



STATE OF HAWAII
DEPARTMENT OF EDUCATION
P.O. BOX 2360
HONOLULU, HAWAII 96804

OFFICE OF THE SUPERINTENDENT

November 17, 2011

Mr. Michael Yudin
Acting Assistant Secretary for
Elementary and Secondary Education
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Mr. Yudin:

The Hawaii State Department of Education is pleased to submit the grant application, titled, **"Hawaii Department of Education School Improvement Grant Application."** The grant proposal is developed according to the guidelines for Section 1003(g) of the Elementary and Secondary Education Act, CFDA Numbers 84.377A and 84.388A.

The application and documents were emailed to Mr. Carlas McCauley, Director of School Improvement Grant, on October 20, 2011 by Sharon Nakagawa, Administrator, Special Programs Management Section.

We look forward to hearing from you and working with you in implementing this grant.

If there are any questions, please contact Sharon Nakagawa at 808-203-5520 or by email at: sharon_nakagawa@notes.k12.hi.us.

Very truly yours,

A handwritten signature in black ink, appearing to read "K. Matayoshi".

Kathryn S. Matayoshi
Superintendent

KSM:at

Attachment

c: Office of Curriculum, Instruction and Student Support

Hawaii Department of Education
School Improvement Grant Application
Section 1003(g) of the Elementary and Secondary Education Act
CFDA Numbers: 84.377A; 84.388A

“There are some things we know and a host of unanswered questions, but this is the laboratory of the future.”
Michael Fullan, Leadership and Sustainability, 2005

The Hawaii Department of Education (HIDOE) is concerned that having even one low-achieving school means that some students are being left behind. Currently, of the 205 Title I schools (department and charter schools) in the HIDOE, 74 schools are in “restructuring,” 14 are “planning for restructuring” 11 are in “corrective action” and 29 schools in “school improvement year 1 or 2,” having failed to meet “adequate yearly progress” benchmarks for at least two consecutive years. Since the HIDOE Accountability Plan was implemented, 52 Title I schools have moved out of status and are now in good standing. The schools in status are working hard to improve, but there are still too many children being left behind.

It is urgent that the HIDOE take bold action now, build on the lessons learned, and provide schools with the right mix of capacity, opportunity, and incentives to realize dramatic improvements. After five years of working with low-performing schools, the HIDOE has learned that the comprehensive model for school turnaround is the most successful strategy to address the myriad of challenges low-performing schools face. Schools that have the leadership and instructional capacity to innovate and remove barriers to learning can and are succeeding. However, to sustain these improvements, there must be on-going support from Complex Area and State personnel that empowers schools to orchestrate substantive change within the school, and coordinated efforts to remove systemic and structural barriers to change. This School Improvement Grant (SIG) seeks to infuse substantial funding and resources into the persistently lowest-performing schools to accelerate the changes needed, and leverages resources at the Complex Area and State levels to remove the barriers to change. Ultimately, the SIG will enable the HIDOE to take aggressive and decisive action for change.

Background

Hawaii is in a unique position in approaching the many critical reforms advanced by the U.S. Department of Education (USDOE). Hawaii has the distinctive structure of its statewide educational system. The HIDOE is a single statewide system that operates as both the State Education Agency (SEA) and the only Local Education Agency (LEA). The HIDOE educates a population of 181,213 students in 286 schools (255 Department schools and 31 charter schools). The schools are divided into 42 “Complexes,” made up of a high school and its feeder schools. Complexes are grouped on a geographic basis into 15 Complex Areas that are similar to “mini districts,” each led by a regional Complex Area Superintendent (CAS). The charter schools are governed by their own local school boards, and the Charter School Panel is the authorizing body.

The HIDOE’s unique organizational structure as a single, comprehensive system is upheld in the Hawaii Revised Statutes 302A-1101 (Appendix A) which authorizes the Hawaii State Board of Education (BOE) to “formulate statewide educational policy, adopt student performance

standards and assessment models, monitor school success, and appoint the Superintendent of Education as the Chief Executive Officer of the public school system.” Thus, there is only one LEA that has “public authority legally constituted within” the State of Hawaii “for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools... (Elementary and Secondary Education Act of 1965, Section 14101).”

The BOE appoints the Superintendent of Education (Superintendent), who serves as both the Chief State School Officer and organizational head of the HIDOE, which is authorized as the “central support system responsible for the overall administration of statewide educational policy, interpretation, and development of standards for compliance with State and federal laws, and coordination and preparation of a system-wide budget for the public schools” (HRS 302A-1102) (Appendix B). Additionally, the Superintendent appoints and supervises the 15 CASs who maintain direct supervisory connection to the State’s 42 regional K-12 school Complexes. The CASs oversee:

- (1) Personnel, fiscal and facilities support;
- (2) Monitoring of compliance with applicable State and federal laws; and
- (3) Curriculum development, student assessment, and staff development services.

The Superintendent also has direct line authority over all employees in both administrative units and schools. The Superintendent negotiates with the one collective bargaining unit that represents teachers, the Hawaii State Teachers Association (HSTA), and the one collective bargaining unit representing educational officers, including school principals, the Hawaii Government Employees Association (HGEA).

Hawaii has spent nearly 20 years working to identify and support the lowest-achieving schools in the state. These efforts date back to the 1990s when additional “special needs” funds were made available. Then, recognizing the need to provide schools with greater control of their resources, beginning in school year 2006-2007, the HIDOE implemented a “weighted student formula” budgeting process through which funds are allocated to schools based on student needs rather than the traditional staffing formula. This resulted in 10 percent more funds going to high-poverty schools, all of which struggle to meet the student achievement goals. Still, funding alone has not proved sufficient to address the complex and multifaceted challenges facing the persistently lowest-achieving schools.

SY 2012-2013 will mark the eighth year in which schools in the HIDOE have been in restructuring. To date, restructuring in Hawaii has been a state takeover or conversion into a charter school. If the school chooses the first option of state takeover, then the HIDOE Framework for School Improvement provides support services through two options: a) the Array of Services in which schools facilitate their school turnaround process with the assistance of the CAS, or b) the Comprehensive Restructuring Model in which schools use a comprehensive approach addressing multiple systems within a school (e.g., assessment, organizational and decision making, leadership, etc.) with direct coaching from comprehensive professional services providers or the CAS.

Through the years, the HIDOE has engaged external contractors (e.g., Edison Schools, America’s Choice, Educational Testing Service, School Rise Hawaii, WestEd, the Success for

All Foundation, Focus on Results, and others) to supplement the capacity of HIDOE's State and Complex Area personnel, who did not have the expertise or skills to provide comprehensive support needed at more than 100 schools. Additionally, over the six years, the HIDOE has deployed its internal AYP (Adequate Yearly Progress) Response Teams, as well as professional services providers, to all Planning for Restructuring or Restructuring schools struggling to meet AYP, to conduct comprehensive needs assessments of each school's challenges.

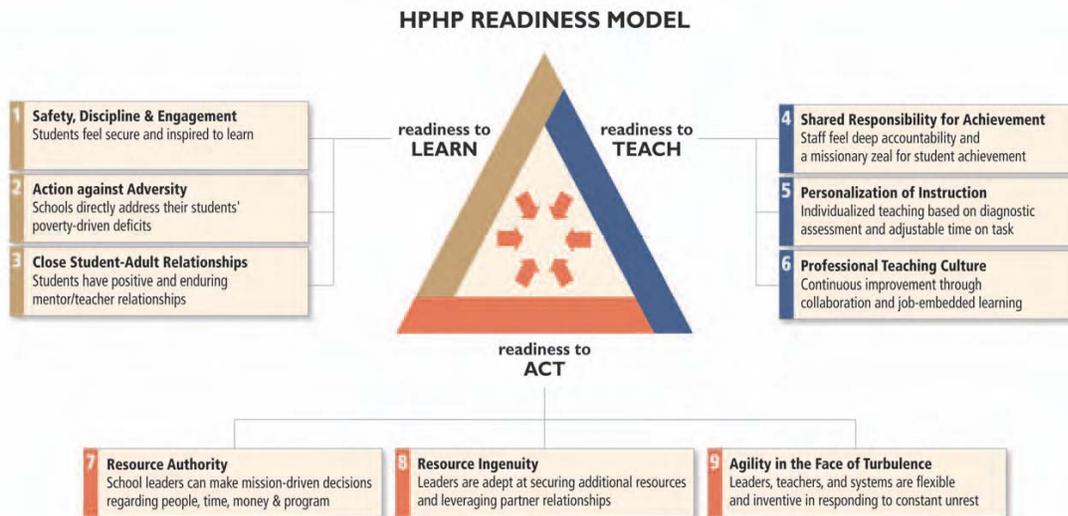
Analysis of needs assessments have revealed the following root causes for low student achievement in varying degrees and combinations at low-achieving schools. These root causes form the basis for selecting interventions.

