

APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

Legal Name of Applicant: California Department of Education	Applicant's Mailing Address: 1430 N Street Sacramento, CA 95814-5901
State Contact for the School Improvement Grant Name: Bob Storelli Position and Office: Education Administrator, School Turnaround Office Contact's Mailing Address: California Department of Education 1430 N Street, Suite 6208 Sacramento, CA 95814-5901 Telephone: 916-319-0833 Fax: 916-319-0123 Email address: STO@cde.ca.gov	
Chief State School Officer (Printed Name): Tom Torlakson	Telephone: 916-319-0800
Signature of the Chief State School Officer: X 	Date: February 11, 2014
The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.	

School Improvement Grants

Application for FY 2013 New Awards Competition

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

Fiscal Year 2013

CFDA Number: 84.377A

State Name: California



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

OMB Number: 1810-0682
Expiration Date: September 30, 2016

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. Public reporting burden for this collection of information is estimated to average 74 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is mandatory required to obtain or retain benefit and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1810-0682. Note: Please do not return the completed FY 2013 School Improvement Grant application to this address.

SCHOOL IMPROVEMENT GRANTS

Purpose of the Program

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

ESEA Flexibility

An SEA that has received ESEA flexibility no longer identifies Title I schools for improvement, corrective action, or restructuring; instead, it identifies priority schools, which are generally a State's lowest-achieving Title I schools. Accordingly, if it chooses, an SEA with an approved ESEA flexibility request may select the "**priority schools list waiver**" in Section H of the SEA application for SIG funds. This waiver permits the SEA to replace its lists of Tier I, Tier II, and Tier III schools with its list of priority schools.

Through its approved ESEA flexibility request, an SEA has already received a waiver that permits its LEAs to apply for SIG funds to serve priority schools that are not otherwise eligible to receive SIG funds because they are not identified as Tier I, Tier II, or Tier III schools. The waiver offered in this application goes beyond this previously granted waiver to permit the SEA to actually use its priority schools list as its SIG list.

Availability of Funds

The Consolidated and Further Continuing Appropriations Act, 2013, provided \$506 million for School Improvement Grants in fiscal year (FY) 2013.

FY 2013 SIG funds are available for obligation by SEAs and LEAs through September 30, 2015.

State and LEA Allocations

Each State (including the District of Columbia and Puerto Rico), the Bureau of Indian Education, and the outlying areas are eligible to apply to receive a SIG grant. The Department will allocate FY 2013 SIG funds in proportion to the funds received in FY 2013 by the States, the Bureau of Indian Education, and the outlying areas under Parts A, C, and D of Title I of the ESEA. An SEA must allocate at least 95 percent of its SIG funds directly to LEAs in accordance with the final requirements (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>). The SEA may retain an amount not to exceed five percent of its allocation for State administration, evaluation, and technical assistance.

Consultation with the Committee of Practitioners

Before submitting its application for a SIG grant to the Department, an SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein. The Department recommends that

the SEA also consult with other stakeholders, such as potential external providers, teachers' unions, and business, civil rights, and community leaders that have an interest in its application.

FY 2013 NEW AWARDS APPLICATION INSTRUCTIONS

This application is for use only by SEAs that will make new awards. New awards are defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve with SIG funds in the school year for which funds are being awarded—in this case, the 2014–2015 school year. New three-year awards may be made with the FY 2013 funds or any unobligated SIG funds from previous competitions not already committed to grants made in earlier competitions.

The Department will require those SEAs that will use FY 2013 funds solely for continuation awards to submit a SIG application. However, those SEAs using FY 2013 funds solely for continuation purposes are only required to complete the Continuation Awards Only Application for FY 2013 School Improvement Grants Program located at the end of this application.

SUBMISSION INFORMATION

Electronic Submission:

The Department strongly prefers to receive an SEA's FY 2013 SIG application electronically. The application should be sent as a Microsoft Word document, **not** as a PDF.

The SEA should submit its FY 2013 application to OESE.OST@ed.gov.

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

Paper Submission:

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

Carlas McCauley, Group Leader
Office of School Turnaround
U.S. Department of Education
400 Maryland Avenue, SW, Room 3W320
Washington, DC 20202-6132

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

Application Deadline

Applications are due on or before November 15, 2013.

For Further Information

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

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PART I: SEA REQUIREMENTS

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

A. ELIGIBLE SCHOOLS

Part 1 (Definition of Persistently Lowest-Achieving Schools): Along with its list of Tier I, Tier II, and Tier III schools, the SEA must provide the definition that it used to develop this list of schools. If the SEA’s definition of persistently lowest-achieving schools that it makes publicly available on its Web site is identical to the definition that it used to develop its list of Tier I, Tier II, and Tier III schools, it may provide a link to the page on its Web site where that definition is posted rather than providing the complete definition. If an SEA is requesting the priority schools list waiver, it need not provide this definition, as its methodology for identifying its priority schools has already been approved through its ESEA flexibility request.

A. Eligible Schools Part 1 CA Response:

The California Department of Education (CDE) definition for persistently lowest-achieving schools can be found on the CDE Definition of Tiers I, II, and III Web page at <http://www.cde.ca.gov/ta/ac/pl/definitions.asp>.

Part 2 (Eligible Schools List): As part of its FY 2013 application an SEA must provide a list, by LEA, of each Tier I, Tier II, and Tier III school in the State or, if it is requesting the priority schools list waiver, of each priority school in the State. (A State’s Tier I and Tier II schools are its persistently lowest-achieving schools and, if the SEA so chooses, certain additional Title I eligible schools that are as low achieving as the State’s persistently lowest-achieving schools or that have had a graduation rate below 60 percent over a number of years.) In providing its list of schools, the SEA must indicate whether a school has been identified as a Tier I or Tier II school solely because it has had a graduation rate below 60 percent over a number of years.

Directions: SEAs that generate new lists should create this table in Excel using the format shown below. An example of the table has been provided for guidance.

SCHOOLS ELIGIBLE FOR FY 2013 SIG FUNDS									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY (if applicable)	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE ¹

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

EXAMPLE:

SCHOOLS ELIGIBLE FOR FY 2013 SIG FUNDS

LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##		X				
LEA 1	##	MADISON ES	##		X				
LEA 2	##	TAYLOR MS	##				X		X

A. Eligible Schools Part 2 CA Response: For Tier I and II schools, please see eligible schools list attached to this application. For Tier III schools, please see the following Web link for eligible schools: <http://www.cde.ca.gov/ta/ac/pl/documents/tier3.xls>.

Part 3 (Terminated Awards): All SEAs are required to list any LEAs with one or more schools for which funding under previously awarded SIG grants will not be renewed for the 2014-2015 school year. For each such school, note the amount of unused remaining funds and explain how the SEA or LEA plans to use those funds.

LEA NAME	SCHOOL NAME	DESCRIPTION OF HOW REMAINING FUNDS WERE OR WILL BE USED	AMOUNT OF REMAINING FUNDS
TOTAL AMOUNT OF REMAINING FUNDS:			

A. Eligible Schools Part 3 CA Response: The CDE has not terminated any SIG awards for the 2014–15 school year.

B. EVALUATION CRITERIA: An SEA must provide the criteria it will use to evaluate the information set forth below in an LEA’s application for a School Improvement Grant.

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

- (1) The LEA has analyzed the needs of each Tier I and Tier II school, or each priority school, as applicable, identified in the LEA’s application and has selected an intervention for each school.
- (2) The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school, or each priority school, as applicable, identified in the LEA’s application in order to implement fully and effectively the selected intervention

in each of those schools.

- (3) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school, or each priority school, as applicable, identified in the LEA's application, as well as to support school improvement activities in Tier III schools in a State that is not requesting the priority schools list waiver, throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).

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

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

B. Evaluation Criteria Part 1 and Part 2 CA Response:

The CDE has specified criteria that will be used to evaluate the information provided for each of the elements in LEA applications for SIG funding. The CDE has developed a rubric to provide guidance for each of these elements for use by both LEAs and reviewers in the application development and review process. California has identified eight elements to which applicant LEAs and schools must respond based on the specific application criteria established by ED. The element responses will be reviewed using the SIG rubric (see Appendix D of the LEA RFA).

In addition to the element response, LEAs will be required to submit an LEA Budget Summary (SIG Form 4a); LEA Budget Narrative (SIG Form 4b); School Budget Summary (SIG Form 5a); School Budget Narrative (SIG Form 5b); Schools to be Served Chart (SIG Form 2); and Implementation Charts detailing actions, activities to be taken; and timelines for implementation in the Tier I, II, and III schools that the LEA commits to serve (SIG Forms 10 and 11).

The CDE will assess each LEA's commitment to design and implement its selected intervention(s) based on the completeness and appropriateness of the LEA's Element Responses, Implementation Charts, and Budget Forms. This information must indicate that the LEA has committed sufficient resources to support successful implementation as well as a comprehensive and coherent plan to fully implement all required components of the selected interventions in order for the application to be recommended for funding.

The elements to which each LEA must adequately respond are fully described in the Programmatic and Fiscal Response Requirements subsection of the Application Requirements of the California FY 2013 SIG RFA to LEAs, and generally include:

A. Needs Assessment including assessment instruments the LEA used; personnel involved; process for analyzing findings and selecting the intervention model; LEA analysis of use of California adopted

standards-aligned materials and interventions; curriculum pacing/instructional time; professional development; collaboration; instructional support; use of student data; alignment of federal, state, and private resources; and effectiveness of principals, teachers, and other school staff.

B. Demonstration of Capacity to implement selected intervention models sufficient to assure the SEA that the LEA will have adequate resources and related support for each Tier I and Tier II school identified in the LEA's application in order to implement, fully and effectively, the required activities of the school intervention model(s) it has selected.

This element includes the submission of the following required SIG Forms:

- **SIG Forms 4a, 5a, 4b, and 5b: Budget Summary and Narrative**

The LEA must submit an LEA and School Budget Summary that addresses all three years of the SIG including any optional pre-implementation activities. The LEA and School Budget Summary must align with the needs assessment and the implementation chart(s), as well as, take into account the selected intervention model and size of school enrollment.

The LEA and School Budget Narrative must provide more detail on the Budget Summary forms and address any optional pre-implementation (Year 0) activities and the first year of full implementation (Year 1) of the grant. The budget narratives must include sufficient detail to describe activities and costs associated with each object code. All items including services, materials, contracts, and staff positions listed in the budget must be substantiated in the implementation chart. Budget requests must be in compliance with SIG requirements and reflect allowable expenditures.

- **SIG Form 6: Demonstration of Capacity**

The LEA must evaluate the LEA's ability to implement intervention model components and the process it used for completing the needs and capacity analysis. This must include how the LEA plans to implement all required components fully and effectively by the beginning of the 2014–15 school year (SY) including required components that may be challenging.

The LEA must analyze a number of factors including but not limited to district and school personnel; curriculum, assessment and instructional support; increased learning time, family and community engagement; social-emotional community-oriented services; school restart; and school closure.

The District and School Improvement Team will need to analyze each item in Form 6 and determine the degree to which the team strongly agrees or strongly disagrees with the statement. Discussion points are included to guide team leaders around possible barriers to implement a required component. Please answer all items to determine the best-fit intervention model for each school.

- **SIG Form 10: Implementation Charts**

For each identified Tier I and Tier II school, the LEA must complete a SIG Form 10 Implementation Chart for a Tier I or Tier II School for the intervention model to be implemented. The LEA must include actions and activities necessary to implement each required component of the selected intervention model, a timeline with specific start and end dates, the individual position and person (if known) who will be responsible for oversight and monitoring, and the type of evidence that will be submitted to the CDE, upon request, to verify implementation.

- **SIG Form 11—Implementation Chart for a Tier III School**

For each Tier III school the LEA commits to serve, it must identify the services the school will receive and/or the activities the school will implement, a timeline with specific start and end dates of implementation, the position and person (if known) responsible for oversight. If the LEA is opting to implement one of the four intervention models, it must complete SIG Form 10 for the appropriate model.

If the LEA is not applying to serve each Tier I school, it must explain why it lacks the capacity to serve each Tier I school. If the limitation is at the LEA level then the LEA must identify the specific barriers that preclude it from serving all of its Tier I schools. If the limitation is based on conditions at a specific school or schools, then the LEA must describe those conditions. An LEA that applies for a SIG must serve each of its Tier I schools using one of the four school intervention models unless the LEA demonstrates that it lacks sufficient capacity to do so. If an LEA claims it lacks sufficient capacity to serve each Tier I school, the SEA must evaluate the sufficiency of the LEA's claim. Claims of lack of capacity should be scrutinized carefully to ensure that LEAs effectively intervene in as many of their Tier I schools as possible. An LEA that claims that it lacks sufficient capacity to serve each of its Tier I schools will be required to provide a rationale supporting that claim. The CDE will review the description of the limitation and any supporting evidence provided by the LEA to determine whether the rationale provided supports the LEA's claim. In cases in which the LEA's description of its lack of capacity is deemed insufficient to justify not serving all of its Tier I schools, the state will require additional programmatic information and may consider an alternate level of funding.

C. Selection of Intervention Models for each Tier I and Tier II school the LEA commits to serve and the rationale for each selection. The rationale must also provide the basis for not selecting one of the other three intervention models. The LEA must describe the specific activities it has undertaken to solicit stakeholder input on the development and implementation of the proposed school improvement activities in participating schools. California will require LEAs to hold at least two public meetings to consult with staff, parents, and the community regarding the LEA's SIG application and its selection of one of the four intervention models for its Tier I and II schools. The LEA must provide documentation (e.g., meeting agenda or meeting minutes) that such meetings were held, provide a summary of input obtained through these meetings, indicate which input was incorporated into the LEA's SIG application, and provide a rationale for not accepting any input that the LEA rejected.

D. Modify LEA Practices or Policies to enable funded schools to implement the interventions fully and effectively. LEA practices or policies requiring modification may include, but are not limited to,

collective bargaining agreements, the distribution of resources among schools, parental involvement policies and practices, school attendance areas and enrollment policies, and agreements with charter organizations.

If the LEA needs to modify any of its current practices, protocols, or policies in order to fully implement the selected intervention model(s), the description must include the following:

- The revised policies, protocols and/or practices
- Description of and process for the revision
- Timeline for revision

Successful applicants will be required to revise their LEA Plan and Single Plan for Student Achievement, as appropriate, for each funded school upon approval of the application by the SBE.

E. Align Other Resources with the Selected Intervention Models to identify all federal, state, or private resources that are currently available to the school(s) that will be used to support implementation of the selected intervention model, including other district resources. The LEA must describe the LEA's process for ensuring that these resources will be coordinated with SIG funding to ensure maximum effectiveness in the use of all resources. The description must include the following:

- Available resources that will support SIG implementation
- Description of how SIG funds will supplement, not supplant, currently available resources
- Alignment to the needs analysis and intervention model

F. Annual School Goals for Student Achievement on the state and local assessments in both reading/language arts and mathematics that it will use to monitor the performance of each participating Tier I and Tier II school that receives SIG funds and the LEA commits to serve.

G. Sustain the Reforms after the Funding Period Ends to ensure continued LEA and school improvement. The LEA must provide its plan for continuing to support its SIG activities beyond the funding term, including identifying all resources that will be used to sustain the selected intervention(s) after the SIG funding period expires. The LEA must also state whether it intends to implement a waiver to extend the funding period through September 30, 2017.

The LEA must provide a sustainability plan that includes a timeline for sustaining required components of the selected intervention model for 2017–18, 2018–19, and 2019–20.

An LEA must complete a sustainability plan using SIG Form 8 for each school it commits to serve that addresses:

- **Developing and increasing teacher and school leader effectiveness**

This may include, but is not limited to, staff replacement; teacher and principal evaluation; identifying and rewarding staff; ongoing professional development; and strategies to recruit, place, and retain staff.

- **Comprehensive instructional reform strategies**

This may include, but is not limited to, implementing a modified instructional program and using student data to inform and differentiate instruction.

- **Increasing learning time and creating community-oriented schools**

This may include, but is not limited to, schedules and strategies that provide increased learning time, family and community engagement resources, and social emotional support for students.

- **Operational flexibility and sustained support**

This may include, but not limited to, providing the school(s) with sufficient operating flexibility and ongoing intensive technical assistance.

H. Recruitment, Screening, and Selection of External Providers to ensure their expertise and capacity to support improvement in school and student achievement, if the LEA intends to use external entities to provide technical assistance in selecting, developing, and/or implementing one of the four intervention models. The process described must include specific selection criteria such as experience, qualifications, and record of effectiveness in providing support for school improvement.

Restarts Only:

The LEA must describe the rigorous review process the LEA used or will use to ensure that the charter school operator, Charter Management Organization (CMO), or Education Management Organization (EMO) is qualified to assist the LEA in making meaningful changes and implementing comprehensive reform. This description must clearly explain how the LEA:

- Examined or plans to examine prospective plans and strategies
- Will ensure the provider has a meaningful plan for contributing to reform efforts in the target school
- Will determine whether or not the proposed plan demonstrates full capacity to implement strategies and services proposed and begin full implementation at the start of the 2014-15 SY.
- Will sustain the services of the CMO or EMO and any attendant fee after the SIG funds are no longer available

All Models:

The LEA must clearly describe the actions the LEA has taken or will take to recruit, screen, and select external providers. This description must include:

- Specific selection criteria used, such as experience, qualifications, and record of effectiveness in providing support for school improvement

- An indication of whether or not the external provider has previously provided support to the LEA and/or school or whether this is a new external provider to the LEA
- A brief description of the scope of work or services the LEA will receive from the external provider

Tier III Schools: LEAs that opt to serve Tier III schools must identify and describe the services the school will receive and/or the activities the school will implement. The LEA must include any findings concerning each school's current condition and analysis of needs that informed the LEA's selection of the specific improvement activities to be implemented. The LEA must also establish challenging annual school goals for student achievement on the state and local assessments in both reading/language arts and mathematics that it will use to monitor the performance of each participating Tier III school that receives SIG funds and the LEA commits to serve.

California will evaluate the SIG applications based on the evaluation criteria described above. Qualified staff from the CDE and SBE will participate in the FY 2013 SIG RFA Readers' Conference, during which they will receive extensive training in the requirements and purpose of SIG, will be familiarized with the SIG rubric, and will be calibrated to ensure rater reliability. Once this is accomplished, the LEA applications will be reviewed to ensure that each meets the specified criteria. Applications that adequately address all the requirements described in the application will be recommended to the SBE for funding based on readers' conference rubric ranking and available funding. Applications found not to meet those requirements will not be recommended for funding. LEAs with applications not recommended for funding will be provided information regarding deficiencies in the application to assist them in preparing applications for subsequent SIG cohorts.

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

- (1) How will the SEA review an LEA's proposed budget with respect to activities carried out during the pre-implementation period² to help an LEA prepare for full implementation in the following school year?
- (2) How will the SEA evaluate the LEA's proposed activities to be carried out during the pre-implementation period to determine whether they are allowable?

² "Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2014–2015 school year. For a full description of pre-implementation, please refer to section J of the SIG Guidance.

B-1. Additional Evaluation Criteria CA Response:

California will use the following criteria to evaluate/review the activities, actions, and budgets proposed by the LEA during the optional pre-implementation period:

- The pre-implementation activities are directly related to the selected model, are designed to address a specific need or needs identified through the LEA's needs assessment, represent a significant reform that goes beyond the basic educational program, and represent a meaningful change that could help improve student achievement from prior years.

- The LEA projected pre-implementation budget is complete, expenditures are accurately classified by object code, the full term of the grant is covered, and totals by year are provided.
- The LEA budget narrative includes detailed information to describe LEA pre-implementation activities and costs associated with each object code. Budget items accurately reflect the actual cost of implementing the selected intervention models and other LEA activities described for each participating school are included.
- The school projected budget(s) are complete, expenditures are accurately classified by object code, the full term of the grant is covered, and totals by year are provided.
- The school pre-implementation budget narrative(s) include detailed information to describe activities and costs associated with each object code.
- Budget items accurately reflect the actual cost of implementing the selected intervention models and other activities described for each participating school are included.
- The LEA and school budgets are clearly aligned and, taken together, fully describe appropriate expenditures of funds in all categories that are clearly sufficient to support the design, implementation, and ongoing maintenance of the proposed SIG activities. The proposed expenditures reflect research-based strategies likely to increase student achievement.
- The LEA and school budgets must be of sufficient size and scope to implement the selected intervention. A separate budget review process will be conducted by fiscal personnel from the CDE and California Comprehensive Center to determine whether a particular proposed use of SIG funds is allowable, directly related to the full and effective implementation of the model selected by the LEA, and that the proposed use of funds is reasonable and necessary.

