

# School Improvement Grants Application

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

Fiscal Year 2010

CFDA Number: 84.377A

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**State Name:INDIANA**



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



OMB Number: 1810-0682  
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### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0682. The time required to complete this information collection is estimated to average 100 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537.



## 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 5 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 5 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). (See Appendix B for a chart summarizing the schools included in each tier.) 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.

### **Availability of Funds**

The Department of Education Appropriations Act, 2010, provided \$546 million for School Improvement Grants in fiscal year (FY) 2010. In addition, the U.S. Department of Education (Department) estimates that, collectively, States have carried over approximately \$825 million in FY 2009 SIG funds that will be combined with FY 2010 SIG funds, for a total of nearly \$1.4 billion that will be awarded by States as part of their FY 2010 SIG competitions.

FY 2010 school improvement funds are available for obligation by SEAs and LEAs through September 30, 2012.

### **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 School Improvement Grant. The Department will allocate FY 2010 school improvement funds in proportion to the funds received in FY 2010 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 school improvement 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.

Appendix A provides guidance on how SEAs can maximize the number of Tier I and Tier II schools its LEAs can serve with FY 2009 carryover and FY 2010 SIG funds when making their LEA allocations for the FY 2010 competition. See Appendix A for a more detailed explanation.

### **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 2010 Submission Information**

**Electronic Submission:**

The Department strongly prefers to receive an SEA’s FY 2010 School Improvement Grant (SIG) application electronically. The application should be sent as a Microsoft Word document, not as a PDF.

The SEA should submit its FY 2010 application to the following address: [school.improvement.grants@ed.gov](mailto:school.improvement.grants@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, Education Program Specialist  
Student Achievement and School Accountability Programs  
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 December 3, 2010.

**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](mailto:carlas.mccauley@ed.gov).

**FY 2010 Application Instructions**

**Most of the FY 2010 SIG application is identical to the FY 2009 application. A new section for additional evaluation criteria (Section B-1) has been added and Section H on Waivers has been expanded. Section D on Descriptive Information (Section D – Part 1, Section D – Parts 2-8) has also been reformatted into two separate sections for the FY 2010 application, but all other parts of the application**

**remain the same.**

**Consequently, except as provided below, an SEA must update only those sections that include changes from the FY 2009 application. In particular, the Department expects that most SEAs will be able to retain Section B on Evaluation Criteria, Section C on Capacity, and Section D (parts 2-8) on Descriptive Information, sections that make up the bulk of the SIG application. An SEA has the option to update any of the material in these sections if it so desires.**

**We are requiring SEAs to update some sections of the SIG application to ensure that each SEA focuses its FY 2010 SIG funds, including any funds carried over from FY 2009, on serving its persistently lowest-achieving schools in LEAs with the capacity and commitment to fully and effectively implement one of the four required school intervention models beginning in the 2011-2012 school year.**

**Note that while an SEA may be able to submit significant portions of its FY 2010 SIG application unchanged from FY 2009, we recommend that it review all sections of the FY 2010 application to ensure alignment with any required changes or revisions.**

**SEAs should also note that they will only be able to insert information in designated spaces (form fields) in the application because of formatting restrictions. Clicking on a section of the application that is restricted will automatically jump the cursor to the next form field which may cause users to skip over information in the application. Users may avoid this issue by using the scroll bar to review the application. However, due to these restrictions, the Department recommends that SEAs print a copy of the application and review it in its entirety before filling out the form.**

# FY 2010 Application Checklist

**Please use this checklist to serve as a roadmap for the SEA's FY 2010 application.**

Please note that an SEA's submission for FY 2010 must include the following attachments, as indicated on the application form:

- Lists, by LEA, of the State's Tier I, Tier II, and Tier III schools.
- A copy of the SEA's FY 2010 LEA application form that LEAs will use to apply to the SEA for a School Improvement Grant.
- If the SEA seeks any waivers through its application, a copy of the notice it provided to LEAs and a copy of any comments it received from LEAs, as well as a copy of, or link to, the notice the SEA provided to the public.

Name: Amy Bush

Position and Office: Director of Title I

Contact's Mailing Address:  
151 West Ohio Street, Indianapolis, Indiana 46204

Telephone: 317.234.6014

Fax: 317.233.6502

Email address: abush@doe.in.gov

Chief State School Officer (Printed Name):  
Dr. Tony Bennett

Telephone:  
317.233.6665

Signature of the Chief State School Officer:

Date:

X

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.

**APPLICATION COVER SHEET  
SCHOOL IMPROVEMENT GRANTS**

**Please check the relevant boxes below to verify that all required sections of the SEA application are included and to indicate which sections of the FY 2010 application the SEA has revised from its FY 2009 application.**

SECTION A: ELIGIBLE SCHOOLS	<input checked="" type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is same as FY 2009	<input type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is revised for FY 2010
	<p><i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i></p> <input type="checkbox"/> SEA will not generate new lists of Tier I, Tier II, and Tier III schools because it has five or more unserved Tier I schools from FY 2009 (SEA is requesting waiver)	<p><i>For an SEA revising its definition of PLA schools, please select the following option:</i></p> <input type="checkbox"/> SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition
	<input type="checkbox"/> SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has less than five unserved Tier I schools from FY 2009 <input checked="" type="checkbox"/> SEA elects to generate new lists	
	<input checked="" type="checkbox"/> Lists, by LEA, of State’s Tier I, Tier II, and Tier III schools provided	
SECTION B: EVALUATION CRITERIA	<input type="checkbox"/> Same as FY 2009	<input checked="" type="checkbox"/> Revised for FY 2010
SECTION B-1: ADDITIONAL EVALUATION CRITERIA	<input checked="" type="checkbox"/> Section B-1: Additional evaluation criteria provided	
SECTION C: CAPACITY	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
SECTION D (PART 1): TIMELINE	<input checked="" type="checkbox"/> Updated Section D (Part 1): Timeline provided	
SECTION D (PARTS 2-8): DESCRIPTIVE INFORMATION	<input type="checkbox"/> Same as FY 2009	<input checked="" type="checkbox"/> Revised for FY 2010
SECTION E: ASSURANCES	<input checked="" type="checkbox"/> Updated Section E: Assurances provided	
SECTION F: SEA RESERVATION	<input checked="" type="checkbox"/> Updated Section F: SEA reservations provided	
SECTION G: CONSULTATION WITH STAKEHOLDERS	<input checked="" type="checkbox"/> Updated Section G: Consultation with stakeholders provided	
SECTION H: WAIVERS	<input checked="" type="checkbox"/> Updated Section H: Waivers provided	

**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:** An SEA must provide a list, by LEA, of each Tier I, Tier II, and Tier III 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. In addition, the SEA must indicate whether it has exercised the option to identify as a Tier I, Tier II, or Tier III school a school that was made newly eligible to receive SIG funds by the Consolidated Appropriations Act, 2010.

Each SEA must generate new lists of Tier I, Tier II, and Tier III schools based on the State’s most recent achievement and graduation rate data to ensure that LEAs continue to give priority to using SIG funds to implement one of the four school intervention models in each of their persistently lowest-achieving schools, rather than using SIG funds to support less rigorous improvement measures in less needy schools. However, any SEA that has five or more Tier I schools that were identified for purposes of the State’s FY 2009 SIG competition but are not being served with SIG funds in the 2010-2011 school year may apply for a waiver of the requirement to generate new lists.

An SEA also has the option of making changes to its FY 2009 definition of “persistently lowest-achieving schools”. An SEA that exercises this option must generate new lists of Tier I, Tier II, and Tier III schools.

Regardless of whether it modifies its definition of “persistently lowest-achieving schools” or generates new lists, along with its lists of Tier I, Tier II, and Tier III schools, an SEA must provide the definition that it used to develop these lists. The SEA may provide a link to the page on its Web site where its definition is posted, or it may attach the complete definition to its application.

<input checked="" type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is same as FY 2009	<input type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is revised for FY 2010
<p><i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i></p> <input type="checkbox"/> 1. SEA will not generate new lists of Tier	<p><i>For an SEA revising its definition of PLA schools, please select the following option:</i></p> <input type="checkbox"/> 1. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has

I, Tier II, and Tier III schools. SEA has five or more unserved Tier I schools from FY 2009 and is therefore eligible to request a waiver of the requirement to generate new lists of schools. Lists and waiver request submitted below.

SEA is electing not to include newly eligible schools for the FY 2010 competition. (Only applicable if the SEA elected to add newly eligible schools in FY 2009.)

2. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has fewer than five unserved Tier I schools from FY 2009. Lists submitted below.

3. SEA elects to generate new lists. Lists submitted below.

revised its definition of “persistently lowest-achieving schools.” Lists submitted below.

Insert definition of “persistently lowest-achieving schools” or link to definition of “persistently lowest-achieving schools” here:

## Definitions for Persistently Lowest-Achieving Schools List

### SFSF Schools

Tier I: Title I schools in improvement that are in the lowest 5% of all Title I schools in improvement, corrective action, or restructuring and demonstrate a lack of progress for up to three years in the “all students” group based on a combination of up to three years of data (up to a three-year average performance) on ISTEP+ in reading/language arts and mathematics; and any Title I high school in improvement, corrective action, or restructuring that has had up to a three-year average four-year graduation rate below 60%.

Tier II: Any secondary school that is eligible for, but does not receive, Title I, Part A funds that is among the lowest achieving 5% of secondary schools and demonstrates a lack of progress for up to three years in the “all students” group based on a combination of up to three years of data (up to a three-year average performance) on ISTEP+ in reading/language arts and mathematics and any high school that is eligible for, but does not receive Title I, Part A funds and has had up to a three-year average four-year graduation rate below 60%.

### Additional Tier I and Tier II Schools

Tier I (NEW): Title I eligible elementary schools that are no higher achieving than the highest achieving Tier I schools (see definition of Tier I under the SFSF Schools heading) based on up to

three years of ISTEP+ performance on reading/language arts and mathematics, combined and are in the bottom 20% of all elementary schools in the state in mathematics and reading/language arts performance on ISTEP+.

Tier II (NEW): Title I eligible secondary schools that are no higher achieving than the highest achieving Tier II schools (see definition of Tier II under the SFSF Schools heading) based on up to three years of ISTEP+ performance on reading/language arts and mathematics, combined and are in the bottom 20% of all high schools in the state in mathematics and reading/language arts performance on ISTEP+, or Title I eligible secondary schools that have had up to a three-year average four-year graduation rate that is below 60%.

### **Tier III Schools**

All Title I schools in school improvement, corrective action, or restructuring that are not in Tier I or Tier II.

## **METHODOLOGY—TIERING SYSTEM**

### **TIER I and III (ORIGINAL)**

1. Identify all Title I schools in improvement, corrective action, or restructuring
2. Schools with grade combinations that do not include grade 12 (i.e., schools that do not have graduation rate) were considered elementary schools
3. Schools with grade combinations that include grade 12 were considered high schools\*
4. Create 3-year average performance metric, based on the all students group\*\*:
  - a. Average of passing percentage for E/LA fall 2008, spring 2009, and spring 2010
  - b. Average of passing percentage for Math fall 2008, spring 2009, and spring 2010
  - c. Combine results of a and b
5. Create 3-year average graduation rate, based on the all students group\*\*\*:
  - a. Identify regular graduation cohort rate for 2008, 2009, and 2010
  - b. Take the average of the three years of graduation cohort data
  - c. This was not applicable for elementary schools
6. Sort data based on step 4 and identify the bottom 5% of schools based on 3-year average performance metric ( $5\% = 235 * .05 = 11.8$ , rounded to 12).
7. Add any Title I high schools in improvement, corrective action, or restructuring with 3-year average graduation rates  $< 60.0\%$  not already included in step 6 ( $n = 1$ )
8. Total original Tier I schools = 12
9. All other schools identified in step 1 are Tier III ( $n = 208$ )

### **TIER II (ORIGINAL)**

1. Identify all high schools (grade combination that includes grade 12 and have graduation rates) that are eligible for, but not receiving Title I dollars ( $n = 170$ )
2. Create 3-year average performance metric, based on the all students group:
  - a. Average of passing percentage for E/LA fall 2007 grades 9 & 10, fall 2008 grade 10, and ECA passing percentage 09-10 for class of 2012\*
  - b. Average of passing percentage for Math fall 2007 grades 9 & 10, fall 2008 grade 10, and ECA passing percentage 09-10 for class of 2012\*

- c. Combine results of a and b
3. Create 3-year average graduation rate, based on:
  - a. Identify regular graduation cohort rate for 2008, 2009, and 2010
  - b. Take the average of the three years of graduation cohort data
4. Sort data based on step 2 and identify the bottom 5% of schools based on 3-year average performance metric (5% =  $170 * .05 = 8.5$ , rounded to 9)
5. Add any Title I eligible, non-receiving high schools with 3-year average graduation rates < 60.0% not already included in step 4 (n=1)
6. Total original Tier II schools = 9

#### TIER I (NEW)

1. Create 3-year average performance indicator for the all students group (see step 4 in TIER I (ORIGINAL)) for ALL elementary schools in the state (Title I eligible and Title I receiving,) (Note: for Tier I NEW calculations, only grades 3-8 were included)
2. Identify bottom 20<sup>th</sup> percentile in combined performance (combined performance of < 127.9%; excel fx=percentile, ([capture all combined performances], .2)
3. Identify combined performance of highest performing original Tier I school (=91.2)
4. Identify all Title I elementary schools not in original Tier I AND Title I eligible but non-receiving elementary schools
5. Identify schools in step 3 with a combined performance of < 91.2
6. Total new Tier I schools = 24

#### TIER II (NEW)

1. Create 3-year average performance indicator for the all students group (see step 2 in Tier II (ORIGINAL)) for ALL high schools in the state (Title I eligible and Title I receiving,)
2. Identify bottom 20<sup>th</sup> percentile in combined performance (combined performance of < 118.8%, excel fx = percentile ([capture all combined performances], .2)
3. Identify combined performance of highest performing original Tier II school (=90.6%)
4. Identify all Title I high schools not in original Tier II AND Title I eligible but non-receiving high schools
5. Identify schools in step 3 with a combined performance of <90.6% (combined performance of highest performing original Tier II school) (n=17)
6. Add any schools identified in step 4 with an average graduation rate of < 60.0% (n = 1)
7. Total new Tier II schools = 14

#### **TOTAL ALL TIERS = 267**

\*There was one exception—one school labeled grades K-12 (The Learning Center) was considered an elementary school because it had only minimal ECA and ISTEP+ data for grades 9 and 10 and had no graduation rate.

Because most Title I schools in improvement are elementary and middle schools, to remain consistent, for high schools that are Title I schools in improvement, fall 2008, spring 2009, and

spring 2010 data were used to calculate Tier I. For high schools not having spring 2009 data (those with grades 9-12 only), only two years of data (fall 2008 and spring 2010) were used. For high schools with grades other than 9-12, all grades were included in Tier I calculations. In all Tier II calculations, for consistency only high school grades (grades 9 and 10) were included. High schools having grade spans that include other than grades 9-12 had grades other than 9 and 10 excluded.

\*\*Schools with fewer than three years of ISTEP+ performance had performance averaged based on one or two years (as applicable)

\*\*\*Schools with fewer than three years of graduation rate data had graduation rate averaged based on one or two years (as applicable)

An SEA must attach two tables to its SIG application. The first table must include its lists of all Tier I, Tier II, and Tier III schools that are eligible for FY 2010 SIG funds. The second table must include its lists of all Tier I, Tier II, and Tier III schools that were served with FY 2009 SIG funds.

Please create these two tables in Excel and use the formats shown below. Examples of the tables have been provided for guidance.

SCHOOLS ELIGIBLE FOR FY 2010 SIG FUNDS								
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>1</sup>

SCHOOLS SERVED WITH FY 2009 SIG FUNDS							
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE

**EXAMPLE:**

SCHOOLS ELIGIBLE FOR FY 2010 SIG FUNDS								
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##	X				
LEA 1	##	MADISON ES	##	X				
LEA 1	##	TAYLOR MS	##			X		X
LEA 2	##	WASHINGTON ES	##	X				
LEA 2	##	FILLMORE HS	##			X		
LEA 3	##	TYLER HS	##		X		X	
LEA 4	##	VAN BUREN MS	##	X				
LEA 4	##	POLK ES	##			X		

**EXAMPLE:**

SCHOOLS SERVED WITH FY 2009 SIG FUNDS							

<sup>1</sup> “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.

LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE
LEA 1	##	MONROE ES	##	X			
LEA 1	##	JEFFERSON HS	##		X		X
LEA 2	##	ADAMS ES	##	X			
LEA 3	##	JACKSON ES	##	X			

**Please attach the two tables in a separate file and submit it with the application.**  
 **SEA has attached the two tables in a separate file and submitted it with its application.**

## **B. EVALUATION CRITERIA:**

**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 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 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 identified in the LEA's application, as well as to support school improvement activities in Tier III schools, throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).

**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:

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

SEA is using the same evaluation criteria as FY 2009.

SEA has revised its evaluation criteria for FY 2010.

**Insert response to Section B Evaluation Criteria here:**

### **B. SEA Evaluation Criteria of LEA Applications**

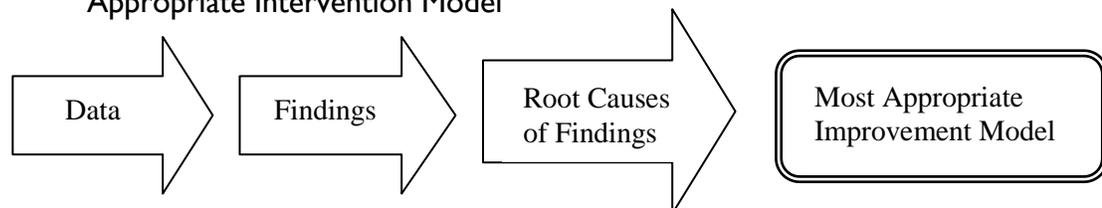
The Indiana Department of Education has established criteria for reviewing LEA SIG

applications in the three required areas as described in *School Improvement Grants Application, Section 1003(g)* (US Department of Education, Revised January 15, 2010, p. 3).

**(I) The LEA has analyzed the needs of each school and has selected an intervention for each one.**

The LEA will enter into a four step SIG School Needs Assessment process (Figure 1) that will ultimately lead the LEA to an informed decision as to the appropriate intervention model for its SIG schools. For each step, IDOE will examine the LEA's application, respond, and provide support as needed. To assist the LEA, IDOE has developed the two worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" (Appendix B), which LEAs are required to use and will submit with their applications. The purpose of the tool is to assist the LEA in determining data-based findings in key areas, which in turn, will lead to data-based decisions with regard to the selection of the most appropriate intervention model.

Figure 1: Use of Data, Findings and Root Cause Analysis to Lead to Selection of an Appropriate Intervention Model



*Step 1: Compilation of Data.* The first step for the LEA is to obtain and analyze student and school data to determine the needs of the school. This is a critical step in the LEA's later determination of the appropriate intervention model for that particular school. The LEA is required to use multiple data sources available through the district office. As mentioned earlier, two worksheets will support the LEA in recording and examining the data.

The first worksheet is "Analysis of Student and School Data" (Appendix B) with Section A of the tool including student achievement data and Section B containing the student leading indicators; both are the reporting metrics that the Secretary of the U.S. Department of Education will later require the LEAs to submit. The data required in the application through the tool in Section A and B are the following:

*Worksheet 1: Student Achievement Data – Adequately Yearly Progress (AYP)*

- By student groups: American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient, and Special Education
- For content areas mathematics and English/language arts
- Percentage of students within the student group not meeting AYP
- Number of students within the student group not meeting AYP
- Determination of the severity of the group's finding
- Determination of the unique learning needs of the group
- Several key findings or summaries from the student achievement data

*Worksheet 1: Section B: Student Leading Indicators for 2008-2009 and 2009-2010*

- Number of minutes within the school year that students are to attend school
- Dropout rate
- Student attendance rate
- Number and percent of students completing advanced coursework, early-college high schools or dual enrollment classes
- Discipline incidents
- Truants
- Distribution of teachers by performance level on LEA's teacher evaluation system
- Teacher attendance rate
- Several key findings or summaries from the student leading indicators

The second worksheet is the "Self-Assessment of Practices of High-Poverty, High-Performing Schools," which represents IDOE Title I's Theory of Action (Appendix C). IDOE Title I developed this theory four years ago to determine its approach to assist schools and districts in improvement status under NCLB. A thorough review of the literature determined a clear set of actions consistently implemented by high-poverty schools as they transitioned to becoming high-performing. All of the policies and supports for Title I districts and schools in improvement status are aligned to this theory. The LEA will examine the school's eight competencies through Worksheet #2.

*Worksheet #2: Self-Assessment - Practices of Effective Schools*

- Principal and Leadership
- Instruction
- Curriculum
- Data - Formative Assessments
- Professional Development
- Parents, Family, Community
- Vision, Mission, Goals
- Cultural Competency

*Step 2: Development of Findings.* After each of the three sections has been completed in the two worksheets, the LEA is required to determine a set of findings from the data. Examples of findings are provided in the LEA application and the instructions describe that the findings are based on facts, not on hunches, assumptions or guesses. The samples provided should allow the LEAs to be successful in this step. If not, the SEA will assist the LEA through a webinar or through individual phone calls on the process of determining findings.

*Step 3: Determination of Root Causes.* In this step, the LEAs are provided with a short explanation of root cause analysis in their application and again examples are provided. The directions encourage the LEAs to explore all inputs surrounding the students (e.g., school, home, and community) and to avoid placing blame on students as the cause of their poor performance, but rather to dig deeper to determine underlying reasons. If

the LEA's responses to root causes are inappropriate or simply at the surface level, IDOE staff will assist the LEA in understanding and implementing this step through webinars and/or individual assistance through telephone calls.

*Step 4: Selection of the Most Appropriate Intervention Model.* Based on the data, the findings, and the root cause analysis, the LEA is asked to review the elements of the intervention models and determine which would be the "best fit" for the school, that is, which model would have the greatest likelihood of increasing student achievement. IDOE provides a description of all the elements of each model "Elements of Intervention/ Improvement Models" (Appendix D).

Once that selection is made, the LEA must examine its own ability or capacity to implement the model and then reevaluate its original decision. For example, if a rural LEA selects the Restart Model for the school but upon examination cannot find educational management organizations that are willing to serve in the rural area then another intervention model may need to be selected.

In the application, the LEA must provide an explanation or rationale for its decision for the selected model. Upon reviewing the application if IDOE finds the selection of the model to not be based on the data, findings, root causes or LEA capacity, then IDOE staff will conduct discussions with and provide support to ensure that the LEA makes an informed decision based on the needs of the students. IDOE will also utilize the resources and support, as needed, from its regional comprehensive assistance center (Great Lakes East) and its connections with the Center for Instruction and Improvement.

*IDOE's Evaluation Rubric:* The following rubric will be used by IDOE staff to evaluate the LEA's analysis of school needs and the selection of an appropriate intervention.

**(I) The LEA has analyzed the needs of each school and has selected an intervention for each one.**

<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
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<ul style="list-style-type: none"> <li>• Full completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• All of the required data sources have been provided</li> <li>• All of the analysis (findings) from the data and the root cause analysis are logical</li> <li>• The alignment between the needs of the school and the model chosen is <i>specifically and conclusively</i> demonstrated as appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>• Some completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• Some of the required data sources have been provided</li> <li>• Some of the analysis (findings) from the data and the root cause analysis is accurate</li> <li>• A <i>general</i> alignment between the needs of the school and the model chosen is has been demonstrated</li> </ul>	<ul style="list-style-type: none"> <li>• No completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• <i>Little to none</i> of the required data sources have been provided and/or the analysis (findings) is lacking or minimal</li> <li>• <i>Little or no</i> use of root cause analysis and/or causes are illogical and not based on data</li> <li>• The alignment of the school and its needs and the improvement model chosen is <i>lacking or minimal</i>.</li> </ul>
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\*An exceptional score is needed for approval.

**(2) The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related supports to each Tier I and II school to implement fully and effectively the selected intervention in each of the schools.**

IDOE will require the LEA to submit a budget for each school identified in its application to demonstrate its capacity to use the funding to provide adequate resources and supports to each Tier I and II school (see Appendices G and H). In the application, the LEA will demonstrate its financial ability, given the amount requested for the school improvement grant, to implement all required elements of the selected model, as listed below:

- Staff has been identified with the credentials and capability to implement selected intervention model successfully.
- The ability of the LEA to serve the overall number of Tier I and/or Tier II schools identified in the application has been addressed.
- A commitment to support the selected intervention model has been indicated by the teachers’ union, the school board, and other stakeholders (staff, parents, community)
- A detailed and realistic timeline to implement the selected model during in the 2011-2012 school year.
- The ability to conduct a needs assessment with a root cause analysis prior to the selection of the model.
- The plan for recruiting new principals with the credentials and capability to implement the model has been described. (Transformation, Turnaround)

- The ability of the LEA to successfully align federal, state, and local funding sources with grant activities and to ensure sustainability of the reform measures.
- A thorough description of adding extended learning time has been included in the application. (Turnaround, Restart, Transformation)
- A governance structure is described, including LEA staff and their credentials, who will be responsible for taking an active role in the day-to-day management of turnaround efforts at the school level and coordinating with IDOE. (Turnaround, Restart, Transformation)
- The availability of charter management organizations (CMOs) and educational management organizations (EMOs) appropriate to the needs of the school to serve that could be enlisted has been described. (Restart)
- Access to and geographic proximity of higher achieving schools, including but not limited to, charter schools or new schools for which achievement data are not yet available. (School Closure)

*IDOE's Evaluation of LEA Commitment related to the Budget:* The SEA will evaluate the LEA's capacity to use school improvement funds to provide adequate resources in multiple areas of the application. Those areas include: (a) the two worksheets, (b) LEA Tier I and II Application, Attachment A, LEA Budget Capacity Scoring Rubric, (c) LEA Tier III Application, Attachment A, and (d) LEA Tier I and II Application: description of tasks to implement model's elements.

**(3) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and II school as well as to support school improvement activities in Tier III schools throughout the period of availability of those funds.**

IDOE will require the LEA to submit a budget for each Tier I and Tier II school identified in its application followed by the announcement of availability of Tier III funding if they exist. IDOE is committed to serving eligible Tier I and Tier II schools first. Districts serving only Tier III schools may receive less than the maximum amount that IDOE may award to an LEA for each participating Title I school, based on the state's allocation and the number of districts awarded under Tier I and II. Each Tier III school funded will receive at least \$50,000 per year as required. The allocations for each school depends on the intervention model selected. In the school application, the LEA will be asked to provide details in respect to each element of the model to be implemented. Additionally, the LEA will describe how it will align SIG monies with other funding sources. IDOE will determine if sufficient funds have been budgeted to fully and effectively implement the selected intervention model and other grant requirements, and determine if the funding is likely to lead to improved teacher instruction, principal leadership and student achievement.

- The intervention model selected for each Tier I and II school provides the details in

the school application to fully and effectively implement each element as outlined in the final requirements.

- The budget request for each Tier I and II school must be of sufficient size and scope to support full and effective implementation of the selected intervention over a period of three years.
- The budget must be planned at a minimum of \$50,000 and not exceed 2 million dollars per year per school.
- The SIG portion of school closure costs may be lower than the amount required for the other three models and will be granted for only one year.
- The LEA may request funding for LEA-level activities that will support the implementation of school intervention models in Tier I and II schools and school improvement activities for Tier III schools and the school or LEA level for identified schools only.
- Projected budgets meet the requirements of reasonable, allocable and allowable.
- A clear alignment to the goals and interventions correlates to the request for funding.

*IDOE's Evaluation Checklist:* The following checklist will be used by IDOE staff to determine the LEA's adequate development of a budget for each school implementing a model. A comment column is provided for IDOE staff to discuss with the LEA.

Criteria	Yes	No IDOE Staff Comments
1. A budget is included for each Tier I and II school.		
2. The budget includes attention to each element of the selected intervention.		
3. The budget for each school is sufficient and appropriate to support full and effective implementation of the selected intervention over a period of three years.		
4. Projected budgets meet the requirements of reasonable, allocable and allowable.		
5. A clear alignment to the goals and interventions correlates to the request for funding.		
6. The budget is planned at a minimum of \$50,000 and does not exceed 2 million dollars per year per school.		
7. <i>School closure only:</i> The SIG portion of school closure costs may be lower than the amount required for the other three models and will be granted for only one year.		

**Part 2:  
LEA Commitments (Actions) for All School  
Intervention/Improvement Models**

➤ *Instructions:*

- 1) All districts, regardless of the school improvement model that will be implemented, are to complete the table below.
- 2) There are five required LEA commitments or actions that districts have already taken or *plan to take in school year 2011-12*.
- 3) In the second column, provide a short description of how the commitment was completed or the district's plan to complete it.
- 4) For how the descriptions of commitments will be scored, see the scoring rubric in Attachment B.

<b>Indicators of LEA Commitment</b>	<b>Description of how this commitment was or will be completed</b>
<p><b>I. Design and implement school intervention model consistent with federal application requirements.</b></p> <p><i>The IDOE will assess the LEA's commitment to design and implement an appropriate intervention model and school improvement activities by requiring the LEA to document a process that may include, but will not be limited to:</i></p> <p>(a) Assessing the completed SIG School Needs Assessment to identify the greatest needs;</p> <p>(b) Assessing the LEA and school's capacity (staff, resources, etc.) to implement specific interventions and school improvement activities;</p> <p>(c) Assessing the alignment of the</p>	

<p>LEA and school improvement processes for supporting the designed interventions;</p> <p>(d) Assessing other resources that will support the design and implementation efforts of selected interventions;</p> <p>(e) Assessing the engagement of stakeholders (staff, parents, community, etc.) to provide input into the design and implementation process;</p> <p>(f) Assessing the scheduling of regular (at least biweekly) data meetings to identify school/ teacher/ student weaknesses and to adjust plans for supports to address those weaknesses;</p> <p>(g) Assessing the communication with selected provider(s) to plan Professional Development and support based on assessed needs (at least biweekly),</p> <p>(h) Maintaining accurate documentation of meetings and communications,</p> <p>(i) Following and/or revising schedules, goals, and timeline as needed, and</p> <p>(j) Submitting all data/forms to the IDOE and/or USDE in accordance to timeline.</p>	
<p><b>Indicators of LEA Commitment</b></p>	<p><b>Description of how this commitment was or will be completed</b></p>

**(2) The LEA has or will recruit, screen, selects and support appropriate external providers.**

***The IDOE will assess the LEA's commitment to recruit, screen, and select external providers by requiring the LEA to document a process for assessing external provider quality which may include, but will not be limited to:***

- (a) Identifying external providers based on each school's SIG needs;
- (b) Interviewing and analyzing external providers to determine evidence-based effectiveness, experience, expertise, and documentation to assure quality and efficiency of each external provider based on each schools identified SIG needs;
- (c) Selecting an external provider based upon the provider's commitment of timely and effective implementation and the ability to meet school needs;
- (d) Aligning the selection with existing efficiency and capacity of LEA and school resources, specifically time and personnel;
- (e) Assessing the regular (at least biweekly) communication with the selected service provider(s) to ensure that supports are taking place and are adjusted according to the school's identified needs,
- (f) Assessing the utilization of

multiple sources of data to evaluate the effectiveness of the supports provided (at least biweekly) and reporting the results to the IDOE.