- **Written visions and missions are not clearly communicated and shared.** As a result, school plans and budgets are not focused on developing the vision and mission of the school, and strategic actions and enabling activities are disconnected and unfocused.
- **There is a lack of understanding on how to conduct a comprehensive needs assessment.** As a result, root causes of low student achievement are not comprehensive and focused, and plans do not contain strategic actions or enabling activities that address the root causes of low student achievement to create substantive changes.
- **There is a lack of strong, visionary leadership with skill to orchestrate school-wide changes.** As a result, the decision-making system lacks clarity and is not shared; organizational structures do not maximize resources to facilitate change; there are pockets of excellence, but school-wide implementation of reform is not evident; conscious development of school leadership from within the school is not evident; and stakeholders are not motivated to be major players in reforming their school.
- **Professional development is not aligned with the needs of the schools and delivery of services does not ensure successful implementation of reform.** As a result, professional development is not customized to the needs of the learners; is disconnected with minimal scaffolding; does not involve job-embedded professional development; and is not inclusive of all curriculum areas involved. Further, participating personnel are not held accountable for implementation.
- **There is a lack of school-wide implementation of standards-based education.** As a result, there are pockets of successful implementation of standards based education within a school, but there is a lack of coherency in curriculum and instruction.
- **There is a lack of an Assessment System in a school.** Although multiple assessments are administered, curriculum and instruction are not data driven; and school plans are not data driven.
- **There is a lack of a System of Support for students, especially in Levels 1 and 2 of the HIDOE's Comprehensive Student Support System.** As a result, there is no school-wide implementation of differentiated instruction or sheltered English practices; and instruction is not student-centered.
- **There is a lack of substantive parent/community partnerships.** Parent/Community participation at school activities may be high, but involvement is not substantive in regards to empowering parents to be involved in decision-making and developing their skills to support their children's academic growth.

One of the most pervasive issues was the ability of struggling schools to recruit and retain highly-effective and highly-qualified teachers. Five (5) out of the eight (8) Tier I schools (Appendix C) are located in “geographically hard-to-fill” areas. Licensed teachers who transfer to these schools may be eligible for a \$3,000 incentive when funds are available. However, the schools continue to experience great difficulty in recruiting and retaining highly-qualified teachers. Six (6) are in Restructuring, one in Planning for Restructuring, and one in Corrective Action status.

After seven years of working with low-performing schools with multiple needs, the HDOE has found that these schools cannot be turned around by simply providing sporadic and unfocused technical assistance at the school level. Many of the structural and entrenched ways of educating our students must be overcome by focusing on systemic change and conditions change. What is needed is a strategy that empowers schools to orchestrate substantive change; builds and reorganizes State and Complex Area personnel to support schools; provides incentives, funding, and operational flexibility; and removes structural and contractual barriers.

To this end, the HDOE’s improvement efforts will be framed within the “High Performing, High Poverty Schools Readiness Model” (HPHP) published by the Mass Insight and Education Research Institute in its landmark 2007 report *The Turnaround Challenge*. The HDOE recognizes that to achieve the dramatic boosts in student achievement that Hawaii seeks, school turnaround must include dramatic, transformative change that addresses *students’ readiness to learn, educators’ readiness to teach, and schools’ readiness to act*.



The HPHP model will serve as the framework through which the HDOE will move from incremental, “light-touch” reform, to coordinated systems that change conditions, build capacity, and cluster schools for support. The strategies employed by the HDOE are based on systemic, research-based review of promising practices locally and nationally including the Harlem Children’s Zone, effective teacher education and professional development, and recent meta-analyses and research on school intervention models and other innovations across the U.S., such as the research on school interventions conducted by Mass Insight Education and Research

Institute, Learning Point Associates and Public Impact. These strategies will target root causes for low student achievement by *changing conditions* which affect schools' resources and support, *building capacity* for learning within each school, and providing *comprehensive supports* to address the non-academic needs of students in these high poverty communities.

The HDOE is integrating these efforts into the State Strategic Plan for school years 2011 – 2014 that is now being developed, and is committed to ensuring that SIG funds and other resources support new approaches for Hawaii to address the myriad of obstacles facing persistently low-achieving schools. To this end, the HDOE School Improvement Grant will engender:

1. **Comprehensive implementation** of proven strategies and models. Schools will no longer have the option of selecting preferred strategies and non-selecting other approaches. Rather, schools will be required to implement all aspects of selected intervention models. Further, the models will be selected based the true root causes of lack of improvement that emerge from an in-depth comprehensive needs assessment of the schools. Implementation support will include embedded services in the classroom to ensure that improvement efforts impacts student learning.
2. **Adequate funding and resources.** Rather than being laden with unfunded mandates, schools will be provided with the fiscal resources and political support needed to fully implement the changes needed. These resources will include business and community partnerships that support the mission.
3. **Coordinated systems of support** to struggling schools. State resources will be reprioritized to focus on support to struggling schools and students. Rather than the usual focus on compliance-driven regulation, individual program coordination and fragmented professional development, these resources will be mobilized to move into a broader context that the State should provide for school improvement. State resources will then focus on establishing clear and sound policies and guidelines that support school improvement and remove the barriers to change. Then, working in tandem, State resources will be used to support Complex Area personnel who will be providing on-going implementation support at targeted schools.
4. **Accountability.** Individually and collectively, personnel at all levels of the HDOE will be held accountable for positively impacting student outcomes. The HDOE will not make any excuses, nor accept any excuses. The HDOE will simply do “whatever it takes” to help students succeed.

Due to Hawaii's unique structure, the approach to this application has been tailored to account for the single SEA/LEA. Requirements are merged and it is noted where adjustments were necessary to appropriately respond. Through the SIG, the HDOE will implement a systems approach to address multifaceted problems by leveraging strengths at the State, Complex Area, and school levels in a tri-level support structure. This will help ensure closer day-to-day support at the lowest-achieving schools and relentless follow-up and follow-through on key initiatives. Thus, while there is just the SEA/LEA, HDOE will use the Complex Area structure to award SIG grants to the lowest-achieving schools. The State's efforts in this application were continually aligned with the purpose of the SIG: to provide funds to LEAs that demonstrate the greatest need and the strongest commitment to use the funds to turnaround their persistently lowest-achieving schools and significantly raise student achievement in those schools.

Part I. SEA Requirements

A. Eligible Schools.

In consonance with Hawaii's application for FY2010 School Improvement Grant (SIG) and the Race to the Top funding, the persistently lowest-achieving schools are defined as followed:

Tier I schools are identified as those schools, including secondary schools, whose academic performance and lack of progress in academic performance falls within the lowest 5% of schools that are eligible in the current school year to receive Title I funds and whose Elementary and Secondary Education Act (ESEA) status is "Corrective Action," "Planning for Restructuring" or "Restructuring;" and low graduation rates.