C. TIMELINE: An SEA must describe its process and timeline for approving LEA applications.

C. Timeline CA Response:

Important Events	Dates
January State Board of Education (SBE) Meeting Agenda Item: <ul style="list-style-type: none"> • California's Application for FY 2013 School Improvement Grant (SIG) 	January 15–16, 2014

<ul style="list-style-type: none"> Request for Application (RFA) for California local educational agencies (LEA) California's List of Tier I and Tier II schools eligible for FY 2013 SIG 	
California's Application for FY 2013 SIG sent to the ED for approval	January 2014
LEA RFA posted on the California Department of Education (CDE) Web site	January 22, 2014
Webinar and Technical Assistance Session	January 2014
LEA SIG applications submitted to the CDE for format screening prior to final submission (optional)	March 3, 2014
LEA SIG applications due to the CDE	March 14, 2014
SIG RFA readers' conference conducted by the CDE to evaluate applications	March 31–April 4, 2014
<p>May SBE Meeting Agenda Item:</p> <ul style="list-style-type: none"> LEA SIG FY 2013 Applications <p>The CDE will immediately notify LEAs of approval status. LEAs receiving a SIG Cohort 3 school year (SY) 2014–15 sub-grant must begin full implementation of the intervention model(s) they select for their funded school(s) at the beginning of the 2014–15 SY.</p>	May 7–8, 2014
Optional Pre-Implementation by LEAs	May 7–8, 2014 (Upon approval by the California SBE)
Sub-grant award notification letters sent to LEAs	July 1, 2014

D. DESCRIPTIVE INFORMATION: An SEA must include the information set forth below.

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

(2) Describe the SEA's process for reviewing the goals an LEA establishes for its Tier III schools (subject to approval by the SEA) and how the SEA will determine whether to renew an LEA's School Improvement Grant with respect to one or more Tier III schools in the LEA that are not meeting those goals. If an SEA is requesting the priority schools list waiver, it need not provide this information, as it will have no Tier III schools.

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

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

(5) Describe the criteria, if any, which the SEA intends to use to prioritize among Tier III schools. If an SEA is requesting the priority schools list waiver, it need not provide this information, as it will have no Tier III schools.

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

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

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

D. Descriptive Information CA Response:

(1) Reviewing LEA's Annual Improvement Goals for Tier I and Tier II Schools

Each participating LEA must establish clear and measurable goals for student achievement on state or local assessments and measures in reading/language arts and mathematics, using the state summative assessment data and local measures. The CDE will use annual results from these assessment and accountability systems to determine progress made and compare them with LEA

applicant goals in reading/language arts and mathematics for all students and subgroup categories to determine whether the funded LEA Tier I and Tier II schools have met their goals. In cases in which one or more of the schools served in an LEA are not meeting their improvement goals, the LEA's sub-grant will be considered for a reduction equivalent to the annual award for the non-achieving school(s) with the intent that the school(s) no longer receives funds.

(2) Reviewing LEA Annual Improvement Goals for Tier III Schools

Each participating LEA must establish clear and measurable goals for student achievement on state or local assessments and measures in reading/language arts and mathematics, using the state summative assessment data and local measures. The CDE will use annual results from these assessment and accountability systems to determine progress made and compare them with LEA applicant goals in reading/language arts and mathematics for all students and subgroup categories to determine whether the funded LEA Tier III schools have met their goals. In cases in which one or more of the schools served in an LEA are not meeting their improvement goals, the LEA's sub-grant will be considered for a reduction equivalent to the annual award for the non-achieving school(s) with the intent that the school(s) no longer receives funds.

(3) Monitoring LEAs That Receive a School Improvement Sub-grant

To monitor the implementation process, the CDE requires participating LEAs to submit appropriate fiscal and programmatic reports including, but not limited to, an annual renewal application and quarterly fiscal reporting. As part of the reporting process, the CDE has created an online fiscal expenditure tracking system and requires quarterly expenditure reporting, detailed fiscal narratives, and submission of updated SIG implementation plans. The CDE reviews the reported information in addition to annual LEA and school academic performance data to determine whether schools are making appropriate progress in the implementation of the identified school intervention model(s) and in meeting student achievement goals. Once each LEA's progress is reviewed in meeting its established improvement goals, CDE staff make a recommendation to the SBE on whether to renew an LEA's SIG when one or more schools are not meeting their goals. When it has been determined that an LEA has not made sufficient progress towards reaching its goals, the sub-grant will be considered for a reduction equivalent to the annual award for the non-performing school(s) with the intent that the school(s) no longer receive funding.

The CDE conducts periodic SIG TA Webinars based on review of required fiscal and programmatic reports, monitoring data, survey data, and questions received from funded LEAs and schools. CDE staff hold regular telephone meetings with LEAs funded by the SIG.

Annual Reports

The CDE will annually review the following information that is to be submitted by each SIG sub-grantee:

- Report annual accountability data to the CDE including, but not limited to:
 - Fiscal information on the use of sub-grant funds provided under ESEA Section 1003 (a) and (g) and the Consolidated Appropriations Act. All audits of financial statements must and will be conducted in accordance with Government Auditing Standards (GAS) and

with policies, procedures, and guidelines established by the Education Department General Administrative Regulations (EDGAR), Single Audit Act Amendments, and Office of Management and Budget Circular A-133.

- Measures to demonstrate implementation of the research and evidence-based strategies identified in the sub-grant application.

Each participating LEA must establish clear and measurable goals for student achievement on state or local assessments and measures in reading/language arts and mathematics, using the state summative assessment data and local measures. The CDE will use annual results from these assessment and accountability systems to determine progress made and compare them with LEA applicant goals for each funded school in reading/language arts and mathematics for all students and subgroup categories.

- LEA Progress on SIG Plan Implementation

For each participating school, the LEA must describe the actions and activities required to implement the selected intervention model, including a timeline with specific dates of implementation. The LEA must regularly report progress on these actions and activities. The CDE will annually evaluate whether the LEA has made sufficient progress on the implementation of each school's plan. In cases in which the LEA has not made sufficient progress, the LEA's sub-grant will be considered for a reduction equivalent to the annual award for the non-achieving school(s) with the intent that the school(s) no longer receives funding.

- Respond to any specific data requests from the ED.
- Utilize annual student achievement goals and student achievement data to evaluate the effectiveness of improvement strategies identified in the SIG sub-grant application for purposes of local monitoring and continuous improvement efforts.

Leading Indicators

The SEA will also review the performance of participating schools on the nine leading indicators identified by ED in its March 1, 2012, SIG Guidance, and will consider progress on these indicators when determining whether to adjust an LEA's sub-grant. For those indicators for which the CDE does not currently collect data, the CDE will require that funded LEAs include this information in their annual reports for this program.

Site Visits

CDE staff conducts a minimum of one site visit, over the three year grant period, to SIG-funded LEAs and schools in order to verify implementation. LEAs are required to upload evidence of compliance with grant requirements in the California Accountability and Improvement System (CAIS). Documents that have been uploaded in the CAIS are reviewed by CDE staff prior to the on-site visit. The

monitoring visits include interviews with LEA staff, school staff, and parents. In addition, LEA and school plans and financial documents are reviewed by CDE staff to ensure proper management of SIG funds.

(4) SIG funding priority to LEAs

California anticipates that SIG funding will not be sufficient to fund all eligible Tier I, Tier II, and Tier III schools. LEA applications to serve Tier I and Tier II schools will have highest priority for funding.

LEA applications will be scored and ranked to determine funding eligibility using the rubric identified in the LEA RFA.

An LEA's capacity to implement the selected school interventions, and other factors, such as the number of schools served in each tier, the selected intervention model, school enrollment, and the overall quality of LEA applications will be considered. In accordance with ED Guidance, if the CDE determines that the LEA does not have the capacity to meet the needs of all schools in the application, the CDE reserves the right to fund the LEA to serve only a portion of the schools included in the LEA's application. The CDE will only consider awarding funds to those LEAs that develop and submit a comprehensive and viable application likely to improve student academic achievement.

If sufficient SIG funds are not available to allow each LEA to implement fully and effectively the selected intervention model(s) at all of their Tier I and Tier II schools, the CDE will take into account the distribution of Tier I and Tier II schools among such LEAs in the State to ensure that Tier I and Tier II schools throughout the State can be served.

(5) Criteria to Prioritize Among Tier III Schools

Criteria to prioritize applications of Tier III schools may be based on the year in PI, length of time in PI beyond year five PI status, year of LEA PI Status, decile rank on California's API accountability system, and actual API performance in recent years.

(6) CDE Takeover of Schools

The CDE does not intend to take over a SIG applicant school.

(7) SEA direct services to any participating school in Tier I or II

The CDE does not intend to provide direct services to any schools in Tier I or Tier II.

E. ASSURANCES: The SEA must provide the assurances set forth below.

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

Comply with the final requirements and ensure that each LEA carries out its responsibilities outlined in the final requirements.

Award each approved LEA a School Improvement Grant in an amount that is of sufficient size and scope to

implement the selected intervention in each Tier I and Tier II school, or each priority school, as applicable, that the SEA approves the LEA to serve.

Monitor and evaluate the actions an LEA has taken, as outlined in its approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality.

Monitor and evaluate the actions the LEA has taken, as outlined in its approved SIG application, to sustain the reforms after the funding period ends and provide technical assistance to LEAs on how they can sustain progress in the absence of SIG funding.

If a Tier I or Tier II school, or priority school, as applicable, implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.

Post on its Web site, within 30 days of awarding School Improvement Grants, all final LEA applications and a summary of the grants that includes the following information: name and NCES identification number of each LEA awarded a grant; total amount of the three year grant listed by each year of implementation; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Tier I and Tier II school or priority school, as applicable.

Report the specific school-level data required in section III of the final SIG requirements.

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

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

F. SEA Reservation CA Response:

The CDE will reserve no more than five percent for its administration, evaluation, and technical assistance expenses.

The CDE will use these funds to conduct annual data collection and analysis activities, provide general technical assistance activities related to application submission and acceptable uses of funds, and coordinate direct technical assistance to schools. In addition, a small portion of the state reservation will be used to facilitate the on-site monitoring review visits to funded schools as part of California's plan for SIG program monitoring and technical assistance. The SEA will conduct a series of Webinars and conference calls relating to the SIG LEA RFA application process, ongoing one-on-one technical assistance from CDE staff to eligible applicants, and CDE Web page postings for frequently asked questions and answers and other pertinent information concerning SIG implementation.

LEAs receiving SIG grant awards must participate in a statewide evaluation process and provide all

required information on a timely basis. In addition, LEAs must respond to any additional surveys or other methods of data collection that may be required by the CDE or ED throughout the life of the sub-grant.

G. CONSULTATION WITH STAKEHOLDERS

By checking this box, the SEA assures that it has consulted with its Committee of Practitioners regarding the information set forth in its application.

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

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

Waiver 1: Tier II waiver

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2013 competition, waive paragraph (a)(2) of the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and incorporation of that definition in identifying Tier II schools under Section I.A.1(b) of those requirements to permit the State to include, in the pool of secondary schools from which it determines those that are the persistently lowest-achieving schools in the State, secondary schools participating under Title I, Part A of the ESEA that have not made adequate yearly progress (AYP) for at least two consecutive years or are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined.

Assurance

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

Waiver 2: n-size waiver

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2013 competition, waive the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and the use of that definition in Section I.A.1(a) and (b) of those requirements to permit the State to exclude, from the pool of schools from which it identifies the persistently lowest-achieving schools for Tier I

and Tier II, any school in which the total number of students in the “all students” group in the grades assessed is less than [Please indicate number].

Assurance

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

Waiver 3: Priority schools list waiver

In order to enable the State to replace its lists of Tier I, Tier II, and Tier III schools with its list of priority schools that meet the definition of “priority schools” in the document titled *ESEA Flexibility* and that were identified in accordance with its approved request for ESEA flexibility, waive the school eligibility requirements in Section I.A.1 of the SIG final requirements.

Assurance

The State assures that its methodology for identifying priority schools, approved through its ESEA flexibility request, provides an acceptable alternative methodology for identifying the State’s lowest-performing schools and thus is an appropriate replacement for the eligibility requirements and definition of persistently lowest-achieving schools in the SIG final requirements.

Waiver 4: Period of availability of FY 2013 funds waiver

Note: This waiver only applies to FY 2013 funds for the purpose of making three-year awards to eligible LEAs.

Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY 2013 school improvement funds for the SEA and all of its LEAs to September 30, 2017.

WAIVERS OF LEA REQUIREMENTS

California requests a waiver of the requirements it has indicated below. These waivers would allow any local educational agency (LEA) in the State that receives a School Improvement Grant to use those funds in accordance with the final requirements for School Improvement Grants and the LEA’s application for a grant. The State believes that the requested waiver(s) will increase the quality of instruction for students and improve the academic achievement of students in Tier I, Tier II, or Tier III schools by enabling an LEA to use more effectively the school improvement funds to implement one of the four school intervention models in its Tier I, Tier II, or Tier III schools. The four school intervention models are specifically designed to raise substantially the achievement of students in the State’s Tier I, Tier II, and Tier III schools.

Waiver 5: School improvement timeline waiver

Note: An SEA that requested and received the school improvement timeline waiver for the FY 2012 competition and wishes to also receive the waiver for the FY 2013 competition must request the waiver

again in this application.

An SEA that has been approved for ESEA flexibility need not request this waiver as it has already received a waiver of the requirement in section 1116(b) of the ESEA to identify schools for improvement through its approved ESEA flexibility request.

Schools that started implementation of a turnaround or restart model in the 2011-2012, 2012-2013, 2013-2014 school years cannot request this waiver to “start over” their school improvement timeline again.

Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Tier I, Tier II, and Tier III Title I participating schools that will fully implement a turnaround or restart model beginning in the 2014–2015 school year to “start over” in the school improvement timeline.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests the waiver in its application as part of a plan to implement the turnaround or restart model beginning in the 2014–2015 school year in a school that the SEA has approved it to serve. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

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

Waiver 6: Schoolwide program waiver

Note: An SEA that requested and received the schoolwide program waiver for the FY 2012 competition and wishes to also receive the waiver for the FY 2013 competition must request the waiver again in this application.

An SEA that has been approved for ESEA flexibility need not request this waiver as it has already received a waiver of the schoolwide poverty threshold through its approved ESEA flexibility request.

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

Assurances

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

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report

that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

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

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

PART II: LEA APPLICATION

An SEA must develop an LEA application form that it will use to make subgrants of school improvement funds to eligible LEAs.

LEA APPLICATION REQUIREMENTS

The LEA application form that the SEA uses must contain, at a minimum, the information set forth below. An SEA may include other information that it deems necessary in order to award school improvement funds to its LEAs.

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

An LEA must identify each Tier I, Tier II, and Tier III school, or each priority school, as applicable, the LEA commits to serve and identify the model that the LEA will use in each Tier I and Tier II school, or in each priority school, as applicable.

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

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

A. Schools To Be Served CA Response: Please see LEA Request for Application (RFA) attached to this application.

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

- (1) For each Tier I and Tier II school, or each priority school, that the LEA commits to serve, the LEA must demonstrate that the LEA has analyzed the needs of each school, such as instructional programs, school leadership and school infrastructure, and selected interventions for each school aligned to the needs each school has identified.
- (2) The LEA must ensure that each Tier I and Tier II school, or each priority school, that it commits to serve receives all of the State and local funds it would receive in the absence of the school improvement funds and that those resources are aligned with the interventions.
- (3) The LEA must describe actions it has taken, or will take, to—

- Determine its capacity to provide adequate resources and related support to each Tier I and Tier II school, or each priority school, identified in the LEA’s application in order to implement, fully and effectively, the required activities of the school intervention model it has selected;
 - Design and implement interventions consistent with the final requirements of the turnaround model, restart model, school closure, or transformation model;
 - Recruit, screen, and select external providers, if applicable, to ensure their quality;
 - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively; and,
 - Sustain the reforms after the funding period ends.
- (4) The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Tier I and Tier II school, or each priority school, identified in the LEA’s application.
- (5) The LEA must describe how it will monitor each Tier I and Tier II school, or each priority school, that receives school improvement funds including by-
- Establishing annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics; and,
 - Measuring progress on the leading indicators as defined in the final requirements.
- (6) For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement.
- (7) The LEA must describe the goals it has established (subject to approval by the SEA) in order to hold accountable its Tier III schools that receive school improvement funds.
- (8) As appropriate, the LEA must consult with relevant stakeholders regarding the LEA’s application and implementation of school improvement models in its Tier I and Tier II schools or in its priority schools, as applicable.

B. Descriptive Information CA Response: Please see LEA RFA attached to this application.

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

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

- Implement the selected model in each Tier I and Tier II school, or priority school, it commits to serve;
- Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA’s Tier I and Tier II schools or priority schools; and
- Support school improvement activities, at the school or LEA level, for each Tier III school identified in the LEA’s application.

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

An LEA's budget for each year may not exceed the number of Tier I, Tier II, and Tier III schools, or the number of priority schools, it commits to serve multiplied by \$2,000,000 (not to exceed \$6,000,000 per school over three years).

Example:

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

C. Budget CA Response: Please see LEA RFA attached to this application.

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

The LEA must assure that it will—

- (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school, or each priority school, that the LEA commits to serve consistent with the final requirements;
- (2) Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II school, or priority school, that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
- (3) If it implements a restart model in a Tier I or Tier II school, or priority school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;
- (4) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality;
- (5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding; and,
- (6) Report to the SEA the school-level data required under section III of the final requirements.

D. Assurances CA Response: Please see LEA RFA attached to this application

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

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

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

E. Waivers CA Response: Please see LEA RFA attached to this application

**School Improvement Grant
Section 1003(g)
Cohort 3, Fiscal Year 2013**

Request for Applications
(RFA)

**Applications must be received by the
California Department of Education (CDE)
no later than 4 p.m. on March 14, 2014**

California Department of Education
Improvement and Accountability Division
School Turnaround Office
1430 N Street, Suite 6208
Sacramento, CA 95814-5901
916-319-0833

<http://www.cde.ca.gov/sp/sw/t1/sig09.asp>



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DRAFT

Timeline

A number of important dates are identified below for local educational agencies (LEAs) or chartering authorities intending to apply for School Improvement Grant (SIG) funds.

Important Events	Dates
January State Board of Education (SBE) Meeting Agenda Item: <ul style="list-style-type: none"> • California's Application for Fiscal Year (FY) 2013 School Improvement Grant (SIG) • Request for Application (RFA) for California LEAs • California's List of Tier I and Tier II schools eligible for FY 2013 SIG 	January 15–16, 2014
California's Application for FY 2013 SIG sent to U.S. Department of Education for approval*	January 2014
Draft LEA RFA posted on the California Department of Education (CDE) Web site*	January 22, 2014
Webinar and Technical Assistance Session	January 2014
LEA SIG applications submitted to the CDE for format screening prior to final submission (optional)	March 3, 2014
LEA SIG applications due to the CDE	Before 4 p.m. on March 14, 2014
SIG RFA readers' conference conducted by the CDE to evaluate applications	March 31–April 4, 2014

<p>May SBE Meeting Agenda Item:</p> <ul style="list-style-type: none"> • LEA SIG FY 2013 Applications <p>The CDE will immediately notify LEAs of approval status. LEAs receiving a SIG Cohort 3 school year (SY) 2014–15 sub-grant must begin full implementation of the intervention model(s) they select for their funded school(s) at the beginning of the 2014–15 SY.</p>	<p>May 7–8, 2014</p>
<p>Optional Pre-Implementation by LEAs</p>	<p>May 7–8, 2014 (Upon approval by the California SBE)</p>
<p>Sub-grant award notification letters sent to LEAs</p>	<p>July 1, 2014</p>

*Pending SBE Approval

General Information

A. Overview

Hereafter, the term California Department of Education (CDE) refers to the CDE operating under the policy direction of the SBE. For information regarding the definition of terms used in this document, refer to the U.S. Department of Education (ED) SIG Application Web document at <http://www2.ed.gov/programs/sif/applicant.html>.

SIG, authorized under Section 1003(g) of Title I, Part A, of the Elementary and Secondary Education Act (ESEA), provides funding, through state educational agencies (SEAs), to LEAs and independent charter schools that receive Title I funds and have at least one school identified in Tier I or Tier II. These funds are for identified and approved schools that demonstrate the greatest need and the strongest commitment to use the funds. These sub-grants are intended to provide adequate resources in order to raise substantially the achievement of students to enable the schools to make adequate yearly progress (AYP) and exit improvement status.

SIG funding will be provided to LEAs with schools that meet eligibility requirements as defined by ED according to prescribed priorities and evidence of greatest need and demonstration of greatest commitment. Based on the priorities for SIG, California will specifically base its funding on the state’s list of remaining unserved Tier I and Tier II schools and previously served 2009 “persistently lowest-achieving” Tier I and Tier II schools. California will prioritize funding based on a determination of schools with greatest need and the geographic distribution of all Tier I and Tier II schools throughout

the state. California will not run a competition for Tier III schools until all LEA applications to serve Tier I or Tier II schools are funded. Given the substantial numbers of Tier I and Tier II schools on California's list of SIG-eligible schools, California does not anticipate funding any Tier III schools with the FY 2013 SIG funds. However, the LEA may use this application to apply to serve its Tier III eligible schools.