(g) Assessing the monitoring of records for quality and frequency of supports provided by the selected service provider(s),

(h) Assessing the in-school presence (at least one day a week) to monitor the interactions of the school administration, faculty, and staff with the selected service provider(s) to ensure the full implementation of supports; and

(i) Assessing the recording and reporting of progress to school, LEA, IDOE, and USDE. Intervention and school improvement activity providers will be held to the same criteria as external providers.

**Indicators of LEA Commitment**

**Description of how this commitment was or will be completed**

**3. *Align other resources with the school improvement model.*** (For examples of resources and how they might align, see Attachment D).

**The IDOE will assess the LEA's commitment to align other resources with the interventions by requiring the LEA to document a process which may include, but will not be limited to:**

- (a) Identifying resources currently being utilized in an academic support capacity;
- (b) Identifying additional and/or potential resources that may be utilized in an academic support capacity;
- (c) Assessing the alignment of other federal, state, and local resources based on evidence-based effectiveness and impact with the design of interventions;
- (d) Assessing the alignment of other federal, state, and local resources with the goals and timeline of the grant (e.g., fiscal, personnel, time allotments/scheduling, curriculum, instruction, technology resources/equipment);
- (e) Conducting regularly scheduled reviews of the resource alignment to ensure all areas are operating fully and effectively to meet the intended outcomes or making adjustments as necessary;
- (f) Redirecting resources that are not being used to support the school improvement

process; and

(g) Assessing the presence (minimum of one day per week the first year) in the school to monitor the implementation of the interventions by school administration, faculty, and staff as well as interactions with the selected service provider(s) to ensure the full implementation of supports.

**Indicators of LEA Commitment**

**Description of how this action was or will be completed**

***4. Modify LEA practices and policies to enable the school to implement the intervention model fully and effectively.***

**The IDOE will assess the LEA's commitment to modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively by requiring the LEA to document a process which may include, but will not be limited to:**

- (a) Identifying IDOE and/or LEA challenges that may slow or halt the school improvement implementation process;
- (b) Assessing, designing, and implementing a policy modification protocol that includes input that may include state and local education agency administrators, board members, and personnel; and
- (c) Developing an ongoing process to assess areas that may be considered for policy and process modification that include, but will not be limited to:
  - (i) school administrator and staff hiring practices;
  - (ii) school administrator and staff transfer procedures;
  - (iii) school administrator and staff dismissal procedures;
  - (iv) school administrator and staff evaluation procedures [predominately based (at least 51%) on school and student performance data]
  - (v) school administrator and staff

<p>rewards for increased student achievement and/or graduation rate;</p> <p>(vi) school administrator and staff recruitment, placement and retention procedures ; and</p> <p>(vii) altering the traditional school day and/or calendar to include additional instructional and planning time.</p>	
<p><b>Indicators of LEA Commitment</b></p>	<p><b>Description of how this action was or will be completed</b></p>
<p><b>5. <i>Sustain the model after the funding period ends.</i></b></p>	

***The IDOE will assess the LEA's commitment to sustain the reforms after the funding period ends by requiring the LEA to document a process that may include, but will not be limited to:***

- (a) Developing school improvement planning processes that support sustainability of education reform protocol;
- (b) Developing processes to assure effective training of school leadership staff to ensure the understanding and efficient implementation of interventions into operating flexibility of the school;
- (c) Developing processes to assure effective training of school staff to ensure the understanding and efficient implementation of interventions into the classroom curriculum and activities;
- (d) Identifying alternative funding sources to sustain operational protocol that may require financial support;
- (e) Identifying meaningful professional development for school leadership and staff that support short-term and long-term initiatives of educational improvement;
- (f) Demonstrating a commitment to the

continuous development of teacher knowledge and skills to incorporate changes into their instruction as evidenced by an extensive action plan;

- (g) Developing an evaluation system that measures short-term and long-term, multi-level implementation of interventions, as well as the measurement of effectiveness of supporting initiatives and policy;
- (h) Development of a process to embed interventions and school improvement activities in an extensive strategic long-term plan to sustain gains in student achievement;
- (i) Developing an evaluation system to monitor strategic checkpoints and end of the year results and outcomes to inform and assist practitioners with problem-solving and decision-making that supports short-term and long-term educational fidelity;
- (j) Developing a process to sustain alignment of resources with the school's mission, goals, and needs;
- (k) Planning a growth model for both the fiscal and human capital within the LEA for implementation and sustainability of interventions and school

improvement activities;

- (l) Establishing and implementing accountability processes that provide effective oversight of the interventions, school improvement activities, financial management, and operations of the school.

## Attachment B: LEA Commitments Scoring Rubric

**(1) The LEA has analyzed the needs of each school and has selected an intervention for each one.**

<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
<ul style="list-style-type: none"> <li>• Full completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• All of the required data sources have been provided</li> <li>• All of the analysis (findings) from the data and the root cause analysis are logical</li> <li>• The alignment between the needs of the school and the model chosen is <i>specifically and conclusively</i> demonstrated as appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>• Some completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• Some of the required data sources have been provided</li> <li>• Some of the analysis (findings) from the data and the root cause analysis is accurate</li> <li>• A general alignment between the needs of the school and the model chosen is has been demonstrated</li> </ul>	<ul style="list-style-type: none"> <li>• No completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• Little to none of the required data sources have been provided and/or the analysis (findings) is lacking or minimal</li> <li>• Little or no use of root cause analysis and/or causes are illogical and not based on data</li> <li>• The alignment of the school and its needs and the improvement model chosen is <i>lacking or minimal</i>.</li> </ul>

**(2) Recruit, screen, and select external providers, if applicable, to ensure their quality.**

<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
<p>There is exceptional evidence of a process for recruiting, screening, and selecting an external provider.</p> <p>All of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and thoroughly explained.</p> <p>The LEA includes a comprehensive process for recruiting, screening and selecting an external provider to meet the needs identified.</p>	<p>There is adequate evidence of a process for recruiting, screening, and selecting an external provider.</p> <p>Most of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and adequately explained.</p> <p>Minor changes are needed to the LEA process for</p>	<p>There is inadequate evidence of a process for recruiting, screening, and selecting an external provider.</p> <p>Some or none of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and inadequately explained.</p> <p>The plan is not consistent with the final requirements</p>

	recruiting, screening and selecting an external provider to meet the needs identified.	and the process for recruiting, screening, and selecting an external provider does not meet the identified needs.
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**(3) Align other resources with the interventions.**

<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
<p>There is exceptional evidence of a process for aligning resources with the selected model, interventions, and/or school improvement activities.</p> <p>All of the decisive factors regarding the process for aligning resources with the selected model, interventions, and/or school improvement activities are addressed and thoroughly explained.</p> <p>The LEA includes a comprehensive process for aligning resources with the selected model, interventions, and/or school improvement activities to meet the needs identified.</p>	<p>There is adequate evidence of a process for aligning resources with the selected model, interventions, and/or school improvement activities.</p> <p>Most of the decisive factors regarding the process for aligning resources with the selected model, interventions, and/or school improvement activities are addressed and adequately explained.</p> <p>Minor changes are needed to the LEA process for aligning resources with the selected model, interventions, and/or school improvement activities to meet the needs identified.</p>	<p>There is inadequate evidence of a process for aligning resources with the selected model, interventions, and/or school improvement activities.</p> <p>Some or none of the decisive factors regarding the process for aligning resources with the selected model, interventions, and/or school improvement activities are addressed and inadequately explained.</p> <p>The plan is not consistent with the final requirements and the process for aligning resources with the selected model, interventions, and/or school improvement activities does not meet the identified needs.</p>

**(4) Modify LEA practices or policies, if necessary, to enable it to implement the interventions fully and effectively.**

<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
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<p>There is exceptional evidence of a process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities.</p> <p>All of the decisive factors regarding the process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities are addressed and thoroughly explained.</p> <p>The LEA includes a comprehensive process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities to meet the needs identified.</p>	<p>There is adequate evidence of a process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities.</p> <p>Most of the decisive factors regarding the process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities are addressed and adequately explained.</p> <p>Minor changes are needed to the LEA process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities to meet the needs identified.</p>	<p>There is inadequate evidence of a process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities.</p> <p>Some or none of the decisive factors regarding the process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities are addressed and inadequately explained.</p> <p>The plan is not consistent with the final requirements and the process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities does not meet the identified needs.</p>
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<b>(5) Sustain the reforms after the funding period ends.</b>		
<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
<p>There is exceptional evidence of a process for sustaining reforms after the funding period ends.</p> <p>All of the decisive factors regarding the process for sustaining reforms after the funding period ends are addressed and thoroughly explained.</p> <p>The LEA includes a comprehensive</p>	<p>There is adequate evidence of a process for sustaining reforms after the funding period ends.</p> <p>Most of the decisive factors regarding the process for sustaining reforms after the funding period ends are addressed and adequately</p>	<p>There is inadequate evidence of a process for sustaining reforms after the funding period ends.</p> <p>Some or none of the decisive factors regarding the process for sustaining reforms after the funding period ends are addressed and inadequately</p>

<p>process for sustaining reforms after the funding period ends to meet the needs identified.</p>	<p>explained. Minor changes are needed to the LEA process for sustaining reforms after the funding period ends to meet the needs identified.</p>	<p>explained. The plan is not consistent with the final requirements and the process for sustaining reforms after the funding period ends does not meet the identified needs.</p>

**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:

Please note that Section B-1 is a new section added for the FY 2010 application.

(1) How will the SEA review an LEA's proposed budget with respect to activities carried out during the pre-implementation period<sup>2</sup> 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? *(For a description of allowable activities during the pre-implementation period, please refer to section J of the FY 2010 SIG Guidance.)*

<sup>2</sup> "Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2011–2012 school year. To help in its preparation, an LEA may use FY 2010 and/or FY 2009 carryover SIG funds in its SIG schools after the LEA has been awarded a SIG grant for those schools based on having a fully approvable application, consistent with the SIG final requirements. As soon as it receives the funds, the LEA may use part of its first-year allocation for SIG-related activities in schools that will be served with FY 2010 and/or FY 2009 carryover SIG funds. For a full description of pre-implementation, please refer to section J of the FY 2010 SIG Guidance.

**Insert response to Section B-1 Additional Evaluation Criteria here:**

**B-1. Additional Evaluation Criteria**

Any LEA wishing to carry out pre-implementation activities will need to indicate their intent in a specific section of the grant application. This section also will require LEAs to list pre-implementation activities and explain how each activity will help the LEA prepare for full model implementation next school year. (The full IDOE Title I, 1003(g) SIG Review checklist is attached as a separate file.)

The "pre-implementation" activities and budget will be evaluated using the following criteria:

- Activities and budgeted items must be clearly and directly linked to the strategies in the LEA's SIG Objective(s) and requirements of the selected intervention model
- Activities and budgeted items must be necessary and reasonable for the proper and efficient model implementation during the following school year
- Activities and budgeted items must be realistic
- Activities and budgeted items must be allowable under ESEA cost principles and state law and Regulation
- Activities and budgeted items comply with supplement, not supplant, provisions of ESEA, including Title I, Part A, §1114(a)(2)(B) and §1120A(b).

In addition, the full application budget will be analyzed to ensure:

- 1) Budgeted items are able to be fully expended during the grant period and
- 2) The majority of the budgeted items will be expended during year 1 of the grant period

(1) How will the SEA review an LEA's proposed budget with the respect to activities

carried out during the pre-implementation period to help an LEA prepare for full implementation in the following school year?

IDOE will require the LEA to submit a pre-implementation budget for each Tier I and Tier II school identified in its application followed by the announcement of availability of Tier III funding if they exist. In the school application, the LEA will be asked to provide details on how the pre-implementation funds will be used. The IDOE will ensure that the pre-implementation funds and the school year 2011-2012 funds do not exceed more than \$2 million per school being served with SIG funds.

(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?

*IDOE’s Evaluation Checklist:* The following checklist will be used by IDOE staff to determine the LEA’s adequate development of the pre-implementation budget for each school implementing a model. A comment column is provided for IDOE staff to discuss with the LEA.

Criteria	Yes	No IDOE Staff Comments
1. A pre-implementation budget is included for each Tier I and II school.		
2. The pre-implementation budget and the school year 2011-2012 budget is planned at a minimum of \$50,000 and does not exceed 2 million dollars per year per school.		
3. The SIG funds for the first year cover full and effective implementation through the duration of the 2011-2012 school year, in addition to preparatory activities carried out during the pre-implementation period.		
4. Projected budgets meet the requirements of reasonable, allocable and allowable.		
5. A clear alignment to the goals and interventions correlates to the request for funding for pre-implementation.		

**C. CAPACITY:** The SEA must explain how it will evaluate whether an LEA lacks capacity to implement a school intervention model in each Tier I school.

An LEA that applies for a School Improvement Grant must serve each of its Tier I schools using one of the four school intervention models unless the LEA demonstrates that it lacks sufficient capacity to do so. If an LEA claims it lacks sufficient capacity to serve each Tier I school, the SEA must evaluate the sufficiency of the LEA's claim. Claims of lack of capacity should be scrutinized carefully to ensure that LEAs effectively intervene in as many of their Tier I schools as possible.

The SEA must explain how it will evaluate whether an LEA lacks capacity to implement any of the school intervention models in its Tier I school(s). The SEA must also explain what it will do if it determines that an LEA has more capacity than the LEA demonstrates.

SEA is using the same evaluation criteria for capacity as FY 2009.

SEA has revised its evaluation criteria for capacity for FY 2010.

Insert response to Section C Capacity here:

**C. Lack of Capacity Claim by LEA**

- 1) In the case of an LEA claim that it does not have the capacity to serve all Tier I schools, the SEA will conduct a thorough review of that claim. The process will include a review by multiple IDOE staff of the application and other information and materials submitted by the LEA. The examination will include the capacity factors shown in Table.

Table I. Examining the LEA's Claim of Lack of Capacity

Model	Capacity Factors	Possible Measures of Capacity
All	Number of Tier I and Tier II schools being served	Total number of schools in LEA: ____ Total number of Tier I, Tier II schools in LEA ____
All	Credentials of staff who have the track record and capability to successfully implement the school intervention model(s)	<ul style="list-style-type: none"> <li>o Number of teachers needed for Tier I and Tier II schools ____</li> <li>o Number of highly effective teachers LEA claims are available to serve Tier I and II schools ____</li> <li>o LEA's ability to find and hire additional highly effective teachers: Good ____ Fair ____ Poor ____</li> </ul>
All	Commitment of the school board to eliminate barriers and to facilitate full and effective implementation of the models	<ul style="list-style-type: none"> <li>o School board minutes or policies show commitment to eliminate barriers and fully implement the model ____ Completely ____ Somewhat ____ Not at all</li> </ul>

Model	Capacity Factors	Possible Measures of Capacity
All	Detailed and realistic timeline for implementing elements of intervention model during the 2011-2012 school year	<ul style="list-style-type: none"> <li>○ Timeline indicates that the elements will be implemented during the 2011-2012 school year  <input type="checkbox"/> Completely <input type="checkbox"/> Somewhat <input type="checkbox"/> Not at all</li> </ul>
All	Support of parents and community	<ul style="list-style-type: none"> <li>○ Consultation with stakeholders conducted (e.g., LEA Application: General Information, p. 3)  <input type="checkbox"/> Completely <input type="checkbox"/> Somewhat <input type="checkbox"/> Not at all</li> </ul>
Turnaround Transformation	Support of the teachers' unions with respect to staffing and teacher evaluation requirements	<ul style="list-style-type: none"> <li>○ Contractual agreements indicate allowance of staffing per model's requirements; evaluation tools are performance-based and occur throughout the year  <input type="checkbox"/> Completely <input type="checkbox"/> Somewhat <input type="checkbox"/> Not at all</li> </ul>
Turnaround Transformation	Ability to recruit new principals to implement the turnaround or transformation models	<ul style="list-style-type: none"> <li>○ Number of highly effective principals needed <input type="checkbox"/></li> <li>○ Number of highly effective principals LEA claims are available to serve in the schools <input type="checkbox"/></li> <li>○ LEA's ability to find and hire highly effective principals            Good <input type="checkbox"/> Fair <input type="checkbox"/> Poor <input type="checkbox"/></li> </ul>
Turnaround Transformation Restart	Ability to align federal, state, and local funding sources with grant activities and to support the reform after funding ends	As described in LEA application, Action #5 <input type="checkbox"/> Completely <input type="checkbox"/> Somewhat <input type="checkbox"/> Not at all  IDOE's analysis <input type="checkbox"/> Completely <input type="checkbox"/> Somewhat <input type="checkbox"/> Not at all
Turnaround Transformation Restart	Ability and commitment to increase instructional time	As described in LEA application, Action #5 <input type="checkbox"/> Completely <input type="checkbox"/> Somewhat <input type="checkbox"/> Not at all  IDOE's analysis <input type="checkbox"/> Completely <input type="checkbox"/> Somewhat <input type="checkbox"/> Not at all
Turnaround Transformation Restart	LEA staff with proven track record of implementing school reform models (may include hiring additional staff for this position)	As described in LEA application, Action #1 <input type="checkbox"/> Yes <input type="checkbox"/> No, will need to hire LEA staff  IDOE's analysis <input type="checkbox"/> Yes <input type="checkbox"/> No, will need to hire LEA staff
Restart	Availability and quality of educational management organizations (EMO) and charter management organizations (CMO)	<ul style="list-style-type: none"> <li>○ Number of EMO/CMO available to serve the LEA's geographic area <input type="checkbox"/></li> <li>○ Quality of the EMO/CMOs  <input type="checkbox"/> Number that are of high quality  <input type="checkbox"/> Number that are of medium quality</li> </ul>

		___ Number that are of poor quality				
<b>Model</b>	<b>Capacity Factors</b>	<b>Possible Measures of Capacity</b>				
School Closure	Access to and proximity to higher-performing schools	<ul style="list-style-type: none"> <li>o High-performing schools and their proximity</li> </ul> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;"><u>Name of School</u></th> <th style="width: 30%;"><u>Proximity</u></th> </tr> </thead> <tbody> <tr> <td style="height: 100px;"></td> <td></td> </tr> </tbody> </table>	<u>Name of School</u>	<u>Proximity</u>		
<u>Name of School</u>	<u>Proximity</u>					
<p>2) If IDOE staff determines the LEA has more capacity than claimed, IDOE will meet with the LEA and if necessary, provide technical assistance to assist the LEA's in realizing its capacity and its commitment as a SIG recipient. IDOE may also provide support to the LEA in improving the writing of the grant application including developing a strong implementation plan.</p>						

**D (PART 1). TIMELINE:** An SEA must describe its process and timeline for approving LEA applications.

Please note that Section D has been reformatted to separate the timeline into a different section for the FY 2010 application.

**Insert response to Section D (Part 1) Timeline here:**

## **D. Descriptive Information**

1) *“Describe the SEA’s process and timeline for approving LEA applications.”*

IDOE will use one process for reviewing and scoring Tier I and II applications and a second process for Tier III applications. The processes of both are described in detail below. In both instances, the reviewers will be IDOE staff who are well experienced as educators and are highly knowledgeable in school and district improvement. Tier I and II applications will be evaluated based on the LEA stated capacity and commitment to implement the selected intervention model(s).

### *Step 1: Initial Review of Application*

Upon receipt of an LEA’s Tier I or Tier II application (see Appendices G and H), a Title I specialist will review the application examining for (a) absence of the required elements and (b) areas not fully explained. If either of these occurs, the LEA will be contacted (phone or email) to request the needed element(s) and/or provide technical assistance. If all required materials are included, the application moves to the Step 2.

### *Step 2: Full Review by IDOE Staff Team*

In Step 2, a team of IDOE staff members from across departments is formed to independently read and score applications. Upon completion, the team comes together, shares their scores and reaches consensus on a final score. A pre-training session will be conducted prior to the Step 2 implementation to discuss each element on the rubric, consider the examples given in the scoring ranges and practice scoring with several applications in order to achieve a level of inter-rater reliability.

### *Step 3: In Person Interviews*

A structured in-person interview process in which each LEA (including but not limited to: Superintendents, school board members, union representation, school leadership team, community partners, etc...) that meets the minimum

cut score will be required to present their application/plan, as well

as respond to questions directly related to its application, with special emphasis on the demonstration of capacity to provide adequate resources and related support to each Tier I, Tier II, and/or Tier III school identified in its application.

### *Step 4: Award Notification*

A final score on the rubric will include adding the scores from the required elements, the level

of commitment, and the level of capacity. Based on the total, IDOE will notify LEAs as to the award.

If funding is available, Tier III schools will be evaluated using a competitive process. The scoring system will be weighted in such a way so that schools with the highest need and quality of application will be given priority. Tier III applications will also be evaluated by a team of IDOE staff members.

IDOE plans an extremely aggressive timeline, as the LEAs will have only a few months to develop and implement their school plan. At this moment (March), many LEAs are under contractual agreements to inform teachers of their plan of retention and school placement. The SIG timeline is beginning to overlap with the LEA's contractual agreement timeline. In addition, the LEAs are losing critical time in finding and hiring turnaround leaders, highly-effective teachers, external providers and EMO/CMOs. However, IDOE is committed to implementing the timeline as shown in Table 2.

Table 2. Implementation of SIG Communication between SEA and LEAs

Process	Date
IDOE sends initial letter of explanation of SIG to LEA superintendents	December 2010
IDOE provides webinar to all LEAs explaining SIG process; webinar is made available on IDOE web site	December 2010
IDOE submits initial application to USDOE	December 2010
IDOE receives comments from USDOE	January 2011
IDOE revises application and sends to USDOE	June 2011
Within 1-3 days of approval, IDOE posts the Tier I and Tier II application on its web site and sends letters to superintendents	June 2011
LEA SIG applications due to IDOE	July 2011
IDOE reviews Tier I and Tier II applications	July 2011
IDOE Oral Presentation	July 2011
IDOE provides technical assistance for revising applications as needed	July 2011
IDOE notifies LEAs about availability of Tier III applications	July 2011
IDOE awards Tier I and II grants	July/August 2011
IDOE reviews and scores Tier III applications	August 2011
Tier I and II begin implementing approved reform models	July/August 2011
IDOE awards Tier III grants	August 2011

**D (PARTS 2-8). DESCRIPTIVE INFORMATION:**

(2) Describe the SEA’s process for reviewing an LEA’s annual goals for student achievement for its Tier I and Tier II schools 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 in the LEA that are not meeting those goals and making progress on the leading indicators in section III of the final requirements.

(3) 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.

(4) 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 the LEA is approved to serve.

(5) 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.

(6) Describe the criteria, if any, that the SEA intends to use to prioritize among Tier III schools.

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

(8) 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, 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.<sup>3</sup>

<sup>3</sup> 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.

SEA is using the same descriptive information as FY 2009.

SEA has revised its descriptive information for FY 2010.

**Insert response to Section D (Parts 2-8) Descriptive Information here:**

2) *“Describe the SEA’s process for reviewing an LEA’s annual goals for student achievement for its Tier I and Tier II schools and how the SEA will determine whether to renew an LEA’s SIG if one or more Tier I or Tier II schools are meeting those goals and making progress on the leading indicators.”*

As the first step, IDOE will examine the findings from the worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-

Performing Schools” (Worksheet #2- LEA Application), to ensure that the initial set of goals and activities developed are well-aligned to the findings. Experience shows that some LEAs will struggle with creating appropriate and measurable goals. Thus, the IDOE will pay particular attention to the goals and provide technical assistance as needed. The criteria for the goals will be (a) inclusion of one English/language arts and one mathematics goal for all students; (b) aggressive yet attainable; and (c) measurable through ISTEP+ and/or end-of-course assessments. IDOE will conduct pre-training with its reviewers to achieve inter-rater reliability on the scoring rubric to ensure similar recognition of high quality and appropriate goals (e.g., S.M.A.R.T. goals).

At the end of the first semester, the LEA will be required to examine its initial set of goals and submit, in writing, to the IDOE evidence of progress (or lack of progress) using formative assessment data, end-of-course data and other sources. At the end of the school year, a team of IDOE and LEA staff will convene to examine the data to determine whether to renew the LEA’s SIG if the Tier I or Tier II school is not making progress.

- 3) *“Describe the SEA’s process for reviewing the goals an LEA establishes for its Tier III schools and how the SEA will determine whether to renew an LEA’s SIG if one or more of the Tier III schools are not meeting those goals.”*

IDOE is not anticipating serving Tier III schools as funding will be fully used in serving Tier I and Tier II schools. However, if Tier III schools are served, IDOE will examine the LEAs original application and goals and follow a process similar to that for Tier I and Tier II schools as described above. As the first step, IDOE will examine the findings from the two worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools” (Appendix B), to ensure that the initial set of goals and activities developed are well-aligned to the findings. Experience shows that some LEAs will struggle with creating appropriate and measurable goals. Thus, the IDOE will pay particular attention to the goals and provide technical assistance as needed. The criteria for the goals will be (a) inclusion of one English/language arts and one mathematics goal for all students; (b) aggressive yet attainable; and (c) measurable through ISTEP+ and/or end-of-course assessments. IDOE will conduct pre-training with its reviewers to achieve inter-rater reliability on the scoring rubric to ensure similar recognition of high quality and appropriate goals (e.g., S.M.A.R.T. goals).

At the end of the first semester, the LEA will be required to examine its initial set of goals and submit, in writing, to the IDOE evidence of progress (or lack of progress) using formative assessment data, end-of-course data and other sources. At the end of the school year, a team of IDOE and LEA staff will convene to examine the data to determine whether to renew the LEA’s SIG if the Tier III school is not making progress.

- 4) *“Describe how the SEA will monitor each LEA to ensure implementation of intervention models*

*fully and effectively in the Tier I and II schools the LEA is approved to serve.”*

In order to ensure the full and effective implementation of intervention models, each school that receives SIG funding will be assigned an IDOE staff member who has significant knowledge related to school improvement. An IDOE SIG Monitoring Team will conduct a site visit at least three times during the school year. Additionally, the SIG Monitoring Team will hold monthly phone conversations with the LEA and school regarding implementation of the model. Specific elements of the model will be discussed to determine areas of progress as well as challenges. IDOE’s Director of Title I will oversee the work of the IDOE staff assigned to schools implementing the models and will debrief with staff after each visit.

Additionally, IDOE will monitor the LEAs results of the state’s formative diagnostic tools (Wireless Generation and Acuity) for elementary and middle school grade spans, which will allow continuous review of student learning. The state has recently introduced the Indiana Growth Model using ISTEP+ scores to examine cohorts of students with similar scores across the state. This allows for parents, schools, districts and the state to understand how schools (and eventually individual students) are progressing from year to year. It also provides a common measure to show how much growth the students of each school have achieved.

To evaluate the implementation and effectiveness of the school improvement models, IDOE will enlist a qualified independent partner to evaluate both the state’s overall turnaround strategy and the interventions in individual schools. The external evaluator will utilize relevant school, LEA, and state data, including data resulting from Title I monitoring, in order to determine the fidelity of the intervention’s implementation and its effectiveness. Finally, to ensure financial responsibility each district will receive a 1003 (g) fiscal review twice per school year (January 2012/June 2012).

- 5) *“Describe how the SEA will prioritize SIG to LEAs if the SEA does not have sufficient school improvement funds to serve all eligible schools for which each LEA applies.”*

The Indiana Department of Education anticipates sufficient funding for all eligible Tier I and Tier II schools for which each LEA applies. However, in the event that funds are not available to serve all eligible Tier I and Tier II schools, IDOE will review the scores that each LEA’s school(s) received through the evaluation process (see Attachment C: SEA Scoring Rubric of LEA Applications). IDOE will first apply a weighted scoring system in which schools that are on Indiana’s Public Law 221 (the state’s accountability system) probationary status will have first priority for receiving SIG funds. Based on this weighting system, schools with the highest scores will receive funding until funds are no longer available.

- 6) *“Describe the criteria, if any, that the SEA intends to use to prioritize among Tier III schools.”*

Once all Tier I and Tier II schools have been funded, IDOE will open the application process up to LEAs interested in serving Tier III Schools. The evaluation for Tier III schools occurs through a competitive basis. Priority will be given to schools implementing one of the four school intervention models. If funding is still available, Tier III schools that receive the highest scores will be funded until the point at which funds are no longer available.

- 7) *“If the SEA intends to take over any Tier I or Tier II schools, identify those schools and indicate the school intervention model the SEA will implement in each school.”*

Public Law 221 (P.L. 221) is Indiana’s comprehensive accountability system for K-12 education. It was passed by the General Assembly in 1999, prior to *No Child Left Behind Act of 2001*. The law aimed to establish major educational reform and accountability statewide. To measure progress, P.L. 221 places Indiana schools into one of five categories. Schools that remain in the lowest category, probationary status, may receive one of the state interventions after their sixth consecutive year. **If an intervention is necessary, all schools receiving a 1003(g) school improvement grant will be required to meet the final requirements as outlined in the 1003(g) school improvement grant.**

1. Merging the school with a nearby school that is in a higher category. **(Indiana does not anticipate recommending the merging of schools in the event of state intervention.)**
2. Assigning a special management team to operate all or part of the school.  
(Turnaround School Operator)
3. Recommendations from the Indiana Department of Education for improving the school.
4. Other options for school improvement expressed at the public hearing, including closing the school.
5. Revising the school's plan in the areas of school procedures/operations, professional development, or intervention for individual teachers or administrators.

Test scores will not be available until summer. In August, the State Board of Education will make decisions based on spring results, follow up visit reports and recommendations from community hearings. If a school is assigned a turnaround school operator, 2011-2012 will be a transitional year.

Schools that are currently eligible as Tier I, II or III schools that are in year five of probationary status are:

Theodore Roosevelt High School (Tier II),  
Arlington Community High School (Tier II),  
Broad Ripple Community School (Tier II-new),  
Emmerich Manual High School (Tier II-new),  
Northwest High School (Tier II-new),  
Emma Donnan Middle School (Tier I),  
Thomas Carr Howe Community High School (Tier II-new),  
George, Washington Community High School (currently receiving SIG 1003(g) funds),

East Chicago Central High School (Tier II),  
Hammond High School (currently receiving SIG 1003(g) funds),  
South Bend Alternative High (Bendix) School (currently receiving SIG 1003(g) funds)  
Washington High School (Tier II-new).

If the State applies intervention in any of these schools, IDOE would select the Restart Model. If a TSO is assigned to a school eligible for SIG and there is not an approved application, the IDOE will allow the TSO to apply for a grant if funding is still available.

- 8) *“If the SEA intends or provides services directly to any schools in the absence of a takeover, identify those schools and, for Tier I or Tier II schools, 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 service directly.”*

At this time, IDOE does not plan to directly implement a reform model in a school.

## E. ASSURANCES

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.
- 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 that the SEA approves the LEA to serve.
- Ensure, if the SEA is participating in the Department's differentiated accountability pilot, that its LEAs will use school improvement funds consistent with the final requirements.
- Monitor each LEA's implementation of the "rigorous review process" of recruiting, screening, and selecting external providers as well as 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 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.
- Report the specific school-level data required in section III of the final 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.

**Insert response to Section F SEA Reservation here:**

**F. SEA Reservation**

With State-level funds from the School Improvement Grant, IDOE plans to conduct a variety of activities related to administration, evaluation and technical assistance. The activities for each of these categories are described below.

*Administration/Evaluation/Technical Assistance*

Indiana will use the State-level SIG funds it receives to provide administration, evaluation and technical assistance for grantees. IDOE will be charged with overseeing the successful implementation of the four intervention models and other grant activities, and it will be accountable to the Superintendent of Public Instruction, Dr. Tony Bennett, and the SEA for progress made against performance targets and other leading indicators.

