Alabama will more effectively and efficiently coordinate STEM efforts, increase the rigor of STEM coursework, expand STEM coursework to all students, especially those in underserved LEAs, and promote college-readiness in the core areas of science and math to all students, including minorities and girls.

Goals

- A coordinated effort among all STEM efforts and providers will ensure a comprehensive approach to advancing STEM teaching and learning in Alabama.
- All schools will offer a rigorous course of study in math, science, technology, and engineering.
- Continue to expand collaborative efforts with non-profit organizations, colleges, research centers, businesses, and community groups to effectively assist teachers in integrating STEM content across grades and disciplines.
- Ensure effective STEM teachers for all students.
- Prepare more students for advanced study and careers in STEM disciplines, including underrepresented groups and girls.

Alabama's commitment to and focus on STEM teaching and learning

- The **Alabama Math, Science, and Technology Initiative (AMSTI)** serves as the pillar of the State's STEM education initiative. AMSTI has been implemented in 50 percent of Alabama's schools, offering project-based learning opportunities for students. To support teachers, regional specialists guide in-class implementation through model lessons and use of materials. Proper STEM teaching supplies can be costly to LEAs yet they are essential to effectively engaging students in specific lessons. As such, the State operates a materials distribution system to organize and supply schools with the appropriate information and materials. This massive effort is supported by a host of partners include colleges of education, math and science, and an array of business partners that provide content and application expertise to teachers. ***Impact:*** A 2004 evaluation of AMSTI shows that the program is working and making a major difference in the way math and science are being taught. The study compared the performance of 20 AMSTI schools and 111 non-AMSTI schools in the nine school systems where AMSTI was implemented in the 2002-2003 school year. The report indicated test scores of students attending AMSTI schools were higher in most cases than scores of students enrolled in non-AMSTI schools. The report shows that students who attend AMSTI schools also made slight gains in reading and writing.
- The **A+ College Ready Advanced Placement and Training and Incentive Program** is a partnership with the National Math and Science Initiative (NMSI) and the College Board. This collaborative effort was created in 2007 with a $13.2 million grant from NMSI and support from a number of business and non-profit originations including the Alabama Power Foundation, Regions Financial Corporation, Boeing, ExxonMobil Corporation and the Alabama Math, Science and Technology Education Coalition. The Advanced Placement Training and Incentive Program increases dramatically the number of students taking and passing AP math and science, exams, and expands access to traditionally under-represented students. It uses a comprehensive approach that increases teacher effectiveness and student achievement through training, teacher and student support, vertical teaming, open enrollment and incentives. ***Impact:*** In the first year, the initial 12 pilot schools in Alabama saw an 83 percent increase in passing scores earned on AP exams and a 68 percent increase by minority students. The program will be expanded

to 43 schools across Alabama in the 2010-2011 school year and will ultimately expand into over 80 schools across. (Appendix P1)

- **Alabama's Girls Engaged in Math and Science University (GEMS_U)** is a statewide initiative that provides non-traditional academic and career opportunities to female students and supports them in the pursuit of STEM-related learning opportunities and careers. At the core of this initiative are 400+ GEMS_U lesson plans available online for use in Alabama classrooms.
- The **Mobile Mathematics Initiative (MMI)** is an innovative research-based program that that relies heavily on intensive professional development for teachers. The initiative is a partnership between the Mobile Area Education Foundation and the Mobile County Public School System, the Alabama State Department of Education, SERVE, SARIC, BellSouth, the Disney Foundation and the University of South Alabama. Students and teachers participating in MMI use math in reading, language development, creative writing and art to deepen understanding and improve learning. ***Impact:*** Implementation in one system indicated significant gains in student performance in schools with strong leadership. Part of this initiative has focused on provided a laboratory to develop support systems for math professional development. This experimental approach resulted in a new training model for math coaches who together reach 20,000 students across three systems in Alabama. This work has also brought innovative practices to Alabama's classroom, along with the inquiry-based curriculum, such as Vermont Mathematics Initiative's On-Going Assessment Project (OGAP) has shown improvements in system based criterion reference tests. (Appendix P2 Report on the Mobile Mathematics Initiative and Engaging Youth in Engineering)
- **Engaging Youth in Engineer (EYE)** begin in 2007 to increase the numbers of students choosing science, technology, engineering and math related fields by provides students with hands-on learning experiences. (Appendix (P)(2) Report on the Mobile Mathematics Initiative and Engaging Youth in Engineering)
- **HudsonAlpha's K-12 Educational Programming in Genetics and Biotechnology** Using life-science expertise and extensive educational collaborations, the HudsonAlpha Institute for Biotechnology works to excite students about science and inspire them to seek careers in biotechnology and related fields. ***Impact:*** Over the last three years,

HudsonAlpha developed and implemented hands-on, inquiry-based activities for students, hosted in-class and online discussions, provided summer camps and intern opportunities, and offered professional development sessions for educators. During the 2008-2009 academic year HudsonAlpha reached over 20,000 Alabama students and teachers through these activities. (Appendix P3 HudsonAlpha's K-12 Programming Genetics and Biotechnology)

- **The Greater Birmingham Mathematics Partnership (GBMP)** is a targeted MSP initially funded in 2004 to study the impact of a comprehensive professional development model on student achievement in Grades 5-8 mathematics. The model involves all the stakeholders in the community, i.e., administrators, teachers, parents, and the public, in the work of improving mathematics education. A central component of the model is a series of nine-day, in-depth mathematics content courses offered in the summer. ***Impact:*** Data from the *Content Knowledge for Teaching Mathematics* (CKTM) pre- and post-tests, surveys, and course portfolios showed improved content knowledge, pedagogical content knowledge, and mathematical dispositions among teachers. Additionally, students whose teachers provided a high level of implementation of inquiry-based pedagogy showed significantly more gains in student achievement in mathematics on the SAT-10 than students whose teachers provided a moderate or low level of implementation of inquiry-based instruction. (Appendix P4)

Alabama's plans to efficiently coordinate and improve the rigor of and access to STEM coursework

- Establish a STEM Advisory Council to manage the network of partners and LEAs involved in STEM teaching and learning and develop a comprehensive state-wide STEM strategy that builds on the accomplishments of the partner organizations and the State. The Council will develop and promote the adoption of state-wide STEM goals and standards, organize resources to efficiently serve all students, ensure all schools have rigorous and innovative courses of study in STEM fields and that the content is integrated across all grades and disciplines. Members of the council will develop a strategy and plan to prepare underrepresented groups and girls, in particular, to enter STEM fields. The council will provide oversight on State efforts to produce, evaluate, and disseminate the best practices in K-12 STEM programs, on-line curricula, and funding opportunities to

educators via an enhanced version of the Alabama Learning Exchange (ALEX), and online resources for educators.

- Create distance learning opportunities for K-12 STEM teachers and students through improved collaboration between existing and new STEM initiatives, to ensure that all students across the state, particularly those in rural and underserved areas, have access to high-quality and varied STEM coursework.
- The State will conduct annual evaluations of STEM efforts to ensure acceptable levels of student growth and reinforce rigorous graduation requirements in STEM subjects.
- Expand the pool of highly-effective math and science teachers to ensure all students are taught by the best STEM teachers. Provide expanded career options and incentives to attract, retain, and reward highly-effective STEM teachers. See sections (D)(1), (D)(3) (D)(4) and (D)(5) of this application for additional information.

Conclusion

Alabama is committed to advancing and expanding its STEM accomplishments to ensure all students have access to rigorous STEM coursework, are taught by effective STEM teachers and are knowledgeable about STEM career paths, specifically underrepresented groups and girls. Alabama will accomplish these goals through a coordinated and collaborative approach to engage all students in high-quality STEM experiences.

Priority 3: Invitational Priority – Innovations for Improving Early Learning Outcomes *(not scored)*

The Secretary is particularly interested in applications that include practices, strategies, or programs to improve educational outcomes for high-need students who are young children (prekindergarten through third grade) by enhancing the quality of preschool programs. Of particular interest are proposals that support practices that (i) improve school readiness (including social, emotional, and cognitive); and (ii) improve the transition between preschool and kindergarten.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

(P)(3) Overview

(NIEER) as one of only two state pre-k programs in the country meeting all 10 of their quality benchmarks.

Alabama's practices, strategies, programs and initiatives to improve school readiness

Alabama aims to accomplish a set of goals to improve the early learning outcomes of its youngest students: (1) increase access to high quality pre-kindergarten programs; (2) increase the number of teachers trained in child development and support quality professional development for child care providers (3) support a quality rating system; (4) establish a data system for tracking children from birth to school age, and use it evaluate programs; and (5) support the use of unified student assessments to improve teacher practice and student growth.

Increase Access to High Quality Pre-Kindergarten Programs – Alabama does not offer a mandatory pre-kindergarten program for young children, yet the State is committed to ensuring all children enter kindergarten with the skills they need to thrive. To that end, the State established a pre-kindergarten program in 2000. Today, the program serves over 3,300 children across 215 sites. It is centered on the State's four-year old learning standards, which provide a framework for early instructional planning and delivery. These standards align to the State's kindergarten standards to ensure that children who participate in pre-kindergarten programs are prepared to enter kindergarten the following year. However, there remain too many students who enter kindergarten with the basic skills to succeed. The State is working on a number of initiatives to build on its past and current successes, including partnering with community groups and Head Start Programs to establish additional programs capable of serving more students and using Title I funding to create programs in the communities that need them the most.