The CDE will provide guidance to LEAs as they plan, implement, monitor, and evaluate selected intervention models in their lowest achieving schools. The state will also work to ensure that schools successfully implement one of the four school intervention models by promoting district partnerships to share expertise and lessons learned in ways known to build upon and sustain success. The services provided to Tier I and Tier II schools are clearly focused on making sure that schools are equipped to maximize student success. Ongoing technical assistance will be provided to LEAs during sub-grant implementation.

B. Opportunity to Improve

To receive a SIG sub-grant, an LEA must submit an application to the CDE that complies with the provisions herein. These funds are intended to support research-based, effective and sustainable school improvement activities that increase the likelihood that all students learn challenging academic content and achieve proficiency on state assessments in reading/language arts and mathematics.

For FY 2013, California received approximately \$57 million through the ED Appropriations Act of 2013. FY 2013 SIG funds will be used to fund the three year SIG grant and are available for obligation by the CDE and LEAs from July 1, 2014, through September 30, 2017.

C. Eligibility

The CDE has requested a waiver of sections I.A.1 and II.B.10 of the SIG final requirements to permit the state to use the same Tier I, Tier II, and Tier III lists it used in the Cohort 1 and Cohort 2 competitions. As a result, the remaining unserved Tier I and Tier II schools from the Cohort 2 SIG competition will be eligible for FY 2013 SIG funding. In addition, Tier I and Tier II schools that received Cohort 1 SIG funds and have completed the grant period are eligible.

In keeping with federal requirements, California has defined "persistently lowest-achieving schools" as those that are determined to have been among the lowest 5 percent of schools in Program Improvement (PI) in terms of their average three-year proficiency rate for English-language arts (ELA) and mathematics over three school years (2006–07, 2007–08, and 2008–09). In accordance with ED guidance, any high school in either Tier I or Tier II with a four-year graduation rate of less than 60 percent was also included. Prior to identifying specific schools, the CDE excluded from the list of

potential schools those that had shown at least 50 points of growth in the Academic Performance Index (API) over a five year period (2004–05, 2005–06, 2006–07, 2007–08, and 2008–09) to address the requirement that only schools showing a lack of progress over a certain number of years should be included. In addition, schools not meeting California’s established minimum group size of 100 students with valid test scores for each of the three years were excluded.

California has defined Tier II schools as the persistently lowest-achieving secondary schools that are eligible for, but do not receive, Title I, Part A funds. California was granted a waiver in FY 2009 of the definition of “persistently lowest-achieving schools” to permit California to include among its persistently lowest-achieving Tier II secondary schools, Tier III Title I secondary schools that are lower achieving than one or more Tier II schools. They do not qualify as Tier II schools because they are receiving Title I, Part A funds, and do not qualify as Tier I schools because they are not among the lowest-achieving 5 percent of such schools in the State.

In the Tier I and Tier II schools an LEA commits to serve, the LEA must implement one of four school intervention models: turnaround model, restart model, closure model, or transformation model.

NOTE: An LEA with a Tier I or Tier II school must be receiving Title I funding in order to be eligible to apply.

D. Funding Priority and Levels

Federal SIG regulations provide equal priority for funding Tier I and Tier II schools. ED requires states to award SIG funds to serve Tier I and Tier II schools that LEAs commit to serve prior to awarding any funds to an LEA to serve any Tier III schools. There may not be sufficient funding to serve all eligible schools. Therefore, California intends to fund all Tier I and Tier II schools statewide prior to funding any Tier III schools. Given this intent, LEA applicants are strongly encouraged to commit to serve all of their Tier I and Tier II schools prior to including any Tier III schools in their SIG sub-grant application.

LEA applications will be scored and ranked to determine funding eligibility.

An LEAs capacity to implement the selected school interventions, and other factors, such as the number of schools served in each tier, the selected intervention model, school enrollment, and the overall quality of LEA applications will be considered. In accordance with ED Guidance, if the CDE determines that the LEA does not have the capacity to meet the needs of all schools in the application, the CDE reserves the right to fund the LEA to serve only a portion of the schools included in the LEAs application. The CDE will only consider awarding funds to those LEAs that develop and submit a comprehensive and viable application likely to improve student academic achievement.

The CDE also reserves the right to fund applications at a lesser amount if the application can be implemented with less funding. Furthermore, if funding is not sufficient to fully fund all applications that merit award, the CDE reserves the right to fund applications at a lesser amount, identify which schools or sites will receive funding, and award sub-grants accordingly.

The portion of an LEAs SIG sub-grant for a school that is subject to closure is limited to the time necessary to close the school, usually one year or less. As such, funds allocated for a school closure would not be subject to renewal.

If sufficient SIG funds are not available to allow each LEA to implement fully and effectively the selected intervention model(s) at all of their Tier I and Tier II schools, the CDE will take into account the distribution of Tier I and Tier II schools among such LEAs in the State to ensure that Tier I and Tier II schools throughout the State can be served.

An approved LEA application will receive a minimum of \$50,000 and a maximum \$2,000,000 per year for each of their eligible Tier I and Tier II schools that are included and approved in the sub-grant application. Funding levels will reflect the LEAs projected cost of implementing the selected intervention strategy for each school as approved by the SEA.

Program Guidelines

A. School Improvement Intervention Models

An LEA that wishes to receive a SIG is required to submit an application to the state identifying which schools it commits to serve from the state's list of Tier I and Tier II schools. Tier I and Tier II schools must implement one of the following four school intervention models (as described in the *Federal Register* and provided below) intended to improve the management and effectiveness of these schools. LEAs receiving a Cohort 3 FY 2013 SIG sub-grant must begin full implementation of the intervention model(s) they select for their funded schools at the beginning of the 2014–15 SY, which is Year 1 of the SIG sub-grant. Those LEAs electing to carry out optional pre-implementation activities may begin implementation upon receipt of a Grant Award Notice from the CDE.

(See the current SIG Guidelines on the ED Web site at <http://www2.ed.gov/programs/sif/legislation.html> for detailed information on each SIG model). Additional information can be accessed at the CDE SIG Cohort 3 RFA Web site here: <http://www.cde.ca.gov/sp/sw/t1/sig09.asp>.

- i. **Turnaround model**, which includes, among other actions, replacing the principal and rehiring no more than 50 percent of the school's staff, adopting a new governance structure, and implementing an instructional program that is

research-based and vertically aligned from one grade to the next as well as aligned with California's adopted content standards. This includes ELA and mathematics core and intensive intervention programs that are SBE-adopted (2001 or later) in kindergarten through grade eight and standards-aligned core and intervention instructional materials in grades nine through twelve.

Required Activities:

A turnaround model is one in which an LEA implements each of the following strategies:

- a. Replace the principal and grant the new principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully and effectively a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates.
- b. Use locally-adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students, to screen all existing staff and rehire no more than 50 percent, and select new staff.
- c. Implement such strategies as (1) financial incentives, (2) increased opportunities for promotion and career growth, and (3) more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school.
- d. Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies.
- e. Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA, or hire a "turnaround leader" who reports directly to the LEA.
- f. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with California's adopted academic standards. This includes ELA and mathematics core and intensive intervention programs that are SBE-adopted (2001 or later) in kindergarten-grade eight and standards-aligned core and intervention instructional materials in grades nine-twelve.

- g. Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.
- h. Establish schedules and implement strategies that provide increased learning time (ILT) for all students in the following three areas and as outlined in SIG Federal Guidance (See Program Guidelines Section B):
 - Instruction in core academic subjects.
 - Instruction in other subjects and enrichment activities that contribute to a well-rounded education.
 - Time for teachers to collaborate, plan, and engage in professional development within and across grades and subjects.
- i. Provide appropriate social-emotional and community-oriented services and supports for students.

Permissible Activities:

A turnaround model may also implement other strategies such as:

- j. Any of the required and permissible activities under the transformation model.
- k. A new school model.

See Form 10.1 Turnaround Implementation Chart for a complete list of required components for a Tier I or Tier II school.

- ii. **Transformation model**, in which an LEA implements each of the following strategies:

Note: An LEA that has nine or more Tier I and Tier II schools, including schools that are currently being served with SIG funds and those that are eligible to receive FY 2013 SIG funds may implement the transformation model in no more than 50 percent of these schools.

- a. **Developing and increasing teacher and school leader (and other staff) effectiveness.**

Required Activities:

- 1. Replace the principal who led the school prior to commencement of the transformation model.

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

Permissible Activities:

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

b. Comprehensive Instructional Reform Strategies

Required Activities:

1. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with California's adopted academic content standards. This includes ELA and mathematics core and intensive intervention programs that are SBE-adopted (2001 or later) in kindergarten through grade eight and standards-aligned core and intervention instructional materials in grades nine through twelve.
2. Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.

Permissible Activities:

1. Conducting periodic reviews to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if deemed ineffective.
2. Implementing a school wide "response-to-intervention" model.
3. Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that English learner students acquire the English proficiency (language) skills necessary to master academic content within a certain time period.
4. Using and integrating technology-based supports and interventions as part of the instructional program.
5. In secondary schools
 - A. Increasing rigor by offering opportunities for students to enroll in advanced coursework (such as Advanced Placement; International Baccalaureate; or science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities), early-college high schools, dual enrollment programs, or thematic learning academies that prepare

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

- B. Improving student transition from middle to high school through summer transition programs or freshman academies.
- C. Increasing graduation rates through, for example, credit-recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills.
- D. Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate.

c. Increasing Learning Time

Required Activities:

1. Establish schedules and implement strategies that provide ILT for all students in the following three areas and as outlined in SIG Federal Guidance (See Program Guidelines Section B):
 - Instruction in core academic subjects.
 - Instruction in other subjects and enrichment activities that contribute to a well-rounded education.
 - Time for teachers to collaborate, plan, and engage in professional development within and across grades and subjects.

d. Creating Community-Oriented Schools

Required Activities:

- Provide ongoing mechanisms for family and community engagement.

Permissible activities:

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

e. Providing Operational Flexibility and Sustained Support

Required Activities:

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

Permissible Activities:

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

See Form 10.2 Transformation Implementation Chart for a complete list of required components for a Tier I or Tier II school.

- iii. **Restart model**, in which an LEA converts a school or closes and reopens a school under a charter school operator, a Charter Management Organization (CMO), or an EMO that has been selected through a locally-determined **rigorous review process**, using SEA provided guidance, by the LEA. (A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing certain functions and resources among schools. An EMO is a for-profit or non-profit organization that provides “whole-school operation” services to an LEA.) If an LEA implements a restart model in a Tier I or Tier II school, the LEA must include in its contract or agreement terms and provisions to hold the charter school operator, CMO, or EMO accountable for complying with the final requirements. A restart model school must enroll, within the grades it serves, any former student who wishes to attend the school.

See Form 10.3 Restart Implementation Chart for a complete list of required components for a Tier I or Tier II school.

- iv. **Closure Model**, in which an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving. These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available. SIG funds may not be used in the school that is receiving students who previously attended a school that is subject to closure in order to cover the costs associated with accommodating those students.

See Form 10.4 School Closure Implementation Chart for a complete list of required components for a Tier I or Tier II school.

B. Increased Learning Time Guidelines for School Improvement Grant

Question A-31 in the EDs February 23, 2011, SIG Guidance defines ILT with respect to SIG:

ILT means using a longer school day, week, or year schedule to significantly increase the total number of school hours to include additional time for the following program requirements:

- a. Instruction in core academic subjects including English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography.

- b. Instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations.
- c. Teachers to collaborate, plan, and engage in professional development within and across grades and subjects.

The definition indicates that the ILT should occur in each of the three areas.

The ED provides further guidance on ILT in its Education Data Exchange Network (EDEN) N167—SIG File. Specifications for submission of the SIG leading indicators are available as a Web document located at <http://www2.ed.gov/about/inits/ed/edfacts/eden/non-xml/n167-7-5.doc>. The EDEN Submission System is an electronic system that facilitates the efficient and timely transmission of data from SEA to the ED. The data collected using this file specification are used to monitor and report performance on the SIG program. (Note: The “Inactive” watermark on this guidance means that data files cannot be submitted at this time; however, the guidance contained within the specifications has been finalized and approved by ED.) The guidance states:

What constitutes “all students had the opportunity to participate?”

All students had the opportunity to participate if there was no selection process for the activity. For example, an afterschool program available only to a subset of students in the school, such as those who are failing a course, would not be included.

Are minutes from an activity that was not available to all students included?

No, minutes are included only when the activity was available to all students.

Increased Learning Time

Increases should be reported relative to the prior school year.

All students must have the opportunity to participate in the ILT; it must occur in core, enrichment, and teacher collaboration; and it must represent an increase relative to the prior SY, which is 2013–14 for Cohort 3.

Question E-12 from the SIG Guidance also states that ILT is more closely focused on increasing the number of instructional minutes in the school day or days in the school year.

With respect to extending learning into before- and after-school hours, Question A-32 in the SIG Guidance states:

Extending learning into before- and after-school hours can be difficult to implement effectively, but is permissible under this definition, although the Department encourages LEAs to closely integrate and coordinate academic work between in school and out of school. To satisfy the requirements in Section I.A.2(a)(1)(viii) of the turnaround model and Section I.A.2(d)(3)(i)(A) of the transformation model for providing ILT, a before- or after-school instructional program must be available to all students in the school.

An afterschool program is available only to a subset of students in the school, such as those who are failing a course, would not be a form of ILT.

With respect to a minimum amount of ILT, Question A-32d in the SIG Guidance states:

Although research supports the effectiveness of increasing learning time by a minimum of 300 hours, the final requirements do not require that an LEA implementing either the turnaround model or the transformation model necessarily provide at least 300 hours of ILT. An LEA has the flexibility to determine precisely how to meet the requirement to establish schedules that provide ILT, and should do so with an eye toward the goal of increasing learning time enough to have a meaningful impact on the academic program in which the model is being implemented.

C. Pre-Implementation

“Pre-implementation” enables an LEA to prepare for full implementation of a school intervention model at the start of the 2014–15 SY. As soon as the grant award is received, the LEA may use part of its first-year allocation for SIG-related activities in schools that will be served in Cohort 3 SY 2014–15. For a full description of pre-implementation, please refer to Section J of the SIG Guidance.

Pre-implementation activities include, but are not limited to:

- Holding community meetings to review school performance, discuss the school intervention model to be implemented, and develop school improvement plans in line with the intervention model selected.
- Conducting the required rigorous review process to select a charter school operator, a CMO, or an EMO and contract with that entity; or properly recruit, screen, and select any external providers that may be necessary to assist in planning for the implementation of an intervention model.

- Recruiting and hiring the incoming principal, leadership team, instructional staff, and administrative support; or evaluate the strengths and areas of need of current staff.
- Providing remediation and enrichment to students in schools that will implement an intervention model at the start of the 2014–15 SY; identifying and purchasing instructional materials aligned with state academic standards that have data-based evidence of raising student achievement; or compensate staff for instructional planning.
- Training staff on the implementation of new or revised instructional programs; providing instructional support for returning staff members or training staff on the new evaluation system and locally adopted competencies.
- Developing and piloting a data system for use in SIG-funded schools to analyze data on leading baseline indicators, or develop and adopt interim assessments for use in SIG-funded schools.

Please Note:

- SIG funds may not be used to continue paying unassigned teachers who have been removed from the classroom and are not participating in activities to prepare their school for full implementation of a school intervention model.
- An LEA may not use SIG funds to buy out the remainder of the current principal's contract.

Pre-implementation activities will be evaluated to ensure that SIG funds awarded for the first year cover full and effective implementation through the duration of the 2014–15 SY, including activities carried out during the pre-implementation period. All pre-implementation activities funded with SIG funds will be reviewed to determine if they are reasonable and necessary, directly related to the full and effective implementation of the model selected by the LEA, and address the needs identified by the LEA.

D. Responsibilities of the Local Educational Agencies

- i. For each Tier I and Tier II school that the LEA commits to serve, the LEA must demonstrate that:
 - The LEA has analyzed the needs and the appropriateness of each model for each school and then selected the model that will be most effective for each school.
 - The LEA has the capacity to use SIG funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEAs

application in order to implement, fully and effectively, the required activities of the school intervention model(s) it has selected.

- ii. If the LEA is not applying to serve each Tier I school identified, the LEA must explain why it lacks capacity to serve each Tier I school using SIG Form 2.
- iii. The LEA must describe actions it has taken, or will take, to:
 - Design and implement intervention(s) consistent with the final requirements that may include pre-implementation activities to be carried out prior to the beginning of the 2014–15 SY.
 - Recruit, screen, and select external providers, if applicable, to ensure their quality.
 - Align other resources with the intervention(s) including federal, state, private, and other district resources.
 - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively.
 - Sustain the reforms after the funding period ends.
- iv. The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Tier I and Tier II school identified in the LEAs application using the appropriate Implementation Chart. The timeline must include beginning and ending implementation dates using a month and year designation.
- v. The LEA must describe the annual school goals for student achievement in both reading/language arts, mathematics, and graduation rate (if applicable) that it has established in order to monitor its Tier I and Tier II schools that receive school improvement funds.
- vi. As appropriate, the LEA must consult with relevant stakeholders regarding the LEAs application and implementation of school improvement models in its Tier I and Tier II schools.

E. Program Accountability and Monitoring

The CDE is responsible for monitoring LEA SIG implementation in accordance with the following program accountability requirements:

1. Each LEA receiving funding through this RFA meets the eligibility requirements for the sub-grant described herein, and the LEA has provided all required

assurances that it will comply with all program implementation and reporting requirements established through this RFA.

2. Each LEA receiving funding through this RFA appropriately uses these funds to implement one of the four school improvement models described in this application.
3. Each LEA implements a selected intervention model in each school funded through this application within the timeline in which the funds provided are to be used.

To fulfill its monitoring responsibilities, the CDE will require funded LEAs to submit appropriate fiscal and program information. In addition, representatives of the state and/or the regional consortia may conduct site visits to a selected representative sample of funded LEAs and their funded schools. The purpose of these visits would be to validate information submitted by LEAs and gather additional information from interviews and observations for technical assistance, monitoring, and evaluation purposes.

Reporting and Accountability Requirements

Applicants awarded SIG funds must satisfy periodic reporting and accountability requirements throughout the term of the sub-grant. These requirements address: (A) program accountability; (B) fiscal reporting requirements; (C) site visits; and (D) program evaluation.

A. Program Accountability

Each identified PI school and LEA receiving SIG sub-grant funds is responsible for carrying out its school improvement responsibilities under ESEA Section 1116(b) and (c) located on the ED Web site at <http://www2.ed.gov/policy/elsec/leg/esea02/pg2.html#sec1116>.

The LEA must include on Form 2 a list of each of the schools served, their National Center for Education Statistics (NCES) Identification Number, the intervention model selected for each school, and the waivers for which the LEA is applying. These codes can be found at <http://nces.ed.gov/>.

Each LEA and school receiving a SIG sub-grant is responsible for carrying out its school improvement responsibilities in accordance with its approved sub-grant application and improvement plan. This includes making progress toward annual school goals and benchmarks.

LEAs are required to provide regular updates throughout the year to the CDE on Implementation Chart progress for each funded school.

For any Tier I or Tier II school, the LEA must provide school-level data on all of the metrics designated by ED. Refer to current SIG Guidance on the ED Web site at <http://www2.ed.gov/programs/sif/legislation.html> (Outside Source) for a complete listing of metrics and indicators.

B. Fiscal Reporting Requirements

SIG sub-grantees must submit quarterly expenditure reports to the CDE by the dates listed below. The LEA or chartering authority is responsible for ensuring that reports are accurate, complete, and submitted on time.

Quarter	Reporting Period	Report Due Date
1	July 1–September 30	October 31
2	October 1–December 31	January 31
3	January 1–March 31	April 30
4	April 1–June 30	July 31
5	July 1–September 30	October 31

C. Site Visits by Regional Consortia or State Staff

If selected as part of a site visit sample, LEAs and their funded schools must agree to site visits by state representatives and/or the regional consortia. The site visit is intended to validate information provided in expenditure and program evaluation reports, gather more detailed information on implementation efforts and challenges, and provide technical assistance and support.

D. Program Evaluation

All SIG recipients will be responsible for fulfilling the following program evaluation requirements:

- i. Report annual accountability data to the CDE including, but not limited to:
 - a. Fiscal information on the use of grant funds provided under ESEA Section 1003(g).
 - b. Measures to demonstrate implementation of the research- and evidence-based strategies identified in the sub-grant application.

- c. The number and percentage of students who score proficient in reading/language arts and mathematics for each school receiving funds through this application.

In lieu of California Standardized Testing and Reporting (STAR) scores, LEAs and schools should use multiple local measures to evaluate how SIG goals are being met. These local measures may include, but are not limited to, the following: district ELA, math and other subject benchmark assessments; curriculum-imbedded assessments; performance measures imbedded in supplemental technology-based instructional programs and applications; local pilot measures for Common Core standards being implemented in classrooms; and other valid and reliable assessments of reading acquisition skills, writing skills, and math skills, and meaningful performance assessments of student learning. This may include other State assessments, where available, such as the Smarter Balanced interim assessments.

