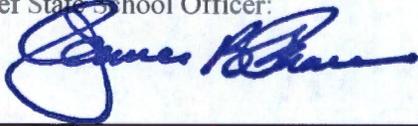


APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

Legal Name of Applicant: West Virginia Department of Education	Applicant's Mailing Address: West Virginia Department of Education Building 6, Room 358 1900 Kanawha Boulevard, E. Charleston, WV 25305-0330
State Contact for the School Improvement Grant Name: Mickey Blackwell Position and Office: Executive Director, Office of School Improvement Contact's Mailing Address: Building 6, Room 330 1900 Kanawha Boulevard, E. Charleston, WV 25305-0330 Telephone: 304-558-3199 Fax: 304-558-0459 Email address: mblackwell@access.k12.wv.us	
Chief State School Officer (Printed Name): James B. Phares, Ed.D. State Superintendent of Schools	Telephone: 304-558-2681
Signature of the Chief State School Officer: X 	Date: 11/20/13
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: WEST VIRGINIA



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 Carlas McCauley at (202) 260-0824 or by e-mail at Carlas.Mccauley@ed.gov.

APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

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State Contact for the School Improvement Grant Name: Mickey Blackwell Position and Office: Executive Director, Office of School Improvement Contact's Mailing Address: Building 6, Room 330 1900 Kanawha Boulevard, E. Charleston, WV 25305-0330 Telephone: 304-558-3199 Fax: 304-558-0459 Email address: mblackwell@access.k12.wv.us	
Chief State School Officer (Printed Name): James B. Phares, Ed.D. State Superintendent of Schools	Telephone: 304-558-2681
Signature of the Chief State School Officer: X	Date:
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.	

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.

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

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

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.

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-Part 1: The West Virginia Department of Education is requesting the priority schools list waiver to use the methodology for identifying priority schools that has already been approved through its ESEA flexibility request (approved May 20, 2013).

A-Part 2: See Eligible Schools List (Appendix A)

A-Part 3: Not-applicable.

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-Part 1: West Virginia began implementation of its approved ESEA flexibility request in May 2013. As part of that implementation, each priority school has begun implementation of the WV School Improvement Framework described in Table 2.19 of West Virginia’s approved ESEA Flexibility document; following is an excerpt of the diagnostic (2012-13) and initial implementation (2013-14) years’ expected activities:

Preparations (Diagnostic) School Year 2012-2013	<p>Diagnose and begin building structures:</p> <ul style="list-style-type: none"> • School Improvement Coordinator (SIC) assigned to assist in improvement process • Diagnostic visit based on Turnaround Principles/High Quality School (HQS) Standards and administer culture survey and principal effectiveness audit • Diagnostic Report completed and shared with staff by November 2013. • School, LEA, Regional Education Service Agency (RESA) and SEA develop relationships and clarify roles within a formal Memorandum of Understanding (MOU) • Administrative Team develops relationships and clarifies roles • School Leadership Team (SLT) established and protocols created • Strategic plan revised to address the diagnostic findings and recommendations • Recommendation made to utilize subgroup interventions if diagnostic reveals subgroup gaps • Schedule for SLT & Collaborative Teams (CT) established for following school year • Technical assistance and available resources are explained
Initial Implementation Year School Year 2013-2014	<p>Build structures that facilitate school improvement:</p> <ul style="list-style-type: none"> • Establish MOU beginning implementation of all Turnaround Principles simultaneously • SIC visits and/or consults with school weekly • SLT Conference in October/February • SIC meets with Administrative Team once a month to monitor progress on Turnaround Principles/HQS Standards • Instructional Practices Inventory (IPI) team trained to collect data on student engagement • SLT builds capacity in Turnaround Principles/HQS Standards • Utilize Educator Evaluation System to monitor teacher and principal effectiveness and make necessary adjustments throughout the year • SLT measures and documents progress using Online Monitoring tool around HQS Standards • Extended strategic plan is continually revisited with emphasis on organizational learning • SLT strengthens instructional deficiencies • SIC coordinates instructional improvement efforts with Office of Special Programs, Instruction, and Early Learning • SIC/SLT administers Culture Typology & conduct 4 IPI data collections & debriefs. • SLT prepares for progress & annual reports to local and state BOE • SIC/SLT completes a culture survey at end of year

Requirement 1: The LEA has analyzed the needs of each priority school identified in the LEA’s application and has selected an intervention for each school.

The priority school diagnostic process was completed in the spring and summer of 2013 and included analysis of:

- Student achievement data (including all components of the West Virginia Accountability Index approved in the West Virginia ESEA Flexibility Request)
- Other student outcome data (attendance, graduation, discipline course failure/retention)
- Leadership effectiveness data
- School culture and climate data (through required and optional surveys), conditions and practices (through diagnostic team observations)

Needs Analysis: The following steps have been completed with West Virginia's priority schools will meet the needs analysis portion of Requirement 1:

1. Each priority school has taken their diagnostic recommendations and incorporated them into their School Strategic Plan (required of all schools by WV state law).
2. Each LEA has aligned available ESEA resources to support the implementation of appropriate interventions in priority schools through their ESEA Consolidated Application.
3. Each priority school has completed a memorandum of understanding (MOU) outlining the expectations of the school, LEA, SEA and external supporting partners with regard to implementation of appropriate interventions within the Turnaround Principles/HQS Standards.

Selection of SIG(g) Intervention: Based on past SIG(g) implementation, it is well documented that West Virginia statute only supports implementation of the School Closure and Transformational models of SIG(g) intervention; the School Closure Model is only applicable if other West Virginia code requirements for school closure have been followed. Due to the restrictions of state law, LEAs will be provided information and consultation about the two viable SIG(g) intervention models prior to completing the SIG(g) application.

Requirement 2: The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each priority school identified in the LEA's application in order to implement fully and effectively the selected intervention in each of those schools.

According to WV Code §18-2E-5, capacity is defined as a course of action for improving education by which resources are targeted strategically to improve the teaching and learning process. Development of electronic school and school system strategic improvement plans, pursuant to subsection (b) of this section, is intended, in part, to provide mechanisms to target resources strategically to the teaching and learning process to improve student, school and school system performance. The code further states, "When deficiencies are detected through the assessment and accountability processes, the revision and approval of school and school system electronic strategic improvement plans shall ensure that schools and school systems are efficiently using existing resources to correct the deficiencies. When the state board determines that schools and school systems do not have the capacity to correct deficiencies, the state board shall work with the county board to develop or secure the resources necessary to increase the capacity of schools and school systems to meet the standards and, when necessary, seek additional resources in consultation with the Legislature and the Governor."

Specifically, the WVDE Office of School Improvement will determine LEA capacity through an evaluation of the district's ability to plan, implement and target resources strategically to the teaching and learning process. Each LEA must complete a self analysis of the capacity it has to assist the low performing schools in the implementation of the selected intervention. This will be determined utilizing a scale of 1-3 ranking from poor (1), satisfactory (2) and commendable (3) for the following criteria:

District Capacity Index

Criteria	Poor 1 point	Satisfactory 2 points	Commendable 3 points	Points Earned
LEA governance	State takeover district	Limited SEA intervention	No SEA intervention	
Title I audit reports	Findings in areas requiring a repayment of funds	Findings in areas noted- repayment of funds not required	No findings in the fiscal area	
LEA overall achievement ranking	Bottom (5% = 3 districts)	Middle (70% = 38 districts)	Top (25% = 14 districts)	
Approval of the district strategic plan by the SEA	Not approved by the SEA	Approved by the SEA with revisions	Approved by the SEA without revisions	
Development of schools as professional learning communities	The LEA has not yet begun to address the practice of a PLC or an effort has been made to address the practice of PLCs, but has not yet begun to impact a critical mass of staff members.	A critical mass of staff has begun to engage in PLC practice. Members are being asked to modify their thinking as well as their traditional practice. Structural changes are being met to support the transition.	The practice of PLCs is deeply embedded in the culture of the LEA. It is a driving force in the daily work of the schools. It is deeply internalized and schools would resist attempts to abandon the practice.	
Identification of district leadership team and assignment of responsibilities	No district leadership team nor identified person assigned for monitoring implementation	Lacks specific identification of personnel for the district leadership team and for monitoring implementation.	A specific district leadership team is identified and one or more persons are assigned for monitoring implementation.	
Total Points				

Districts must obtain a score of 14 out of 18 possible points to demonstrate capacity to provide adequate resources and related support to fully and effectively implement the selected intervention/activities in each identified school.