Increase the number of teachers trained in child development and provide quality professional development - Consistent with the State's belief that all children should be taught by effective teachers, Alabama requires pre-kindergarten teachers to hold a bachelors degree in early childhood education or child development. A series of initiatives are underway across the state to increase the number of qualified early learning teachers, including: TEACH, which, offers scholarships to students to purse a bachelors degree in child development or early

childhood education; an enhanced articulation agreement between the State's two and four year colleges and universities that will facilitate a smooth transition for students who seek a bachelor's degree; Alabama Public Television is currently developing course for teachers to broaden their content knowledge in early literacy; and a new online training module focused on the State's Early Learning Guidelines was recently launched to help child care providers across strengthen their skills. Moreover, Alabama recently established a career ladder to increase the professional credentials of licensed child care providers.

Develop a Quality Rating System – Since 2006 Alabama's pre-kindergarten program has been recognized by the National Institute for Early Education Research as one of two state programs that meet each of their ten quality benchmarks. While Alabama is proud of this accomplishment, it is only in the early stages of developing a pilot to ensure that all children have access to excellent facilitates and that parents have clear information about program quality. Alabama is studying successful models from across the country with the intent of developing a state-of-the-art program for Alabama.

Establish a data system for tracking young children and use it to monitor effectiveness - Alabama is in the early stages of building a tracking system for its youngest students. Each child enrolled in one of the State's early learning programs will be assigned an identifier that will follow them throughout their Alabama K-12 experience. Longitudinal studies will be used to establish the effectiveness of quality early childhood experience, inform policy and effective classroom practice.

Support unified use of early childhood assessments - Alabama uses several childhood assessments: PPVT, LELA, Ages/Stages, ELCO, and ECERS. These assessments are used by the State-funded pre-kindergarten programs and the outcomes analyzed to improve program effectiveness. The State is proud of its use of childhood assessments and data, but strives to be more rigorous by also evaluating the effectiveness of the teacher on each child's cognitive growth. Only then will teachers have the data they need to strengthen their practice. To that end, the State plans to pilot CLASS as the first step in this process.

Improving the transition from preschool to kindergarten

In order to improve the transition between preschool and kindergarten, Alabama plans to (1) support a leadership academy for pre-kindergarten and kindergarten teachers, and (2) support Jump Start to Kindergarten and other pre-kindergarten transition activities.

Leadership academy for pre-kindergarten and kindergarten teachers - The Alabama Department of Children's Affairs in partnership with the Alabama Department of Education will host a pre-kindergarten and kindergarten teacher's leadership academy. Select teachers from across the state will participate in a year-long program, which will provide research-based best practices and professional development to address how teachers can best support smooth transitions from pre-school to kindergarten. The State will use the learnings from this endeavor to establish a set of best-practices that it can apply to all programs.

Jump Start to Kindergarten - The Department of Children's Affairs provides summer pre-kindergarten services through Jump Start to Kindergarten. This program is designed to increase access to and the quality of a child's kindergarten experience. The State is also working to fund more hands-on activities to connect current and future parents of young children with each other, and with kindergarten teachers to set expectations and develop goals to improve each child's preparation for kindergarten.

Priority 4: Invitational Priority – Expansion and Adaptation of Statewide Longitudinal Data Systems *(not scored)*

The Secretary is particularly interested in applications in which the State plans to expand statewide longitudinal data systems to include or integrate data from special education programs, English language learner programs, early childhood programs, at-risk and dropout prevention programs, and school climate and culture programs, as well as information on student mobility, human resources (*i.e.*, information on teachers, principals, and other staff), school finance, student health, postsecondary education, and other relevant areas, with the purpose of connecting and coordinating all parts of the system to allow important questions related to policy, practice, or overall effectiveness to be asked, answered, and incorporated into effective continuous improvement practices.

The Secretary is also particularly interested in applications in which States propose working together to adapt one State's statewide longitudinal data system so that it may be used, in whole or in part, by one or more other States, rather than having each State build or continue building such systems independently.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

(P)(4) Expansion and Adaptation of Statewide Longitudinal Data Systems

The Alabama State Department of Education (ALSDE) proposed Longitudinal Data System (LDS) will align Alabama with all components of the America Competes Act and establish a foundation for accomplishing substantial growth in all areas of education reform.

From a strategic perspective, Alabama's objectives include both an ALSDE education specific data warehouse (Alabama Consolidated Education System – ACES) and a multi-agency (Alabama System for Collaborative Education Needs Data Warehouse – ASCEND) that will store critical data and provide a full pre-kindergarten to college view of Alabama's students. This suite of projects will enhance ALSDE's ability to utilize current and historical longitudinal student data for establishing, detecting, and identifying trends in student performance.

Without third-party funding, Alabama has accomplished significant progress in its overall data management systems. In fact, Alabama is one of only eleven states to meet all ten essential elements of the statewide data systems as measured by the Data Quality Campaign (DQC). However, funding through this grant will enable Alabama to deliver value-added resources to a broad constituency of public and private interests. A byproduct of Alabama's future LDS will be an environment that fosters collaboration and transparency for key stakeholders and interested parties.

Through the collective efforts of participating agencies, the anticipated data sharing will enrich Alabama's capacity to assess contribution to student achievement of the continuum of programs from early childhood through secondary instruction and beyond. Data harvested from this effort will allow Alabama to establish targeted areas of assistance for dropout prevention and recognition of cultural implications in areas of need. Additionally Alabama will improve its ability to address cultural driven issues, such as its national rankings for obesity, teen pregnancy, poverty and other socioeconomic factors that impact Alabama's competitive standing in a 21st century workforce.

By implementing a near real-time reporting structure, early warnings about potential truancy and behavioral patterns of At-Risk students can shape ALSDE's and LEA programs of support. This capability will also increase the bandwidth of teacher-to-student performance measures, validating the efficacy of teacher preparation programs. Furthermore, by using ACES data warehouse, Alabama will be able to establish the level of correlation of programs,

curriculum, and teacher effectiveness at the classroom level to attainment, course completion, and test scores.

Priority 5: Invitational Priority -- P-20 Coordination, Vertical and Horizontal Alignment *(not scored)*

The Secretary is particularly interested in applications in which the State plans to address how early childhood programs, K-12 schools, postsecondary institutions, workforce development organizations, and other State agencies and community partners (e.g., child welfare, juvenile justice, and criminal justice agencies) will coordinate to improve all parts of the education system and create a more seamless preschool-through-graduate school (P-20) route for students. Vertical alignment across P-20 is particularly critical at each point where a transition occurs (e.g., between early childhood and K-12, or between K-12 and postsecondary/careers) to ensure that students exiting one level are prepared for success, without remediation, in the next. Horizontal alignment, that is, coordination of services across schools, State agencies, and community partners, is also important in ensuring that high-need students (as defined in this notice) have access to the broad array of opportunities and services they need and that are beyond the capacity of a school itself to provide.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

Recommended maximum response length, if any: Two pages

Response coming.....

Priority 6: Invitational Priority -- School-Level Conditions for Reform, Innovation, and Learning *(not scored)*

The Secretary is particularly interested in applications in which the State's participating LEAs (as defined in this notice) seek to create the conditions for reform and innovation as well as the conditions for learning by providing schools with flexibility and autonomy in such areas as—

(i) Selecting staff;

(ii) Implementing new structures and formats for the school day or year that result in increased learning time (as defined in this notice);

(iii) Controlling the school's budget;

(iv) Awarding credit to students based on student performance instead of instructional time;

(v) Providing comprehensive services to high-need students (as defined in this notice) (e.g., by mentors and other caring adults; through local partnerships with community-based organizations, nonprofit organizations, and other providers);

(vi) Creating school climates and cultures that remove obstacles to, and actively support, student engagement and achievement; and

(vii) Implementing strategies to effectively engage families and communities in supporting the academic success of their students.

The State is invited to provide a discussion of this priority in the text box below, but such description is optional. Any supporting evidence the State believes will be helpful must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.
Recommended maximum response length, if any: Two pages

(P)(6) School-Level Conditions for Reform, Innovation, and Learning

- George Hall Elementary School in Mobile, Alabama was recently recognized by the Education Trust as a Dispelling the Myth school one of only four such recognitions in our country. Seven years ago, George Hall Elementary was one of the lowest-achieving elementary schools in our state. Through visionary leadership of Principal, Terri Tomlinson, the transformation began with a requirement that all current teachers and staff must reapply for their positions. As a result of this innovative measure only two (2) of the original thirty (30) teachers were rehired. New teachers were offered incentive bonuses to work at George Hall and were awarded additional bonuses for increased student achievement. Now seven (7) years later, George Hall is the benchmark for our state and the bonuses exist no more but most remarkably ALL of the original staff brought in to transform the school are still there – a testament to the strength of a staffing plan where excellence is the basis for all human capital decisions.

- **Priority 6(ii)**

- Huntsville City Schools, in collaboration with the National Center on Time and Learning, have identified two middle schools to pilot this extended school day concept. Consultants from the National Center have spent considerable time working with the school administration and faculty in designing this new school day. Funding for this work will be coordinated through the recently released 1003g School Improvement Grant for which both identified schools qualify. The plan is for identified faculty and school leadership to attend the summer institute in Boston and visit with current faculty of schools involved in an extended learning schools initiative.

- **Priority 6(iv)**

- Alabama has recently granted waivers to multiple school systems who are pursuing student learning from the perspective of student performance rather than instructional time. Currently Alabama has 60 school systems participating in a Credit Recovery Program whereby students who are unsuccessful in a core course are given additional time with accelerated learning to show proficiency. Through this flexibility ALL of the

participating schools have seen a significant decrease in the number of school dropouts which will have a positive influence on Alabama's graduation rate.

