

**U.S. Department of Education**  
**Washington, D.C. 20202-5335**



**APPLICATION FOR GRANTS**  
**UNDER THE**

**TIF General Competition**

**CFDA # 84.374A**

**PR/Award # S374A120098**

**Grants.gov Tracking#: GRANT11189237**

OMB No. , Expiration Date:

Closing Date: Jul 27, 2012

## **\*\*Table of Contents\*\***

<b>Form</b>	<b>Page</b>
<b>1. Application for Federal Assistance SF-424</b>	e3
<i>Attachment - 1 (1240-SF-424 Project Description)</i>	e6
<i>Attachment - 2 (1241-SF-424 Item 16)</i>	e8
<b>2. Assurances Non-Construction Programs (SF 424B)</b>	e9
<b>3. Disclosure Of Lobbying Activities (SF-LLL)</b>	e11
<b>4. ED GEPA427 Form</b>	e12
<i>Attachment - 1 (1236-TIF 4 MSFE GEPA 427)</i>	e13
<b>5. Grants.gov Lobbying Form</b>	e14
<b>6. Dept of Education Supplemental Information for SF-424</b>	e15
<b>7. ED Abstract Narrative Form</b>	e16
<i>Attachment - 1 (1235-TIF 4 MSFE Part III.ED Abstract Form)</i>	e17
<b>8. Project Narrative Form</b>	e20
<i>Attachment - 1 (1239-TIF 4 MSFE Part IV Project Narrative)</i>	e21
<b>9. Other Narrative Form</b>	e89
<i>Attachment - 1 (1237-TIF 4 MSFE Part VI Other Required Documents)</i>	e90
<i>Attachment - 2 (1238-TIF 4 MSFE Part VIII.Intergovernmental Review)</i>	e175
<b>10. Budget Narrative Form</b>	e181
<i>Attachment - 1 (1234-TIF 4 MSFE Part V.Budget Narratives)</i>	e182
<b>11. Form FaithBased_SurveyOnEEO-V1.2.pdf</b>	e204
<b>12. Form ED_524_Budget_1_2-V1.2.pdf</b>	e206

This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

**Application for Federal Assistance SF-424**

\* 1. Type of Submission:

- Preapplication  
 Application  
 Changed/Corrected Application

\* 2. Type of Application:

- New  
 Continuation  
 Revision

\* If Revision, select appropriate letter(s):

\* Other (Specify):

\* 3. Date Received:

07/27/2012

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

ED Grants - 061412-001

**State Use Only:**

6. Date Received by State:

7. State Application Identifier:

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

Maine Department of Education

\* b. Employer/Taxpayer Identification Number (EIN/TIN):

016000001

\* c. Organizational DUNS:

8090455450000

**d. Address:**

\* Street1:

State House Station #23

Street2:

\* City:

Augusta

County/Parish:

\* State:

ME: Maine

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code:

04333-0023

**e. Organizational Unit:**

Department Name:

Education

Division Name:

Leadership

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix:

\* First Name:

Joanne

Middle Name:

C.

\* Last Name:

Holmes

Suffix:

Title:

Federal State Legislative Liaison

Organizational Affiliation:

Maine Department of Education

\* Telephone Number:

1-207-624-6669

Fax Number:

1-207-624-6601

\* Email:

jaci.holmes@maine.goc

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

G: Independent School District

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.374

CFDA Title:

Teacher Incentive Fund

**\* 12. Funding Opportunity Number:**

ED-GRANTS-061412-001

\* Title:

Office of Elementary and Secondary Education (OESE): Teacher Incentive Fund (TIF): TIF General Competition CFDA Number 84.374A

**13. Competition Identification Number:**

84-374A2012-1

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**\* 15. Descriptive Title of Applicant's Project:**

TIF \$ Maine Schools for Excellence Program

Attach supporting documents as specified in agency instructions.

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	2,692,540.00
* b. Applicant	(b)(4)
* c. State	
* d. Local	
* e. Other	
* f. Program Income	
* g. TOTAL	

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes  No

If "Yes", provide explanation and attach

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:

Fax Number:

\* Email:

\* Signature of Authorized Representative:

\* Date Signed:

## Project Abstract

The Maine Department of Education (Maine DOE) is submitting its TIF 4 Maine Schools for Excellence (TIF 4 MSFE) program proposal in response to the U.S. Department of Education's (U.S. ED) **general application** to the Teacher Incentive Fund (TIF) Program Round 4 Request for Proposals (RFP). The TIF 4 MSFE program is a multi-year, state- and district-level human capital management and performance-based compensation improvement initiative that will be implemented across six school districts in the state of Maine. This group application is being submitted by the Maine Department of Education and the following six districts: Regional School Unit (RSU) 16 (rural), RSU 19 (rural), Millinocket School Department (town), Bangor School Department (city), Maine School Administrative District (MSAD) 11 (town), and RSU 86/MSAD 20 (rural). In all, 17 high-need schools (out of the total 34 schools across the 6 districts) will participate in the high-need PBCS component of the TIF 4 MSFE program. All 34 schools in the participating TIF 4 MSFE districts will implement the evaluation and human capital management system (HCMS) components of the program.

As a new grant applicant and participant in a multi-site TIF 3 grant<sup>1</sup>, Maine is uniquely positioned to take advantage of the lessons learned and expand upon the Schools for Excellence evaluation and PBCS groundwork laid since the 2010 TIF award. The objectives of the new TIF 4 Maine Schools for Excellence program include the following:

1. Scale-up and continued use of the state's easily accessible and navigable longitudinal data system as the backbone of both the state and districts' human capital management

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<sup>1</sup> In 2010, The National Board for Teaching Standards (NBPTS) in partnership with the Maine Department of Education and the City of Richmond, Virginia were awarded a TIF 3 grant to implement their Schools for Excellence program in 23 school districts across these two states.

system (HCMS). The data system is a data warehouse that contains longitudinal data for schools and districts across the state and will allow state, district, and school administrators to use the data to plan and inform policy related to key human capital decisions across all three levels **(Priority 1)**;

2. Implementation of a teacher and principal evaluation system built on the National Board for Professional Teaching Standards' Standards for Accomplished Teachers and Leaders **(Priority 2)**;
3. Creation of an effective and efficient management and communication plan to ensure project success, **(Priority 4)**;
4. Development and sustainability of PBCS incentives through labor agreements between Maine DOE, participating districts, and their local unions **(Priority 5)**.

The project extends existing district and state capacity and aligns with current state law ("An Act to Ensure Effective Teaching and School Leadership," Public Law 2011, Chapter 508) requiring the systems to be based on clear standards, use a four-point rating scale, and incorporate multiple measures of effectiveness, including student achievement and growth. The law also mandates that teacher and principal evaluations be conducted regularly and provide feedback that is used for professional development.

Years 1 (2012–13) to 4 (2015–16) of the TIF 4 MSFE program will focus on continuously improving the evaluation system, PBCS, and HCMS across all five participating districts. Year 5 (2016 – 17) will be focused on sustaining TIF 4 MSFE through capacity building within and across the districts.

**SF-424 Item 16**

**School districts**

**Congressional District**

Bangor	2
Millinocket	2
RSU #11	1
RSU #16	2
RSU #19	2
MSAD #20	2

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Stephen Bowen</p>	<p>* TITLE</p> <p>Commissioner of Education</p>
<p>* APPLICANT ORGANIZATION</p> <p>Maine Department of Education</p>	<p>* DATE SUBMITTED</p> <p>07/27/2012</p>

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB  
0348-0046

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

**4. Name and Address of Reporting Entity:**  
 Prime     SubAwardee

\* Name:

\* Street 1:     Street 2:

\* City:     State:     Zip:

Congressional District, if known:

<b>6. * Federal Department/Agency:</b> <input type="text" value="US Department of Education"/>	<b>7. * Federal Program Name/Description:</b> <input type="text" value="Teacher Incentive Fund"/> CFDA Number, if applicable: <input type="text" value="84.374"/>
---	---

<b>8. Federal Action Number, if known:</b> <input type="text" value="CFDA 84.374A"/>	<b>9. Award Amount, if known:</b> \$ <input type="text" value="0.00"/>
---	---

**10. a. Name and Address of Lobbying Registrant:**

Prefix:     \* First Name:     Middle Name:     \* Last Name:     Suffix:

\* Street 1:     Street 2:

\* City:     State:     Zip:

**b. Individual Performing Services** (including address if different from No. 10a)

Prefix:     \* First Name:     Middle Name:     \* Last Name:     Suffix:

\* Street 1:     Street 2:

\* City:     State:     Zip:

**11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\* Signature:

\* Name: Prefix:     \* First Name:     Middle Name:     \* Last Name:     Suffix:

Title:     Telephone No.:     Date:

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### Estimated Burden Statement for GEPA Requirements

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 **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

**Optional - You may attach 1 file to this page.**

TIF 4 MSFE GEPA 427.pdf

Delete Attachment

View Attachment

## **General Education Provisions Act (GEPA) Requirements – Section 427**

In accordance with Section 427 of the Department of Education's General Provision Act (GEPA), Maine DOE and all participating LEAs plan to review existing policies and procedures to ensure that every aspect of the TIF 4 project fully aligns with the requirements of Section 427. This review of Maine DOE and LEA policies will occur prior to beginning of the project. Upon completion of the reviews, steps will be taken, as needed and no later than January, 2013, to revise, modify or develop new policies and procedures for complete alignment and compliance with Section 427 to ensure equal access and participation to all persons regardless of their race, color, ethnicity, religion, national origin, gender, age, citizenship status, or disability to the programs and services provided by the Federally-funded Teacher Incentive Fund project.

The TIF 4 project is focused on supporting high-needs schools and will provide access to any of the proposed activities by students, teachers, school staff, and parents regardless of gender, age, race, color, national origin, or disability. For example:

### For Project Participants:

Professional development programs are offered by the project staff for all participants and every effort will be made to eliminate unfair barriers to their participating, such as translating written materials from English to Spanish, or Braille. Specialized electronic equipment and other needed accommodations will also be made available for those who request it.

### For Project Personnel:

The project participants will follow stringent affirmative action procedures that are mandated by law for hiring personnel, including active recruitment of members of traditionally under-represented groups, documentation of these procedures, and written justification for any hire decisions. The State has a comprehensive Affirmative Action Plan (AAP) committed to creating a workforce that reflects the diversity of qualified individuals in the labor market. It is the policy of the state to recruit, hire, train, and promote persons in all job titles, without regard to race, color, sex, national origin, age, religion, marital status, disability, veteran status, sexual orientation, or other extraneous consideration not directly and substantively related to merit or performance. Employment decisions and personnel actions, including, but not limited to compensation, benefits, promotion, demotion, layoff/recall, transfer, termination, and training are based on the principle of ensuring equal employment opportunity and affirmative action.

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## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**\* APPLICANT'S ORGANIZATION**

Maine Department of Education

**\* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE**

Prefix: Mr. \* First Name: Stephen Middle Name: L.

\* Last Name: Bowen Suffix:

\* Title: Commissioner of Education

\* SIGNATURE: Stephen Bowen

\* DATE: 07/27/2012

---

SUPPLEMENTAL INFORMATION  
REQUIRED FOR  
DEPARTMENT OF EDUCATION GRANTS

**1. Project Director:**

Prefix:	* First Name:	Middle Name:	* Last Name:	Suffix:
	Scott		Harrison	

Address:

* Street1:	Maine Department of Education
Street2:	State House Station #23
* City:	Augusta
County:	
* State:	ME: Maine
* Zip Code:	04333-0023
* Country:	USA: UNITED STATES

\* Phone Number (give area code) Fax Number (give area code)

207-624-6639	207-624-6601
--------------	--------------

Email Address:

Scott.harrison@maine.gov
--------------------------

**2. Applicant Experience:**

Novice Applicant  Yes  No  Not applicable to this program

**3. Human Subjects Research**

Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes  No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #: 

--

No Provide Assurance #, if available: 

--

**Please attach an explanation Narrative:**

--	--	--	--

## Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

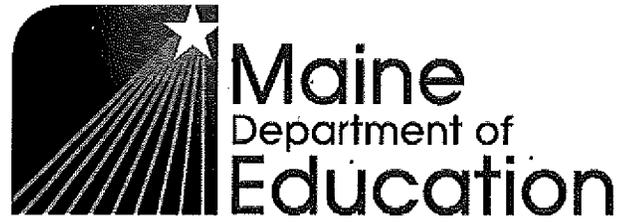
[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

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## You may now Close the Form

**You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.**

\* Attachment:



## TIF 4 Maine Schools for Excellence Program

### Part III ED Abstract Form

## Project Abstract

The Maine Department of Education (Maine DOE) is submitting its TIF 4 Maine Schools for Excellence (TIF 4 MSFE) program proposal in response to the U.S. Department of Education's (U.S. ED) *general application* to the Teacher Incentive Fund (TIF) Program Round 4 Request for Proposals (RFP). The TIF 4 MSFE program is a multi-year, state- and district-level human capital management and performance-based compensation improvement initiative that will be implemented across six school districts in the state of Maine. This group application is being submitted by the Maine Department of Education and the following six districts: Regional School Unit (RSU) 16 (rural), RSU 19 (rural), Millinocket School Department (town), Bangor School Department (city), Maine School Administrative District (MSAD) 11 (town), and RSU 86/MSAD 20 (rural). In all, 17 high-need schools (out of the total 34 schools across the 6 districts) will participate in the high-need PBCS component of the TIF 4 MSFE program. All 34 schools in the participating TIF 4 MSFE districts will implement the evaluation and human capital management system (HCMS) components of the program.

As a new grant applicant and participant in a multi-site TIF 3 grant<sup>1</sup>, Maine is uniquely positioned to take advantage of the lessons learned and expand upon the Schools for Excellence evaluation and PBCS groundwork laid since the 2010 TIF award. The objectives of the new TIF 4 Maine Schools for Excellence program include the following:

1. Scale-up and continued use of the state's easily accessible and navigable longitudinal data system as the backbone of both the state and districts' human capital management

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<sup>1</sup> In 2010, The National Board for Teaching Standards (NBPTS) in partnership with the Maine Department of Education and the City of Richmond, Virginia were awarded a TIF 3 grant to implement their Schools for Excellence program in 23 school districts across these two states.

system (HCMS). The data system is a data warehouse that contains longitudinal data for schools and districts across the state and will allow state, district, and school administrators to use the data to plan and inform policy related to key human capital decisions across all three levels **(Priority 1)**;

2. Implementation of a teacher and principal evaluation system built on the National Board for Professional Teaching Standards' Standards for Accomplished Teachers and Leaders **(Priority 2)**;
3. Creation of an effective and efficient management and communication plan to ensure project success, **(Priority 4)**;
4. Development and sustainability of PBCS incentives through labor agreements between Maine DOE, participating districts, and their local unions **(Priority 5)**.

The project extends existing district and state capacity and aligns with current state law ("An Act to Ensure Effective Teaching and School Leadership," Public Law 2011, Chapter 508) requiring the systems to be based on clear standards, use a four-point rating scale, and incorporate multiple measures of effectiveness, including student achievement and growth. The law also mandates that teacher and principal evaluations be conducted regularly and provide feedback that is used for professional development.

Years 1 (2012–13) to 4 (2015–16) of the TIF 4 MSFE program will focus on continuously improving the evaluation system, PBCS, and HCMS across all five participating districts. Year 5 (2016 – 17) will be focused on sustaining TIF 4 MSFE through capacity building within and across the districts.

## Project Narrative File(s)

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\* **Mandatory Project Narrative File Filename:**

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To add more Project Narrative File attachments, please use the attachment buttons below.