Requirement 3: Each LEA intending to apply for the competitive 1003(g) school improvement funds will submit a preliminary budget to implement the selected intervention fully and effectively in each priority school in the application. The preliminary budget shall cover the period of availability of these funds, as the SEA has applied for a waiver to extend the period of availability of funds.

An LEA serving priority schools who submits a complete application meeting all SIG(g) requirements may be funded through the SEA competitive award process. Note that the approved award amount for each school served will depend on the appropriateness and quality of the interventions in relation to the potential benefits gained as articulated in the LEA application and budget.

The LEA Application (Appendix B) and SIG(g) Budget Spreadsheet (Appendix C) will include the following:

1. The number of priority schools that the LEA commits to serve and the intervention model (closure, or transformation) selected for each school.
2. The budget request for each priority school must be of sufficient size and scope to support full and effective implementation of the selected intervention over a period of three years.
3. The budget must be planned as a minimum of \$50,000 per year per school. The maximum amount cannot exceed \$2 million multiplied by the number of schools served or no more than \$6 million over three years.
4. The SIG portion of school closure costs may be lower than the amount required for the other models and **will be granted for only one year.**
5. The LEA may request funding for LEA-level activities that will support the implementation of school intervention models in priority schools and support school improvement activities, at the school or LEA level.

6. The budget timeline is Year 1 – 2014-2015, Year 2 – 2015-2016, and Year 3 – 2016-2017. For this reason, the LEA must have the capacity to begin using the funds for immediately for proposed intervention activities.

Under 1114(a)(2)(B), if a LEA has a school operating a Title I program, the LEA may use “funds available to carry out this section” (Title I, Part A, SIG(a) & SIG(g) and other Federal education funds) only to supplement the amount of non-Federal funds that the school would otherwise have received if it were not operating a Title I program, including those funds necessary to provide services required by law for students with disabilities and LEP students.. Thus, an LEA must provide a Title I school all of the non-Federal funds the school would have received were it not a Title I school. SIG(g) funds, like Title I, Part A and other Federal education funds, must supplement those non-Federal funds.

Under section II.A.6 of the final requirements, an LEA that receives SIG(g) funds to serve one or more priority schools that do not receive Title I, Part A funds must ensure that each school receives all of the State and local funds it would have received in the absence of the SIG(g) funds. In other words, this requirement operates the same as the supplement not supplant requirement in section 111(a)(2)(B) of the ESEA.

Preliminary Budget Form

District Name:

School Name	Intervention Models: Select the model that will be implemented in each priority school.	
	Closure	Transformation

The SIG(g) Budget Spreadsheet (Appendix C) will include an estimated amount of funds required to implement the intervention model selected for each school including the following information:

School Closure Model	Pre-Implementation 2013-14 & Year 1 2014-15	Yy 2	Yr 3	Total
Close the school		n/a	n/a	
Enroll the students in other higher-performing schools in LEA		n/a	n/a	
Total:		n/a	n/a	

Transformation Model	Pre-Implementation 2013-14 & Year 1 2014-15	Year 2 2015-16	Year 3 2016-17	Total
A. Develop teacher and school leader effectiveness				
B. Comprehensive instructional reform programs				
C. Increasing learning time and creating community-oriented schools				
D. Provide operating flexibility and sustained support				
Total:				

B-Part 2: The SEA will assess the actions an LEA may have taken prior to submitting a grant application and those conducted after receiving the grant.

1. Design and implement interventions consistent with the final requirements.
 - The SEA will verify the alignment of appropriate interventions articulated within the School Strategic Plan, supported in the LEA's ESEA Consolidated Application and committed to in the MOU.
 - Each LEA will participate in technical assistance grant writing sessions conducted by the SEA.
 - The SEA will evaluate the final application utilizing a rubric to ensure it includes all components of the selected intervention model for priority schools.
 - Technical assistance will be provided through each school's assigned School Improvement Coordinator from the WVDE Office of School Improvement.
2. Recruit, screen, and select external providers, if applicable, to ensure quality.
 - LEA will develop procedures and a timeline to recruit, screen, and select external providers. The process must include input from a variety of stakeholders.
 - The LEA will provide a written explanation to the SEA outlining how the selected external provider meets the identified needs of the school. The proposed contract, projected annual work plan and a description of how the LEA will evaluate the effectiveness of the external provider must also be provided.
3. Align other resources with the interventions.
 - The LEAs ESEA Consolidated Application for each year will provide evidence of how other ESEA sources (Title I, Title I 1003(a), Title II, Title III, and Title VI)) are aligned with the selected interventions.
 - The LEA will provide a narrative description of how other resources (e.g., state/local/ community resources, personnel, materials and services) will support the intervention model.
4. Modify practices and/or policies, if necessary, to enable full and effective implementation of interventions.
 - The LEA will provide evidence that a review of district and school policies has been completed to ensure alignment with the selected interventions. Evidence will include copies of agendas and faculty senate minutes. If changes are required, additional documentation would include revised versions of policies and/or procedures and minutes of BOE meetings where the revised policies were approved.
5. Sustain the reforms after the funding period ends.
 - The LEA will provide a narrative, identifying financial and other resources, to demonstrate how the reform changes will be institutionalized within the school setting.
 - The SEA will evaluate the LEAs ability to sustain the reform efforts by considering the following items:
 - Level and amount of technical assistance the LEA provides to the school in each year of the grant funding-It is expected that the LEA would provide intensive technical assistance the first year with decreasing amounts in the next two years.
 - Commitment to examine budgets to determine how the improvement efforts established can be sustained.
 - External partner support targets both the LEA and the school level staff to ensure that efforts are institutionalized and continue to be monitored by the LEA after the contract ends.

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: The LEA application will include a column for pre-implementation activities. The monies used for pre-implementation activities will be calculated into the total three year award. Pre-implementation activities must: (1) support the full and effective implementation of the intervention model selected by the LEA, (2) address the needs identified by the LEA and school during the diagnostic process, (3) be reasonable and necessary for implementation, and (4) help improve student achievement. SIG(g) funds used for pre-implementation activities are subject to the ‘supplement not supplant’ requirement.

Proposed pre-implementation activities must be aligned with the School Strategic plan and the Turnaround Principles/HQS Standards identified as areas needing improvement with the recommendations of the school’s diagnostic report. These may include reasonable and necessary expenses related with:

1. Positive Climate and Cohesive Culture – developing shared beliefs and values, setting high expectations for all students and staff, and creating/maintaining a safe, orderly and engaging environment.
2. School Leadership – enhancing principal leadership, school teams and councils, teacher leadership and student leadership.
3. Standards-Focused Curriculum, Instruction and Assessment – improving classroom learning environments, developing a standards-focused curriculum, planning and delivering appropriate and engaging instruction.
4. Student Support Services and Family/Community Connections – developing positive relationships with all stakeholders, promoting students’ personal development and well-being and improving parent and community partnerships.
5. Educator Growth and Development – providing quality sustained professional development based on identified needs, supporting and improving teacher collaboration and implementing robust educator evaluation, feedback and support systems.
6. Efficient and Effective Management – maintaining safe and appropriate educational facilities, effectively and efficiently managing resources, recruiting/retaining highly effective personnel and effectively utilizing data, information systems, technology tools and infrastructure to support school improvement.
7. Continuous Improvement – developing and managing a focused and coherent School Strategic Plan, sustaining processes and structures to support continuous improvement and continuously monitoring for results.

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

[Insert the SEA's timeline for the FY 2013 SIG competition here]

Step One: A webinar will be held the week of January 6, 2014, with the superintendents and selected central office staff of the LEAs which have schools eligible to participate in the 1003(g) opportunities. An overview of the 1003(g) grant program requirements will be presented during this meeting. WVDE School Improvement Coordinators assigned to each priority school will consult with the LEA and school administrators to confirm their intent to apply by January 17, 2014.

Step Two: A grant writing workshop will be held with the LEAs on January 29, 2014. The SEA School Improvement and Federal Programs staff members will be available to provide technical assistance throughout the application process. The grant application is due to the SEA on or before February 19, 2014.

Step Three: The competitive grant proposals will be reviewed and scored by SEA School Improvement and Federal Programs staff. Any grant proposal that does not meet the minimum threshold, as determined through a review, will be returned to the LEA with specific suggestions for improvement. School Improvement Coordinators will provide additional technical assistance as needed.