- Academic performance is determined by using the student proficiency rate for all students tested as determined by calculating the composite average proficiency in the "All Student" category on the Hawaii State Assessment (HSA) in English Language Arts (ELA) and mathematics for the most recent three (3) years. The HSA is the assessment used by the HDOE in meeting the ESEA Section 1111(b)(3) requirements. Schools meeting the above Tier I criteria are then rank ordered based on the composite average proficiency in the "All Student" category.
- School lack of progress is determined by the current year ESEA status.
- All schools, including high schools, are rank ordered using the current year ESEA status as an indicator of persistent lack of progress. Points (1-4) are assigned in the following manner:
 - Restructuring - 5 Points
 - Planning for Restructuring - 3 Points
 - Corrective Action - 1 Points
 - Schools with the highest number of points are the highest priority.
- All Title I high schools are rank ordered using the current graduation rates:
 - Below 60% - 5 Points
 - 60% to 69% - 4 Points
 - 70% to 79% - 3 Points
 - 80% to 89% - 2 Points
 - 90% to 100% - 1 Points

Tier II schools are those high schools that are eligible for, but do not receive, Title I, Part A funds.

- At this time there are no Tier II schools in the HDOE as all high schools in the HDOE eligible for Title I, Part A funds receive such funds.

Tier III schools are those Title I eligible schools in the ESEA status "In Improvement," "Corrective Action," "Planning for Restructuring" or "Restructuring" that do not meet the Tier I criteria used to identify the lowest performing 5% of Title I schools in ESEA status. These schools are prioritized in the same manner as schools are prioritized for Tier I.

If no Tier I school submits an application to become a SIG school or is unable to implement the components of the SIG model, Tier III schools will be selected. The next 5% of the lowest performing schools above the Tier I schools will be eligible to apply for the SIG grant. The same criteria for rank ordering will be utilized as the criteria for Tier I schools. However, the Tier III schools are not required to implement one of the four SIG models (Turnaround, Transformation, Restart or School Closure).

The full list of Tier I schools is provided in Appendix C. It should be noted that the HIDOE will not be exercising the option of identifying as a Tier I, II, or III school, a school that was made newly eligible to receive SIG funds by the Consolidated Appropriations Act, 2010.

B. Evaluation Criteria

As a single SEA/LEA, the HIDOE is the entity that will develop the evaluation criteria for the School Improvement Grant (SIG). As the SEA/LEA, the HIDOE is responsible for 1) analyzing the needs of Tier I schools to identify the appropriate intervention model, and, for Tier III schools, the appropriate strategic interventions, 2) assessing the capacity of the SEA/LEA to provide adequate resources to each school, and 3) developing a preliminary budget that includes sufficient funds to implement the selected interventions. To award and manage SIG funds, Complex Area Superintendents (CASs) or Public Charter Local School Boards (PCLSBs) will apply as “mini-districts” to receive funding for eligible schools within their complex areas. Applicants must demonstrate that they have completed a comprehensive needs assessment and identified the root causes for the lack of improvement; established the capacity to use SIG funds to provide resources and related support to their schools; and included a budget with sufficient funds to fully and effectively implement the selected intervention model.

Comprehensive Needs Assessment. The HIDOE will utilize various data points to assess the extent to which the CAS and school have analyzed the needs of the schools. This analysis will involve the following phases that are described in detail in Part D.

- Phase I – Readiness to Benefit Self-Assessment (Appendix R)
- Phase II – Quantitative, Qualitative and Historical External Review
- Phase III – Mapping of Schools Against the High Poverty High Performing Readiness Framework to Select Appropriate Interventions

The process involves both internal and external assessment of the schools, including on-site review, in order that the true root causes of the lack of improvement are identified. Results of these assessments will be used by the Review Committee in approving or disapproving applications. Specifically, the review criteria will include the extent to which the CAS or PCLSB and school:

- Reflected on their ability and willingness to implement change;
- Analyzed data from Phase I and II assessments;
- Identified the root causes for the lack of improvement;
- Included a complete summary of findings in the rationale of the amended school Academic and Financial Plan; and
- Selected enabling activities that directly impact the root causes.

Capacity. Through the application process, CASs or PCLSBs must provide evidence that the Complex Area or PCLSB has the capacity to fully implement the selected intervention model. To assess the capacity that can be provided by the CASs or PCLSBs, the HIDOE will assess CAS's or PCLSB's applications and interview the CAS or PCLSB to determine whether there is strong leadership from the CAS or PCLSB chairperson and his/her staff to carry out this work. CASs or PCLSBs will be evaluated against the following criteria:

- Leadership team is ready to focus on actions that will improve student achievement;
- Leadership team values the use of data for decision making;
- Leadership team values giving input during decision making; and
- Leadership team is receptive to the idea that change may be necessary and they desire to implement one of the four interventions.

Additionally, HIDOE will take into account Complex Area or PCLSB specific factors such as:

- The availability of a comprehensive system to analyze data, identify root causes, and develop focused plans to drive improvement;
- Whether the Complex Area or PCLSB has already developed concrete plans for school turnaround and initiated components of an intervention model (e.g., Appointed a new principal within two years of initiating the transformation);
- The involvement and impact of professional services providers, if applicable; and
- Whether the CAS or PCLSB has identified competent Complex Area support staff or PCLSB support personnel who will be dedicated to providing on-going support to SIG schools.

This criterion is set forth in the School Improvement Grant Assessment tool (Appendix Q). A minimum of 102 points must be received for application approval.

Sufficient Budget. The HIDOE will evaluate the CASs or PCLSBs budget to determine if it includes sufficient funds to implement the selected intervention fully and effectively through two processes. First, HIDOE will provide budget guidelines aligned to required and permissible activities for the school intervention models (Appendix P, Guide for Enabling Activities and Budget). Second, the HIDOE will evaluate the CASs or PCLSB action plan and timeline to ensure there are corresponding budget items (based on HIDOE's research for turnaround efforts) to effectively implement each identified aspect of the intervention. CASs or PCLSBs will delineate expenditures on the Title I Fiscal Requirements Form that will be included in the complete SIG Application Package (Appendix K). The SIG Project Team will review this form to ensure that funds are necessary, adequate, and allowable.

If the HIDOE determines that a Complex Area or PCLSB has more capacity than it claims, the HIDOE will conduct a meeting with the CASs or PCLSB to discuss capacity issues and corrective action(s).

Schools may receive a minimum of \$50,000 and a maximum of \$2,000,000. The level of funding will vary based on the size of the school and the needs that must be addressed.

Sample Budget Guidelines: Funds provided through SIG for Turnaround Model

- Literacy and Math Coaches
 - Job-embedded professional development, mentoring, coaching, modeling
 - \$200,000 per year per school
- Extended Learning Time
 - Adding 30% more student contact hours (from when the bus arrives until 4:00 p.m.)
 - \$35/hour = 324 more hours
 - Differential of \$11,000 per teacher per year
 - Note: Other options with minimal cost may be implemented rather than the traditional practice of adding additional hours to the school day.
- Early Childhood Education Program
 - Pre-School to Grade 2
 - \$100,000 per school
- Professional Services Provider
 - \$350,000 per year
- Early start to the new year (2 weeks)
 - Recalling teachers two weeks before the official start of the school year to acculturate new staff to the school, establish norms, and provide professional development
 - Estimated \$5,000 per teacher
- Community engagement/wraparound supports
 - \$50,000 per school per year

SIG schools may be reimbursed for pre-implementation expenditures that are directly related to the SIG model before the beginning of SY2012-13. The pre-implementation expenditures will be deducted from the school's SIG budget for the school year.

The SIG schools will submit their expenditures with documentation on the budget necessary for the expenditures. The SEA will review the expenditures and the documentation to determine whether the expenditure was necessary for the SIG schools to begin implementation of the SIG model before SY2012-13. The SEA will provide a written response within seven (7) days of submittal of request of approval or denial of reimbursement of pre-implementation expenditures.

It should be noted that each of the aforementioned strategies that need to be continued beyond the SIG funding period can be sustained using funds from weighted-student formula, Title IIA, Title I, Supplemental Educational Services, 21st Century Community Learning Centers, partnerships with external agencies and organizations, and various grants.

Commitment. The HDOE will assess the commitment of the CAS to fully and effectively implement the SIG requirements by:

- Analyzing the results of the Phase I Readiness to Benefit Self-Assessment. This data will show the extent to which the CAS or PCLSB, Complex Area, and school are able and willing to implement change.
- Analyzing the results of the AYP Response Team Report of Findings (Appendix J) or other external comprehensive assessments that will surface key strengths and challenges.