IDOE will conduct the following activities related to administration, evaluation, and technical assistance:

- *Review third-party partners.* IDOE will be responsible for ensuring that outside parties that assist in turnarounds have track records of success and can succeed in Indiana.
- *Principal selection.* IDOE will approve the principal hiring processes and the tools used at the district level to ensure the process aligns with appropriate intervention strategies as outlined in this application.
- *Evaluation tool.* IDOE will create a principal and teacher evaluation tool in which 51% is based on school and/or student performance. LEAs may either use the IDOE tool or submit their evaluation tool for approval.
- *Recruiting, Retaining and Placing of Teachers.* IDOE will also approve the staff recruiting, retaining and placing processes and tools at the site level to ensure the processes align with appropriate intervention strategies as outlined in this application.
- *Principal development.* Indiana will continue scaling up The Institute of School Leadership Teams, which is a researched based leadership program, which pairs distinguished principals from high achieving/high poverty schools with principals and the leadership team from low achieving/high poverty schools.
- *Teacher development.* IDOE will provide through professional development for teachers in SIG schools, as identified through a needs assessment and data monitoring.

- *Data monitoring.* IDOE will collect data to monitor the implementation of the selected intervention model at each Tier I and Tier II school identified to be served on approved LEA applications. This ongoing data collection will allow for the tracking of progress toward grant goals and leading indicators as well as for the identification and dissemination of successful implementation practices and lessons learned.
- *On-site monitoring.* As described earlier, IDOE will monitor at least three times per year and will conduct a needs assessment of participating schools. Using the results of this needs assessment, IDOE will use state-level SIG funds to provide professional development opportunities and tools that are targeted to meet needs identified in this assessment.
- *Evaluation.* As described earlier, IDOE will enlist a qualified independent partner to serve as the external evaluator of the State's overall turnaround strategy as well as interventions in individual schools. SIG funds will be used to fund this independent evaluator, which will be selected through the State's competitive RFP process. This external evaluation will assist Indiana in evaluating effectiveness of each school in implementing approved reform models and the degree of fidelity to which these models were implemented.

**G. CONSULTATION WITH STAKEHOLDERS:** The SEA must consult with its Committee of Practitioners and is encouraged to consult with other stakeholders regarding its application for a School Improvement Grant.

Before submitting its application for a School Improvement Grant to the Department, the SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein.

The SEA has consulted with its Committee of Practitioners regarding the information set forth in its application.

The SEA may also consult with other stakeholders that have an interest in its application.

The SEA has consulted with other relevant stakeholders, including currently identified Tier I, Tier II and Tier III schools.

**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.

**WAIVERS OF SEA REQUIREMENTS**

**Enter State Name Here** Indiana 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.

**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 2010 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.

**Note:** An SEA that requested and received the Tier II waiver for its FY 2009 definition of “persistently lowest

**achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.**

**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 2010 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.

**Note: An SEA that requested and received the n-size waiver for its FY 2009 definition of “persistently lowest-achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.**

**Waiver 3: New list waiver**

Because the State neither must nor elects to generate new lists of Tier I, Tier II, and Tier III schools, waive Sections I.A.1 and II.B.10 of the SIG final requirements to permit the State to use the same Tier I, Tier II, and Tier III lists it used for its FY 2009 competition.

Assurance

The State assures that it has five or more unserved Tier I schools on its FY 2009 list.

**WAIVERS OF LEA REQUIREMENTS**

**Enter State Name Here** Indiana 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, 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, 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 4: School improvement timeline waiver**

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 2011–2012 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 2011–2012 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.

**Note: An SEA that requested and received the school improvement timeline waiver for the FY 2009 competition and wishes to also receive the waiver for the FY 2010 competition must request the waiver again in this application.**

**Schools that started implementation of a turnaround or restart model in the 2010-2011 school year cannot request this waiver to “start over” their school improvement timeline again.**

**Waiver 5: Schoolwide program waiver**

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 Title I 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.

**Note: An SEA that requested and received the schoolwide program waiver for the FY 2009 competition and wishes to also receive the waiver for the FY 2010 competition must request the waiver again in this application.**

**PERIOD OF AVAILABILITY WAIVER**

**Enter State Name Here** Indiana requests a waiver of the requirement indicated below. The State believes that the requested waiver 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 improve the academic achievement of students in Tier I, Tier II, and Tier III schools.

**Waiver 6: Period of availability of FY 2009 carryover funds waiver**

Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY 2009 carryover school improvement funds for the SEA and all of its LEAs to September 30, 2014.

**Note: This waiver only applies to FY 2009 carryover funds. An SEA that requested and received this waiver for the FY 2009 competition and wishes to also receive the waiver to apply to FY 2009 carryover funds in order to make them available for three full years for schools awarded SIG funds through the FY 2010 competition must request the waiver again in this application.**

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

**(Must check if requesting one or more waivers)**

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

**PART II: LEA REQUIREMENTS**

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

Please note that for FY 2010, an SEA must develop or update its LEA application form to include information on any activities, as well as the budget for those activities, that LEAs plan to carry out during the pre-implementation period to help prepare for full implementation in the following school year.

**The SEA must submit its LEA application form with its application to the Department for a School Improvement Grant. The SEA should attach the LEA application form in a separate document.**

**LEA APPLICATION REQUIREMENTS**

**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 the LEA commits to serve and identify the model that the LEA will use in each Tier I and Tier II school.

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

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

**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 that the LEA commits to serve, the LEA must demonstrate that—
  - The LEA has analyzed the needs of each school and selected an intervention for each school; and
  - The LEA has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II 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.
- (2) If the LEA is not applying to serve each Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.
- (3) The LEA must describe actions it has taken, or will take, to—
  - 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 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 identified in the LEA’s application.
- (5) The LEA must describe the annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics that it has established in order to monitor its Tier I and Tier II schools that receive school improvement funds.
- (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.

**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 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 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; 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 it commits to serve multiplied by \$2,000,000 or no more than \$6,000,000 over three years.

**Example:**

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

**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 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 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, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements; and
- (4) Report to the SEA the school-level data required under section III of the final requirements.

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

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

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

## **APPENDIX A**

### **SEA ALLOCATIONS TO LEAS AND LEA BUDGETS**

#### **Continuing Impact of ARRA School Improvement Grant Funding in FY 2010**

Congress appropriated \$546 million for School Improvement Grants in FY 2010. In addition, most States will be carrying over a portion of their FY 2009 SIG allocations, primarily due to the requirement in section II.B.9(a) of the SIG final requirements that if not every Tier I school in a State was served with FY 2009 SIG funds, the State was required to carry over 25 percent of its FY 2009 SIG allocation, combine those funds with the State's FY 2010 SIG allocation, and award the combined funding to eligible LEAs consistent with the SIG final requirements. In FY 2009, the combination of \$3 billion in School Improvement Grant funding from the American Recovery and Reinvestment Act and \$546 million from the regular FY 2009 appropriation created a unique opportunity for the program to provide the substantial funding over a multi-year period to support the implementation of school intervention models. In response to this opportunity, the Department encouraged States to apply for a waiver extending the period of availability of FY 2009 SIG funds until September 30, 2013 so that States could use these funds to make three-year grant awards to LEAs to support the full and effective implementation of school intervention models in their Tier I and Tier II schools. All States with approved FY 2009 SIG applications applied for and received this waiver to extend the period of availability of FY 2009 SIG funds and, consistent with the final SIG requirements, are using FY 2009 funds to provide a full three years of funding (aka, "frontloading") to support the implementation of school intervention models in Tier I and Tier II schools.

The Department encouraged frontloading in FY 2009 because the extraordinary amount of SIG funding available in FY 2009 meant that, if those funds had been used to fund only the first year of implementation of a school intervention model, *i.e.*, to make first-year only awards, there would not have been sufficient funding for continuation awards in years two and three of the SIG award period (*i.e.*, SIG funding in FY 2009 was seven times the amount provided through the regular appropriation). Similarly, the estimated nearly \$1.4 billion in total SIG funding available in FY 2010 (an estimated \$825 million in FY 2009 SIG carryover funds plus the \$546 million FY 2010 SIG appropriation) is larger than the expected annual SIG appropriation over the next two fiscal years; if all funds available in FY 2010 were used to make the first year of three-year awards to LEAs for services to eligible Tier I and Tier II schools, there would not be sufficient funds to make continuation awards in subsequent fiscal years.

#### **Maximizing the Impact of Regular FY 2010 SIG Allocations**

Continuing the practice of frontloading SIG funds in FY 2010 with respect to all SIG funds that are available for the FY 2010 competition (FY 2009 carryover funds plus the FY 2010 appropriation) would, in many States, limit the number of Tier I and Tier II schools that can be served as a result of the FY 2010 SIG competition. For this reason, the Department believes that, for most States, the most effective method of awarding FY 2010 SIG funds to serve the maximum number of Tier I and Tier II schools that have the capacity to fully and effectively implement a school intervention model is to frontload FY 2009 carryover funds while using FY 2010 SIG funds to make first-year only awards.

For example, if a State has \$36 million in FY 2009 carryover SIG funds and \$21 million in FY 2010 funds, and awards each school implementing a school intervention model an average of

\$1 million per year over three years, the SEA would be able to fund 12 schools with FY 2009 carryover funds (*i.e.*, the \$36 million would cover all three years of funding for those 12 schools), plus an additional 21 schools with FY 2010 funds (*i.e.*, the \$21 million would cover the first year of funding for each of those schools, and the second and third years would be funded through continuation grants from subsequent SIG appropriations). Thus, the State would be able to support interventions in a total of 33 schools. However, if the same State elected to frontload all funds available for its FY 2010 SIG competition (FY 2009 carryover funds and its FY 2010 allocation), it would be able to fund interventions in only 19 schools (\$57 million divided by \$3 million per school over three years).

LEAs that receive first-year only awards would continue to implement intervention models in Tier I and Tier II schools over a three-year award period; however, second- and third-year continuation grants would be awarded from SIG appropriations in subsequent fiscal years. This practice of making first-year awards from one year's appropriation and continuation awards from funds appropriated in subsequent fiscal years is similar to the practice used for many U.S. Department of Education discretionary grant programs.

States with FY 2009 SIG carryover funds are invited to apply, as in their FY 2009 applications, for the waiver to extend the period of availability of these funds for one additional year to September 30, 2014. States that did not carry over FY 2009 SIG funds, or that carried over only a small amount of such funds, need not apply for this waiver; such States will use all available FY 2010 SIG funds to make first-year awards to LEAs in their FY 2010 SIG competitions.

#### **Continuation of \$2 Million Annual Per School Cap**

For FY 2010, States continue to have flexibility to award up to \$2 million annually for each participating school. This flexibility applies both to funds that are frontloaded and those that are used for first-year only awards. As in FY 2009, this higher limit will permit an SEA to award the amount that the Department believes typically would be required for the successful implementation of the turnaround, restart, or transformation model in a Tier I or Tier II school (*e.g.*, a school of 500 students might require \$1 million annually, whereas a large, comprehensive high school might require the full \$2 million annually).

In addition, the annual \$2 million per school cap, which permits total per-school funding of up to \$6 million over three years, reflects the continuing priority on serving Tier I or Tier II schools. An SEA must ensure that all Tier I and Tier II schools across the State that its LEAs commit to serve, and that the SEA determines its LEAs have capacity to serve, are awarded sufficient school improvement funding to fully and effectively implement the selected school intervention models over the period of availability of the funds before the SEA awards any funds for Tier III schools.

The following describes the requirements and priorities that apply to LEA budgets and SEA allocations.

#### **LEA Budgets**

An LEA's proposed budget should cover a three-year period and should take into account the following:

1. The number of Tier I and Tier II schools that the LEA commits to serve and the intervention model (turnaround, restart, closure, or transformation) selected for each school.

2. The budget request for each Tier I and Tier II school must be of sufficient size and scope to support full and effective implementation of the selected intervention over a period of three years. First-year budgets may be higher than in subsequent years due to one-time start-up costs.
3. The portion of school closure costs covered with school improvement funds may be significantly lower than the amount required for the other models and would typically cover only one year.
4. The LEA may request funding for LEA-level activities that will support the implementation of school intervention models in Tier I and Tier II schools.
5. The number of Tier III schools that the LEA commits to serve, if any, and the services or benefits the LEA plans to provide to these schools over the three-year grant period.
6. The maximum funding available to the LEA each year is determined by multiplying the total number of Tier I, Tier II, and Tier III schools that the LEA is approved to serve by \$2 million (the maximum amount that an SEA may award to an LEA for each participating school).

### **SEA Allocations to LEAs**

An SEA must allocate the LEA share of school improvement funds (*i.e.*, 95 percent of the SEA's allocation from the Department) in accordance with the following requirements:

1. The SEA must give priority to LEAs that apply to serve Tier I or Tier II schools.
2. An SEA may not award funds to any LEA for Tier III schools unless and until the SEA has awarded funds to serve all Tier I and Tier II schools across the State that its LEAs commit to serve and that the SEA determines its LEAs have capacity to serve.
3. An LEA with one or more Tier I schools may not receive funds to serve only its Tier III schools.
4. In making awards consistent with these requirements, an SEA must take into account LEA capacity to implement the selected school interventions, and also may take into account other factors, such as the number of schools served in each tier and the overall quality of LEA applications.
5. An SEA that does not have sufficient school improvement funds to allow each LEA with a Tier I or Tier II school to implement fully the selected intervention models may take into account the distribution of Tier I and Tier II schools among such LEAs in the State to ensure that Tier I and Tier II schools throughout the State can be served.
6. Consistent with the final requirements, an SEA may award an LEA less funding than it requests. For example, an SEA that does not have sufficient funds to serve fully all of its Tier I and Tier II schools may approve an LEA's application with respect to only a portion of the LEA's Tier I or Tier II schools to enable the SEA to award school

improvement funds to Tier I and Tier II schools across the State. Similarly, an SEA may award an LEA funds sufficient to serve only a portion of the Tier III schools the LEA requests to serve.

7. Note that the requirement in section II.B.9(a) of the SIG requirements, under which an SEA that does not serve all of its Tier I schools must carry over 25 percent of its FY 2009 SIG allocation to the following year, does not apply to FY 2010 SIG funds.

An SEA's School Improvement Grant award to an LEA must:

1. Include not less than \$50,000 or more than \$2 million per year for each participating school (*i.e.*, the Tier I, Tier II, and Tier III schools that the LEA commits to serve and that the SEA approves the LEA to serve).
2. Provide sufficient school improvement funds to implement fully and effectively one of the four intervention models in each Tier I and Tier II school the SEA approves the LEA to serve or close, as well as sufficient funds for serving participating Tier III schools. An SEA may reduce an LEA's requested budget by any amounts proposed for interventions in one or more schools that the SEA does not approve the LEA to serve (*i.e.*, because the LEA does not have the capacity to serve the school or because the SEA is approving only a portion of Tier I and Tier II schools in certain LEAs in order to serve Tier I and Tier II schools across the State). An SEA also may reduce award amounts if it determines that an LEA can implement its planned interventions with less than the amount of funding requested in its budget.
3. Consistent with the priority in the final requirements, provide funds for Tier III schools only if the SEA has already awarded funds for all Tier I and Tier II schools across the State that its LEAs commit to serve and that the SEA determines its LEAs have capacity to serve.
4. Include any requested funds for LEA-level activities that support implementation of the school intervention models.
5. Apportion any FY 2009 carryover school improvement funds so as to provide funding to LEAs over three years (assuming the SEA has requested and received a waiver to extend the period of availability to September 30, 2014).
6. Use FY 2010 school improvement funds to make the first year of three-year grant awards to LEAs (unless the SEA has received a waiver of the period of availability for its FY 2010 funds). Continuation awards for years 2 and 3 would come from SIG appropriations in subsequent fiscal years.

## APPENDIX B

	<b>Schools an SEA MUST identify in each tier</b>	<b>Newly eligible schools an SEA MAY identify in each tier</b>
<b>Tier I</b>	Schools that meet the criteria in paragraph (a)(1) in the definition of “persistently lowest-achieving schools.” <sup>2</sup>	Title I eligible <sup>3</sup> elementary schools that are no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(1)(i) in the definition of “persistently lowest-achieving schools” <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two consecutive years.</li> </ul>
<b>Tier II</b>	Schools that meet the criteria in paragraph (a)(2) in the definition of “persistently lowest-achieving schools.”	Title I eligible secondary schools that are (1) no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(2)(i) in the definition of “persistently lowest-achieving schools” or (2) high schools that have had a graduation rate of less than 60 percent over a number of years <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two consecutive years.</li> </ul>
<b>Tier III</b>	Title I schools in improvement, corrective action, or restructuring that are not in Tier I. <sup>4</sup>	Title I eligible schools that do not meet the requirements to be in Tier I or Tier II <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two years.</li> </ul>

<sup>2</sup> “Persistently lowest-achieving schools” means, as determined by the State--

(a)(1) Any Title I school in improvement, corrective action, or restructuring that--

- (i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

(2) Any secondary school that is eligible for, but does not receive, Title I funds that--

- (i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

<sup>3</sup> For the purposes of schools that may be added to Tier I, Tier II, or Tier III, “Title I eligible” schools may be schools that are eligible for, but do not receive, Title I, Part A funds or schools that are Title I participating (i.e., schools that are eligible for and do receive Title I, Part A funds).

<sup>4</sup> Certain Title I schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II rather than Tier III. In particular, certain Title I secondary schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II if an SEA receives a waiver to include them in the pool of schools from which Tier II schools are selected or if they meet the criteria in section I.A.1(b)(ii)(A)(2) and (B) and an SEA chooses to include them in Tier II.



## Appendix A: Indiana's Tier I, Tier II, Tier III Schools

LEA NAME	LEA NCES ID#	SCHOOL NAME	SCHOOL NCES ID#	Tier	Grad Rate
East Allen County Schools	1802850	Prince Chapman Academy	180285000359	I	
East Allen County Schools	1802850	Village Elementary School	180285000547	I	
Elkhart Community Schools	1803270	Beck Elementary School	180327000434	I	
School City of East Chicago	1802880	Joseph L Block Jr High School	180288000370	I	
Indianapolis Public Schools	1804770	Emma Donnan Middle School	180477000823	I	
Indianapolis Public Schools	1804770	H L Harshman Middle School	180477000844	I	
Indianapolis Public Schools	1804770	New Horizons Alternative School	180477002402	I	
South Bend Community Sch Corp	1810290	Madison Primary Center	181029001658	I	
South Bend Community Sch Corp	1810290	Navarre Intermediate Center	181029001679	I	
Evansville Vanderburgh Sch Corp	1803450	McGary Middle School	180345000477	I	
Campagna Academy Charter School	1800022	Campagna Academy Charter School	180002201727	I	29.5%
Fountain Square Academy	1800031	Fountain Square Academy	180003102223	I	25.0%
Fort Wayne Community Schools	1803630	Merle J Abbett Elementary Sch	180363000358	I (new)	
East Allen County Schools	1802850	Meadowbrook Elementary School	180285000350	I (new)	
Elkhart Community Schools	1803270	Hawthorne Elementary School	180327000431	I (new)	
Gary Community School Corp	1803870	Dr Bernard C Watson Acad for Boys	180387000617	I (new)	
Gary Community School Corp	1803870	Bailly Preparatory Academy	180387000612	I (new)	
Anderson Community School Corp	1800150	Anderson Elementary School	180015001847	I (new)	
Indianapolis Public Schools	1804770	Eliza A Blaker School 55	180477000822	I (new)	
Indianapolis Public Schools	1804770	Joyce Kilmer School 69	180477002442	I (new)	
South Bend Community Sch Corp	1810290	Brown Intermediate Center	181029002296	I (new)	
South Bend Community Sch Corp	1810290	Coquillard Primary Center	181029001644	I (new)	
South Bend Community Sch Corp	1810290	Harrison Primary Center	181029001646	I (new)	
South Bend Community Sch Corp	1810290	Dickinson Fine Arts Academy	181029001661	I (new)	
South Bend Community Sch Corp	1810290	Lincoln Primary Center	181029001669	I (new)	

South Bend Community Sch Corp	1810290	Marquette Montessori Academy	181029001672	I (new)	
South Bend Community Sch Corp	1810290	Muessel Primary Center	181029001674	I (new)	
Evansville Vanderburgh Sch Corp	1803450	Howard Roosa Elementary Sch	180345000473	I (new)	
Evansville Vanderburgh Sch Corp	1803450	The Learning Center	180345001639	I (new)	
Timothy L Johnson Academy	1800013	Timothy L Johnson Academy	180001301744	I (new)	
KIPP LEAD College Prep Charter	1800055	KIPP LEAD Middle School	180005502246	I (new)	
Aspire Charter Academy	1800071	Aspire Charter Academy	180007102443	I (new)	
Imagine Life Sciences Acad - East	1800076	Imagine Indiana Life Sci Aca-East	180007602433	I (new)	
Imagine MASTER on Broadway	1800073	Imagine Schools on Broadway	180007302431	I (new)	
The Indianapolis Project School	1800068	The Indianapolis Project School	180006802435	I (new)	
Imagine Life Sciences Acad - West	1800084	Imagine Ind Life Science West	180008402447	I (new)	
Fort Wayne Community Schools	1803630	Wayne High School	180363000568	II	
East Allen County Schools	1802850	Paul Harding High School	180285000355	II	
School City of East Chicago	1802880	East Chicago Central High Sch	180288002272	II	
Gary Community School Corp	1803870	Lew Wallace (Sci, Tech, Eng, Math)	180387000637	II	
Gary Community School Corp	1803870	Theodore Roosevelt Car & Tech Acad	180387000645	II	
Gary Community School Corp	1803870	West Side Leadership Academy	180387000648	II	
Anderson Community School Corp	1800150	Anderson High School	180015000029	II	
Vigo County School Corp	1812090	Booker T Washington Alt Sch	181209002344	II	
Vigo County School Corp	1812090	McLean Education Center (Alt)	181209000926	II	
School City of Hammond	1804320	George Rogers Clark Md/HS	181209000735	II (new)	
Indianapolis Public Schools	1804770	Arlington Community High School	180477000799	II (new)	
Indianapolis Public Schools	1804770	Arsenal Technical High School	180477000801	II (new)	
Indianapolis Public Schools	1804770	Broad Ripple Mgnt HS for Prfm Arts	180477000804	II (new)	
Indianapolis Public Schools	1804770	Emmerich Manual High School	180477000825	II (new)	
Indianapolis Public Schools	1804770	Northwest High School	180477000878	II (new)	
Indianapolis Public Schools	1804770	Key Learning Community	180477001434	II (new)	
Indianapolis Public Schools	1804770	Thomas Carr Howe Comm High School	180477001445	II (new)	
South Bend Community Sch Corp	1810290	Washington High School	181029001684	II (new)	
Options Charter School - Carmel	1800016	Options Charter School - Carmel	180001601738	II (new)	

21st Century Charter Sch of Gary	1800046	21st Century Charter Sch of Gary	180004602162	II (new)	
Options Charter Sch - Noblesville	1800056	Options Charter School Noblesville	180005602313	II (new)	
Hope Academy	1800059	Hope Academy	180005902386	II (new)	
Beacon Academy	1800075	Beacon Academy	180007502428	II (new)	
Fort Wayne Community Schools	1803630	Kekionga Middle School	180363000537	III	
Fort Wayne Community Schools	1803630	Miami Middle School	180363000548	III	
Fort Wayne Community Schools	1803630	Fairfield Elementary School	180363002197	III	
Fort Wayne Community Schools	1803630	Adams Elementary School	180363000511	III	
Fort Wayne Community Schools	1803630	Bloomington Elementary Sch	180363000517	III	
Fort Wayne Community Schools	1803630	Maplewood Elementary School	180363000544	III	
Fort Wayne Community Schools	1803630	Nebraska Elementary School	180363000549	III	
Fort Wayne Community Schools	1803630	Northcrest Elementary School	180363000551	III	
Fort Wayne Community Schools	1803630	Levan R Scott Academy	180363000564	III	
Fort Wayne Community Schools	1803630	South Wayne Elementary School	180363000563	III	
East Allen County Schools	1802850	Southwick Elementary School	180285000356	III	
Bartholomew Con School Corp	1800360	Fodrea Community School	180036000067	III	
Blackford County Schools	1800570	Montpelier School	180036000107	III	
Brown County School Corporation	1800960	Helmsburg Elementary School	180096000170	III	
Delphi Community School Corp	1802700	Delphi Community Elementary School	180270000328	III	
Logansport Community Sch Corp	1806030	Fairview Elementary School	180603001055	III	
West Clark Community Schools	1809370	William W Borden Elem Sch	180937001539	III	
Greater Clark County Schools	1803940	Northaven Elementary School	180394000673	III	
Greater Clark County Schools	1803940	Jonathan Jennings Elem Sch	180394000667	III	
Greater Clark County Schools	1803940	Bridgepoint Elementary School	180394000665	III	
Greater Clark County Schools	1803940	Parkwood Elementary School	180394000675	III	
Clay Community Schools	1800840	Forest Park Elementary School	180084000159	III	
Clinton Prairie School Corp	1802160	Clinton Prairie Elem School	180216002245	III	
Community Schools of Frankfort	1803660	Suncrest Elementary Sch	180366000602	III	
Washington Com Schools	1812450	Lena Dunn Elementary School	181245002003	III	
Lawrenceburg Com School Corp	1805700	Central Elementary School	180570001035	III	

DeKalb Co Ctl United Sch Dist	1803060	James R Watson Elem School	180306000222	III	
DeKalb Co Ctl United Sch Dist	1803060	Country Meadow Elem School	180306000847	III	
Muncie Community Schools	1807320	Grissom Elementary School	180732001235	III	
Muncie Community Schools	1807320	South View Elementary School	180732002153	III	
Muncie Community Schools	1807320	Longfellow Elementary School	180732001237	III	
Muncie Community Schools	1807320	Sutton Elementary School	180732001249	III	
Southwest Dubois Co Sch Corp	1810870	Huntingburg Elementary School	181087001236	III	
Concord Community Schools	1802400	Concord East Side Elem School	180240000270	III	
Concord Community Schools	1802400	Concord South Side Elem School	180240000273	III	
Concord Community Schools	1802400	Concord West Side Elem School	180240000274	III	
Middlebury Community Schools	1806600	Jefferson Elementary School	180660001163	III	
Middlebury Community Schools	1806600	York Elementary School	180660001166	III	
Middlebury Community Schools	1806600	Middlebury Elementary School	180660001164	III	
Elkhart Community Schools	1803270	Beardsley Elementary School	180327000423	III	
Elkhart Community Schools	1803270	Monger Elementary School	180327000437	III	
Elkhart Community Schools	1803270	Woodland Elementary School	180327000447	III	
Goshen Community Schools	1803930	Chamberlain Elementary School	180393000652	III	
Goshen Community Schools	1803930	Chandler Elementary School	180393000653	III	
Goshen Community Schools	1803930	West Goshen Elementary School	180393000661	III	
Fayette County School Corp	1803510	Maplewood Elementary School	180351000505	III	
New Albany-Floyd Co Con Sch	1807410	Green Valley Elementary Sch	180741001269	III	
Attica Consolidated Sch Corp	1800210	Attica Elementary School	180021000049	III	
Southeast Fountain School Corp	1810620	Southeast Fountain Elementary	181062001743	III	
Mississinewa Community School Corp	1806870	Westview Elementary School	180687001193	III	
Mississinewa Community School Corp	1806870	Northview Elementary School	180687001191	III	
Marion Community Schools	1806390	Allen Elementary School	180639001107	III	
Marion Community Schools	1806390	Frances Slocum Elem School	180639001110	III	
M S D Shakamak Schools	1810110	Shakamak Elementary School	181011001622	III	
Greenfield-Central Com Schools	1804050	Harris Elementary School	180405000697	III	
Danville Community School Corp	1802550	North Elementary School	180255000306	III	

New Castle Community Sch Corp	1807440	Eastwood Elementary School	180744002156	III	
New Castle Community Sch Corp	1807440	Parker Elementary School	180744002157	III	
New Castle Community Sch Corp	1807440	Wilbur Wright Elementary School	180744001292	III	
Huntington Co Com Sch Corp	1804710	Lincoln Elementary School	180471000788	III	
Brownstown Cnt Com Sch Corp	1801050	Brownstown Elementary School	180105000182	III	
Rensselaer Central School Corp	1809420	Van Rensselaer Elementary School	180942001545	III	
Madison Consolidated Schools	1806120	Emery O Muncie Elem School	180612001088	III	
Southwestern-Jefferson Co Con	1810800	Southwestern Elementary Sch	181080001766	III	
Jennings County Schools	1805190	Sand Creek Elementary Sch	180519001417	III	
Jennings County Schools	1805190	North Vernon Elementary School	180519000924	III	
Clark-Pleasant Com School Corp	1801890	Break-O-Day Elementary School	180189000243	III	
Edinburgh Community Sch Corp	1803240	East Side Elementary School	180324000421	III	
Greenwood Community Sch Corp	1804110	Greenwood Northeast Elem Sch	180411000711	III	
Wawasee Community School Corp	1805550	North Webster Elementary Sch	180555001003	III	
Warsaw Community Schools	1812420	Leesburg Elementary School	181242001993	III	
Whitko Community School Corp	1813230	Pierceton Elementary School	181323002084	III	
Prairie Heights Com Sch Corp	1809300	Prairie Heights Elem Sch	180930001524	III	
Lakeland School Corporation	1805520	Parkside Elementary School	180552000999	III	
Lake Central School Corp	1805450	Homan Elementary School	180545002143	III	
Tri-Creek School Corporation	1811460	Three Creeks Elem School	181146002360	III	
Lake Ridge Schools	1805460	Longfellow Elementary School	180546000993	III	
Lake Ridge Schools	1805460	Lake Ridge Middle School	180546000992	III	
School City of East Chicago	1802880	Benjamin Franklin Elem School	180288000363	III	
School City of East Chicago	1802880	Carrie Gosch Elementary School	180288000365	III	
School City of East Chicago	1802880	Benjamin Harrison Elementary Sch	180288000364	III	
School City of East Chicago	1802880	Abraham Lincoln Elementary Sch	180288000362	III	
School City of East Chicago	1802880	William McKinley Elementary Sch	180288000375	III	
Gary Community School Corp	1803870	Beveridge Elementary School	180387000615	III	
Gary Community School Corp	1803870	Jefferson Elementary School	180387000633	III	
Gary Community School Corp	1803870	Glen Park Acad for Excel in Lrn	180387002102	III	