Add Optional Project Narrative File



## TIF 4 Maine Schools for Excellence Program

### Part IV Project Narrative Attachment Form



A Group Application to the  
Teacher Incentive Fund  
by  
The Maine Department of Education and Districts

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The TIF 4 Maine Schools for Excellence Program

Submitted to the  
U.S. Department of Education

July 27, 2012

# Table of Contents

<b>INTRODUCTION .....</b>	<b>3</b>
<b>DESCRIPTION OF THE MAINE CONTEXT AND NEED .....</b>	<b>4</b>
STRUCTURES AND STRATEGIES TO BUILD UPON IN MAINE.....	4
ESTABLISHING NEED IN THE STATE OF MAINE .....	8
TARGET DISTRICTS AND SCHOOLS.....	12
<b>PROJECT DESIGN: TIF 4 MAINE SCHOOLS FOR EXCELLENCE.....</b>	<b>18</b>
BUILDING ON THE TIF3 TEACHER EFFECTIVENESS WORK .....	18
DEVELOPING COHERENT AND COMPREHENSIVE HUMAN CAPITAL MANAGEMENT SYSTEMS.....	19
DEVELOPING RIGOROUS, VALID, AND RELIABLE EDUCATOR EVALUATION SYSTEMS .....	24
PROFESSIONAL DEVELOPMENT SYSTEMS TO SUPPORT THE NEEDS OF TEACHERS AND PRINCIPALS .....	33
EDUCATOR SALARY STRUCTURE BASED ON EFFECTIVENESS.....	37
<b>STAKEHOLDER INVOLVEMENT AND COMMUNICATION PLANS.....</b>	<b>39</b>
ENGAGEMENT OF STAKEHOLDERS.....	39
COMMUNICATION PLANS .....	41
<b>PROJECT MANAGEMENT PLAN .....</b>	<b>42</b>
PROJECT PROCESSES .....	42
ACTIVITIES TIMELINE.....	43
KEY STAFF .....	51
<b>SUSTAINABILITY .....</b>	<b>53</b>
<b>PROGRAM EVALUATION.....</b>	<b>56</b>
<b>CONCLUSION .....</b>	<b>59</b>
<b>REFERENCES .....</b>	<b>60</b>
<b>APPENDIX A. TIF 4 MAINE SCHOOLS FOR EXCELLENCE PROFESSIONAL DEVELOPMENT PLAN .....</b>	<b>61</b>

## Introduction

“While Maine’s test scores are high for the nation, we are just not moving the needle, and as this study makes clear, other states are making considerably more progress. The status quo is simply not working.”

- Maine Education Commissioner Stephen Bowen in a July 16, 2012, statement responding to the report finding in *Achievement Growth: International and U.S. State Trends in Student Performance* that Maine is next to last in the rate of student achievement growth among the 41 states included in the study

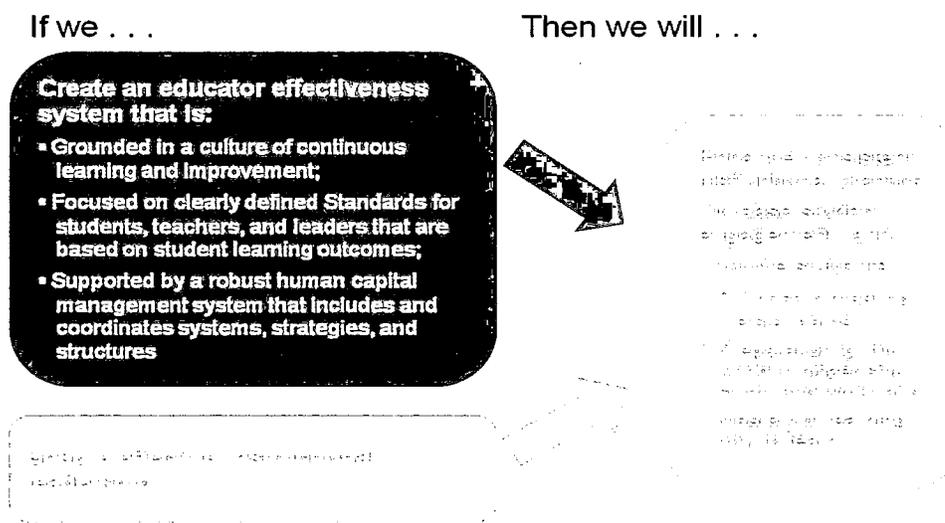
Maine is at a crossroads, as the commissioner’s statement and report findings illustrate.

There are significant opportunities for improvement in Maine’s K–12 education system, but there is also a groundswell of public interest in addressing educator effectiveness issues in Maine. This support, coupled with strong state leadership around education, has enabled recent legislative and policy changes related to teacher effectiveness and positioned the Maine Department of Education (Maine DOE) to capitalize on lessons learned from the current TIF 3 Maine Schools for Excellence (MSFE) grant. It is upon this solid legislative foundation, strong leadership, TIF 3 implementation, and execution of a refined Statewide Longitudinal Data System (SLDS) that Maine DOE will build the TIF 4 MSFE program

Maine DOE and the six TIF 4 MSFE districts are prepared to demonstrate that high-quality implementation of common evaluation principles and a performance pay model can be successful within a rural, highly decentralized state. In fact, we propose that this offers a unique opportunity to learn from and build upon local variation in implementation while developing a common statewide definition of effectiveness. Maine DOE will engage the six TIF 4 MSFE districts in the joint design of systems, followed by support to local committees in each district to appropriately modify and implement these common systems.

The teacher and principal evaluation systems will build upon successes under the state’s TIF 3 grant<sup>1</sup>, retaining the National Board for Professional Teaching Standards’ Core Propositions and Standards for Accomplished Teachers and Leaders as the foundation of evaluation and performance-based compensation systems. At the same time, the TIF 4 MSFE program will break new ground for the state around developing a common language of effectiveness and coherent, comprehensive human capital management systems that take full advantage of Maine’s SLDS. The TIF 4 MSFE program will be grounded in this statewide data and guided by the state’s Theory of Action for Educator Evaluation as illustrated in Figure 1.

**Figure 1. Theory of Action for Maine’s Educator Effectiveness System**



## Description of the Maine Context and Need

### Structures and Strategies to Build Upon in Maine

<sup>1</sup> In 2010, The National Board for Teaching Standards (NBPTS), in partnership with the Maine Department of Education and the City of Richmond, Virginia, were awarded a TIF 3 grant to implement their Schools for Excellence program in 23 school districts across these two states.

Maine has made significant progress during the last year in developing an overarching strategy for educator effectiveness as well as structures to support these plans. Among the key advancements has been the development of a strategic education plan, legislative reform to guide statewide practices, and expansion of the state data warehouse beyond student data to include information on educator performance. Maine's Elementary and Secondary Education Act (ESEA) waiver is pending submission and ongoing implementation of a TIF 3 grant provides additional structure to the TIF 4 plans described later in this proposal.

**Maine's Plan for Putting Learners First**

In January 2012, following a series of visits statewide with students, teachers, administrators, parents and others, Education Commissioner Bowen unveiled his strategic plan titled *Education Evolving: Maine's Plan for Putting Learners First*. In it, he writes, "To build on the great work being done in Maine's schools today, and to move from a century-old model of schooling to a more effective, learner-centered approach in the process, will require a steady focus on a handful of core priorities organized around meeting the individual learning needs of all students."

Core Priority Two ("Great Teachers and Leaders") recognizes that effective instructional practices cannot be applied without effective teachers and leaders. Commissioner Bowen writes: "Ensuring that every student is surrounded by great educators means focusing on the need to provide top-quality preparation and ongoing support to the state's teachers and leaders." The subpriorities in this section focus on common standards for teacher and leader effectiveness; rigorous, data-driven preparation and professional development programs; next-

generation evaluation systems for teachers and leaders; and communities of practice designed to foster continuous improvement.

### **An Act to Ensure Effective Teaching and School Leadership**

Maine joined the ranks of states with new educator evaluation legislation with the passage of LD 1858, "An Act to Ensure Effective Teaching and School Leadership." The new law directs the Maine Department of Education (Maine DOE) to work with parents, educators, and community members to develop guidelines for evaluation systems for teachers and principals. These systems will be adapted at the local level. The law requires the systems to be based on clear standards, employ a four-point rating scale, and use multiple measures of effectiveness, including student achievement and growth. The evaluations must be conducted regularly and provide feedback that is used for professional development. This law is particularly significant in Maine because the prior law required evaluations of probationary teachers only. The new law directs local school boards to determine a "method" of educator evaluation with the superintendent responsible for implementation. Participants in the TIF 4 Maine Schools for Excellence (TIF 4 MSFE) program have a unique opportunity to shape the emerging state-level plans and to pilot implementation beginning in 2013 in advance of other Maine districts, where full implementation is not required until 2015–16.

### **ESEA Waiver Application**

Maine is in the process of developing an ESEA waiver for submission in September 2012, which delineates the steps Maine will take to develop and adopt guidelines for local teacher and principal evaluation and support systems. This work will dovetail with the new legislation

and further integrate and align educator effectiveness-related policy, programs, and structures throughout the state.

### **Data Leadership and Integration**

Measurement is the cornerstone of any high-performing organization and Maine has been a leader in its data system efforts. Maine's education commissioner has been a strong proponent of increased use of data in measuring student, educator, school, and district effectiveness. Toward this end, Maine is implementing its second Statewide Longitudinal Data System (SLDS) grant, which will provide the state with the capacity to store teacher and principal evaluation data, and student growth data, to enable analysis through an interface of the two types of data.

### **Building on Success of the TIF 3 Maine Schools for Excellence Program**

Maine DOE and the TIF 4 districts have a successful TIF 3 program on which to build: Maine Schools for Excellence. The National Board for Professional Teaching Standards (NBPTS) holds and administers the TIF 3 grant in Richmond, Virginia, and in 18 schools in five districts across the state of Maine. The program builds on NBPTS' intensive, educator-centered professional development, emphasizing participation in the *Take One!* program and the National Board Certification process, and offers stipends and performance pay based on school, team, and individual educator and student performance data.

The experiences of the TIF 3 Schools for Excellence districts have already influenced statewide policy in a meaningful way. At the Maine education commissioner's request, the Maine TIF 3 project director chaired Maine's State Consortium on Educator Effectiveness team, which is defining key components of an effective statewide framework. The commissioner

credits the state’s TIF 3 program with providing real-life examples in varied contexts (including small, rural, and isolated districts) that illustrate that this work can be accomplished successfully in Maine.

The six TIF 4 MSFE districts have made great strides in designing and implementing performance-based compensation systems (PBCS) as well as teacher and principal evaluation systems based on the NBPTS standards, and there is much good work to build upon. The program design for TIF 4 MSFE that follows will highlight the ways in which the TIF 4 proposal refines successful aspects of the TIF 3 program and the areas where the TIF 4 MSFE program is blazing a trail for Maine.

### Establishing Need in the State of Maine

#### **Geography and Population Density**

Maine has 220 school administrative units, the vast majority of which are recognized as small and rural by federal standards. The state as a whole is considered the largest rural state in the country. Maine’s population of roughly 1.3 million (U.S. Census, 2010) is spread across 16 counties, which include 22 cities, 435 towns, 33 plantations, 424 unorganized townships, and 5 federally recognized tribes. The largest city, Portland, has only 65,189 residents (U.S. Census, American Community Survey, 2008). Geographically, Maine is a large state—about 33,215 square miles—three and a half times the size of neighboring New Hampshire, which has almost the same number of residents. It is almost 400 miles (seven hours of driving) from the southernmost town to Fort Kent in the north. The long travel distances and small population centers in Maine have led to geographic isolation and a tradition of “home rule,” which pushes

decision making down to the local level. It is a significant challenge to honor the strong grassroots participation home rule implies while ensuring statewide consistency of educational programming, especially for high-need children.

### **Student Demographics**

Maine is experiencing a surging English language learner (ELL) population in recent years. The city of Portland has been an official resettlement site for refugees for more than 30 years, and until 2000, it was the only city in Maine to have a significant population of foreign-born ELLs. About 2000, Maine began experiencing a large influx of so-called secondary migrant refugees, who are resettled in other U.S. cities but then choose to come to Maine to join friends or relatives. This influx of newcomers has resulted in a dramatic increase in ELLs in the school systems. For example, more than 50 languages are spoken across all of Portland's schools. Increasingly, new arrivals are moving to other Maine cities as well. Somalis, in particular, have moved to Lewiston in large numbers, and now other refugees are moving out of Portland to adjacent cities with lower housing costs. In a relatively short period of time, school systems that had virtually no English as a Second Language (ESL) programming have had to scramble to serve thousands of new school children.

At the same time, Maine has the highest poverty rate in New England (12.3 percent; U.S. Census Bureau, American Community Survey, 2009). In more rural counties, the poverty rate is even higher, such as in the counties of Androscoggin (15 percent) and Piscataquis (16 percent). High poverty and low education rates (only 25 percent of Maine residents 25 and older have a bachelor's degree) create barriers to school readiness for young children.

## Student Performance

A new study of international and U.S. state trends in student achievement growth has found that between 1992 and 2011 Maine’s rate of test score gains ranked next to last in the nation. In 1992, Maine had the third highest test scores in the country (out of 41 states in the study), but it has now fallen to number 12. It gained 0.7 percent of a standard deviation annually, less than one-quarter of a year’s worth of additional learning during the time period. The report, *Achievement Growth: International and U.S. State Trends in Student Performance*, (Hanushek, Peterson, & Woessmann, 2012) was released by Harvard’s Program on Education Policy and Governance on July 16, 2012, and provides stark evidence of the need in Maine for new and innovative education practices. The 2011–12 statewide student achievement results are detailed in Table 1.

**Table 1. Maine Achievement Data, 2011–2012**

<b>Elementary Grades (3–8)—New England Common Assessment Program (October 2011)</b>	
Statewide Total Percent Proficient or Above in Mathematics	63%
Statewide Total Percent Proficient or Above in Reading	72%

<b>High School Assessment</b>	
Statewide Total Percent Proficient or Above in Mathematics	49%
Statewide Total Percent Proficient or Above in Reading	50%

<b>Adjusted Cohort Graduation Rate Data</b>	
Statewide Total for 2011	84%
Graduation Rate for Economically Disadvantaged Students	73%

Given the lack of Maine’s growth and standing in the international Harvard study, coupled with low achievement results in state assessments (with 50 percent or less of students meeting the proficiency level or above in mathematics and reading at the high school level), the state of

Maine would greatly benefit from a concentrated effort to create a system that enhances consistent instructional practice, increases student engagement, and improves student success in meeting standards and in preparing students for the world of citizenship, study, and work. These outcomes, as outlined in the Theory of Action for Maine’s Educator Effectiveness System (Figure 1, page 4), can only be achieved through the creation of a robust educator effectiveness system. To create such a system, Maine DOE plans to execute the following core strategies:

1. Scale up the work in TIF 3, integrating performance-based measures of teacher effectiveness with student growth and achievement, particularly for those most in need.
2. Create a strategic human capital management system (HCMS) that is based on sound behavioral principles and aligned with each district’s mission, vision, and values.
3. Anchor each component of the HCMS (e.g., educator evaluation and professional growth program, performance-based compensation program) in a common set of professional practice standards that can be shared with all other Maine districts to meet the requirements of newly passed Maine legislation (LD 1858), requiring all superintendents to establish and implement “a performance evaluation and professional growth system for all teachers and principals.”
4. Continue to leverage the infrastructure and software of the SLDS, and the successful implementation of the teacher effectiveness/evaluation model builder pilot completed under TIF 3.

These four strategies are the cornerstones of the proposed TIF 4 MSFE project design, described beginning on page 18.