- Requiring that the CAS or PCLSB provide evidence of the personnel and other resources they will dedicate to SIG implementation within the SIG application (Appendix K).
- Conducting face-to-face interviews with the CAS or PCLSB after the applications are submitted. After an initial review of the applications, teams comprised of the Deputy Superintendent and SIG Project Team will interview the CASs or PCLSB chairpersons to assess their commitment to undertaking the interventions outlined in the SIG application. The Committee will utilize the SIG Assessment Tool (Appendix Q) to assess the CASs or PCLSBs and their leadership team’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.
 - Sustain the reforms after the funding period ends.

The SIT Program Team will provide a written report for each CAS or PCLSB and participating school with an analysis and overall assessment of their commitment.

C. Capacity

The HDOE is committed to comprehensive reform, as evidenced by the structural changes the State has implemented to support our lowest-achieving schools. To ensure sustainability of the school support system, the HDOE will use existing personnel and resources to jump-start the School Improvement Grant implementation. The chart below identifies members of the School Improvement Grant Project Management Team. All of these are existing positions that are filled with knowledgeable and capable personnel.

School Improvement Grant Project Management Team

Role	Description	Staff Assigned
SIG Program Manager (Member of Executive Staff)	Has ultimate authority over and is responsible for the project scope and deliverables.	Joyce Bellino Assistant Superintendent Office of Curriculum, Instruction and Student Support (OCISS)
School Improvement Grant Project Manager	Oversees the implementation of project activities, coordinates efforts among team members, ensures fidelity in implementation, and regularly reports to the SIG Program Manager and Deputy Superintendent regarding progress.	Sharon Nakagawa Educational Specialist OCISS, Special Programs Management Section
School Improvement Team	Implements activities necessary to execute the project.	OCISS staff (various), Office of Human Resources (OHR), and Geri Ann Hong (Educational Specialist III)

The Office of Human Resources has identified the lead person who, working through the Superintendent of Education, will coordinate the development of the performance-based evaluation system and applicable memoranda of agreement with employee unions.

OCISS has assigned one Educational Specialist to School Improvement. The position will serve Tier I schools, and coordinate and support SIG implementation. Once implementation begins, additional OCISS staff will provide technical assistance and support to schools.

OCISS is also assigning existing staff from the Curriculum and Instruction Branch and the Student Support Branch with the requisite content area expertise to serve on AYP Response Teams deployed through the Special Programs Management Section. The additional staff will also partner with Complex Area teams or Charter School Administrative Office team to provide follow-up technical assistance and professional development for the participating schools and Complex Areas. This effort will include expanding the training and coaching in standards-based education provided for Complex Area Teams through the HDOE Literacy for Learning initiative that began in school year 2009-2010. House Bill 2378, which was introduced during the 2010 Hawaii State Legislature, with the intent to support the creation of categories of school performance and cadres of school improvement facilitators who would provide technical assistance and professional development to schools. The bill was not passed by the State Legislature in 2011.

OCISS has reviewed current fiscal resources, and identified funding sources that will be leveraged to expand and enhance school improvement efforts.

Department Schools: Complex Areas have identified key personnel who will serve on the Complex Area Teams and provide front-line support to schools, including School Renewal Specialists and resource teachers who will be dedicated to implementing the SIG school plan. These individuals will be identified in the Capacity section of the SIG Application Package. To ensure that Complex Area staff is able to sustain the support services after the SIG funding period is over, Complex Area Teams and CASs will be required to participate as members of AYP Response Teams.

Public Charter Schools: For public charter SIG schools, the Charter School Administrative Office will identify key personnel who serve on the public charter school SIG Team and provide front-line support to the schools. To ensure that the public charter school SIG Team is able to sustain the support services after the SIG funding period is over, the public charter school SIG Team will be required to participate as members of the AYP Response Team.

D. Descriptive Information

Under the direction of the Deputy Superintendent and the SIG Program Manager, the SIG Project Manager and SIG Team will coordinate and facilitate the process according to the timeline below.

SIG Implementation Timeline

	Timeline	Enabling Activity	Outcome(s)	Lead
Preparation	January – May 2012	Provide testimony for and monitor legislation.	Testimony and monitoring reports posted on HIDEOE Legislative Log.	Project Manager
	Ongoing	Continue conversations with collective bargaining units regarding employee issues and development of performance-based system.	Memoranda of Agreement documented.	Superintendent, Office of Human Resources
Phase I	After notification by USDE of approval of SIG application	Overview of the School Improvement Grant session and distribution of SIG Application Package. <ul style="list-style-type: none"> • CASs • PCLSB Chairpersons • Department Schools • Charter Schools 	CASs or PCLSBs and schools will gain a full understanding of the SIG requirements.	Project Manager
	March 2012	CASs or PCLSBs will: <ul style="list-style-type: none"> • Discuss SIG with Tier I schools. 	CASs or PCLSBs will identify schools that will apply for the SIG grant.	CASs or PCLSBs
	7 working days after USDE Approval Notification	<ul style="list-style-type: none"> • Submit <i>Intent to Apply</i> form to Project Manager. 	<i>Intent to Apply Form</i> submitted to Project Manager.	CASs or PCLSBs
	14 working days after USDE Approval Notification	CASs/schools will: <ul style="list-style-type: none"> – Conduct the <i>Readiness to Benefit Self-Assessment</i>. – Submit the <i>Readiness to Benefit Self-Assessment Form</i>. 	<i>Readiness to Benefit Self-Assessment Form</i> submitted to Project Manager.	CASs or PCLSBs
	Within one week of receipt of the <i>Intent to Apply Form</i> and <i>Readiness to Benefit Form</i>	SEA/LEA SIG Team will review the <i>Intent to Apply Form</i> and <i>Readiness to Benefit Self-assessment Form</i> .	Three (3) top ranking applicants will be offered the opportunity to submit a SIG Grant Application.	SEA/LEA SIG Team

Phase II	March – May 2012	<p>Comprehensive Needs Assessment Options:</p> <ul style="list-style-type: none"> a) OCISS, Special Programs Management Section will deploy Adequate Yearly Progress (AYP) Teams b) External provider will conduct a comprehensive needs assessment of identified schools c) CAS will conduct comprehensive needs assessment of the school d) School will utilize a current WASC Accreditation Report which was completed within the last two years. 	<p>AYP Team, external provider or complex area team submits to CASs and Deputy Superintendent or PCLSB within 2 weeks of the visitation a Report of Findings. The school may submit a current (completed within the last two years) WASC accreditation report as their CNA.</p>	<p>OCISS or independent team selected by PCLSB, Complex Area CNA Team, Potential SIG school</p>
	Phase III	By mid May 2012	Deputy Superintendent and CASs or PCLSB will determine appropriate intervention model.	Appropriate models identified for each school.
Phase IV	May 15, 2012	CAS or PCLSB will complete and submit the SIG Application Package that will include amending the school's Strategic Plan and Academic & Financial Plans or the School Plan for charter schools to address the root causes based on the comprehensive needs assessment. Application must be aligned with SIG requirements, and the SIG Fiscal Requirements Form. The Academic and Financial Plans will include a timeline for implementation of the strategic actions and enabling activities for the full period of availability of SIG funds.	CAS or PCLSB submits SIG Application Package to Project Manager.	CASs or PCLSB
	May 16 and 17, 2012	The SEA SIG Team will review application and plans, provide feedback, and approve as appropriate.	Application and Plans are reviewed by SIG Team and SIG school(s) selected.	Project Manager and SIG Team