Gary Community School Corp	1803870	Daniel Webster Elem Sch	180387000619	III	
School City of Hammond	1804320	Henry W Eggers Elem/Md Sch	180432000738	III	
School City of Hammond	1804320	Columbia Elementary School	180432000733	III	
School City of Hammond	1804320	Washington Irving Elem Sch	180432000751	III	
School City of Hammond	1804320	Abraham Lincoln Elem Sch	180432000730	III	
School City of Hammond	1804320	Maywood Elementary School	180432000744	III	
School City of Hammond	1804320	Lew Wallace Elementary School	180432000743	III	
School City of Hammond	1804320	Frank O'Bannon Elementary School	180432002106	III	
Michigan City Area Schools	1806570	Knapp Elementary School	180657001151	III	
Michigan City Area Schools	1806570	Niemann Elementary School	180657001156	III	
Michigan City Area Schools	1806570	Marsh Elementary School	180657001153	III	
North Lawrence Com Schools	1807860	Lincoln Elementary School	180786001341	III	
North Lawrence Com Schools	1807860	Stalker Elementary School	180786001348	III	
Alexandria Com School Corp	1800120	Alexandria-Monroe Elementary	180012000009	III	
Anderson Community School Corp	1800150	Tenth Street Elementary Sch	180015000041	III	
Anderson Community School Corp	1800150	Erskine Elementary School	180015002110	III	
M S D Lawrence Township	1805670	Harrison Hill Elem Sch	180567001027	III	
M S D Perry Township	1808820	Clinton Young Elem Sch	180882001456	III	
M S D Perry Township	1808820	Homecroft Elementary School	180882001460	III	
M S D Pike Township	1808910	Deer Run Elementary	180891002374	III	
M S D Pike Township	1808910	College Park Elem Sch	180891002324	III	
M S D Pike Township	1808910	Central Elementary School	180891001484	III	
M S D Pike Township	1808910	Snacks Crossing Elem Sch	180891001598	III	
M S D Washington Township	1812720	Greenbriar Elementary School	181272002016	III	
M S D Washington Township	1812720	Nora Elementary School	181272002020	III	
M S D Washington Township	1812720	Fox Hill Elementary Sch	181272002376	III	
M S D Wayne Township	1812810	Maplewood Elementary School	181281002034	III	
M S D Wayne Township	1812810	Garden City Elementary School	181281002033	III	
M S D Wayne Township	1812810	Rhoades Elementary School	181281002036	III	
M S D Wayne Township	1812810	Stout Field Elementary School	181281002040	III	

Indianapolis Public Schools	1804770	Crispus Attucks Medical Magnet	180477000815	III	
Indianapolis Public Schools	1804770	Washington Irving School 14	180477000897	III	
Indianapolis Public Schools	1804770	Thomas D Gregg School 15	180477000896	III	
Indianapolis Public Schools	1804770	Charity Dye School 27	180477000810	III	
Indianapolis Public Schools	1804770	James A Garfield Sch 31	180477000866	III	
Indianapolis Public Schools	1804770	Eleanor Skillen School 34	180477000821	III	
Indianapolis Public Schools	1804770	William McKinley School 39	180477000903	III	
Indianapolis Public Schools	1804770	Elder W Diggs School 42	180477000820	III	
Indianapolis Public Schools	1804770	James Whitcomb Riley Sch 43	180477000854	III	
Indianapolis Public Schools	1804770	Riverside School 44	180477000885	III	
Indianapolis Public Schools	1804770	Louis B Russell Jr School 48	180477000867	III	
Indianapolis Public Schools	1804770	William Penn School 49	180477000904	III	
Indianapolis Public Schools	1804770	James Russell Lowell School 51	180477002404	III	
Indianapolis Public Schools	1804770	Brookside School 54	180477000805	III	
Indianapolis Public Schools	1804770	William A Bell School 60	180477000901	III	
Indianapolis Public Schools	1804770	Wendell Phillips School 63	180477002394	III	
Indianapolis Public Schools	1804770	Raymond F Brandes School 65	180477000884	III	
Indianapolis Public Schools	1804770	Stephen Collins Foster Sch 67	180477000890	III	
Indianapolis Public Schools	1804770	Floro Torrence School 83	180477000829	III	
Indianapolis Public Schools	1804770	Francis Scott Key School 103	180477000834	III	
Indianapolis Public Schools	1804770	Charles W Fairbanks Sch 105	180477000811	III	
Indianapolis Public Schools	1804770	Robert Lee Frost School 106	180477000887	III	
Indianapolis Public Schools	1804770	Willard J Gambold Middle School	180477000900	III	
Indianapolis Public Schools	1804770	George S Buck Elementary School	180477001426	III	
Indianapolis Public Schools	1804770	Arlington Woods Elementary School	180477001427	III	
Indianapolis Public Schools	1804770	Clarence Farrington School 61	180477002393	III	
Bremen Public Schools	1800900	Bremen Elem/Middle School	180090000166	III	
Monroe County Com Sch Corp	1800630	Grandview Elementary School	180063000128	III	
Monroe County Com Sch Corp	1800630	Fairview Elementary School	180063000127	III	
Central Noble Com School Corp	1801710	Albion Elementary School	180171000228	III	

East Noble School Corp	1802970	North Side Elementary School	180297000392	III	
West Noble School Corporation	1812900	Ligonier Elementary School	181290002055	III	
West Noble School Corporation	1812900	West Noble Elementary School	181290002231	III	
Spencer-Owen Community Schools	1810950	Patrickburg Elementary Sch	181095001792	III	
Spencer-Owen Community Schools	1810950	Spencer Elementary School	181095001794	III	
Spencer-Owen Community Schools	1810950	McCormick's Creek Elem Sch	181095001511	III	
Cannelton City Schools	1801170	Cannelton Elem & High School	180117000191	III	
Portage Township Schools	1809150	Wallace Aylesworth Elementary	180915001518	III	
Cloverdale Community Schools	1802220	Cloverdale Elementary School	180222000264	III	
Randolph Central School Corp	1801770	Willard Elem School	180177000241	III	
Penn-Harris-Madison Sch Corp	1808760	Meadow's Edge Elementary Sch	180876001141	III	
South Bend Community Sch Corp	1810290	McKinley Primary Center	181029001673	III	
South Bend Community Sch Corp	1810290	Monroe Primary Center	181029001659	III	
South Bend Community Sch Corp	1810290	Wilson Primary Center	181029000069	III	
South Bend Community Sch Corp	1810290	Perley Fine Arts Academy	181029001678	III	
Scott County School District 1	1809990	Austin Elementary School	180999001604	III	
Scott County School District 2	1810020	Scottsburg Elem School	181002001608	III	
Shelbyville Central Schools	1810140	Thomas A Hendricks Elem Sch	181014001632	III	
Oregon-Davis School Corp	1808460	Oregon-Davis Elementary Sch	180846002209	III	
Knox Community School Corp	1805340	Knox Community Elementary School	180534000940	III	
M S D Steuben County	1811100	Hendry Park Elementary School	181110001800	III	
Northeast School Corp	1808160	Dugger Elementary School	180816001398	III	
Northeast School Corp	1808160	Hymera Elementary School	180816001401	III	
Southwest School Corp	1810860	Sullivan Elementary School	181086001771	III	
Lafayette School Corporation	1805400	Thomas Miller Elementary Sch	180540000976	III	
Lafayette School Corporation	1805400	Murdock Elementary School	180540000972	III	
Tippecanoe School Corp	1811340	Mayflower Mill Elem Sch	181134001829	III	
Tippecanoe School Corp	1811340	Dayton Elementary School	181134001824	III	
Tippecanoe School Corp	1811340	Klondike Elementary School	181134001827	III	
Evansville Vanderburgh Sch Corp	1803450	Lincoln School	180345000475	III	

Evansville Vanderburgh Sch Corp	1803450	Cedar Hall Community School	180345000458	III	
Evansville Vanderburgh Sch Corp	1803450	Delaware Elementary School	180345000462	III	
Evansville Vanderburgh Sch Corp	1803450	Evans Middle School	180345000464	III	
Evansville Vanderburgh Sch Corp	1803450	Fairlawn Elementary School	180345000465	III	
Evansville Vanderburgh Sch Corp	1803450	Lodge Community School	180345000476	III	
North Vermillion Com Sch Corp	1808070	North Vermillion Elem Sch	180807000184	III	
South Vermillion Com Sch Corp	1810590	Central Elementary School	181059001735	III	
South Vermillion Com Sch Corp	1810590	Ernie Pyle Elementary School	181059001736	III	
Vigo County School Corp	1812090	Chauncey Rose Middle Sch	181209001897	III	
Vigo County School Corp	1812090	Deming Elementary School	181209001902	III	
Vigo County School Corp	1812090	Benjamin Franklin Elem School	181209001894	III	
Vigo County School Corp	1812090	Sugar Grove Elementary School	181209001916	III	
Vigo County School Corp	1812090	Terre Town Elementary School	181209001919	III	
Wabash City Schools	1812150	O J Neighbours Elem Sch	181215001937	III	
Richmond Community Schools	1809510	Crestdale Elementary School	180951001554	III	
Richmond Community Schools	1809510	Fairview Elementary School	180951001556	III	
Twin Lakes School Corp	1811580	Oaklawn Elementary School	181158001861	III	
Smith-Green Community Schools	1810230	Churubusco Elementary School	181023001637	III	
Charter School of the Dunes	1800027	Charter School of the Dunes	180002701815	III	
Veritas Academy	1800015	Veritas Academy	180001501786	III	
Fall Creek Academy	1800017	Fall Creek Academy	180001701788	III	
KIPP Indpls College Preparatory	1800028	KIPP Indpls College Preparatory	180002802136	III	
Gary Lighthouse Charter School	1800052	Gary Lighthouse Charter School	180005202155	III	
East Chicago Urban Enterprise Acad	1800048	East Chicago Urban Enterprise Acad	180004802163	III	
Indpls Lighthouse Charter School	1800051	Indpls Lighthouse Charter School	180005102165	III	
West Gary Lighthouse Charter	1800063	West Gary Lighthouse	180006302389	III	
East Chicago Lighthouse Charter	1800054	East Chicago Lighthouse	180005402235	III	
Stonegate Early Clg HS for Sci/Tec	1800062	Stonegate Early Clg HS for Sci/Tec	180006202397	III	
Elkhart Community Schools	1803270	Roosevelt Elementary School	180327000444	III	
Rensselaer Central School Corp	1809420	Monnett Elementary School	180942001542	III	

Clark-Pleasant Com School Corp	1801890	Sawmill Woods Elementary School	180189001028	III	
Mitchell Community Schools	1806900	Hatfield Elementary School	180690001196	III	

## Appendix B:

### Worksheet #1: Analysis of Student and School Data Worksheet #2: Self-Assessment of Practices of High-Poverty, High Performing Schools

#### Worksheet #1: Analysis of Student and School Data

##### ➤ Instructions:

- Complete the table below for each student group that did *not* meet AYP for performance in English/language arts and/or mathematics for 2009-2010. (Do not list those groups that did meet AYP).
- Student groups would include American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient and Special Education.
- For LEA data, see the IDOE web site: <http://compass.doe.in.gov/Dashboard.aspx?view=STATE&val=0&desc=STATE>

Student groups not meeting AYP (list groups below)	% of this group not meeting AYP	# of students in this group not meeting AYP	How severe is this group's failure? (high, medium, low)	How unique are the learning needs of this group? (high, medium, low)
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#### English/Language Arts

Example: LEP	75%	52	High - have been in U.S. 3 or more years	High - no prior formal schooling; from non-Western culture


**Mathematics**


<p><b>What are the key findings from the student achievement data that correspond to changes needed in curriculum, instruction, assessment, professional development and school leadership?</b></p> <p><i>Not appropriate example:</i> Students from Mexico aren't doing well in school. "</p> <p><i>Appropriate example:</i> "75% of our Mexican students who have been in the U.S. for three years or more are not passing E/LA ISTEP+."</p> <p><i>Appropriate example:</i> "65% of our students with free and reduced lunch did not pass ISTEP+ in the E/LA strand of 'vocabulary'."</p>	<p><b>What is at the "root" of the findings? What is the underlying cause?</b></p> <p><i>Inappropriate example:</i> "Hispanic students watch Spanish television shows and their parents speak Spanish to them at home all the time so they aren't learning English."</p> <p><i>Appropriate example:</i> "Our ELL program provides only one-hour of support per week for students who have been in the U.S. for three or more years."</p>

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## Worksheet #2: Self-Assessment of Practices High-Performing Schools

➤ **Instructions:**

- The following table lists the research and best practices of effective schools, especially of high-poverty, high-performing schools. These practices are embedded in the school improvement models as well.
- Using a team that knows the school well, critically consider the practices of the school and determine a score of 1-4 with four being the highest.
- As with the other previous data sources, use the scores to develop a set of key findings.

The Principal and Leadership	1	2	3	4	The Principal and Leadership
1. Spends most of the time managing the school. 2. Is rarely in the classrooms. 3. Is not knowledgeable about English/ language arts or mathematics instruction. 4. Serves as lone leader of the school 5. Must accept teachers based on seniority or other union agreements rather than on their effectiveness in the classroom.					1. Spends great deal of time in classrooms. 2. Conducts frequent walk-throughs. 3. Knows E/LA and mathematics instruction well and is able to assist teachers. 4. Utilizes various forms of leadership teams and fosters teachers' development as leaders. 5. Is not bound by seniority rules in hiring and placement of teachers.
Instruction	1	2	3	4	Instruction
1. Is primarily lecture-style and teacher-centered. 2. Places the same cognitive demands on all learners (no differentiation). 3. Is primarily textbook-oriented. 4. Does not include technology. 5. Works alone, rarely meeting in or					1. Includes a variety of methods that are student-centered. 2. Provides various levels of cognitive demands (differentiation; Response to Instruction - RTI). 3. Uses multiple sources beyond textbooks. 4. Includes frequent use of

<p>across grade-level teams to discuss and improve.</p> <p>6. Instruction is rarely evaluated and connections to student learning growth or increased graduation rates are not made.</p> <p>7. Instruction is not increased to allow for more student learning time.</p>					<p>technology.</p> <p>5. Works in teams, discussing student learning and instructional ideas.</p> <p>6. Instruction is evaluated through rigorous, transparent, and equitable processes that take into account student growth and increased graduation rates.</p> <p>7. Schedules and strategies provide for increased student learning time.</p>
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<b>Curriculum</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Curriculum</b>
<ol style="list-style-type: none"> <li>1. Leadership does not observe or evaluate teachers for use of the curriculum.</li> <li>2. Is considered to be the textbook or the state standards.</li> <li>3. Is not aligned within or across grade levels.</li> <li>4. Is not rigorous or cognitively demanding.</li> <li>5. Is not available to all students, e.g., English language learners or students with disabilities as they are not present in the regular classroom during core instruction time.</li> <li>6. Is not differentiated for struggling students.</li> </ol>					<ol style="list-style-type: none"> <li>1. Is observed by school leadership that it is being taught.</li> <li>2. Is developed by the district/teachers based on unpacking the state standards.</li> <li>3. Is aligned within and across grade levels.</li> <li>4. Is rigorous and cognitively demanding.</li> <li>5. Is accessible to all students through placement in regular classroom during instruction of the core curriculum.</li> <li>6. Is differentiated for struggling students.</li> </ol>
<b>Data - Formative Assessments</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Data - Formative Assessments</b>
<ol style="list-style-type: none"> <li>1. Are not regularly used by teachers.</li> <li>2. Are not routinely disaggregated by teachers.</li> <li>3. Are not used to determine appropriate instructional strategies.</li> </ol>					<ol style="list-style-type: none"> <li>1. Are used to implement an aligned instructional program.</li> <li>2. Are used to provide differentiated instruction.</li> <li>3. Are discussed regularly in teacher groups to discuss student work</li> </ol>
<b>Professional Development</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Professional Development</b>
<ol style="list-style-type: none"> <li>1. Is individually selected by each teacher; includes conferences and conventions.</li> <li>2. Is not related to curriculum, instruction, or assessment.</li> <li>3. Is short, i.e., one-shot sessions.</li> <li>4. Does not include follow-up</li> </ol>					<ol style="list-style-type: none"> <li>1. Is of high quality and job-embedded.</li> <li>2. Is aligned to the curriculum and instructional program.</li> <li>3. Includes increasing staff's knowledge and skills in instructing English language learners and students with disabilities.</li> </ol>

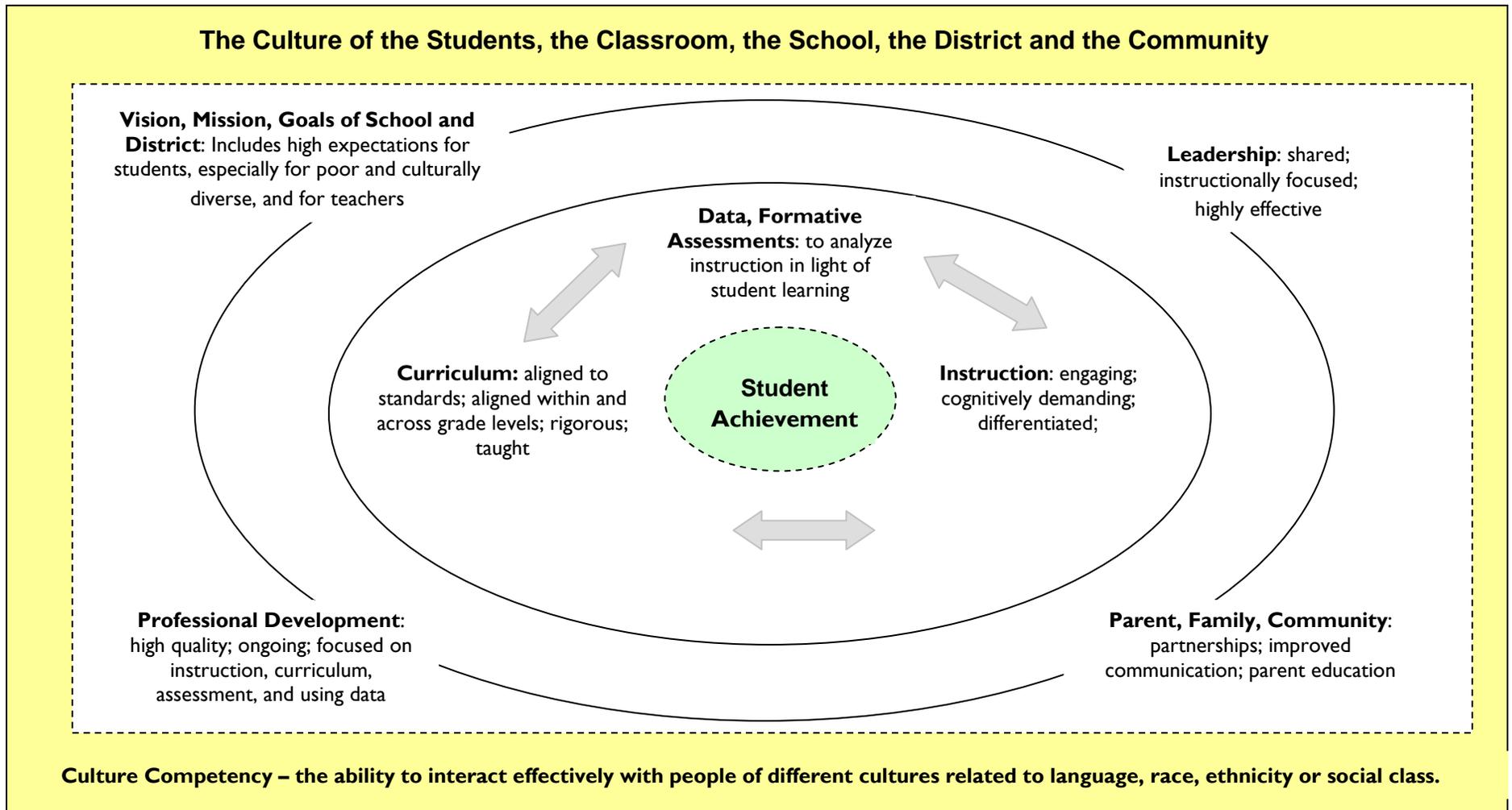
assistance, mentoring, or monitoring of classroom implementation.				4	Is developed long-term; focuses on improving curriculum, instruction, and formative assessments.
<b>Parents, Family, Community</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Parents, Family, Community</b>
<ul style="list-style-type: none"> <li>1. Does not provide extended supports.</li> <li>2. Does not ensure a safe school and community environment for children.</li> </ul>					<ul style="list-style-type: none"> <li>1. Provides social and emotional supports from school and community organizations.</li> <li>2. Creates a safe learning environment within the school and within the community.</li> <li>3. Includes use of advisory periods to build student-adult relationships.</li> </ul>

Cultural Competency	1	2	3	4	Cultural Competency
<ol style="list-style-type: none"> <li>1. Holds the belief that all students learn the same way.</li> <li>2. Uses the textbook to determine the focus of study.</li> <li>3. “Cultural instruction” is limited to study of flags, festivals, and foods of countries/people.</li> <li>4. Does not investigate students’ level of education prior to coming to the United States; home languages; the political/economic history; conditions of countries or groups.</li> <li>5. Does not connect curriculum and learning to students’ own life experiences as related to race, ethnicity, or social class.</li> </ol>					<ol style="list-style-type: none"> <li>1. Holds the belief that students learn differently and provides for by using various instructional practices.</li> <li>2. Combines what learners need to know from the standards and curriculum with the needs in their lives.</li> <li>3. Provides culturally proficient instruction, allows learners to explore cultural contexts of selves and others.</li> <li>4. Investigates students’ education prior to coming to the United States; home languages; political/economic history; conditions of countries or groups.</li> <li>5. Connects curriculum and learning to students’ own life experiences as related to race, ethnicity or class.</li> </ol>

<p><b>What are the key findings from the self-assessment of high-performing schools?</b></p> <p><i>Appropriate example:</i> “We don’t have a curriculum aligned across grade levels.”</p> <p><i>Appropriate example:</i> “We only teach flags, festivals and foods with our students. “</p>	<p><b>What is at the “root” of the findings? What is the underlying cause?</b></p> <p><i>Appropriate example</i> ” We don’t know how to align our curriculum across grade levels.”</p> <p><i>Appropriate example:</i> “Connecting curriculum to students’ lives takes longer to prepare lessons.”</p>
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## Appendix C: Theory of Action for Indiana High-Poverty Schools and District in Improvement: Moving towards High-Performance

The Indiana Department of Education, Title I analyzed the literature and research on high-performance, high-poverty schools and districts. The findings revealed specific practices and policies of successful high-poverty schools and districts. These findings serve as the components of the Theory of Action below. Supports to and requirements of schools and districts correspond to these components of successfulness.



## Appendix D: Elements of School Intervention/Improvement Models

Turnaround Model	Transformation Model
<b>Required Elements</b>	<b>Required Elements</b>
Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a turnaround office, hire a turnaround leader, or enter into a contract to obtain added flexibility in exchange for greater accountability.	<p><u>Develop Teacher and Leader Effectiveness</u></p> <ol style="list-style-type: none"> <li>1. Replace the principal who led the school prior to implementing the model.</li> <li>2. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that take into account data on student growth, multiple assessments, and increased graduation rates. Evaluations are developed with teacher and principal</li> <li>3. Reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and H.S. graduation rates. Remove those who, after opportunities have been provided to improve, have not.</li> <li>4. Provide staff ongoing, high quality, job-embedded professional development that is aligned with the instructional program and designed with school staff.</li> <li>5. Implement strategies such as financial incentives, promotion, career growth, and flexible work conditions that are designed to recruit, place and retain staff.</li> </ol>
Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.	<p><u>Increasing Learning Time and Creating Community-Oriented Schools</u></p> <ol style="list-style-type: none"> <li>1. Establish schedules and implement strategies that provide increased learning time.</li> <li>2. Provide ongoing mechanisms for family and community engagement.</li> </ol>
Promote the use of student data to inform and differentiate instruction.	<p><u>Comprehensive Instructional Reform Strategies</u></p> <ol style="list-style-type: none"> <li>1. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.</li> <li>2. Promote the continuous use of student data to inform and differentiate instruction.</li> </ol>
Establish schedules and implement strategies that provide increased learning time.	<p><u>Provide Operational Flexibility and Sustained Support</u></p> <ol style="list-style-type: none"> <li>1. Give the school sufficient operational flexibility (staffing, calendars/time and budgeting).</li> <li>2. Ensure school receives ongoing, intensive technical assistance and support from the LEA, SEA, or designated external lead partner organization.</li> </ol>
Provide appropriate social-emotional and community-oriented services and supports for students.	

<b>Turnaround Model</b>
<b>Permissible Elements</b>
New school model (e.g., themed, dual language academy)
Any of the required and permissible activities under the transformation model – these would be in addition to, not instead of, the actions that are required as part of a turnaround model.

<b>Transformation Model</b>
<b>Permissible Elements</b>
<u>Develop Teacher and Leader Effectiveness</u> <ol style="list-style-type: none"> <li>1. Provide additional compensation to attract and retain staff with skills necessary to meet the needs of students in a transformation model.</li> <li>2. Institute a system for measuring changes in instructional practices resulting from professional development.</li> <li>3. Ensure that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher’s seniority.</li> <li>4. LEAs have flexibility to develop and implement their own strategies to increase the effectiveness of teachers and school leaders. Strategies must be in addition to those that are required as part of this model.</li> </ol>
<u>Comprehensive Instructional Reform</u> <ol style="list-style-type: none"> <li>1. Conduct periodic reviews to ensure that the curriculum is being implemented with fidelity.</li> <li>2. Implement a schoolwide “response-to-intervention” model.</li> <li>3. Provide additional supports to teachers and principals to implement strategies to support students with disabilities and limited English proficient students.</li> <li>4. Using technology-based supports.</li> <li>5. In secondary schools – <ol style="list-style-type: none"> <li>a) increase rigor</li> <li>b) summer transition programs; freshman academies</li> <li>c) increasing graduation rates establishing early warning systems</li> </ol> </li> </ol>
<u>Increasing Learning Time and Creating Community-Oriented Schools</u> <ol style="list-style-type: none"> <li>1. Partner with parents, faith and community-based organizations, health clinics, State or local agencies to create safe environments.</li> <li>2. Extend or restructure the school day to add time for such strategies as advisory periods that build relationships.</li> <li>3. Implement approaches to improve school climate and discipline.</li> <li>4. Expand the school program to offer full-day kindergarten or pre-kindergarten.</li> </ol>
<u>Operational Flexibility and Sustained Support</u> <ol style="list-style-type: none"> <li>1. Allow school to be run under a new governance arrangement, e.g., turnaround division in the LEA.</li> <li>2. Implement a per-pupil school-based budget formula that is weighted based on student needs.</li> </ol>

<b>Restart Model</b>
<b><i>Required Elements</i></b>
Convert a school or close and reopen it under a charter school operator, a charter management organization or an educational management organization.
Must enroll within the grades it serves, any former student who wishes to attend.
<b><i>Permissible Elements</i></b>
May implement any of the required or permissible activities of a turnaround model or a transformation model.

<b>School Closure Model</b>
<b><i>Required Elements</i></b>
Close the school and enroll the students in other schools in the LEA that are higher achieving.

## Appendix E: Example of Alignment of Other Funding Sources to SIG Elements

Element of the Intervention	Intervention	Resource
<b>Federal Resources</b>		
Use of <i>research-based instructional practices</i> that are vertically aligned across grade levels and the state standards	Turnaround Transformation Restart	<b>Title I, Part A</b> - regular and stimulus funds (schoolwide or targeted assistance programs)
Assistance with design and implementation of <i>improvement plan</i> including high-quality job-embedded professional development designed to assist schools in implementing the intervention model	Turnaround Transformation Restart	<b>1003(a)</b> School Improvement Grant - AYP funds
<i>Recruitment of teaching staff</i> with skills and experience to effectively implement the selected intervention model	Turnaround Transformation	<b>Title II, Part A</b>
Job-embedded <i>staff development</i> aligned to grant goals to assist <i>English language learners</i>	Turnaround Transformation Restart	<b>Title III, Part A - LEP</b>
<b>State Resources</b>		
Focuses on early grade level intervention to improve the reading readiness and reading skills of students who are at risk of not learning to read.	Turnaround Transformation Restart	Early Intervention Grant
High ability grants to provide resources that support high ability students.	Turnaround Transformation Restart	High Ability Grant

**Appendix F: LEA Application of General Information  
2011-2012**

**School Improvement Grant (1003g)**

**LEA Application: General Information**

Corporation Name:		Corporation Number:
Contact for the School Improvement Grant:		
Position and Office:	Contact's Mailing Address:	
Telephone:	Fax:	
Email Address:		
Superintendent (Printed name)	Telephone:	
Signature of Superintendent  X _____	Date:	

- ➔ **Complete and submit this form one time only.**
- ➔ **Complete a second form, “Tier I and II Application” or “Tier III Application” for each school applying for a school improvement grant.**

## I. Schools to be Served by LEA

*Instructions:*

- 1) Using the list of Tier I, II and III schools provided by the IDOE, complete the information below, for all Tier I and II schools in the LEA typing in the school name and grade span (e.g., K-5, 6-8, 9-12, 6-12, etc.).
- 2) Place an “X” indicating the tier and the school improvement model (intervention) selected, based on the “School Needs Assessment” conducted by the LEA. (Add cells to the table as needed to add more schools.)

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

School Name	Grade Span	Tier I	Tier II	Based on the “School Needs Assessment” tool, the LEA has determined this model for the school				
				Turn-around	Transformation	Restart	Closure	No model will be implemented
1.								
2.								
3.								
4.								
5.								
6.								

**2. Explanation if LEA is Not Applying to Serve Each Tier I School**

- We will serve all of our Tier I schools.
- We believe we do not have the capacity to serve all Tier I schools. Our explanation for why is provided below.

### 3. Consultation with Stakeholders

*Instructions:*

- Consider the stakeholder groups that need to be consulted regarding the LEA’s intent to implement a new school improvement model.
- Include the stakeholders (e.g., parents, community organizations) as early on as possible.
- Provide the name of the school and then the stakeholder group, type of communication (e.g., meeting, letter) and the date occurred. (Individual names are not needed\*).

**School Name:** \_\_\_\_\_ **School Number:** \_\_\_\_\_

Stakeholder Group	Mode of Communication	Date

**School Name:** \_\_\_\_\_ **School Number:** \_\_\_\_\_

Stakeholder Group	Mode of Communication	Date

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School Name: \_\_\_\_\_ School Number: \_\_\_\_\_

Stakeholder Group	Mode of Communication	Date

School Name: \_\_\_\_\_ School Number: \_\_\_\_\_

Stakeholder Group	Mode of Communication	Date

\*IDOE may request that the LEA produce documentation that lists the names of the stakeholders above.

## D. Collaboration with Teachers' Unions

Several of the school improvement models require the agreement of the teachers' unions to ensure that all of the models' components are fully implemented. For example, one component of the transformation model is an alignment of teacher evaluations to student achievement growth.

The LEA must submit letters from the teachers' unions with its application indicating its agreement to fully participate in all components of the school improvement model selected.

## E. Assurances

\_\_\_\_\_ assures that it will  
Corporation/Charter School Name

- \_\_\_ 1. Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements.
- \_\_\_ 2. Establish annual goals for student achievement on the State's assessments for both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II School that it serves with school improvement funds.
- \_\_\_ 3. If it implements a restart model in a Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operation, charter management organization, or education management organization accountable for complying with the final requirements.
- \_\_\_ 4. Report to the SEA the school-level data required under section III of the final requirements.

## F. Waivers

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

- Extending the period of availability of school improvement funds.

*Note:* Indiana has requested a waiver of the period of availability of school improvement funds and upon receipt, that waiver automatically applies to all LEAs in the State.

- “Starting over” in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- Implementing a schoolwide program in a Tier I or Tier II Title I participating school that does meet the 40 percent poverty eligibility threshold.

## Appendix G: LEA Application for Each Tier I and Tier II School

### School Improvement Grant (1003g) 2011-2012

#### LEA School Application: Tier I and Tier II

The LEA must complete this form for *each* Tier I or II school applying for a school improvement grant.

School Corporation \_\_\_\_\_ Number \_\_\_\_\_

School Name \_\_\_\_\_

After completing the analysis of school needs and entering into the decision-making process in this application, reach consensus as to the school intervention (improvement) model to be used and place a checkmark below:

Turnaround

Restart

Transformation

Closure

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## Assurances

\_\_\_\_\_ assures that it will

Corporation/Charter School Name

- \_\_\_ 1. Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements.
- \_\_\_ 2. Establish annual goals for student achievement on the State’s assessments for both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II School that it serves with school improvement funds.
- \_\_\_ 3. If it implements a restart model in a Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operation, charter management organization, or education management organization accountable for complying with the final requirements.
- \_\_\_ 4. Report to the SEA the school-level data required under section III of the final requirements.