Step Four: Each LEA team will participate in an interview regarding their SIG(g) application to answer clarifying questions posed by WVDE staff members during a School Leadership Team Conference on February 26 & 27, 2014. Final determination of successful grant awardees will be based on the grant application and the interview. All approved LEA three-year grants will be awarded with FY2013 SIG funds by April 1, 2014.

Step Five: SEA School Improvement will continue to provide intensive technical assistance and support to priority schools throughout the entire SIG(g) timeline. The LEAs will begin pre-implementation activities once the grants have been awarded. In addition, the district leadership team and school leadership team will begin a process to revise School Strategic Plans to reflect the selected school improvement model and identify the steps and timeline for implementing the model.

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.

The SEA will review the WESTEST 2 (Smarter Balanced beginning in 2015) results each September to determine whether the schools have made the progress specified on goals in the LEA grant applications. Furthermore, the SEA will review the progress on the leading indicators specified in Section III of the final regulations as reported by the LEAs through the High Quality Schools Data Collection System. West Virginia recognizes that it will be difficult for a persistently low performing school to show improvement in academic achievement in the first year of implementation of one of the intervention models. If a priority school does not meet the annual student achievement goals established by the LEAs, the SEA may renew the LEA's SIG application for that school if the school is making progress toward meeting the goals and leading indicators. The SEA will also consider the fidelity with which the school is implementing the selected intervention model. The SEA will not renew a grant award on the third year if the school still has not demonstrated any progress towards meeting its goals or a school is not implementing the school improvement model with fidelity.

(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.

Not applicable.

(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.

The grant effectiveness of priority schools will be monitored by the Office of Federal Programs as part of the ESEA Flexibility Outcome Monitoring Procedures (Appendix D) in conjunction with the Office of School Improvement. In addition, all priority schools are assigned a WVDE School Improvement Coordinator who is responsible for continuous monitoring of each school's grant implementation. The coordinators will report the school's progress to the Office of Federal Programs on a monthly basis.

(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.

The SEA will prioritize school improvement grants to LEAs if sufficient school improvement funds are not available for all the schools for which the LEA applies to serve. The following criteria will be considered to determine which LEAs have the greatest capacity to implement the selected interventions:

- a total score of 14 or more points on the capacity index (SEA will review the capacity index score and account for extenuating circumstances that may adversely impact an score)
- an assurance statement that the LEA will fully implement one of the rigorous intervention models
- LEAs with schools in the bottom 5% of achievement in reading and mathematics based on the most recent WV Accountability Index (2013)
- Total score received on the LEA application and interview

(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.

Not applicable

(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.

The SEA does not intend to take over any priority schools.

(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.

The SEA does not intend to provide services directly to any schools in the absence of a takeover.

The provisions in items 6 and 7 are not applicable to WV at this time. However, according to West Virginia State Code §18-2E-5 and West Virginia Board of Education (WVBE) Policy 2320, West Virginia has the legal authority to intervene directly in both low-achieving schools and districts. These regulations authorize the WVBE to assign a low performing accreditation status to a school when the school falls below the criteria for full accreditation in three of the following performance measures: student achievement; participation rate; attendance rate or graduation rate. Whenever a school is issued low performing status, the WVBE appoints a team of improvement consultants to make recommendations to the WVBE within 60 days. If the school's low performance continues six months after the recommendations have been received by the school district, the WVBE appoints a monitor to the school, who will be paid by the school district. The monitor will work in the school, collaboratively with school leadership, to bring the school to full accreditation status.

If the low performance continues one year after the appointment of a monitor, the WVBE is authorized to intervene directly in the operation of the school. This intervention may include, but is not limited to, establishing instructional programs, taking such direct action as may be necessary to correct the low performance, removing the principal, and replacing administrators and principals in low performing schools in districts in non-approval status with individuals determined by the state superintendent to be the most qualified for the positions. The state board of education may choose to appoint a monitor to assist the school principal after state intervention in the operation of the school has been completed.

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.

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.

The West Virginia Department of Education (WVDE) will reserve 5% of the funding and utilize state-level funds in the following ways:

Technical assistance and professional development will be aligned with WV's ESEA Flexibility Request to ensure adequate support for implementation of the Turnaround Principles/HQS. The purpose of the 1003(g) school improvement grant is to provide funding for use in priority schools that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to substantially raise the achievement of their students and exit priority status in 2016. Therefore, the technical assistance and professional development provided for the identified schools will also align with the goals listed below.

Goal 1: Build the capacity of the SEA and LEAs to drive transformative interventions in low-achieving schools through the following activities:

- Continue to strengthen the WVDE's capacity to support school improvement in all struggling schools by maintaining a sustaining a highly effective team of School Improvement Coordinators and through strong collaboration with other offices within the WVDE.
- Build strong teams to support struggling schools at the RESA, LEA and the school levels.
- Utilize the new data available through the West Virginia Accountability Index (approved through WV's ESEA Flexibility Request) and the state's Early Warning System to drive the school improvement process.
- Engage external supporting partners to help LEAs build their capacity to support the transformation of struggling schools.
- Utilize an evaluator to design a rigorous evaluation and report formative results annually for 2 years and summative results at the end of year 3.

Goal 2: Strengthen teacher and leader effectiveness in low-achieving schools in order to improve the quality of instruction through the following activities:

- Implement the structures, supports, and professional development that teachers need to be successful in professional learning communities.
- Provide professional development designed to assist teachers in implementing West Virginia's College and Career Ready Content Standards utilizing standards based instructional strategies.
- Provide technical support for the implementation of the state's new Educator Evaluation System and support LEAs and schools in their efforts to use the system to drive educator growth and development.

- Utilize criteria developed by the West Virginia State System of Support to assist low performing schools in the selection of a school-based transformation specialist.

Goal 3: Develop comprehensive systems of support in low-achieving schools through the following activities:

- Provide a system of differentiated supports for struggling students and students with disabilities in partnership with the WVDE Office of Special Programs.
- Provide support for improving school culture and climate by utilizing the systems initiated by the Safe and Supportive Schools grant (now residing in the Office of School Improvement).
- Provide technical assistance to low-achieving school to address the non-academic issues of struggling students and then align the appropriate supports and services to the students' needs.

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.

The West Virginia Department of Education 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

The WVDE 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. (See Appendix F)

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.

[See WV LEA Application for FY13 SIG\(g\) Grants \(Appendix C\).](#)

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 schools.

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

- (1) For each Tier I and Tier II school, 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 collecting and analyzing benchmark/interim data; and
 - Measuring progress and providing assistance 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.

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).

[See excel SIG\(g\) Budget Spreadsheet for both LEA and School-Level activities \(Appendix D\).](#)

Example: LEA XX BUDGET

	Year 1 Budget		Year 2 Budget	Year 3 Budget	Three-Year Total
	Pre-implementation.	Year 1			
Tier I ES #1	\$257,000	\$1,156,000	\$1,325,000	\$1,200,000	\$3,938,000
Tier II HS #1	\$530,000	\$1,470,000	\$1,960,000	\$1,775,000	\$5,735,000
LEA-level		\$250,000	\$250,000	\$250,000	\$750,000
Total Budget		\$3,663,000	\$3,535,000	\$3,225,000	\$10,423,000

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.