	May 18, 2012	CASs or PCLSB and schools will be notified of their acceptance as SIG schools.	Notification of selection will be processed.	Project Manager
	Upon Approval of Supt. Of Education	SIG funds will be allocated to appropriate cost centers for schools meeting the SIG criteria.	Allocation documents will be processed no later than May 18, 2012.	Project Manager
	Before SY2012-13	SIG schools may conduct pre-implementation activities and submit to SEA request for reimbursement and documentation justifying expenditures	Reimbursement of Pre-Implementation Expenditures	SIG School Administrator and SIG Project Manager
Phase V	First Day of School for SY 2012-2013	Begin implementation of the selected model.	Quarterly Reports on the progress of strategic actions and enabling activities will be submitted to the Project Manager.	CASs or PCLSB and Schools
	July 2012 – June 2015	School will conduct quarterly or monthly formative assessments on reading and mathematics on a state-approved assessment to demonstrate progress of interventions.	Formative assessment results will be submitted to Project Manager.	CASs or PCLSB, Professional Services Provider and Schools
	July 2012 – June 2015	SIG Team will monitor and provide technical assistance for the SIG schools.	Report of monitoring and technical assistance will be submitted to the Assistant Superintendent of OCISS or PCLSB.	Project Manager
	From the beginning of SY 2014-2015	SIG School Leadership teams will facilitate their school's comprehensive needs assessment and utilize the data to plan and initiate action.	Evaluation results and revised school plans that utilize the CNA results will be submitted to the Project Manager.	SIG School Leadership Team and SIG Principal
	Annually	HIDOE Superintendent will submit all necessary reports and evaluations to USDOE.	Reports and evaluations will be submitted to USDOE by the established deadlines.	HIDOE Superintendent and Project Manager
	Annually	External evaluator is contracted to review the progress of SIG	Evaluation will be submitted to Project	Project Manager and

		interventions and analyze the effective practices for school turnaround.	Manager and HIDOE Superintendent.	External Evaluator
	Annually during June - July	SIG Team will evaluate school progress relative to SIG indicators and external evaluators report to determine continuation or discontinuation of schools in the SIG project.	Recommendation on continuation to Superintendent by July of each school year.	Project Manager and SIG Team

HIDOE has the current capacity, and will run a “competitive” application process for SIG funds per the timeline and phases delineated above.

Preparation Phase

In preparation for SIG implementation, the SIG Project Team will work to expand the legal authority of the HIDOE to turnaround the lowest-achieving schools, and develop the tools needed to facilitate the application process.

Current Legal Authority: Under the current accountability framework, the Hawaii Board of Education (BOE) is empowered through HRS 302A-1101 to “formulate statewide educational policy, adopt student performance standards and assessment models, *monitor school success* (italics added), and appoint the Superintendent of Education as the Chief Executive Officer of the public school systems.” (Appendix A). The Superintendent of Education as the Chief Executive Officer of the public school system has “jurisdiction of the internal organization, operation and management of the public school system (HRS302A-1111) (Appendix D). HRS Section 302A-1004 requires that the HIDOE implement a comprehensive system of accountability, and germane to intervening in persistently lowest-achieving schools, HRS 302A-1004 (Appendix E), parts (a) 5, 7, and 8 call for the accountability system to:

- (a)(5) Invoke a full and balanced set of appropriate consequences for observed performance, including rewards and recognition for those schools that meet or exceed goals, assistance to those that fall short, and sanctions for those that, given adequate assistance and ample time, continue to fail to meet goals;
- (a)(7) Require that teachers and administrators engage in the continuous professional growth and development that ensure their currency with respect to disciplinary content, leadership skill, knowledge, or pedagogical skill, as appropriate to their position. This requirement may be established by the HIDOE in terms of credit hours earned or their equivalent in professional development activity certified by HIDOE as appropriate in focus and rigor; and
- (a)(8) Establish an explicit link between professional evaluation results and individual accountability through professional development of the knowledge, skill, and professional behavior necessary to the position, by requiring that results of the professional evaluation be used by the HIDOE to prescribe professional development focus and content, as appropriate.

Finally, the HIDOE through HRS302A-1114 has the power of appointment and removal of teachers, educational officers and other personnel as may be necessary for implementing the aforementioned system of accountability (Appendix F).

Expanded Legal Authority: Given the barriers to turning around the State's lowest-achieving schools, the HIDOE desires to strengthen its authority and efforts. Thus, HIDOE initiated several actions to expand and better define existing legal authority to directly intervene in persistently low-achieving schools. House Bill 172 H.D. 2 was introduced in the Hawaii 2009 Legislative Session. The bill enables the Superintendent of Education to reconstitute public and charter schools that have been in restructuring four or more years and have not advanced significantly toward improving academic performance. Reconstitution may include any of the following actions:

1. Replacing all or most staff, including teachers, principals and other support staff;
2. Entering into contracts with private entities to manage schools; and
3. Changing the membership of the School Community Council.

The bill was carried over to the 2010 Legislative Session. In the 2011 Legislative session, Act 148 Relating to Reconstituting Schools was passed. The Superintendent of Education was given the authority to reconstitute a public school; however, notwithstanding collective bargaining agreements, memorandums of agreements, or memorandum of understandings.

The **School Readiness Tool** will be used in Phase III to align identified schools with one of the four intervention models referenced in the Final Requirements for School Improvement Grants (See chart below.).

School Readiness Tool

Intervention Models	Intervention Actions	Ready to LEARN	Ready to TEACH	Ready to ACT	Considerations
TURN-AROUND	<ul style="list-style-type: none"> – Replace principal. – Use locally adopted “turnaround” competencies to review and select staff for school (rehire no more than 50% of existing staff). – Implement strategies to recruit, place and retain staff. – Select and implement an instructional model based on student needs. – Provide job embedded PD designed to build capacity and support staff. – Ensure continuous use of data to inform and differentiate instruction. – Provide increased learning time. – Social emotional and community oriented services and supports. – Adopt new governance structure. – Grant operating flexibility to school leader. 	Marginal/ Low	Marginal/ Low	Marginal/ Low	Pending negotiation of memoranda of agreement with collective bargaining units; pending legislation regarding reconstituting schools.
TRANS-FORMATION	<ul style="list-style-type: none"> – Replace principal. – Implement new evaluation system. – Developed with staff. – Uses student growth as a significant factor. – Identify and reward staff who are increasing student outcomes; support and then remove those who are not. – Implement strategies to recruit, place and retain staff. – Select and implement an instructional model based on student needs. – Provide job embedded professional development designed to build capacity and support staff. – Ensure continuous use of data to inform and differentiate instruction. – Provide increased learning time. – Provide ongoing mechanism for community and family engagement. – Partner to provide social emotional and community oriented services and supports. – Provide sufficient operating 	Marginal/ Low	Marginal/ Low	Marginal/ Low	Pending negotiation of memoranda of agreement with collective bargaining units; pending legislation regarding reconstituting schools.

	<p>flexibility to implement reform.</p> <ul style="list-style-type: none"> – Ensure ongoing technical assistance. 				
RESTART	<ul style="list-style-type: none"> – Restart model is one in which the CAS converts a school or closes and reopens under a charter school operator, a CMO, or an EMO that has been selected through a rigorous review process. – A restart model must enroll, within the grades it serves, any former student who wishes to attend the school. – A rigorous review process of the CMOs and EMOs could take such things into consideration as an applicant’s team, track record, instructional program, model’s theory of action, sustainability. – The State must review the process the CAS or PCLSB will use/has used to select the partner. 	Low	Low	Low	<p>Pending availability of CMOs and EMOs; pending the reopening of application process; 18-month planning period required for conversion charter schools; twenty openings available for conversion charter schools.</p> <p>The restart model would require a year of planning. The SIG requirements do not allow a year of planning. As a result, this model cannot be implemented for SY 2012-2013.</p>
SCHOOL CLOSURE	<p>School closure occurs when a CAS or Charter School Panel closes a school and enrolls the students that attended that school in other schools in the complex that are higher achieving.</p> <p>These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available.</p>	Low	Low	Low	<p>Pending implementation of process to close small schools; pending legislation regarding reconstituting schools.</p>

Further, during the current year, the HDOE will work collaboratively with HSTA and HGEA to discuss the issues, concerns and solutions that impact teachers and school administrators. It should be noted that until negotiated Memoranda of Agreement are developed or enabling legislation is enacted, CASs may not be able to select particular intervention models. For example, while the Turnaround model requires that no greater than 50% of the staff be rehired, contractual agreements do not allow these placement practices.