## Waivers

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

- Extending the period of availability of school improvement funds.

*Note:* Indiana has requested a waiver of the period of availability of school improvement funds and upon receipt, that waiver automatically applies to all LEAs in the State.

- “Starting over” in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- Implementing a schoolwide program in a Tier I or Tier II Title I participating school that does meet the 40 percent poverty eligibility threshold.

## **A. LEA Analysis of School Needs**

### **➤ Instructions:**

- 1) With an LEA improvement team that includes staff from the school, complete the two worksheets on the following pages “Analysis of Student and School Data” and “Self-Assessment of High-poverty, High-performing Schools.”
- 2) Develop findings from the data - short phrases and sentences that indicate the facts revealed by the data.
- 3) Complete a root cause analysis of the findings - the underlying reason for the finding.
- 4) Consider overall the meaning of the data, the findings, and the root cause analysis in terms of student, teachers, the principal and school needs.

**Worksheet #1: Analysis of Student and School Data**

➤ **Instructions:**

- Complete the table below for each student group that did *not* meet AYP for performance in English/language arts and/or mathematics for 2009-2010. (Do not list those groups that did meet AYP).
- Student groups would include American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient and Special Education.
- For LEA data, see the IDOE web site: <http://compass.doe.in.gov/Dashboard.aspx?view=STATE&val=0&desc=STATE>

<b>Student groups not meeting AYP (list groups below)</b>	<b>% of this group not meeting AYP</b>	<b># of students in this group not meeting AYP</b>	<b>How severe is this group's failure? (high, medium, low)</b>	<b>How unique are the learning needs of this group? (high, medium, low)</b>
-----------------------------------------------------------	----------------------------------------	----------------------------------------------------	----------------------------------------------------------------	-----------------------------------------------------------------------------

**English/Language Arts**

<i>Example: LEP</i>	75%	52	High - have been in U.S. 3 or more years	High - no prior formal schooling; from non-Western culture

## Mathematics


<p><b>What are the key findings from the student achievement data that correspond to changes needed in curriculum, instruction, assessment, professional development and school leadership?</b></p> <p><i>Not appropriate example:</i> Students from Mexico aren't doing well in school. "</p> <p><i>Appropriate example:</i> "75% of our Mexican students who have been in the U.S. for three years or more are not passing E/LA ISTEP+."</p> <p><i>Appropriate example:</i> "65% of our students with free and reduced lunch did not pass ISTEP+ in the E/LA strand of 'vocabulary'."</p>	<p><b>What is at the "root" of the findings? What is the underlying cause?</b></p> <p><i>Inappropriate example:</i> "Hispanic students watch Spanish television shows and their parents speak Spanish to them at home all the time so they aren't learning English."</p> <p><i>Appropriate example:</i> "Our ELL program provides only one-hour of support per week for students who have been in the U.S. for three or more years."</p>

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## Student Leading Indicators

➤ **Instructions:**

- 1) Using school, student and teacher data, complete the table below
- 2) If the indicator is not applicable, such as “dropout rate” for an elementary school, write “NA” - not applicable - in the column.
- 3) Review the data and develop several key findings on the next page.

	2008-2009	2009-2010
1. Number of minutes within the school year that students are required to attend school		
2. Dropout rate*		
3. Student attendance rate (must be a percentage between 0.00 and 100.00)		
4. Number and percentage of students completing advanced coursework* (e.g., AP/IB), or advanced math coursework		
5. Number of students completing dual enrollment classes		
6. Types of increased learning time offered LSY- Longer School Year LSD- Longer School Day BAS-Before/After School SS- Summer School WES-Weekend School OTH-Other		

7. Discipline incidents*		
8. Truants (# of unduplicated students, enter as a whole number)		
9. Distribution of teachers by performance level on LEA's teacher evaluation system		
10 Teacher attendance rate		

\*If this school is a high school, disaggregation of the data by student groups would be informative in your planning.

<p><b>What are key findings or summaries from the student leading indicator data?</b></p> <p><i>Inappropriate example:</i> “Teachers are absent a lot.”</p> <p><i>Appropriate example:</i> “ Teachers on average are out of the classroom 32 days of the school year.”</p>	<p><b>What is at the “root” of the findings? What is the underlying cause?</b></p> <p><i>Inappropriate example:</i>” Teachers don’t feel like coming to school“</p> <p><i>Appropriate example:</i> “Teachers’ working conditions are poor - limited heat in the classrooms; teachers attend three weeks of professional development during the year and the school has difficulty finding substitutes so students are placed in other teachers’ classrooms”</p>

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## Worksheet #2: Self-Assessment of Practices High-Performing Schools

➤ **Instructions:**

- The following table lists the research and best practices of effective schools, especially of high-poverty, high-performing schools. These practices are embedded in the school improvement models as well.
- Using a team that knows the school well, critically consider the practices of the school and determine a score of 1-4 with four being the highest.
- As with the other previous data sources, use the scores to develop a set of key findings.

The Principal and Leadership	1	2	3	4	The Principal and Leadership
6. Spends most of the time managing the school. 7. Is rarely in the classrooms. 8. Is not knowledgeable about English/ language arts or mathematics instruction. 9. Serves as lone leader of the school 10. Must accept teachers based on seniority or other union agreements rather than on their effectiveness in the classroom.					6. Spends great deal of time in classrooms. 7. Conducts frequent walk-throughs. 8. Knows E/LA and mathematics instruction well and is able to assist teachers. 9. Utilizes various forms of leadership teams and fosters teachers' development as leaders. 10. Is not bound by seniority rules in hiring and placement of teachers.
Instruction	1	2	3	4	Instruction
8. Is primarily lecture-style and teacher-centered. 9. Places the same cognitive demands on all learners (no differentiation). 10. Is primarily textbook-oriented. 11. Does not include technology. 12. Works alone, rarely meeting in					8. Includes a variety of methods that are student-centered. 9. Provides various levels of cognitive demands (differentiation; Response to Instruction - RTI). 10. Uses multiple sources beyond textbooks. 11. Includes frequent use of

<p>or across grade-level teams to discuss and improve.</p> <p>13. Instruction is rarely evaluated and connections to student learning growth or increased graduation rates are not made.</p> <p>14. Instruction is not increased to allow for more student learning time.</p>					<p>technology.</p> <p>12. Works in teams, discussing student learning and instructional ideas.</p> <p>13. Instruction is evaluated through rigorous, transparent, and equitable processes that take into account student growth and increased graduation rates.</p> <p>14. Schedules and strategies provide for increased student learning time.</p>
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<b>Curriculum</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Curriculum</b>
<p>7. Leadership does not observe or evaluate teachers for use of the curriculum.</p> <p>8. Is considered to be the textbook or the state standards.</p> <p>9. Is not aligned within or across grade levels.</p> <p>10. Is not rigorous or cognitively demanding.</p> <p>11. Is not available to all students, e.g., English language learners or students with disabilities as they are not present in the regular classroom during core instruction time.</p> <p>12. Is not differentiated for struggling students.</p>					<p>7. Is observed by school leadership that it is being taught.</p> <p>8. Is developed by the district/teachers based on unpacking the state standards.</p> <p>9. Is aligned within and across grade levels.</p> <p>10. Is rigorous and cognitively demanding.</p> <p>11. Is accessible to all students through placement in regular classroom during instruction of the core curriculum.</p> <p>12. Is differentiated for struggling students.</p>
<b>Data - Formative Assessments</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Data - Formative Assessments</b>
<p>4. Are not regularly used by teachers.</p> <p>5. Are not routinely disaggregated by teachers.</p> <p>6. Are not used to determine appropriate instructional strategies.</p>					<p>3. Are used to implement an aligned instructional program.</p> <p>4. Are used to provide differentiated instruction.</p> <p>3. Are discussed regularly in teacher groups to discuss student work</p>
<b>Professional Development</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Professional Development</b>
<p>4. Is individually selected by each teacher; includes conferences and conventions.</p> <p>5. Is not related to curriculum, instruction, or assessment.</p> <p>6. Is short, i.e., one-shot sessions.</p> <p>4. Does not include follow-up</p>					<p>4. Is of high quality and job-embedded.</p> <p>5. Is aligned to the curriculum and instructional program.</p> <p>6. Includes increasing staff's knowledge and skills in instructing English language learners and students with disabilities.</p>

assistance, mentoring, or monitoring of classroom implementation.					4 Is developed long-term; focuses on improving curriculum, instruction, and formative assessments.
<b>Parents, Family, Community</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Parents, Family, Community</b>
3. Does not provide extended supports. 4. Does not ensure a safe school and community environment for children.					3. Provides social and emotional supports from school and community organizations. 4. Creates a safe learning environment within the school and within the community. 3. Includes use of advisory periods to build student-adult relationships.

Cultural Competency	1	2	3	4	Cultural Competency
<p>6. Holds the belief that all students learn the same way.</p> <p>7. Uses the textbook to determine the focus of study.</p> <p>8. “Cultural instruction” is limited to study of flags, festivals, and foods of countries/people.</p> <p>9. Does not investigate students’ level of education prior to coming to the United States; home languages; the political/economic history; conditions of countries or groups.</p> <p>10. Does not connect curriculum and learning to students’ own life experiences as related to race, ethnicity, or social class.</p>					<p>6. Holds the belief that students learn differently and provides for by using various instructional practices.</p> <p>7. Combines what learners need to know from the standards and curriculum with the needs in their lives.</p> <p>8. Provides culturally proficient instruction, allows learners to explore cultural contexts of selves and others.</p> <p>9. Investigates students’ education prior to coming to the United States; home languages; political/economic history; conditions of countries or groups.</p> <p>10. Connects curriculum and learning to students’ own life experiences as related to race, ethnicity or class.</p>

<p><b>What are the key findings from the self-assessment of high-performing schools?</b></p> <p><i>Appropriate example:</i> “We don’t have a curriculum aligned across grade levels.”</p> <p><i>Appropriate example:</i> “We only teach flags, festivals and foods with our students. “</p>	<p><b>What is at the “root” of the findings? What is the underlying cause?</b></p> <p><i>Appropriate example</i> ” We don’t know how to align our curriculum across grade levels.”</p> <p><i>Appropriate example:</i> “Connecting curriculum to students’ lives takes longer to prepare lessons.”</p>
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## B. Selection of School Improvement Model

➤ **Instructions:** Read and discuss with the team the elements of the four school intervention models below.

Turnaround Model	Transformation Model
<b>Required Elements</b>	<b>Required Elements</b>
Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a turnaround office, hire a turnaround leader, or enter into a contract to obtain added flexibility in exchange for greater accountability.	<p><u>Develop Teacher and Leader Effectiveness</u></p> <ol style="list-style-type: none"> <li>6. Replace the principal who led the school prior to implementing the model.</li> <li>7. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that take into account data on student growth, multiple assessments, and increased graduation rates. Evaluations are developed with teacher and principal</li> <li>8. Reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and H.S. graduation rates. Remove those who, after opportunities have been provided to improve, have not.</li> <li>9. Provide staff ongoing, high quality, job-embedded professional development that is aligned with the instructional program and designed with school staff.</li> <li>10. Implement strategies such as financial incentives, promotion, career growth, and flexible work conditions that are designed to recruit, place and retain staff.</li> </ol>
Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.	<p><u>Increasing Learning Time and Creating Community-Oriented Schools</u></p> <ol style="list-style-type: none"> <li>3. Establish schedules and implement strategies that provide increased learning time.</li> <li>4. Provide ongoing mechanisms for family and community engagement.</li> </ol>
Promote the use of student data to inform and differentiate instruction.	<p><u>Comprehensive Instructional Reform Strategies</u></p> <ol style="list-style-type: none"> <li>3. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.</li> <li>4. Promote the continuous use of student data to inform and differentiate instruction.</li> </ol>
Establish schedules and implement strategies that provide increased learning time.	
Provide appropriate social-emotional and community-oriented services and supports for students.	



<b>Turnaround Model</b>
<b><i>Permissible Elements</i></b>
New school model (e.g., themed, dual language academy)
Any of the required and permissible activities under the transformation model – these would be in addition to, not instead of, the actions that are required as part of a turnaround model.

<b>Transformation Model</b>
<b><i>Permissible Elements</i></b>
<p><u>Develop Teacher and Leader Effectiveness</u></p> <ol style="list-style-type: none"> <li>5. Provide additional compensation to attract and retain staff with skills necessary to meet the needs of students in a transformation model.</li> <li>6. Institute a system for measuring changes in instructional practices resulting from professional development.</li> <li>7. Ensure that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher’s seniority.</li> <li>8. LEAs have flexibility to develop and implement their own strategies to increase the effectiveness of teachers and school leaders. Strategies must be in addition to those that are required as part of this model.</li> </ol>
<p><u>Comprehensive Instructional Reform</u></p> <ol style="list-style-type: none"> <li>6. Conduct periodic reviews to ensure that the curriculum is being implemented with fidelity.</li> <li>7. Implement a schoolwide “response-to-intervention” model.</li> <li>8. Provide additional supports to teachers and principals to implement strategies to support students with disabilities and limited English proficient students.</li> <li>9. Using technology-based supports.</li> <li>10. In secondary schools – <ol style="list-style-type: none"> <li>d) increase rigor</li> <li>e) summer transition programs; freshman academies</li> <li>f) increasing graduation rates establishing early warning systems</li> </ol> </li> </ol>
<p><u>Increasing Learning Time and Creating Community-Oriented Schools</u></p> <ol style="list-style-type: none"> <li>5. Partner with parents, faith and community-based organizations, health clinics, State or local agencies to create safe environments.</li> <li>6. Extend or restructure the school day to add time for such strategies as advisory periods that build relationships.</li> <li>7. Implement approaches to improve school climate and discipline.</li> <li>8. Expand the school program to offer full-day kindergarten or pre-kindergarten.</li> </ol>

<b>Restart Model</b>
<b><i>Required Elements</i></b>
Convert a school or close and reopen it under a charter school operator, a charter management organization or an educational management organization.
Must enroll within the grades it serves, any former student who wishes to attend.
<b><i>Permissible Elements</i></b>
May implement any of the required or permissible activities of a turnaround model or a transformation model.

<b>School Closure Model</b>
<b><i>Required Elements</i></b>
Close the school and enroll the students in other schools in the LEA that are higher achieving.

- **Instructions:** Reflect on the data, findings, root cause analysis, and self-assessment and the elements of the four improvement models. As a team, reach consensus, as to the model that is the best fit for the school and that has the greatest likelihood, when implemented, to affect principal leadership, teacher instruction, and student learning.

*Intervention model selected* \_\_\_\_\_

- (1) *Describe how the model corresponds to the data, findings, root cause analysis and self-assessment and led to the selected model.*



*(2) Describe how the model will create teacher, principal, and student change.*

### C. LEA Capacity to Implement the Intervention Model

➤ **Instructions:** Consider each topic under the column “Capacity Task” and determine if the district has or will have the ability to complete this task. Select “yes” or “no.” List the evidence available and attach to the application for each task. (See Attachment A for scoring rubric).

Capacity Task	Yes	No	District Evidence
1. The budget includes attention to each element of the selected intervention. <i>All models</i>			
2. The budget is sufficient and appropriate to support the full and effective implementation of the intervention for three years. <i>All models</i>			
3. Projected budgets meet the requirements of reasonable, allocable, and allowable. <i>All models</i>			
4. The budget is planned at a minimum of \$50,000 and does not exceed two million per year per school. <i>All models</i>			

Capacity Task	Yes	No	District Evidence
<p>5. The district has the resources to serve the number of Tier I, II, and III schools that are indicated.</p> <p><i>All models</i></p>			
<p>6. A clear alignment exists between the goals and interventions model and the funding request (budget).</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• Funding requests for identified interventions are proportionately balanced and demonstrate an equitable distribution as identified in the SIG application</li> <li>• Funding should directly impact the schools improvement processes for supporting prescriptive and intentional designed interventions</li> <li>• Funding of programs, models, professional development, and staff should be directly linked to a School Improvement Goal identified in the SIG application</li> <li>• Funding supports the schools current capacity to improve student achievement</li> </ul>			

Capacity	Yes	No	District Evidence
<p>7. The LEA and school staff has the credentials and a demonstrated track record to implement the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Data portfolios of incoming staff/leaders</i></li> <li>• <i>Highly Qualified in content of contractual agreement</i></li> <li>• <i>Samples of implemented school improvement plans with documented outcomes using data</i></li> </ul>			
<p>8. The district has received the support of the staff to fully implement the intervention model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Staff Assurances</i></li> <li>• <i>Staff Surveys</i></li> <li>• <i>Staff Needs Assessments</i></li> </ul>			
<p>9. The district has received the support of parents to fully implement the intervention model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Parent Meeting Agendas</i></li> <li>• <i>Parent Surveys</i></li> <li>• <i>Parent Focus Groups</i></li> </ul>			

Capacity Task	Yes	No	District Evidence
<p>10. The school board is fully committed to eliminating barriers to allow for the full implementation of the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>School Board Assurances</i></li> <li>• <i>School Board Meeting Minutes from proposal and or discussion</i></li> <li>• <i>Support the creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools</i></li> </ul>			
<p>11. The superintendent is fully committed to eliminating barriers to allow for the full implementation of the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Superintendent Assurance</i></li> <li>• <i>School Board Meeting Minutes from proposal and or discussion</i></li> <li>• <i>Superintendent SIG Presentation</i></li> <li>• <i>Creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools</i></li> </ul>			

Capacity Task	Yes	No	District Evidence
<p>12. The teacher’s union is fully committed to eliminating barriers to allow for the full implementation of the model, including but not limited to teacher evaluations, hiring and dismissal procedures and length of the school day.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Teacher Union Assurance</i></li> <li>• <i>An outline of amendments to SIG Teacher contracts that will allow for full implementation of the identified model</i></li> </ul>			
<p>13. The district has the ability to recruit new principals.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Partnerships with outside educational organizations (TFA, New Teachers for New Leaders) and or universities</i></li> <li>• <i>Statewide and national postings</i></li> <li>• <i>External networking</i></li> </ul>			

Capacity Task	Yes	No	District Evidence
<p>14. The district has a robust process in place to select the principal and staff.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Principal and staff hiring practices</i></li> <li>• <i>Principal and staff transfer policies/procedures</i></li> <li>• <i>principal and staff recruitment, placement and retention procedures</i></li> </ul>			
<p>15. The timeline is detailed and realistic, demonstrating the district's ability to fully implement the intervention during the 2011-2012 school year.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Monthly focus with identified objectives</i></li> <li>• <i>Smart Goals</i></li> <li>• <i>Measurable Outcomes (consisting of transformative, formative, and summative data)</i></li> <li>• <i>Streamline and scaffolded focus aligned to key findings and root causes in SIG application</i></li> </ul>			

Capacity Task	Yes	No	District Evidence
<p>16. District staff has high levels of expertise and successful experience in researching, and implementing the selected intervention model.</p> <p><i>Turnaround, Transformation, Restart Models</i></p> <ul style="list-style-type: none"> <li>• <i>Professional Development sign in sheets aligned to SIG funded PD</i></li> <li>• <i>Support framework of district staff aligned to areas of need as identified in the SIG application (Staff member, area of expertise, support provided to the school, frequency)</i></li> </ul>			
<p>17. The school community has been purposefully engaged multiple times to inform them of progress and seek their input.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Town Hall Meetings</i></li> <li>• <i>Town Hall Meeting Postings (news paper, district website, parent newsletters, public flyers)</i></li> <li>• <i>Town Hall sign in sheets</i></li> <li>• <i>Community Partner Assurances</i></li> <li>• <i>Documentation of mailings</i></li> </ul>			

Capacity Task	Yes	No	District Evidence
<p>18. The district demonstrates the ability to align federal, state, and local funding sources with grant activities.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• Title I</li> <li>• Title II</li> <li>• Title III</li> <li>• IDEA</li> <li>• E-Rate</li> <li>• TAP</li> </ul>			
<p>19. The district demonstrates the ability and commitment to increased instructional time.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Increased instructional time is structured and embedded into the schools' daily schedule and or school calendar</i></li> <li>• <i>Increased learning time for students is tiered and supported by licensed and/or highly qualified educators</i></li> <li>• <i>A needs assessment has been completed to identify areas where extended time can be most effectively used</i></li> <li>• <i>Increased learning time is structured as a vehicle to support differentiated learning</i></li> </ul>			

<p>(ex...)</p> <ul style="list-style-type: none"> <li>○ <i>An additional block of time embedded into the school day</i></li> <li>○ <i>Summer enrichment/remediation</i></li> <li>○ <i>Saturday intervention</i></li> <li>○ <i>Before or after school enrichment/remediation</i></li> <li>○ <i>School vacation weeks</i></li> <li>● <i>Compensation for extended day is identified by the LEA</i></li> </ul>			
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## D. LEA Commitments (Actions) for All School Intervention/Improvement Models

➤ *Instructions:*

- 5) All districts, regardless of the school improvement model that will be implemented, are to complete the table below.
- 6) There are five required LEA commitments or actions that districts have already taken or *plan to take in school year 2011-12*.
- 7) In the second column, provide a short description of how the commitment was completed or the district's plan to complete it.
- 8) For how the descriptions of commitments will be scored, see the scoring rubric in Attachment B.

Indicators of LEA Commitment	Description of how this commitment was or will be completed
<p><b>I. Design and implement school intervention model consistent with federal application requirements.</b></p> <p><i>The IDOE will assess the LEA's commitment to design and implement an appropriate intervention model and school improvement activities by requiring the LEA to document a process that may include, but will not be limited to:</i></p> <p>(a) Assessing the completed SIG School Needs Assessment to identify the greatest needs;</p> <p>(b) Assessing the LEA and school's capacity (staff, resources, etc.) to implement specific interventions and school improvement activities;</p>	

<ul style="list-style-type: none"> <li>(c) Assessing the alignment of the LEA and school improvement processes for supporting the designed interventions;</li> <li>(d) Assessing other resources that will support the design and implementation efforts of selected interventions;</li> <li>(e) Assessing the engagement of stakeholders (staff, parents, community, etc.) to provide input into the design and implementation process;</li> <li>(f) Assessing the scheduling of regular (at least biweekly) data meetings to identify school/ teacher/ student weaknesses and to adjust plans for supports to address those weaknesses;</li> <li>(g) Assessing the communication with selected provider(s) to plan Professional Development and support based on assessed needs (at least biweekly),</li> <li>(h) Maintaining accurate documentation of meetings and communications,</li> <li>(i) Following and/or revising schedules, goals, and timeline as needed, and</li> <li>(j) Submitting all data/forms to the IDOE and/or USDE in accordance to timeline.</li> </ul>	
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Indicators of LEA Commitment	Description of how this commitment was or will be completed
<p><b>(2) The LEA has or will recruit, screen, selects and support appropriate external providers.</b>  <i>The IDOE will assess the LEA's commitment to recruit, screen, and select external providers by requiring the LEA to document a process for assessing external provider quality which may include, but will not be limited to:</i></p> <p>(a) Identifying external providers based on each school's SIG needs;</p> <p>(b) Interviewing and analyzing external providers to determine evidence-based effectiveness, experience, expertise, and documentation to assure quality and efficiency of each external provider based on each schools identified SIG needs;</p> <p>(c) Selecting an external provider based upon the provider's commitment of timely and effective implementation and the ability to meet school needs;</p> <p>(d) Aligning the selection with existing efficiency and capacity of LEA and school resources, specifically time and personnel;</p> <p>(e) Assessing the regular (at least biweekly) communication with the selected service provider(s) to ensure that supports are taking place and are adjusted according to</p>	

the school's identified needs,

(f) Assessing the utilization of multiple sources of data to evaluate the effectiveness of the supports provided (at least biweekly) and reporting the results to the IDOE.

(g) Assessing the monitoring of records for quality and frequency of supports provided by the selected service provider(s),

(h) Assessing the in-school presence (at least one day a week) to monitor the interactions of the school administration, faculty, and staff with the selected service provider(s) to ensure the full implementation of supports; and

(i) Assessing the recording and reporting of progress to school, LEA, IDOE, and USDE. Intervention and school improvement activity providers will be held to the same criteria as external providers.

Indicators of LEA Commitment	Description of how this commitment was or will be completed
<p><b>3. Align other resources with the school improvement model.</b> (For examples of resources and how they might align, see Attachment C).</p>	
<p><b><i>The IDOE will assess the LEA's commitment to align other resources with the interventions by requiring the LEA to document a process which may include, but will not be limited to:</i></b></p> <ul style="list-style-type: none"> <li>(a) Identifying resources currently being utilized in an academic support capacity;</li> <li>(b) Identifying additional and/or potential resources that may be utilized in an academic support capacity;</li> <li>(c) Assessing the alignment of other federal, state, and local resources based on evidence-based effectiveness and impact with the design of interventions;</li> <li>(d) Assessing the alignment of other federal, state, and local resources with the goals and timeline of the grant (e.g., fiscal, personnel, time allotments/scheduling, curriculum, instruction, technology resources/equipment);</li> <li>(e) Conducting regularly scheduled reviews of the resource alignment to ensure all areas are operating fully and effectively to meet the intended outcomes or making</li> </ul>	

adjustments as necessary;

(f) Redirecting resources that are not being used to support the school improvement process; and

(g) Assessing the presence (minimum of one day per week the first year) in the school to monitor the implementation of the interventions by school administration, faculty, and staff as well as interactions with the selected service provider(s) to ensure the full implementation of supports.

Indicators of LEA Commitment	Description of how this action was or will be completed
<p><b>4. Modify LEA practices and policies to enable the school to implement the intervention model fully and effectively.</b></p>	
<p><b>The IDOE will assess the LEA’s commitment to modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively by requiring the LEA to document a process which may include, but will not be limited to:</b></p> <ul style="list-style-type: none"> <li>(a) Identifying IDOE and/or LEA challenges that may slow or halt the school improvement implementation process;</li> <li>(b) Assessing, designing, and implementing a policy modification protocol that includes input that may include state and local education agency administrators, board members, and personnel; and</li> <li>(c) Developing an ongoing process to assess areas that may be considered for policy and process modification that include, but will not be limited to: <ul style="list-style-type: none"> <li>(i) school administrator and staff hiring practices;</li> <li>(ii) school administrator and staff transfer procedures;</li> <li>(iii) school administrator and staff dismissal procedures;</li> </ul> </li> </ul>	

<p>(iv) school administrator and staff evaluation procedures [predominately based (at least 51%) on school and student performance data]</p> <p>(v) school administrator and staff rewards for increased student achievement and/or graduation rate;</p> <p>(vi) school administrator and staff recruitment, placement and retention procedures ; and</p> <p>(vii) altering the traditional school day and/or calendar to include additional instructional and planning time.</p>	
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Indicators of LEA Commitment	Description of how this action was or will be completed
5. <i>Sustain the model after the funding period ends.</i>	

***The IDOE will assess the LEA's commitment to sustain the reforms after the funding period ends by requiring the LEA to document a process that may include, but will not be limited to:***

- (a) Developing school improvement planning processes that support sustainability of education reform protocol;
- (b) Developing processes to assure effective training of school leadership staff to ensure the understanding and efficient implementation of interventions into operating flexibility of the school;
- (c) Developing processes to assure effective training of school staff to ensure the understanding and efficient implementation of interventions into the classroom curriculum and activities;
- (d) Identifying alternative funding sources to sustain operational protocol that may require financial support;
- (e) Identifying meaningful professional development for school leadership and staff that support short-term and long-term initiatives of educational improvement;
- (f) Demonstrating a commitment to the continuous development of teacher knowledge and skills to incorporate changes into their instruction as

evidenced by an extensive action plan;

- (g) Developing an evaluation system that measures short-term and long-term, multi-level implementation of interventions, as well as the measurement of effectiveness of supporting initiatives and policy;
- (h) Development of a process to embed interventions and school improvement activities in an extensive strategic long-term plan to sustain gains in student achievement;
- (i) Developing an evaluation system to monitor strategic checkpoints and end of the year results and outcomes to inform and assist practitioners with problem-solving and decision-making that supports short-term and long-term educational fidelity;
- (j) Developing a process to sustain alignment of resources with the school's mission, goals, and needs;
- (k) Planning a growth model for both the fiscal and human capital within the LEA for implementation and sustainability of interventions and school improvement activities;
- (l) Establishing and implementing accountability processes that provide effective oversight of the interventions,

school improvement activities, financial management, and operations of the school.

#### 4. Implementation of Specific Intervention Models: Turnaround, Transformational, Restart, Closure

➤ **Instructions:**

- 1) Scroll down to the intervention model that the school will be using. Complete the information for that model only.
- 2) Using the tables provided, develop a timeline for each element of the selected model listed in the first column. In the second column include the steps or tasks the district will complete to fulfill the requirements of the element. Also, list the lead person and when the task will occur (names of months are sufficient).
- 3) **Complete the table for only the model that the school will implement.**
- 4) If the improvement model will not be implemented, check “We will not implement this model.”
- 5) For how the descriptions will be scored, see the Intervention Models scoring rubric (Attachment E).

**Turnaround Model**

(Guidance Document, Section B, pages 26-31)

- We will implement this model.     We will not implement this model - move to next model.

If implementing the turnaround model, complete the table below.

Elements	Tasks/Steps	Lead Person/ Position	Time Period (month)
I. <i>Replace the principal and grant principal operational flexibility.</i>			

Elements	Tasks/Steps	Lead Person/ Position	Time Period (month)
<p>2. <i>Measure the effectiveness of current staff; screen existing staff and rehire no more than 50 percent; select new staff.</i></p>			
<p>3. <i>Implement strategies to recruit, place and retain staff (financial incentives, promotion, career growth, and flexible work conditions).</i></p>			

Elements	Tasks/Steps	Lead Person/ Position	Time Period (month)
4. <i>Provide high quality, job-embedded professional development.</i>			
5. <i>Adopt a new governance structure (i.e., turnaround office, turnaround leader).</i>			
6. <i>Use data to implement an aligned instructional program.</i>			

Elements	Tasks/Steps	Lead Person/ Position	Time Period (month)
7. <i>Promote the use of data to inform and differentiated instruction.</i>			
8. <i>Provide increased learning time for students and staff.</i>			
9. <i>Provide social-emotional and community-oriented services/supports.</i>			

- If implementing the turnaround model, explain how the recruitment and selection of a new principal will take place.

**Pre-Implementation**

*Describe proposed activities to be carried out during the pre-implementation period, including a proposed budget.*

Action:

Timeline:

Budget:

**Check Your Work - Additional Requirements for All Models**

Requirement	Yes	No
1. All the elements of the selected intervention model are included.		
2. The descriptions of how <i>all</i> of the elements will be or have been implemented are specific, logical and comprehensive.		
3. The timeline demonstrates that <i>all</i> of the model's elements will be implemented during the 2011-2012 school year.		



## Transformation Model

(Guidance Document, Section E, pages 36-42)

We will implement this model.       We will not implement this model – move to next model.

If implementing the transformation model, complete the table below.