## Target Districts and Schools

### **Description of Participating TIF 4 MSFE Districts**

Maine DOE has recruited six school districts and a total of 34 schools to participate in the TIF 4 MSFE program (see Part 6 of this application for letters of commitment): Regional School Unit (RSU) 16, RSU 19, Millinocket School Department, Bangor School Department, Maine School Administrative District (MSAD) 11, and RSU 86/MSAD 20. Together, the school districts represent an array of locales, from urban to rural. However, every school district serves high-need students, with the majority of schools surpassing the 50 percent eligibility threshold for the federal Free and Reduced-Price Lunch (FRPL) program. Brief descriptions of each school district are provided below, and Table 2 provides a summary of relevant statistics for all participating districts. Seventeen high-need schools within these six districts have committed to implementation of the performance-based compensation system (PBCS) beginning in Year 2 (2013–14) of the grant, with Year 1 (2012–13) as an initial planning year. The remaining 17 schools in the TIF 4 districts will only participate in the districtwide evaluation and HCMS components.

**RSU 16** is located in Androscoggin County, which covers more than 470 square miles, houses close to 104,000 people, and includes the Lewiston-Auburn Metropolitan Statistical Area. RSU 16 is a rural district in the southwestern part of the county consisting of five schools serving more than 1,700 students and employing more than 260 staff. One school within RSU 16 has a student population where more than 50 percent qualify for the FRPL program. Three schools in RSU 16 have failed to make adequate yearly progress (AYP) for two or more years, or are currently being monitored. Two high-need schools in RSU 16 will participate in the high-

need PBCS component of the TIF 4 MSFE program; all five schools will implement the evaluation and HCMS components.

**RSU 19**, the Millinocket School Department (MSD), and the Bangor School Department (BSD) are all located within Penobscot County, one of Maine's largest counties, covering more than 3,500 square miles. RSU 19 is a rural district with a total of eight schools serving more than 2,300 students and employing a total of 350 employees. More than half of the students in each school qualify for the FRPL program. Three schools out of eight from RSU 19 have agreed to participate in the high-need PBCS component of the TIF 4 MSFE program; all eight schools will implement the evaluation and HCMS components.

The **Millinocket School Department (MSD)** consists of two schools, serving 530 students and employing 180 staff. Both schools within MSD serve high-need student populations, with more than 50 percent of students qualifying for the FRPL program. Additionally, both MSD schools have struggled to meet AYP for two consecutive years. Both MSD schools will participate in all components of the TIF 4 program.

The greater Bangor area represents approximately 45 percent of the population in Penobscot County and is the second largest population center in the state of Maine. **Bangor School Department (BSD)** has 10 schools serving more than 4,100 students and employing more than 560 staff. Half of BSD schools have more than 50 percent of students who qualify for the FRPL program, with the Downeast School having the highest proportion of their student population qualifying for the FRLP program—92 percent. A total of seven schools within BSD have failed to make AYP for two or more years, or are currently being monitored. The five BSD

schools identified as high need will participate in the high-need PBCS component of the program; all 10 schools will implement the evaluation and HCMS components.

**MSAD 11** is located in Kennebec County, which covers a total area of 951 square miles, houses Maine’s state capital, and counts more than 117,000 people as residents. A total of seven schools are located within MSAD 11’s boundaries, serving more than 2,100 students and employing more than 220 staff. Four of MSAD 11’s schools have more than 50 percent of students who meet eligibility requirements for the FRPL program and all but one school have failed to meet AYP for two or more years, or are being monitored. One MSAD 11 school has failed to meet AYP in both reading and math for six consecutive years. The four high-need schools in MSAD 11 will participate in the high-need PBCS component of the TIF 4 MSFE program; all schools will implement the evaluation and HCMS components.

The final school district that has agreed to participate in the TIF 4 MSFE program is **RSU 86/MSAD 20**, a rural school district located within Aroostook County, Maine’s largest and northernmost county. RSU 86/MSAD 20 consists of two schools, serving more than 560 students and employing more than 75 staff. Both schools within RSU 86/MSAD 20 serve high-need student populations, with more than 50 percent of students qualifying for the FRPL program. Additionally, both schools have struggled to meet AYP, with the secondary school failing to meet AYP for two consecutive years and the elementary school currently being monitored. Both schools in RSU 86/MSAD 20 will participate in all aspects of the TIF 4 program.

**List of Schools**

Table 2 lists the student demographics, AYP status, and count of instructional personnel in each participating school. The schools in bold are the high-need schools that will be

implementing the high-need PBCS component of the TIF 4 MSFE program. All other schools listed below will participate in the districtwide teacher and principal evaluation systems and HCMS implementation.

**Table 2. Summary of Districts Participating in TIF 4 Maine Schools for Excellence**

School Name	AYP Status	Total Students	% FRPL	Total Staff	Teachers <sup>1</sup>	Principals <sup>2</sup>	# NBCTs <sup>3</sup>
RSU 16 (Rural)							
Poland Community School	Making AYP	443	42.70%	60	36	1.5	0
Minot Consolidated School	Making AYP	208	29.30%	42	18	1	0
<b>Elm Street School</b>	CIPS1	323	50.40%	48	24	1	0
Bruce M. Whittier Middle School	Making AYP	252	46.60%	29	19	1.5	0
Poland Regional High School	Making AYP	491	32.30%	85	50	2	0
RSU 19 (Rural)							
Corinna Elementary	Making AYP	156	67.20%	26	14	1	0
Newport Elementary	CIPS1	317	60.30%	51	26	1	1
<b>Hartland Consolidated</b>	Making AYP	170	80.30%	27	10	1	0
St. Albans Consolidated School	Making AYP	126	68.10%	19	9	1	0
<b>Etna/Dixmont School</b>	Making AYP	241	57.50%	38	25	1	0
Sebasticook Valley Middle School	Making AYP	334	64%	42	23	2	0
<b>Somerset Valley Middle School</b>	Making AYP	257	69.40%	43	20	2	0

School Name	AYP Status	Total Students	% FRPL	Total Staff	Teachers <sup>1</sup>	Principals <sup>2</sup>	# NBCTs <sup>3</sup>
Nokomis Regional High Millinocket School Department (Town)	CIPS-R	725	55.30%	104	54	2	0
<b>Stearns Junior-Senior High School</b>	CIPS1	253	55.00%	135	20	1	0
<b>Granite Street Elementary School</b>	CIPS1	277	66.00%	45	17	1	0
Bangor School Department (City)							
Bangor High School	CIPS5	1,260	38.00%	157	97	4	1
<b>James F. Dougherty School</b>	Monitor	409	64.00%	56	37	2	0
William S. Cohen School	Making AYP	412	38.00%	63	37	2	1
<b>Downeast School</b>	Monitor	393	92.00%	50	30	1	0
<b>Fairmount School</b>	CIPS1- On hold	324	66.00%	48	28	1	1
Fruit Street School	Making AYP	367	38.00%	39	24	1	2
Fourteenth Street School	Making AYP	166	37.00%	28	13	1	0
<b>Abraham Lincoln School</b>	Monitor	252	54.00%	38	20	1	0
Mary Snow School	CIPS1	279	41.00%	38	21	1	0
<b>Vine Street School</b> MSAD 11 (Town)	Monitor	273	67.00%	45	25	1	0
Gardiner Area High	CIPS2	644	41.00%	60	46	3	0
<b>Gardiner Regional Middle School</b>	CIPS5	480	52.50%	50	40	2	0

School Name	AYP Status	Total Students	% FRPL	Total Staff	Teachers <sup>1</sup>	Principals <sup>2</sup>	# NBCTs <sup>3</sup>
Helen Thompson School	Monitor	287	41.10%	28	19	1	0
Laura E Richards School	CIPS1- On hold	248	56.90%	29	19	1	0
Pittston Consolidated School	Monitor	182	40.10%	20	12	1	0
River View Community School	CIPS2	186	58.60%	23	13	1	0
Teresa C Hamlin Elementary School	Making AYP	120	55.00%	14	8	1	0
RSU 86/MSAD 20 (Rural) Fort Fairfield Middle High School	CIPS1	288	50.00%	40	29	1	0
Fort Fairfield Elementary School	Monitor	275	62.00%	37	22	1	0

<sup>1</sup> Teacher means "any person who meets the definition of that term under state or local law."

<sup>2</sup> Principal means "any person who meets the definition of that term under state or local law. At a local education agency's discretion, it may also include an assistant or vice principal or a person in a position who contributes to the organizational management or instructional leadership of a school."

<sup>3</sup> NBCTs = National Board Certified Teachers

*AYP Codes:*

"Monitor" status means school was "making AYP" in 2010–11, but did not meet targets in at least one subject in the 2010–11 testing; if these schools meet targets in the current testing year, they will go back to "making AYP" status.

"Continuous Improvement Priority Schools" (CIPS) status means school has not met targets for at least two years in a row. The number after "CIPS" denotes the number of consecutive years school has been in this category.

"CIPS-on hold" status means school is poised to come off the CIPS list; these are schools that were in CIPS status last year and met all of their targets this year; if they meet the targets again, status will become "making AYP."

## **Project Design: TIF 4 Maine Schools for Excellence**

The TIF 4 Maine Schools for Excellence (TIF 4 MSFE) project design proposal is built on the following four core strategies:

- Scale up the work in TIF 3, integrating performance-based measures of teacher effectiveness with student growth and achievement, particularly for those most in need.
- Create a strategic human capital management system (HCMS) that is based on behavioral principles and aligned with each district's mission, vision, and values.
- Anchor each component of the human capital management system (HCMS) (e.g., educator evaluation and professional growth program, performance-based compensation program) in a common set of professional practice standards that can be shared with all other Maine districts.
- Continue to leverage the infrastructure and software of the Statewide Longitudinal Data System (SLDS) and the successful implementation of the teacher effectiveness/evaluation model builder pilot completed under TIF 3.

### Building on the TIF 3 Teacher Effectiveness Work

Each of the five TIF 3 districts has made solid progress developing performance systems that are based on sound teacher and principal evaluation and systematically integrate targeted professional development and performance-based pay. One of these districts, Regional School Unit (RSU) 74, has made significant advances in developing a modified salary schedule as part of its performance-based compensation system (PBCS) implementation. The leadership in this district view their PBCS work as a critical component of a more comprehensive HCMS strategy,

as evidenced by RSU 74's goals for its PBCS. The district's vision of using an alternate compensation structure to (1) identify and reward highly effective teachers, (2) increase recruitment and retention of highly effective teachers, (3) discourage retention of low-performing teachers, (4) provide positive support for a heightened focus on positive growth in student outcomes, and (5) support sustainable improvement of student learning outcomes over time will guide the district-level HCMS design and implementation work in the TIF 4 MSFE program.

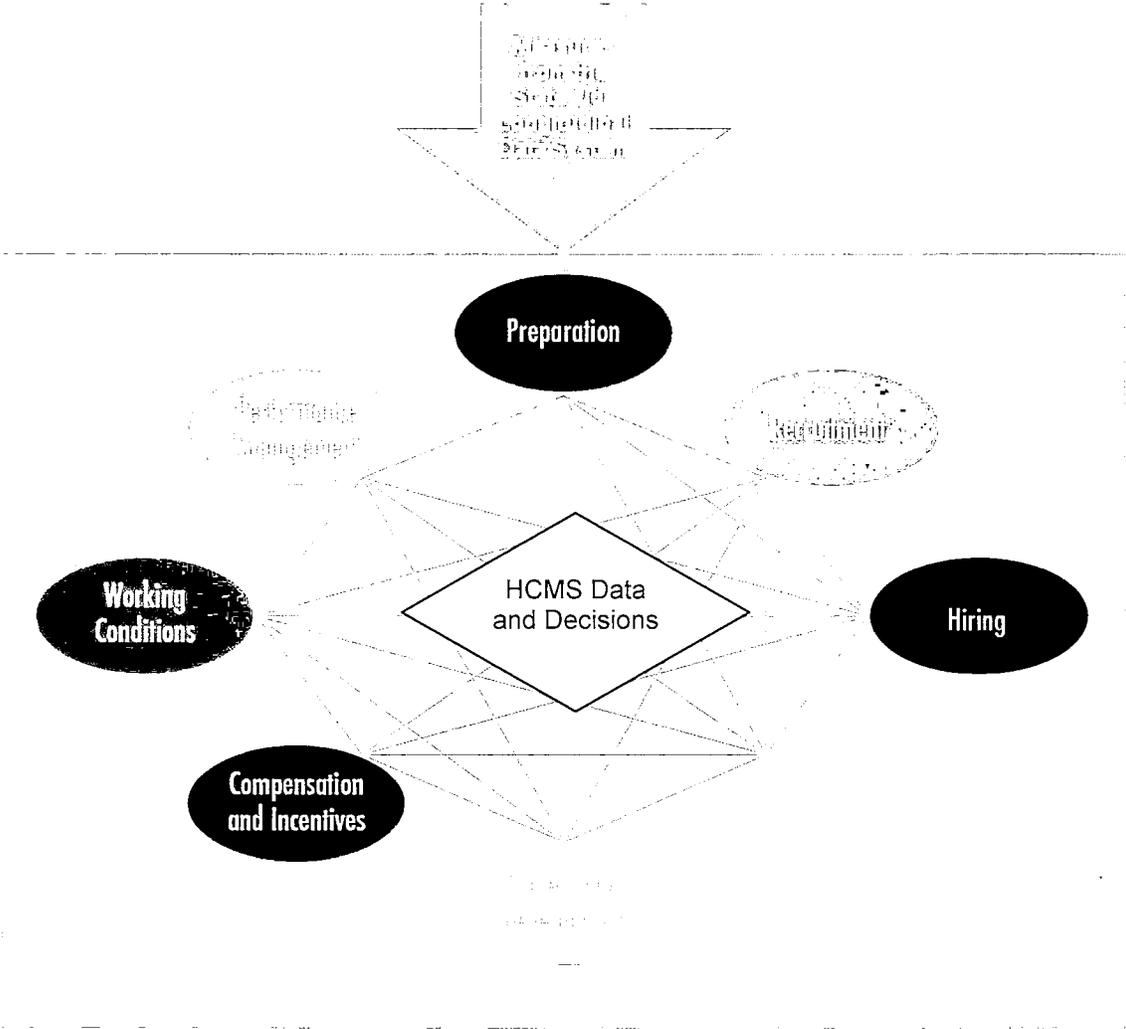
All six of the TIF 4 MSFE districts have committed to implementing a coherent, comprehensive HCMS, as evidenced by their signed letters of commitment (see Part 6 of this application). The Maine TIF 3 program has laid the groundwork for the next phase of evaluation system development in the TIF 4 MSFE program. Maine DOE and its expert subcontractor (to be determined) will engage with the TIF 3 districts throughout the TIF 4 evaluation and compensation design process to identify specific strengths and lessons learned around tools, communication, timelines, and implementation strategies.

#### Developing Coherent and Comprehensive Human Capital Management Systems

The backbone of any strong HCMS is a good data and technology system. Maine has invested federal American Recovery and Reinvestment Act (ARRA) funds to enhance its statewide longitudinal data system. This system is a robust data warehouse containing longitudinal data for schools and districts within the state, all combined into one single repository that is easily accessible and navigable. Some of the uses of the system are to place the use of robust, performance data at the core of education decision making; reduce district

burden and streamline data practices; improve district data capabilities by providing resources and technical assistance; and provide data for planning, policy, and management at the state, district, local, and classroom levels. Figure 2 illustrates the framework for coherent human capital management, which supports the TIF 4 MSFE program.