Phase I – Readiness to Benefit

The CAS or PCLSB, support staff, and schools will complete the Readiness to Benefit Self-Assessment (Appendix R) and determine if they are “Able and Willing,” “Able but Unwilling,”

“Unable but Willing,” or “Unable and Unwilling” to implement substantive change. The SIG Team will review the Intent to Apply and the Readiness to Benefit Self-Assessment to select three top applicants. The three top –ranking applicants will be offered the opportunity to submit SIG Grant Applications.

Phase II – Quantitative, Qualitative and Historical External Review

To generate a comprehensive needs assessment report, the Complex Area Superintendent or PCLSB may request an AYP Response Team or external or independent provider to conduct an in-depth assessment of all-aspects of the school or may deploy their own team to conduct a comprehensive needs assessment of the school. The school may also submit as their comprehensive needs assessment report a current (completed within the last two years) WASC Accreditation Report.

The purposes of the comprehensive needs assessment are to:

1. Provide consistent and high-level targeted assistance to ESEA Status Schools in the areas of data analysis, identification of scientifically-based interventions and budget analysis necessary to drive school improvement;
2. Provide an external perspective of the school’s level of functioning; and
3. Provide the CAS or PCLSB and the school leadership with critical elements and potential root causes to guide the revision of the multi-year plan and the development of the Academic and Financial Plan (Restructuring Plan) or School Plan.

Using the Tool for Assessing a School’s Level of Need for School Improvement (Appendix H), the team will review current academic performance, achievement gaps and AYP status; community demographics, student population; and adult and regional economic status. The team will also review documents such as the school’s Strategic Plan, Academic and Financial Plan, Quarterly Reports, reports from professional services providers, the January 2004 “Operational Review and Improvement Studies of Selected Public Schools in Hawaii” conducted by PricewaterhouseCooper LLP (See Appendix I for the Executive Summary), accreditation reports, High Schools That Work and Making Middle Grades Work technical assistance visit reports, and other records. The team will conduct in-person qualitative assessments to assess the commitment of the complex area or PCLSB to undertaking the interventions outlined in the SIG application. The team’s Report of Findings (Appendix J) will be shared with the Complex Area Superintendent and the Deputy Superintendent for use in Phase III.

Phase III – Selection of Interventions

The SIG Project Team will convene a Recommendation Committee to include the Deputy Superintendent and Complex Area Superintendents to identify the intervention model most appropriate for the schools. The Committee will utilize the School Readiness Tool and will take into consideration the Phase I Reviews of each school. In selecting the intervention, the Recommendation Committee will consider the following: number of Tier I and III schools; availability and quality of charter management organizations and educational management organizations; talent; and access and proximity to higher performing schools.

The CASs or PCLSBs who oversee the schools will then be invited to apply for SIG funds in alignment with the intervention model identified. State and Complex Area teams will assist the schools in utilizing the Report of Findings from the comprehensive needs assessment to amend their school Strategic and Academic and Financial Plans or school plan, and complete the SIG Application Package (Appendix K).

Through the SIG application process, CASs or PCLSBs will provide evidence of their ability to:

- Effectively implement the selected intervention models;
- Put in place resources to develop and plan for specific timelines and autonomies for dealing with the clustering of interventions, if appropriate, and the necessary autonomies for the turnaround work;
- Select and manage partner organizations to assist with strategic work in the schools;
- Recruit and retain strong school leaders who want to work with the lowest achieving schools;
- Commit to strategic recruitment, selection, support, and evaluation of staff; and
- Collaborate with HIDOE leadership and the Office of Human Resources who are working with the respective unions to establish key autonomies within the identified schools (e.g., Memorandum of Agreement regarding operational flexibilities and incentives), develop and implement a performance-based evaluation system for teachers and administrators, and expand the pipeline of effective teachers and leaders.

To assess the support and intervention that can be provided by the CASs or PCLSBs, the HIDOE is engaged in an analysis to determine whether there is strong leadership from the CAS or PCLSB and his/her staff to carry out this work. CASs or PCLSBs will be evaluated in their applications against the following criteria:

- Leadership team is ready to focus on actions that will improve student achievement;
- Leadership team values the use of data for decision making;
- Leadership team values giving input during decision making; and
- Leadership team is receptive to the idea that change may be necessary and they desire to implement one of the four interventions.

Additionally, HIDOE will take into account Complex Area or PCLSB specific factors such as:

- The availability of a comprehensive system to analyze data, identify root causes, and develop focused plans to drive improvement;
- Whether the Complex Area or PCLSB has already developed concrete plans for school turnaround and initiated components of an intervention model (e.g., Appointed a new principal within two years of initiating the transformation);
- The involvement and impact of professional services providers (e.g., Edison, America's Choice, ETS, and others); and
- Whether the CAS or PCLSB has identified competent Complex Area support staff who will be dedicated to providing on-going support to SIG schools.

Process for reviewing annual goals for student achievement

HIDOE will use the following Quarterly and Annual Review process for monitoring progress at all participating schools.

CASs or PCLSBs will be required to submit targets for the State Strategic Goals and the Student Outcome/Academic Progress data that meet or exceed “safe harbor” (10% improvement). CASs or PCLSBs will also be required to report baseline data on the SIG reporting and evaluation metrics on the Complex Area SIG Application. Targets for student achievement will include summative measures of student achievement, as well as “growth” measures that assess individual student progress.

- Tier I and Tier III schools will be required to submit the current Quarterly Report that is posted for public review on the School Documents Online website (<https://iportal.k12.hi.us/sdo>).
- In addition, CASs or PCLSBs and schools will be required to submit a detailed Quarterly Report designed for Tier I and Tier III restructuring schools (Appendix L). This will be used to formatively assess school progress on the key activities and timeline in each Complex Area application. If the school works with a professional services provider, the provider’s report will be appended to the Quarterly Report. The SIG Project Manager will convene a committee to review the Quarterly Reports to determine progress towards annual goals. The committee will include the Deputy Superintendent, Complex Area Superintendent, principals, teachers, and union representatives.
- CASs or PCLSBs will also be required to report on specific activities tied to the selected intervention as outlined in the Complex Area Application.

Under the guidance of the Deputy Superintendent, the SIG Team will be responsible for reviewing the amended AFPs or School Plan to compare the baseline data on the Student Outcome/Academic Progress against the targets identified by the CASs or PCLSBs in their initial applications. Schools that are meeting or exceeding their identified targets will receive continued funding. Schools that are not meeting their identified targets will be subject to review by the Deputy Superintendent. A corrective action plan will be developed. However, if it is determined that corrective action will not likely be successful, funding may be discontinued and other measures will be implemented. The Deputy Superintendent will ultimately determine whether the CAS or PCLSB is meeting goals and making progress on the leading indicators in section III of the Final Requirements.

Additionally, in SY 2012-2013, CASs or PCLSBs and schools will be required to update reporting on their intervention process to include data from the Data for School Improvement (DSI) system. This project establishes a data management system using formative assessments to inform teachers and schools of student progress toward attainment of the Hawaii Content and Performance Standards (HCPS) III.

Monitoring and Evaluation

The HIDEOE will conduct compliance monitoring and technical assistance, by implementing on-site and desk review monitoring of schools.

- The SIG Team will conduct a minimum of one on-site visitation to each participating SIG school and will review the schools' quarterly reports to their School Community Councils or PCLSB, which documents the schools' progress in achieving their strategic actions and enabling activities in their Academic and Financial Plans or School Plan. The team will conduct classroom visitations and interviews to assess the level of implementation. The team will be assessing the extent to which identified enabling activities are implemented with fidelity, determining barriers to implementation, and monitoring the effectiveness and level of support being provided to schools by the complex areas. The team will then provide technical assistance and advice on implementation, and facilitate the removal of barriers to implementation.

In addition to the classroom visitations and interviews, the team will follow the guidelines in the Hawaii SIG Handbook for compliance with SIG requirements. The SIG Handbook documents assessment, professional development, parent/community outreach and involvement, and other compliance requirements for the SIG components. The Hawaii SIG Handbook includes monitoring indicators for SIG grants.