- Alabama has also created flexibility for those students who enter a course already proficient in the content through Credit Advancement. Currently there are 10 school systems participating in this initiative with varied levels of success. What has occurred is students exhibiting proficiency and being able to move directly into higher level courses. An unexpected outcome of this creative approach has been the realization by the teaching faculties of the participating schools that their level of expectation and rigor was missing in their current assessments and they subsequently revised their assessments and their learning expectations.

- **Priority 6(v)**

- The Mobile Public School System has developed the most innovative alternative program in our state through a partnership with the Mobile Areas Education Foundation. Through this partnership, and in collaboration with Alternatives Unlimited, Inc., Mobile has opened Drop Back In Academies and in just this first year has reached some 800 students who had previously dropped out of the public school system. This innovative program is operating in storefronts within the communities where students live and involve a variety of services beyond the required academics that address the needs of the whole child.

- **Priority 6(vi)**

- Winterboro School in rural Talladega County, Alabama was experiencing a continual decrease in their graduation rate and had exhausted most traditional approaches to address this problem. After visiting schools throughout the county, the team determined that the Project Based Learning (PBL) model would be most effective in Winterboro. They also realized that rather than a new "program" a reform of the entire curriculum and the delivery of that system were needed. Through collaboration with key community organizations and support of the school board the transformation of the building, the faculty, and the entire approach to content delivery was transformed using the

Framework for 21st Century Learning developed by the Partnership for 21st Century Skills. Walls were removed to create learning suites where science and math teachers co-teach around an integrated project-based format. The same is found between the English and Social Studies teachers. Students are assigned roles that replicate positions found within the business world and they are graded based on their ability to collaborate, think critically, and solve problems while also showing mastery of content. A 1:1 student to computer ratio is in place along with other cutting edge technologies that have transformed a school built in the 1940s into a 21st century model school. Just in this first year the faculty and staff at Winterboro have hosted three "open houses" for educators, business and industry leaders and other interested stakeholders and replication is underway in several other systems realizing the great potential for total school reform and most importantly graduates equipped for the 21st century.

- **Priority 6(vii)**

- YES WE CAN – Beginning in May of 2001, the Mobile Area Education Foundation began an effort to build public support and engagement around their public school system, Alabama's largest and most diverse, through the YES WE CAN movement. Over the past several years some 1,400 citizens took part in 48 different "community conversations" held during a 14-week period in high school feeder-pattern meeting across the county. The result of this three year effort was the formulation of the YES WE CAN Community Agreement that has as its ultimate goal the reconnection of the community to their public schools. This goal is grounded in the belief that public schools play a vital role in the community and that the community must play a vital role in public schools

- Through this effort what was once a system riddled with low performing schools surrounded by areas of high crime is now a system recognized at the state, regional and national level as one filled with models of best practice. Of Alabama's seven (7) Torchbearer Schools, schools who have dispelled the myth that demography determines a child's destiny, six (6) of these schools are in the Mobile County School System. The children have not changed nor have their economic status but the expectations have changed not only within the school system but throughout the diverse communities that make up Mobile County.

- Due to this success the YES WE CAN movement has spread to Birmingham, Dothan, and Montgomery, our state's other key urban areas, with the goal of community engagement, increased student achievement and the revitalization of not just our public schools but the communities who support them.

Budget Part I: Budget Summary Table

Instructions:
In the Budget Summary Table, the State should include the budget totals for each budget category and each year of the grant. These line items are derived by adding together the line items from each of the Project-Level Budget Tables.

Budget Part I: Summary Budget Table
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel	1,850,000	2,301,000	2,605,531	2,679,196	9,435,727
2. Fringe Benefits	340,500	494,325	629,251	786,092	2,250,168
3. Travel	208,000	304,600	142,000	118,500	773,100
4. Equipment	492,800	19,000	0	0	511,800
5. Supplies	332,500	514,500	112,500	112,500	1,072,000
6. Contractual	10,867,342	13,473,055	7,842,430	6,792,930	38,975,757
7. Training Stipends	1,180,930	8,501,570	7,300,930	7,100,930	24,084,360
8. Other	1,100,000	600,000	50,000	0	1,750,000
9. Total Direct Costs (lines 1-8)	16,372,072	26,208,050	18,682,642	17,590,138	78,852,902
10. Indirect Costs*	452,640	492,000	452,640	452,640	1,849,920
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs	1,699,307	1,699,307	1,699,307	1,699,307	6,797,228
13. Total Costs (lines 9-12)	18,524,019	28,399,357	20,834,589	19,742,085	87,500,000
14. Funding Subgranted to Participating LEAs (50% of Total Grant)	21,875,000	21,875,000	21,875,000	21,575,000	87,500,000
15. Total Budget (lines 13-14)	40,699,019	50,274,357	42,709,589	41,317,085	175,000,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART I: BUDGET SUMMARY NARRATIVE

Evidence for Section A(2)(i)(d)

Alabama's Race to the Top budget is structured to build upon existing state, local and federal funding in order to leverage the most potential possible in advancing our reform agenda. As will be clearly evident, the focus of Alabama's application and accompanying budget, is one of building the human capital capacity of our most valued investment, our teachers and leaders, with an expectation that this investment will yield increase student achievement, a reduced achievement gap and more students graduating prepared for college and careers.

We have been very mindful of the financial commitment of our local school systems and the funding cliff that could occur after the grant period is completed. To ensure the best return on investment we have focused the majority of the grant budget on building capacity rather than on additional personnel or resources that have on-going budget commitments.

Budget Part II: Project-Level Budget Table
Project Name: Race to the Top Oversight
Associated with Criteria: A(2)(i)

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: [fill in the project name the State has assigned to this work]
Associated with Criteria: [fill in the designations of the criteria associated with this project]
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel	$150,000	$150,000	$150,000	$150,000	$600,000
2. Fringe Benefits	$42,000	$42,000	$42,000	$42,000	$168,000
3. Travel	$10,000	$10,000	$10,000	$10,000	$40,000
4. Equipment					
5. Supplies	$7,000	$7,000	$7,000	$7,000	$28,000
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	$209,000	$209,000	$209,000	$209,000	$836,000
10. Indirect Costs*	$41,000	$41,000	$41,000	$41,000	$164,000
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$250,000	$250,000	$250,000	$250,000	$1,000,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART II: PROJECT-LEVEL BUDGET NARRATIVE

Project Name: Race to the Top Oversight

Associated with Criteria A(2)(i)

1) **Personnel**

The following personnel will be hired as employees of the project	%FTE	Base	Total
	100%	$150,000	$150,000

2) **Fringe Benefits**

   Fringe benefits are calculated at 28%

3) **Travel**

   Ten meetings per year at $500.00 per meeting. Additional travel for relevant national conferences associated with the grant.

4) **Equipment**

5) **Supplies**

   Production of resource materials related to the grant and related general resource expenditures.

6) **Contractual**

7) **Training Stipends**

8) **Other**

9) **Total Direct Costs**

   The sum of all direct costs is $836,000.00 based on amounts from chart above

10) **Indirect Costs**

    The sum of indirect costs, based on a 16.4% rate, is $164,000.00

11) **Funding for Involved LEAs**

12) **Funding for Participating LEAs**

13) **Total Costs**

    Total costs over the four years of the grant is $1,000,000.00

Budget Part II: Project-Level Budget Table
Project Name: Race to the Top Delivery Unit
Associated with Criteria: A(2)(i)

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: [fill in the project name the State has assigned to this work]
Associated with Criteria: [fill in the designations of the criteria associated with this project]
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel					
2. Fringe Benefits					
3. Travel	$10,000	$10,000	$10,000	$10,000	$40,000
4. Equipment					
5. Supplies	$10,000	$10,000	$10,000	$10,000	$40,000
6. Contractual	$79,500	$79,500	$79,500	$79,500	$318,000
7. Training Stipends	$5,000	$5,000	$5,000	$5,000	$20,000
8. Other					
9. Total Direct Costs (lines 1-8)	$104,500	$104,500	$104,500	$104,500	$418,000
10. Indirect Costs*	$20,500	$20,500	$20,500	$20,500	$82,000
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$125,000	$125,000	$125,000	$125,000	$500,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART II: PROJECT-LEVEL BUDGET NARRATIVE

Project Name: Race to the Top Delivery Unit

Associated with Criteria A(2)(i)

1) **Personnel**
2) **Fringe Benefits**
3) **Travel**

   The Alabama State Department of Education (ALSDE) will participate with partner states who are working to reform their mission to one of a Delivery Unit in addition to the regulatory requirements traditionally associated with state departments of education. We would anticipate the possibility of two meetings per year where a team of leaders are working with leaders from other states in this reform effort. This would equate to $5000.00 per trip with two trips per year at a total of $10,000 per year and a total of $40,000 over the four years of the grant
4) **Equipment**
5) **Supplies**

   Production of resource materials related to the delivery unit concept to serve LEAs with the resources and support needed to attain the goals within the grant.
6) **Contractual**

   Alabama will partner with our Comprehensive Center and Regional Lab to assist in reforming the ALSDE into a data-driven delivery unit focused on clear goals and evaluations of those goals to serve our participating LEAs.
7) **Training Stipends**

   Realizing the need for continual LEA participation, the ALSDE expects to include representatives from participating LEAs in this reform work and would be expected to cover the costs of their training through these stipends. We project a $500.00 stipend per participant for up to 10 LEA representatives annually over the four years of the grant.
8) **Other**
9) **Total Direct Costs**

   The sum of all direct costs is $418,000.00 based on amounts from chart above
10) **Indirect Costs**

    The sum of indirect costs, based on a rate of 16.4%, is $82,000.00
11) **Funding for Involved LEAs**
12) **Funding for Participating LEAs**
13) **Total Costs**