West Virginia FY2013 SIG(g) Eligible

LEA NAME	LEA NCES ID#	SCHOOL NAME
Barbour County School District	5400030	Junior Elementary School
Barbour County School District	5400030	Philippi Middle School
Berkeley County School District	5400060	Burke Street Elementary School
Braxton County School District	5400120	Braxton County High School
Cabell County School District	5400180	Peyton Elementary School
Fayette County School District	5400300	Ansted Elementary School
Fayette County School District	5400300	Collins Middle School
Grant County School District	5400360	Union Education Complex
Hampshire County School District	5400420	Hampshire County Senior High School
Kanawha County School District	5400600	J.E. Robbins Elementary School
Kanawha County School District	5400600	* Watts Elementary School
Kanawha County School District	5400600	West Side Elementary School
Lincoln County School District	5400660	Lincoln County High School
Lincoln County School District	5400660	Midway Elementary School
Logan County School District	5400690	Buffalo Elementary School
Logan County School District	5400690	Chapmanville Senior High School
Logan County School District	5400690	Man Senior High School
Mercer County School District	5400840	Spanishburg Elementary School
McDowell County School District	5400810	* Mount View High School
McDowell County School District	5400810	* Southside K-8 School
Preston County School District	5401170	Tunnelton-Denver Elementary School
Summers County School District	5401350	Summers County High School
Taylor County School District	5401380	Anna Jarvis Elementary School
Wayne County School District	5401500	East Lynn Elementary School
Wayne County School District	5401500	Wayne Middle School
Webster County School District	5401530	Glade Middle School
Webster County School District	5401530	Webster County High School
Wood County School District	5401620	* Franklin Elementary Center
Wood County School District	5401620	Jefferson Elementary Center

** Priority schools marked by * are not eligible for FY13 SIG(g) funding because they are currently im*

The following schools were on the original priority schools list but closed at the end of the 2012-201

Cabell County School District	5400180	Enslow Middle School
Mingo County School District	5400900	Williamson Middle School

ble Schools List

SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
540003000004	X					
540003000010	X					
540006000015	X					
540012000061	X					
540018000134	X					
540030000167	X					
540030000172	X					
540036000687	X					
540042000248	X					
540060000407	X					
540060000463	X					
540060001476	X					
540066001245	X					
540066000498	X					
540069000506	X					
540069000508	X					
540069000524	X					
540084000705	X					
540081001246	X					
540081001468	X					
540117000914	X					
540135000787	X					
540138001050	X					
540150001100	X					
540150001113	X					
540153001138	X					
540153001118	X					
540162000679	X					
540162001157	X					

plementing SIG interventions as a Cohort 1 or Cohort 2 SIG school.

3 school year:

540018000103

540090001254

APPENDIX C

**WEST VIRGINIA
1003(g) SCHOOL IMPROVEMENT GRANT
APPLICATION COVER**

County: _____

LEA Title I Director: _____ Email: _____

LEA Curriculum Director: _____ Email: _____

LEA Special Education Director: _____ Email: _____

Others may be added as needed:

Superintendent Signature: _____ **Date:** _____

Title I Director Signature: _____ **Date:** _____

Provide a summary of the LEA's proposed Title I school improvement:

LEA APPLICATION

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 priority school the LEA commits to serve and identify the intervention model that the LEA will use in each school.

Priority Schools:

School Name/	NCES ID#	Principal	Email Address	INTERVENTION			
				TURN-AROUND	RESTART	CLOSURE	TRANSFORMATION

B. DESCRIPTIVE INFORMATION: An LEA must include the following information in its application for a school improvement grant.

1. For 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.

[insert summary recommendations from diagnostic report]

2. The LEA assures that 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 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; [District Capacity Index]
 - Design and implement interventions consistent with the final requirements of the turnaround model, restart model, school closure, or transformation model; [narrative]
 - Recruit, screen, and select external providers, if applicable, to ensure their quality; [narrative]
 - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively; [narrative] and,
 - Sustain the reforms after the funding period ends. [narrative]

4. The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each priority school identified in the LEA’s application.

School Name: [complete the following table for each priority school being served]	
Steps to Implement Selected Intervention	Anticipated Completion Date

5. The LEA must describe how it will monitor 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 collecting and analyzing benchmark/interim data**; and
 - Measuring progress **and providing assistance** on the leading indicators as defined in the final requirements.

School Name: [complete the following table for each priority school being served]
Annual Summative Achievement Goal for Reading/Language Arts: Annual Growth Goal for Reading/Language Arts:
Annual Summative Achievement Goal for Mathematics: Annual Growth Goal for Mathematics:
Describe how the LEA will monitoring progress with benchmark/interim data analysis throughout the school year:
Describe how the LEA will provide support to increase the impact of improvement efforts throughout the school year based on benchmark/interim data analysis:

The LEA assures that each priority school that it commits to serve will utilize the High Quality Schools Data Collection System to do annual self-reflection/assessment and document evidence of improvement on the leading indicators as defined in the final requirements.

6. As appropriate, the LEA must consult with relevant stakeholders regarding the LEA’s application and implementation of school improvement models in its priority schools as applicable.

[narrative summary of the LEA consultation with relevant stakeholders regarding the LEA’s application and implementation of school improvement models in its priority schools - keep documentation of meetings (e.g., agendas, sign-in sheets) on file]

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

An LEA's proposed budget should cover a three-year period, (SY 14-15; SY 15-16; SY 16-17). The overall LEA budget must indicate how it will allocate school improvement funds, over a three-year period, among the priority schools it commits to serve. The budget should be of sufficient size and scope to implement the selected school intervention model in each priority school served. The budget should be planned at a minimum of \$50,000 per school for each year; the maximum amount should not exceed \$2,000,000 per school for each year. If the county elects, part of the year one funds may be spent during the pre-implementation phase, before the start of the 2014- 2015 school year.

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 priority school it commits to serve.
- Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA's priority schools.
- Support school improvement activities, at the school or LEA level, for each priority school identified in the LEA's application.

Complete the excel SIG(g) Budget Spreadsheet for both LEA and School-Level activities.

1. LEA Budget Spreadsheet: Complete the LEA budget spreadsheet to detail how the requested funds will be used at the LEA level to support the school improvement models in priority schools.
2. School-Level Budget Spreadsheet: The LEA will complete a separate budget spreadsheet for each eligible school receiving school improvement funds.
3. Total LEA Award Spreadsheet: This spreadsheet tab will automatically calculate from the entries made to the LEA and School-Level tabs.

D. ASSURANCES: An LEA must include the following assurances in its application for a school improvement grant. Please check the applicable boxes.

The LEA must assure that it will:

- Use its school improvement grant to implement fully and effectively an intervention in each priority school that the LEA commits to serve consistent with the final requirements.
- Establish annual goals (summative and growth) 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 priority school it serves with school improvement funds.
- If the LEA implements a restart model in a 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.
- 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.
- 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.
- Report to the SEA the school-level data required under Section III of the final requirements.

Total

5 Digit Program Function Code	3 Digit Object Code	Description	Preimplementation and Year 1	Year 2
INSTRUCTION K-12				
11111	111	Professional Personnel Salaries & Benefits	\$0.00	\$0.00
Enter the number of FTE professionals (1.0)				
11111	112	Professional Supplemental Salaries	\$0.00	\$0.00
11111	131	Professional Personnel <i>Substitutes Regular</i>	\$0.00	\$0.00
11111	151	Temporary Part-time Contracted Professional Staff	\$0.00	\$0.00
11111	211	Fixed Charges/Employee Benefits: Health/Accident/Life	\$0.00	\$0.00
11111	212	Fixed Charges/Employee Benefits: Dental	\$0.00	\$0.00
11111	213	Fixed Charges/Employee Benefits: Optical	\$0.00	\$0.00
11111	214	Fixed Charges/Employee Benefits: Income Protection	\$0.00	\$0.00
11111	221	Fixed Charges/Employee Benefits: Social Security Contributions	\$0.00	\$0.00
11111	232	Fixed Charges/Employee Benefits: Defined Benefit Plan	\$0.00	\$0.00
11111	261	Fixed Charges/Employee Benefits: Workers Compensation	\$0.00	\$0.00
11111	533	Data Communication Services	\$0.00	\$0.00
11111	551	Printing/Binding	\$0.00	\$0.00
11111	581	Staff Travel/In County	\$0.00	\$0.00
11111	582	Staff Travel/Out of County	\$0.00	\$0.00
11111	611	Supplies/General	\$0.00	\$0.00
11111	643	Supplemental Books	\$0.00	\$0.00
11111	645	Movies, Videos	\$0.00	\$0.00
11111	646	Newspapers	\$0.00	\$0.00
11111	647	Periodicals	\$0.00	\$0.00
11111	651	Technology Supplies (e.g., flash drives; parallel cables; ink cartridges)	\$0.00	\$0.00
11111	652	Technology Hardware and equipment	\$0.00	\$0.00
11111	653	Software	\$0.00	\$0.00
11111	656	Technology Hardware and equipment	\$0.00	\$0.00
11111	657	Software	\$0.00	\$0.00
11119	112	Professional Personnel Supplemental Salaries	\$0.00	\$0.00
11119	221	Fixed Charges/Employee Benefits: Social Security Contributions	\$0.00	\$0.00
11119	23x	Fixed Charges/Employee Benefits: Defined Benefit Plan	\$0.00	\$0.00
11119	261	Fixed Charges/Employee Benefits: Workers Compensation	\$0.00	\$0.00
Sub Total Instruction K-12			\$0.00	\$0.00
5 Digit Program Function Code	3 Digit Object Code	Description	Preimplementation and Year 1	Year 2
SUPPORT SERVICE - PARENT INVOLVEMENT				
12170	111	Professional Personnel <i>Regular Salaries & Benefits</i>	\$0.00	\$0.00
Enter the number of FTE professionals ()				
12170	112	Professional Personnel <i>Supplemental Salaries</i>	\$0.00	\$0.00
12170	114	Professional Personnel <i>Stipends</i>	\$0.00	\$0.00
12170	122	Service Personnel <i>Supplemental Salaries</i>	\$0.00	\$0.00
12170	131	Professional Personnel <i>Substitutes Regular</i>	\$0.00	\$0.00
12170	151	Temporary Part Time Professional Personnel Salaries	\$0.00	\$0.00
12170	161	Temporary Part Time Service Salaries	\$0.00	\$0.00
12170	211	Fixed Charges/Employee Benefits: Health/Accident/Life	\$0.00	\$0.00
12170	212	Fixed Charges/Employee Benefits: Dental	\$0.00	\$0.00