- ii. Respond to any specific data requests from the ED.
- iii. Utilize annual student achievement goals and student achievement data to evaluate the effectiveness of improvement strategies identified in the SIG sub-grant application for purposes of local monitoring and continuous improvement efforts.
- iv. In addition, the CDE will review the performance of participating schools on the nine leading indicators identified by ED in SIG Guidance on the ED Web site at <http://www2.ed.gov/programs/sif/legislation.html>.
 - 1. Number of instructional minutes within the SY.
 - 2. Student participation rate on state assessments in reading/language arts and in mathematics, and by student subgroup.
 - 3. Dropout rate where applicable.
 - 4. Student attendance rate.
 - 5. Number and percentage of students completing advanced coursework where applicable (e.g., Advanced Placement/International Baccalaureate, early-college high schools, and dual enrollment classes).
 - 6. Discipline incidents.
 - 7. Truants.
 - 8. Distribution of teachers by performance level on an LEAs teacher evaluation systems.

9. Teacher attendance rate.

For those indicators for which the CDE does not currently collect data, the CDE will require that funded LEAs include this information in their annual reports for this program if applicable. Refer to SIG Guidance on the ED Web site at <http://www2.ed.gov/programs/sif/legislation.html> for a complete listing of metrics and indicators.

Fiscal Operations

Sub-grantees must comply with the following fiscal operational requirements.

A. Use of Funds

SIG funding shall be used to support school improvement efforts by LEAs and their eligible schools funded by this sub-grant process. Sub-grant funds may be used for staff salaries, materials, services, training, equipment, supplies, evaluation, minor facilities upgrades, or other purposes, except as specifically limited by all applicable legal requirements including all regulations or statutes or by the SEA. Each eligible LEA that receives an award may use the funds to carry out activities that advance the SIG sub-grant priorities. Sub-grantees may only use sub-grant funds for their intended purposes. Any funds provided to LEAs for pre-implementation will be counted as part of their first year SIG award.

The SIG funds must supplement, not supplant, existing services and may not be used to supplant federal, state, local, or nonfederal funds. Programs may not use SIG funds to pay for existing levels of service funded from any other source. An LEA that commits to serve one or more Tier I or Tier II schools that do not receive Title I, Part A funds must ensure that each of those schools receives all of the federal, state, and local funds it would have received in the absence of the SIG funds. SIG funds may not be used for new construction, most transportation, or purchases not directly related to any components in the models. Please refer to Section I of the FY 2011 SIG Guidance on the Ed Web site at <http://www2.ed.gov/programs/sif/legislation.html> for further information on allowable use of SIG funds.

If the sub-grantee terminates program operation, the CDE will bill the LEA sub-grantee for any overpayment.

Please refer to Appendix B for a list of the expenditure codes to be used in this RFA. For a detailed description of these expenditure classifications, refer to the *California School Accounting Manual*, 2008 Edition. Visit the CDE Accounting Web page at <http://www.cde.ca.gov/fg/ac/sa/> for viewing and downloading information.

B. Payments to Sub-grantees

The CDE will issue payments in five increments as follows:

- The first payment: 22.5 percent of the annual sub-grant award, plus all expenses already incurred, no later than 30 days after the CDE receives the Grant Award Notification letter (AO-400), or within 30 days after the Budget Act becomes effective, whichever is later.
- Subsequent payments will be made quarterly in amounts that equal 22.5 percent of the total award, plus expenses already incurred to date, upon verification that quarterly reports have been submitted to the CDE by the LEA.
- No payments will be made in excess of the grant award. Ten percent will be withheld until approval of the final year-end expenditure report.

C. Renewal of Funding

The CDE will consider the following factors annually in determining whether to recommend to the SBE that the LEAs SIG sub-grant, in whole or in part, will be renewed:

- Local Educational Agencies Progress on Annual School Achievement Goals

Each participating LEA must establish clear, measurable, and challenging goals for student achievement **for each school**. In lieu of STAR scores, LEAs and schools should use multiple local measures to evaluate how SIG goals are being met. These local measures may include, but are not limited to, the following: district ELA, math and other subject benchmark assessments; curriculum-imbedded assessments; performance measures imbedded in supplemental technology-based instructional programs and applications; local pilot measures for Common Core standards being implemented in classrooms; and other valid and reliable assessments of reading acquisition skills, writing skills, and math skills, and meaningful performance assessments of student learning. This may include other state assessments, where available, such as the Smarter Balanced interim assessments.

The CDE will evaluate whether or not the LEA is meeting its student achievement goals in reading/language arts and mathematics for all students and subgroups and making progress on the federal nine leading indicators in each funded school.

In cases in which one or more of the schools served in an LEA are not meeting their improvement goals, the LEAs sub-grant will be considered for a reduction equivalent to the annual award for the non-achieving school(s) with the intent that the school(s) no longer receives funding.

- Local Education Agencies Progress on School Improvement Plan Implementation

For each participating school, the LEA must describe the actions and activities required to implement the selected intervention model, including a timeline with specific dates of implementation. The LEA must regularly report progress on these actions and activities. The CDE will annually evaluate whether the LEA has made sufficient progress on the implementation of each school's plan. In cases in which the LEA has not made sufficient progress, the LEAs sub-grant will be considered for a reduction equivalent to the annual award for the non-achieving school(s) with the intent that the school(s) no longer receive(s) funding.

D. Termination of Funding

Funding shall be terminated if there is evidence of fraud or fiscal irregularity in the use of funds for their intended purpose.

Application Review and Sub-grant Award Process

A. Selection Process

LEAs with eligible Tier I or Tier II schools may apply for SIG funding through this application. When recommending sub-grant applications for funding, the CDE will recommend funding those applications that fully comply with all requirements described in this RFA. The SEA will only consider awarding funds to those LEAs that develop and submit a comprehensive and viable application likely to improve student academic achievement. The CDE has provided a rubric that describes expectations for LEA responses to each element and other requirements of the application. This rubric is included as Appendix D in this RFA. Respondents are advised to use the rubric as a guide in preparing their applications.

B. Award Notification

The CDE will post its notification of proposed sub-grant awards for the SIG program on the CDE Web site at <http://www.cde.ca.gov/> within 30 days of the SBE action to award SIG sub-grants to LEAs. Applicants will be notified in writing as soon as possible thereafter. All applications, whether approved or not, will be posted in their entirety on the CDE Web site in accordance with federal requirements. In addition, CDE will post a summary of the SIG grant awards including LEA name and NCES number, amount of grant, name of each school approved to be served, and the intervention model to be implemented in each school served.

Programmatic and Fiscal Response Requirements

With the exception of implementation charts, budgets, and sustainability plans, the application must be in Microsoft Word 2003 or later, single spaced, and 12 point Arial font using one inch margins.

LEAs must respond to all of the programmatic and fiscal elements listed in this application. When responding to the elements, LEAs should provide a thorough response that addresses **all** components of each element. The CDE has provided a rubric that describes expectations for LEA responses to each element and other requirements of the application. This rubric is included as Appendix D in this RFA. Respondents are advised to use the rubric as a guide in preparing their applications. The rubric will be used by reviewers to evaluate each application during the application review and approval process.

LEAs responding to this RFA must submit a complete application packet, including a complete response to all items described in this RFA, required forms, and all original signatures required as noted on each application form. The LEA must complete an Implementation Chart for each Tier I or Tier II school it commits to serve (SIG Forms 10). California will not run a competition for Tier III schools until all LEA applications to serve Tier I or Tier II schools are funded. Given the substantial numbers of Tier I and Tier II schools on California's list of SIG-eligible schools, California does not anticipate funding any Tier III schools with the FY 2013 SIG funds. However, the LEA may use this application to apply to serve its Tier III eligible schools. In this case, the LEA must meet all programmatic and fiscal requirements of the application.

**School Improvement Grant (SIG)
Application for Funding**

**APPLICATION RECEIPT DEADLINE
March 14, 2014, 4 p.m.**

Submit to:
California Department of Education
Improvement and Accountability Division
School Turnaround Office
1430 N Street, Suite 6208
Sacramento, CA 95814-5901

NOTE: Please print or type all information.

County Name:		County/District Code:	
Local Educational Agency (LEA) Name		LEA NCES Number:	
LEA Address		Total Grant Amount Requested	
City		Zip Code	
Name of Primary Grant Coordinator		Grant Coordinator Title	
Telephone Number	Fax Number	E-mail Address	
<p>CERTIFICATION/ASSURANCE SECTION: As the duly authorized representative of the applicant, I have read all assurances, certifications, terms, and conditions associated with the federal SIG program; and I agree to comply with all requirements as a condition of funding.</p> <p>I certify that all applicable state and federal rules and regulations will be observed and that to the best of my knowledge, the information contained in this application is correct and complete.</p>			
Printed Name of Superintendent or Designee		Telephone Number	
Superintendent or Designee Signature (Blue Ink)		Date	

SIG Form 2—Schools to Be Served

An LEA must submit a list of schools it commits to serve and identify the intervention model the LEA will use in each Tier I and Tier II school. It must also indicate for which Tier I or Tier II Title I school it will implement the PI accountability timeline “start-over” or School-Wide Program (SWP).

Note: An LEA that has nine or more Tier I and Tier II schools, including schools that are currently being served with SIG funds and those that are eligible to receive FY 2013 SIG funds, may implement the transformation model in no more than 50 percent of these schools. Complete SIG Form 2—Schools to Be Served chart.

Waiver: The state has requested a waiver of the requirements listed below. These waivers would allow any LEA in California that receives SIG funds to use those funds in accordance with the final requirements for SIG and the LEAs application for a sub-grant. The period of availability waiver will automatically apply to all LEAs with approved applications.

- Waive Section 1116(b)(12) of the ESEA for an LEA with an approved application to allow its Tier I or Tier II schools to implement a turnaround or restart model and “start over” in the PI timeline. (**Note:** Tier I or Tier II Title I schools only)
- Waive the 40 percent poverty eligibility threshold in Section 1114(a)(1) of the ESEA to permit an LEA with an approved application to implement a SWP in a Tier I or Tier II school that does not meet the poverty threshold. (**Note:** Tier I or Tier II Title I schools only)

(The LEA must indicate for which schools it will implement the “start over” and SWP waiver on the Schools to Be Served chart SIG Form 2).

SIG Form 2—Schools to Be Served

Indicate which schools the LEA commits to serve, their Tier designation, and the intervention model the LEA will implement for each Tier I and Tier II school. For each Tier I and Tier II Title I school, indicate which waiver(s) will be implemented at each school. The CDE will review Form 11 Implementation Charts for Tier III schools to be served. **Note:** An LEA that has nine or more Tier I and Tier II schools, including schools that are currently being served with SIG funds and those that are eligible to receive FY 2013 SIG funds, may implement the transformation model in no more than 50 percent of these schools. (Attach as many sheets as necessary.)

School Name	NCES Code (Available at http://nces.ed.gov)	TIER I	TIER II	INTERVENTION MODEL				WAIVER(S) TO BE IMPLEMENTED		
				Turnaround	Restart	Closure	Transformation	“Starting Over” in the School Improvement Timeline (Restart and Turnaround Only)	Implement a School-Wide Program in a Title I Participating School that does not meet the 40 Percent Poverty Eligibility Threshold	Not Applying for Waiver

SIG Form 2a—Eligible, But not Served Schools

If the LEA is not applying to serve all Tier I schools within its jurisdiction, the LEA must identify those schools and explain why it lacks the capacity to serve each Tier I school using SIG Form 2a. If the limitation is at the LEA level then the LEA must identify the specific barriers that preclude serving all of its Tier I schools. If the limitation is based on conditions at a specific school or schools, the LEA must describe those conditions. If there are additional limiting factors, the LEA must describe them. The SEA will review the description of the limitation and any supporting evidence provided by the LEA to determine whether the rationale provided supports the LEAs claim of lack of capacity. This section will also serve as the LEAs demonstration of capacity. Identify each Tier I school that is eligible to receive the SIG, but that the LEA is not applying to serve, and give the reason for their exclusion.

School Name	NCES Code (Available at http://nces.ed.gov/)	Reason For Not Serving

A. Needs Assessment (Required) (Forms 3, 3a)

The LEA must describe the process and findings of the needs assessment conducted for **each** school it commits to serve and the evidence used to select the intervention model to be implemented at each school.

- Form 3: District and School Improvement Team
- Form 3a: School Performance, Data, and Analysis

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SIG Form 3—District and School Improvement Team

The role of the district and school improvement team is to organize and lead the needs assessment process. District leadership may assign additional roles to the team, such as developing, defining, and recommending actions necessary to accomplish the goals of the school improvement plan.

The team should be comprised of a cross-section of district staff, school staff and parents, or community members involved in school improvement, professional development, curriculum and instruction, assessment, Title I coordination, special education, student services, fiscal management, union representation, and the school board. If the district is working with a technical assistance (TA) provider, it may choose to have the TA provider serve on the team. It is suggested that the team identify a contact to serve as the team lead, e.g. the superintendent or superintendent's designee. This person may serve as a liaison to the CDE, district leadership, external support providers, and other team members. The team lead has the full support of district leadership, is knowledgeable about the development of the SIG, and is comfortable leading and facilitating diverse groups of people.

District and School Improvement Team Membership

Name	Title/Position	Representing

Please add more lines, if needed.

SIG Form 3a—School Performance Data and Analysis

As part of the needs assessment process, the district must provide school performance data and analysis. Please complete the information requested on the forms below. (8 page limit per school.)

District Name:		
School Name:	CDS:	

School Demographics			
	2010–11	2011–12	2012–13
Grade Levels Currently Served (Example K-6)			
Total Enrollment			
Percentage of Special Education Students			
Percentage of English Language Learners			

School Background Information
<p>Home languages of English Language Learners (please list up to three primary languages):</p> <ul style="list-style-type: none"> • • •

SIG Form 3a—School Performance Data and Analysis

Briefly describe the community served by the school.

Briefly describe the background of the school prior to implementing SIG reform efforts (within the last three years) and include climate, culture, instructional practices, data use, and school staffing.

Prior and Current School Improvement Reform Efforts

Please complete the table below on prior and current reform efforts (within the last five years) at the school. Indicate if the reform effort was successful in school improvement or not successful and the reason.

Year	Reform Effort	Successful	Not Successful	Reason
<i>Example: 2010</i>	<i>Implemented PLC model and purchased data program</i>		<i>X</i>	<i>Inadequate professional development on data program for staff resulting in inconsistent data use. Content of PLC meetings was not structured often resulting in time spent on staff meetings or other school related business.</i>

SIG Form 3a—School Performance Data and Analysis

Student Academic Performance Data			
Please complete the table below regarding school academic performance data for the school years requested. School data reports may be found at CDE Dataquest: http://dq.cde.ca.gov/dataquest .			
API Data			
	2010–11	2011–12	2012–13
Growth—Schoolwide			
Met Growth Target— Schoolwide (yes or no)			
Met Growth Target—for all Subgroups (yes or no)			
AYP Data			
	2010–11	2011–12	2012–13
Percent of Students at or Above Proficient			
Met AYP Schoolwide Criteria (yes or no)			
Met all Participation Rate Criteria (yes or no)			

California Standards Test Data by Schoolwide			
For the school years listed below, please enter the percentage of all students who tested proficient or above on the California Standards Test for English-language arts and mathematics. You will need to provide data for each grade level tested at school. Add grade levels to table, as needed.			
Grade: <i>(please indicate grade level)</i>			
	2010–11	2011–12	2012–13
English-language arts			
Mathematics			
Grade: <i>(please indicate grade level)</i>			
	2010–11	2011–12	2012–13
English-language arts			
Mathematics			

SIG Form 3a—School Performance Data and Analysis

CST Data by Subgroup						
For the 2012–13 school year , please indicate the percentage of student in each of the listed subgroups represented at your school who tested proficient or above on the for English-language arts and mathematics. You will need to provide data for each grade level tested at school. Add grade levels to table, as needed.						
Grade: <i>(please indicate grade level)</i>						
Content Area	White, Non-Hispanic	Black or African-American	Hispanic or Latino	Socioeconomically Disadvantaged	English Language Learners	Special Education
English-language arts						
Mathematics						
Grade: <i>(please indicate grade level)</i>						
Content Area	White, Non-Hispanic	Black or African-American	Hispanic or Latino	Socioeconomically Disadvantaged	English Language Learners	Special Education
English-language arts						
Mathematics						

2013 Graduation Rate						
For the 2012–13 school year , please indicate the high school graduation rate for each of the listed subgroups represented at your school.						
All Students	White, Non-Hispanic	Black or African-American	Hispanic or Latino	Socioeconomically Disadvantaged	English Language Learners	Special Education

SIG Form 3a—School Performance Data and Analysis

School Information			
	2010–11	2011–12	2012–13
Number of minutes all students were required to be at school and any additional learning time, if applicable			
Student attendance rate (%)			
Discipline incidents			
Truancy rate (%)			
High school dropout rate (%) – <i>high schools only</i>			
High school graduation rate (%) – <i>high schools only</i>			
Number of students who complete advanced coursework (such as Advanced Placement (AP), International Baccalaureate (IB), or advanced mathematics courses)– <i>high schools only</i>			
Number of students who complete at least one class in a postsecondary institution (dual enrollment)– <i>high schools only</i>			
Teacher attendance rate (%)			
Distribution of teachers by performance level on the district's teacher evaluation system			

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SIG Form 3a—School Performance Data and Analysis

Needs Analysis

Please describe the process and findings of the needs assessment conducted for each school that the LEA will commit to serve. The description of the needs assessment must address the following areas:

- Assessment instruments used to conduct the analysis (e.g., Academic Performance Survey (APS), Inventory of Services and Supports (ISS) for Students with Disabilities, District Assessment Survey (DAS), and the forms found within this application) and if applicable, other assessments used (e.g. California Modified Assessment, California Alternate Performance Assessment, California English Language Development Test, etc.)
- The roles and responsibilities of the district and school personnel and other collaborative partners responsible for conducting the needs assessment and/or analyzing its results
- The process for analyzing the findings
- A summary of the findings for the school

B. Demonstration of Capacity (Required) (Forms 4a, 5a, 4b, 5b, 6, 10)

The LEA must demonstrate that it has the capacity to use SIG funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA's application in order to implement, fully and effectively, all required components of the school intervention model(s) it has selected.

This element includes the following required SIG Forms:

- SIG Forms 4a, 5a, 4b, and 5b: Budget Summary and Narrative
All budget forms should be accessed here:
<http://www.cde.ca.gov/fg/fo/r16/regsig13rfa.asp>
- SIG Form 6: Demonstration of Capacity, see below page 41.
- SIG Form 10: Implementation Charts
Form 10 should be accessed here:
<http://www.cde.ca.gov/fg/fo/r16/regsig13rfa.asp>

SIG Form 6—Demonstration of Capacity

The LEA must demonstrate that it has the capacity to use SIG funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEAs application in order to implement, fully and effectively, **all** required components of the school intervention model(s) it has selected. To do this, the LEA must analyze a number of factors, including, but not limited to district and school personnel; curriculum, assessment and instructional support; increased learning time, family and community engagement; social-emotional community-oriented services; school restart; and school closure.

The District and School Improvement Team will need to analyze each item and determine the degree to which the team strongly agrees or strongly disagrees with the statement. Discussion points are included to guide team leaders around possible barriers to implement a required component. Please answer all items to determine the best-fit intervention model for each school. (6 page limit per school.)