    Total costs over the four years of the grant is $500,000.00

Budget Part II: Project-Level Budget Table
Project Name: Common Core Standards Professional Development
Associated with Criteria: B(3)

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: [fill in the project name the State has assigned to this work]
Associated with Criteria: [fill in the designations of the criteria associated with this project]
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel					
2. Fringe Benefits					
3. Travel	$10,000	$10,000	$10,000	$10,000	$40,000
4. Equipment					
5. Supplies	$10,000	$10,000	$10,000	$10,000	$40,000
6. Contractual	$125,930	$125,930	$125,930	$125,930	$503,720
7. Training Stipends	$175,930	$175,930	$175,930	$175,930	$703,720
8. Other					
9. Total Direct Costs (lines 1-8)	$321,860	$321,860	$321,860	$321,860	$1,287,440
10. Indirect Costs*	$63,140	$63,140	$63,140	$63,140	$252,560
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$385,000	$385,000	$385,000	$385,000	$1,540,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART II: PROJECT-LEVEL BUDGET NARRATIVE

Project Name: Common Core Standards Professional Development

Associated with Criteria: B(3)

1) **Personnel**
2) **Fringe Benefits**
3) **Travel**

   Staff and trainer(s) travel - $10,000 per year for four years – total $40,000
4) **Equipment**
5) **Supplies**

   Training and resource materials for unpacking the standards for teachers
6) **Contractual**

   Utilizing the current Regional In-Service Center structure within Alabama, the ALSDE will coordinate the rollout training utilizing a train-the-trainer model utilizing teachers from their respective regions. These teachers will be contracted for services through the regional center and trained by ALSDE staff. The allocations to the regional centers will be proportional to the number of teachers within the region.
7) **Training Stipends**

   To ensure full participation by identified teachers a stipend will be provided for associated costs related to training that occurs outside of the regular school day or school year.
8) **Other**
9) **Total Direct Costs**

   The sum of all direct costs is $1,287,440.00 based on amounts from chart above
10) **Indirect Costs**

    The sum of indirect costs, based on a rate of 16.4%, is $252,560.00
11) **Funding for Involved LEAs**
12) **Funding for Participating LEAs**
13) **Total Costs**

    Total costs over the four years of the grant is $1,540,000.00

Budget Part II: Project-Level Budget Table
Project Name: Integrating Common Core Standards into Preservice
Associated with Criteria: B(3)

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: [fill in the project name the State has assigned to this work]
Associated with Criteria: [fill in the designations of the criteria associated with this project]
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends		$200,640			
8. Other					
9. Total Direct Costs (lines 1-8)		$200,640			
10. Indirect Costs*		$39,360			
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)		$240,000			$240,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART II: PROJECT-LEVEL BUDGET NARRATIVE

Project Name: Integrating Common Core Standards into Preservice

Associated with Criteria: B(3)

1) **Personnel**
2) **Fringe Benefits**
3) **Travel**
4) **Equipment**
5) **Supplies**
6) **Contractual**

   The Alabama State Department of Education will contract with participating universities to provide training on the Common Core Standards to college of education faculty involved in teacher and leader preparation programs. Based on the current review and adoption schedule for the Common Core Standards this process will occur in year 2 of the grant with a projected $1000.00 per faculty member based on 100 faculty.
7) **Training Stipends**
8) **Other**
9) **Total Direct Costs**
10) **Indirect Costs**

    The sum of indirect costs, based on a rate of 16.4%, is $39,360.00
11) **Funding for Involved LEAs**
12) **Funding for Participating LEAs**
13) **Total Costs**

    Total costs over the four years of the grant is $240,000.00

Budget Part II: Project-Level Budget Table
Project Name: Longitudinal Data System
Associated Criteria: C(1)

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: [fill in the project name the State has assigned to this work]
Associated with Criteria: [fill in the designations of the criteria associated with this project]
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel					
2. Fringe Benefits					
3. Travel	$8,500	$8500	$8500		$25,500
4. Equipment	$463,300				$463,300
5. Supplies	$248,000	$400,000			$648,000
6. Contractual	$1,860,625	$3,745,625	$1,515,000		$7,121,250
7. Training Stipends					
8. Other	$1,100,000	$600,000	$50,000		$1,750,000
9. Total Direct Costs (lines 1-8)	$3,680,425	$4,754,125	$1,573,500		10,008,050
10. Indirect Costs*					
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$3,680,425	4,754,125	1,573,500		10,008,050

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

ACES						
		2010	2011	2012	2013	TOTAL
1. ALSDE Staff Salaries						
Project Director (20 %)	Manage the preparation and execution of the RFP process coordinate the overall work of all concurrent activities and server as primary liaison to other agencies/stakeholders	8,775	1,875	0	0	10,650
SDE PM (25 - 50 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project	26,500	6,625	0	0	33,125
SDE Business Analyst / SME (25 - 75 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	18,750	18,750	0	0	37,500

SDE Developer 2 Staff (100 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	67,500	45,000	0	0	112,500
Salaries Subtotal		121,525	72,250	0	0	193,775
2. Employee Benefits		36,458	21,675	0	0	58,133
ALSDE In-Kind Contributions		157,983	93,925	0	0	251,908
3. Travel						
Annual Grantee Meeting (2 person team)	Airfare, hotel, ground transportation, meals,	5,000	5,000	5,000	0	15,000
Travel Subtotal		**5,000**	**5,000**	**5,000**	**0**	**15,000**
4. Equipment						
Additional Hardware - MS Sql Server, Microsoft Server 2008		152,400	0	0	0	152,400
Total Equipment		**152,400**	**0**	**0**	**0**	**152,400**
5. Materials and Supplies						
Software Licenses - MS Sql Server, Microsoft Server 2008, Business Intelligence Tools		62,000	400,000	0	0	462,000
General Office Supplies						
Total Materials and Supplies		**62,000**	**400,000**	**0**	**0**	**462,000**
6. Contractual						

PMO Director (20 %)	Establishes the overall PMO for the five projects. Works with the individual Project Managers of the respective projects to coordinate activities and resources.	87,000	18,750	0	0	105,750
Contract PM (100 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project	187,500	62,500	0	0	250,000
Contract Business Analyst (100 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	100,000	50,000	0	0	150,000
Contract Software Architect (100 %)	Designs, prepares, and configures the overall software structure, develops framework for integration with various components and subsystem whether built in-house or acquired for implementation	50,000	50,000	0	0	100,000

Contract Database Administrator 3 Staff (100 %)	Designs overall database architecture, schemas, scripts, data transformation of external data sources, and services of the enterprise data repositories. Monitors operational performance of database servers and all databases to ensure data integrity and reliability	300,000	150,000	0	0	450,000
Contract Developer 2 Staff (100 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	90,000	60,000	0	0	150,000
Total Contractual Services		814,500	391,250	0	0	1,205,750
8. Other						
Total Other						
10. Total Indirect Costs						
Total Funding Requested		1,033,900	796,250	5,000	0	1,835,150

On-Line Teacher Certification						
		2010	2011	2012	2013	TOTAL
1. ALSDE Staff Salaries						
Project Director (20 %)	Manage the preparation and execution of the RFP process coordinate the overall work of all concurrent activities and server as primary liaison to other agencies/stakeholders	2,513	3,750	0	0	6,263
SDE Business Analyst / SME (25 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	6,250	12,500	0	0	18,750
SDE Developer (50 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	11,250	22,500	0	0	33,750
Salaries Subtotal		20,013	38,750	0	0	58,763
2. Employee Benefits		6,004	11,625	0	0	17,629
ALSDE In-Kind Contributions		26,017	50,375	0	0	76,392
3. Travel						
Travel Subtotal						

4. Equipment						
Additional Hardware - SQL Server (R900 3 tiered environment), Desktop PCs, SAN Storage, Scanners		120,400	0	0	0	120,400
Total Equipment		**120,400**	**0**	**0**	**0**	**120,400**
5. Materials and Supplies						
Software Licenses - BizTalk 2009, MS Windows 2003/2008 Server. AX Workflow BizTalk Connector, Compuware Dev Express, Application Monitoring Tools, K2 Workflow Engine, RedGate SQL and .NET Profiler Bundle		***150,000***	0	0	0	***150,000***
General Office Supplies						
Total Materials and Supplies		***150,000***	**0**	**0**	**0**	***150,000***
6. Contractual						
PMO Director (20 %)	Establishes the overall PMO for the five projects. Works with the individual Project Managers of the respective projects to coordinate activities and resources.	24,750	37,500	0	0	62,250
Contract PM (25 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project	15,625	31,250	0	0	46,875

Contract Business Analyst (50 - 100 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	50,000	75,000	0	0	125,000
Contract Software Architect (50 - 100 %)	Designs, prepares, and configures the overall software structure, develops framework for integration with various components and subsystem whether built in-house or acquired for implementation	50,000	75,000	0	0	125,000
Contract DBA (25 %)	Designs overall database architecture, schemas, scripts, data transformation of external data sources, and services of the enterprise data repositories. Monitors operational performance of database servers and all databases to ensure data integrity and reliability	12,500	25,000	0	0	37,500
Contract Developer 3 Staff (100 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	60,000	180,000	0	0	240,000

Total Contractual Services	**212,875**	**423,750**	**0**	**0**	**636,625**
8. Other					
Total Other					
10. Total Indirect Costs					
Total Funding Requested	*483,275*	**423,750**	**0**	**0**	*907,025*