Elements	Tasks	Lead Person/ Position	Time Period (month)
1. <i>Replace the principal who led the school prior to implementing the model.</i>			
2. <i>Use evaluation systems for teachers and principals that consider student growth and assessments; develop with teacher/principal involvement.</i>			
3. <i>Reward school leaders, teachers, staff who, in implementing this model, increased student achievement or high school graduation rates; remove those who, after professional development, have not.</i>			

Elements	Tasks	Lead Person/ Position	Time Period (month)
4. <i>Provide high quality, job-embedded professional development.</i>			
5. <i>Implement strategies to recruit, place, retain staff (financial incentives, promotion, career growth, flexible work time).</i>			
6. <i>Provide increased learning time for students and staff.</i>			
7. <i>Use data to implement an aligned instructional program.</i>			

Elements	Tasks	Lead Person/ Position	Time Period (month)
8. <i>Promote the use of data to inform and differentiate instruction.</i>			
9. <i>Provide mechanisms for family and community engagement.</i>			
10. <i>Give the school sufficient operational flexibility (staffing, calendars/time, budgeting).</i>			
11. <i>LEA and, SEA supports school with ongoing, intensive technical assistance and support.</i>			

➤ If implementing the transformation model, explain how the recruitment and selection of a new principal will take place.

**Pre-Implementation**

*Describe proposed activities to be carried out during the pre-implementation period, including a proposed budget.*

Action:

Timeline:

Budget:

Requirement	Yes	No
1. <i>All</i> the elements of the selected intervention model are included.		
2. The descriptions of how <i>all</i> of the elements will be or have been implemented are specific, logical and comprehensive.		
3. The timeline demonstrates that <i>all</i> of the model's elements will be implemented during the 2010-2011 school year.		

**Restart Model**

(Guidance Document, Section C, pages 31-34)

We will implement this model.     We will not implement this model – move to next model.

If implementing the restart model, complete the table below.

Elements	Tasks	Lead Person/ Position	Time Period (month)
1. <i>Convert a school or close and reopen it under a charter school operator, a charter management organization or an educational management organization.</i>			
2. <i>Must enroll within the grades it serves, any former student who wishes to attend.</i>			

**Pre-Implementation**

*Describe proposed activities to be carried out during the pre-implementation period, including a proposed budget.*

Action:

Timeline:

Budget:

**Check Your Work - Additional Requirements for All Models**

<b>Requirement</b>	<b>Yes</b>	<b>No</b>
1. <i>All</i> the elements of the selected intervention model are included.		
2. The descriptions of how <i>all</i> of the elements will be or have been implemented are specific, logical and comprehensive.		
3. The timeline demonstrates that <i>all</i> of the model's elements will be implemented during the 2010-2011 school year.		

## School Closure

(Guidance Document, Section D, pages 34-35)

We will implement this model.

We will not implement this model – do not complete.

If implementing the school closure model, complete the table below.

Elements	Tasks	Lead Person/ Position	Time Period (month)
1. <i>Close the school.</i>			
2. <i>Must enroll the students in other schools in the LEA that are higher achieving.</i>			

### Pre-Implementation

*Describe proposed activities to be carried out during the pre-implementation period, including a proposed budget.*

Action:

Timeline:

Budget:

**Check Your Work - Additional Requirements for All Models**

<b>Requirement</b>	<b>Yes</b>	<b>No</b>
1. <i>All</i> the elements of the selected intervention model are included.		
2. The descriptions of how <i>all</i> of the elements will be or have been implemented are specific, logical and comprehensive.		
3. The timeline demonstrates that <i>all</i> of the model's elements will be implemented during the 2010-2011 school year.		

## 5. Annual Goals for Tier I and Tier II Schools for Accountability

*Instructions:*

- 1) Review the results of the two worksheets “Analysis of Student and School Data” and “Self-Assessment of High-poverty, High-performing School,” the findings, and the root cause analysis.
- 2) Based on the baseline student data for ISTEP+ and/or end-of-course assessments, develop:
  - o One English/language arts goal for “all students.”
  - o One mathematics goal for “all students.”
  - o For examples of goals, see guidance document, H-25, p. 41.
- 3) Schools serving students in grade 12 must also include a goal related to graduation.
- 4) Include goals for the three-year duration of the grant.

*Note: Goals must be measurable and aggressive, yet attainable.*

<b>SY 2009-2010 Baseline Data</b> (most recent available data that corresponds to the proposed goals)	<b>Annual Goals</b>		
	<b>SY 2011-2012</b>	<b>SY 2012-2013</b>	<b>SY 2013-2014</b>
<i>Example:</i> 50% of all students are proficient on ISTEP+ mathematics	75% of all students are proficient on ISTEP+ mathematics	85% of all students are proficient on ISTEP+ mathematics	95% of all students are proficient on ISTEP+ mathematics

## II: Budget

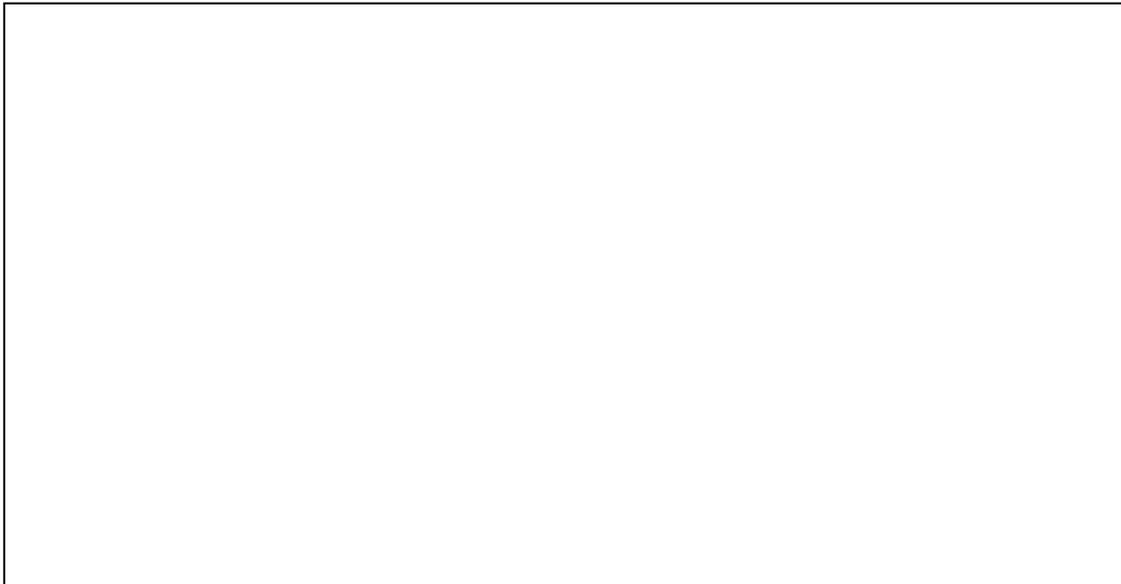
*Instructions:*

- 1) Complete the budget pages provided in the attached Excel file for the three years (see copies in Attachment B). Electronically select each “tab” for years 2011-2012, 2012-2013, 2013-2014.
- 2) Indicate the amount of school improvement funds the school will use for each year of the grant period to implement the selected model in the school it commits to serve.

**3) The total amount of funding per year must total *no less than \$50,000 and no greater than \$2,000,000 per year.***

*Note:* The LEA’s budget must cover the period of availability, including any extension wanted through a waiver, and be of sufficient size and scope to implement the selected school improvement model in the school(s) the LEA commits to serve. It would be permissible to include LEA-level activities designed to support implementation of the selected school improvement model in the LEA’s school.

- 4) Describe how the LEA will align federal, state, and local funding sources with grant activities. (see Attachment D for suggestions)



**Submit all materials in this document,  
including the two worksheets in this application to IDOE**

## Attachment A: LEA Budget Capacity Scoring Rubric

Capacity Task	Yes	No	IDOE Comments
<p>1. The budget includes attention to each element of the selected intervention.</p> <p><i>All models</i></p>			
<p>2. The budget is sufficient and appropriate to support the full and effective implementation of the intervention for three years.</p> <p><i>All models</i></p>			
<p>3. Projected budgets meet the requirements of reasonable, allocable, and allowable.</p> <p><i>All models</i></p>			
<p>4. The budget is planned at a minimum of \$50,000 and does not exceed two million per year per school.</p> <p><i>All models</i></p>			
<p>5. The district has the resources to serve the number of Tier I, II, and III schools that are indicated.</p> <p><i>All models</i></p>			

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<p>6. A clear alignment exists between the goals and interventions model and the funding request (budget).</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• Funding requests for identified interventions are proportionately balanced and demonstrate an equitable distribution as identified in the SIG application</li> <li>• Funding should directly impact the schools improvement processes for supporting prescriptive and intentional designed interventions</li> <li>• Funding of programs, models, professional development, and staff should be directly linked to a School Improvement Goal identified in the SIG application</li> <li>• Funding supports the schools current capacity to improve student achievement</li> </ul>			
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<p>7. The LEA and school staff has the credentials and a demonstrated track record to implement the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Data portfolios of incoming staff/leaders</i></li> <li>• <i>Highly Qualified in content of contractual agreement</i></li> <li>• <i>Samples of implemented school improvement plans with documented outcomes using data</i></li> </ul>			
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<p>8. The district has received the support of the staff to fully implement the intervention model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Staff Assurances</i></li> <li>• <i>Staff Surveys</i></li> <li>• <i>Staff Needs Assessments</i></li> </ul>			
<p>9. The district has received the support of parents to fully implement the intervention model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Parent Meeting Agendas</i></li> <li>• <i>Parent Surveys</i></li> <li>• <i>Parent Focus Groups</i></li> </ul>			
<p>10. The school board is fully committed to eliminating barriers to allow for the full implementation of the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>School Board Assurances</i></li> <li>• <i>School Board Meeting Minutes from proposal and or discussion</i></li> <li>• <i>Support the creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools</i></li> </ul>			

<p>11. The superintendent is fully committed to eliminating barriers to allow for the full implementation of the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Superintendent Assurance</i></li> <li>• <i>School Board Meeting Minutes from proposal and or discussion</i></li> <li>• <i>Superintendent SIG Presentation</i></li> <li>• <i>Creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools</i></li> </ul>			
<p>12. The teacher's union is fully committed to eliminating barriers to allow for the full implementation of the model, including but not limited to teacher evaluations, hiring and dismissal procedures and length of the school day.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Teacher Union Assurance</i></li> <li>• <i>An outline of amendments to SIG Teacher contracts that will allow for full implementation of the identified model</i></li> </ul>			
<p>13. The district has the ability to recruit new principals.</p>			

<p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Partnerships with outside educational organizations (TFA, New Teachers for New Leaders) and or universities</i></li> <li>• <i>Statewide and national postings</i></li> <li>• <i>External networking</i></li> </ul>			
<p>14. The district has a robust process in place to select the principal and staff.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Principal and staff hiring practices</i></li> <li>• <i>Principal and staff transfer policies/procedures</i></li> <li>• <i>principal and staff recruitment, placement and retention procedures</i></li> </ul>			
<p>15. The timeline is detailed and realistic, demonstrating the district's ability to fully implement the intervention during the 2011-2012 school year.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Monthly focus with identified objectives</i></li> <li>• <i>Smart Goals</i></li> <li>• <i>Measurable Outcomes (consisting of transformative, formative, and summative data)</i></li> </ul>			

<ul style="list-style-type: none"> <li>• Streamline and scaffolded focus aligned to key findings and root causes in SIG application</li> </ul>			
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<p>16. District staff has high levels of expertise and successful experience in researching, and implementing the selected intervention model.</p> <p><i>Turnaround, Transformation, Restart Models</i></p> <ul style="list-style-type: none"> <li>• Professional Development sign in sheets aligned to SIG funded PD</li> <li>• Support framework of district staff aligned to areas of need as identified in the SIG application (Staff member, area of expertise, support provided to the school, frequency)</li> </ul>			
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<p>17. The school community has been purposefully engaged multiple times to inform them of progress and seek their input.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• Town Hall Meetings</li> <li>• Town Hall Meeting Postings (news paper, district website, parent newsletters, public flyers)</li> <li>• Town Hall sign in sheets</li> <li>• Community Partner Assurances</li> <li>• Documentation of mailings</li> </ul>			
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<p>18. The district demonstrates the ability to align federal, state, and local funding sources with grant activities.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• Title I</li> <li>• Title II</li> <li>• Title III</li> <li>• IDEA</li> <li>• E-Rate</li> <li>• TAP</li> </ul>			
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<p>19. The district demonstrates the ability and commitment to increased instructional time.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Increased instructional time is structured and embedded into the schools' daily schedule and or school calendar</i></li> <li>• <i>Increased learning time for students is tiered and supported by licensed and/or highly qualified educators</i></li> <li>• <i>A needs assessment has been completed to identify areas where extended time can be most effectively used</i></li> <li>• <i>Increased learning time is structured as a vehicle to support differentiated learning (ex:...)</i> <ul style="list-style-type: none"> <li>○ <i>An additional block of time embedded into the school day</i></li> <li>○ <i>Summer enrichment/remediation</i></li> </ul> </li> </ul>			
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<ul style="list-style-type: none"><li>○ <i>Saturday intervention</i></li><li>○ <i>Before or after school enrichment/remediation</i></li><li>○ <i>School vacation weeks</i></li><li>● <i>Compensation for extended day is identified by the LEA</i></li></ul>			
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## Attachment B: LEA Commitments Scoring Rubric

<b>(I) The LEA has analyzed the needs of each school and has selected an intervention for each one.</b>		
<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>

<ul style="list-style-type: none"> <li>• Full completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• All of the required data sources have been provided</li> <li>• All of the analysis (findings) from the data and the root cause analysis are logical</li> <li>• The alignment between the needs of the school and the model chosen is <i>specifically and conclusively</i> demonstrated as appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>• Some completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• Some of the required data sources have been provided</li> <li>• Some of the analysis (findings) from the data and the root cause analysis is accurate</li> <li>• A <i>general</i> alignment between the needs of the school and the model chosen is has been demonstrated</li> </ul>	<ul style="list-style-type: none"> <li>• No completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• <i>Little to none</i> of the required data sources have been provided and/or the analysis (findings) is lacking or minimal</li> <li>• <i>Little or no</i> use of root cause analysis and/or causes are illogical and not based on data</li> <li>• The alignment of the school and its needs and the improvement model chosen is <i>lacking or minimal</i>.</li> </ul>
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<b>(2) Recruit, screen, and select external providers, if applicable, to ensure their quality.</b>		
<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
<p>There is exceptional evidence of a process for recruiting, screening, and selecting an external provider.</p> <p>All of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and thoroughly explained.</p> <p>The LEA includes a comprehensive process for recruiting, screening and selecting an external provider to meet</p>	<p>There is adequate evidence of a process for recruiting, screening, and selecting an external provider.</p> <p>Most of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and adequately explained.</p>	<p>There is inadequate evidence of a process for recruiting, screening, and selecting an external provider.</p> <p>Some or none of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and inadequately explained.</p>

the needs identified.	Minor changes are needed to the LEA process for recruiting, screening and selecting an external provider to meet the needs identified.	The plan is not consistent with the final requirements and the process for recruiting, screening, and selecting an external provider does not meet the identified needs.
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<b>(3) Align other resources with the interventions.</b>		
<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
<p>There is exceptional evidence of a process for aligning resources with the selected model, interventions, and/or school improvement activities.</p> <p>All of the decisive factors regarding the process for aligning resources with the selected model, interventions, and/or school improvement activities are addressed and thoroughly explained.</p> <p>The LEA includes a comprehensive process for aligning resources with the selected model, interventions, and/or school improvement activities to meet the needs identified.</p>	<p>There is adequate evidence of a process for aligning resources with the selected model, interventions, and/or school improvement activities.</p> <p>Most of the decisive factors regarding the process for aligning resources with the selected model, interventions, and/or school improvement activities are addressed and adequately explained.</p> <p>Minor changes are needed to the LEA process for aligning resources with the selected model, interventions, and/or school improvement activities to meet the needs identified.</p>	<p>There is inadequate evidence of a process for aligning resources with the selected model, interventions, and/or school improvement activities.</p> <p>Some or none of the decisive factors regarding the process for aligning resources with the selected model, interventions, and/or school improvement activities are addressed and inadequately explained.</p> <p>The plan is not consistent with the final requirements and the process for aligning resources with the selected model, interventions, and/or school improvement activities does not meet the identified needs.</p>

**(4) Modify LEA practices or policies, if necessary, to enable it to implement the interventions fully and effectively.**

<p><b>Exceptional 3 points</b></p>	<p><b>Adequate 2 points</b></p>	<p><b>Inadequate 1 point</b></p>
<p>There is exceptional evidence of a process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities.</p> <p>All of the decisive factors regarding the process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities are addressed and thoroughly explained.</p> <p>The LEA includes a comprehensive process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities to meet the needs identified.</p>	<p>There is adequate evidence of a process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities.</p> <p>Most of the decisive factors regarding the process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities are addressed and adequately explained.</p> <p>Minor changes are needed to the LEA process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities to meet the needs identified.</p>	<p>There is inadequate evidence of a process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities.</p> <p>Some or none of the decisive factors regarding the process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities are addressed and inadequately explained.</p> <p>The plan is not consistent with the final requirements and the process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities does not meet the identified needs.</p>

<b>(5) Sustain the reforms after the funding period ends.</b>		
<b>Exceptional 3 points</b>	<b>Adequate 2 points</b>	<b>Inadequate 1 point</b>
<p>There is exceptional evidence of a process for sustaining reforms after the funding period ends.</p> <p>All of the decisive factors regarding the process for sustaining reforms after the funding period ends are addressed and thoroughly explained.</p> <p>The LEA includes a comprehensive process for sustaining reforms after the funding period ends to meet the needs identified.</p>	<p>There is adequate evidence of a process for sustaining reforms after the funding period ends.</p> <p>Most of the decisive factors regarding the process for sustaining reforms after the funding period ends are addressed and adequately explained.</p> <p>Minor changes are needed to the LEA process for sustaining reforms after the funding period ends to meet the needs identified.</p>	<p>There is inadequate evidence of a process for sustaining reforms after the funding period ends.</p> <p>Some or none of the decisive factors regarding the process for sustaining reforms after the funding period ends are addressed and inadequately explained.</p> <p>The plan is not consistent with the final requirements and the process for sustaining reforms after the funding period ends does not meet the identified needs.</p>



## **Attachment C: Budget**

**§ 2011-2012 SCHOOL IMPROVEMENT GRANT 1003(g) SCHOOL BUDGET**

Allocation  
Amount

Original  
 Amendment # \_\_\_\_\_

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

School Name: \_\_\_\_\_ School #: \_\_\_\_\_

Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Property	Transfer	Line Totals
		Cert	Noncert									
11000	Instruction											\$0.00
21000	Support Services-Student											\$0.00
22100	Improvement of Instruction (Professional development)											\$0.00
22900	Other Support Services: Admin for School-Level Activities											\$0.00
25191	Refund of Revenue											\$0.00
26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
	<b>Column Totals</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>TOTAL COST</b>												\$0.00
<div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 5px;">Current Indirect Cost</div> <div>Subtract the amount above 25,000 (per individual contracted service) from your total budget:</div> <div style="background-color: #e0ffff; width: 100px; height: 15px;"></div> </div>												
Total after deducting Property (710-748)												\$0.00


Total Available for Indirect Costs  
 Amount of Indirect Cost to be used  
**Grand Total After Indirect Cost**

\$0.00
####

ITEMIZE and EXPLAIN				
General Supplies	Property: Equipment/Technology	Prof. Services	Other Purchase Services	Salary Personnel

**LEA/GOVERNANCE :** *List below activities for LEA-level activities, including pre-implementation activities. Clearly explain/identify requested amounts to a specific element and/or activity. Funds budgeted here will be included in the maximum amount available per school.*

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**§ 2011-2012 SCHOOL IMPROVEMENT GRANT 1003(g) LEA BUDGET**

Allocation  
Amount

Original  
 Amendment # \_\_\_\_\_

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

		School Name:						School #:				Line Totals
Account Number	Expenditure Account	110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	
		Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Prop erty	Transfer	
Cert	Noncert											
11000	Instruction											\$0.00
21000	Support Services-Student											\$0.00
22100	Improvement of Instruction (Professional development)											\$0.00
22900	Other Support Services: Admin for LEA Activities											\$0.00
25191	Refund of Revenue											\$0.00
26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
<b>Column Totals</b>		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

**TOTAL COST**

\$0.00

Subtract the amount above 25,000 (per individual contracted service) from your total budget:

Current Indirect Cost

Total after deducting Property (710-748)	\$0.00
Total Available for Indirect Costs	\$0.00
Amount of Indirect Cost to be used	
<b>Grand Total After Indirect Cost</b>	<b>####</b>

**ITEMIZE and EXPLAIN**

<b>General Supplies</b>	<b>Property: Equipment/Technology</b>	<b>Prof. Services</b>	<b>Other Purchase Services</b>	<b>Salary Personnel</b>

**§ 2012-2013 SCHOOL IMPROVEMENT GRANT 1003(g) SCHOOL BUDGET**

Original  
 Amendment # \_\_\_\_\_

Allocation  
Amount

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

		School Name:						School #:				Line Totals
		110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	
Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Prop erty	Transfer	
		Cert	Noncert									
11000	Instruction											\$0.00
21000	Support Services-Student											\$0.00
22100	Improvement of Instruction (Professional development)											\$0.00
22900	Other Support Services: Admin for School-Level Activities											\$0.00
25191	Refund of Revenue											\$0.00
26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
	<b>Column Totals</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>TOTAL COST</b>											\$0.00	
Subtract the amount above 25,000 (per individual contracted service) from your total budget:												
Current Indirect Cost _____ _____		Total after deducting Property (710-748)									\$0.00	
		Total Available for Indirect Costs									\$0.00	
		Amount of Indirect Cost to be used										
		<b>Grand Total After Indirect Cost</b>									<b>####</b>	

**ITEMIZE and EXPLAIN**

<b>General Supplies</b>	<b>Property: Equipment/Technology</b>	<b>Prof. Services</b>	<b>Other Purchase Services</b>	<b>Salary Personnel</b>

**LEA/GOVERNANCE :** *List below activities for LEA-level activities, including pre-implementation activities. Clearly explain/identify requested amounts to a specific element and/or activity. Funds budgeted here will be included in the maximum amount available per school.*

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**§ 2012-2013 SCHOOL IMPROVEMENT GRANT 1003(g) LEA BUDGET**

Allocation  
Amount

Original  
 Amendment # \_\_\_\_\_

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

		School Name:						School #:				Line Totals
		110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	
Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Prope rty	Transfer	
		Cert	Noncert									
11000	Instruction											\$0.00
21000	Support Services-Student											\$0.00
22100	Improvement of Instruction (Professional development)											\$0.00
22900	Other Support Services: Admin for LEA Activities											\$0.00
25191	Refund of Revenue											\$0.00
26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
	<b>Column Totals</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
<b>TOTAL COST</b>											\$0.00	
<div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">Current Indirect</div> <div>Subtract the amount above 25,000 (per individual contracted service) from your total budget:</div> </div>												

Cost

Total after deducting Property (710-748)  
 Total Available for Indirect Costs  
 Amount of Indirect Cost to be used  
**Grand Total After Indirect Cost**

\$0.00
\$0.00
####

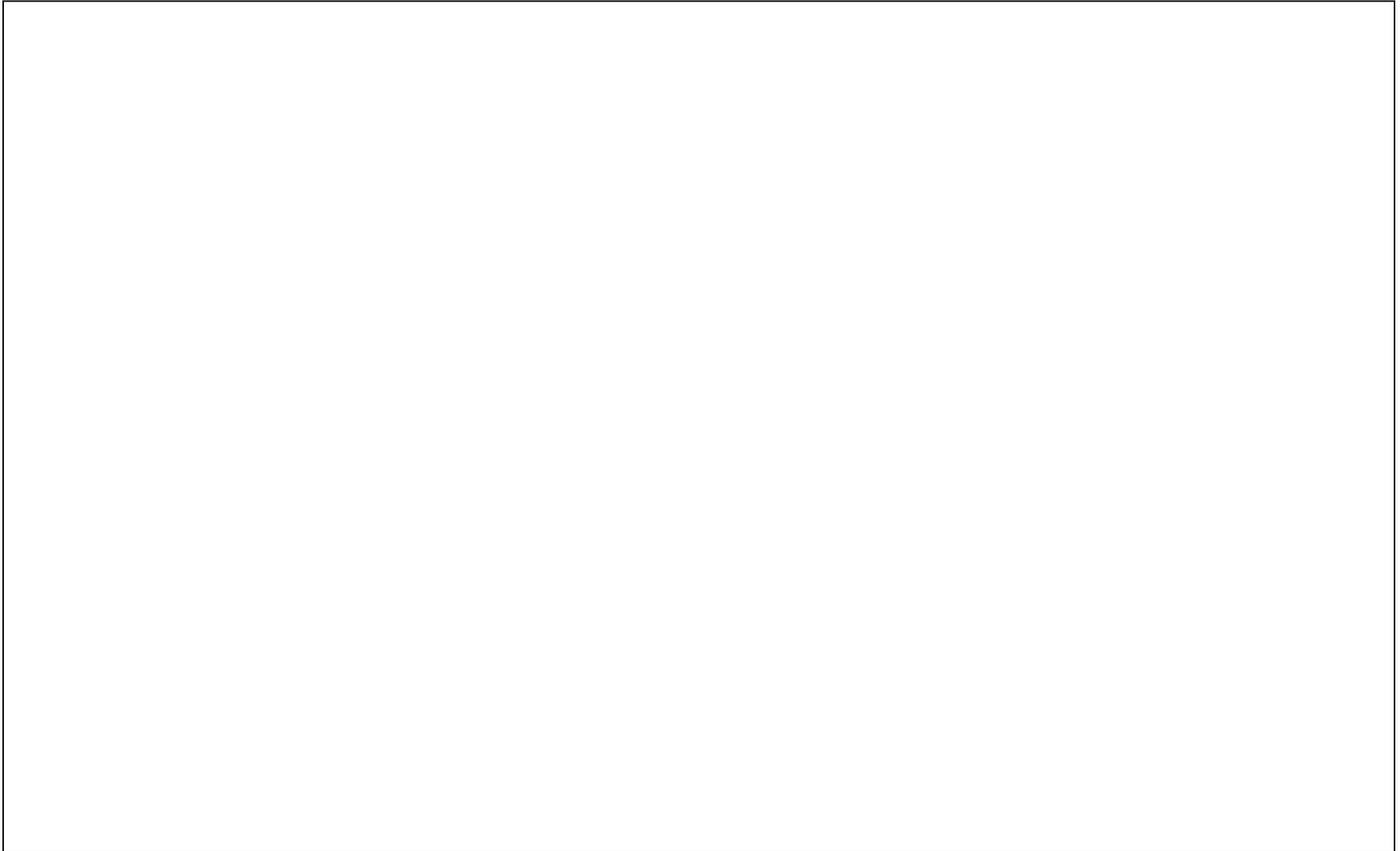
<b>ITEMIZE and EXPLAIN</b>				
<b>General Supplies</b>	<b>Property: Equipment/Technology</b>	<b>Prof. Services</b>	<b>Other Purchase Services</b>	<b>Salary Personnel</b>





<b>General Supplies</b>	<b>Property: Equipment/Technology</b>	<b>Prof. Services</b>	<b>Other Purchase Services</b>	<b>Salary Personnel</b>

**LEA/GOVERNANCE :** *List below activities for LEA-level activities, including pre-implementation activities. Clearly explain/identify requested amounts to a specific element and/or activity. Funds budgeted here will be included in the maximum amount available per school.*

A large, empty rectangular box with a thin black border, intended for listing LEA-level activities and their associated budgeted amounts. The box is currently blank.