**Figure 2. Framework for Coherent Human Capital Management**



## Components of HCMS Design and Implementation

An HCMS is only as strong as the data gathered through each tool or process; therefore, each component in the web above must be developed with an understanding of its connection to the other components. Starting in Year 3 of the grant (2014–15), Maine DOE and a subcontractor with expertise in designing and implementing human capital systems will begin helping the TIF 4 MSFE districts build upon the momentum of their newly implemented evaluation and compensation systems, feeding the data into the SLDS to inform other key components of human capital management. In addition to the HCMS components of evaluation and compensation that will be an integral part of project design beginning in Year 1, the following HCMS elements will be addressed during the analysis and action planning. A description of each component follows:

- Educator preparation
- Recruitment, hiring, and placement
- Induction, mentoring, and professional growth
- Retention and promotion

**Educator Preparation.** High-quality educator preparation programs can equip teachers and school leaders with the skills and knowledge that will jump-start a positive and rewarding career in education, while low-quality or poorly aligned preparation programs can leave hiring districts with the burden of addressing the skill and knowledge gaps of new educators. Maine DOE and its expert human capital subcontractor will analyze outcome data for the most significant educator preparation programs (per the new Maine Public Law 2011, Chapter 508, effective August 30, 2012), disaggregating the information at the local district level when

possible. The team will review and analyze the data with each TIF 4 MSFE district individually to determine appropriate HCMS strategies that build on strengths and address gaps at the local level. However, much of the educator preparation HCMS work will happen at the TIF 4 Statewide Steering Committee level, which will include representation from higher education, as Maine DOE can bring to bear valuable state-level relationships and influence around preparation policies.

**Recruitment, Hiring, and Placement.** Many schools across the country are struggling to recruit enough highly effective teachers and leaders, and this challenge is exacerbated in a rural state such as Maine with its many small, geographically dispersed districts. These districts must strategically market their unique characteristics and consistently work to be the most attractive place of employment for highly effective educators. At the same time, poor hiring practices can negate the positive effects of educator recruitment strategies, leading committed and high-quality educators to seek employment elsewhere or to accept inappropriate positions that they later leave. While hiring practices have implications across the educator career continuum, they particularly impact the equitable distribution of educators within and across districts. Maine DOE and its expert human capital subcontractor will address each of these issues with TIF 4 MSFE districts through the HCMS review and analysis process. Once recruitment, hiring, and/or educator placement gaps are discovered, Maine DOE and the individual district will collaborate on an action plan to address the areas of need.

**Induction, Mentoring and Professional Growth.** Comprehensive support in the *initial* years can produce teachers and school leaders who are more effective in a shorter time frame and are more likely to remain in the profession. To be effective, induction needs to be

comprehensive, high quality, and include mentoring as one crucial component. Meaningful professional growth opportunities are also critical for more experienced teachers and leaders. They must be integrated with evaluation processes including goal setting, appropriate interventions, and regular feedback as part of an ongoing, job-embedded program. While the professional growth component of the TIF 4 MSFE program is described in depth starting on page 33 of this proposal, there are key connections between professional growth plans and the larger HCMS that Maine DOE will help individual TIF 4 MSFE districts navigate. Specifically, the team will review the way each district gathers and uses evaluation data to inform district, school, and individual professional development strategies and plans. Preliminary teacher and principal evaluation data from the first years of implementation (2012–13 and/or 2013–14) will be disaggregated by teachers’ and school leaders’ years of experience, standard of performance, and other agreed-upon variables to shed additional light on ways to better integrate evaluation and professional growth systems.

**Retention and Promotion.** Nationally, educator retention and dismissal have been guided more by seniority and related contract rules than by evidence of individual educators’ performance. Similarly, promotion has been tied to time-based lane and step adjustments on a salary schedule rather than increases in effectiveness for students. Achievement of tenure—which can be thought of as promotion to a more protected employee status—is often a nonevent for teachers and is exclusively the function of the amount of time teachers have spent in a system. Changing retention/dismissal and promotion policies to align with a greater HCMS requires collaboration from local union leaders, district personnel, state leaders, and, often, legislators. Maine Public Law 2011, Chapter 508 has paved the way for this conversation

with the requirement to consider educators' effectiveness ratings during layoffs. Maine DOE and its expert human capital subcontractor will start this portion of the HCMS review at the state level, analyzing legislation, school code, and state policies related to educator retention and promotion. Once district-specific factors are isolated, the team will work directly with each TIF 4 MSFE district to review local collective bargaining agreements and policies in search of the most reasonable and efficient way to bring them into alignment with the greater HCMS being implemented in the district.

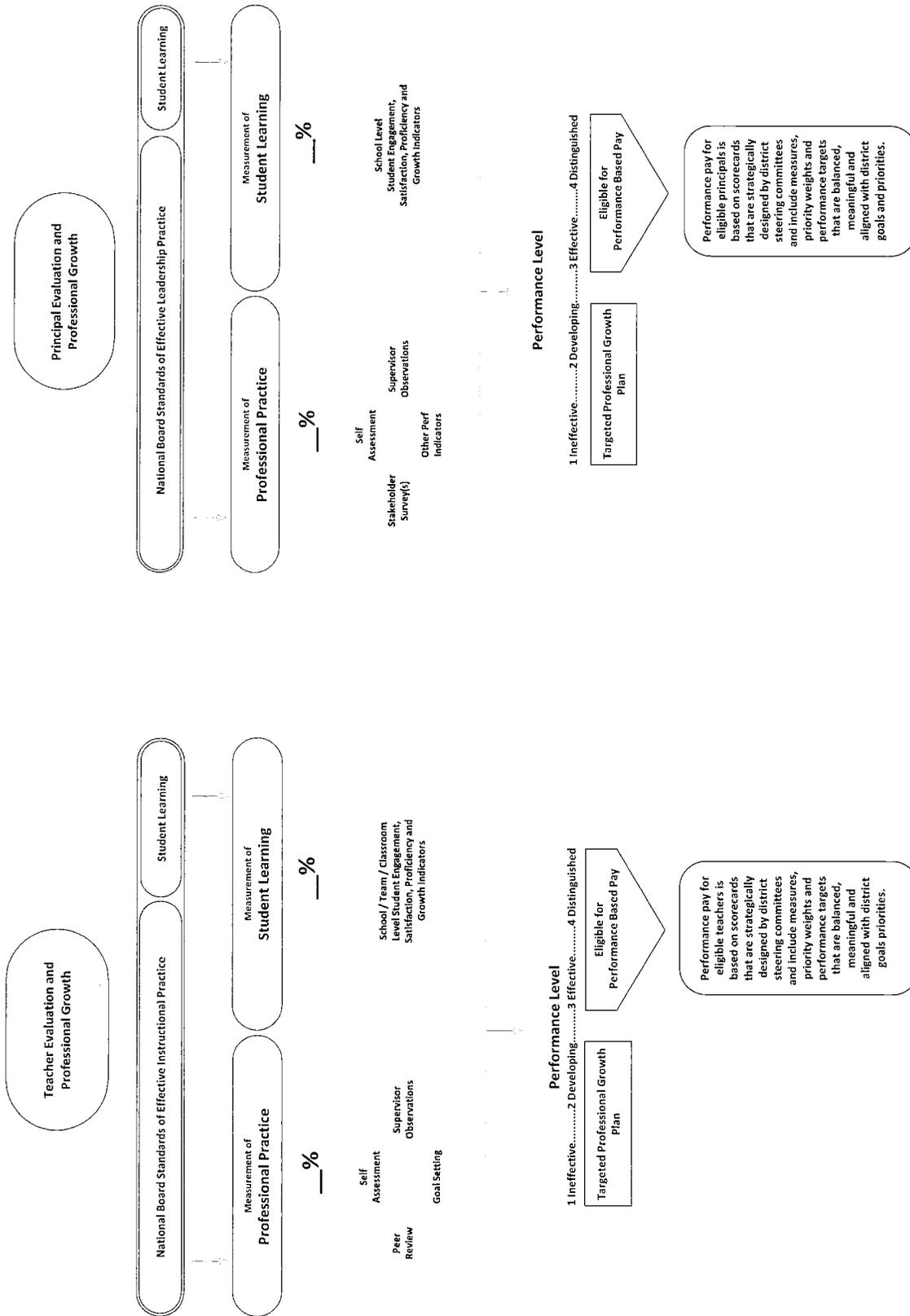
#### Developing Rigorous, Valid, and Reliable Educator Evaluation Systems

To facilitate the development of credible and sustainable evaluation systems that will be implemented district-wide in each of the TIF 4 MSFE districts, Maine DOE and its expert subcontractor will convene the TIF 4 Statewide Steering Committee to make key design decisions around the following:

- the use of the National Board for Professional Teaching Standards (NBPTS)-based professional practice evaluation rubric
- the use of multiple observations, evaluators, and other sources of evidence
- student growth measures
- summative effectiveness ratings

The result will be a guiding evaluation framework for teachers, the Teacher Evaluation and Professional Growth (TEPG) system, as well as a parallel system for principals, the Principal Evaluation and Professional Growth (PEPG) system. The basic structure of the anticipated TEPG and PEPG systems, including evaluation consequences, is illustrated in Figure 3.

Figure 3. TEPG and PEPG Structure and Consequences



Each of the key design points illustrated in the above figure is outlined in more detail below.

#### **A Model Grounded in the National Board Standards for Accomplished Teachers and Principals**

The TIF 4 MSFE program will develop an enhanced version of the professional practice evaluation rubric currently in use in Maine's TIF 3 program. The TIF 3 districts have developed performance rubrics based on the National Board's Core Propositions and Standards for Accomplished Teachers and Principals. This model is widely recognized as a best-practice example of educator performance standards and expectations, with the standards developed by a committee of outstanding educators who are broadly representative of accomplished professionals in their field. The National Board's Standards for Accomplished Teachers comprehensively cover more than 95 percent of teachers and other personnel, such as counselors, media specialists, and special education interventionists, by subject area and student developmental grade range. The Five Core Teacher Propositions provide a foundation for the development of teacher standards upon which to base classroom observation and professional practice rubrics, which will in turn guide professional growth and feedback for the TEPG system.

The parallel Core Propositions for Accomplished Principals define the essential elements that capture the multitude of contexts in which leaders act and the positions they hold. The core propositions define the fundamental skills, central applications, and overarching dispositions of such leaders. The core propositions are the foundation for the more specific, detailed Accomplished Principal Standards that will be the basis of the PEPG rubric.

The TIF 4 districts will engage with Maine DOE to jointly design and implement common performance evaluation systems for teachers and principals that are anchored on these

National Board’s core propositions and incorporate student growth as a significant and meaningful part of the process. In acknowledgement of Maine districts’ autonomy and the importance of local decision making and buy-in, individual TIF 4 MSFE districts will be permitted to modify the common TEPG and PEPG evaluation systems as long as the changes do not dilute the importance of the professional practice standards or student growth data in determining summative effectiveness ratings. The TIF 4 Statewide Steering Committee will provide the TIF 4 MSFE districts with guidance on appropriate and reasonable modifications.

### **Design and Use of the Evaluation Rubric**

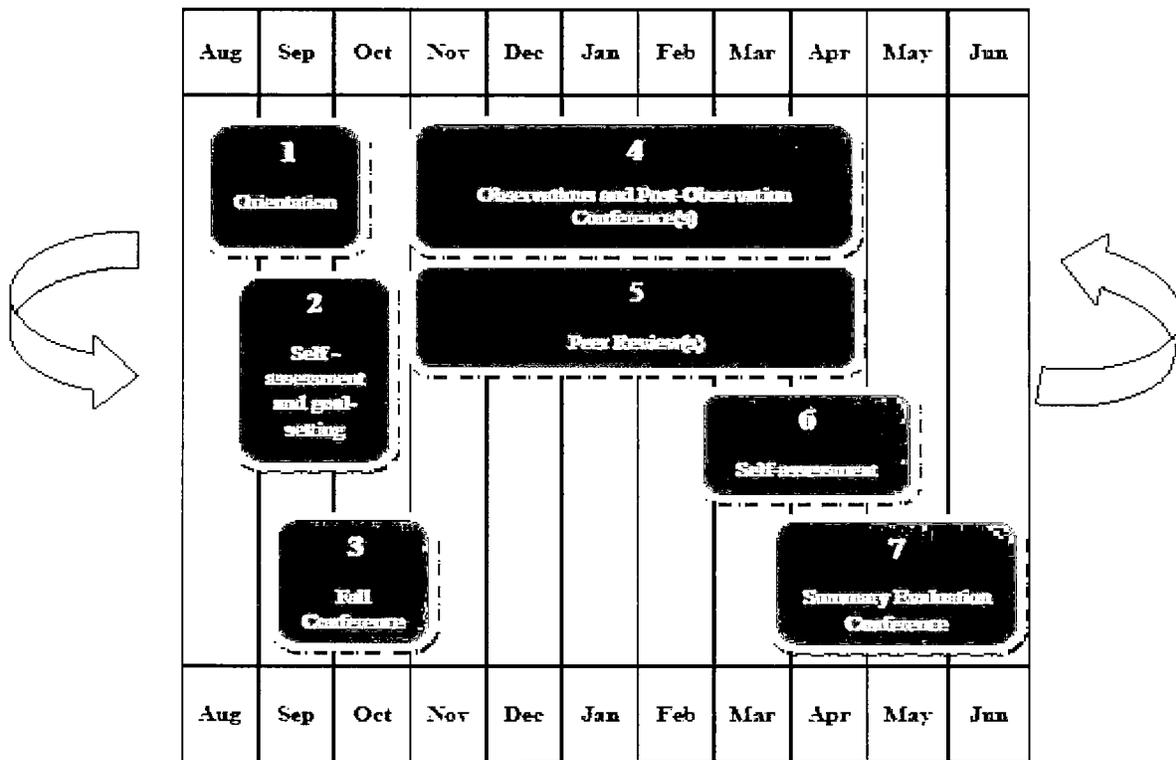
The TIF 4 MSFE teacher and principal rubrics will be built around NBPTS’ Core Propositions and Standards, with four levels of performance—*Ineffective, Developing, Effective, and Distinguished*—for each of the standards in the rubric. A subcontractor with expertise in evaluation and human capital management systems design will lend its organizational expertise in performance measurement, rubric design, and validation to work with the Steering Committee to improve upon the current version of the rubric in use in the TIF 3 schools while retaining its foundation in the National Board’s work.

This performance evaluation rubric will: guide individual educators’ reflection and self-assessment; goal setting for at least one professional practice goal and one student learning goal; collection and organization of evidence during observations of classroom practice; educators’ creation of a portfolio of artifacts to demonstrate goal attainment and areas of performance beyond the classroom; peer review observations of the educator’s performance; the provision of constructive, standards-based feedback related to observations and artifacts; and determination of an overall professional practice rating.

**Evaluation Timelines and Processes**

While the TIF 4 Statewide Steering Committee will ultimately determine the specific evaluation tools, timelines, and processes to be shared by all TIF 4 MSFE districts, the following program components displayed in Figure 4 will be included in the process in an annual cycle of evaluation for all educators. The steps and timeline are informed by the TIF 3 schools’ experience in their first year of implementation.

**Figure 4. Proposed Timeline and Process for Annual Educator Evaluation**



Both the TEPG and PEPG processes will include the following seven components illustrated in the sample timeline above:

1. **Orientation**—All educators will receive a handbook outlining the evaluation expectations, roles and responsibilities, appropriate standards-based rubric, and district-specific timeline and requirements for implementation. The orientation is meant to be a brief overview of the system rather than in-depth training, which will occur throughout the evaluation cycle.
2. **Self-Assessment and Goal Setting**—Educators will review their performance against each rubric standard as well as student learning and growth data, and reflect on the previous year’s strengths and areas for growth. Each educator will then set at least one student learning goal *and* at least one professional growth goal, both of which should align with school and/or district priorities.
3. **Fall Conference**—All educators will meet with their evaluator to review and confirm student learning and professional growth goals proposed during the self-assessment and goal-setting process. This meeting will include discussion of the self-assessment and schedule for observations during the school year. Once goals have been finalized, educators will begin gathering evidence in several agreed-upon standards, especially those that are not observable in a regular classroom or school setting, such as planning or collaboration with families.
4. **Administrator Observations and Post-observation Conference(s)**—A “planned” observation should last at least 30 minutes; an “unplanned” observation can be a 5- to 10-minute short visit or walk-through, or last up to an entire class period. An administrator will conduct at least three formal planned observations of all probationary teachers each year while continuing contract teachers will receive at least one planned

observation during the year. Multiple unplanned observations will be conducted for each educator every year, with feedback following each observation. During all planned observations, the administrator will note the educator's performance on each of the observed standards from the rubric. During the post-observation conference, the administrator and educator will discuss and document ratings on relevant standards, goal progress, performance strengths, and improvement opportunities observed. An administrator may also use information gathered from unplanned observations when rating performance for the post-observation conference. Note that an "observation" can occur in many different contexts, including teacher team meetings, a principal's staff meeting, or impromptu conversations with colleagues or parents.