Program/Staff Evaluation						
		2010	2011	2012	2013	TOTAL
1. ALSDE Staff Salaries						
Project Director (20 %)	Manage the preparation and execution of the RFP process coordinate the overall work of all concurrent activities and server as primary liaison to other agencies/stakeholders	0	6,900	0	0	6,900
SDE Business Analyst / SME (25 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	0	18,750	0	0	18,750
SDE Developer (50 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	0	33,750	0	0	33,750
Salaries Subtotal		0	59,400	0	0	59,400
2. Employee Benefits		0	17,820	0	0	17,820
ALSDE In-Kind Contributions		0	77,220	0	0	77,220
3. Travel						
Travel Subtotal						

4. Equipment						
Additional Hardware						
Total Equipment						
5. Materials and Supplies						
Software Licenses						
General Office Supplies						
Total Materials and Supplies						
6. Contractual						
PMO Director (20 %)	Establishes the overall PMO for the five projects. Works with the individual Project Managers of the respective projects to coordinate activities and resources.	0	68,250	0	0	68,250
Contract PM (25 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project	0	46,875	0	0	46,875
Contract Business Analyst (50 - 100 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	0	125,000	0	0	125,000

Contract Software Architect (50 - 100 %)	Designs, prepares, and configures the overall software structure, develops framework for integration with various components and subsystem whether built in-house or acquired for implementation	0	125,000	0	0	125,000
Contract DBA (100 %)	Designs overall database architecture, schemas, scripts, data transformation of external data sources, and services of the enterprise data repositories. Monitors operational performance of database servers and all databases to ensure data integrity and reliability	0	150,000	0	0	150,000
Contract Developer 3 Staff (100 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	0	240,000	0	0	240,000
Total Contractual Services		0	755,125	0	0	755,125
8. Other						

Total Other					
10. Total Indirect Costs					
Total Funding Requested	0	755,125	0	0	755,125

ASCEND						
		2010	2011	2012	2013	TOTAL
1. ALSDE Staff Salaries						
Project Director (20 %)	Manage the preparation and execution of the RFP process coordinate the overall work of all concurrent activities and server as primary liaison to other agencies/stakeholders	2,513	8,775	0	0	11,288
Agency SME (5%)		1,500	6,000	0	0	7,500
SDE PM (25 - 50 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project	13,250	33,125	0	0	46,375
SDE Business Analyst / SME (25 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	6,250	25,000	0	0	31,250

SDE Developer 2 Staff 100%	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	0	90,000	0	0	90,000
Salaries Subtotal		23,513	162,900	0	0	186,413
2. Employee Benefits		7,054	48,570	0	0	55,624
ALSDE In-Kind Contributions		30,567	211,470	0	0	242,037
3. Travel						
Annual Grantee Meeting						
Travel Subtotal						
4. Equipment						
Additional Hardware - SQL Server (R900 3 tiered environment), Desktop PCs, SAN Storage		190,500	0	0	0	190,500
Total Equipment		**190,500**	**0**	**0**	**0**	**190,500**
5. Materials and Supplies						
Software Licenses - MS Sql Server, Microsoft Server 2008		36,000	0	0	0	36,000
General Office Supplies						
Total Materials and Supplies		**36,000**	**0**	**0**	**0**	**36,000**
6. Contractual						

PMO Director (20 %)	Establishes the overall PMO for the five projects. Works with the individual Project Managers of the respective projects to coordinate activities and resources.	24,750	87,000	0	0	111,750
Contract PM (100 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project	62,500	250,000	0	0	312,500
Contract Business Analyst (100 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	50,000	200,000	0	0	250,000
Contract Software Architect (100 %)	Designs, prepares, and configures the overall software structure, develops framework for integration with various components and subsystem whether built in-house or acquired for implementation	0	100,000	0	0	100,000

Contract Database Administrator 3 Staff (100 %)	Designs overall database architecture, schemas, scripts, data transformation of external data sources, and services of the enterprise data repositories. Monitors operational performance of database servers and all databases to ensure data integrity and reliability	0	450,000	0	0	450,000
Contract Developer 2 Staff (100 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	0	120,000	0	0	120,000
Total Contractual Services		**137,250**	**1,207,000**	**0**	**0**	**1,344,250**
8. Other						
Other State Agencies / Partners – Data Systems Modification	System modifications for the Alabama Commission on Higher Education, the Alabama Department of Industrial Relations, the Department of Children's Affairs, and the Alabama Department of Rehabilitation Services to accommodate the required changes to conform to the requirements of this objective	200,000	200,000	0	0	400,000

Total Other	**200,000**	**200,000**	**0**	**0**	**400,000**
10. Total Indirect Costs					
Total Funding Requested	563,750	1,407,000	0	0	1,970,750

E-Transcript						
		2010	2011	2012	2013	TOTAL
1. ALSDE Staff Salaries						
Project Director (20 %)	Manage the preparation and execution of the RFP process coordinate the overall work of all concurrent activities and server as primary liaison to other agencies/stakeholders	8,775	8,775	22,500	0	40,050
SDE PM (25 - 50 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project	26,500	26,500	26,500	0	79,500
SDE Business Analyst / SME (10 - 25 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	18,750	7,500	17,500	0	43,750

SDE Developer (100 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	0	0	90,000	0	90,000
Salaries Subtotal		54,025	42,775	156,500	0	253,300
2. Employee Benefits		16,208	12,833	46,950	0	75,991
ALSDE In-Kind Contributions		70,233	55,608	203,450	0	329,291
3. Travel						
Project Team		2,000	2,000	2,000	0	6,000
In-State Travel for Partner Agencies		1,500	1,500	1,500	0	4,500
Travel Subtotal		**3,500**	**3,500**	**3,500**	**0**	**10,500**
4. Equipment						
Additional Hardware						
Total Equipment						
5. Materials and Supplies						
Software Licenses						
General Office Supplies						
Total Materials and Supplies						
6. Contractual						

PMO Director (20 %)	Establishes the overall PMO for the five projects. Works with the individual Project Managers of the respective projects to coordinate activities and resources.	88,500	88,500	225,000	0	402,000
Contract PM (100 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project	187,500	250,000	250,000	0	687,500
Contract Business Analyst (100 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities	100,000	150,000	200,000	0	450,000
Contract Software Architect (100 %)	Designs, prepares, and configures the overall software structure, develops framework for integration with various components and subsystem whether built in-house or acquired for implementation	100,000	150,000	200,000	0	450,000

Contract Database Administrator 2 Staff - 100 %	Designs overall database architecture, schemas, scripts, data transformation of external data sources, and services of the enterprise data repositories. Monitors operational performance of database servers and all databases to ensure data integrity and reliability	100,000	150,000	400,000	0	650,000
Contract Developer 2 Staff (100 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives	120,000	180,000	240,000	0	540,000
Total Contractual Services		**696,000**	**968,500**	**1,515,000**	**0**	**3,179,500**
8. Other						
Higher Education Institution – Data Systems Modification	System modifications for 14 Public and 14 Independent Colleges and Universities to accommodate the required changes to conform to the requirements of this objective	***350,000***	***350,000***	0	0	***700,000***
Post Secondary Education Institution – Data Systems	System modifications for 22 Comprehensive Community Colleges	***500,000***	0	0	0	***500,000***

Modification	and 4 Technical Colleges to accommodate the required changes to conform to the requirements of this objective					
Alabama Commission on Higher Education	Alabama Commission on Higher Education for coordination with the colleges and universities in the implementation of e-transcripts	50,000	50,000	50,000	0	150,000
Total Other		***900,000***	***400,000***	**50,000**	**0**	***1,350,000***
10. Total Indirect Costs						
Total Funding Requested		***1,599,500***	***1,372,000***	**1,568,500**	**0**	***4,540,000***

Budget Part II: Project-Level Budget Table
Project Name: Data Dashboard
Associated with Criteria: C(2)

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: [fill in the project name the State has assigned to this work]
Associated with Criteria: [fill in the designations of the criteria associated with this project]
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	$418,000	$418,000	$418,000	$418,000	$1,672,000
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	$418,000	$418,000	$418,000	$418,000	$1,672,000
10. Indirect Costs*	$82,000	$82,000	$82,000	$82,000	$328,000
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$500,000	$500,000	$500,000	$500,000	$2,000,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART II: PROJECT-LEVEL BUDGET NARRATIVE

Project Name: Data Dashboard

Associated with Criteria: C(2)

1) **Personnel**
2) **Fringe Benefits**
3) **Travel**
4) **Equipment**
5) **Supplies**
6) **Contractual**

   The Alabama State Department of Education (ALSDE) will contract through our 11 Regional Inservice Centers to provide LEAs with support and training on the use of the newly created data dashboard. Selected national data management specialists will be used to develop a train-the-trainer model to build regional and local capacity in the use of the data dashboard. A combination of face-to-face and online training will be provided at a total cost of $1,672,000.00 over the four years of the grant.
7) **Training Stipends**
8) **Other**
9) **Total Direct Costs**

   The sum of all direct costs is $1,672,000.00 based on amounts from the chart above.
10) **Indirect Costs**

    The sum of indirect costs, based on a rate of 16.4%, is $328,000.00
11) **Funding for Involved LEAs**
12) **Funding for Participating LEAs**
13) **Total Costs**

    Total costs over the four years of the grant are $2,000,000.00

Budget Part II: Project-Level Budget Table
Project Name: Integrating Data to Improve Instruction
Associated with Criteria: C(3)

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: [fill in the project name the State has assigned to this work]
Associated with Criteria: [fill in the designations of the criteria associated with this project]
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	$1,045,000	$1,045,000	$1,045,000	$1,045,000	$4,180,000
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	$1,045,000	$1,045,000	$1,045,000	$1,045,000	$4,180,000
10. Indirect Costs*	$205,000	$205,000	$205,000	$205,000	$820,000
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$1,250,000	$1,250,000	$1,250,000	$1,250,000	$5,000,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART II: PROJECT-LEVEL BUDGET NARRATIVE