District Name:		
School Name:	CDS:	

District and School Personnel	Strongly Agree	Agree	Disagree	Strongly Disagree
<p>Turnaround/Transformation: Our LEA has the ability to select a new principal for the school(s), with the experience, training, and skills to make school improvements.</p> <p>Discussion: Personnel policies and procedures, principal duty statement</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Turnaround/Transformation: Our LEA has the ability to assign effective teachers and leaders to the lowest achieving schools.</p> <p>Discussion: Personnel policies and procedures, bargaining agreements</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Turnaround: Our LEA has the ability to grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting).</p> <p>Discussion: District policies and principal's duties</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Turnaround: Our LEA has the ability to use locally adopted competencies to screen all existing staff and rehire no more than 50 percent, and select new staff.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Discussion: District policies, bargaining agreements/relationship with union and other stakeholders, current competencies/screening processes				
Transformation: Our LEA has the ability to develop a rigorous, transparent, and equitable principal and teacher evaluation, designed and developed with teacher and principal involvement that takes into account data on student growth as a significant factor. Discussion: District policies/procedures, bargaining agreements/relationship with union and other stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transformation: Our LEA has the ability to identify and reward school leaders, teachers, and other staff that have increased student achievement. Discussion: District policies/procedures, bargaining agreements/relationship with union and other stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transformation: Our LEA has the ability to identify and remove school leaders, teachers, and other staff that have not increased student achievement, after ample opportunities to improve professional practice. Discussion: District policies, bargaining agreements, faculty handbook, MOUs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Turnaround/Transformation: Our LEA has the ability to implement strategies to recruit, place, and retain staff with the skills necessary to meet the needs of the students. Discussion: District policies, bargaining agreements, faculty handbook, current MOUs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Turnaround: Our LEA has the ability to adopt a new governance structure. Discussion: District policies, and current district and school reporting structure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<p>Transformation: Our LEA has the ability to give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting).</p> <p>Discussion: District policies</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Transformation: Our LEA has the ability to ensure that the school(s) receives ongoing, intensive technical assistance and related support.</p> <p>Discussion: District policies, service agreements with LEA/TA providers</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Curriculum, Assessment, and Instructional Support	Strongly Agree	Agree	Disagree	Strongly Disagree
<p>Turnaround/Transformation: Our LEA has the ability to provide staff ongoing, high quality job-embedded professional development that is designed by staff and aligned with the school's instructional program.</p> <p>Discussion: District/school policies and procedures, current professional development being provided, current instructional program, analysis of needs/data/research</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Turnaround/Transformation: Our LEA has the ability to use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with California's adopted academic standards.</p> <p>Discussion: District/school policies, data infrastructure/system, professional development, analysis of needs/data/research; alignment of curriculum, instruction, and assessment with standards</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Turnaround/Transformation: Our LEA has the ability to promote the continuous use of student data (such as formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.</p> <p>Discussion: District/school policies, data infrastructure/system, professional development, teacher collaboration, analysis of needs and student data</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Increased Learning Time	Strongly Agree	Agree	Disagree	Strongly Disagree
<p>Turnaround/Transformation: Our LEA has the ability to establish schedules and implement strategies that provide increased learning time in the following three areas: (A) Instruction in core academic subjects, (b) Instruction in other subjects and enrichment, (c) Time for teachers to collaborate, plan, and engage in professional development within and across grades and subjects.</p> <p>Discussion: Current instructional minutes/school schedule, district/school policies, bargaining agreements, current teacher collaboration and instructional planning</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Social-Emotional and Community-Oriented Services Family and Community Engagement	Strongly Agree	Agree	Disagree	Strongly Disagree
<p>Turnaround: Our LEA has the ability to provide appropriate social-emotional and community-oriented services and supports for students.</p> <p>Discussion: Current student support services provided, needs of students and families, involvement of community</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Transformation: Our LEA has the ability to provide ongoing mechanisms for family and community engagement.</p> <p>Discussion: Current services and communication provided, needs of students and families, involvement of community</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School Restart	Strongly Agree	Agree	Disagree	Strongly Disagree
<p>Restart: Our LEA has the ability to convert or close and reopen a school under a charter school operator, a charter management organization, or an education management organization that has been selected through a rigorous process.</p> <p>Discussion: Potential qualified partners/providers, rigorous review process, community support, collective bargaining, contract procedures and provisions</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<p>Restart: Our LEA has the ability to enroll, within the grades it serves, all former students who wish to attend the school.</p> <p>Discussion: District policies/procedures, contract procedures and provisions</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Restart: Our LEA has the ability to fulfill all California requirements for converting to a charter school.</p> <p>Discussion: Potential operators/organizations, contract/MOU with chartering authority, conversion process</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School Closure	Strongly Agree	Agree	Disagree	Strongly Disagree
<p>Closure: Our LEA has the ability to close a school and enroll the students who attended that school in other schools in the LEA that are higher achieving.</p> <p>Discussion: District policy/procedures, achievement data, identification of high achieving schools and proximity, collective bargaining, community support/involvement and communication, timeline</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Closure: Our LEA has the ability to support families and students in their transition to a new school.</p> <p>Discussion: District policy/procedures, student and family supports/communication</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Process and Implementation				
<p>The LEA must briefly describe the process it used for completing the needs and capacity analysis (School Performance-Form 4 and Demonstration of Capacity-Form 5) and how it plans to implement all required components fully and effectively by the beginning of the 2014–15 School Year, including required components that may be challenging.</p>				

C. Selection of Intervention Model(s) (Required) (Forms 7, 7a)

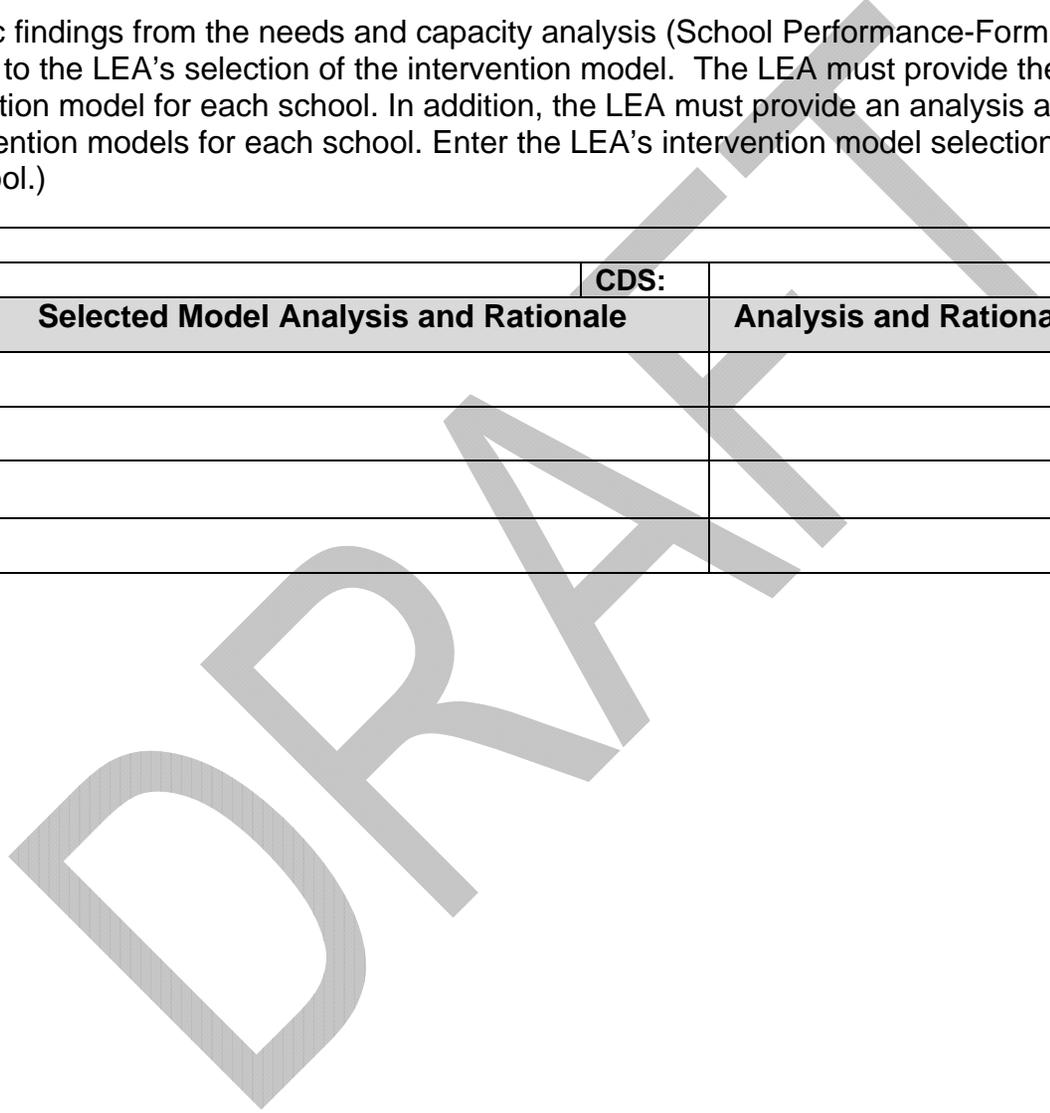
Based on the findings of the needs analysis, the LEA must describe its rationale for selecting the intervention model for **each** school and how specific findings from the needs analysis led to the LEAs selection of the intervention model for each school. Include collaborative partners involved and their roles in the selection process. The LEA must include the selected intervention model in the appropriate Implementation Chart (Form 10 for each Tier I and Tier II school and Form 11 for each Tier III school) that the LEA intends to serve.

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SIG Form 7—Analysis and Selection of the Intervention Model

Describe how specific findings from the needs and capacity analysis (School Performance-Form 3a and Demonstration of Capacity-Form 6) led to the LEA’s selection of the intervention model. The LEA must provide the analysis and rationale for selecting the intervention model for each school. In addition, the LEA must provide an analysis and rationale for not selecting the other three intervention models for each school. Enter the LEA’s intervention model selection on Form 2- List of Schools. (2 page limit per school.)

District Name:		
School Name:		CDS:
Model	Selected Model Analysis and Rationale	Analysis and Rationale for Models <u>Not</u> Selected
Turnaround		
Transformation		
Restart		
Closure		



SIG Form 7a—Consultation with Relevant Stakeholders

The LEA must consult with relevant stakeholders such as students, parents, educators, and the community regarding the LEA’s application.

To fulfill this requirement, LEAs must hold at least two public meetings to consult with staff, parents, and the community regarding the LEAs application, and its selection and development of one of the four intervention models for its Tier I and II schools (per *Education Code* Section 53202(b)). Please include original copies of the confirmation form for each school for which the LEA is applying. The LEA must provide documentation that such meetings were held (e.g., meeting agenda or meeting minutes), provide a summary of input obtained through these meetings, indicate which input was incorporated into the LEA’s SIG application, and provide a rationale for not accepting any input that the LEA rejected. Please only provide documentation for two public meetings.

Consultation with Relevant Stakeholder Confirmation

District Name:			
School Name:		CDS:	
Meeting Date:		Meeting Location:	
Meeting Purpose:			
Name	Title/Position	Representing	Date
Summary of meeting: Please provide brief summary of input obtained from meeting. Indicate input incorporated into LEA’s SIG application, and provide a rationale for not accepting any input that the LEA rejected. (1 page limit per meeting per school.)			

D. Modify Local Educational Agencies Practices or Policies (Required)

Depending on the intervention model(s) selected, the LEA may need to revise some of its current policies, protocols, and practices to enable its schools to implement the interventions fully and effectively. These may include, but are not limited to: collective bargaining agreements, the distribution of resources among schools, parental involvement policies and practices, school attendance areas and enrollment policies, and agreements with charter organizations and other external service providers.

Instructions: If the LEA anticipates the need to modify any of its current practices, protocols, or policies in order to fully implement the selected intervention model(s), it must identify and describe which policies and practices need to be revised, the process for revision, and a description of the proposed revision, including timelines.

Please use the table below to complete this section.

Revised Policies, Protocols and/or Practices	Description of and Process for the Revision	Timeline for Revision

Successful applicants will be required to revise their LEA Plan and Single Plan for Student Achievement, as appropriate, for each funded school upon approval of the application by the SBE.

E. Align Other Resources with the Selected Intervention Models (Required)

The LEA must identify all federal, state, or private resources that are currently available to the school(s) that will be used to support implementation of the selected intervention model(s), including other district resources and services provided by the district and/or collaborative partners. The LEA must describe the LEAs process for ensuring that these resources will be coordinated with SIG funding to ensure maximum effectiveness in the use of all resources.

An LEA might use a number of other resources, in addition to its SIG funds, to implement the approved school intervention model(s). For example, an LEA might use school improvement funds it receives under Section 1003(a) of ESEA. The LEA might also use its general Title I, Part A funds as well as funds it receives under other ESEA authorities, such as Title II, Part A, which it could use for recruiting high-quality teachers, or Title III, Part A, which it could use to improve the English proficiency of English learner students.

Please use the table below to identify state, local, and other federal resources available for supporting full implementation of the selected intervention model.

Alignment of Other Resources		
Available Resources that will Support School Improvement Grant Implementation (Federal, State, Local)	Description of how School Improvement Grant funds will Supplement, not Supplant Currently Available Resources.	Alignment to Needs Analysis and Intervention Model
		Needs Analysis Page #: Specific Intervention Model Component:

F. Annual School Goals for Student Achievement (Required)

Each participating LEA must establish clear, measurable, and challenging goals for student achievement in reading/language arts, mathematics, and high school graduation rates (if applicable).

In lieu of CST scores from STAR tests that will not be administered in 2014, LEAs and schools should use multiple local measures to evaluate how SIG goals are being met. These local measures may include, but are not limited to, the following: district ELA, math and other subject benchmark assessments; curriculum-imbedded assessments; performance measures imbedded in supplemental technology-based instructional programs and applications; local pilot measures for Common Core standards being implemented in classrooms; and other valid and reliable assessments of reading acquisition skills, writing skills, and math skills, and meaningful performance assessments of student learning. This may include other State assessments, where available.

Use the format below to describe annual goals that will be used to monitor Tier I and Tier II school(s) identified in this application. If the LEA is applying to serve its Tier III eligible schools, it must also describe goals it has established for those schools.

Annual Goals for Mathematics

School-wide, Grade Level or Subgroup	Current Proficiency Rate	Goal for 2014–15 School Year	Goal for 2015–16 School Year	Goal for 2016–17 School Year
Local Measure:				

Annual Goals for English-language Arts/Reading

School-wide, Grade Level or Subgroup	Current Proficiency Rate	Goal for 2014–15 School Year	Goal for 2015–16 School Year	Goal for 2016–17 School Year
Local Measure:				

Annual Goals for Graduation Rate (if applicable)

School-wide or Subgroup	Current Graduation Rate	Goal for 2014–15 School Year	Goal for 2015–16 School Year	Goal for 2016–17 School Year
Local Measure:				

G. Sustain the Reforms After the Funding Period Ends (Required) (Form 8)

SIG funding provided through this application must be expended by September 30, 2017. Each applicant must demonstrate how it plans to sustain the selected intervention(s) after the funding period ends and include all the resources that will be used to support sustainability efforts for each participating school. Form 8 Sustainability of the Reforms should be accessed at <http://www.cde.ca.gov/fg/fo/r16/regsig13rfa.asp>

H. Recruitment, Screening, and Selection of External Providers (Sections I and/or II)

Section I (Restart Model Only- Required). If the LEA wishes to contract with a charter school operator, a CMO, or an EMO to implement the restart model, it must select that charter school operator, CMO, or EMO through a “rigorous review process.” In addition, the LEA must be able to demonstrate, as part of its commitment to obtain SIG funds, that it can sustain the services of the CMO or EMO and any attendant fee after the SIG funds are no longer available (Sections I.A.4(a)(vi) and II.A.2(a)(iv)) and include a budget for each school it intends to serve that identifies any fee (Section II.A.2(a)(vi)). Please use the table below to complete this section.

Instructions: Describe the rigorous review process the LEA used, or will use to ensure that the charter school operator, CMO, or EMO is qualified to assist the LEA in making meaningful changes and implementing comprehensive reform. In demonstrating its rigorous review process, this description should explain how the LEA:

- Examined, or plans to examine prospective plans and strategies;
- Will ensure that the provider has a meaningful plan for contributing to the reform efforts in the target school;
- Will determine whether or not the proposed plan demonstrates full capacity to (1) implement strategies and services proposed, and (2) begin full implementation at the start of the 2014-15 school year; and
- Will sustain the services of the CMO or EMO and any attendant fee after the SIG funds are no longer available.

Response:

Additional suggested supporting document(s), or attachments include, but are not limited to, evidence of a pool of potential partners that have expressed an interest in and have exhibited an ability to restart a school in which the LEA proposes to implement the restart model; letter(s) of intent from potential partners; recruitment, screening, and selection criteria; Request for Proposal (RFP); provider evaluation plan; timelines, etc.

Resources that may be used to assist the applicant with this section:

- Guidance on Fiscal Year 2010 School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965 (see sections C-1,2,3,4,5,9,10; H-19; j-8,9,12).
- Federal Register. Vol. 75, No. 208/Thursday, October 28, 2010. Available at <http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>.

- Guide to Working with External Providers, American Institute for Research: http://www.air.org/files/External_Providers_Guide.pdf.

Section II (All Models-If Applicable, can Include Restart). If the LEA intends to use external entities to provide technical assistance in selecting, planning, developing, and implementing any component of the four intervention models, it must describe its process for ensuring their quality.

Instructions: Describe the actions the LEA has taken, or will take to recruit, screen, and select external providers. Include in this description the following elements:

- Specific selection criteria used, such as experience, qualifications, and record of effectiveness in providing support for school improvement.
- An indication of whether or not the external provider has previously provided support to the LEA and/or school, or whether this is a new external provider to the LEA.
- A brief description of the scope of work, or services the LEA will receive from the external provider.

Applicants planning to continue with the same external provider should include evidence of the provider’s effectiveness to date. This evidence should be based on local measures, policies, practices, and/or protocols.

Please use the table below to complete this section.

1.	Specific selection criteria used to recruit, screen, and select external providers:			
2.	LEA actions it has taken, or will take to recruit, screen, and select external providers:			
3.	External Provider	Brief Description of the Proposed Scope of Work, or Services to be Provided	Contract or Service Agreement Status	*Evidence of Effectiveness to Date
			New/Continuing	

***If contract or service agreement is continuing**

Additional suggested supporting document(s), or attachments include, but are not limited to, evidence of a pool of potential partners that have exhibited an ability to assist the LEA/school(s) with selecting, planning, developing, and implementing any component of the four intervention models; letter(s) of intent from potential partners; RFP; provider evaluation documents and/or evaluation plan; timelines, etc.

Resources that may be used to assist the applicant with this section:

- Guidance on Fiscal Year 2010 School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965 (see sections E-13; H19, 19a; J-9,12).
- Federal Register. Vol. 75, No. 208/Thursday, October 28, 2010. Available at <http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>.
- Guide to Working with External Providers, American Institute for Research: http://www.air.org/files/External_Providers_Guide.pdf.

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I. Attachments (20 Page Limit–Not Scored)

The SIG program must be designed, implemented, and sustained through a collaborative organizational structure that may include students, parents, representatives of participating LEAs and school sites, and private and/or public external technical assistance and support providers. The LEA may also attach documents from these collaborative partners that indicate support of its application. Please include a table of contents with this section if supporting documents are included.

Attachments may include, but are not limited to, letters of support and/or involvement from the LEAs collaborative partners. Please include a table of contents and identify the type of attachment (e.g., parent letter) in the upper right-hand corner and number each page. All attachments must be submitted in English or include an English translation.

All letters of support, additional meeting minutes, and any other additional documents must be submitted as a Portable Document Format (PDF). Provide a link to the local board meeting Web site. Do not attach copies of local board minutes.

Applicants may also provide Memoranda of Understanding (MOUs) describing commitments in support of the LEA SIG application from private and/or public external technical assistance and support providers. Though not legally binding, the purpose of the MOUs is to clearly describe the specific commitments of staff, services, minor facilities upgrades, equipment, and roles of responsible persons or entities in the delivery of services or resources provided by each partner, including the estimated monetary value of these contributions.

Submission of Applications

LEAs responding to this RFA must submit a complete application packet and provide all original signatures required, as noted on each application form. Applications must be submitted with all forms compiled in the order listed on the SIG Application Checklist provided as Appendix A located on page 57 of this RFA.

Applicants must submit an original, three hard copies, and one electronic Microsoft Word 2003 or later copy (all single spaced in **12 point Arial font using one inch margins**) of each application and ensure that the original and copies are received by the School Turnaround Office on or before (not postmarked by) 4 p.m., March 14, 2014. Implementation charts, budgets, and sustainability plans should be submitted in Microsoft Excel 2003 or later. Applicants must submit an electronic copy to STO@cde.ca.gov on or before March 14, 2014. Mailed documents must arrive on or before the March 14, 2014, deadline and should be sent to the following address:

California Department of Education
Improvement and Accountability Division
School Turnaround Office
1430 N Street, Suite 6208
Sacramento, CA 95814-5901

Applicants may personally deliver the sub-grant application package to the School Turnaround Office on or before (not postmarked by) 4 p.m., March 14, 2014, at the following location:

California Department of Education
Improvement and Accountability Division
School Turnaround Office
1430 N Street, Suite 6208
Sacramento, CA 95814-5901

To comply with Federal Americans with Disability Act (ADA) Regulations, please adhere to the following guidelines:

- Submit text based documents only (no scanned images)
- If images are included, also include alternative text for that image
- Do not use color to convey information
- Do not include images of handwritten signatures for privacy reasons

Appendix A: School Improvement Grant Application Checklist

Required Components

The following components must be included as part of the application. Check or initial by each component, and include this form in the application package. These forms can be downloaded from the CDE School Improvement Grant Web page at <http://www.cde.ca.gov/fg/fo/r16/regsig09rfa.asp>. Please compile the application packet in the order provided below.