12170	213	Fixed Charges/Employee Benefits: Optical	\$0.00	\$0.00
12170	214	Fixed Charges/Employee Benefits: Income Protection	\$0.00	\$0.00
12170	221	Fixed Charges/Employee Benefits: Social Security Contributions	\$0.00	\$0.00
12170	233	Fixed Charges/Employee Benefits: Defined Benefit Plan	\$0.00	\$0.00
12170	261	Fixed Charges/Employee Benefits: Workers Compensation	\$0.00	\$0.00
12170	341	Other Professional Services including consultants	\$0.00	\$0.00
12170	441	Rentals Land & Building Space	\$0.00	\$0.00
12170	531	Postage	\$0.00	\$0.00
12170	551	Printing/Binding	\$0.00	\$0.00
12170	571	Contracted Food Service	\$0.00	\$0.00
12170	581	Staff Travel/In County	\$0.00	\$0.00
12170	582	Staff Travel/Out of County	\$0.00	\$0.00
12170	583	Staff Travel/Out of State	\$0.00	\$0.00
12170	611	Supplies/General	\$0.00	\$0.00
12170	643	Supplemental Books	\$0.00	\$0.00
12170	645	Movies, Filmstrips, and Videos	\$0.00	\$0.00
12170	647	Periodicals	\$0.00	\$0.00
12170	651	Technology Supplies	\$0.00	\$0.00
Sub Total Parent Involvement			\$0.00	\$0.00
5 Digit Program Function Code	3 Digit Object Code	Description	Preimplementation and Year 1	Year 2
PROFESSIONAL DEVELOPMENT				
11115	111	Professional Personnel <i>Regular Salaries & Benefits</i>	\$0.00	\$0.00
11115	112	Professional Personnel <i>Supplemental Salaries</i>	\$0.00	\$0.00
11115	114	Professional Personnel <i>Stipends</i>	\$0.00	\$0.00
11115	123	Service Personnel Supplemental at overtime rate	\$0.00	\$0.00
11115	136	Professional Personnel <i>Substitute Cost</i>	\$0.00	\$0.00
11115	211	Fixed Charges/Employee Benefits: Health/Accident/Life	\$0.00	\$0.00
11115	212	Fixed Charges/Employee Benefits: Dental	\$0.00	\$0.00
11115	213	Fixed Charges/Employee Benefits: Optical	\$0.00	\$0.00
11115	214	Fixed Charges/Employee Benefits: Income Protection	\$0.00	\$0.00
11115	221	Fixed Charges/Employee Benefits: Social Security Contributions	\$0.00	\$0.00
11115	233	Fixed Charges/Employee Benefits: Defined Benefit Plan	\$0.00	\$0.00
11115	261	Fixed Charges/Employee Benefits: Workers Compensation	\$0.00	\$0.00
12213	241	Tuition Reimbursement (Based On County Policy)	\$0.00	\$0.00
12213	321	Purchased Professional Educator Services	\$0.00	\$0.00
12213	331	Employee Training & Development Services	\$0.00	\$0.00
12213	341	Other Professional Services including consultants	\$0.00	\$0.00
12213	441	Rentals Land & Building Space	\$0.00	\$0.00
12213	531	Postage	\$0.00	\$0.00
12213	551	Printing/Binding	\$0.00	\$0.00
12213	581	Staff Travel/In County	\$0.00	\$0.00
12213	582	Staff Travel/Out of County	\$0.00	\$0.00
12213	583	Staff Travel/Out of State	\$0.00	\$0.00
12213	611	Supplies/General	\$0.00	\$0.00
12213	642	Books	\$0.00	\$0.00
12213	645	Movies, filmstrips, and videos	\$0.00	\$0.00
12213	647	Periodicals	\$0.00	\$0.00
12213	651	Technology Supplies	\$0.00	\$0.00
12213	656	Technology Hardware and equipment (Teachers)	\$0.00	\$0.00
12213	657	Software (Staff)	\$0.00	\$0.00
12213	735	Technology Software (\$5000 or more)	\$0.00	\$0.00
12213	819	Other Fees & Dues	\$0.00	\$0.00
Sub Total Professional Development			\$0.00	\$0.00
5 Digit Program Function Code	3 Digit Object Code	SUPPORT SERVICE - TRANSPORTATION	Preimplementation and Year 1	Year 2
12711	661	Fuel	\$0.00	\$0.00

Sub Total Support Service-Transportation			\$0.00	\$0.00
71711	911	Indirect Cost	\$0.00	\$0.00
TOTAL 1003(g) BUDGET			\$0.00	\$0.00
REMAINING FUNDS				

\$0.00	\$0.00
\$0.00	\$0.00
\$0.00	\$0.00

2013-2018

West Virginia Department of Education

**Procedures for ESEA
Consolidated Monitoring**

Effective September 1, 2013

**West Virginia Department of Education
Procedures for ESEA Consolidated Monitoring
Effective September 1, 2013**

Federal Requirements for Subrecipient Monitoring

ESEA - The West Virginia Department of Education (WVDE) disseminates funds to local education agencies (LEA) and eligible entities under the Elementary and Secondary Education Act (ESEA). It is the responsibility of the grant recipient (grantee) to meet the requirements of all Titles funded under this Act. Each state educational agency (SEA) that submits a consolidated plan under ESEA, must file the assurances contained in Section 9304 of the Elementary and Secondary Education Act. These assurances include a statement that the recipient will monitor its subrecipients and enforce the federal regulations.

General Education Provisions Act Sec. 440(a) -In the case of any applicable program in which federal funds are made available to local agencies in a State through or under the supervision of a State board or agency, the Secretary may require the State to submit a plan for monitoring compliance by local agencies with federal requirements under such programs and for enforcement by the state for such requirements. The Secretary requires such plan to provide (1) for periodic visits by State personnel of programs administered by local agencies to determine whether such programs are being conducted in accordance with such requirements; (2) for periodic audits of expenditures under such programs by auditors of the state or other auditors not under the control, direction, or supervision of the local educational agency; and (3) that the State investigate and resolve all complaints received by the State, or referred to the State by the Secretary relating to the administration of such programs.

EDGAR - Section 80.40 of EDGAR requires grantees to monitor their subgrantees to ensure compliance with applicable federal requirements and that performance goals are being achieved.

OMB Circular 110 - The A-102 Common Rule and OMB Circular A-110 (2 CFR part 215) require that non-Federal entities receiving Federal awards establish and maintain internal control designed to reasonably ensure compliance with Federal laws, regulations, and program compliance requirements. Monitoring is a process that assesses the quality of internal control performance over time. According to OMB Circular 110, monitoring has the following characteristics:

- a. Ongoing monitoring built-in through independent reconciliations, staff meeting feedback, supervisory review, and management review of reports.
- b. Periodic site visits performed at decentralized locations (including subrecipients) and checks performed to determine whether procedures are being followed as intended.
- c. Follow up on irregularities and deficiencies to determine the cause.
- d. Internal quality control reviews performed.
- e. Management meets with program monitors, auditors, and reviewers to evaluate the condition of the program and controls.