**§ 2013-2014 SCHOOL IMPROVEMENT GRANT 1003(g) LEA BUDGET**

Allocation  
Amount

Original  
 Amendment # \_\_\_\_\_

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

		School Name:						School #:				Line Totals
		110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	
Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Prope rty	Transfer	
		Cert	Noncert									
11000	Instruction											\$0.00
21000	Support Services-Student											\$0.00
22100	Improvement of Instruction (Professional development)											\$0.00
22900	Other Support Services: Admin for LEA Activities											\$0.00
25191	Refund of Revenue											\$0.00
26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
	<b>Column Totals</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
<b>TOTAL COST</b>											\$0.00	
<div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">Current Indirect</div> <div>Subtract the amount above 25,000 (per individual contracted service) from your total budget:</div> </div>												

Cost

Total after deducting Property (710-748)

\$0.00

Total Available for Indirect Costs

\$0.00

Amount of Indirect Cost to be used

####

**Grand Total After Indirect Cost**

**ITEMIZE and EXPLAIN**

General Supplies	Property: Equipment/Technology	Prof. Services	Other Purchase Services	Salary Personnel

## Attachment D: Example of Alignment of Other Funding Sources to SIG Elements

Element of the Intervention	Intervention	Resource
<b>Federal Resources</b>		
Use of <i>research-based instructional practices</i> that are vertically aligned across grade levels and the state standards	Turnaround Transformation Restart	<b>Title I, Part A</b> - regular and stimulus funds (schoolwide or targeted assistance programs)
Assistance with design and implementation of <i>improvement plan</i> including high-quality job-embedded professional development designed to assist schools in implementing the intervention model	Turnaround Transformation Restart	<b>1003(a)</b> School Improvement Grant - AYP funds
<i>Recruitment of teaching staff</i> with skills and experience to effectively implement the selected intervention model	Turnaround Transformation	<b>Title II, Part A</b>
Job-embedded <i>staff development</i> aligned to grant goals to assist <i>English language learners</i>	Turnaround Transformation Restart	<b>Title III, Part A - LEP</b>
<b>State Resources</b>		
Focuses on early grade level intervention to improve the reading readiness and reading skills of students who are at risk of not learning to read.	Turnaround Transformation Restart	Early Intervention Grant

## Attachment E: Intervention Scoring Rubrics

### Turnaround

Required Element	Possible Tasks: Score 3 Exceptional	Possible Tasks: Score 2 Adequate	Possible Tasks: Score 1 Inadequate	Score
1. Replace the principal and grant principal operational flexibility	○ Principal is replaced with one that has evidence of a proven track record	○ Principal is replaced with one without evidence of a proven track record	○ Principal is replaced with one having an ineffective track record	
	○ LEA provides a comprehensive documents or plan that indicates areas that will grant <i>significant</i> operational decisions to the principal	○ LEA provides a document or plan that indicates areas that will grant <i>minor</i> operational decisions to the principal	○ LEA <i>does not provide a document or plan that indicates</i> authority will be granted to the principal to make operational decisions; or the decisions allowed are <i>not of significance</i> .	
2. Measure the effectiveness of current staff; screen existing staff and rehire no more than 50 percent; select new staff	○ LEA calibrates and tracks the effectiveness of staff <i>using classroom observation records and at least two additional sources to determine effectiveness</i>	○ LEA calibrates and tracks the effectiveness of staff using classroom observation records and one additional source to determine effectiveness	○ LEA calibrates and tracks the effectiveness of staff using classroom observations or another single source to determine effectiveness	

	<ul style="list-style-type: none"> <li>○ Screening of current staff is conducted by a team of school and district personnel and an external partner; interview questions are rigorous and relevant to determine the staff's willingness to fully implement the model</li> </ul>	<ul style="list-style-type: none"> <li>○ Screening of current staff is conducted by a team of school and district personnel; interview questions are general in nature and offer some insight in the staff's willingness to implement the model</li> </ul>	<ul style="list-style-type: none"> <li>○ Screening of current staff is conducted by the school or district; interview questions are of insufficient nature to determine staff's willingness to implement the model</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Less than 50 percent of the staff is rehired</li> </ul>	<ul style="list-style-type: none"> <li>○ 50 percent of the staff is rehired</li> </ul>	<ul style="list-style-type: none"> <li>○ More than 50 percent of the staff is rehired</li> </ul>	
3. Implement strategies to recruit, place, and retain staff	<ul style="list-style-type: none"> <li>○ Recruitment and retention of staff includes at least three strategies known to be effective, such as improving working conditions, providing higher salaries, and offering job promotions</li> </ul>	<ul style="list-style-type: none"> <li>○ Recruitment and retention of staff includes at least two strategies known to be effective, such as improving working conditions, providing higher salaries, and/or offering job promotions</li> </ul>	<ul style="list-style-type: none"> <li>○ Strategies for recruitment and retention do not correspond with strategies known to be effective</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Mentors and/or coaches are provided for all staff</li> </ul>	<ul style="list-style-type: none"> <li>○ Mentors and/or coaches are provided for identified groups of teachers, such as newer teachers or those changing grade levels</li> </ul>	<ul style="list-style-type: none"> <li>○ Mentors nor coaches are included</li> </ul>	
4. Provide high-quality, job embedded professional development	<ul style="list-style-type: none"> <li>○ Topics of professional development are determined by SIG goals, needs assessments, and other data points; professional development is differentiated by teacher need</li> </ul>	<ul style="list-style-type: none"> <li>○ Topics of professional development are connected to the SIG goals, needs assessments, and other data points; not differentiated by teacher need</li> </ul>	<ul style="list-style-type: none"> <li>○ Topics of professional development are disparate; do not align to SIG goals, needs assessments or other data points; established by the LEA; not differentiated by teacher need</li> </ul>	

	<ul style="list-style-type: none"> <li>○ Professional development is conducted <i>weekly through job-embedded opportunities at the school</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development is conducted <i>monthly through job-embedded opportunities at the school</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development is <i>rarely</i> provided at the school; <i>usually occurs as a whole district</i></li> </ul>	
	<ul style="list-style-type: none"> <li>○ Professional development includes vertical and horizontal collaboration, coaching and mentoring, data analysis, and determining appropriate curriculum and instruction</li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development often includes vertical collaboration; may include coaching and mentoring, data analysis, or determining appropriate curriculum and instruction</li> </ul>	<ul style="list-style-type: none"> <li>○ Focus of professional development is <i>not related to teacher collaboration, coaching and mentoring, data analysis or curriculum and instruction</i></li> </ul>	
5. Adopt a new governance structure	<ul style="list-style-type: none"> <li>○ Creates a <i>new</i> turnaround office with an appointed turnaround leader who has <i>significant and successful experience in school turnaround</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Creates a <i>new</i> turnaround office and/or appoints a turnaround leader with <i>successful experience in school turnaround</i></li> </ul>	<ul style="list-style-type: none"> <li>○ <i>Reshuffles or redesigns</i> its current structure rather than creating a turnaround office and appointing a turnaround leader</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Turnaround leader and staff will spend <i>extensive time in the school</i> allowing for a highly visible, supportive, and transparent relationship with the school</li> </ul>	<ul style="list-style-type: none"> <li>○ Turnaround leader and staff will spend <i>some time in the school</i> allowing for a supportive relationship with the school</li> </ul>	<ul style="list-style-type: none"> <li>○ Turnaround leader and staff provides minimal and/or inconsistent support and time in the school</li> </ul>	
6. Use data to implement an aligned instructional program	<ul style="list-style-type: none"> <li>○ LEA <i>provides multiple assessments and data points through technology-based resources</i> for the school to align its instructional program</li> </ul>	<ul style="list-style-type: none"> <li>○ LEA provides <i>some assessments and data</i> with minimal technology for the school to align its instructional program</li> </ul>	<ul style="list-style-type: none"> <li>○ LEA <i>provides minimal</i> assessments with no data; technology is not used</li> </ul>	

	<ul style="list-style-type: none"> <li>○ LEA provides <i>intensive and ongoing</i> professional development in conducting and using assessment results to inform instructional decision making throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>○ LEA provides professional development in conducting and using assessment results to inform instruction throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>LEA rarely provides</i> professional development for teachers to increase skills in conducting assessments and using results to inform instruction</li> </ul>	
7. Promote the use of data to inform and differentiate instruction	<ul style="list-style-type: none"> <li>○ Provides <i>frequent structured time</i> (e.g., weekly) for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	<ul style="list-style-type: none"> <li>○ Provide <i>regular time</i> (e.g., monthly) for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>Rarely provides</i> time for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Provides <i>extended, job-embedded professional development</i> that includes observation and coaching to increase knowledge of differentiated instruction</li> </ul>	<ul style="list-style-type: none"> <li>○ Provides <i>job-embedded professional development</i> to increase knowledge of differentiated instruction</li> </ul>	<ul style="list-style-type: none"> <li>○ Provides professional development that occurs <i>outside of the classroom</i> and does <i>not focus on</i> live student data or on improving differentiated instruction</li> </ul>	
8. Provide increased learning time for students and staff	<ul style="list-style-type: none"> <li>○ Provides increased, intentional learning time driven by student data indicated for <i>all</i> students and staff</li> </ul>	<ul style="list-style-type: none"> <li>○ Provides increased learning time for <i>all</i> students and staff</li> </ul>	<ul style="list-style-type: none"> <li>○ Does not provide increased learning time for all students and staff</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Time is of <i>extensive length</i> (at least 300 hours) to potentially increase learning</li> </ul>	<ul style="list-style-type: none"> <li>○ Time is of <i>sufficient length</i> (at least 180 hours) to potentially increase learning</li> </ul>	<ul style="list-style-type: none"> <li>○ Time is <i>not of sufficient length</i> (90 hours or less) to create change</li> </ul>	
9. Provide social-emotional and community-oriented services/supports	<ul style="list-style-type: none"> <li>○ Collaborates with several <i>external organizations and community partners</i> to provide sustainable space and services for <i>student needs</i>, (e.g., dental, medical, behavioral, etc)</li> </ul>	<ul style="list-style-type: none"> <li>○ Collaborates with minimal <i>external organizations or community partners</i> to provide space and services for <i>student needs</i>, (e.g., dental, medical, behavioral, etc) as needed</li> </ul>	<ul style="list-style-type: none"> <li>○ Does not collaborate with external organizations; support to families is <i>limited</i></li> </ul>	

	<ul style="list-style-type: none"> <li>○ Works with community to provide on-going and consistent <i>family and community engagement activities</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Works with community to provide limited <i>family and community engagement activities</i></li> </ul>	<ul style="list-style-type: none"> <li>○ <i>No partnerships</i> in the community to provide <i>family and community engagement activities</i></li> </ul>	

Total Score \_\_\_\_\_/60

## Transformation

Required Element	Possible Tasks: Score 3 Exceptional	Possible Tasks: Score 2 Adequate	Possible Tasks: Score 1 Inadequate	Score
1. Replace the principal who led the school prior to implementing the model.	<ul style="list-style-type: none"> <li>Principal is replaced with one that has evidence of a proven track record</li> </ul>	<ul style="list-style-type: none"> <li>Principal is replaced with one without evidence of a proven track record</li> </ul>	<ul style="list-style-type: none"> <li>Principal is replaced with one having an ineffective track record</li> </ul>	
2. Use evaluation systems for teachers and principals that consider student growth and assessments; develop with teacher/principal involvement	<ul style="list-style-type: none"> <li>Evaluation systems for principal and teachers includes multiple assessments aligned to student academic growth</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation systems for principal and teachers includes a single assessment aligned to student academic growth</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation systems for principal and teachers does not include an assessment aligned to student academic growth</li> </ul>	
	<ul style="list-style-type: none"> <li>Evaluation systems are developed with teachers' and principal involvement</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation systems are developed with teachers' or principals involvement</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation system development does <i>not include involvement</i> of principal or teachers</li> </ul>	
3. Reward school leaders, teachers and staff who, in implementing the model, increase student achievement or high school graduation rates; remove those who, after professional	<ul style="list-style-type: none"> <li>Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.</li> </ul>	<ul style="list-style-type: none"> <li>Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.</li> </ul>	<ul style="list-style-type: none"> <li>Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.</li> </ul>	

development, have not.	<ul style="list-style-type: none"> <li>○ The awards correspond to <i>effective practices</i> of retaining teachers such as improving working conditions, increasing financial compensation, and/or providing job promotions as identified by staff through a survey or needs assessment</li> </ul>	<ul style="list-style-type: none"> <li>○ The awards correspond to <i>effective practices</i> of retaining teachers such as improving working conditions, increasing financial compensation, and/or providing job promotions</li> </ul>	<ul style="list-style-type: none"> <li>○ Awards <i>not described or do not correspond to effective practices</i> of retaining teachers and thus are unlikely motivators</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Provides a comprehensive, <i>effective, and logical</i> process for assisting teachers (e.g., providing additional professional, mentoring) who are not improving student learning or graduation rates; plan must provide an implementation timeline and pathways for improvement or release</li> </ul>	<ul style="list-style-type: none"> <li>○ Provides description of <i>effective and logical</i> process for assisting teachers (e.g., providing additional professional, mentoring) who are not improving student learning or graduation rates</li> </ul>	<ul style="list-style-type: none"> <li>○ Description for assisting teachers who are not improving student learning or graduation rates is <i>not given, not detailed, or not likely to change teachers' practices</i></li> </ul>	
4. Provide high-quality, job embedded professional development	<ul style="list-style-type: none"> <li>○ Topics of professional development are <i>determined by SIG goals, needs assessments, and other data points; professional development is differentiated by teacher need</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Topics of professional development are <i>connected to the SIG goals, needs assessments, and other data points; not differentiated by teacher need</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Topics of professional development are <i>disparate; do not align to SIG goals, needs assessments or other data points; established by the LEA; not differentiated by teacher need</i></li> </ul>	
	<ul style="list-style-type: none"> <li>○ Professional development is conducted <i>weekly through job-embedded opportunities at the school</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development is conducted <i>monthly through job-embedded opportunities at the school</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development is <i>rarely</i> provided at the school; <i>usually occurs as a whole district</i></li> </ul>	
	<ul style="list-style-type: none"> <li>○ Professional development includes vertical and</li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development often includes vertical collaboration;</li> </ul>	<ul style="list-style-type: none"> <li>○ Focus of professional development is <i>not related to teacher collaboration,</i></li> </ul>	

	horizontal collaboration, coaching and mentoring, data analysis, and determining appropriate curriculum and instruction	may include coaching and mentoring, data analysis, or determining appropriate curriculum and instruction	<i>coaching and mentoring, data analysis or curriculum and instruction</i>	
5. Implement strategies to recruit, place, and retain staff	○ Recruitment and retention of staff includes at least three <i>strategies known to be effective</i> , such as improving working conditions, providing higher salaries, and offering job promotions	○ Recruitment and retention of staff includes at least two <i>strategies known to be effective</i> , such as improving working conditions, providing higher salaries, and/or offering job promotions	○ Strategies for recruitment and retention <i>do not correspond with strategies known to be effective</i>	
	○ <i>Mentors and/or coaches are provided</i> for all staff	○ <i>Mentors and/or coaches are provided</i> for identified groups of teachers, such as newer teachers or those changing grade levels	○ <i>Mentors nor coaches are included</i>	
6. Provide increased learning time for students and staff	○ Provides increased, intentional learning time driven by student data indicated for <i>all</i> students and staff	○ Provides increased learning time for <i>all</i> students and staff	○ Does not provide increased learning time for all students and staff	
	○ Time is of <i>extensive length (at least 300 hours)</i> to potentially increase learning	○ Time is of <i>sufficient length (at least 180 hours)</i> to potentially increase learning	○ Time is <i>not of sufficient length (90 hours or less)</i> to create change	
7. Use data to implement an aligned instructional program	○ LEA <i>provides multiple assessments and data points through technology-based resources</i> for the school to align its instructional	○ LEA provides some <i>assess-ments and data</i> with minimal technology for the school to align its instructional program	○ LEA <i>provides minimal assessments with no data</i> ; technology is not used	

	program			
	<ul style="list-style-type: none"> <li>LEA provides <i>intensive and ongoing</i> professional development in conducting and using assessment results to inform instructional decision making throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>LEA provides professional development in conducting and using assessment results to inform instruction throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>LEA rarely provides professional development for teachers to increase skills in conducting assessments and using results to inform instruction</li> </ul>	
8. Promote the use of data to inform and differentiate instruction	<ul style="list-style-type: none"> <li>Provides <i>frequent structured time</i> (e.g., weekly) for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	<ul style="list-style-type: none"> <li>Provide <i>regular time</i> (e.g., monthly) for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	<ul style="list-style-type: none"> <li>Rarely provides time for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	
	<ul style="list-style-type: none"> <li>Provides <i>extended, job-embedded professional development</i> that includes observation and coaching to increase knowledge of differentiated instruction</li> </ul>	<ul style="list-style-type: none"> <li>Provides <i>job-embedded professional development</i> to increase knowledge of differentiated instruction</li> </ul>	<ul style="list-style-type: none"> <li>Provides professional development that occurs <i>outside of the classroom</i> and does <i>not focus on</i> live student data or on improving differentiated instruction</li> </ul>	
9. Provide mechanism for family and community engagement	<ul style="list-style-type: none"> <li>LEA conducts a comprehensive, community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.</li> </ul>	<ul style="list-style-type: none"> <li>LEA conducts a basic, community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.</li> </ul>	<ul style="list-style-type: none"> <li>LEA did not conduct a community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.</li> </ul>	
10. Give school sufficient	<ul style="list-style-type: none"> <li>LEA provides a</li> </ul>	<ul style="list-style-type: none"> <li>LEA provides a document or plan</li> </ul>	<ul style="list-style-type: none"> <li>LEA does not provide a document or</li> </ul>	

operational flexibility	comprehensive documents or plan that indicates areas that will grant <i>significant</i> operational decisions to the school	that indicates areas that will grant <i>minor</i> operational decisions to the school	<i>plan that indicates</i> authority will be granted to the school to make operational decisions; or the decisions allowed are <i>not of significance</i> .	
11. LEA, SEA, or designated external partner(s) assist the school with ongoing technical assistance and support	○ <i>Multiple</i> supports detailed; occur <i>throughout the year</i>	○ <i>Some</i> supports detailed; occur <i>throughout the year</i>	○ <i>No</i> supports are described; support appears <i>sporadic</i>	
	○ Multiple support for <i>both</i> teachers and principals are in place	○ <i>Some</i> supports for <i>both</i> teachers and principals are in place	○ Support <i>for both</i> teachers and principals are not in place or transparent	
	○ Provided by external, <i>experienced leaders</i> in change and in the school model	○ Provided by <i>external leaders</i> in change with knowledge of the identified school model	○ Provided by district staff or others <i>without proven track records</i> in school change or the model	

Total Score \_\_\_\_\_/66

## Appendix H: LEA Application for Each Tier III School

### School Improvement Grant (1003g)

#### LEA Application for each Tier III School

**A. School to be Served:** \_\_\_\_\_ Number: \_\_\_\_\_

School Corporation: \_\_\_\_\_ Number: \_\_\_\_\_

#### *Instructions:*

1. The LEA must complete a new application for *each* Tier III school applying for a school improvement grant.
2. Before deciding which school improvement model for the school and which strategies to implement, use the Worksheet #1 “Analysis of Student and School Data” and Worksheet #2 “Self-Assessment of Practices of High-performing Schools” (Attachment A).
3. Indicate whether a school improvement model will be implemented in this school.
  - Yes, this school will implement this improvement model.
    - Turnaround                       Restart
    - Transformation       Closure
  - No, this school will *NOT* implement an improvement model.
4. Complete the following as noted.
  - If this school is implementing an improvement model, the LEA must complete and submit:

- a. Worksheet #1 “Analysis of Student and School Data” and Worksheet #2 “Self-Assessment of Practices of High-performing Schools” including findings and root cause analysis
  - b. Tier I and Tier II application
- If this school is not implementing an improvement model, the LEA must complete and submit:
- a. Worksheet #1 “Analysis of Student and School Data” and Worksheet #2 “Self-Assessment of Practices
  - b. This Tier III application

## B. Descriptive Information

### I. LEA Analysis of School Needs

- a) Provide a summary of the **findings** and most critical needs of the school from using Worksheet #1 “Analysis of Student and School Data” and Worksheet #2 “Self-Assessment of Practices of High-Poverty, High-Performing Schools (Attachment A).  
Bullet points rather than full sentences are acceptable.

- b) Explain how the findings listed above informed the LEA’s decision regarding the changes and strategies to be implemented.

## 2. Annual Goals for Tier III Schools for Accountability

*Instructions:*

- 1) Review the results of the two worksheets and the findings.
- 2) Based on the baseline student data for ISTEP+ and/or end-of-course assessments, develop:
  - One English/language arts goal for “all students.”
  - One mathematics goal for “all students.”
  - For examples of goals, see guidance document, H-25, p. 41.
- 3) Schools serving students in grade 12 must also include a goal related to graduation.
- 4) Include goals for the three-year duration of the grant.

➤ *Note: Goals must be measurable and aggressive, yet attainable.*

<b>SY 2009-2010 Baseline Data</b> (most recent available data that corresponds to the proposed goals)	<b>Annual Goals</b>		
	<b>SY 2011-2012</b>	<b>SY 2012-2013</b>	<b>SY 2013-2014</b>
<i>Example:</i> 50% of all students are proficient on ISTEP+ mathematics	75% of all students are proficient on ISTEP+ mathematics	85% of all students are proficient on ISTEP+ mathematics	95% of all students are proficient on ISTEP+ mathematics

## C. Budget

*Instructions:*

- 4) Complete the budget pages provided in the attached Excel file for the three years. Choose each “tab” for years 2011-2012, 2012-2013, 2013-2014.
- 5) Indicate the amount of school improvement funds the school will use for each year of the grant period to implement the selected model in the school it commits to serve.

**6) The total amount of funding per year must total *no less than \$50,000 and no greater than \$2,000,000 per year.***

*Note:* The LEA’s budget must cover the period of availability, including any extension wanted through a waiver, and be of sufficient size and scope to implement the selected school improvement model in the school(s) the LEA commits to serve. It would be permissible to include LEA-level activities designed to support implementation of the selected school improvement model in the LEA’s school.

## D. Assurances

\_\_\_\_\_ assures that it will

Corporation/Charter School Name

- \_\_\_ 1. Use its School Improvement Grant to implement fully and effectively an intervention in each school that the LEA commits to serve consistent with the final requirements.
- \_\_\_ 2. Establish annual goals for student achievement on the State’s assessments for both English/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each school that it serves with school improvement funds.
- \_\_\_ 3. If it implements a restart model in a school, include in its contract or agreement terms and provisions to hold the charter operation, charter management organization, or education management organization accountable for complying with the final requirements.
- \_\_\_ 4. Report to the SEA the school-level data required under section III of the final requirements.

## E. Waivers

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

Extending the period of availability of school improvement funds.

*Note:* Indiana has requested a waiver of the period of availability of school improvement funds and upon receipt, that waiver automatically applies to all LEAs in the State.

## Worksheet #1: Analysis of Student and School Data

Corporation Name \_\_\_\_\_ Number \_\_\_\_\_

School Name \_\_\_\_\_ Number \_\_\_\_\_

### *Purpose:*

According to the School Improvement Grants Application, the LEA is to analyze the needs of each school identified in the LEA's application and select an intervention for each school (see <http://www2.ed.gov/programs/sif/applicant.html>).

In order to assist the local educational agency (LEA) in the analysis of the school's needs, this needs assessment tool was developed by the Indiana Department of Education. The LEA must use this tool and submit it with its application.

### *Instructions:*

- 1) The LEA is to complete the needs assessments and the selection of a model for each school that it proposes to receive School Improvement Grant (1003g) funds.
- 2) The assessment includes three sections: (1) student achievement - AYP, (b) student leading indicators, and (c) practices of effective schools.
- 3) For each section, the LEA is to develop several key findings or summaries from the data sources (an example is provided for each data source).
- 4) Finally, the LEA uses the data findings to select the most appropriate improvement model for the school.

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## I. Data

### A. Student Achievement - AYP

#### *Instructions:*

- Complete the following table for each student group that did *not* meet AYP for performance in English/language arts and/or mathematics for 2010. (Do not list those groups that did meet AYP).
- Student groups would include American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient and Special Education.
- For LEA data, see the IDOE web site <http://compass.doe.in.gov/Dashboard.aspx?view=STATE&val=0&desc=STATE>

<b>Student groups not meeting AYP</b> (list groups below)	<b>% of this group not meeting AYP</b>	<b># of students in this group not meeting AYP</b>	<b>How severe is this group's failure?</b> (high, medium, low)	<b>How unique are the learning needs of this group?</b> (high, medium, low)
-----------------------------------------------------------	----------------------------------------	----------------------------------------------------	----------------------------------------------------------------	-----------------------------------------------------------------------------

**English/Language Arts**

<i>Example: LEP</i>	100%	23	High - refugees recently arrived from Iran	High - no prior formal schooling; from non-Western culture

**Mathematics**


**What are several key findings or summaries from the student achievement data?**

*Example:* "In this school, students in 4th grade generally did not pass ISTEP+ in the E/LA strand of 'vocabulary.'"

## B. Student Leading Indicators

*Instructions:*

- 1) Using school, student and teacher data, complete the table below
- 2) If the indicator is not applicable, such as “dropout rate” for an elementary school, write “NA” - not applicable - in the column.
- 3) Review the data and develop several key findings or summaries from the data.

	2008-2009	2009-2010
1. Number of minutes within the school year that students are to attend school?		
2. Dropout rate*		
3. Student attendance rate*		
4. Number and percentage of students completing advanced coursework* (e.g., AP/IB), early-college high schools, or dual enrollment classes		
5. Discipline incidents*		
6. Truants*		
7. Distribution of teachers by performance level on LEA’s teacher evaluation system		
8. Teacher attendance rate		

\*If this school is a high school, disaggregation of the data by student groups would be informative in your planning.

**What are key findings or summaries from the student leading indicator data?**

*Example:* “In this school, teachers on average are out of the classroom 32 days of the school year.”

## Worksheet #2: Self-Assessment of Practices of High-Performing Schools

### Instructions:

- The following table lists the research and best practices of effective schools, especially of high-poverty, high-performing schools. These practices are embedded in the school improvement models as well.
- Using a team that knows the school well, critically consider the practices of the school and determine a score of 1-4 with four being the highest.
- As with the other previous data sources, use the scores to develop a set of key findings or summaries.

<b>The Principal and Leadership</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>The Principal and Leadership</b>
<ul style="list-style-type: none"> <li>○ Spends most of the time managing the school.</li> <li>○ Is rarely in the classrooms.</li> <li>○ Is not knowledgeable about English/ language arts or mathematics instruction.</li> <li>○ Serves as lone leader of the school</li> <li>○ Must accept teachers based on seniority or other union agreements rather than on their effectiveness in the classroom.</li> </ul>					<ul style="list-style-type: none"> <li>○ Is highly knowledgeable of E/LA and mathematics instruction.</li> <li>○ Conducts frequent walk-throughs.</li> <li>○ Know E/LA and mathematics instruction well and is able to assist teachers.</li> <li>○ Utilizes various forms of leadership teams and fosters teachers' development as leaders.</li> <li>○ Is not bound by seniority rules in hiring and placement of teachers.</li> </ul>
<b>Instruction</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Instruction</b>
<ul style="list-style-type: none"> <li>○ Is primarily lecture-style and teacher-centered.</li> <li>○ Places the same cognitive demands on all learners (no differentiation).</li> <li>○ Is primarily textbook-oriented.</li> <li>○ Does not include technology.</li> <li>○ Works alone, rarely meeting in or across grade-level teams to discuss and improve.</li> </ul>					<ul style="list-style-type: none"> <li>○ Includes a variety of methods that are student-centered.</li> <li>○ Provides various levels of cognitive demands (differentiation; Response to Instruction - RTI).</li> <li>○ Uses multiple sources beyond textbooks.</li> <li>○ Includes frequent use of technology.</li> </ul>

<ul style="list-style-type: none"> <li>○ Instruction is rarely evaluated and connections to student learning growth or increased graduation rates are not made.</li> <li>○ Instruction is not increased to allow for more student learning time.</li> </ul>				<ul style="list-style-type: none"> <li>○ Works in teams, discussing student learning and instructional ideas.</li> <li>○ Instruction is evaluated through rigorous, transparent, and equitable processes that take into account student growth and increased graduation rates.</li> <li>○ Schedules and strategies provide for increased student learning time.</li> </ul>
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<b>Curriculum</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Curriculum</b>
<ul style="list-style-type: none"> <li>○ Leadership does not observe or evaluate teachers for use of the curriculum.</li> <li>○ Is considered to be the textbook or the state standards.</li> <li>○ Is not aligned within or across grade levels.</li> <li>○ Is not rigorous or cognitively demanding.</li> <li>○ Is not available to all students, e.g., English language learners or students with disabilities as they are not present in the regular classroom during core instruction time.</li> <li>○ Is not differentiated for struggling students.</li> </ul>					<ul style="list-style-type: none"> <li>○ Is observed by school leadership that it is being taught.</li> <li>○ Is developed by teachers based on unpacking the state standards.</li> <li>○ Is aligned within and across grade levels.</li> <li>○ Is rigorous and cognitively demanding.</li> <li>○ Is accessible to all students through placement in regular classroom during instruction of the core curriculum.</li> <li>○ Is differentiated for struggling students.</li> </ul>
<b>Data - Formative Assessments</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Data - Formative Assessments</b>
<ul style="list-style-type: none"> <li>○ Are not regularly used by teachers.</li> <li>○ Are not routinely disaggregated by teachers.</li> <li>○ Are not used to determine appropriate instructional strategies.</li> </ul>					<ul style="list-style-type: none"> <li>○ Are used to implement an aligned instructional program.</li> <li>○ Are used to provide differentiated instruction.</li> <li>○ Are discussed regularly in teacher groups to discuss student work.</li> </ul>
<b>Professional Development</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Professional Development</b>
<ul style="list-style-type: none"> <li>○ Is individually selected by each teacher; includes conferences and conventions.</li> <li>○ Is not related to curriculum, instruction, or assessment.</li> <li>○ Is short, i.e., one-shot sessions.</li> <li>○ Does not include follow-up</li> </ul>					<ul style="list-style-type: none"> <li>○ Is of high quality and job-embedded.</li> <li>○ Is aligned to the curriculum and instructional program.</li> <li>○ Includes increasing staff's knowledge and skills in instructing English language learners and students with disabilities.</li> </ul>

assistance, mentoring, or monitoring of classroom implementation.					<ul style="list-style-type: none"> <li>○ Is developed long-term; focuses on improving curriculum, instruction, and formative assessments.</li> </ul>
<b>Parents, Family, Community</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Parents, Family, Community</b>
<ul style="list-style-type: none"> <li>○ Does not provide extended supports.</li> <li>○ Does not ensure a safe school and community environment for children.</li> </ul>					<ul style="list-style-type: none"> <li>○ Provide social and emotional supports from school and community organizations.</li> <li>○ Create a safe learning environment within the school and within the community.</li> <li>○ Includes use of advisory periods to build student-adult relationships.</li> </ul>

Cultural Competency	1	2	3	4	Cultural Competency
<ul style="list-style-type: none"> <li>○ Holds the belief that all students learn the same way, instructing all students in similarly.</li> <li>○ Uses the textbook to determine the focus of study.</li> <li>○ “Cultural instruction” is limited to study of flags, festivals, and foods of countries/people.</li> <li>○ Does not investigate students’ level of education prior to coming to the United States; home languages; the political/economic history; conditions of countries or groups.</li> <li>○ Does not connect curriculum and learning to students’ own life experiences as related to race, ethnicity, or social class.</li> </ul>					<ul style="list-style-type: none"> <li>○ Holds the belief that students learn differently and provides for by using various instructional practices.</li> <li>○ Combines what learners need to know from the standards and curriculum with the needs in their lives.</li> <li>○ Provides culturally proficient instruction, allows learners to explore cultural contexts of selves and others.</li> <li>○ Investigates students’ education prior to coming to the United States; home languages; political/economic history; conditions of countries or groups.</li> <li>○ Connects curriculum and learning to students’ own life experiences as related to race, ethnicity or class.</li> </ul>

## II. Selection Improvement

Based on our three data is selecting this school:

Transformation

Closure

**What are key findings or summaries from the practices of high-performing schools?**

*Example:* "In this school, the teachers are not providing differentiated instruction; the principal is unable to help them in the area of good instructional practices; and they have not yet implemented Response to Instruction."