Include this completed checklist in the application packet

- Form 1 Application Cover Sheet
(Must be signed in **blue ink** by the LEA Superintendent or Designee)
- Form 2 Schools to Be Served
- Form 2a Eligible, but Not Served Schools
- Form 3 District and School Improvement Team
- Form 3a School Performance Data and Analysis
- Form 4a LEA Budget Summary (all budget forms must be accessed here: <http://www.cde.ca.gov/fg/fo/r16/regsig13rfa.asp>)
- Form 4b LEA Budget Narrative
- Form 5a School Budget Summary
- Form 5b School Budget Narrative
- Form 6 Demonstration of Capacity
- Form 7 Analysis and Selection of the Intervention Model
- Form 7a Consultation with Relevant Stakeholders
- Form 8 Sustainability of the Reform after the Funding Period Ends
- Form 10 Implementation Chart(s) for a Tier I or Tier II School Summary (Form 10 must be accessed here: <http://www.cde.ca.gov/fg/fo/r16/regsig13rfa.asp>)

Form 10.1 Turnaround Implementation Chart

Form 10.2 Transformation Implementation Chart

Form 10.3 Restart Implementation Chart

Form 10.4 Closure Implementation Chart

_____Form 11 Implementation Chart(s) for a Tier III School, if applicable. (California will not run a competition for Tier III schools until all LEA applications to serve all Tier I and Tier II schools are funded. Form 11 must be accessed here:

<http://www.cde.ca.gov/fg/fo/r16/regsig13rfa.asp>.)

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Appendix B: Object of Expenditure Codes (Page 1 of 3)

School districts and county superintendents of schools are required to report expenditures in accordance with the object classification plan in the California School Accounting Manual. The use of these object codes will facilitate the preparation of budgets and the various financial reports requested by federal, state, county, and local agencies. The California School Accounting Manual is available from the CDE Publication Sales (call 1-800-995-4099).

1000–1999 Certificated Personnel Salaries

- 1100 Certificated Teachers' Salaries
- 1200 Certificated Pupil Support Salaries
- 1300 Certificated Supervisors' and Administrators' Salaries
- 1900 Other Certificated Salaries

2000–2999 Classified Personnel Salaries

- 2100 Classified Instructional Salaries
- 2200 Classified Support Salaries
- 2300 Classified Supervisors' and Administrators' Salaries
- 2400 Clerical, Technical, and Office Staff Salaries
- 2900 Other Classified Salaries

3000–3999 Employee Benefits

- 3101 State Teachers' Retirement System, certificated positions
- 3102 State Teachers' Retirement System, classified positions
- 3201 Public Employees' Retirement System, certificated positions
- 3202 Public Employees' Retirement System, classified positions
- 3301 OASDI/Medicare/Alternative, certificated positions
- 3302 OASDI/Medicare/Alternative, classified positions
- 3401 Health and Welfare Benefits, certificated positions
- 3402 Health and Welfare Benefits, classified positions
- 3501 State Unemployment Insurance, certificated positions
- 3502 State Unemployment Insurance, classified positions
- 3601 Workers' Compensation Insurance, certificated positions
- 3602 Workers' Compensation Insurance, classified positions
- 3701 OPEB, Allocated, certificated positions
- 3702 OPEB, Allocated, classified positions
- 3751 OPEB, Active Employees, certificated positions
- 3752 OPEB, Active Employees, classified positions
- 3801 PERS Reduction, certificated positions
- 3802 PERS Reduction, classified positions
- 3901 Other Benefits, certificated positions
- 3902 Other Benefits, classified positions

4000–4999 Books and Supplies

- 4100 Approved Textbooks and Core Curricula Materials
- 4200 Books and Other Reference Materials
- 4300 Materials and Supplies
- 4400 Non-capitalized Equipment
- 4700 Food

5000–5999 Services and Other Operating Expenditures

- 5100 Sub-agreements for Services
- 5200 Travel and Conferences

Appendix B: Object of Expenditure Codes (Page 2 of 3)

5000–5999 Services and Other

5300 Dues and Memberships
5400 Insurance
5500 Operations and Housekeeping Services
5600 Rentals, Leases, Repairs, and Non-capitalized Improvements
5700–5799 Transfers of Direct Costs
5710 Transfers of Direct Costs
5750 Transfers of Direct Costs—Inter-fund
5800 Professional/Consulting Services and Operating Expenditures
5900 Communications

6000–6999 Capital Outlay

6100 Land
6170 Land Improvements
6200 Buildings and Improvements of Buildings
6300 Books and Media for New School Libraries or Major Expansion of School Libraries
6400 Equipment
6500 Equipment Replacement
6900 Depreciation Expense (for proprietary and fiduciary funds only)

7000–7499 Other Outgo

7100–7199 Tuition

7110 Tuition for Instruction Under Inter-district Attendance Agreements
7130 State Special Schools
7141 Other Tuition, Excess Costs, and/or Deficit Payments to Districts or Charter Schools
7142 Other Tuition, Excess Costs, and/or Deficit Payments to County Offices
7143 Other Tuition, Excess Costs, and/or Deficit Payments to JPAs

7200–7299 Interagency Transfers Out

7211 Transfers of Pass-Through Revenues to Districts or Charter Schools
7212 Transfers of Pass-Through Revenues to County Offices
7213 Transfers of Pass-Through Revenues to JPAs
7221 Transfers of Apportionments to Districts or Charter Schools
7222 Transfers of Apportionments to County Offices
7223 Transfers of Apportionments to JPAs
7281 All Other Transfers to Districts or Charter Schools
7282 All Other Transfers to County Offices
7283 All Other Transfers to JPAs
7299 All Other Transfers Out to All Others

7300–7399 Transfers of Indirect Costs (Effective 2008-09)

7310 Transfers of Indirect Costs
7350 Transfers of Indirect Costs—Inter-fund
7370 Transfers of Direct Support Costs (Valid through 2007–08)
7380 Transfers of Direct Support Costs—Inter-fund (Valid through 2007–08)

7430–7439 Debt Service

7432 State School Building Repayments
7433 Bond Redemptions
7434 Bond Interest and Other Service Charges

Appendix B: Object of Expenditure Codes (Page 3 of 3)

7435 Repayment of State School Building Fund Aid—Proceeds from Bonds
7436 Payments to Original District for Acquisition of Property
7438 Debt Service—Interest
7439 Other Debt Service—Principal

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Appendix C: General Assurances, Certifications, and Sub-grant Assurances
(Page 1 of 4)
(Required for all Applicants)

Note: All sub-grantees are required to retain on file a copy of these assurances for your records and for audit purposes. Please download the General Assurances form located on the CDE Funding Tools and Materials Web Site at <http://www.cde.ca.gov/fq/fo/fm/>.

Certifications Regarding Drug-Free Workplace, Lobbying, and Debarment and Suspension (Do not submit as part of RFA.)

Download the following three forms from the CDE Funding Tools and Materials Web site at <http://www.cde.ca.gov/fq/fo/fm/>. The signature on the front of the application indicates acknowledgement and agreement to all assurances.

1. Drug-Free Workplace
2. Lobbying
3. Debarment and Suspension

Appendix C: General Assurances, Certifications, and Sub-grant Assurances (Page 2 of 4)

Sub-grant Conditions and Assurances

As a condition of the receipt of funds under this sub-grant program, the applicant agrees to comply with the following Sub-grant Conditions and Assurances.

The US Department of Education requires LEAs to adhere to the following assurances:

1. Use its SIG to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements of SIG;
2. Establish challenging annual goals for student achievement on the state's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in Section III of the final requirements in order to monitor each Tier I and Tier II school that it serves with school improvement funds;
3. If it implements a restart model in a Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;
4. Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select, and provide oversight to external providers to ensure their quality;
5. Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding; and
6. Report to the SEA the school-level data required under Section III of the final requirements. (this may include other data requested by the CDE.)

Furthermore, the CDE requires LEAs to adhere to the following additional assurances:

7. Ensure that the identified strategies and related activities are incorporated in the revised LEA Plan and Single Plan for Student Achievement.
8. Follow all fiscal reporting and auditing standards required by the CDE.

Appendix C: General Assurances, Certifications, and Sub-grant Assurances (Page 3 of 4)

9. Participate in a statewide evaluation process as determined by the SEA and provide all required information on a timely basis.
10. Respond to any additional surveys or other methods of data collection that may be required for the full sub-grant period.
11. Use funds only for allowable costs during the sub-grant period.
12. Include in the application all required forms signed by the LEA Superintendent or designee.
13. Use fiscal control and fund accountability procedures to ensure proper disbursement of, and accounting for, federal funds paid under the sub-grant, including the use of the federal funds to supplement, and not supplant, state and local funds, and maintenance of effort (20 USC § 8891).
14. Hereby express its full understanding that not meeting all SIG requirements will result in the termination of SIG funding.
15. Ensure that funds are spent as indicated in the sub-grant proposal and agree that funds will be used **only** in the school(s) identified in the LEAs AO-400 sub-grant award letter.
16. All audits of financial statements will be conducted in accordance with Government Auditing Standards and with policies, procedures, and guidelines established by the Education Department General Administrative Regulations (EDGAR), Single Audit Act Amendments, and OMB Circular A-133.
17. Ensure that expenditures are consistent with the federal Education Department Guidelines Administrative Regulations (EDGAR) under Title 34 Education on the Web page at <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>.
18. Agree that the SEA has the right to intervene, renegotiate the sub-grant, and/or cancel the sub-grant if the sub-grant recipient fails to comply with sub-grant requirements.
19. Cooperate with any site visitations conducted by representatives of the state or regional consortia for the purpose of monitoring sub-grant implementation and expenditures, and provide all requested documentation to the SEA personnel in a timely manner.

Appendix C: General Assurances, Certifications, and Sub-grant Assurances (Page 4 of 4)

20. Repay any funds which have been determined through a federal or state audit resolution process to have been misspent, misapplied, or otherwise not properly accounted for, and further agree to pay any collection fees that may subsequently be imposed by the federal and/or state government.
21. Administer the activities funded by this sub-grant in such a manner so as to be consistent with California's adopted academic content standards.
22. Obligate all sub-grant funds by the end date of the sub-grant award period or repay any funding received, but not obligated, as well as any interest earned over one-hundred dollars on the funds.
23. Maintain fiscal procedures to minimize the time elapsing between the transfer of the funds from the CDE and disbursement.
24. Comply with the reporting requirements and submit any required report forms by the due dates specified.

I hereby certify that the agency identified below will comply with all sub-grant conditions and assurances described in items 1 through 24 above.

The signature on the front of this application indicates acknowledgement and agreement to all assurances.

Appendix D: School Improvement Grant Rubric

School Improvement Sub-grants Application Section 1003(g) of the Elementary and Secondary Act

Each element will be rated using the following definitions:

Advanced: The applicant provides clear robust responses and strong evidence for the requirement of the element.

Adequate: The applicant provides comprehensive responses and sufficient evidence for the requirement of the element.

Limited: The applicant provides a response that lacks detail and evidence for the requirement of the element.

Inadequate: The applicant did not provide a response to the requirement of the element.

Appendix D: School Improvement Grant Rubric
School Improvement Sub-grants Application
Section 1003(g) of the Elementary and Secondary Act

A. Needs Assessment (Required)					
The LEA describes the process of the needs assessment conducted on each school it commits to serve and the evidence used to select the intervention model to be implemented at each school.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
Form 3a: The LEA must evaluate each school's demographics, background, prior reforms, and academic performance.	The LEA evaluated each school's demographics, background, prior reforms, and academic performance.			The LEA did not evaluate each school's demographics, background, prior reforms, and academic performance.	/4 points
Forms 3 and 3a: The LEA must describe the process and findings of the needs assessment conducted for each school that the LEA commits to serve. The description of the needs assessment must address the following areas: <ul style="list-style-type: none"> • Assessment instruments used to conduct the analysis. • The roles and responsibilities of the district and school personnel and other collaborative partners responsible for conducting the needs assessment and/or analyzing its results. 	The LEA clearly describes the process and findings of the needs assessment conducted for each school. The description includes the assessment instruments used to conduct the analysis; roles and responsibilities of the district and school personnel and other collaborative partners responsible for conducting the needs assessment and/or analyzing its results; the process for analyzing the findings, a summary of the	The LEA adequately describes the process and findings of the needs assessment conducted for each school. The description includes the assessment instruments used to conduct the analysis; roles and responsibilities of the district and school personnel and other collaborative partners responsible for conducting the needs assessment and/or analyzing its results; the process for analyzing the findings, a summary of the	The LEA provides a limited description of the process and findings of the needs assessment conducted for each school. The description includes the assessment instruments used to conduct the analysis; roles and responsibilities of the district and school personnel and other collaborative partners responsible for conducting the needs assessment and/or analyzing its results; the process for analyzing the findings,	The LEA did not provide a description of the process and findings of the needs assessment conducted for each school. The description did not include the assessment instruments used to conduct the analysis; roles and responsibilities of the district and school personnel and other collaborative partners responsible for conducting the needs assessment and/or analyzing its results; the process for	/4 points

A. Needs Assessment (Required)

The LEA describes the process of the needs assessment conducted on each school it commits to serve and the evidence used to select the intervention model to be implemented at each school.

Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
<ul style="list-style-type: none"> • The process for analyzing the findings. • A summary of the findings for the school. 	findings for the school	findings for the school.	a summary of the findings for the school.	analyzing the findings, a summary of the findings for the school.	
Needs Assessment Total Points	/8 points				
Comments:					

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Appendix D: School Improvement Grant Rubric
School Improvement Sub-grants Application
Section 1003(g) of the Elementary and Secondary Act

B. Demonstration of Capacity (Required)					
The LEA demonstrates its capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA's application.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
Form 6: The LEA must evaluate the LEAs ability to implement intervention model components.	The LEA evaluated the LEAs ability to implement intervention model components.			The LEA did not evaluate the LEAs ability to implement intervention model components.	/4 points
Form 6: The LEA must describe the process it used for completing the needs and capacity analysis and how it plans to implement all required components fully and effectively by the beginning of the 2014–15 School Year, including required components that may be challenging.	The LEA clearly describes the process it used for completing the needs and capacity analysis and how it plans to implement all required components fully and effectively by the beginning of the 2014–15 School Year, including required components that may be challenging.	The LEA adequately describes the process it used for completing the needs and capacity analysis and how it plans to implement all required components fully and effectively by the beginning of the 2014–15 School Year, including required components that may be challenging.	The LEA provides a limited description of the process it used for completing the needs and capacity analysis and how it plans to implement all required components fully and effectively by the beginning of the 2014–15 School Year, including required components that may be challenging.	The LEA did not provide a description of the process it used for completing the needs and capacity analysis and how it plans to implement all required components fully and effectively by the beginning of the 2014–15 School Year, including required components that may be challenging.	/4 points

B. Demonstration of Capacity (Required)					
The LEA demonstrates its capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA's application.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
Form 2a: The LEA must identify the specific barriers that preclude serving all of its Tier I schools, and provides evidence of the existence of those barriers.	The LEA clearly identifies the specific barriers that preclude serving all of its Tier I schools, and provides evidence of the existence of those barriers.	The LEA adequately identifies the specific barriers that preclude serving all of its Tier I schools, and provides evidence of the existence of those barriers.	The LEA provides limited information on the specific barriers that preclude serving all of its Tier I schools, and provides evidence of the existence of those barriers.	The LEA does not identify the specific barriers that preclude serving all of its Tier I schools, and provides evidence of the existence of those barriers.	/4 points
Demonstration of Capacity Total Points	/12 points				
Comments:					

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Appendix D: School Improvement Grant Rubric
School Improvement Sub-grants Application
Section 1003(g) of the Elementary and Secondary Act

C. Selection of the Intervention Model (Required)					
The LEA must describe how specific findings from the needs and capacity analysis led to the LEA's selection of the intervention model.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
Form 7: The LEA must provide the analysis and rationale for selecting the intervention model for each school.	The LEA clearly describes the analysis and rationale for selecting the intervention model for each school.	The LEA adequately describes the analysis and rationale for selecting the intervention model for each school.	The LEA provides a limited analysis and rationale for selecting the intervention model for each school.	The LEA did not provide the analysis and rationale for selecting the intervention model for each school.	/4 points
Form 7: The LEA must provide an analysis and rationale for not selecting the other three intervention models for each school.	The LEA clearly describes the analysis and rationale for not selecting the intervention model for each school.	The LEA adequately describes the analysis and rationale for not selecting the intervention model for each school.	The LEA provides a limited analysis and rationale for not selecting the intervention model for each school.	The LEA did not provide the analysis and rationale for not selecting the intervention model for each school.	/4 points
Form 7a: The LEA must describe the process for consulting with relevant stakeholders, including parents, regarding the LEA's application and solicited their input for the development and implementation of school improvement models in its participating	The LEA clearly describes a process for consulting with relevant stakeholders regarding the LEA's application and solicited their input for the development and implementation of school improvement models. The LEA held at least two public meetings regarding the LEAs application and identifies which stakeholder	The LEA adequately describes a process for consulting with relevant stakeholders regarding the LEA's application and solicited their input for the development and implementation of school improvement models. The LEA held at least two public meetings regarding the LEAs application and identifies which	The LEA provides a limited description of the process for consulting with relevant stakeholders regarding the LEA's application and solicited their input for the development and implementation of school improvement models. The LEA held at least two public meetings regarding the LEAs application	The LEA does not provide a description of the process for consulting with relevant stakeholders regarding the LEA's application and solicited their input for the development and implementation of school improvement models. The LEA did not hold at least two public meetings and did not identify which	/4 points

C. Selection of the Intervention Model (Required)					
The LEA must describe how specific findings from the needs and capacity analysis led to the LEA's selection of the intervention model.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
Tier I and Tier II schools. LEAs must hold at least two public meetings to consult with staff, parents, and the community regarding the LEAs application and its selection of one of the four models. The LEA must identify which stakeholder recommendations have been used in the development of the LEA's SIG application.	recommendations have been used.	stakeholder recommendations have been used.	and identifies which stakeholder recommendations have been used.	stakeholder recommendations have been used.	
Selection of the Intervention Model Total Points	/12 points				
Comments:					

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 School Improvement Sub-grants Application
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D. Modify LEA Practices or Policies (Required)					
Depending on the intervention model selected, the LEA may need to revise some of its current policies and practices to enable its schools to implement fully and effectively the selected intervention model/s/.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
<p>If the LEA needs to modify any of its current practices, protocols, or policies in order to fully implement the selected intervention model(s), the description must include the following:</p> <ul style="list-style-type: none"> • The revised policies, protocols and/or practices. • Description of and process for the revision. • Timeline for revision. 	The LEA clearly describes the revised policies, protocols and/or practices; description of and process for the revision; and a timeline for the revision.	The LEA adequately describes the revised policies, protocols and/or practices; description of and process for the revision; and a timeline for the revision.	The LEA provides a limited description of the revised policies, protocols and/or practices; description of and process for the revision; and a timeline for the revision.	The LEA did not provide a description of the revised policies, protocols and/or practices; description of and process for the revision; and a timeline for the revision.	/4 points
Modify LEA Practices or Policies Total Points	/4 points				
Comments:					

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 School Improvement Sub-grants Application
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E. Align Other Resources with the Interventions (Required)					
<p>The LEA must identify all federal, state, or private resources that are currently available to the school(s) that will be used to support implementation of the selected intervention model(s), including other district resources and services provided by the district and/or collaborative partners.</p>					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
<p>The LEA must describe the LEAs process for ensuring resources will be coordinated with SIG funding to ensure maximum effectiveness in the use of all resources. The description must include the following:</p> <ul style="list-style-type: none"> Available resources that will support SIG implementation. Description of how SIG funds will supplement, not supplant currently available resources. Alignment to the needs analysis 	<p>The LEA clearly describes the LEAs process for ensuring resources will be coordinated with SIG funding to ensure maximum effectiveness in the use of all resources. The description includes the available resources that will support SIG implementation; a description of how SIG funds will supplement, not supplant currently available resources; and alignment to the needs analysis and intervention model.</p>	<p>The LEA adequately describes the LEAs process for ensuring resources will be coordinated with SIG funding to ensure maximum effectiveness in the use of all resources. The description includes the available resources that will support SIG implementation; a description of how SIG funds will supplement, not supplant currently available resources; and alignment to the needs analysis and intervention model.</p>	<p>The LEA provides a limited description the LEAs process for ensuring resources will be coordinated with SIG funding to ensure maximum effectiveness in the use of all resources. The description includes the available resources that will support SIG implementation; a description of how SIG funds will supplement, not supplant currently available resources; and alignment to the needs analysis and intervention model.</p>	<p>The LEA did not provide a description of the LEAs that process for ensuring resources will be coordinated with SIG funding to ensure maximum effectiveness in the use of all resources. The description does not include the available resources that will support SIG implementation; a description of how SIG funds will supplement, not supplant currently available resources; and alignment to the needs analysis and intervention model.</p>	<p>/4 points</p>

E. Align Other Resources with the Interventions (Required)

The LEA must identify all federal, state, or private resources that are currently available to the school(s) that will be used to support implementation of the selected intervention model(s), including other district resources and services provided by the district and/or collaborative partners.

Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
and intervention model.					
Align Other Resources Total Points	/4 points				
Comments:					

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F. Annual Goals for Student Achievement (Required)					
<p>The LEA must establish annual goals for student achievement in both reading/language arts, mathematics, and high school graduation rates (if applicable) that it will use to monitor each Tier I and Tier II school it commits to serve. The annual goals for student achievement must be measurable, realistic, and based on the needs of the school.</p>					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
<p>The LEA must identify goals in reading/language arts, mathematics, and high school graduation rates (if applicable). The goals must include the following:</p> <ul style="list-style-type: none"> • Student groups (school-wide, grade level, or subgroup) • Current proficiency rate • Measure • Goals for 2014–15, 2015–16, 2016–17 	<p>The LEA clearly describes the annual goals for student achievement and includes the student groups; current proficiency rate; measure; and future goals.</p>	<p>The LEA adequately describes the annual goals for student achievement and includes the student groups; current proficiency rate; measure; and future goals.</p>	<p>The LEA provides a limited description of the annual goals for student achievement and includes the student groups; current proficiency rate; measure; and future goals.</p>	<p>The LEA did not provide a description of the annual goals for student achievement and include the student groups; current proficiency rate; measure; and future goals.</p>	/4 points
<p>Annual Goals for Student Achievement Total Points</p>	/4 points				
<p>Comments:</p>					

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G. Sustain the Reforms After the Funding Period Ends (Required)					
The LEA must identify the resources that will be used to sustain the selected intervention(s) after the SIG funding period expires for each participating school.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
Form 8: The LEA must provide a sustainability plan that includes a timeline for sustaining required components of the selected intervention model for 2017–18, 2018–19, and 2019–20.	The LEA clearly describes a sustainability plan that includes a timeline for sustaining required components of the selected intervention model for 2017–18, 2018–19, and 2019–20.	The LEA adequately describes a sustainability plan that includes a timeline for sustaining required components of the selected intervention model for 2017–18, 2018–19, and 2019–20.	The LEA provides a limited sustainability plan that includes a timeline for sustaining required components of the selected intervention model for 2017–18, 2018–19, and 2019–20.	The LEA did not provide a sustainability plan that includes a timeline for sustaining required components of the selected intervention model for 2017–18, 2018–19, and 2019–20.	/4 points
Sustain the Reforms Total Points	/4 points				
Comments:					

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H. Recruitment, Screening, Selection of External Providers (Restarts-Required, Other Models-If Applicable)					
If the LEA intends to use external entities to provide technical assistance in selecting, planning, developing, and implementing any component of the four intervention models, it must describe its process for ensuring their quality.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
<p>Restarts Only: The LEA must describe the rigorous review process the LEA used, or will use to ensure that the charter school operator, CMO, or EMO is qualified to assist the LEA in making meaningful changes and implementing comprehensive reform. This description should explain how the LEA:</p> <ul style="list-style-type: none"> Examined, or plans to examine prospective plans and strategies Will ensure that the provider has a meaningful plan for contributing to 	<p>The LEA clearly describes the rigorous review process the LEA used, or will use to ensure that the external provider is qualified. The description includes how the LEA examined, or plans to examine prospective plans and strategies; will ensure that the provider has a meaningful plan for contributing to the reform efforts in the target school; will determine whether or not the proposed plan demonstrates full capacity to (1) implement strategies and services proposed, and (2) begin full implementation at the start of the 2014-15 school year; will</p>	<p>The LEA adequately describes the rigorous review process the LEA used, or will use to ensure that the external provider is qualified. The description includes how the LEA examined, or plans to examine prospective plans and strategies; will ensure that the provider has a meaningful plan for contributing to the reform efforts in the target school; will determine whether or not the proposed plan demonstrates full capacity to (1) implement strategies and services proposed, and (2) begin full implementation at the start of the 2014-15 school year; will sustain the services after the SIG funds are no</p>	<p>The LEA provides a limited description of the rigorous review process the LEA used, or will use to ensure that the external provider is qualified. The description includes how the LEA examined, or plans to examine prospective plans and strategies; will ensure that the provider has a meaningful plan for contributing to the reform efforts in the target school; will determine whether or not the proposed plan demonstrates full capacity to (1) implement strategies and services proposed, and (2) begin full implementation at the start of the 2014-15 school year; will</p>	<p>The LEA did not describe the rigorous review process the LEA used, or will use to ensure that the external provider is qualified. The description did not include how the LEA examined, or plans to examine prospective plans and strategies; will ensure that the provider has a meaningful plan for contributing to the reform efforts in the target school; will determine whether or not the proposed plan demonstrates full capacity to (1) implement strategies and services proposed, and (2) begin full implementation at the start of the 2014-15 school year; will</p>	<p>/4 points</p>

H. Recruitment, Screening, Selection of External Providers (Restarts-Required, Other Models-If Applicable)

If the LEA intends to use external entities to provide technical assistance in selecting, planning, developing, and implementing any component of the four intervention models, it must describe its process for ensuring their quality.

Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
<p>the reform efforts in the target school</p> <ul style="list-style-type: none"> • Will determine whether or not the proposed plan demonstrates full capacity to (1) implement strategies and services proposed, and (2) begin full implementation at the start of the 2014-15 school year • Will sustain the services of the CMO or EMO and any attendant fee after the SIG funds are no longer available. 	<p>sustain the services after the SIG funds are no longer available.</p>	<p>longer available.</p>	<p>sustain the services after the SIG funds are no longer available.</p>	<p>sustain the services after the SIG funds are no longer available.</p>	
<p>All Models: The LEA must describe the actions the LEA has taken, or will take to recruit, screen, and select external</p>	<p>The LEA clearly describes the specific selection criteria; an indication of whether or not the external provider has</p>	<p>The LEA adequately describes the specific selection criteria; an indication of whether or not the external provider has previously</p>	<p>The LEA provides a limited description of the specific selection criteria; an indication of whether or not the external provider has</p>	<p>The LEA did not provide a description of the specific selection criteria; an indication of whether or not the external</p>	<p>/4 points</p>

H. Recruitment, Screening, Selection of External Providers (Restarts-Required, Other Models-If Applicable)

If the LEA intends to use external entities to provide technical assistance in selecting, planning, developing, and implementing any component of the four intervention models, it must describe its process for ensuring their quality.

Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
<p>providers. This description must include:</p> <ul style="list-style-type: none"> • Specific selection criteria used, such as experience, qualifications, and record of effectiveness in providing support for school improvement. • An indication of whether or not the external provider has previously provided support to the LEA and/or school, or whether this is a new external provider to the LEA. • A brief description of the scope of work, or services the LEA 	<p>previously provided support to the LEA and/or school; and a brief description of the scope of work, or the services the LEA will receive from the external provider.</p>	<p>provided support to the LEA and/or school; and a brief description of the scope of work, or the services the LEA will receive from the external provider.</p>	<p>previously provided support to the LEA and/or school; and a brief description of the scope of work, or the services the LEA will receive from the external provider.</p>	<p>provider has previously provided support to the LEA and/or school; and a brief description of the scope of work, or the services the LEA will receive from the external provider.</p>	

H. Recruitment, Screening, Selection of External Providers (Restarts-Required, Other Models-If Applicable)

If the LEA intends to use external entities to provide technical assistance in selecting, planning, developing, and implementing any component of the four intervention models, it must describe its process for ensuring their quality.

Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
will receive from the external provider.					
Recruitment, Screening, and Selection of the External Provider Total Points	/8 points				
Comments:					

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School Improvement Sub-grants Application
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I. Budgets – SIG Forms 4a, 4b and 5a, 5b					
The LEA must include a LEA Proposed Budget Summary (SIG Form 4a), LEA Budget Narrative (SIG Form 4b), School Proposed Budget Summary (SIG Form 5a), and School Budget Narrative (SIG Form 5b) for each school the LEA commits to serve.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
The budget narratives include sufficient detail to describe activities and costs associated with each object code.	The budget narratives include extensive detail to describe activities and costs associated with each object code. All items are associated with specific object codes and all unit costs are provided.	The budget narratives include adequate detail to describe activities and costs associated with each object code. Most items are associated with specific object codes and most unit costs are provided.	The budget narratives include limited detail to describe activities and costs associated with each object code. Some items are associated with object codes and some unit costs are provided.	The budget narratives include insufficient detail to describe activities and costs associated with each object code. Items are not associated with specific object codes and unit costs are not provided.	/4 points
The budget address the activities outlined in the implementation charts.	The budget fully addresses the activities outlined in the implementation charts and clearly reflects required model components.	The budget adequately addresses the activities outlined in the implementation charts and reflects required model components.	The budget generally addresses the activities outlined in the implementation charts and reflects required model components.	The budget does not address all of the activities outlined in the implementation charts and does not reflect required model components.	/4 points
All items, including services, materials, contracts, and staff positions listed in the budget are substantiated in the implementation chart.	All items, including services, materials, contracts, and staff positions listed in the budget are fully substantiated in the implementation chart.	Most items, including services, materials, contracts, and staff positions listed in the budget are adequately substantiated in the implementation chart.	Some items, including services, materials, contracts, and staff positions listed in the budget are minimally substantiated in the implementation chart.	Items, including services, materials, contracts, and staff positions listed in the budget are not clearly substantiated in the implementation chart.	/4 points
Budget requests are in compliance with SIG requirements and reflect allowable expenditures.	Budget requests are clearly in compliance with SIG requirements, reflect clearly allowable expenditures, and do not include items	Budget requests appear to be in compliance with SIG requirements, seem to reflect allowable expenditures, and do not include items	Budget requests are in limited compliance with SIG requirements, reflect allowable expenditures, and may include minor items	Budget requests are not clearly in compliance with SIG requirements, do not reflect allowable expenditures, and include a variety of	/4 points

I. Budgets – SIG Forms 4a, 4b and 5a, 5b

The LEA must include a LEA Proposed Budget Summary (SIG Form 4a), LEA Budget Narrative (SIG Form 4b), School Proposed Budget Summary (SIG Form 5a), and School Budget Narrative (SIG Form 5b) for each school the LEA commits to serve.

Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
	unrelated to model implementation.	unrelated to model implementation.	unrelated to model implementation.	items unrelated to model implementation.	
Budget Total Points:	/16 points				
Comments:					

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Appendix D: School Improvement Grant Rubric

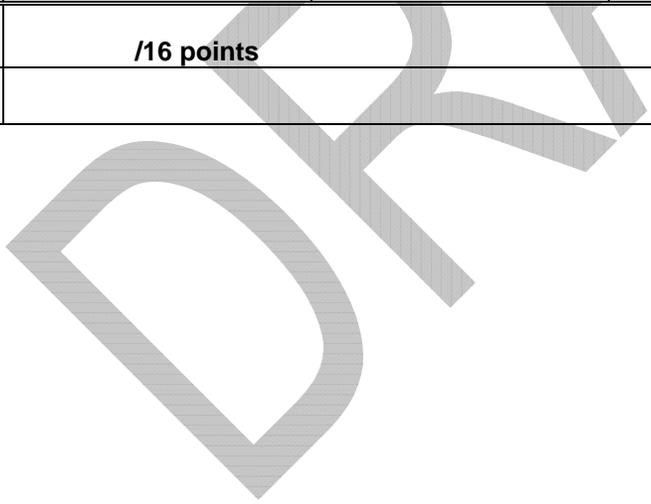
School Improvement Sub-grants Application
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J. Implementation Chart – SIG Forms 10.1, 10.2, 10.3, 10.4					
<p>For each identified Tier I and Tier II school, the LEA must complete a SIG Form 10, Implementation Chart for a Tier I or Tier II School, for the intervention model to be implemented. The LEA must include actions and activities necessary to implement each required component of the selected intervention model, a timeline with specific start and end dates, the individual position and person, if known, who will be responsible for oversight and monitoring, and the type of evidence that will be submitted to the CDE, upon request, to verify implementation.</p>					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
The implementation charts include sufficient detail to describe strategies required to implement each component of the selected intervention model.	The implementation charts include extensive detail to describe strategies required to implement each component of the selected intervention model.	The implementation charts include adequate detail to describe strategies required to implement each component of the selected intervention model.	The implementation charts include limited detail to describe strategies required to implement each component of the selected intervention model.	The implementation charts include inadequate detail to describe strategies required to implement each component of the selected intervention model.	/4 points
All components of the selected intervention model are addressed.	All components of the selected intervention model are fully addressed.	All components of the selected intervention model are adequately addressed	Most components of the selected intervention model are addressed.	The components of the selected intervention model are not addressed.	/4 points
Implementation charts include timelines with start and end dates, persons responsible for oversight and monitoring, and the type of evidence that will be submitted to the CDE.	Implementation charts include detailed timelines with specific start and end dates, persons responsible for oversight and monitoring, and the type of evidence that will be submitted to the CDE.	Implementation charts include timelines with specific start and end dates, persons responsible for oversight and monitoring, and the type of evidence that will be submitted to the CDE.	Implementation charts include general timelines, persons responsible for oversight and monitoring, and the type of evidence that will be submitted to the CDE.	Implementation charts do not include timelines, persons responsible for oversight and monitoring, and the type of evidence that will be submitted to the CDE.	/4 points

J. Implementation Chart – SIG Forms 10.1, 10.2, 10.3, 10.4

For each identified Tier I and Tier II school, the LEA must complete a SIG Form 10, Implementation Chart for a Tier I or Tier II School, for the intervention model to be implemented. The LEA must include actions and activities necessary to implement each required component of the selected intervention model, a timeline with specific start and end dates, the individual position and person, if known, who will be responsible for oversight and monitoring, and the type of evidence that will be submitted to the CDE, upon request, to verify implementation.

Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
<p>The actions and activities listed are aligned with the needs analysis of the school. The description includes references to aspects of the needs analysis.</p>	<p>The actions and activities listed are clearly aligned with the needs analysis of the school. The description includes references to specific aspects of the needs analysis.</p>	<p>The actions and activities listed are adequately aligned with the needs analysis of the school. The description includes references to general aspects of the needs analysis.</p>	<p>The actions and activities listed show limited alignment with the needs analysis of the school. The description includes limited or no references to aspects of the needs analysis.</p>	<p>The actions and activities listed do not show limited alignment with the needs analysis of the school. The description does not include references to aspects of the needs analysis.</p>	<p>/4 points</p>
<p>Implementation Chart Total Points:</p>	<p>/16 points</p>				
<p>Comments:</p>					



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K. Percent of Schools Not Previously Served with SIG Funds (Competitive Preference)					
Schools that have not received SIG funds in a prior cohort and are applying for SIG FY 2013 are given competitive preference.					
Requirements of Element	Advanced-4 points	Adequate-3 points	Limited-2 Points	Inadequate-1 Point	Score
The CDE will calculate the total percent of un-served schools eligible to apply for FY 2013 SIG funds. Calculation will be based on the Tier I and Tier II Eligibility List and the List of Schools to Be Served from the LEA RFA.	76%-100% of schools applying for SIG FY 2013 funds have not been served with SIG funds in a prior cohort.	51%-75% of schools applying for SIG FY 2013 funds have not been served with SIG funds in a prior cohort.	26%-50% of schools applying for SIG FY 2013 funds have not been served with SIG funds in a prior cohort.	0%-25% of schools applying for SIG FY 2013 funds have not been served with SIG funds in a prior cohort.	/4 Points
Percent of Schools Total Points:	/4 Points				
Comments:					

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All Models		
Required Elements	Score	Possible Points
A. Needs Assessment (Required)		8
B. Demonstration of Capacity (Required)		12
C. Selection of the Model (Required)		12
D. Modify LEA Practices or Policies (Required)		4
E. Align Other Resources (Required)		4
F. Annual Goals (Required)		4
G. Sustain the Reforms (Required)		4
H. Recruitment, Screening, Selection of External Providers (Optional for all Models-If contracting with an external provider for planning, developing, and/or implementing)		4
I. Budget (Required)		16
J. Implementation Chart (Required)		16
K. Percent of Schools (Competitive Preference)		(4 additional points available- not included in total amount possible)
Total Points:		
Percent:		

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Restart Only		
Required Elements	Score	Possible Points
A. Needs Assessment (Required)		8
B. Demonstration of Capacity (Required)		12
C. Selection of the Model (Required)		12
D. Modify LEA Practices or Policies (Required)		4
E. Align Other Resources (Required)		4
F. Annual Goals (Required)		4
G. Sustain the Reforms (Required)		4
H. Recruitment, Screening, Selection of External Providers (Required-Restart)		4
H. Recruitment, Screening, Selection of External Providers (Optional -If contracting with an external provider for planning, developing, and/or implementing)		4
I. Budget (Required)		16
J. Implementation Chart (Required)		16
K. Percent of Schools (Competitive Preference)		(4 additional points available- not included in total amount possible)
Total Points:		
Percent:		

Appendix E: School Improvement Grant Information Resources

NOTICES

Final Requirements—October 28, 2010

<http://www2.ed.gov/programs/sif/2010-27313.pdf>

This document contains the interim final requirements governing the process that a SEA uses to award school improvement funds authorized under section 1003 (g) of the ESEA To LEAs in order to transform school culture and substantially raise the achievement of students attending the State's persistently lowest-achieving schools, including secondary schools. The official version will be posted in the U.S. Federal Register.

FREQUENTLY ASKED QUESTIONS

Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Act of 1965—

<http://www2.ed.gov/programs/sif/legislation.html>

Final Requirements for School Improvement Grants as Amended in January 2010—January 28, 2010

[MS Word
http://www2.ed.gov/programs/sif/finalreq20100128.doc](http://www2.ed.gov/programs/sif/finalreq20100128.doc)

APPLICATION

SEA Application— <http://www.cde.ca.gov/sp/sw/t1/sig09.asp>

OTHER SCHOOL IMPROVEMENT RESOURCES

Academic Program Survey (APS)

<http://www.cde.ca.gov/ta/ac/ti/stateassesspi.asp>

Profiles of successful California schools

<http://www.cde.ca.gov/ta/sr/aa/index.asp>

California Education Code (EC)

<http://www.leginfo.ca.gov/calaw.html>

District Assistance Survey (DAS)

<http://www.cde.ca.gov/ta/ac/ti/stateassesspi.asp>

English Learner Subgroup Self-Assessment (ELSSA)

<http://www.cde.ca.gov/sp/el/t3/documents/t3elssa09.xls>

Appendix E: School Improvement Grant Information Resources

Essential Program Components

<http://www.cde.ca.gov/ta/ac/ti/essentialcomp.asp>

Indirect Cost Rates

<http://www.cde.ca.gov/fg/ac/ic>

Inventory of Services and Supports (ISS) for Students with Disabilities

<http://www.cde.ca.gov/sp/se/sr/documents/isswdtool.doc>

Least Restrictive Environment (LRE) Self-Assessment

District: http://www.wested.org/online_pubs/dist.lre.tool.pdf

School: http://www.wested.org/online_pubs/leastrestrictive.pdf

Single Plan for Student Achievement

<http://www.cde.ca.gov/nclb/sr/le/singleplan.asp>

The Regional Educational Laboratories (RELs)

<http://ies.ed.gov/ncee/edlabs/>

Center on Instruction

<http://www.centeroninstruction.org/>

CDE Teacher and Principal Evaluation Systems

<http://www.cde.ca.gov/nclb/sr/tq/tpevalsys.asp>

United States Department of Education School Turnaround Learning Community

<http://www.schoolturnaroundsupport.org/>

National Comprehensive Center for Teacher Quality

<http://www.tqsource.org/>

National Center on Time and Learning

<http://www.timeandlearning.org/>

California Comprehensive Center at WestEd

<http://cacompcenter.org/>

Appendix F: Guiding Questions for Selection of the Intervention Model

The following questions should be used by the District and School Intervention Team to guide model selection and assist in preparing for the development of the school improvement implementation plan.

Turnaround Model

1. What is the district's capacity to implement and support the turnaround model at the school-site(s)? What resources are available to support the reform effort?
2. How will the district develop the ability to recruit and consistently staff high quality school administration and faculty appropriate to meet the needs of the students at the school-site(s)?
3. What will be the district's process to screen all existing staff, rehire no more than 50 percent and select new staff? How will locally adopted competences be developed and used in the screening process for hiring returning and new staff?
4. How will the district select a new principal to lead the school-site(s)? What characteristics such as experience, training and competencies will be expected?
5. What type of operational flexibility will be granted to the new principal in leading the school-site(s), for example, with regards to staffing, calendars, scheduling, budgeting?
6. What type of policy and structural changes does the district need to make in order to support the implementation of the turnaround model?
7. What types of contractual changes or agreements with the labor union are necessary to ensure full and effective implementation of the turnaround model?
8. What type of screening and selection process will be used to determine the effectiveness of the school-site(s) instructional program?
9. How will the district ensure that district and school level activities conducted with SIG funds only support the SIG school-site(s)?

Appendix F: Guiding Questions for Selection of the Intervention Model

10. How will the district support the new school-site administration in determining the changes necessary in operational practices for the reform effort as well as progress monitor implementation and student achievement?