- f. Internal audit routinely tests for compliance with Federal requirements.
- g. If there is a governing Board, the Board reviews the results of all monitoring or audit reports and periodically assesses the adequacy of corrective action.

OMB Circular 133 Subpart D--Federal Agencies and Pass-Through Entities Responsibilities - OMB Circular A-133 requires auditors and grantees to obtain an understanding of the non-Federal entity's internal control over Federal programs sufficient to plan the audit to support a low assessed level of control risk for major programs, plan the testing of internal control over major programs to support a low assessed level of control risk for the assertions relevant to the compliance requirements for each major program, and, unless internal control is likely to be ineffective, perform testing of internal control as planned.

Pass-through entity responsibilities

A pass-through entity shall perform the following for the Federal awards it makes:

- a. Identify Federal awards made by informing each subrecipient of CFDA title and number, award name and number, award year, if the award is R&D, and name of Federal agency. When some of this information is not available, the pass-through entity shall provide the best information available to describe the Federal award.
- b. Advise subrecipients of requirements imposed on them by Federal laws, regulations, and the provisions of contracts or grant agreements as well as any supplemental requirements imposed by the pass-through entity.
- c. **Monitor the activities of subrecipients as necessary** to ensure that Federal awards are used for authorized purposes in compliance with laws, regulations, and the provisions of contracts or grant agreements and those performance goals are achieved.
- d. Ensure that subrecipients expending \$300,000 (*\$500,000 for fiscal years ending after December 31, 2003*) or more in Federal awards during the subrecipient's fiscal year have met the audit requirements of this part for that fiscal year.
- e. Issue a management decision on audit findings within six months after receipt of the subrecipient's audit report and ensure that the subrecipient takes appropriate and timely corrective action.
- f. Consider whether subrecipient audits necessitate adjustment of the pass-through entity's own records.
- g. Require each subrecipient to permit the pass-through entity and auditors to have access to the records and financial statements as necessary for the pass-through entity to comply with this part.

West Virginia Department of Education Responsibilities

The West Virginia Department of Education (WVDE) disseminates funds to local education agencies (LEA) and eligible entities under public law 107-110, *ESEA*. It is the responsibility of the grant recipient (grantee) to meet the requirements of all Titles funded under this Act. The purpose of ESEA Consolidated Monitoring is to ensure that all grantees are complying with federal requirements. This consolidated monitoring process provides an efficient monitoring approach and technical assistance to grantees.

The WVDE defines ESEA Consolidated monitoring as:

- Applicable to the ESEA programs that have monitoring requirements under Titles I, II, III, VI (RLIS) and the McKinney Vento Act. (Specific programs may have additional monitoring requirements).
- The process of collecting information from grantees to:
 - a. Review student academic progress,
 - b. Determine compliance with federal and applicable state regulations,
 - c. Promote collaborative planning and budgeting across ESEA programs and
 - d. Provide technical assistance for program improvement.
- The enforcement of legal obligations imposed by federal law.

The WVDE will conduct two separate monitoring procedures as defined in the following sections of this document:

- ESEA Fiscal and Program Compliance Monitoring
- ESEA Flexibility Outcome Monitoring

ESEA Consolidated Monitoring Procedures for Fiscal and Program Compliance

Phase 1 - Cyclical Monitoring Process:

Federal regulations require the WVDE to enforce its legal obligations and ensure compliance with all policies and procedures (EDGAR 34 CFR 76.770). The WVDE will utilize risk assessment criteria to determine the frequency by which LEAs will be identified for federal program fiscal and program compliance monitoring. At the beginning of the 2013-14 year, a risk assessment process will be conducted to establish a five year monitoring schedule. Based on LEA risk rankings, 11 LEAs will be monitored through a desk-audit process each year throughout the 2013-2018 monitoring cycle. In the event that multiple counties have the same risk rating, those counties will be listed in the schedule by alphabetical order.

Desk monitoring windows for 2013-14:	
Group 1 – Brooke, Gilmer, Lincoln, Preston & Tucker Submission deadline of February 3, 2014	Group 2 – Boone, Hancock, Harrison, Marshall, Mineral & Monroe Submission deadline of May 1, 2014

Desk monitoring windows for 2014-15:			
Group 1 – Kanawha, Lewis & Pocahontas Submission deadline of October 1, 2014	Group 2 – Randolph, Roane & Upshur Submission deadline of December 1, 2014	Group 3 – Berkeley, Hampshire & Putnam Submission deadline of February 2, 2015	Group 4 – Taylor & Tyler Submission deadline of April 1, 2015

Desk monitoring windows for 2015-16:			
Group 1 – Grant, Mingo & Nicholas Submission deadline of October 1, 2015	Group 2 – Calhoun, Ohio & Wayne Submission deadline of December 1, 2015	Group 3 – Jackson, Logan & Mason Submission deadline of February 1, 2016	Group 4 – Marion & Pleasants Submission deadline of April 1, 2016

Desk monitoring windows for 2016-17:			
Group 1 – Raleigh, Ritchie & Wetzel Submission deadline of October 3, 2016	Group 2 – Barbour, Cabell & Doddridge Submission deadline of December 1, 2016	Group 3 – Clay, Greenbrier & Hardy Submission deadline of February 1, 2017	Group 4 – Mercer & Pendleton Submission deadline of April 3, 2017

Desk monitoring windows for 2017-18:			
Group 1 – Braxton, Wirt Wyoming Submission deadline of October 2, 2017	Group 2 – Jefferson, Monongalia & Morgan Submission deadline of December 1, 2017	Group 3 – Fayette, McDowell & Webster Submission deadline of February 1, 2018	Group 4 – Summers & Wood Submission deadline of April 2, 2018

The 11 LEAs scheduled in each of the next five years will participate in a desk monitoring process. Each county will have a desk monitoring completed at least one time during the five-year monitoring cycle.

In preparation for the desk monitoring process, the LEA will electronically submit documentation for the compliance standards as outlined in the ESEA Consolidated Monitoring Indicators by the deadlines noted in the monitoring schedule to the WVDE High Quality Schools Data Collection System at <https://wvde.state.wv.us/apps/improvement/login.php> . In order to verify that the LEA is monitoring school level compliance, schools will also need to upload compliance documents to this same location.

The SEA staff will review LEA documentation submitted electronically and the WVDE team leader will work with the LEA program staff to schedule a teleconference interview to discuss and verify documentation. Interviews will be conducted with LEA staff during the teleconference for the purpose of verifying and gathering information. Appropriate LEA staff need to be available during the teleconference (e.g., finance officer, accountants/clerks, personnel director, federal program directors, attendance director, technology coordinator) in order to facilitate quick resolution of questions from all program perspectives.

A monitoring report will be provided to the LEA within 60 days of the documentation submittal deadline. The LEA will have 30 business days to respond to any monitoring findings in writing with corrective action plans.

Appeals Process: After reviewing the final report, if the district concludes that the evidence of a finding is inaccurate; the district may file a written appeal, **within 30 business days of receipt of the monitoring report**, requesting reconsideration of specific findings. Documentation must be submitted to the WVDE prior to, or in conjunction with the monitoring response. The documentation will be reviewed for determination of a final decision. If the documentation is acceptable and the SEA determines that the documentation fulfills the compliance standard, an amendment to the final report will be issued. The decision of the respective Federal Program Director is considered to be final and will be issued within 30 business days of receipt of the written appeal.

Phase 2 - On-Site Monitoring:

Based on annual risk assessment rankings, counties with a risk rating of 13 or higher may receive an on-site monitoring visit. A maximum of five on-site monitoring visits will be conducted each year. The schedule of annual on-site monitoring visits will always be determined based on risk assessment and selected counties will be notified by October 1, 2013 for 2013-14 visits and by September 1 of each year thereafter.

It is important to note that monitoring for specific program issues may be conducted at any time at the discretion of the West Virginia Department of Education in response to a written complaint/concern received by the WVDE, Office of Federal Programs.

The WVDE Office of Federal Programs will consult with the Federal Program Directors in each LEA receiving an on-site monitoring to schedule the visit at a mutually convenient time. The on-site monitoring visit is intended to focus on LEA compliance and assure that the LEA is monitoring school compliance. School visits will not be conducted as part of the on-site monitoring visit unless it is deemed necessary by the WVDE monitoring team leader.

Preparation for the On-Site Visit: The WVDE team leader, in collaboration with the LEA's designated lead, will establish a proposed schedule. The WVDE monitoring team leader will confirm the schedule for the on-site monitoring visit at least one month prior to the on-site visit.