5. **Peer Review**—Each educator will receive a peer review annually, with the opportunity to suggest peers to complete the observation. The observation and conferences should focus on at least three standards that the educator and evaluator select. The peer review observation should last for at least 30 minutes, followed by a confidential conversation focused on enhancing professional practice. An educator may choose to include the peer observation as part of his or her evaluation by including the information in the portfolio of artifacts.
6. **Educator Self-Assessment**—At least 2 weeks prior to the scheduled summary evaluation conference, the educator will present a completed self-assessment and portfolio of artifacts, including evidence of goal attainment to his or her evaluator.
7. **Summary Evaluation Conference**—Prior to the scheduled conference, the evaluator will issue an initial professional practice rating based on evidence gathered from multiple

sources, including the educator's self-assessment, observation ratings and feedback, goal attainment, and portfolio of artifacts. The evaluator will also develop draft recommendations for professional development. During the summary evaluation conference, the evaluator and educator will discuss the range of evidence gathered and reviewed as well as the proposed professional practice rating. If student growth data are available, the educator will also receive a separate student growth rating as well as the summative effectiveness rating. If student growth data are not yet available, a separate brief conference will occur once all information is available to complete and discuss the summative rating.

During the TIF 4 MSFE planning year (2012–13), Maine DOE, in partnership with a subcontractor, will provide professional development and training for peer reviewers and evaluators, focused on National Board standards, to improve the reliability and consistency of evaluation for all teachers and principals. Additional training during this year will focus on building educator capacity within each TIF 4 MSFE district around the evaluation rubric and professional learning.

#### **Incorporating Student Growth Into Evaluations**

At least two student growth measures will be identified for every educator in a TIF 4 MSFE district for purposes of performance evaluation: an individual measure of student growth and a team-based or schoolwide measure. The inclusion of both individual and group data encourages teamwork and collaboration while also maintaining individual accountability for results. Team-based measures are likely to be jointly determined using student learning objectives (SLOs), although other group measures will be discussed and considered.

As a member of the Smarter Balanced Assessment Consortium, Maine is participating in the development of computer-adaptive assessments aligned to the Common Core State Standards. These assessments will be implemented in 2014–15, Year 3 of the TIF 4 MSFE program. Before the Smarter Balanced Assessments are available, Maine TIF 4 districts will continue to use a student growth measure based on the New England Common Assessment Program (NECAP) standardized test or other more timely assessments that are valid and reliable (e.g., Northwest Evaluation Association Measures of Academic Progress® assessments) for teachers in tested grades and subjects and schoolwide positions, including principals, assistant principals, and teacher leaders. Student growth will be measured for educators in non-NECAP grades and subjects using district-developed SLOs with comparable pre- and post-assessment measures and growth targets for all educators in the same grade or subject across a given district. All educators in the TIF 4 MSFE program will receive a student growth rating of *below average*, *average*, or *above average* based upon the measures outlined above.

#### **Determining Summative Effectiveness Ratings**

All educators will receive a summative effectiveness rating based on the four-point scale to be determined by the Maine Educator Effectiveness Council by November 1, 2012. As a placeholder for these summative rating labels, the TIF 4 MSFE program will use the rubric ratings described previously: *Ineffective*, *Developing*, *Effective*, and *Distinguished*. The student growth rating will be combined with the professional practice rating to determine a summative effectiveness rating for each educator, with appropriate weight given to the student growth rating and professional practice ratings, as determined by each district and guided by Maine statute. (Maine’s Public Law 2011, Chapter 508 requires the use of student growth as a

significant factor in evaluation.) The final summative rating guidance will be developed by the TIF 4 Statewide Steering Committee.

In cases where there is a significant discrepancy between an educator's student growth results and performance assessment, an additional measure of student growth that bridges the divide between professional practice and outcomes will be employed. This "level two" measure will be determined by the Steering Committee; an example of a level two measure for a teacher is a series of student work samples from three randomly selected students related to the last completed unit of study, with an accompanying narrative from the teacher. A level two measure for a principal might be a detailed data analysis of student achievement by subgroups, with resulting action plans.

#### Professional Development Systems to Support the Needs of Teachers and Principals

A key component of the TIF 4 MSFE human capital management system (HCMS) is the creation and implementation of a comprehensive professional growth system aligned to standards-based evaluation systems and a sustainable performance-based compensation system (PBCS). The TIF 3 program has made significant progress in this area, utilizing the NBPTS programs to implement its *Take One!* professional development, National Board Certification, and teacher leader programs, including cohort facilitation and peer review in alignment with the rubric based on National Board standards. The TIF 4 MSFE program envisions continuation of many of these well-regarded programs, with modifications to details such as timing and structure to encourage thoughtful implementation and meaningful educator engagement.

## **Well-Planned Professional Development**

The TIF 4 MSFE program will provide high-quality professional development guided by individual school and learning needs, particularly those related to improved instruction and leadership in the interest of student learning.

Appendix A. provides a detailed model professional development plan for the 2012–13 and 2013–14 school years. Given that the grant will begin October 2012, districts will need to align their planned professional development with TIF Year one implementation priorities. The professional development timeline is based on the assumption that TIF 4 MSFE staff will quickly engage the TIF 4 Statewide Steering Committee, district TIF committees (for a description, see page 45), and school staff in making key design decisions and preparing to support implementation.

The key to effective professional development is that it is timely and relevant. In addition to real-time mentoring and coaching through one-on-one meetings and structured communities of practice, schools in the TIF 4 MSFE districts will be supported to identify additional online and face-to-face growth opportunities linked to standards of practice and the district’s goals for student learning and growth. This assistance will allow educators to immediately access the resources that best fit their learning style and professional growth needs as well as build a “library” of resources that can be accessed, utilized, refined, and expanded over time to meet the changing needs of each district and its stakeholders. These resources, coupled with standards-based feedback around evidence of practice, will help educators make immediate adjustments in practice, maximizing the opportunities they have to impact the learning of all students.

## Standards-Aligned Professional Growth Programs

The TIF 4 MSFE program emphasizes and supports data-informed instructional improvement through professional learning opportunities that are research based and job embedded. To build deep understanding of rigorous standards for effective practice, each TIF 4 MSFE district will provide professional development for its principals and teachers built around the National Board's Core Propositions and Standards.

TIF 4 MSFE will offer a number of professional growth programs and opportunities aligned with National Board standards that provide a seamless link between evaluation systems and professional growth throughout the life of the TIF 4 grant and beyond as follows:

- ***National Board Certification for Teachers (NBCT)*** is a yearlong assessment of actual teaching practice that aims to recognize teaching at its most accomplished level, which includes submission of four portfolio entries featuring evidence of teaching practice through videos, student work, and documented professional contributions to student learning, as well as six computer-adaptive timed exercises taken at an assessment center.
- ***Take One!*** provides a sampling of the process teachers experience during full National Board Certification that, when implemented whole school, can serve to build a collaborative culture focused on student learning and a shared understanding of standards-based practices.
- ***Principal Professional Learning*** introduces principals to standards-based leadership, specifically focusing on planning and implementation of strategies to improve student learning that align and build on the principal evaluation process.

- ***Learning Community Engagement and Leadership Survey*** is one survey with two components that are completed online to provide feedback from students, parents, certified staff, classified staff, and the broader learning community on the school's learning environment and principal's leadership.
- ***Participant Support Programs*** for educators who pursue *Take One!* and National Board Certification offer a cohort-based structure for professional conversations and opportunities for teachers and principals to serve as instructional leaders in both their school and district environments.
- ***Video Observations*** of exemplary teaching practice complement the TEPG and PEPG systems, supporting evaluators in identifying effective classroom practice and providing meaningful instructional support to teachers.

In addition to these professional growth opportunities related to instructional improvement and increased student learning, it will also be necessary for teachers and leaders to have a comprehensive understanding of the components of the TEPG and PEPG programs, including evaluation system criteria, student growth measures that will be used for measurement and feedback, and professional goal setting. Evaluators (superintendents, district administrators, principals, and peer reviewers) will be trained further in the effective use of the principal and teacher evaluation processes and related observation tools to ensure uniform use and inter-rater reliability as well as productive, instructionally focused evaluation conversations across the career span of an individual educator.

Educator Salary Structure Based on Effectiveness

The TIF 4 districts will center their performance-based compensation system (PBCS) on Model 1, as outlined in the TIF Notice Inviting Applications, differentiating rewards for teachers and principals who prove their effectiveness and/or acquire and implement skills with a demonstrated positive impact on student learning and growth. The PBCS in high-need schools will be carefully crafted in partnership with Maine DOE, an expert subcontractor, and the participating TIF 4 districts during the first year (2012–13) of the grant to develop a sustainable system aligned with the statewide educator effectiveness strategy in Maine.

**Sample PBCS Structure for High-Need Schools**

The TIF 4 MSFE program plans to build on elements of the TIF 3 incentive structure, with some alterations based on lessons learned and new requirements of the TIF 4 grant. However, exact incentive categories and detailed recommendations for districts on incentive amounts will be determined by the TIF 4 Statewide Steering Committee during the 2012–13 planning year.

Table 3 provides sample PBCS incentives, aims, and amounts.

**Table 3. Sample PBCS Incentives and Stipends**

	<b>PBCS Element</b>	<b>Incentive Aim</b>	<b>Incentive Amount</b>
<b>Recruitment and Retention</b>	NBCT Recruitment	To attract high-quality teachers to TIF 4 districts	Up to \$2,500
	Hard-to-Staff Assignment	To attract and retain teachers and principals to district-defined hard-to-staff roles	Up to \$5,000

<b>Professional Growth</b>	Take One! Incentive	To encourage and reward educators for completion (submission of a scoreable entry) of a rigorous and meaningful professional development process tied to the evaluation rubric, and to generate interest in the NBC process	\$500
	Teacher Leader Incentive	To encourage and reward teachers who choose to serve as leaders in providing effective, embedded support to new teachers, colleagues, and administrative leadership. Examples of teacher leader roles include: peer observation/mentoring/coaching, TEPG facilitation/implementation, NBC candidate support, and <i>Take One!</i> /PLC facilitation.	Up to \$3,000
	Attainment of NBCT	To encourage and reward accomplished teaching through the attainment of the NBCT credential	\$3,000
	Attainment of National Board Certification for Principals	To encourage and reward accomplished educational leadership through the attainment of the NBCEL credential	\$5,000
<b>Educator Effectiveness</b>	Performance-Based Compensation	To recognize and reward achievement of summative effectiveness ratings of Effective or Distinguished	Up to \$5,000
	Performance-Based Compensation in High-Need Subjects and Positions <i>(in lieu of Performance-Based Compensation model above)</i>	To recognize and reward achievement of summative effectiveness ratings of Effective or Distinguished for educators in high-need subjects and positions	Up to \$7,500

\*Actual amounts to be recommended by district TIF committees and approved by the TIF Statewide Steering Committee. NBCT=National Board Certification for Teachers; NBC=National Board Certification; PLC=professional learning community.

As part of their support for TIF 4, participating TIF 4 MSFE districts agree to build their performance pay compensation models utilizing the same frameworks. However, in recognition of each district's local needs and autonomy, districts will have some flexibility in terms of specific incentive amounts and criteria for payouts. For example, each of the participating TIF 4 districts will determine which subjects are hard to staff and adjust the recommended amount of the incentives based on the level of difficulty filling the positions.

District TIF committees will determine the appropriate local PBCS modifications, with guidance and support from Maine DOE and an expert subcontractor, which will ensure that the PBCS meets the TIF requirements. Specifically, program staff will verify that the local performance system models give significant weight to student growth, are based on objective data on student performance, include observation-based assessments of teacher and principal performance at multiple points in the year, and incorporate other measures of leadership or teacher effectiveness.

## **Stakeholder Involvement and Communication Plans**

### Engagement of Stakeholders

The Maine Department of Education (Maine DOE) is committed to complete transparency and regular, meaningful stakeholder participation in educator evaluation reform efforts, and has taken extensive steps to involve stakeholders at all levels within the state. Public Law 2011, Chapter 508, requires Maine DOE to engage all stakeholders, including parents, educators, and community members, in the creation of guidelines to direct the development of new local evaluation systems for teachers and principals.

Maine DOE has conducted a series of series of forums, a survey, and other public outreach across the states to obtain the input of students, teachers, administrators, parents, and others. Results from this stakeholder engagement effort will inform the work of the TIF 4 Statewide Steering Committee. Additionally, Maine DOE has engaged the direction of three stakeholder workgroups—the Annual Measurable Objectives Work Group, Interventions and Supports Work Group, and Maine Educator Effectiveness Council—in developing guidelines for the new local teacher and principal and support systems, which will further inform and structure the TIF 4 work.

A key stakeholder group at both the state and district levels is union leadership. (See Part 6 of this application for letters of support from each of the local unions affiliated with participating districts.) Maine DOE will engage union leadership at both the state and local levels. First, the TIF 4 Statewide Steering Committee, the TIF 4 decision-making body, will include teacher and principal representatives from each of the TIF 4 MSFE districts. Second, state union leaders and others will participate in the TIF 4 Advisory Council (T4AC), a consultative body to provide guidance and feedback to Maine DOE. Members of the T4AC will meet quarterly to be informed about program design and implementation, facilitating understanding and buy-in. Finally, union representatives will be engaged in the district-level TIF committees. These committees will make local modifications to the core evaluation and compensation systems designed by the TIF 4 Statewide Steering Committee, and will oversee implementation at the local level. (See the Maine DOE organizational chart and advisory structure on page 52 for more information.)

## Communication Plans

As demonstrated by the efforts above, Maine DOE acknowledges the importance of stakeholder engagement in garnering buy-in at all levels to ensure the success of educator evaluation reform efforts. To achieve this buy-in, it is important to engage stakeholders at every step of the process—from conceptualization to implementation and review—because stakeholders are more likely to support reform efforts that are transparent and understandable. A high-quality communication plan (1) ensures a common vision among stakeholders; (2) provides a focus for engagement and communication efforts; (3) clarifies objectives and target audiences; (4) introduces an accurate understanding of how the system works; and (5) builds support for the new system, which is crucial for sustainability.

To avoid common pitfalls—such as sending mixed messages, assuming insight into stakeholders’ views rather than asking them, underinvesting in communication activities, and overreacting to the “squeaky wheels”—Maine DOE will work with its expert subcontractor to support each TIF 4 Maine Schools for Excellence (MSFE) district to develop detailed stakeholder communication plans. The communication plan will address engaging stakeholders to establish buy-in, solicit stakeholder feedback, build stakeholder knowledge, support stakeholders during implementation, and share implementation success stories and lessons learned. The steps for developing a communication plan with the district will include:

Step 1: Engaging stakeholders

Step 2: Defining communication goals

Step 3: Developing a communication plan

Step 4: Implementing the communication plan effectively

## Step 5: Evaluating the communication plan on an ongoing basis

To guide the development of the stakeholder engagement and communication plan, Maine DOE will customize the resource *Everyone at the Table* ([www.everyoneatthetable.org](http://www.everyoneatthetable.org)) to gather stakeholder input and feedback on local modifications to the overarching evaluation and performance-based compensation system principles and design framework laid out by the Steering Committee.