Project Name: Integrating Data to Improve Instruction

Associated with Criteria: C(3)

1) **Personnel**
2) **Fringe Benefits**
3) **Travel**
4) **Equipment**
5) **Supplies**
6) **Contractual**

   The Alabama State Department of Education will contract through our 11 Regional Inservice Centers and in partnership with an external nonprofit training partner to equip local school systems in the use of integrating data into the instructional improvement process. A specific focus will be on the use of formative assessment to inform instructional decision making. This training will also be incorporated into our Alabama Learning Exchange (ALEX) for ongoing use once the terms of the grant are completed. The total annual costs will be $1,045,000 with a four year total of $4,180,000.00
7) **Training Stipends**
8) **Other**
9) **Total Direct Costs**

   The sum of all direct costs is $4,180,000.00 based on amounts from the chart above
10) **Indirect Costs**

    The sum of indirect costs, based on a rate of 16.4%, is $820,000.00
11) **Funding for Involved LEAs**
12) **Funding for Participating LEAs**
13) **Total Costs**

    Total costs over the four years of the grant are $5,000,000.00

Budget Part II: Project-Level Budget Table
Project Name: Research Triad
Associated with Criteria: C(3)(iii)

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: [fill in the project name the State has assigned to this work]
Associated with Criteria: [fill in the designations of the criteria associated with this project]
(Evidence for selection criterion (A)(2)(i)(d))

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual	$209,000	$209,000	$209,000	$209,000	$836,000
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)	$209,000	$209,000	$209,000	$209,000	$836,000
10. Indirect Costs*	$41,000	$41,000	$41,000	$41,000	$164,000
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$250,000	$250,000	$250,000	$250,000	$1,000,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART II: PROJECT-LEVEL BUDGET NARRATIVE

Project Name: Research Triad

Associated with Criteria: C(3)(iii)

1) **Personnel**
2) **Fringe Benefits**
3) **Travel**
4) **Equipment**
5) **Supplies**
6) **Contractual**

   The Alabama State Department of Education (ALSDE) in partnership with participating LEAs and Alabama's Research Universities will create a Research Triad to develop research and development components, based on the expanded and comprehensive data system, to inform current and future expenditure of financial, human and resource capital. Funding for research projects will be awarded to universities based on identified areas of need around the topics of instructional practices, materials and curriculum, and teacher and leadership effectiveness.
7) **Training Stipends**
8) **Other**
9) **Total Direct Costs**

   The sum of all direct costs is $836,000.00 based on the chart above
10) **Indirect Costs**

    The sum of indirect costs, based on a rate of 16.4%, is $164,000.00
11) **Funding for Involved LEAs**
12) **Funding for Participating LEAs**
13) **Total Costs**

    Total costs over the four years of the grant are $1,000,000.00

Budget Part II: Project-Level Budget Table
Project Name: Alabama's Race to the Top Application
Associated with Criteria: Great Teachers and Leaders, Section (D)
(Evidence for selection criterion (A)(2)(i)(d)

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel	$1,475,000	$1,919,250	$2,216,828	$2,283,332	$8,999,410
2. Fringe Benefits	$231,000	$382,800	$515,640	$670,332	$2,904,772
3. Travel	$162,000	$258,600	$102,000	$87,000	$609,600
4. Equipment	$26,500	$19,000	-	-	$45,500
5. Supplies	$51,000	$81,000	$79,000	$79,000	$290,000
6. Contractual	$6,200,000	$6,200,000	$2,800,000	$2,700,000	$17,900,000
7. Training Stipends	$1,000,000	$8,120,000	$7,120,000	$6,920,000	$23,160,000
8. Other	-	-	-	-	
9. Total Direct Costs (lines 1-8)	$9,145,500	$16,980,650	$12,833,468	$12,739,664	$53,909,282
10. Indirect Costs*					
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$9,145,500	$16,980,650	$12,833,468	$12,739,664	$53,909,282

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

Alabama's Race to the Top Application–Great Teachers and Leaders, Section (D)(2)

Project Level Budget Narrative

1) Personnel

Personnel: The following requested personnel will all be hired as employees of the project.	% FTE	Base Salary FY11	Base Salary FY12	Base Salary FY13	Base Salary FY14	Total
Human Capital Director – (1) Provide oversight for the educator effectiveness team and their work, which includes supporting participating LEAs to build capacity in all aspects of the work as articulated in (D)1, (D)(2), (D)(3), (D)(4) and (D)(5). This includes the design, development and implementation of comprehensive human capital systems including, but not limited to, alternative preparation pathways, teacher and principal evaluation systems, equitable distribution plans, preparation program changes/improvement, recruitment and staffing, professional development, applying effectiveness data.	100%	$130,000	$133,900	$137,917	$142,055	$673,872
Human Capital Generalist – (8) Provide overall consultation and support to participating LEAs as they build their capacity in human capital reform. This includes, but is not limited to, developing a project scope of work, implementing teacher and principal evaluation systems, assisting with the development of equitable distribution plans, providing guidance related to teacher and principal staffing, helping determine how to access and implement high-quality professional development and applying effectiveness data.	100%	$720,000	$741,600	$763,848	$786,763	$3,102,211
Change Management Manager – (1) This individual will be an expert on change management, and will develop change management models, provide training and design communication plans that participating LEAs can use to build their capacity to transform their school culture to one that is focused on driven by student growth.	100%	0	$75,000	$77,250	$79,568	$306,818
Teacher Effectiveness Manager – (1) This individual will be an expert on teacher evaluation design, implementation and training, and provide expertise to participating LEAs through the Human Capital Generalists. They will develop training modules and manage train-the-trainer initiatives related to teacher effectiveness, with the goal of building LEA capacity.	100%	$75,000	$77,250	$79,568	$81,955	$388,772
Principal Effectiveness Manager – (1) This individual will be an expert on principal evaluation design, implementation and training, and provide expertise to participating LEAs schools through the Human Capital	100%	$75,000	$77,250	$79,568	$81,955	$388,772

Generalists. They will develop training modules and manage train-the-trainer initiatives related to principal effectiveness, with the goal of building LEA capacity.						
Compensation Manager – (1) This individual will be an expert on performance-based compensation program design, implementation and training, and provide expertise to participating LEAs through the Human Capital Generalists.	100%	0	$75,000	$77,250	$79,568	$306,818
Professional Development and Support Manager – (1) This individual will be an expert on performance-based professional development and will create a PD framework that complements the comprehensive evaluation systems for teachers and principals. They will provide expertise to participating LEAs through the Human Capital Generalists, develop training modules and manage train-the-trainer initiatives, all to develop LEA capacity to carry out highly-effective professional development and support functions. They will also be responsible for using data to determine the quality and effectiveness of professional development programs that receive State funding.	100%	$75,000	$77,250	$79,568	$81,955	$388,772
Professional Support Coordinator – (4) These individuals will work with the Human Capital Generalists and participating LEAs to build LEA capacity to create professional development plans for teachers and principals, as informed by teacher and principal evalution outcomes.	100%	0	0	$240,000	$247,200	$547,200
Teacher Preparation Program Manager – (1) This individual will oversee and coordinate the redesign of the teacher preparation programs and creation of alternative preparation pathways.	25%	$25,000	$25,750	$26,523	$27,318	$204,591
Recruiting Manager - (2) These individuals will be experts on teacher and principal staffing. They will support participating LEAs through the Human Capital Generalists, to build LEA capacity to use human capital data systems to report vacancies, formulate staffing and equitable distribution plans and hire effective teachers and principals. They will develop training modules and train participating LEAs on how to identify, interview, hire and place effective teachers and principals.	100%	$150,000	$154,500	$159,135	$163,909	$702,544
Recruiting Coordinator – (2) Facilitate the connection between teacher and principal candidates prepared through Alabama Teach Corp and Alabama Lead Corp and participating LEAs and turnaround schools as they recruit new staff.	100%	0	$100,000	$103,000	$106,090	$359,090
Human Capital Information System Specialist – (2) Provide technical support, training and assistance to LEAs as they implement the data dashboard and other human capital data systems.	100%	0	$150,000	$154,500	$159,135	$538,635
Human Capital Data Analyst – (2)	100%	$150,000	$154,500	$159,135	$163,909	$702,544

These individuals will manage data analysis for the Educator Effectiveness Team						
Education Reform and Innovation Council (ERIC) Manager – (1) Provide support to the ERIC with respect to setting meeting agendas and facilitating meetings, reviewing and synthesizing research and information on best practices as it relate to state of the art performance effectiveness systems and conducting policy reviews to inform discussions.	100%	$75,000	$77,250	$79,568	$81,955	$388,772
TOTAL PERSONNEL	-	$1,475,000	$1,919,250	$2,216,828	$2,283,332	$8,999,410