Transformation Model

1. What is the district's capacity to implement and support the transformation model at the school-site(s)? What resources are available to support the reform effort?
2. How will the district select a new principal to lead the school-site(s)? What characteristics such as experience, training and competencies will be expected?
3. How will the district enable leadership to make and sustain strategic staff recognition and replacements for the school-site(s)?
4. What type of operational flexibility will be granted to school-site(s), for example, with regards to staffing, calendars, scheduling, budgeting, to substantially improve student achievement outcomes?
5. What type of screening and selection process will be used to determine the effectiveness of the school-site(s) instructional program?
6. What type of policy and structural changes does the district need to make in order to support the implementation of the transformation model?
7. What types of contractual changes or agreements with the labor union are necessary to ensure full and effective implementation of the transformation model?
8. How will the district ensure that district and school level activities conducted with SIG funds only support the SIG school-site(s)?
9. How will the district support the new school-site administration in determining the changes necessary in operational practices for the reform effort as well as progress monitor implementation and student achievement?

Appendix F: Guiding Questions for Selection of the Intervention Model

Restart Model

1. Are there high quality charter management organizations (CMOs), educational management organizations (EMOs) or strong community organizations interested in contracting with the district to convert the school-site into a new school?
2. Which option above, CMO, EMO or community organization, would be the optimum choice to meet the needs of the students at the current school-site(s) and provide increased academic achievement?
3. What types of contractual changes or other agreements are necessary to restart the school as a charter school or under new educational management?
4. What process will be used to screen and select the new CMO or EMO for the school-site(s)?
5. How will the district hold the CMO or EMO accountable in contract or other agreement for student academic achievement? Will the district be prepared to terminate the contract if expectations are not met?
6. What role will the district play in the reform effort at the school-site(s), for example, with regards to central services, progress monitoring, special education and other related services?
7. How will the district solicit feedback and inform students and parents of the changes that will occur at the school-site(s)?
8. What policy changes will occur to allow enrollment of any former student who wishes to attend the school, as long as the student is within the grades that the new school serves?

Closure Model

1. What will be the process and criteria to identify the school-site(s) to be closed?
2. How will the district solicit feedback from parents and the community regarding the school-site(s) closure?

Appendix F: Guiding Questions for Selection of the Intervention Model

3. What will be the impact of the school-site(s) closure on school enrollment area, school community/neighborhood, and district?
4. How will students and families be supported in their transition to the new school?
5. How will the district ensure that the students who attend the closed school-site(s) are enrolled in a nearby higher achieving school?
6. What considerations will be made to support the new schools with increased enrollment, for example, in regards to staffing, safety, counseling services?

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Appendix G: ED Data Collection Requirements

Metric	Source	Achievement Indicators	Leading Indicators
School Data			
Intervention used			
AYP status	ED Facts	X	
Which AYP targets the school met and missed	ED Facts	X	
School improvement status	ED Facts	X	
Number of minutes	CBEDS		X
Type of increased learning time	CBEDS		X
Student Outcomes/Academic Progress Data			
Percentage of students at or above each proficiency level on state assessments in reading/language arts and mathematics (eg., Basic, Proficient, Advanced) by grade and by student group	ED Facts	X	
Student participation rate on state assessments in reading/language arts and in mathematics, by student subgroup	ED Facts		X
Average scale scores on state assessments in reading/language arts and in mathematics by grade, for the “all students” group, for each achievement quartile, and for each subgroup	New to SIG	X	
Percentage of limited English proficient students who attain English language proficiency	ED Facts	X	
Graduation rate	ED Facts	X	
Dropout rate	ED Facts		X
Student attendance rate	ED Facts/CBEDS		X
Number and percentage of students completing advanced course work (e.g., AP/IB and/or dual enrollment classes (Includes three new data groups))	CBEDS		X
College enrollment rates	New to SIG	X	
Student Connection and School Climate			
Discipline incidents	ED Facts		X
Truants	ED Facts		X
Talent			
Distribution of teachers by performance level on LEA’s teacher evaluation system	New to SIG		X
Teacher attendance rate	CBEDS		X

*Table adapted from final requirements for SIG authorized under section 1003(g) of Title I of the ESEA.

Please see the Federal Register, Volume 75, Number 208 on the School Improvement Grants; American Recovery and Reinvestment Act of 2009 (ARRA); Title 1 of the Elementary and Secondary Education Act of 1965, as amended at <http://www2.ed.gov/programs/sif/2010-27313.pdf>.

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Appendix H: Online Forms (Forms 4a, 4b, 5a, 5b, 8, 10, 11)

<http://www.cde.ca.gov/fg/fo/r16/regsig13rfa.asp>

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School Improvement Grant, Cohort 3 Budget Summary- LEA Form 4A

LEA	
CD Code	
County	
Contact	
E-mail	
Telephone	

Resource: 3180
SACS Code: 8290
Fed Award: S377A130006
GAN: 13-1234-00000

Object Code Series	Line Item Description	Year 0 (Pre-Imp.)	Year 1	Year 2	Year 3
		FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17
1000-1999	Certificated Personnel Salaries				
2000-2999	Classified Personal Salaries				
3000-3999	Employee Benefits				
4000-4999	Books and Supplies				
5000-5999	Services/Other Operating Expenses				
6000-6999	Capital Outlay				
7310 / 7350	Indirect Costs				
Subtotal		\$ -	\$ -		
Total		\$ -	\$ -	\$ -	\$ -

<i>CDE Use Only</i>	
Version	Date

School Improvement Grant, Cohort 3 Budget Summary- School Form 5A

LEA	
Site	
CDS Code	
County	
Contact	
E-mail	
Telephone	

Resource: 3180
SACS Code: 8290
Fed Award: S377A130006
GAN: 13-1234-00000

Object Code Series	Line Item Description	Year 0 (Pre-Imp.)	Year 1	Year 2	Year 3
		FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17
1000-1999	Certificated Personnel Salaries				
2000-2999	Classified Personal Salaries				
3000-3999	Employee Benefits				
4000-4999	Books and Supplies				
5000-5999	Services/Other Operating Expenses				
6000-6999	Capital Outlay				
7310 / 7350	Indirect Costs				
Subtotal		\$ -	\$ -		
Total		\$ -	\$ -	\$ -	\$ -

<i>CDE Use Only</i>	
Version	Date

Appendix H: Form 8 Sustainability of the Reforms After the Funding Period Ends

LEA:			
School:			
Area of Sustainability	2017 - 18	2018 - 19	2019 - 20
Developing and increasing teacher and school leader effectiveness			
may include, but not limited to: - staff replacement - teacher and principal evaluation - identifying and rewarding staff - ongoing professional development - recruit, place, and retain			
Comprehensive instructional reform strategies			
may include, but not limited to: - modified instructional program - use of student data			

Appendix H: Form 8 Sustainability of the Reforms After the Funding Period Ends

Increasing learning time and creating community-oriented schools			
may include, but not limited to: <ul style="list-style-type: none"> - schedules and strategies that provide ILT - family and community engagement - social emotional support 			
Operational flexibility and sustained support			
may include, but not limited to: <ul style="list-style-type: none"> - sufficient operating flexibility - ongoing, intensive, technical assistance 			

Appendix H: Form 10 Implementation Charts Turnaround Model

LEA:			Date:		
School:					
Required Components	Strategies		Start & End Dates (MM/YYYY)	Oversight	Description of Evidence
I-SIG 01: Replace the principal and grant the new principal sufficient operational flexibility.					
Principal Replacement*					
Principal name		Hire date			
Operational Flexibility					
*LEAs that retain a principal hired within the last 2 years should be able to demonstrate that: (1) the prior principal in the school at issue was replaced as part of a broader reform effort, and (2) the new principal has the experience and skills needed to implement successfully a turnaround, restart, or transformation model.					
I-SIG 02: Use locally-adopted competencies to measure the effectiveness of staff who can work within the turnaround environment, screen all existing staff and rehire no more than 50 percent, and select new staff.					
Determine locally-adopted competencies					
Evaluate current staff and rehire no more than 50%					
Screen and select new staff					

**Appendix H: Form 10 Implementation Charts
Turnaround Model**

I-SIG 03: Implement strategies that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school.				
Recruitment				
Placement				
Retention				
I-SIG 04: Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school’s comprehensive instructional program.				
I-SIG 05: Adopt a new governance structure which may include, but is not limited to, requiring the school to report to a new “turnaround office” in the LEA, or hiring a “turnaround leader” who reports directly to the LEA.				
I-SIG 06: Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with California’s adopted academic standards.				
Develop screening criteria				
Evaluate research base and alignment of current program				
Identify a new instructional program or revise current program				

**Appendix H: Form 10 Implementation Charts
Turnaround Model**

Implement new or revised instructional program					
I-SIG 07: Promote the continuous use of student data to inform and differentiate instruction in order to meet the academic needs of individual students.					
I-SIG 08: Establish schedules and implement strategies that provide increased learning time.					
	<i>Increase by Day</i>	<i>Increase by Week</i>	<i>Increase by Year</i>		
<i>Core</i>					
<i>Enrichment</i>					
<i>Collaboration</i>					
Total Unduplicated Time					
I-SIG 09: Provide appropriate social-emotional and community-oriented services and supports for students.					
VI-SIG 30: Optional Component					

Appendix H: Form 10 Implementation Charts Transformation Model

LEA:				Date:		
School:						
Required Components	Strategies			Start & End Dates (MM/YYYY)	Oversight	Description of Evidence
II-SIG 10: Replace the principal who led the school prior to the commencement of the transformation model.						
Principal Replacement*						
Principal name			Hire date			
*LEAs that retain a principal hired within the last 2 years should be able to demonstrate that: (1) the prior principal in the school at issue was replaced as part of a broader reform effort, and (2) the new principal has the experience and skills needed to implement successfully a turnaround, restart, or transformation model.						
II-SIG 11: Use rigorous, transparent, and equitable evaluation systems for teachers and principals that take into account data on student growth as a significant factor that are designed and developed with teacher and principal involvement.						
Principal and teacher involvement						
Data on student growth						
Multiple observation-based assessments						

**Appendix H: Form 10 Implementation Charts
Transformation Model**

Ongoing collections of professional practice				
II-SIG 12: Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates; and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so.				
Identify and reward				
opportunities to improve professional practice				
Identify and remove				
II-SIG 13: Implement strategies that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the transformation school.				
Recruitment				
Placement				
Retention				

Appendix H: Form 10 Implementation Charts Transformation Model

II-SIG 14: Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program.				
II-SIG 15: Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.				
II-SIG 16: Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with California's adopted academic standards.				
Develop screening criteria				
Evaluate research base and alignment of current program				
Identify a new instructional program or revise current program				
Implement new or revised instructional program				

Appendix H: Form 10 Implementation Charts Transformation Model

II-SIG 17: Promote the continuous use of student data to inform and differentiate instruction in order to meet the academic needs of individual students.					
II-SIG 18: Establish schedules and implement strategies that provide increased learning time.					
	<i>Increase by Day</i>	<i>Increase by Week</i>	<i>Increase by Year</i>		
Core					
Enrichment					
Collaboration					
Total Unduplicated Time					
II-SIG 19: Provide ongoing mechanisms for family and community engagement.					
II-SIG 20: Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).					
VI-SIG 30: Optional Component					

**Appendix H: Form 10 Implementation Charts
Restart Model**

LEA:		Date:		
School:				
Required Components	Strategies	Start & End Dates (MM/YYYY)	Oversight	Description of Evidence
Fulfill all California requirements for converting to a charter school (if applicable).				
III-SIG 21: Create a locally-determined rigorous review process for the purposes of selecting a CMO or an EMO.				
III-SIG 22: Create a plan to transfer students who either cannot attend the new school because their grade is no longer served by the Restart school or whose parents choose not to have their child attend the Restart school.				
III-SIG 23: Create an accountability contract with the CMO or EMO which includes clearly defined goals for student achievement.				
VI-SIG 30: Optional Component				

**Appendix H: Form 10 Implementation Charts
Closure Model**

LEA:		Date:		
School:				
Required Components	Strategies	Start & End Dates (MM/YYYY)	Oversight	Description of Evidence
IV-SIG 24: The LEA closes the school and enrolls the students who attended that school in other nearby schools in the LEA that are higher achieving.				
IV-SIG 25 The LEA supports families and students in their transition to the new school.				
VI-SIG 30: Optional Component				

SIG Form 11—Implementation Chart for a Tier III school

Complete this form for each Tier III school the LEA commits to serve. Identify the services the school will receive and/or the activities the school will implement, a timeline with specific start and end dates of implementation, and the position (and person, if known) responsible for oversight. If the LEA is opting to implement one of the four intervention models, please complete SIG Form 10 for the appropriate model.

School:	NCES:		
Actions & Activities	Timeline		Oversight
	Start	End	

California's Fiscal Year 2013 School Improvement Grant Eligibility List

SCHOOLS ELIGIBLE FOR FY 2013 SIG FUNDS									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
ABC Unified	0601620	Pharis F. Fedde Middle	00020			x			
Alisal Union	0601950	Bardin Elementary	00083		x				
Alisal Union	0601950	Dr. Martin Luther King, Jr., Elementary	10559		x				
Alta Vista Elementary	0602220	Alta Vista Elementary	00098		x				
Alum Rock Union Elementary	0602310	Cesar Chavez Elementary	00111		x				
Alvord Unified	0602430	Norte Vista High	00137			x			
Antelope Valley Union High	0602820	Antelope Valley High	00203			x			
Antelope Valley Union High	0602820	Eastside High	10823			x			
Antelope Valley Union High	0602820	Littlerock High	09516			x			
Aromas/San Juan Unified	0691136	San Juan	10297		x				
Arvin Union Elementary	0603270	Bear Mountain Elementary	00413		x				
Arvin Union Elementary	0603270	Sierra Vista Elementary	00246		x				
Azusa Unified	0603600	Valleydale Elementary	00285		x				
Beardsley Elementary	0604260	Beardsley Intermediate	08797		x				
Buttonwillow Union Elementary	0606720	Buttonwillow Elementary	00594		x				
Chualar Union Elementary	0608580	Chualar Elementary	00854		x				
Coachella Valley Unified	0609070	West Shores High	07685		x				
Compton Unified	0609620	Centennial High	00975		x			x	
Compton Unified	0609620	Davis Middle	07272		x				
Compton Unified	0609620	Dominguez High	00978		x				
Compton Unified	0609620	Martin Luther King Elementary	00986		x				
Compton Unified	0609620	Vanguard Learning Center	00999			x			
Compton Unified	0609620	Walton Middle	01000		x				
Compton Unified	0609620	Whaley Middle	01002		x				
Compton Unified	0609620	Willowbrook Middle	01003			x			
Del Norte County Office of Ed	0691063	Castle Rock	08694			x			
East Side Union High	0611820	Escuela Popular Accelerated Family Learn	10666		x			x	
Escondido Union Elementary	0612880	Felicita Elementary	01454		x				
Fairfax Elementary	0613290	Shirley Lane Elementary	10809		x				
Farmersville Unified	0600035	Farmersville High	07903			x			
Farmersville Unified	0600035	George L. Snowden Elementary	01549		x				
Fontana Unified	0613920	Fontana A. B. Miller High	10301			x			
Greenfield Union Elementary	0616080	El Camino Real	12809		x				
Greenfield Union Elementary	0616080	Mary Chapa Literacy and Technology Academy	02009		x				
Greenfield Union Elementary	0616080	Vista Verde Middle	02266		x				
Hacienda la Puente Unified	0616325	William Workman High	02074			x			
Hayward Unified	0616740	Burbank Elementary	02106		x				
Hayward Unified	0616740	Longwood Elementary	02120		x				

California's Fiscal Year 2013 School Improvement Grant Eligibility List

LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
Hayward Unified	0616740	Tennyson High	02135			x			
Kern County Office of Ed	0691012	Kern County Community	07502		x			x	
King City Joint Union High	0619650	Greenfield High	08221		x				
Klamath-Trinity Joint Unified	0619950	Hoopa Valley Elementary	02389		x				
La Honda-Pescadero Unified	0620220	Pescadero Elementary and Middle	02422		x				
Lake Tahoe Unified	0620640	Bijou Community	02477		x				
Lakeside Union Elementary	0620760	Lakeside Elementary	02491		x				
Lennox Elementary	0621420	Century Academy for Excellence	11614		x				
Lindsay Unified	0621870	Jefferson Elementary	02594		x				
Lindsay Unified	0621870	Lindsay Senior High	02595			x			
Lodi Unified	0622230	Lawrence Elementary	02653		x				
Lodi Unified	0622230	Sutherland Elementary	01341		x				
Los Angeles County Office of Ed	0601407	Today's Fresh Start Charter	11336		x				
Los Angeles Unified	0622710	Angeles Mesa Elementary	02816		x				
Los Angeles Unified	0622710	Audubon Middle	02829		x				
Los Angeles Unified	0622710	Carson Senior High	02899			x			
Los Angeles Unified	0622710	International Studies Learning Center	10863		x				
Los Angeles Unified	0622710	Los Angeles Senior High	03151			x			
Los Angeles Unified	0622710	Miguel Contreras Learning Complex	11650		x				
Los Angeles Unified	0622710	Robert Fulton College Preparatory School	03029		x				
Los Angeles Unified	0622710	San Fernando Senior High	03325			x			
Los Angeles Unified	0622710	Sun Valley Middle	03378			x			
Los Angeles Unified	0622710	Sylmar Senior High	03385			x			
Los Angeles Unified	0622710	Woodcrest Elementary	03471		x				
Maricopa Unified	0623820	Maricopa Elementary	03596		x				
Marysville Joint Unified	0624090	Ella Elementary	03626		x				
McFarland Unified	0624230	McFarland High	07315		x				
Monterey Peninsula Unified	0625530	Highland Elementary	03828		x				
Monterey Peninsula Unified	0625530	Martin Luther King	03829		x				
Monterey Peninsula Unified	0625530	Seaside High	03843			x			
Moreno Valley Unified	0625800	March Mountain High	03868			x		x	
Mt. Diablo Unified	0626370	Shore Acres Elementary	03972		x				
Oakland Unified	0628050	Elmhurst Community Prep	11961		x				
Oakland Unified	0628050	United for Success Academy	11909		x				
Pajaro Valley Unified	0629490	Calabasas Elementary	04539		x				
Pajaro Valley Unified	0629490	Hall District Elementary	04543		x				
Pajaro Valley Unified	0629490	T. S. MacQuiddy Elementary	04552		x				
Palm Springs Unified	0629550	Desert Hot Springs High	08267		x				
Palmdale Elementary	0629580	Cactus Middle	08933			x			

California's Fiscal Year 2013 School Improvement Grant Eligibility List

LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
Palmdale Elementary	0629580	Tumbleweed Elementary	04577		x				
Palo Verde Unified	0629640	Palo Verde High	04602			x			
Perris Elementary	0630180	Good Hope Elementary	04710		x				
Perris Union High	0630210	Perris High	04712			x			
Pomona Unified	0631320	Emerson Middle	04839			x			
Pomona Unified	0631320	Pomona Senior High	04858			x			
Ravenswood City Elementary	0631860	Costano Elementary	04915		x				
Ravenswood City Elementary	0631860	Ronald McNair Academy	04914		x				
Reef-Sunset Unified	0632270	Avenal Elementary	07334		x				
Riverside County Office of Ed	0691026	Riverside County Community	10577		x				
San Diego Unified	0634320	Burbank Elementary	05426		x				
San Diego Unified	0634320	Charter School of San Diego	03939			x			
San Diego Unified	0634320	King/Chavez Arts Academy	11390		x				
San Diego Unified	0634320	San Diego Business	11143		x				
San Diego Unified	0634320	San Diego MVP Arts	11144		x				
San Juan Unified	0634620	Encina Preparatory High	05778			x			
San Lorenzo Unified	0634710	Hillside Elementary	05853		x				
Santa Ana Unified	0635310	Century High	09633		x				
Santa Ana Unified	0635310	Saddleback High	06004			x			
Santa Ana Unified	0635310	Santa Ana High	06005			x			
Santa Ana Unified	0635310	Sierra Intermediate	06007			x			
Santa Ana Unified	0635310	Valley High	06011		x				
Santa Ana Unified	0635310	Willard Intermediate	06013		x				
Santa Barbara Unified	0601414	Adelante Charter	08628		x				
Santa Maria-Bonita	0605580	Adam (William Laird) Elementary	09312		x				
Santa Maria-Bonita	0605580	Alvin Elementary	09313		x				
Santa Maria-Bonita	0605580	Calvin C. Oakley Elementary	09320		x				
Semitropic Elementary	0636330	Semitropic Elementary	06192		x				
Soledad Unified	0637050	Rose Ferrero Elementary	08746		x				
Vallejo City Unified	0640740	Vallejo High	06739			x			
Wasco Union Elementary	0641400	Palm Avenue Elementary	06846		x				
Waukena Joint Union Elementary	0641820	Waukena Joint Union Elementary	06870		x				
West Contra Costa Unified	0632550	Lincoln Elementary	05042		x				