Activities during the LEA On-Site Monitoring: Documentation to verify compliance with ESEA standards will have been reviewed through the desk monitoring process prior to the on-site visit. The on-site visit will focus on clarification of compliance concerns and technical assistance for corrective action.

- Documentation for the last five year or for each year since the last ESEA Consolidated Monitoring (if less than five years) must be organized for immediate access to expedite the monitoring process should it be requested through the technical assistance process. Electronic documentation is sufficient.
- Documentation for previous monitoring indicators that have been waived through ESEA Flexibility will not be reviewed (e.g. public school choice, supplemental education services). However, in keeping with standard record keeping procedures, LEAs must keep federal program documentation for five years. Electronic documentation is sufficient.
- Appropriate LEA staff must be available during the on-site visit (e.g., finance officer, accountants/clerks, personnel director, federal program directors, attendance director, technology coordinator) in order to promote effective collaboration for correction action.
- Interviews will be conducted with LEA staff for the purpose of verifying and gathering information. Federally funded coaches and/or technology integration specialists (TIS) are asked to participate in the interviews.
- School site visits may be conducted as part of the Title I and Title III monitoring process if compliance concerns warrant such a visit. This will be determined by

the WVDE program staff and communicated through the WVDE team leader. The WVDE team leader will indicate which school level staff members are requested for participation in the school level interview.

- The on-site monitoring visit process is intended to result in the development of a one-year workplan which prioritizes the correction of non-compliances and outlines a follow-up schedule to assure that needed technical assistance is readily available throughout the year.

On-site Monitoring Report: The WVDE team leader will take the workplan draft that is developed during the on-site monitoring visit and coordinate the preparation of an addendum to the LEA's desk monitoring report. The addendum will identify priority areas for corrective action along with specific technical support that will be provided by the WVDE.

The report will be issued electronically to the LEA by the West Virginia Department of Education, within thirty (30) business days of the on-site monitoring visit. The LEA's WVDE liaison will follow-up with the LEA program directors on the scheduled timeframes articulated in the addendum.

Monitoring Report Response: A written acknowledgement of the on-site monitoring addendum shall be provided by the LEA program director within thirty (30) business days of receipt. The response must be approved and signed by the LEA's superintendent.

ESEA Flexibility Outcome Monitoring Procedures

WVDE is committed to supporting local education agencies (LEAs) as they implement school improvement efforts under ESEA flexibility. WVDE will utilize an adapted monitoring process consistent with that established by the U.S. Department of Education. This process is predicated upon (1) identifying LEA needs for assistance and support and (2) addressing the WVDE's responsibilities for continued fiscal and programmatic oversight.

The outcomes based monitoring protocols have been developed around the following indicators:

- Identification of school accountability designations based on the West Virginia Accountability Index, including making these lists public
- Implementation of Turnaround Principles in Priority Schools, specific to implement status in the 2013-2014 school year
- Implementation of Interventions in Focus Schools
- Providing Incentives and Supports to Other Title I Schools
- Building SEA, LEA, and School Capacity to Improve Student Learning

All LEAs with designated Priority, Support and/or Focus schools will participate in the ESEA Flexibility Outcome Monitoring process annually. The monitoring process is divided into three phases that will occur over the course of each school year in the monitoring cycle. The process is designed to be outcomes based and will vary depending upon the degree of LEA need. The phases for the monitoring process are defined below:

Phase 1: Application and Strategic Plan Alignment (July 1 – December 31)

- This phase will be conducted through desk monitoring and technical assistance calls and/or visits.
- The LEA's assigned WVDE liaison will review and provide feedback for the following LEA documents to ensure alignment to the needs of Priority, Support and Focus Schools and to verify that ESEA funds are appropriately allocated:
 - ESEA LEA Consolidated Application
 - LEA Strategic Plan
 - Priority, Support and Focus School Diagnostic Reports and Strategic Plans
 - Memoranda of Understanding (MOUs) for Priority and Focus Schools
 - Highly Qualified Report
- This phase is designed to ensure that the LEA has outlined the essential elements necessary to implement school improvement during the current school year.

Phase 2: Monitoring Conference Call (January 1 – March 31)

- This phase will be conducted via a conference call
- This phase will examine the LEA's early implementation of school improvement under ESEA flexibility and follow-up on any outstanding issues or concerns from Phase 1.

- The LEA's assigned WVDE liaison will act as the point of contact for the monitoring conference call; a director or assistant director from the Office of Federal Programs or the Office of School Improvement will facilitate the phone interview. The WVDE call participants will include staff from the Office of Federal Programs and the Office of School Improvement and may include, as appropriate, staff from other offices. The LEA call participants will include all ESEA program directors and invitations should be extended to the superintendent and other appropriate LEA staff.
- A Phase 2 conference call interview protocol will be provided to each LEA by October 1 of each year.
- A month prior to the monitoring calls, the LEA must assure that applicable documentation providing evidence of school improvement implementation is uploaded to the WVDE High Quality Schools Data Collection System at <https://wvde.state.wv.us/apps/improvement/login.php> . Evidence may include but not be limited to: diagnostic report responses, MOU's, agendas, memos, guidance documents, minutes and presentations from leadership team meetings. The WVDE staff will analyze the information submitted in order to determine specific areas of focus for the call.
- The monitoring team will conduct a single conference call, lasting approximately one and one-half hours, with the LEA. The LEA should ensure that staff who can respond to the questions in the draft protocol participate in the call. The LEA may also invite staff from various offices across the LEA who are involved in the implementation of the LEA's school improvement efforts.
- Within three weeks of the monitoring conference call, WVDE will provide a summary monitoring report following its review of information obtained during the monitoring call and any documentation provided by the LEA. This report will identify areas of progress and areas of concern to be addressed through technical assistance monitoring by the LEA's assigned ESEA liaison. The LEA will provide acknowledgement of receipt of the report by sending an e-mail to the WVDE.

Phase 3: Customized Monitoring/Technical Assistance (April 1 – June 30)

- This phase will be conducted via on-site technical assistance support provided by the WVDE liaison.
- Utilizing outcomes from the review conducted in Phases 1 & 2, along with information obtained through the LEA's most recent ESEA compliance monitoring, some LEA's will be identified for additional support and monitoring to address specific areas of need.
- LEA's identified for Phase 3 monitoring will work collaboratively with their WVDE liaison to address concerns and will provide an end of the year monitoring response indicating progress in addressing the identified areas of need by June 30.

Appeals Process

If after reviewing the final report, the district concludes that the evidence provided in the report is inaccurate, the district may file a written appeal, within 30 business days of receipt of the monitoring report, requesting reconsideration of specific findings.

Documentation must be submitted to the WVDE prior to, or in conjunction with the monitoring response. The documentation will be reviewed for determination of a final decision. If the documentation is acceptable and the SEA determines that the documentation fulfills the compliance standard, an amendment to the final report will be issued. The decision of the respective Federal Program Director is considered to be final and will be issued within 30 business days of receipt of the written appeal.



Superintendents' Update November 22, 2013

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SECTION 1: THIS SECTION PROVIDES ITEMS THAT ARE INFORMATIONAL FOR SUPERINTENDENTS OR REQUIRE COUNTY ACTION/RESPONSE

How to Access WV Student Growth Data on WOW

Starting November 14, WVDE will be releasing two additional enhancements available to everyone through the WVEIS on the Web site.

1. The 2013 Growth Application, which allows you to identify students who are exhibiting high, typical, and low growth, as well as students who are catching up/keeping up, and
2. Access to the student level growth reports for LEAs, principals, counselors, and teachers.

Please see the attached [electronic document](#) for further details.

Nominations for U.S. Presidential Scholars – DEADLINE – November 26

In August, counties were requested to nominate seniors (one male and one female) for the U.S. Presidential Scholars program on or before October 15, 2013. To date, Dr. Phares has received no nominations. Therefore, the nomination deadline has been extended to **Tuesday, November 26**, as Dr. Phares must submit his nominations to the national commission on November 29. The mission of the program is to recognize and honor our nation's outstanding high school seniors and thereby to encourage high attainment among all students. To learn more about the U.S. Presidential Scholars Program and the Commission on Presidential Scholars please visit this website at: www.ed.gov/psp.