**of Model**

findings of the sources, the LEA model for this

Turnaround

## Attachment A: LEA Budget Capacity Scoring Rubric

Capacity Task	Yes	No	IDOE Comments
<p>1. The budget includes attention to each element of the selected intervention.</p> <p><i>All models</i></p>			
<p>2. The budget is sufficient and appropriate to support the full and effective implementation of the intervention for three years.</p> <p><i>All models</i></p>			
<p>3. Projected budgets meet the requirements of reasonable, allocable, and allowable.</p> <p><i>All models</i></p>			
<p>4. The budget is planned at a minimum of \$50,000 and does not exceed two million per year per school.</p> <p><i>All models</i></p>			
<p>5. The district has the resources to serve the number of Tier I, II, and III schools that are indicated.</p> <p><i>All models</i></p>			

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<p>6. A clear alignment exists between the goals and interventions model and the funding request (budget).</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• Funding requests for identified interventions are proportionately balanced and demonstrate an equitable distribution as identified in the SIG application</li> <li>• Funding should directly impact the schools improvement processes for supporting prescriptive and intentional designed interventions</li> <li>• Funding of programs, models, professional development, and staff should be directly linked to a School Improvement Goal identified in the SIG application</li> <li>• Funding supports the schools current capacity to improve student achievement</li> </ul>			
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<p>7. The LEA and school staff has the credentials and a demonstrated track record to implement the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Data portfolios of incoming staff/leaders</i></li> <li>• <i>Highly Qualified in content of contractual agreement</i></li> <li>• <i>Samples of implemented school improvement plans with documented outcomes using data</i></li> </ul>			
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<p>8. The district has received the support of the staff to fully implement the intervention model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Staff Assurances</i></li> <li>• <i>Staff Surveys</i></li> <li>• <i>Staff Needs Assessments</i></li> </ul>			
<p>9. The district has received the support of parents to fully implement the intervention model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Parent Meeting Agendas</i></li> <li>• <i>Parent Surveys</i></li> <li>• <i>Parent Focus Groups</i></li> </ul>			
<p>10. The school board is fully committed to eliminating barriers to allow for the full implementation of the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>School Board Assurances</i></li> <li>• <i>School Board Meeting Minutes from proposal and or discussion</i></li> <li>• <i>Support the creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools</i></li> </ul>			

<p>11. The superintendent is fully committed to eliminating barriers to allow for the full implementation of the selected model.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Superintendent Assurance</i></li> <li>• <i>School Board Meeting Minutes from proposal and or discussion</i></li> <li>• <i>Superintendent SIG Presentation</i></li> <li>• <i>Creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools</i></li> </ul>			
<p>12. The teacher's union is fully committed to eliminating barriers to allow for the full implementation of the model, including but not limited to teacher evaluations, hiring and dismissal procedures and length of the school day.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Teacher Union Assurance</i></li> <li>• <i>An outline of amendments to SIG Teacher contracts that will allow for full implementation of the identified model</i></li> </ul>			
<p>13. The district has the ability to recruit new principals.</p>			

<p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Partnerships with outside educational organizations (TFA, New Teachers for New Leaders) and or universities</i></li> <li>• <i>Statewide and national postings</i></li> <li>• <i>External networking</i></li> </ul>			
<p>14. The district has a robust process in place to select the principal and staff.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Principal and staff hiring practices</i></li> <li>• <i>Principal and staff transfer policies/procedures</i></li> <li>• <i>principal and staff recruitment, placement and retention procedures</i></li> </ul>			
<p>15. The timeline is detailed and realistic, demonstrating the district's ability to fully implement the intervention during the 2011-2012 school year.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Monthly focus with identified objectives</i></li> <li>• <i>Smart Goals</i></li> <li>• <i>Measurable Outcomes (consisting of transformative, formative, and summative data)</i></li> </ul>			

<ul style="list-style-type: none"> <li>• <i>Streamline and scaffolded focus aligned to key findings and root causes in SIG application</i></li> </ul>			
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<p>16. District staff has high levels of expertise and successful experience in researching, and implementing the selected intervention model.</p> <p><i>Turnaround, Transformation, Restart Models</i></p> <ul style="list-style-type: none"> <li>• <i>Professional Development sign in sheets aligned to SIG funded PD</i></li> <li>• <i>Support framework of district staff aligned to areas of need as identified in the SIG application (Staff member, area of expertise, support provided to the school, frequency)</i></li> </ul>			
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<p>17. The school community has been purposefully engaged multiple times to inform them of progress and seek their input.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• <i>Town Hall Meetings</i></li> <li>• <i>Town Hall Meeting Postings (news paper, district website, parent newsletters, public flyers)</i></li> <li>• <i>Town Hall sign in sheets</i></li> <li>• <i>Community Partner Assurances</i></li> <li>• <i>Documentation of mailings</i></li> </ul>			
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<p>18. The district demonstrates the ability to align federal, state, and local funding sources with grant activities.</p> <p><i>All models</i></p> <ul style="list-style-type: none"> <li>• Title I</li> <li>• Title II</li> <li>• Title III</li> <li>• IDEA</li> <li>• E-Rate</li> <li>• TAP</li> </ul>			
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<p>19. The district demonstrates the ability and commitment to increased instructional time.</p> <p><i>Turnaround, Transformation Models</i></p> <ul style="list-style-type: none"> <li>• <i>Increased instructional time is structured and embedded into the schools' daily schedule and or school calendar</i></li> <li>• <i>Increased learning time for students is tiered and supported by licensed and/or highly qualified educators</i></li> <li>• <i>A needs assessment has been completed to identify areas where extended time can be most effectively used</i></li> <li>• <i>Increased learning time is structured as a vehicle to support differentiated learning (ex:...)</i> <ul style="list-style-type: none"> <li>○ <i>An additional block of time embedded into the school day</i></li> <li>○ <i>Summer enrichment/remediation</i></li> </ul> </li> </ul>			
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<ul style="list-style-type: none"><li>○ <i>Saturday intervention</i></li><li>○ <i>Before or after school enrichment/remediation</i></li><li>○ <i>School vacation weeks</i></li><li>● <i>Compensation for extended day is identified by the LEA</i></li></ul>			
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## **Attachment B: Budget**

**§ 2011-2012 SCHOOL IMPROVEMENT GRANT 1003(g) SCHOOL BUDGET**

Allocation  
Amount

Original  
 Amendment # \_\_\_\_\_

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

		School Name:						School #:				Line Totals
		110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	
Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Property	Transfer	
		Cert	Noncert									
11000	Instruction											\$0.00
21000	Support Services-Student											\$0.00
22100	Improvement of Instruction (Professional development)											\$0.00
22900	Other Support Services: Admin for School-Level Activities											\$0.00
25191	Refund of Revenue											\$0.00
26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
	<b>Column Totals</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>TOTAL COST</b>											\$0.00	
Current Indirect Cost		Subtract the amount above 25,000 (per individual contracted service) from your total budget:										
											Total after deducting Property (710-748)	\$0.00


Total Available for Indirect Costs  
 Amount of Indirect Cost to be used  
**Grand Total After Indirect Cost**

\$0.00
####

ITEMIZE and EXPLAIN				
General Supplies	Property: Equipment/Technology	Prof. Services	Other Purchase Services	Salary Personnel

**LEA/GOVERNANCE :** *List below activities for LEA-level activities, including pre-implementation activities. Clearly explain/identify requested amounts to a specific element and/or activity. Funds budgeted here will be included in the maximum amount available per school.*

A large, empty rectangular box with a thin black border, intended for listing LEA-level activities and their associated budgeted amounts. The box is currently blank.

**§ 2011-2012 SCHOOL IMPROVEMENT GRANT 1003(g) LEA BUDGET**

Allocation  
Amount

Original  
 Amendment # \_\_\_\_\_

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

School Name: \_\_\_\_\_ School #: \_\_\_\_\_

Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Prop erty	Transfer	Line Totals
		Cert	Noncert									
11000	Instruction											\$0.00
21000	Support Services-Student											\$0.00
22100	Improvement of Instruction (Professional development)											\$0.00
22900	Other Support Services: Admin for LEA Activities											\$0.00
25191	Refund of Revenue											\$0.00
26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
	<b>Column Totals</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

**TOTAL COST**

\$0.00

Subtract the amount above 25,000 (per individual contracted service) from your total budget:

Current Indirect Cost

Total after deducting Property (710-748)	\$0.00
Total Available for Indirect Costs	\$0.00
Amount of Indirect Cost to be used	
<b>Grand Total After Indirect Cost</b>	<b>####</b>

ITEMIZE and EXPLAIN				
General Supplies	Property: Equipment/Technology	Prof. Services	Other Purchase Services	Salary Personnel

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**§ 2012-2013 SCHOOL IMPROVEMENT GRANT 1003(g) SCHOOL BUDGET**

Allocation  
Amount

Original  
 Amendment # \_\_\_\_

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_

		School Name:						School #:				Line Totals
		110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	
Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Prop erty	Transfer	
		Cert	Noncert									
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21000	Support Services-Student											\$0.00
22100	Improvement of Instruction (Professional development)											\$0.00
22900	Other Support Services: Admin for School-Level Activities											\$0.00
25191	Refund of Revenue											\$0.00
26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
	<b>Column Totals</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>TOTAL COST</b>											\$0.00	
Subtract the amount above 25,000 (per individual contracted service) from your total budget:												
Current Indirect Cost											Total after deducting Property (710-748)	\$0.00
											Total Available for Indirect Costs	\$0.00
											Amount of Indirect Cost to be used	
											<b>Grand Total After Indirect Cost</b>	<b>####</b>

**ITEMIZE and EXPLAIN**

<b>General Supplies</b>	<b>Property: Equipment/Technology</b>	<b>Prof. Services</b>	<b>Other Purchase Services</b>	<b>Salary Personnel</b>

**LEA/GOVERNANCE :** *List below activities for LEA-level activities, including pre-implementation activities. Clearly explain/identify requested amounts to a specific element and/or activity. Funds budgeted here will be included in the maximum amount available per school.*

A large, empty rectangular box with a thin black border, intended for listing LEA-level activities and their associated budgeted amounts. The box is currently blank.



**§ 2012-2013 SCHOOL IMPROVEMENT GRANT 1003(g) LEA BUDGET**

Original  
 Amendment # \_\_\_\_\_

Allocation  
Amount

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

		School Name:						School #:				Line Totals
		110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	
Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Property	Transfer	
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26000	Operation and Maintenance											\$0.00
27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
	<b>Column Totals</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

**TOTAL COST**

\$0.00

Current Indirect Cost

Subtract the amount above 25,000 (per individual contracted service) from your total budget:

Total after deducting Property (710-748)	\$0.00
Total Available for Indirect Costs	\$0.00
Amount of Indirect Cost to be used	

Grand Total After Indirect Cost

####

ITEMIZE and EXPLAIN				
General Supplies	Property: Equipment/Technology	Prof. Services	Other Purchase Services	Salary Personnel



**§ 2013-2014 SCHOOL IMPROVEMENT GRANT 1003(g) SCHOOL BUDGET**

Allocation  
Amount

Original  
 Amendment # \_\_\_\_

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

		School Name:						School #:				Line Totals
		110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	
Account Number	Expenditure Account	Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Property	Transfer	
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11000	Instruction											\$0.00
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27000	Transportation											\$0.00
33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
<b>Column Totals</b>		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	

**TOTAL COST**

\$0.00

Subtract the amount above 25,000 (per individual contracted service) from your total budget:

Current Indirect Cost

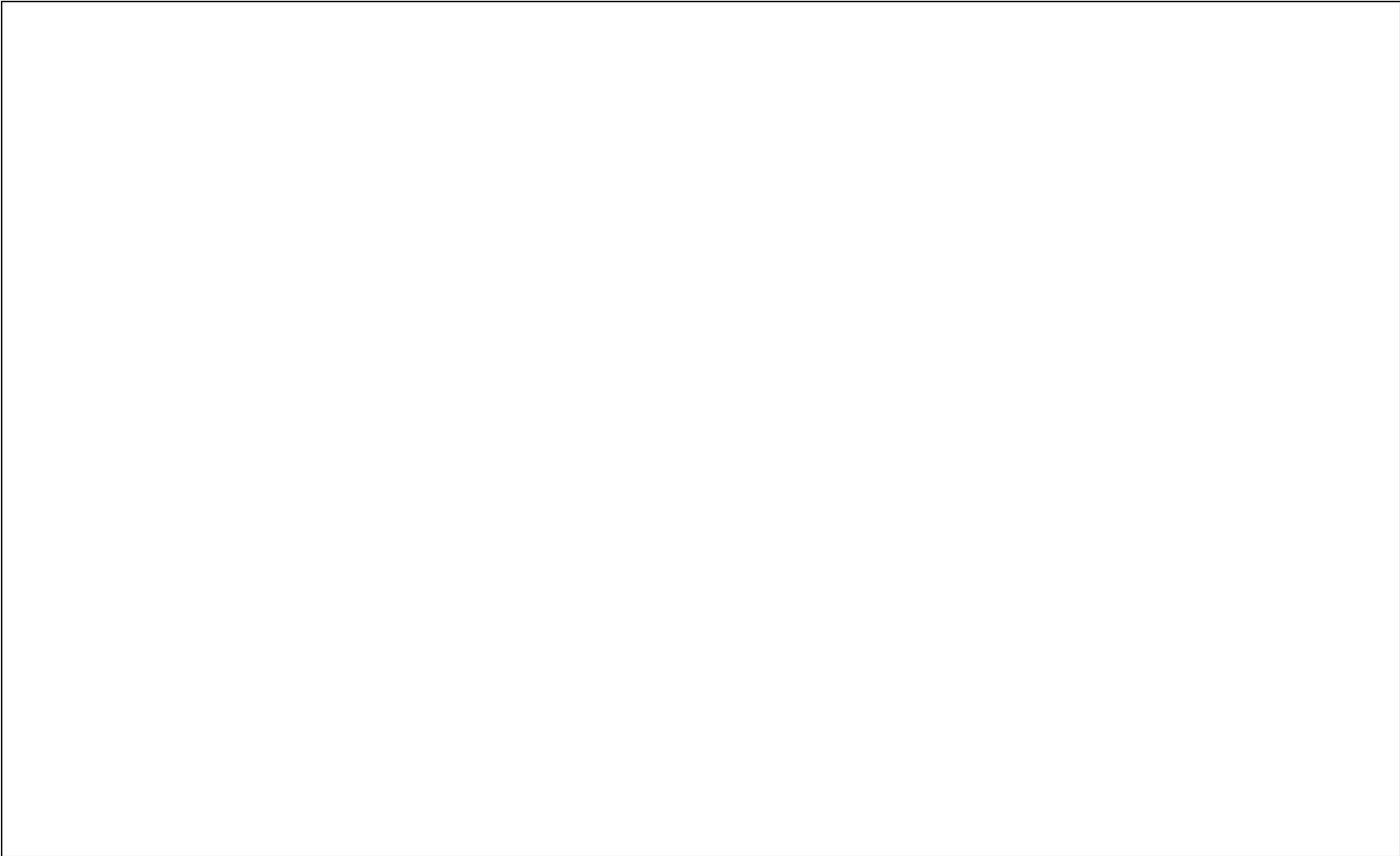
Total after deducting Property (710-748)	\$0.00
Total Available for Indirect Costs	\$0.00
Amount of Indirect Cost to be used	
<b>Grand Total After Indirect Cost</b>	<b>####</b>

**ITEMIZE and EXPLAIN**

General Supplies	Property: Equipment/Technology	Prof. Services	Other Purchase Services	Salary Personnel

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**LEA/GOVERNANCE :** *List below activities for LEA-level activities, including pre-implementation activities. Clearly explain/identify requested amounts to a specific element and/or activity. Funds budgeted here will be included in the maximum amount available per school.*



**§ 2013-2014 SCHOOL IMPROVEMENT GRANT 1003(g) LEA BUDGET**

Original  
 Amendment # \_\_\_\_\_

Allocation  
Amount

Corporation Name: \_\_\_\_\_

Corp #: \_\_\_\_\_

School Name: \_\_\_\_\_ School #: \_\_\_\_\_

Account Number	Expenditure Account	110	120	211-290	211-290	311-319	440	510-593	611-689	710-748	910	Line Totals
		Salary		Benefits Cert	Benefits NonCert	Prof. Service	Rentals	Other Purchase Services	General Supplies	Prope rty	Transfer	
		Cert	Noncert									
11000	Instruction											\$0.00
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22100	Improvement of Instruction (Professional development)											\$0.00
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33000	Community Service Operations											\$0.00
60100	Transfers (Interfund)											\$0.00
<b>Column Totals</b>		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	

**TOTAL COST** \$0.00

Current Indirect Cost

Subtract the amount above 25,000 (per individual contracted service) from your total budget:

Total after deducting Property (710-748)	\$0.00
Total Available for Indirect Costs	\$0.00
Amount of Indirect Cost to be used	
<b>Grand Total After Indirect Cost</b>	<b>####</b>

<b>ITEMIZE and EXPLAIN</b>				
<b>General Supplies</b>	<b>Property: Equipment/Technology</b>	<b>Prof. Services</b>	<b>Other Purchase Services</b>	<b>Salary Personnel</b>

## Attachment D: Example of Alignment of Other Funding Sources to SIG Elements

Element of the Intervention	Intervention	Resource
<b>Federal Resources</b>		
Use of <i>research-based instructional practices</i> that are vertically aligned across grade levels and the state standards	Turnaround Transformation Restart	<b>Title I, Part A</b> - regular and stimulus funds (schoolwide or targeted assistance programs)
Assistance with design and implementation of <i>improvement plan</i> including high-quality job-embedded professional development designed to assist schools in implementing the intervention model	Turnaround Transformation Restart	<b>1003(a)</b> School Improvement Grant - AYP funds
<i>Recruitment of teaching staff</i> with skills and experience to effectively implement the selected intervention model	Turnaround Transformation	<b>Title II, Part A</b>
Job-embedded <i>staff development</i> aligned to grant goals to assist <i>English language learners</i>	Turnaround Transformation Restart	<b>Title III, Part A - LEP</b>
<b>State Resources</b>		
Focuses on early grade level intervention to improve the reading readiness and reading skills of students who are at risk of not learning to read.	Turnaround Transformation Restart	Early Intervention Grant

## Attachment E: Intervention Scoring Rubrics

### Turnaround

Required Element	Possible Tasks: Score 3 Exceptional	Possible Tasks: Score 2 Adequate	Possible Tasks: Score 1 Inadequate	Score
1. Replace the principal and grant principal operational flexibility	○ Principal is replaced with one that has evidence of a proven track record	○ Principal is replaced with one without evidence of a proven track record	○ Principal is replaced with one having an ineffective track record	
	○ LEA provides a comprehensive documents or plan that indicates areas that will grant <i>significant</i> operational decisions to the principal	○ LEA provides a document or plan that indicates areas that will grant <i>minor</i> operational decisions to the principal	○ LEA <i>does not provide a document or plan that indicates</i> authority will be granted to the principal to make operational decisions; or the decisions allowed are <i>not of significance</i> .	
2. Measure the effectiveness of current staff; screen existing staff and rehire no more than 50 percent; select new staff	○ LEA calibrates and tracks the effectiveness of staff <i>using classroom observation records and at least two additional sources to determine effectiveness</i>	○ LEA calibrates and tracks the effectiveness of staff using classroom observation records and one additional source to determine effectiveness	○ LEA calibrates and tracks the effectiveness of staff using classroom observations or another single source to determine effectiveness	

	<ul style="list-style-type: none"> <li>○ Screening of current staff is conducted by a team of school and district personnel and an external partner; interview questions are rigorous and relevant to determine the staff's willingness to fully implement the model</li> </ul>	<ul style="list-style-type: none"> <li>○ Screening of current staff is conducted by a team of school and district personnel; interview questions are general in nature and offer some insight in the staff's willingness to implement the model</li> </ul>	<ul style="list-style-type: none"> <li>○ Screening of current staff is conducted by the school or district; interview questions are of insufficient nature to determine staff's willingness to implement the model</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Less than 50 percent of the staff is rehired</li> </ul>	<ul style="list-style-type: none"> <li>○ 50 percent of the staff is rehired</li> </ul>	<ul style="list-style-type: none"> <li>○ More than 50 percent of the staff is rehired</li> </ul>	
3. Implement strategies to recruit, place, and retain staff	<ul style="list-style-type: none"> <li>○ Recruitment and retention of staff includes at least three strategies known to be effective, such as improving working conditions, providing higher salaries, and offering job promotions</li> </ul>	<ul style="list-style-type: none"> <li>○ Recruitment and retention of staff includes at least two strategies known to be effective, such as improving working conditions, providing higher salaries, and/or offering job promotions</li> </ul>	<ul style="list-style-type: none"> <li>○ Strategies for recruitment and retention do not correspond with strategies known to be effective</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Mentors and/or coaches are provided for all staff</li> </ul>	<ul style="list-style-type: none"> <li>○ Mentors and/or coaches are provided for identified groups of teachers, such as newer teachers or those changing grade levels</li> </ul>	<ul style="list-style-type: none"> <li>○ Mentors nor coaches are included</li> </ul>	
4. Provide high-quality, job embedded professional development	<ul style="list-style-type: none"> <li>○ Topics of professional development are determined by SIG goals, needs assessments, and other data points; professional development is differentiated by teacher need</li> </ul>	<ul style="list-style-type: none"> <li>○ Topics of professional development are connected to the SIG goals, needs assessments, and other data points; not differentiated by teacher need</li> </ul>	<ul style="list-style-type: none"> <li>○ Topics of professional development are disparate; do not align to SIG goals, needs assessments or other data points; established by the LEA; not differentiated by teacher need</li> </ul>	

	<ul style="list-style-type: none"> <li>○ Professional development is conducted <i>weekly through job-embedded opportunities at the school</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development is conducted <i>monthly through job-embedded opportunities at the school</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development is <i>rarely</i> provided at the school; <i>usually occurs as a whole district</i></li> </ul>	
	<ul style="list-style-type: none"> <li>○ Professional development includes vertical and horizontal collaboration, coaching and mentoring, data analysis, and determining appropriate curriculum and instruction</li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development often includes vertical collaboration; may include coaching and mentoring, data analysis, or determining appropriate curriculum and instruction</li> </ul>	<ul style="list-style-type: none"> <li>○ Focus of professional development is <i>not related to teacher collaboration, coaching and mentoring, data analysis or curriculum and instruction</i></li> </ul>	
5. Adopt a new governance structure	<ul style="list-style-type: none"> <li>○ Creates a <i>new</i> turnaround office with an appointed turnaround leader who has <i>significant and successful experience in school turnaround</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Creates a <i>new</i> turnaround office and/or appoints a turnaround leader with <i>successful experience in school turnaround</i></li> </ul>	<ul style="list-style-type: none"> <li>○ <i>Reshuffles or redesigns</i> its current structure rather than creating a turnaround office and appointing a turnaround leader</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Turnaround leader and staff will spend <i>extensive time in the school</i> allowing for a highly visible, supportive, and transparent relationship with the school</li> </ul>	<ul style="list-style-type: none"> <li>○ Turnaround leader and staff will spend <i>some time in the school</i> allowing for a supportive relationship with the school</li> </ul>	<ul style="list-style-type: none"> <li>○ Turnaround leader and staff provides minimal and/or inconsistent support and time in the school</li> </ul>	
6. Use data to implement an aligned instructional program	<ul style="list-style-type: none"> <li>○ LEA <i>provides multiple assessments and data points through technology-based resources</i> for the school to align its instructional program</li> </ul>	<ul style="list-style-type: none"> <li>○ LEA provides <i>some assessments and data</i> with minimal technology for the school to align its instructional program</li> </ul>	<ul style="list-style-type: none"> <li>○ LEA <i>provides minimal</i> assessments with no data; technology is not used</li> </ul>	

	<ul style="list-style-type: none"> <li>○ LEA provides <i>intensive and ongoing</i> professional development in conducting and using assessment results to inform instructional decision making throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>○ LEA provides professional development in conducting and using assessment results to inform instruction throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>LEA rarely provides</i> professional development for teachers to increase skills in conducting assessments and using results to inform instruction</li> </ul>	
7. Promote the use of data to inform and differentiate instruction	<ul style="list-style-type: none"> <li>○ Provides <i>frequent structured time</i> (e.g., weekly) for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	<ul style="list-style-type: none"> <li>○ Provide <i>regular time</i> (e.g., monthly) for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>Rarely provides</i> time for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Provides <i>extended, job-embedded professional development</i> that includes observation and coaching to increase knowledge of differentiated instruction</li> </ul>	<ul style="list-style-type: none"> <li>○ Provides <i>job-embedded professional development</i> to increase knowledge of differentiated instruction</li> </ul>	<ul style="list-style-type: none"> <li>○ Provides professional development that occurs <i>outside of the classroom</i> and does <i>not focus on</i> live student data or on improving differentiated instruction</li> </ul>	
8. Provide increased learning time for students and staff	<ul style="list-style-type: none"> <li>○ Provides increased, intentional learning time driven by student data indicated for <i>all</i> students and staff</li> </ul>	<ul style="list-style-type: none"> <li>○ Provides increased learning time for <i>all</i> students and staff</li> </ul>	<ul style="list-style-type: none"> <li>○ Does not provide increased learning time for all students and staff</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Time is of <i>extensive length</i> (at least 300 hours) to potentially increase learning</li> </ul>	<ul style="list-style-type: none"> <li>○ Time is of <i>sufficient length</i> (at least 180 hours) to potentially increase learning</li> </ul>	<ul style="list-style-type: none"> <li>○ Time is <i>not of sufficient length</i> (90 hours or less) to create change</li> </ul>	
9. Provide social-emotional and community-oriented services/supports	<ul style="list-style-type: none"> <li>○ Collaborates with several <i>external organizations and community partners</i> to provide sustainable space and services for <i>student needs</i>, (e.g., dental, medical, behavioral, etc)</li> </ul>	<ul style="list-style-type: none"> <li>○ Collaborates with minimal <i>external organizations or community partners</i> to provide space and services for <i>student needs</i>, (e.g., dental, medical, behavioral, etc) as needed</li> </ul>	<ul style="list-style-type: none"> <li>○ Does not collaborate with external organizations; support to families is <i>limited</i></li> </ul>	

	<ul style="list-style-type: none"> <li>○ Works with community to provide on-going and consistent <i>family and community engagement activities</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Works with community to provide limited <i>family and community engagement activities</i></li> </ul>	<ul style="list-style-type: none"> <li>○ <i>No partnerships</i> in the community to provide <i>family and community engagement activities</i></li> </ul>	

Total Score \_\_\_\_\_/60

## Transformation

Required Element	Possible Tasks: Score 3 Exceptional	Possible Tasks: Score 2 Adequate	Possible Tasks: Score 1 Inadequate	Score
1. Replace the principal who led the school prior to implementing the model.	<ul style="list-style-type: none"> <li>Principal is replaced with one that has evidence of a proven track record</li> </ul>	<ul style="list-style-type: none"> <li>Principal is replaced with one without evidence of a proven track record</li> </ul>	<ul style="list-style-type: none"> <li>Principal is replaced with one having an ineffective track record</li> </ul>	
2. Use evaluation systems for teachers and principals that consider student growth and assessments; develop with teacher/principal involvement	<ul style="list-style-type: none"> <li>Evaluation systems for principal and teachers includes multiple assessments aligned to student academic growth</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation systems for principal and teachers includes a single assessment aligned to student academic growth</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation systems for principal and teachers does not include an assessment aligned to student academic growth</li> </ul>	
	<ul style="list-style-type: none"> <li>Evaluation systems are developed with teachers' and principal involvement</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation systems are developed with teachers' or principals involvement</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation system development does <i>not include involvement</i> of principal or teachers</li> </ul>	
4. Reward school leaders, teachers and staff who, in implementing the model, increase student achievement or high school graduation rates; remove those who, after professional	<ul style="list-style-type: none"> <li>Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.</li> </ul>	<ul style="list-style-type: none"> <li>Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.</li> </ul>	<ul style="list-style-type: none"> <li>Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.</li> </ul>	

development, have not.	<ul style="list-style-type: none"> <li>○ The awards correspond to <i>effective practices</i> of retaining teachers such as improving working conditions, increasing financial compensation, and/or providing job promotions as identified by staff through a survey or needs assessment</li> </ul>	<ul style="list-style-type: none"> <li>○ The awards correspond to <i>effective practices</i> of retaining teachers such as improving working conditions, increasing financial compensation, and/or providing job promotions</li> </ul>	<ul style="list-style-type: none"> <li>○ Awards <i>not described or do not correspond to effective practices</i> of retaining teachers and thus are unlikely motivators</li> </ul>	
	<ul style="list-style-type: none"> <li>○ Provides a comprehensive, <i>effective, and logical</i> process for assisting teachers (e.g., providing additional professional, mentoring) who are not improving student learning or graduation rates; plan must provide an implementation timeline and pathways for improvement or release</li> </ul>	<ul style="list-style-type: none"> <li>○ Provides description of <i>effective and logical</i> process for assisting teachers (e.g., providing additional professional, mentoring) who are not improving student learning or graduation rates</li> </ul>	<ul style="list-style-type: none"> <li>○ Description for assisting teachers who are not improving student learning or graduation rates is <i>not given, not detailed, or not likely to change teachers' practices</i></li> </ul>	
4. Provide high-quality, job embedded professional development	<ul style="list-style-type: none"> <li>○ Topics of professional development are <i>determined by SIG goals, needs assessments, and other data points; professional development is differentiated by teacher need</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Topics of professional development are <i>connected to the SIG goals, needs assessments, and other data points; not differentiated by teacher need</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Topics of professional development are <i>disparate; do not align to SIG goals, needs assessments or other data points; established by the LEA; not differentiated by teacher need</i></li> </ul>	
	<ul style="list-style-type: none"> <li>○ Professional development is conducted <i>weekly through job-embedded opportunities at the school</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development is conducted <i>monthly through job-embedded opportunities at the school</i></li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development is <i>rarely</i> provided at the school; <i>usually occurs as a whole district</i></li> </ul>	
	<ul style="list-style-type: none"> <li>○ Professional development includes vertical and</li> </ul>	<ul style="list-style-type: none"> <li>○ Professional development often includes vertical collaboration;</li> </ul>	<ul style="list-style-type: none"> <li>○ Focus of professional development is <i>not related to teacher collaboration,</i></li> </ul>	

	horizontal collaboration, coaching and mentoring, data analysis, and determining appropriate curriculum and instruction	may include coaching and mentoring, data analysis, or determining appropriate curriculum and instruction	<i>coaching and mentoring, data analysis or curriculum and instruction</i>	
5. Implement strategies to recruit, place, and retain staff	○ Recruitment and retention of staff includes at least three <i>strategies known to be effective</i> , such as improving working conditions, providing higher salaries, and offering job promotions	○ Recruitment and retention of staff includes at least two <i>strategies known to be effective</i> , such as improving working conditions, providing higher salaries, and/or offering job promotions	○ Strategies for recruitment and retention <i>do not correspond with strategies known to be effective</i>	
	○ <i>Mentors and/or coaches are provided</i> for all staff	○ <i>Mentors and/or coaches are provided</i> for identified groups of teachers, such as newer teachers or those changing grade levels	○ <i>Mentors nor coaches are included</i>	
6. Provide increased learning time for students and staff	○ Provides increased, intentional learning time driven by student data indicated for <i>all</i> students and staff	○ Provides increased learning time for <i>all</i> students and staff	○ Does not provide increased learning time for all students and staff	
	○ Time is of <i>extensive length (at least 300 hours)</i> to potentially increase learning	○ Time is of <i>sufficient length (at least 180 hours)</i> to potentially increase learning	○ Time is <i>not of sufficient length (90 hours or less)</i> to create change	
7. Use data to implement an aligned instructional program	○ LEA <i>provides multiple assessments and data points through technology-based resources</i> for the school to align its instructional	○ LEA provides some <i>assess-ments and data</i> with minimal technology for the school to align its instructional program	○ LEA <i>provides minimal assessments</i> with no data; technology is not used	

	program			
	<ul style="list-style-type: none"> <li>LEA provides <i>intensive and ongoing</i> professional development in conducting and using assessment results to inform instructional decision making throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>LEA provides professional development in conducting and using assessment results to inform instruction throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>LEA rarely provides professional development for teachers to increase skills in conducting assessments and using results to inform instruction</li> </ul>	
8. Promote the use of data to inform and differentiate instruction	<ul style="list-style-type: none"> <li>Provides <i>frequent structured time</i> (e.g., weekly) for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	<ul style="list-style-type: none"> <li>Provide <i>regular time</i> (e.g., monthly) for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	<ul style="list-style-type: none"> <li>Rarely provides time for teachers to collaborate and analyze student data and make instructional decisions</li> </ul>	
	<ul style="list-style-type: none"> <li>Provides <i>extended, job-embedded professional development</i> that includes observation and coaching to increase knowledge of differentiated instruction</li> </ul>	<ul style="list-style-type: none"> <li>Provides <i>job-embedded professional development</i> to increase knowledge of differentiated instruction</li> </ul>	<ul style="list-style-type: none"> <li>Provides professional development that occurs <i>outside of the classroom</i> and does <i>not focus on</i> live student data or on improving differentiated instruction</li> </ul>	
9. Provide mechanism for family and community engagement	<ul style="list-style-type: none"> <li>LEA conducts a comprehensive, community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.</li> </ul>	<ul style="list-style-type: none"> <li>LEA conducts a basic, community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.</li> </ul>	<ul style="list-style-type: none"> <li>LEA did not conduct a community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.</li> </ul>	
10. Give school sufficient	<ul style="list-style-type: none"> <li>LEA provides a</li> </ul>	<ul style="list-style-type: none"> <li>LEA provides a document or plan</li> </ul>	<ul style="list-style-type: none"> <li>LEA does not provide a document or</li> </ul>	

operational flexibility	comprehensive documents or plan that indicates areas that will grant <i>significant</i> operational decisions to the school	that indicates areas that will grant <i>minor</i> operational decisions to the school	<i>plan that indicates</i> authority will be granted to the school to make operational decisions; or the decisions allowed are <i>not of significance</i> .	
II. LEA, SEA, or designated external partner(s) assist the school with ongoing technical assistance and support	○ <i>Multiple</i> supports detailed; occur <i>throughout the year</i>	○ <i>Some</i> supports detailed; occur <i>throughout the year</i>	○ <i>No</i> supports are described; support appears <i>sporadic</i>	
	○ Multiple support for <i>both</i> teachers and principals are in place	○ <i>Some</i> supports for <i>both</i> teachers and principals are in place	○ Support <i>for both</i> teachers and principals are not in place or transparent	