## **Project Management Plan**

This plan describes our organizational structure and management processes for the TIF 4 grant and is followed by a separate section outlining the expertise of staff members to carry out their responsibilities. TIF 4 project implementation will be managed by the Maine Department of Education (Maine DOE) and expert subcontractors to be identified through a competitive bidding process if awarded the grant. Communication will include frequent meetings, telephone and e-mail contacts between Maine DOE and any partners or subcontractors, and ongoing dialogue with TIF 4 district and school sites.

### Project Processes

The management plan includes processes and procedures to ensure effective communication among all project partners and districts, the quality of the work, the timely completion of all project tasks and work performance, and risk management. The project structure will ensure efficient communication among project staff and between Maine DOE, its partners, and the TIF 4 Maine Schools for Excellence (MSFE) districts. Maine DOE will be

responsible for handling all communication with the districts as well as helping to coordinate the training and meetings of districts. In addition, the Maine DOE project director will work collaboratively with leads from subcontracting organizations to review all project deliverables and other key products prior to submission to the U.S. Department of Education.

### Activities Timeline

This section includes information on the proposed timeline of activities, highlighting key implementation activities and deliverables as they will occur during the five fiscal years of the TIF 4 grant. The final determination of activities and dates will be determined jointly by Maine DOE and contributing subcontractors, with advice from the TIF 4 Statewide Steering Committee. Maine DOE and the TIF 4 districts will engage in an approach to planning and managing the TIF 4 work according to the following six design and implementation steps during the course of the five-year grant period:

#### **STEP 1: Prepare and Engage Leadership and Stakeholders (October–November 2012)**

Preparing and engaging leadership and stakeholders requires three fundamental elements: assessing the current performance management systems in each TIF 4 MSFE district and establishing priority areas for reform, facilitating and coordinating a series of advisory and decision-making bodies, and supporting a communication strategy and actions.

To assure that best practices in Maine are retained while poor practices are modified, it is necessary to conduct a needs assessment and gap analysis of current teacher and principal evaluation systems in the six TIF 4 MSFE districts. The needs assessment will examine teacher and principal experiences with the current system, and explore their understanding and beliefs

about new evaluation systems. Surveys with teachers and principals will be conducted using a formal educator talent management needs-assessment tool to inform the TIF 4 Statewide Steering Committee's overarching evaluation design as well as local modifications to this framework.

At the same time, Maine DOE will work with state-level stakeholders and district staff to identify members for three TIF 4 oversight groups: the TIF 4 Statewide Steering Committee, TIF 4 Advisory Council (T4AC), and district TIF committees.

- The **TIF 4 Statewide Steering Committee** (“Steering Committee”) will function as a joint decision-making body for the TIF 4 MSFE program, meeting every other month. The Steering Committee will draft the design principles and implementation guidance for the evaluation, compensation, and human capital management systems, including the extent of local modifications permitted for each component. The Steering Committee will include three representatives from each participating TIF 4 MSFE district—the superintendent or other cabinet-level designee, a school administrator representative, and a teacher representative. Meeting materials will be prepared and disseminated by Maine DOE project staff for discussion and decision making at each meeting. The Steering Committee may decide to create standing or ad hoc subcommittees to study specific issues more in depth and make recommendations to the Steering Committee at large. The first meeting of the TIF 4 Statewide Steering Committee will take place in December 2012. This launch meeting will set the stage for strategic planning and kick off the Steering Committee's role in the program with a clear understanding of the scope of

the work, the roles and responsibilities, and the most effective methods for engaging in a collaborative partnership.

- The **TIF 4 Advisory Council** (T4AC) will provide advice and feedback on a quarterly basis related to the design and implementation of evaluation, compensation, and human capital management systems. The group will consist of representatives from the major state-level stakeholder groups: the Maine Education Association, Maine School Management Association, Maine Administrators of Services for Children with Disabilities, and Maine Principals Association. Maine DOE representatives and local educator preparation programs may also be invited to participate. The first meeting of the T4AC will take place in November 2012 to introduce the grant requirements, high-level program design, and participation expectations to all members of the group.
- **District TIF Committees** will be convened at the local level within each participating TIF 4 MSFE district. These committees of 10–15 people will include the following members: district superintendent, local union representative, human resources and/or professional development representative, school board member, parent leader, one or two principal(s), and one or two teacher(s). In addition, the committees may choose to invite a business or civic leader, student representative, and/or members from other critical stakeholder groups to participate. Each district’s TIF committee will meet at least monthly to review the Steering Committee’s decisions, modify project design components as appropriate to the local context, and monitor TIF 4 MSFE implementation. The district TIF committees will be chaired by the superintendent or district human resources representative; Maine DOE or a partnering subcontractor will

support district chairs in setting meeting agendas, connecting with experts, capturing decisions, and determining next steps. District TIF committees will begin meeting in November 2012, with the first formal engagement between Maine DOE and the committees occurring the following month.

In Step 1 of the system design process, data from the needs assessment will be collected and compiled into a report for review by the Steering Committee. Maine DOE or a partnering subcontractor will walk the Steering Committee through a collaborative review and interpretation process that will support the team as they review results, determine key findings, and establish priority areas to build upon that are in alignment with the new state legislation. Input on the needs assessment and Steering Committee findings will be solicited from the T4AC and the district TIF committees to inform planning and next steps.

**STEP 2: Develop and Share Vision and Plans (December 2012 –February 2013)**

Maine DOE or a partnering subcontractor will provide resources and materials, including policy and case study research from other states and districts, to inform the T4AC, Steering Committee, and district TIF committees about these topics. The subcontractor will also coordinate experts to present to the Steering Committee on these topics and advise on local district modifications to the core MSFE systems.

**STEP 3: Select and Customize Tools, Training, and Infrastructure (January 2013–June 2013)**

In Step 3, Maine DOE and a subcontractor with teacher and principal evaluation system design expertise will work with the TIF 4 Statewide Steering Committee to develop appropriate shared evaluation tools based on the National Board standards and work accomplished in the TIF 3 program—including rating scales, protocols, and rubrics—and processes for seeing them

successfully implemented. Based upon recommendations from the Steering Committee, the expert evaluation subcontractor will prepare detailed implementation guidance for teachers and principals to field test components of the evaluation system in schools in the spring of 2013, with a mix of online and in-person professional development for evaluators and educators. (See Appendix A for a detailed professional development plan.)

The major outputs of Step 3 of the evaluation design process will be draft teacher and administrator guides, including all forms and instrumentation needed, and completed examples of how these forms are to be used. For example, implementation materials in these guides could include forms, templates, and other “how-to” overview materials related to training and support schedules, conducting observations, providing coaching and feedback, gathering multiple measures for summative ratings, and frequently asked questions.

**STEP 4: Launch and Implement Systems and Supports (July 2013 –June 2014)**

All high-need schools in the TIF 4 MSFE program that are targeted for performance-based compensation system (PBCS) implementation, as well as a subset of volunteer schools in the TIF 4 MSFE districts that are not implementing PBCS, will launch the new teacher and principal evaluation systems and related PBCS components in August 2013. Maine DOE will hire a qualified subcontractor to implement a detailed training and support plan, including facilitation of the full scope and sequence of training for educators and their evaluators, to be determined by the Steering Committee.

Training materials and processes will enable evaluators to understand the evaluation and PBCS processes, and make accurate and reliable judgments. Training will be provided on all components of the system, with multiple days of training during the course of the year to

ensure evaluators are consistent over time. In addition, all educators in implementing districts will receive training in the new evaluation system and expectations for PBCS implementation.

**STEP 5: Assess and Advance Practices and Progress (2014–2017)**

Beginning in Year 3 of the TIF 4 program, work will move from pilot implementation to the revision phase, in a cycle of continuous improvement. Key to doing this work well is collecting and reflecting on data coming out of the Year 2 pilot implementation, assuring that evaluation and compensation are systematic and fair. In the summer of 2014, the TIF 4 Statewide Steering Committee will review key findings from Year 2 implementation and develop a prioritized list of revisions to the programs based on stakeholder feedback and outcomes. Implementation of the revised procedures and systems will begin in fall 2014, with a similar cycle of assessment, reflection, and adjustment occurring in the summer and fall of 2015 and 2016.

**STEP 6: Develop a Coherent Human Capital Management System (HCMS) (2014–2017)**

In the sixth and final TIF 4 design and implementation step, Maine DOE and a subcontractor with expertise in human capital management will work with individual TIF 4 MSFE districts through their district TIF committees to review the systems, processes, and tools that exist for each aspect of human capital management. The human capital subcontractor will facilitate a collaborative data review process to make sense of this information and create a district-level plan of action for crafting a coherent, comprehensive approach to human capital management. The 2014–15 school year will be largely dedicated to fact-finding, analysis, and strategic planning within each district, with the identification and implementation of one or two “quick wins” during this year to better connect at least two aspects of the HCMS. The 2015–16

and 2016–17 school years will be used to implement the strategic human capital management plan, with Maine DOE and the expert subcontractor operating in an advisory and technical assistance capacity. Special attention will be paid to sustainability and systemization of the compensation programs already in place in the high-need schools.

Figure 5 presents the timeline for each of the activities described above.

### Figure 5. Timeline of Activities

#### Steps 1–3: Prepare, Engage, Develop, Customize, and Select Committee, Tools, Training, and Infrastructure (2012–2013)

Scope of Work	Major milestones	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July
Project Set-Up	In-person meeting: Maine DOE and partners	X									
	Detailed project plan and timeline	X	X								
	Establish monthly partner check-in meetings	X	X	X	X	X	X	X	X	X	X
	Convene and facilitate the TIF 4 Advisory Council (T4AC)		X			X			X		
	Facilitate and coordinate the TIF 4 Statewide Steering Committee			X		X		X		X	
	Advise district TIF committees on local design and implementation modifications		X	X	X	X	X	X	X	X	X
Stakeholders	Assess current performance management system		X	X	X						
	Develop goals and theory of action		X	X	X						
	Support communication strategy and actions		X	X	X	X	X	X	X	X	X
	Provide resources and materials			X	X	X	X	X	X	X	X
Vision and Plans	Coordinate experts to present		X	X	X						
Select & Customize Tools,	Develop appropriate performance appraisal tools and processes				X	X	X	X			

Scope of Work	Major milestones	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July
Training, and Infrastructure	Support the development of additional support materials			X	X	X	X	X	X	X	

#### Step 4: Launch and Implementation of Appraisal System in Pilot Schools (2013–2014)

		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July
Launch & Implement Appraisal Systems and Support	Nominating and selection of pilot schools	X									X	X	X	
	Introduction to the pilot	X	X											
	Introduction to system trainings (both principal and teacher)	X	X	X										
	Performance measures trainings (both principal and teacher)		X			X		X		X				
	Student growth measures trainings (both principal and teacher)		X		X					X				
	Student surveys trainings (both principal and teacher)						X							
	Other trainings as needed							X	X					
	Communication and feedback loops		X		X		X		X		X		X	

#### Steps 5–6: Assess, Advance, and Develop Coherent Capital Management System (Full-Scale Implementation) (2014–2017)

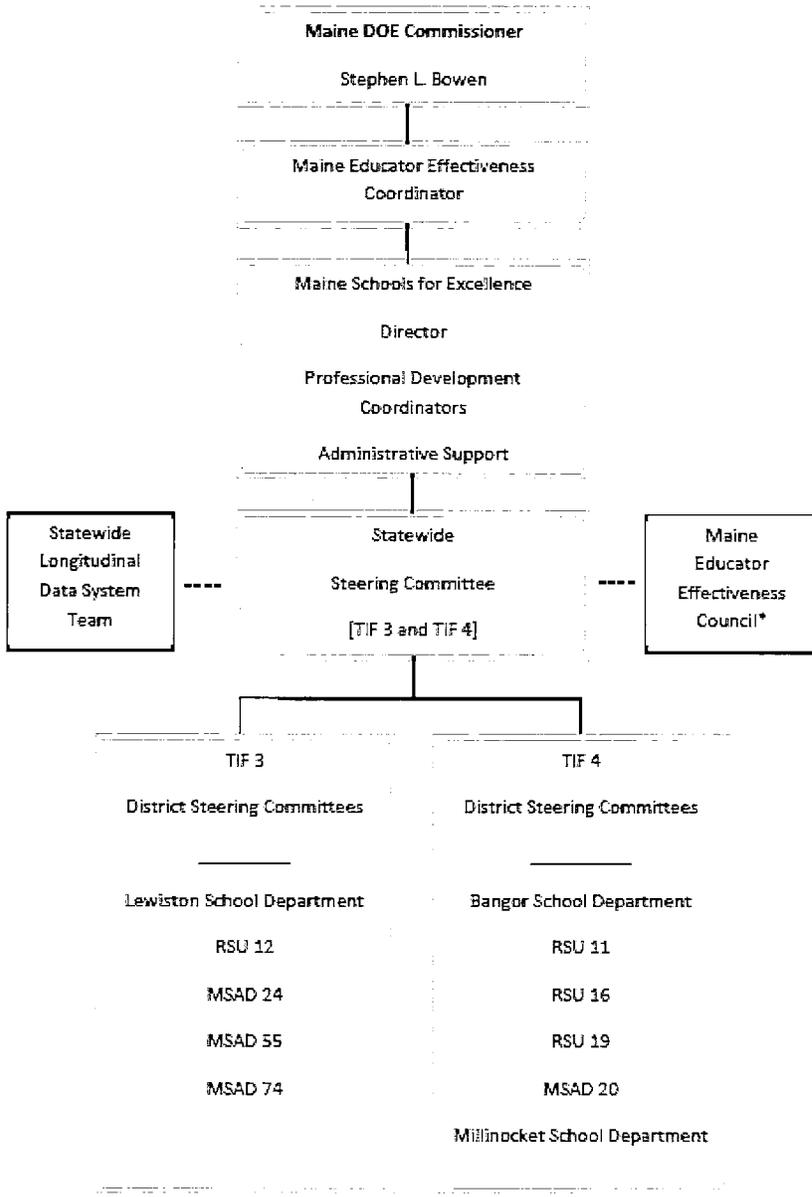
		Q3 14	Q4 14	Q1 15	Q2 15	Q3 15	Q4 15	Q1 16	Q2 16	Q3 16	Q4 16	Q1 17	Q2 17
Assess & Advance Practices and Progress	Review implementation findings and identify revisions	X		X		X		X		X		X	
	Implement revised systems, process, and/or procedures		X		X		X		X		X		X
Integrate Talent	Facilitate integration meetings	X	X										

Management	Select priority topics for integration	X	X										
Systems	Examine components that need												
	improvement for assuring educator effectiveness		X	X									
	Develop action plan for next steps			X	X								
	Implement strategic human capital management plan				X	X	X	X	X	X	X	X	X

Key Staff

As illustrated in Figure 6 below, Maine DOE has developed an integrated and streamlined project leadership structure that leverages current resources and expertise, and strengthens internal capacity to support and then scale up proven educator effectiveness systems in Maine. The structure has been designed to ensure a common line of sight among key stakeholders at the policy, program, and project levels. It will help to foster teamwork, inform communication, and encourage ongoing sharing of practice—all crucial components of sound project design, educator buy-in, and critical mass acceptance of this organizational change initiative.

**Figure 6. Organizational Chart and Advisory Structure**



\*Pursuant to Public Law, Chapter 535.

The Maine DOE project team members share a deep commitment to improved HCMS and have extensive hands-on experience with local education agencies in designing, testing, implementing, and monitoring systems focused on educator evaluation and professional

growth, targeted professional development, and tailored performance-based compensation. A copy of staff résumés and brief biographies of key staff can be found in Part 6 of this application.

Table 4 provides a breakdown of estimated hours for each Maine DOE team member.