- The OCISS, Special Programs Management Section will conduct annual fiscal monitoring and technical assistance visits to participating schools to assess the quality of implementation and compliance with federal guidelines. By reviewing source documents, conducting classroom visitations, and interviewing key personnel, the team will assess the extent to which the school is complying with SIG requirements. The team will also provide on-site technical assistance to resolve fiscal, or other challenges.
- The State Leadership Team, composed of the Superintendent and her staff, the Deputy Superintendent, and CASs or PCLSBs, will conduct random, on-site visitations to gather information, observe classrooms, and validate the findings of the SIG Team. By conducting on-site visitations and classroom walk-through's, the entire State Leadership Team will share a common experience from which they can identify and discuss successful practices, as well as barriers. In so doing, the Leadership Team can determine strategies that can be replicated in other complex areas.

In addition, an external evaluator will be contracted to conduct an independent evaluation of the HIDEOE SIG initiative. The evaluator selected must have a record of successfully implementing evaluation plans that not only assess the extent to which desired activities have been implemented, but also monitor progress along the way and ensure successful management of evaluation activities. The evaluator will be contracted to develop and implement a quasi-experimental study (e.g., carefully matched comparison groups design or an interrupted time series design), with the goal of identifying causal conclusions. The evaluator will conduct on-site visits, interviews and desk reviews to collect and analyze quantitative and qualitative data. The evaluator will compile annual reports to ascertain linkages between SIG inputs and student

outcomes. The evaluator will be tasked with identifying the intervention methods and teacher actions that lead to student success.

The HDOE will renew grants based on the progress attained as outlined in the CAS' or PCLSB's application requesting SIG funds based on the following indicators: 1) progress against the timeline delineating the steps the CAS or PCLSB will take to implement the selected intervention in Tier I schools; 2) progress against the annual goals on the Hawaii State Assessment (HSA) in both reading and mathematics; and 3) progress on the leading indicators in Section II of the final requirements.

If a SIG school is not meeting its annual goals, the Deputy Superintendent and Project Team will submit a recommendation on the continuation, adjustment, or discontinuation of the SIG grant to the Superintendent of Education. The decision of the Superintendent will be final.

Prioritization of School Improvement Grants

All of the components described herein will be reviewed during the selection process. The Selection Committee, under the guidance of the Deputy Superintendent and the Project Manager, will review all applications using the School Improvement Grant Assessment Tool (Appendix P). This tool includes rubrics for each component.

The HDOE is committed to serving all Tier I schools that the State and Complex Areas have the capacity to serve. It is possible that some CASs or PCLSBs will not have the capacity to serve their Tier I schools. Should this be the case, the CAS or PCLSB may submit a Claim of Lack of Capacity (Appendix S) by providing a detailed explanation as to why the identified Tier I school(s) cannot be served due to the lack of capacity. The Deputy Superintendent and SIG Team will review these submittals, request additional clarification if necessary, evaluate the claim, and provide additional support as necessary.

SEA takeover of any Tier I Restructuring schools

As described in the HDOE Framework for School Improvement, restructuring in Hawaii is a state takeover or conversion into a charter school. If the school chooses the first option of state takeover, then the Framework for School Improvement provides support services through two options: 1) the Array of Services in which schools will facilitate their school turnaround process with the assistance of the Complex Area Superintendents or 2) the Comprehensive Restructuring Model in which schools will use a comprehensive approach addressing multiple systems within a school (e.g., assessment, organizational and decision making, leadership, etc.) with the direct coaching of comprehensive professional services providers or Complex Area Superintendent. The CAS as provider can direct actions in the schools in his/her Complex Area. Specifically, as the agent for the HDOE, the CAS:

- Determines which restructuring option will be used;
- Directs and manages the school's restructuring efforts;
- Makes leadership decisions for the school, including personnel decisions;
- Manages all curriculum and instruction for the school;
- Exercises budgetary authority over all school funds and resources, except funds designated to the restructuring provider; and

- Determines for the Tier I schools which reform model will be implemented based on the needs assessment data.

For charter schools, the PCLSBs serve as the Restructuring Providers and initiate corrective actions to turnaround their schools.

E. Assurances

By submitting this application, the HIDOE assures that it will do the following:

Comply with the final requirements and ensure that as an SEA/LEA HIDOE carries out its responsibilities.

Award the LEA (through the Complex Area system structure) a School Improvement Grant in an amount that is of sufficient size and scope to implement the selected intervention in each Tier I and Tier II school that the SEA approves the LEA to serve.

- Apportion its school improvement funds in order to make grants to LEAs, as applicable, that are renewable for the length of the period of availability, taking into account any waivers that may have been requested and received by the SEA or an individual LEA to extend the period of availability.
- Carry over 25 percent of its FY 2009 school improvement funds, combine those funds with FY 2010 school improvement funds, and award those funds to eligible LEAs consistent with the final requirements, and if not every Tier I school in the State receives FY 2009 school improvement funds to implement a school improvement model in the 2010-2011 school year (unless the SEA does not have sufficient school improvement funds to serve every Tier I school in the State).
- Ensure, if the HIDOE is participating in the Department's differentiated accountability pilot, that HIDOE will use school improvement funds consistent with the final requirements.
- Monitor HIDOE's implementation of the interventions supported with school improvement funds.
- To the extent a Tier I or Tier II school implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.
- Post on its Website, 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; amount of the grant; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Tier I and Tier II school.
- Report the specific school-level data required in Section III of the final requirements.

SEA Reservation

The HDOE will utilize the 5% SEA reservation to enhance the capacity of State and Complex Areas to support struggling schools and sustain continuous improvement. Specifically, the School Improvement Section and the Special Programs Management Section, both within the Office of Curriculum, Instruction and Student Support, will provide on-going technical assistance and high-quality professional development for State, Complex Area and school teams to enhance their capacity to sustain continuous improvement in the schools. Together, they will:

- Conduct training in the comprehensive needs analysis process in order that teams can fully participate in Adequate Yearly Response (AYP) Team reviews. To hone their skills, teams will participate in reviews within their Complex Areas, as well as at schools from other Complex Areas. Associated costs include inter-island travel (airfare, ground transportation and per diem), instructional resources, and workshop supplies. It should be noted that CASs will be required to participate as members of AYP Response Teams deployed to their schools.
- Conduct on-site monitoring and technical assistance visits at all participating schools. Associated costs include inter-island travel (airfare, ground transportation, and per diem).
- Provide training in turnaround leadership. Associated costs include consultant contracts and instructional materials.

In addition, an external evaluator will be contracted to conduct on-site visits, interviews and desk reviews to collect and analyze quantitative and qualitative data to determine progress or lack thereof. The evaluator will compile annual reports to ascertain linkages between SIG inputs and student outcomes, and will be tasked with identifying the intervention methods and teacher actions that lead to student success.

It is envisioned that the SIG will be the impetus for the Office of Curriculum, Instruction and Student Support to fully implement cross-functional teams at the State, Complex Area, and schools capable of facilitating and sustaining continuous improvement.

F. Consultation with stakeholders

In preparing this application, the HDOE consulted with the following organizations:

- January 20, 2010 – Presentation to State Leadership Team (comprised of the Superintendent, Deputy Superintendent, Assistant Superintendents, Complex Area Superintendents, and Superintendent’s Office Directors) to provide information regarding the SIG, and to solicit their comments, suggestions, and ideas.
- January 21 and 25, 2010 – Phone conferences with Complex Area Superintendent Mary Correa, who has one Tier I school in her complex area.
- January 26, 2010 – Meeting with Complex Area Superintendent Lisa DeLong, who has three Tier I schools in her complex area, and Acting Deputy Superintendent Ronn Nozoe, who has one Tier I school in his (former) complex area.
- February 2, 2010 – Presentation and discussion with the Title I Committee of Practitioners to provide information regarding the SIG, and to solicit their comments, suggestions, and ideas (Appendix M).

G. WAIVERS: The final requirements invite an SEA to request waivers of the requirements set forth below. An SEA must list in its application those requirements for which it is seeking a waiver.

Hawaii requests a waiver of the requirements it has listed below. These waivers would allow any Local Educational Agency (LEA) in the State that receives a School Improvement Grant to use those funds in accordance with the final requirements for School Improvement Grants and the LEA's application for a grant.