For the 2014 and 50th anniversary program year, state superintendents have been asked to again nominate up to six students, three male and three female. Schools/counties are encouraged to nominate students who, while demonstrating outstanding scholarship, might not otherwise be nominated through the current SAT/ACT or arts recognition processes. All high school seniors graduating between January and June of 2014 who are U.S. citizens or legal permanent residents, who attend public, parochial or independent schools, as well as those who are home-schooled, are eligible.

As in the past, the 2014 U.S. Presidential Scholars will be selected by the Commission on Presidential Scholars and will receive the Presidential Scholars Medallion and an expense paid trip to Washington, D.C. in June.

Your nomination(s) should include responses to:

1. What about the student makes him or her stand out as having outstanding scholarship?
2. What special challenges or hurdles has the student overcome while achieving high academic success?

To nominate seniors (one male and one female) from your county, please send the following information electronically to Betty Jo Jordan (bjjordan@access.k12.wv.us) by close of business on Tuesday, November 26:

- Student's Name
- Home mailing address
- High school name
- High school mailing address
- High School CEEB code
- Letter of nomination from county superintendent
- Letter of nomination from high school principal
- Listing of evidence of student's outstanding scholarship/academic achievements and narrative regarding challenges/hurdles overcome
- Examples of student's writing (no more than 5 pages)
- Narrative (no more than three pages) describing the information about the nominee regarding:
 - Involvement and Service (in school and community)
 - Leadership and Character
 - Student's promise of future success based on information in nomination

Please submit all information electronically to Betty Jordan at bjjordan@access.k12.wv.us.

Central Office Staff Requirement to Substitute

We have received questions regarding the new state requirement for central office staff with teaching certification to substitute for three days each school year. Specifically, how is this requirement to be implemented for staff either fully or partially supported by ESEA funding?

There are two considerations when implementing this new state requirement for any ESEA funded central office staff member:

1. It is an allowable expense for ESEA funded staff to use ESEA funded employment days to comply with this new state requirement. Reference: OMB Circular A-87 Appendix A to Part 225 – General Principles for Determining Allowable Costs, Section C. Basic Guidelines, 1. *Factors affecting allowability of costs:*
 - c. Be authorized or not prohibited under State or local laws or regulations and
 - e. Be consistent with policies, regulations, and procedures that apply uniformly to both Federal awards and other activities of the governmental unit.
2. It is preferred (**but not required**) that the ESEA expense of central office staff time spent substitute teaching actually benefit the ESEA program from which the central office staff is being paid. Examples are as follows:
 - A county Title I Director could substitute for a Title I teacher or a classroom teacher in a Title I school for an absence when Title I would otherwise be paying for a substitute teacher (PD or collaboration).
 - A county Title II or VI (RLIS) Director could substitute for a classroom teacher that is attending a PD session sponsored by their program.
 - A county Title III Director could substitute for an ESL teacher.

If you have any questions, please contact Melanie Purkey at mpurkey@access.k12.wv.us.

West Virginia Department of Education intends to apply for US Department of Education School Improvement Grant (SIG) funding

- The requirements of the SIG(g) funding remain the same; schools that receive funding must implement one of the four SIG(g) school improvement models (turnaround, restart, closure or transformation). There is nothing in this application that will require a change in the rules or policies of our ESEA programs at the WVDE.
- WV's FY13 SIG(g) allocation is \$3,357,715. This allocation is intended to fund three-year projects with funding to be made available to schools from May 2014-September 30, 2017. This calculates into approximately \$1,000,000 per year divided among 3-5 schools.
- LEAs may apply for funding through a competitive process similar to the application process used in past SIG(g) opportunities. The application timeline will be January-February 2014 with selection in March 2014 and grants awarded in April 2014.
- Because we have been approved for ESEA Flexibility, we no longer generate tiered lists of low-performing schools. Therefore, WV is requesting the Priority School Waiver to utilize our priority school list to determine eligible schools. There are priority schools that will not be eligible to apply for funding (i.e. previously funded SIG(g) schools that are currently implementing activities with SIG(g) funding in the 2013-14 school year).

Please send any comments to Melanie Purkey at mpurkey@access.k12.wv.us.

West Virginia Educator Evaluation System – Update

School-wide Growth data for the 2012-2013 school year becomes available to schools and districts on Monday, November 25, 2013. Please take appropriate steps to notify your schools of this data release. Educators and evaluators who took part in the online evaluation system last year should now work together to finalize educator evaluations from the 2012-2013 school year.

The Office of Information Systems has created a new monitoring tool which will enable district and school-level administrators to monitor the progress made by educators within the online Educator Evaluation System. The new monitoring tool, available for use on November 25, is designed to provide easy access to aggregate numbers and percentages regarding educator completion of specific evaluation components. For example, through this new tool, district administrators are able to quickly and easily view exactly what percentage of educators at a given school within their district have successfully completed the Self-Reflection component or the Goal-setting component of the online evaluation system. School-level administrators are able to access the same aggregate information specific to their school only. In order to access this new monitoring tool please locate the **WVR link** on the Menu page of WVEIS WOW. Click the link to view the subfolders, if needed. Next, locate and expand the **WVR400 (Educator Evaluation and Quality) link** in order to view the subfolders. The monitoring tool is labeled as **EMP.EVALR (Educator Evaluation Reports)**.

The Educator Evaluation Helpdesk can be accessed by emailing Eval-Support@access.k12.wv.us or calling 1.866.983.4798.

For additional information, please contact Trent Danowski (tdanowski@access.k12.wv.us), Office of Professional Preparation.

Local Share – Talking Points

Attached for your reference are the [talking points](#) that Dr. Phares presented before a Finance Joint Committee of the Legislature this week regarding the local share issue.

Next Generation Assessment Update

The November issue of the Next Generation Assessment Update is now available on the West Virginia Smarter Balanced Assessment Pilot webpage (<http://wvde.state.wv.us/smarter-balanced/>) through the Newsletters link. The focus of the November issue is [What are the Smarter Balanced Assessment Claims?](#) Additionally, information is provided on Evidence-Centered Design that is being used in the development of the assessment.

Please contact Dr. Beth Cipoletti, Assistant Director, Office of Assessment and Accountability, at dcipolet@access.k12.wv.us or 304.558.2546 with questions.

Request from Jackee Long, WVSSPA, Regarding Technical Assistance

As you know, several instructional aides in West Virginia are enrolled currently in on-line courses offered by the WVDE to assist them in obtaining the necessary credentials for the Assistant Teacher certification. While all classroom and learning support is provided by the eLearning instructor, some participants may need some support with technology. If possible, please notify your aides who they should contact in case of they need tech support. Any assistance you can provide in this situation is greatly appreciated.

SECTION 2: THIS SECTION PROVIDES INFORMATION ON ITEMS THAT HAVE BEEN OR WILL SOON BE SENT TO VARIOUS COUNTY STAFF

Survey – Court Placement of Juveniles

The Advisory Committee on Out-of-Home placement of juveniles, advising the Supreme Court regarding issues of court placement of juveniles is asking Special Education Directors, Principals, Guidance Counselors and Attendance Directors to complete a short (10) ten question survey next week.

The purpose of the survey is to gauge the participation and invitation to multidisciplinary team meetings for public school personnel to better inform the court and DHHR of appropriate needs of juveniles entering and exiting juvenile services. Transition back into public school and the importance of multidisciplinary team meetings is of particular interest to this committee.

The link, <https://www.surveymonkey.com/s/EducationMDTparticipation>, will enable completion of the survey in less than five minutes.

SECTION 3: THIS SECTION CONTAINS INFORMATION ON UPCOMING EVENTS, GRANT OPPORTUNITIES, ETC. FOR COUNTIES AND/OR SCHOOLS

Please share with high school principals:

A message from the Ohio Valley Chapter of National Television Academy of Television Arts and Sciences

We would like to tell you about a very exciting opportunity for West Virginia high school students. Each year the Ohio Valley Chapter of the National Television Academy of Television Arts and Sciences (OVNATAS) hosts a high school video competition. No doubt students at your school have produced numerous videos as a part of your curriculum or as a part of extra-curricular activities. Our competition is an opportunity for them to be acknowledged for their hard work by the most recognizable name in television craftsmanship. Because not all West Virginia high schools are within our chapter's region we've created a link that will help you determine if you can enter our competition. Visit the national [website](#) and add your school's zip code to find out which NATAS chapter your students compete within.