2) Fringe Benefits

Fringe Benefits: 30 percent for all staff.	% FTE	Fringe Benefits FY11	Fringe Benefits FY12	Fringe Benefits FY13	Fringe Benefits FY14	Total
Human Capital Director – (1)	100%	$39,000	$50,700	$65,910	$85,683	$371,293
Human Capital Generalist – (8)	100%	$27,000	$35,100	$45,630	$59,319	$257,049
Change Management Manager – (1) This individual will be an expert on change management, and will develop change management models, provide training and design communication plans that participating LEAs can use to build their capacity to transform their school culture to one that is focused on driven by student growth.	100%	0	$22,500	$29,250	$38,025	$164,775
Teacher Effectiveness Manager – (1)	100%	$22,500	$29,250	$38,025	$49,433	$214,208
Principal Effectiveness Manager – (1)	100%	$22,500	$29,250	$38,025	$49,433	$214,208
Compensation Manager – (1)	100%	0	$22,500	$29,250	$38,025	$164,775
Professional Development and Support Manager – (1)	100%	$22,500	$29,250	$38,025	$49,433	$214,208
Professional Support Coordinator – (4) These individuals will work with the Human Capital Generalists and participating LEAs to build LEA capacity to create professional development plans for teachers and principals, as informed by teacher and principal evalution outcomes.	100%	0	0	$18,000	$23,400	$101,400
Teacher Preparation Program Manager – (1) This individual will oversee and coordinate the redesign of the teacher preparation programs and creation of alternative preparation pathways.	25%	$30,000	$39,000	$50,700	$65,910	$285,610
Recruiting Manager - (2)	100%	$22,500	$29,250	$38,025	$49,433	$214,208
Recruiting Coordinator – (2)	100%	0	$15,000	$19,500	$25,350	$109,850

Human Capital Information System Specialist – (2)	100%	0	$22,500	$29,250	$38,025	$164,775
Human Capital Data Analyst – (2)	100%	$22,500	$29,250	$38,025	$49,433	$214,208
Education Reform and Innovation Council (ERIC) Manager – (1)	100%	$22,500	$29,250	$38,025	$49,433	$214,208
TOTAL FRINGE BENEFITS	-	$231,000	$382,800	$515,640	$670,332	$2,904,772

3) Travel

Travel: Travel expenses include the average mile reimbursements of $100 each, in addition to an amount of per diem of $50.	Travel Details	$ per Trip	FY11	FY12	FY13	FY14	Total
ALSDE will hold a project launch meeting to begin working with participating LEAs. The meeting will focus on helping LEAs prepare their respective scopes of work.	100 projects @ 3 people per project (1 Project Dir., 1 staff and 1 school board member/union leader/per district.)	$150	$45,000	-	-	-	$45,000
ALSDE will hold a two day project meeting in year two with participating LEAs to prepare them for implementation.	100 projects @ 4 people per project (1 Project Dir., 2 staff and union rep.)	$300	-	$120,000	-	-	$120,000
The Education Reform and Innovation Council (ERIC) will meet as a group, in a face-to-face meeting format, once every other month first two years, and then quarterly in years three and four of the initiative. These frequent meetings are necessary given ERIC's scope of work, which includes researching, developing and recommending to the State Superintendent measures of student growth, teacher and principal effectiveness, how to support teachers and principals to improve their effectiveness, and potential policy and practice changes.	130 mem.@6mtg. for years 1 and 2=780 trips per year, 1560 trips total 130 mem.@4mtg. for years 3 and 4=580 trips per year, 1040 trips total	$150	$117,000	$117,000	$87,000	$87,000	$408,000
Staff will travel to participating LEAs for implementation meetings and technical assistance, as needed.	1 staff @ appx. 100 mtg. per year for years 1 and 2	$150	-	$15,000	$15,000	-	$30,000
Regional two day train-the-training meetings will be held to effectively train LEA staff to use the new evaluation systems.	2 staff @ 11 mtg. for year 2	$300	-	$6,600	-	-	$6,600
TOTAL TRAVEL	-	-	$162,000	$258,600	$102,000	$87,000	$609,600

4) Equipment

Equipment: Consistent with SEA policy, equipment is defined as tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of $1,000 or more per unit.	Cost of Item	FY11	FY12	FY13	FY14	Total
Computers - (25): Computers for the Human Capital Team, 15 new staff in year 1 and 10 in year 2.	$1,500	$22,500	$15,000			$37,500
Analytic Software – (4) Analytic software to support data analysis efforts, 2 new staff in year 1 and 2 in year 2.	$2,000	$4,000	$4,000	-	-	$8,000
TOTAL EQUIPMENT	-	$26,500	$19,000	-	-	$45,500

5) Supplies

Various office supplies to support staff work and ERIC	FY11	FY12	FY13	FY14	Total
Various supplies, copies and materials to support ERIC meetings and training workshops.	$6,000	$6,000	$4,000	$4,000	$20,000
Copies and printing	$30,000	$50,000	$50,000	$50,000	$180,000
Postage and mailing	$7,500	$12,500	$12,500	$12,500	$45,000
General office supplies	$7,500	$12,500	$12,500	$12,500	$45,000
TOTAL SUPPLIES	$51,000	$81,000	$79,000	$79,000	$290,000

6) Contractual

Professional Services to be provided, purpose and relation to the project, and basis for cost estimates	Costs Charged to Proposed Grant Award FY11	Costs Charged to Proposed Grant Award FY12	Costs Charged to Proposed Grant Award FY13	Costs Charged to Proposed Grant Award FY14	Total
Design/Pilot/Implement a growth model to measure teacher and principal impact on student growth. • Working collaboratively with ALSDE and ERIC, the contractor(s) will build a growth model to effectively measure educator impact on	$750,000	$750,000	$500,000	$400,000	$2,400,000

student growth for tested grades and subjects and non-tested grades and subjects, validate the model, align the model with the State's educator effectiveness system, and develop training tools and resources that align with the educator effectiveness system. • Provide training to ALSDE staff so they are equipped to effectively discuss the model, provide training and support to participating LEAs and human capital data management and analysis staff.					
Design/Pilot/Implement a Comprehensive Teacher Effectiveness System to evaluate teachers and provide options for a performance-driven human capital system • Working collaboratively with ALSDE and ERIC over four years, the contractor will build evaluation rubrics and processes, training tools, norming activities and standardized inputs into state data systems that LEAs will use to measure and report teacher effectiveness. • Provide training to ALSDE staff so they are equipped to effectively discuss the system and provide training and support to participating LEAs and other trainers. • Provide intensive technical assistance and support throughout the pilot year, FY 2012, to ALSDE staff and participating LEAs. Provide ongoing technical assistance and advice to ALSDE staff and participating LEAs in subsequent years to ensure the evaluations are conducted with rigor, fairness and transparency. • Work collaboratively with ALSDE and ERIC to develop options for using effectiveness data to drive human capital systems. This might include variable compensation models to reward effectiveness, rubrics to guide professional development needs as determined by the evaluation system, etc.	$1,500,000	$1,500,000	$1,000,000	$1,000,000	$5,000,000
Design/Pilot/Implement a Comprehensive Principal Effectiveness System to evaluate principals and provide options for a performance-driven human capital system • Working collaboratively with ALSDE and ERIC over four years, the contractor will build evaluation rubrics and processes, training tools, norming activities and standardized inputs into state data systems that LEAs will use to measure and report principal effectiveness. • Provide training to ALSDE staff so they are equipped to effectively discuss the system and provide training and support to participating LEAs and other trainers. • Provide intensive technical assistance and support throughout the	$1,500,000	$1,500,000	$1,000,000	$1,000,000	$5,000,000

pilot year, FY 2012, to ALSDE staff and participating LEAs. Provide ongoing technical assistance and advice to ALSDE staff and participating LEAs in subsequent years to ensure the evaluations are conducted with rigor, fairness and transparency. • Work collaboratively with ALSDE and ERIC to develop options and systems to use effectiveness data to drive human capital systems. This might include variable compensation models to reward effectiveness, rubrics to guide professional development needs as determined by the evaluation system, etc.					
Professional Development for Capacity Building – As articulated in section (D)(5), the State will create a framework for professional development and supporting models. A train-the-trainer approach will be used to disseminate the information, including models and tools, to participating LEAs. The goal of this work is to build capacity among LEAs to implement effective professional development that is aligned to individual teacher and principal development areas. Professional development experts will be contracted to do this work.	$2,450,000	$2,450,000	$300,000	$300,000	$5,500,000
TOTAL CONTRACTUAL	$6,200,000	$6,200,000	$2,800,000	$2,700,000	$17,900,000

7) Stipends

Stipends	Cost per Stipend	FY11	FY12	FY13	FY14	Total
Teacher Preparation Program Redesign – teacher preparation programs, both traditional and alternative, can opt to participate in the State's redesign effort. This will be a competitive grant process to ensure that participating programs have the commitment and capacity to undertake the work. The incentive to participate is underscored by the State's commitment to publically report program effectiveness data.	TBD-see description	$1,000,000	$1,000,000	-	-	$2,000,000
Develop an alternative preparation program for principals – college and university providers, as well as high-quality third party providers will be invited to submit a proposals to establish and alternative preparation pathway for principals. The State will award up to $200,000 per year through a competitive grant process to support the establishment of at least a program. The funds can be used to design the program, hire faculty and staff, incentivize high-potential individuals to participate through recruitment bonuses, tuition reimbursement, living stipends, etc. Please see Sections	$400,000	-	$200,000	$200,000	-	$400,000