**Table 4. Estimated Hours by Proposed Maine DOE Team Member**

Staff Name	Title/Role	Total Hours/Year	Average Hours/Month
Scott Harrison	Maine Schools for Excellence Director	1,040	86
Susan Williams	Professional Development Lead Coordinator and District Trainer for TIF 3	520	43
Contractors (2)	Professional Development Coordinator and District Trainer for TIF 4	2,080	173
Educator Effectiveness Coordinators (2)	Integration of state-level policy work on educator effectiveness with both the TIF 3 and TIF 4 grants	2,080	173
TIF 4 Administrative Support Staff (2)	Administrative support to TIF 4 project	2,080	173
Bill Hurwitch	Data system enhancement	In-kind	
Edward Fournier	Fiscal grant support	In-kind	

## Sustainability

The Maine Department of Education (Maine DOE) understands the importance of early, thoughtful planning around fiscal and programmatic sustainability of evaluation, compensation, and human capital management systems (HCMS). We will work with each of the TIF 4 districts individually to develop a sustainability plan that meets their unique needs. The following sustainability options to be considered jointly with each TIF 4 district, are drawn from lessons learned by districts in earlier TIF cohorts (Schuermann, et al., 2012), including the experiences

of Maine’s five TIF 3 districts. TIF 4 districts will be encouraged to consider a variety of sustainability approaches, including use of non-TIF federal funds, state appropriations and support, reallocation of district resources, and reconstructing the single-salary schedule.

**Use of non-TIF federal funds**—Maine intends to use Title I and II, Part A, funds where allowable and appropriate to fund various activities associated with the HCMS. Such activities could include funding financial incentives to attract effective educators to hard-to-staff subjects and schools, support for induction and mentoring programs, incentives aimed at improving student achievement in low-income schools, and financial support for professional development for teachers and principals.

**State appropriations and support**—In 2012, Maine passed two pieces of legislation that set forth the statutory foundation for both effective teaching/school leadership and a compensation system. Public Law 635 refined state statute to require “the implementation of a performance evaluation and professional growth system for all teachers and principals.” The legislation further refined the *funding statute* to allow for the commissioner to calculate the amount of targeted funds available to assist the school administrative units to develop and implement these systems.

In addition, Public Law 702 established the National Board Certification Salary Supplement Fund, a nonlapsing dedicated fund to encourage teachers to apply to and enroll in the certification program offered by the National Board for Professional Teaching Standards. These two sets of statutory revisions provide a substantial commitment on the part of the state of Maine to move from the initial work of TIF 3 and the anticipated work of TIF 4 to a statewide fair, comprehensive, and systematic model supported by sustainable funding. Maine’s TIF 4

districts will also be able to leverage and build on the state’s substantial and ongoing investment in its longitudinal data warehouse and reporting system.

**Reallocation of district resources**—Maine districts intend to work with their local school boards and associations to examine current resource allocation practices to uncover opportunities for redistributing existing funds to gain greater return on investment. For example, districts may choose to shift funds from stipends paid for advanced degrees and years of experience to allocations based on performance and/or National Board Certification.

**Reconstructing the single-salary schedule**—One of the most challenging but effective ways to secure long-term sustainability of the performance-based pay component of the new HCMS is to reconstruct the salary structure. Maine’s TIF 4 Maine Schools for Excellence (MSFE) districts can leverage the learning around salary structure redesign from Maine’s TIF 3 districts. For example, TIF 3 district MSAD 74 negotiated an alternative pay structure that systematically aligns with district goals and priorities, recognizes and rewards performance excellence, pays people proportionate to their contribution, distributes pay equitably and sensibly, and is built on sound behavioral principles. Other features of this exemplar include:

- A performance-based compensation scale that goes into effect automatically for all newly hired teachers this fall
- Options for veteran teachers to adopt the alternate performance-based compensation scale, up front or at the end of the year after they learn of their anticipated performance bonus

Maine DOE and the TIF 4 districts already recognize the challenge that fiscal sustainability presents and plan to tackle this issue head on as early as Year 3 of the grant. In

fact, several participating TIF 4 MSFE districts have already demonstrated a commitment to sustainability by agreeing to find funding for the scale-up of performance-based compensation beyond their high-need schools. (See Part 6 of this application for letters of commitment.)

## **Program Evaluation**

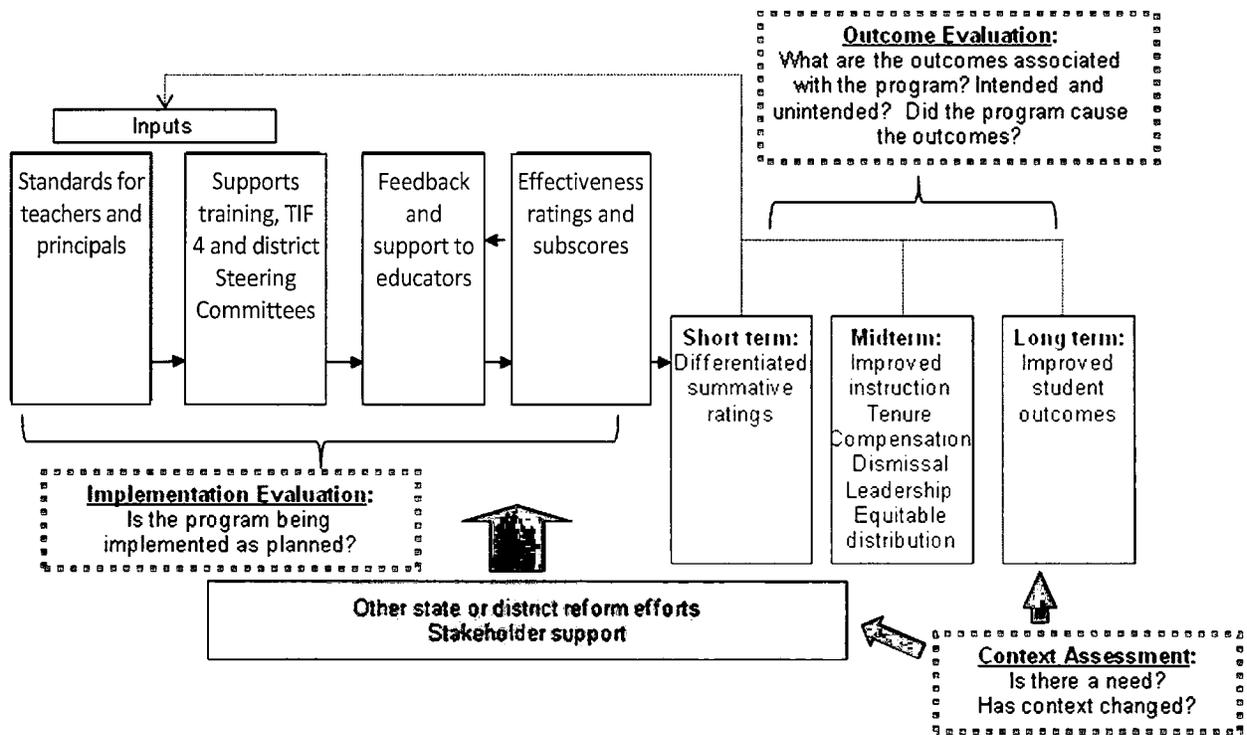
A successful teacher and principal evaluation system must include a review and revision process to ensure that it is meeting the needs and goals of the state and the education community. Once the TIF 4 project has been implemented beginning in 2013–14 (Year 2 of the grant), it will be important to establish procedures and mechanisms to collect information about how implementation is going. This review process serves two purposes: Collecting data about implementation will provide important information about components of the system that need revision, and acknowledge the system as dynamic. It will also help promote full implementation of the system by holding teachers, principals, and district-level staff accountable for their efforts to carry out the evaluation system as intended.

In order to serve these purposes, the Maine Department of Education (Maine DOE) proposes two different types of activities: (1) the development of a set of monitoring indicators for use in a formative implementation evaluation and (2) an outcomes-focused program evaluation.

Monitoring indicators will focus on system activities—centering on questions related to whether or not planned actions are being taken at the local level. The summative program evaluation will draw upon the monitoring information, but it will also supplement those data with additional data collections and methodologies in order to broaden and deepen the

findings. For example, the evaluation will gather information about how or why certain activities did or did not take place. It will also focus on longer term outcomes as well as intermediary outcomes such as attitudes and beliefs. A first step in developing both the monitoring and evaluation plans will be to outline a theory of action or logic model showing how each participating TIF 4 district's evaluation system is intended to operate in the context of that district's broader education system and instructional vision, and what the key elements of implementation are. Figure 7 shows a sample logic model for the TIF 4 Maine Schools for Excellence (MSFE) program.

**Figure 7. Sample Logic Model**



Maine DOE will develop, refine, and update the monitoring and evaluation plans and evaluation questions based on the refined logic model that is developed. Examples of

evaluation questions, project objectives, intended outcomes, and relevant data sources to be collected are highlighted in Table 5 below. Evaluation questions 6 and 7 (starred in the table) address the final performance indicators of TIF program effectiveness.

**Table 5. Sample Evaluation Questions, Program Objectives, and Data Collection Methods**

	Evaluation Questions	Program Objectives	Data Collection Methods
Implementation-Related Questions	<b>EQ1.</b> Was training provided to evaluators as planned?	To perform ongoing assessments and coordinate program improvement efforts among partners to meet the stated goals of the program	<ul style="list-style-type: none"> <li>• Observations of evaluator training</li> <li>• Training participant survey</li> <li>• Document review of program and training materials</li> </ul>
	<b>EQ2.</b> Were communication plans carried out as intended?	To ensure system participants (reviewers and reviewees) understand what is expected of them	<ul style="list-style-type: none"> <li>• Document review of TIF 4 district communication plans</li> <li>• Focus groups of principals and teachers in TIF 4 districts</li> </ul>
	<b>EQ3.</b> How consistently is the evaluation rubric being implemented within and across districts?	To ensure observations, self-assessments, and evaluations of professional responsibility are being carried out as intended (e.g., how often, by whom, with appropriate feedback, etc.)	Interviews with TIF 4 Statewide Steering Committee members and Maine DOE program staff
	<b>EQ4.</b> What aspects of the system are challenging to implement? Why?	To ensure that the fidelity of implementation of the evaluation system is increasing over time	Interviews with TIF 4 Statewide Steering Committee members and Maine DOE program staff
Outcome-Related Questions	<b>EQ5.</b> Are users of the system becoming more satisfied with the system and/or their jobs over time?	To determine if principals and teachers are receiving quality feedback from the evaluation system and are reporting the feedback as useful	<ul style="list-style-type: none"> <li>• Online principal survey</li> <li>• Online teacher survey</li> </ul>

	<p><b>*EQ6.</b> How is the distribution of effectiveness ratings changing over time with implementation of the new systems?</p>	<p>To assess the distribution of effective educators within and across schools as well as across a district’s high-need schools and subject areas</p>	<p>Teacher and principal performance data, and school and district characteristics collected from the state</p>
	<p><b>*EQ7.</b> What decisions are being made with data and how are they changing over time?</p>	<p>To assess whether and how data are being used to inform human capital decisions, including recruitment, hiring, placement, retention, dismissal, professional development, tenure, and promotion for different groups of educators</p>	<ul style="list-style-type: none"> <li>• Interviews with TIF 4 Statewide Steering Committee members and Maine DOE program staff</li> <li>• Teacher and principal human capital data, and school and district characteristics collected from the state</li> </ul>

## Conclusion

The TIF 4 Maine Schools for Excellence program aims to demonstrate that implementation of rigorous, comprehensive evaluation, compensation, and human capital systems can be successful in a rural, decentralized context. The Maine Department of Education (Maine DOE) will build on the state’s TIF 3 successes, recent legislative changes, and statewide momentum around educator effectiveness to design and implement these systems in six TIF 4 districts. Collectively, these districts serve more than 11,400 Maine students in a system that even Maine’s education commissioner recognizes as ready for and in need of sweeping change. The TIF 4 grant offers Maine DOE, the TIF 4 districts, schools, and educators a significant opportunity to begin this transformation of educator practice and student learning on behalf of the children of Maine.

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## Appendix A. TIF 4 Maine Schools for Excellence Professional Development Plan

Training Dates	Topic/Training Focus	Audience
October– November 2012	Full-staff district- and school-based professional development sessions to introduce NBPTS Standards as the basis for yearlong professional development in observation and analysis of teaching. Includes presentation of details regarding certification and <i>Take One!</i> professional development opportunities for 2012–2013 designed to engage education leaders (principals and teachers) in learning the standards that will form the basis of the teacher evaluation and professional growth system and related PBCS measures.	TIF Schools
October 2012– June 2013	<p>Survey district TIF committees to identify topics of interest to inform development of PBCS.</p> <ul style="list-style-type: none"> <li>▪ Identify and schedule presenters to individual district committees and Steering Committee <ul style="list-style-type: none"> <li>○ University of Wisconsin—Value-Added Model</li> <li>○ Maine DOE Statewide Longitudinal Data Warehouse</li> <li>○ NBPTS Teacher/Principal Evaluation Design</li> <li>○ Cambridge Education—Tripod Survey</li> <li>○ Great Schools Partnership—iWalkthrough</li> </ul> </li>   <li>▪ Considerations when developing standards-based teacher evaluation tool <ul style="list-style-type: none"> <li>○ Unpacking the standards: Determining guiding questions and sample best practices that represent teaching standards according to NB rubric</li> </ul> </li> </ul>	District TIF committees and TIF 4 Statewide Steering Committee

Training Dates	Topic/Training Focus	Audience
Winter 2013	Principal evaluation <ul style="list-style-type: none"> <li>▪ Introduce National Board Standards for Educational Leaders</li> <li>▪ Introduce evaluation tool, including review/reflection on principal performance related to NBCEL standards and Principal Community Engagement and Leadership 360 Survey</li> <li>▪ Introduction to the Video Observation Program and observation training for district supervisors, principals, and identified peer observers</li> </ul>	TIF Principals and District Staff
Spring 2013	<ul style="list-style-type: none"> <li>▪ Presentation of professional development opportunities for 2013–2014:               <ul style="list-style-type: none"> <li>○ <i>Whole-School Take One!</i></li> <li>○ <i>Principal Take One!</i></li> <li>○ Full teacher and principal certification</li> </ul> </li> <li>▪ Continue observation training</li> <li>▪ <i>Take One!</i> cohort meetings and preparation for portfolio submissions</li> </ul>	TIF <i>Take One!</i> and NBCT Cohort Facilitators
Summer 2013	<ul style="list-style-type: none"> <li>▪ <i>Take One!</i> Cohort Facilitator Training (8/4–5, 8/11–12)</li> <li>▪ Transforming Instruction in MSFE through NBCT and <i>Take One!</i></li> <li>▪ Evidence-based teaching and the Architecture of Accomplished Teaching tools/process</li> <li>▪ Effective coaching strategies</li> <li>▪ New teacher mentor training</li> <li>▪ Using videos of instructional practice to facilitate gathering of evidence of accomplished teaching and begin to build inter-rater reliability according to Standard 3 of Professional Growth Rubric</li> </ul>	
Late August– Early September 2013	TIF 4 MSFE Fall Kick-Off Event Topics to include: <ul style="list-style-type: none"> <li>▪ District vision, mission, values               <ul style="list-style-type: none"> <li>○ Share 2013 building challenges</li> </ul> </li> </ul>	TIF Schools