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

- ✓ Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY009 school improvement funds for the SEA and all of its LEAs to September 30, 2013. **Waiver was granted.**
- ✓ Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Tier I and Tier II Title I participating schools that will implement a turnaround or restart model to "start over" in the school improvement timeline.
- ✓ Waive the application requirements for the School Improvement Grant (SIG) program, as set forth in section 1003(g)(4) of the ESEA and section ILB.11 of the final requirements for the SIG program (74 FR 65618 (Dec. 10, 2009)) and 75 FR 3375 (Jan. 21, 2010), Section 11.B of the SIG final requirements states that "to receive a School Improvement Grant, (a State Educational Agency (SEA)) must submit an application to the Department at such time, and containing such information, as the Secretary shall reasonably require." HIDOE had requested a waiver of this requirement for its application for Fiscal Year (FY) 2010 SIG funds. **Waiver was granted.**
- ✓ Waiver section 421(b) of the General Education Provision Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY2009 school improvement funds for the SEA and all of its LEAs to September 30, 2014, which HIDOE was required to set aside 25% of the FY2009 allocation since all Tier I schools did not participate in the SIG application Process. HIDOE intends to submit this waiver within the next month.

The State assures that it will ensure that any LEA that chooses to implement one or more of these waivers will comply with section II.A.8 of the final requirements.

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

The State assures that, prior to submitting this request in 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 this request 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 this waiver request 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 Website) and has attached a copy of, or link to, that notice.

The State assures that, if it is granted one or more of the waivers requested above, 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, including which specific waivers each LEA is implementing.

Part II. LEA Requirements

Given the single SEA/LEA structure, the SIG application process is aligned to the existing Department-wide school improvement planning process. Currently, HIDOE has a state-wide, multi-year Strategic Plan, and department schools submit an annual Academic and Financial Plan (AcFn) that addresses critical actions the school will take to 1) assure all students graduate college- and career-ready; 2) Ensure and sustain a rich environment and culture for life-long learning; and 3) continuously improve the effectiveness, efficiency, and responsiveness of the educational system.

For charter schools, the School Plan describes the critical actions the school will take to increase student achievement and continuous school improvement.

The AcFn or School Plan delineates how all school funds will be utilized. For Title I schools, the AcFn or School Plan is also the Title I plan.

SIG, CASs or PCLSBs will be required to submit the School Improvement Grant Application (Appendix K) and, for each participating school, attach:

- An amended Academic and Financial Plan or School Plan
- The SIG Fiscal Requirements Form

The applications will be reviewed by the committee convened by the SIG Project Manager as described above.

Part III. Projected Budget

Budget Summary Table Estimated Total 1003(g) Grant: \$1,300,000 [5% State Administration = \$65,000 95% Sub-Allocations to Complex Areas/Schools = \$1,235,000				
Budget Category	Project Year 1	Project Year 2	Project Year 3	Total
1. Personnel	0	0	0	0
2. Fringe Benefits (37.04%)	0	0	0	0
3. Travel	30,600	3,000	3,000	\$36,600
4. Equipment	0	0	0	0
5. Supplies	2,000	2,000	2,000	\$6,000
6. Contractual	25,000	25,000	25,000	\$75,000
7. Training Stipends				
8. Other				
9. Sub-Allocations to Complex Areas or PCLSB (95% of grant)	355,400	381,000	381,000	\$1,117,400
10. Total Costs	\$413,000	\$411,000	\$411,000	\$1,235,000

The CASs or PCLSB are required to submit:

- A budget that do not exceed the maximum allowable amount for all Tier I or Tier III schools served over the three-year grant period.
- A budget that will support the implementation of school intervention models in tier I and Tier II schools.
- Pre-implementation activities in the budget, where applicable.
- A report of completed pre-implementation activities to SIG Project Manager by August 31, 2012, which includes status on budget, hiring, and other allowable activities designed to prepare the schools for full implementation in SY2012-13.

Pre-implementation enables a school to prepare for full implementation of a school intervention model at the start of the SY2012-13. HIDOE will expect pre-implementation activities to occur prior to July 1, 2012. The Pre-implementation activities must be aligned to the schools' need assessment and requirements of the intervention model; be reasonable, necessary and allowable, researched-based, and be fully implemented prior to the beginning of the SY2012-13.

The following are recommended pre-implementation categories with sample activities:

- **Family and Community Engagement:** (i.e., community meetings on SIG, parent outreach expenditures such as hotlines, direct mail)
- **Rigorous Review of External Providers:** (i.e., Conduct the required rigorous review process to select a charter school operator, a CMO or an EMO and contract with that entity)
- **Staffing:** (i.e., recruit and hire the incoming principal, leadership team, instructional staff, and administrative support; or evaluate the strengths and areas of need of current staff)

- **Instructional Programs** (i.e. purchase instructional materials that are research-based, aligned with State academic standards, and have data-based evidence of raising student achievement, or compensation for planning time)
- **Professional Development and Support:** (i.e. training of staff on new or revised instructional programs, stipends for other training to implement SIG model)
- **Preparation for Accountability Measures:** (i.e., adopt interim assessment for use in SIG-funded schools)

Budget Table I: State Administration 5% of Estimated Total Grant: \$65,000				
Budget Category	Project Year 1	Project Year 2	Project Year 3	Total
1. Personnel	18,000	18,000	18,000	54,000
2. Fringe Benefits (3.58%)	645	645	645	1,935
3. Travel	3,021	3,022	3,022	9,065
4. Equipment				
5. Supplies				
6. Contractual				
7. Training Stipends				
8. Other				
9. Total Costs	\$21,666	\$21,667	\$21,667	\$65,000

Budget Narrative:

Travel. State, school, and Complex Area personnel, including the CASs or PCLSB, will serve as members of the AYP Response Teams. Members of the teams who reside on Oahu will be deployed to neighboring islands, and members who reside on neighboring islands will likewise be deployed to other islands. In addition, HIDOE personnel will be traveling to neighbor islands to conduct on-site monitoring and provide technical assistance. Travel costs include air transportation (estimated at \$200 per round trip), per diem (\$90 per 24-hour period), ground transportation (estimated at \$60 per day for a group of four), and airport parking (\$13 per day).

- AYP Response Team (4-day trip): 10 travelers x \$765 per trip x 4 trips per year = \$30,600 for first school year
- Monitoring and Technical Assistance (same-day travel) : 5 travelers x \$300 per trip x 2 trips per year = \$3,000
- Estimated Travel for First Year = \$30,600 + \$3,000 = \$33,600
- Estimated Travel for 2nd and 3rd Year = \$3,000 per year
- Total Cost for Travel = \$36,600

Supplies. Funds will be used to provide workshop, supplies, instructional materials, and resources. **\$2,000** is set aside for this purpose.

Contractual. An external evaluator may be contracted utilizing SIG funds for Tier I and Tier III schools to conduct on-site visits, interviews, and desk reviews to collect and analyze quantitative

and qualitative data. The evaluator will compile annual reports to ascertain linkages between SIG inputs and student outcomes, and will be tasked with identifying the intervention methods and teacher actions that lead to student achievement. It is estimated that the cost will be \$25,000 per year.

Appendices

Appendix A: Hawaii Revised Statutes §302A-1101

Appendix B: Hawaii Revised Statutes §302A-1102

Appendix C: List of Tier I and Tier III schools

Appendix D: Hawaii Revised Statutes §302A-1111

Appendix E: Hawaii Revised Statutes §302A-1004

Appendix F: Hawaii Revised Statutes §302A-1114

Appendix G: Intent to Apply form

Appendix H: Tool for Assessing a School's Level of Need for School Improvement

Appendix I: Executive Summary of PricewaterhouseCooper Audit

Appendix J: AYP Response Team Report of Findings Template

Appendix K: School Improvement Grant Application Package

Appendix L: Quarterly Report Template

Appendix M: Committee of Practitioners, February 2, 2010

Appendix N: Press Release regarding waiver requests

Appendix O: Comments/questions received regarding waiver requests

Appendix P: Guide for Enabling Activities and Budget

Appendix Q: SIG Assessment Tool

Appendix R: Readiness to Benefit Self-Assessment

Appendix S: Claim of Lack of Capacity