(D)(1) and (D)(4) for additional detail.						
Incentives to attract highly effective teachers to schools, and remain teaching in those schools. Participating LEAs and intervention schools are eligible to participate in this program. • Recruitment incentives of up to $2,000 will be offered to highly-effective teachers to teach in high-need schools • Recognition and retention bonuses of up to $12,000 will be awarded to highly effective STEM teachers who teach in high-need schools • Recognition and retention bonuses of up to $8,000 will be awarded to highly effective STEM teachers who teach in non-high need schools • Recognition and retention bonuses of up to $11,000 will be awarded to highly effective teachers who teach other hard-to-staff subjects and teach in high-need schools • Recognition and retention bonuses of up to $10,000 will be awarded to highly effective teachers who teach in high-need schools With 100 participating districts and no clear measure of the need, nor number of existing highly effective teachers, the state will devote the following to each program over years 2-4 of the grant, and ask that participating LEAs match State funds at an equal amount: • $1,000,000 for highly-effective teacher recruitment bonuses, to teach in high-need schools • $1,200,000 for highly-effective STEM teachers to teach in high-need and non-high need schools • $1,100,000 for other hard-to-staff subject area teachers who teach in high-need schools • $2,500,000 for highly-effective teachers who teach in high-need schools	See description to the left.	-	$2,000,000	$2,000,000	$2,000,000	$6,000,000
Incentives to attract highly effective principals to lead in high-need schools, and remain working in those schools. Participating LEAs and intervention schools are eligible to participate in this program. • Recruitment incentives of up to $10,000 will be offered to highly-effective principals to attract them to high-need schools • Recognition and retention bonuses of up to $20,000 will be awarded to highly effective principals that lead high-need schools With 100 participating districts and no clear measure of the need, nor number of existing highly effective principals, the state will devote the following to each program over years 2-4 of the grant, and ask that participating LEAs match State funds at an equal amount: • $300,000 for highly-effective principal recruitment bonuses	See description to the left.	-	$1,670,000	$1,670,000	$1,670,000	$5,010,000

• $3,000,000 for highly-effective principals who lead high-need schools						
Compensation redesign – participating LEAs may request matching funds from the state should they agree to develop and implement a performance-based compensation program for teachers and principals.	See description to the left.	-	$2,000,000	$2,000,000	$2,000,000	$6,000,000
Principal mentoring stipends – principals in training are currently required completing a short internship under the tutelage of another principal. Alabama will expand that to one year for the most promising principals. These principals will continue to receive their teacher salary. Race to the Top funds will be used to provide a replacement teacher in their classroom for the year.	See description to the left.	-	$1,250,000	$1,250,000	$1,250,000	$3,750,000
TOTAL STIPENDS	-	$1,000,000	$8,120,000	$7,120,000	$6,920,000	$23,160,000

Budget Part II: Project-Level Budget Table
Project Name: Alabama's Race to the Top Application
Associated with Criteria: School Intervention, Section (E)
(Evidence for selection criterion (A)(2)(i)(d)

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel	$225,000	$231,750	$238,703	$245,864	$941,317
2. Fringe Benefits	$67,500	$69,525	$71,611	$73,760	$282,396
3. Travel	$7,500	$7,500	$1,500	$1,500	$18,000
4. Equipment	$3,000	-	-	-	$3,000
5. Supplies	$6,500	$6,500	$6,500	$6,500	$26,000
6. Contractual	$929,287	$1,650,000	$1,650,000	$1,500,000	$5,729,287
7. Training Stipends	-	-	-	-	-
8. Other	-	-	-	-	-
9. Total Direct Costs (lines 1-8)	$1,238,787	$1,965,275	$1,968,314	$1,827,624	$7,000,000
10. Indirect Costs*					
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)	$1,238,787	$1,965,275	$1,968,314	$1,827,624	$7,000,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

Alabama's Race to the Top Application–School Intervention, Section (E)

Project Level Budget Narrative

1) Personnel

Personnel: The following requested personnel will all be hired as employees of the project.	% FTE	Base Salary FY11	Base Salary FY12	Base Salary FY13	Base Salary FY14	Total
Reformation School System Superintendent – (1) The RSS superintendent will provide oversight for the newly created Reformation School System, which will oversee and manage the school intervention process for Tier 1 and Tier 2 schools, and other activities as outlined in section (E) of this application. This leader's sole job will be to manage the turnaround efforts of the State's persistently-lowest achieving schools.	100%	$150,000	$154,500	$159,135	$163,909	$627,544
Intervention Coordinator – (1) Provide coordination and support between RSS schools and external consortium of experts to ensure smooth implementation of the intervention initiative. Connect RSS schools to ALSDE Human Capital Team to ensure RSS schools have access pools of effective teacher and principal candidates.	100%	$75,000	$77,250	$79,568	$81,955	$313,773
TOTAL PERSONNEL	-	$225,000	$231,750	$238,703	$245,864	$941,317

2) Fringe Benefits

Fringe Benefits: 30 percent for all staff.	% FTE	Fringe Benefits FY11	Fringe Benefits FY12	Fringe Benefits FY13	Fringe Benefits FY14	Total
Reformation School System Superintendent – (1)	100%	$45,000	$46,350	$47,741	$49,173	$188,264
Intervention Coordinator – (1)	100%	$22,500	$23,175	$23,870	$24,587	$94,132
TOTAL FRINGE BENEFITS	-	$67,500	$69,525	$71,611	$73,760	$282,396

3) Travel

Travel: Travel expenses include the average mile reimbursements of $100 each, in addition to an amount of	Travel Details	$ per Trip	FY11	FY12	FY13	FY14	Total

per diem of $50.							
ALSDE will hold a project launch meeting to begin working with RSS schools and Renewal schools. The meeting will focus on setting goals, expectations and preparing for intensive reform. Expert partners will be in attendance and will provide an overview of their respective roles and contributions to the consortium.	20 projects @ 4 people per project (1 LEA supt., 1 LEA staff , 1 principal and 1 union leader.) *2 cohorts, one in year 1 and 1 in year 2	$150	$6,000	$6,000	-	-	$12,000
RSS staff will travel to school sites as need for implementation meetings and technical assistance.	1 staff @ appx. 10 mtg. per year for each year of the grant.	$150	$1,500	$1,500	$1,500	$1,500	$6,000
TOTAL TRAVEL	-	-	$7,500	$7,500	$1,500	$1,500	$18,000

4) Equipment

Equipment: Consistent with SEA policy, equipment is defined as tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of $1,000 or more per unit.	Cost of Item	FY11	FY12	FY13	FY14	Total
Computers - (2): Computers for the RSS team	$1,500	$3,000				$3,000
TOTAL EQUIPMENT	-	$3,000	-	-	-	$3,000

5) Supplies

Various office supplies to support staff work	FY11	FY12	FY13	FY14	Total
Copies and printing	$5,000	$5,000	$5,000	$5,000	$20,000
Postage and mailing	$1,000	$1,000	$1,000	$1,000	$4,000
General office supplies	$500	$500	$500	$500	$2,000
TOTAL SUPPLIES	$6,500	$6,500	$6,500	$6,500	$26,000

6) Contractual

Professional Services to be provided, purpose and relation to the project, and basis for cost estimates	Costs Charged to Proposed Grant Award FY11	Costs Charged to Proposed Grant Award FY12	Costs Charged to Proposed Grant Award FY13	Costs Charged to Proposed Grant Award FY14	Total
Partner with organizations and individuals to provide expert services and supports to RSS schools. These partners will: • Assess and provide high quality technical assistance to school principals, teachers and staff. • Work with RSS schools to identify strengths and weaknesses and develop a model for reform, as well as concrete strategies. • Assist principal with implementation of the various strategies. Note, the consortium model will allow a greater breadth and depth of expertise from which each RSS school can draw from. These experts will assist the RSS and RSS schools with the implementation of the chosen model through a collaborative whereby individual partners will provide their expertise to all relevant schools within the RSS. For example, one partner may focus on staffing RSS schools with high-quality and effective teachers and principals; another may redesign human resources systems such as evaluation and compensation; while a different organization may implement effective professional development and coaching models that have a proven record of improving instruction and leadership.	$929,287	$1,650,000	$1,650,000	$1,500,000	$5,729,287
TOTAL CONTRACTUAL	$929,287	$1,650,000	$1,650,000	$1,500,000	$5,729,287

Budget Part II: Project-Level Budget Table

Instructions:
For each project the State has proposed in its Budget Summary Narrative, the State should submit a Project-Level Budget Table that includes the budget for the project, for each budget category and each year of the grant.

Budget Part II: Project-Level Budget Table
Project Name: STEM
Associated with Criteria: Competitive Priorities

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs*					
11.Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs	$1,699,307	$1,699,307	$1,699,307	$1,699,307	$6,797,228
13. Total Costs (lines 9-12)	$1,699,307	$1,699,307	$1,699,307	$1,699,307	$6,797,228

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.
Column (e): Show the total amount requested for all project years.
*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11-12.

BUDGET PART II: PROJECT-LEVEL BUDGET NARRATIVE

1) **Personnel**
2) **Fringe Benefits**
3) **Travel**
4) **Equipment**
5) **Supplies**
6) **Contractual**
7) **Training Stipends**
8) **Other**
9) **Total Direct Costs**
10) **Indirect Costs**
11) **Funding for Involved LEAs**
12) **Funding for Participating LEAs**
13) **Supplemental Funding for Participating LEAs**

    The funds with this section will be used for a competitive grant for participating LEAs to pursue STEM related programs such as the A+ College Ready Program and Engineering Academies.
14) **Total Costs**

    $6,797,229 to be used in the competitive grant competition divided equally across the four years of the grant.

Budget: Indirect Cost Information

To request reimbursement for indirect costs, please answer the following questions:

Does the State have an Indirect Cost Rate Agreement approved by the Federal government?

YES ●
NO ○

If yes to question 1, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy):

From: 10 / 1 / 2008 To: 9 / 30 / 2009 latest approved

Approving Federal agency: X ED ___Other

(Please specify agency): USDOE

16.4%

Directions for this form:

1. Indicate whether or not the State has an Indirect Cost Rate Agreement that was approved by the Federal government.

2. If "No" is checked, ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and
(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

3. If "Yes" is checked, indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) issued the approved agreement. If "Other" was checked, specify the name of the agency that issued the approved agreement.