Training Dates	Topic/Training Focus	Audience
	<ul style="list-style-type: none"> <li>▪ Performance system components— “Connecting the Dots” through PBCS               <ul style="list-style-type: none"> <li>○ Scorecard measures/standards</li> <li>○ Supporting Success                   <ul style="list-style-type: none"> <li>▪ Connection between <i>Take One!</i> professional development and scorecard measures</li> <li>▪ Establishment of cohorts to support <i>Take One!</i> and NB processes</li> </ul> </li> </ul> </li> <li>▪ Question/Answer Session</li> </ul> <p>Full-Staff and Principal <i>Take One!</i> professional development session—“Getting Started with Take One”:</p> <ul style="list-style-type: none"> <li>▪ Introduction of evidence-based teaching and the Architecture of Accomplished Teaching as basis for analyzing and reflecting upon teaching practice and national standards</li> <li>▪ Principals and teachers may also begin full certification programs</li> </ul>	<p>TIF <i>Take One!</i> and NBCT Cohort Facilitators and Teachers</p>
<p>October/ November 2013</p>	<p>Linking the PCBS scorecard to State Longitudinal Data System</p> <ul style="list-style-type: none"> <li>▪ Presentation of linked scorecard to DSC for feedback</li> </ul> <p>Workshop: “Using the Northwest Evaluation Association (NWEA) Assessment as a Measure of Student Growth” (Lewiston, Maine)</p> <ul style="list-style-type: none"> <li>▪ Presentation by NWEA staff on using the NWEA adaptive basic skills assessment and analyzing results to inform student learning growth and teacher effectiveness</li> </ul> <p>Ongoing facilitator support for <i>Take One!</i>/NB Certification processes</p> <p>Observation/Ongoing Training:</p> <ul style="list-style-type: none"> <li>▪ Peer Observation: Gathering and recording evidence of accomplished practice to inform</li> </ul>	<p>TIF Steering Committees</p> <p>Subgroups representing TIF DSCs; representatives from non-TIF schools in Maine</p> <p>TIF Steering Committees</p> <p>TIF <i>Take One!</i> and NBCT Cohort Facilitators</p>

Training Dates	Topic/Training Focus	Audience
	<p>Levels 3 and 4 of Standard 3 Professional Growth Rubric</p> <p>Full-Staff <i>Take One!</i> Professional Development Session— “Developing a Take One! Entry”:</p> <ul style="list-style-type: none"> <li>▪ Linking the Architecture of Accomplished Teaching to evidence of effective practice regarding knowledge of students, goal setting, planning, and instruction and reflection</li> <li>▪ Introduction to video analysis as method for observing/gathering evidence of effective practice</li> </ul> <p><i>Take One!</i> Cohort meetings in individual TIF schools:</p> <ul style="list-style-type: none"> <li>▪ Discussion and feedback on teacher/principal work related to Architecture of Accomplished Teaching</li> <li>▪ View, analyze, and provide feedback on individual videotapes of practice</li> </ul> <p>Establishing Principal Cohort to engage Principal <i>Take One!</i> Entry 1, Strategic Planning:</p> <ul style="list-style-type: none"> <li>▪ Support principals in the process of gathering evidence of effective leadership that will form the basis of the principal evaluation and professional growth system and related PBCS measures, and prepare leaders to engage in NBCEL process in 2014–15.</li> </ul>	<p>TIF <i>Take One!</i> and NBCT Cohort Facilitators and Teachers</p> <p>TIF <i>Take One!</i> and NBCT Cohort Facilitators and Teachers</p> <p>TIF Principals</p>
January 2014	<p>SFE Winter Check-in Event</p> <p>Topics to include:</p> <ul style="list-style-type: none"> <li>▪ How are we doing? <ul style="list-style-type: none"> <li>○ Building challenge status</li> <li>○ Student learning and growth <ul style="list-style-type: none"> <li>▪ Reading</li> <li>▪ Math</li> <li>▪ Language</li> </ul> </li> </ul> </li> <li>▪ Performance System Components— “Connecting the Dots” through PBCS <ul style="list-style-type: none"> <li>○ Scorecard update</li> </ul> </li> </ul>	TIF Schools

Training Dates	Topic/Training Focus	Audience
	<ul style="list-style-type: none"> <li>○ <i>Take One!</i> progress/success updates</li> <li>○ Supporting success <ul style="list-style-type: none"> <li>▪ Revisit connection between <i>Take One!</i> professional development and scorecard measures</li> <li>▪ Check-in on support measures: What else do you need?</li> </ul> </li> <li>▪ Question/Answer Session</li> </ul> <p>Presentations to individual DSC’s and Statewide Practitioner’s Group:</p> <ul style="list-style-type: none"> <li>▪ Using 360 Survey data to inform principal evaluation</li> <li>▪ Statewide Longitudinal Data System updates</li> </ul> <p>Cohort facilitator ongoing training:</p> <ul style="list-style-type: none"> <li>▪ Peer observation/self-reflection: Using videotapes as evidence of effective practice: What evidence of student learning is present in <i>Take One!</i> entry and what does the evidence say about instructional effectiveness?</li> </ul> <p><i>Take One!</i> Cohort meetings in individual TIF schools:</p> <ul style="list-style-type: none"> <li>▪ Discussion and feedback on teacher work related to Architecture of Accomplished Teaching</li> <li>▪ View, analyze, and provide feedback on individual teachers’ videotapes of practice</li> </ul> <p>Principal Cohort Check-in:</p> <ul style="list-style-type: none"> <li>▪ Peer observation/self-reflection: Choosing a case study to reflect professional growth</li> <li>▪ Using student data as evidence of effective leadership practice</li> </ul> <p>Other PD Training: “Capturing Teaching and Learning on Video: Process, Equipment and Techniques”</p> <ul style="list-style-type: none"> <li>▪ Training of videographers to support gathering of videotaped evidence of effective teaching practice</li> </ul>	<p>TIF Steering Committees and Subgroups representing DSCs</p> <p>TIF <i>Take One!</i> and NBCT Cohort Facilitators</p> <p>TIF <i>Take One!</i> and NBCT Cohort Facilitators and Teachers</p> <p>TIF Principals</p> <p>Select Staff/ Students from TIF Schools</p>

Training Dates	Topic/Training Focus	Audience
February/March 2014	<p>Presentations to individual DSC's and Statewide Practitioner's Group:</p> <ul style="list-style-type: none"> <li>▪ Professional development needs/recommendations for 2014–2015</li> </ul> <p>Cohort Facilitator ongoing training:</p> <ul style="list-style-type: none"> <li>▪ Peer observation/self-reflection: Using student data as evidence of effective practice: What measures are present in <i>Take One!</i> entry and what do they say about student learning?</li> </ul> <p>Take One! Cohort meetings in individual TIF schools:</p> <ul style="list-style-type: none"> <li>▪ Discussion and feedback on teacher work related to Architecture of Accomplished Teaching</li> <li>▪ View, analyze, and provide feedback on individual teachers' videotapes of practice</li> </ul> <p>Principal Cohort Check-in:</p> <ul style="list-style-type: none"> <li>▪ Peer observation/self-reflection: Choosing/discussion a case study to reflect professional growth</li> </ul>	<p>TIF Steering Committees and Subgroups representing DSCs</p> <p>TIF <i>Take One!</i> and NBCT Cohort Facilitators</p> <p>TIF <i>Take One!</i> and NBCT Cohort Facilitators and Teachers</p> <p>TIF Principals, District Staff</p>
April/May 2014	<p>Presentations to individual DSC's and Statewide Practitioner's Group:</p> <ul style="list-style-type: none"> <li>▪ Student Perception Surveys (Tripod 7C's): Communicating results to teachers in ways that inform reflection and professional growth</li> </ul> <p><i>Take One!</i> Cohort meetings in individual TIF schools:</p> <ul style="list-style-type: none"> <li>▪ Discussion and feedback on teacher work related to Architecture of Accomplished Teaching</li> <li>▪ View, analyze, and provide feedback on individual teachers' videotapes of practice</li> <li>▪ Final reflection and preparation of <i>Take One!</i> entries for submission</li> </ul> <p>Next steps for NBPTS professional development</p> <ul style="list-style-type: none"> <li>▪ Presentation of requirements for full National Board Certification process for teachers</li> </ul> <p>Examining Standard 3 evidence gathered through <i>Take One!</i> process:</p> <ul style="list-style-type: none"> <li>▪ How does this inform our evaluation tool?</li> <li>▪ Determining next steps for evaluation system</li> </ul>	<p>TIF Steering Committees and Subgroups representing DSCs</p> <p>TIF <i>Take One!</i> and NBCT Cohort Facilitators and Teachers</p> <p>TIF Steering Committees</p>

Training Dates	Topic/Training Focus	Audience
	<p>training and support Principal Cohort Check-in:</p> <ul style="list-style-type: none"> <li>▪ District- and school-based professional development sessions to introduce details regarding National Board Certification for Educational Leaders <i>Take One!</i>, the professional development opportunity for principals in 2012–2013 designed to engage principals in the process of gathering evidence of effective leadership that will form the basis of the principal evaluation and professional growth system and related PBCS measures.</li> </ul>	TIF Principals
June 2014	<p>SFE Spring Check-in Event Topics to include:</p> <ul style="list-style-type: none"> <li>▪ How are we doing? <ul style="list-style-type: none"> <li>○ Building challenge status</li> <li>○ Student learning and growth</li> </ul> </li> <li>▪ Performance System Components—“Connecting the Dots” through PBCS <ul style="list-style-type: none"> <li>○ Scorecard update</li> <li>○ Evaluation tool progress and next steps</li> <li>○ <i>Take One!</i> progress/success updates</li> <li>○ Supporting success <ul style="list-style-type: none"> <li>▪ Next steps for professional development <ul style="list-style-type: none"> <li>● Evaluation system</li> <li>● NBCT</li> </ul> </li> </ul> </li> </ul> </li> <li>▪ Reflection and refinement</li> <li>▪ Question/Answer Session</li> <li>▪ 2012 success stories and performance payout</li> </ul>	TIF Schools

## Other Attachment File(s)

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\* Mandatory Other Attachment Filename:

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To add more "Other Attachment" attachments, please use the attachment buttons below.



## TIF 4 Maine Schools for Excellence Program

### Part VI Other Required Attachments

Application Reference Chart  
High Need Documentation  
Memorandum of Understanding (MOU)  
Commitment Letters  
Indirect Cost Rate Agreement  
Individual Resumes for Project Staff  
List of TIF 3 Districts  
Union as Exclusive Representative

**Part 6: Other Required Attachments**

**APPLICATION REFERENCE CHART ..... 4**

**HIGH-NEED SCHOOLS DOCUMENTATION ..... 16**

**MEMORANDUM OF UNDERSTANDING ..... 17**

**LETTERS OF COMMITMENT AND UNION SUPPORT ..... 18**

**INDIRECT COST RATE AGREEMENT ..... 19**

**INDIVIDUAL RÉSUMÉS FOR KEY STAFF..... 20**

**LIST OF TIF 3 DISTRICTS .....21**

**UNION AS EXCLUSIVE REPRESENTATIVE.....22**

Please indicate your eligibility classification

Group Applicant applying for the General TIF Competition - CFDA# 84.374A

This group application is being submitted by the Maine Department of Education (Maine DOE), a State Education Agency (SEA) in partnership with the following six local education agencies (LEAS) across the state:

- RSU 16 (Rural)
- RSU 19 (Rural)
- Millinocket School Department (Town)
- Bangor School Department (City)
- MSAD 11 (Town)
- RSU 86/MSAD 20 (Rural)

Instructions: Check the eligibility classification that applies to your application.

Applications from a single entity:

In the case of a single applicant that is an LEA, check this box.

LEA

Group Applications:

Group applications involve two or more eligible entities. In the case of a group application, check the box that describes the eligibility classification of all of the applicants. Select only one box.

2 or more LEAs

One or more SEAs and one or more LEAs

One or more nonprofit organizations and one or more LEAs (no SEA)

One or more nonprofit organizations and one or more LEAs and one or more SEAs



## Application Reference Chart

Instructions
<p>Instructions: In each column of the table below, please specify where your application discusses each priority or requirement -- including each provision that applies to each priority or requirement. For information, descriptions, or assurances included in the project narrative, please complete both 1) the Title of the Section(s) or Subsection(s) and 2) the relevant Page Number(s) where this matter is discussed. Otherwise, please indicate the Attachment in which it is discussed.</p> <p>Please identify every section, page, and/or attachment in which the priority or requirement is discussed. More than one section, subsection, page, or attachment may appear in each cell.</p>

Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<p><b>Absolute Priority 1</b></p> <p><b>Absolute Priority 1: HCMS</b></p> <p>To meet this priority, the applicant must include, in its application, a description of its LEA-wide HCMS, as it exists currently and with any modifications proposed for implementation during the project period of the grant.</p>	<p>Project Design: TIF 4 Maine Schools for Excellence</p> <p>Developing Coherent and Comprehensive Human Capital Management Systems</p>	<p>Pg. 18</p> <p>Pgs. 19 - 24</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>
<p>How the HCMS is or will be aligned with the LEA's vision of instructional improvement;</p>	<p>An Act to Ensure Effective Teaching and School Leadership (<i>subsection</i>)</p>	<p>Pg. 6</p>	<p>TIF 4 MSFE - Part IV: Project Narrative</p>

	<p>Developing Coherent and Comprehensive Human Capital Management Systems</p> <p>Professional Development Systems to Support the Needs of Teachers and Principals</p>	<p>Pgs. 19 – 24</p> <p>Pgs. 33 - 36</p>	<p>Attachment Form</p>
<p>How the LEA uses or will use the information generated by the evaluation systems it describes in its application to inform key human capital decisions, such as decisions on recruitment, hiring, placement, retention, dismissal, compensation, professional development, tenure, and promotion;</p>	<p>Professional Development Systems to Support the Needs of Teachers and Principals</p> <p>Educator Salary Structure Based on Effectiveness</p>	<p>Pgs. 33 – 36</p> <p>Pgs. 37 – 39</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>
<p>The human capital strategies the LEA uses or will use to ensure that high-need schools are able to attract and retain effective educators</p>	<p>Recruitment, Hiring, and Placement (<i>subsection</i>)</p> <p>Retention and Promotion (<i>subsection</i>)</p> <p>Educator Salary Structure Based on Effectiveness</p>	<p>Pg. 22</p> <p>Pg. 23</p> <p>Pgs. 37 - 39</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>

<p>Whether or not modifications are needed to an existing HCMS to ensure that it includes the features described in response to paragraphs (1), (2), and (3) of this priority, and a timeline for implementing the described features, provided that the use of evaluation information to inform the design and delivery of professional development and the award of performance-based compensation under the applicant's proposed PBCS in high-need schools begins no later than the third year of the grant's project period in the high-need schools listed in response to paragraph (a) of <u>Requirement 3--Documentation of High-Need Schools</u>.</p>	<p>Developing Coherent and Comprehensive Human Capital Management System</p> <p>Developing Rigorous Valid and Reliable Educator Evaluation Systems</p> <p>Educator Salary Structure Based on Effectiveness</p>	<p>Pg. 19 – 24;</p> <p>Pgs. 24 - 33</p> <p>Pgs. 37 – 39</p>	
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<p>Absolute Priority 2</p>			
<p><b>Requirement or Priority</b></p> <p><b>Absolute Priority 2: Educator Evaluation Systems</b> To meet this priority, an applicant must include, as part of its application, a plan describing how it will develop and implement its proposed LEA-wide educator evaluation systems. The plan must describe-</p>	<p>Title of Section or Subsection in which this priority or requirement is discussed</p> <p>Developing Rigorous, Valid, and Reliable Educator Evaluation Systems</p>	<p>Page Number(s) on which this requirement or priority is discussed</p> <p>Pgs. 24 - 33</p>	<p>Attachment on which this priority or requirement is discussed</p> <p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>

<p>(1) The frequency of evaluations, which must be at least annually;</p>	<p>An Act to Ensure Effective Teaching and School Leadership (<i>subsection</i>) Evaluation Timeline and Processes (<i>subsection</i>)</p>	<p>Pg. 6  Pgs. 28 – 31</p>	
<p>(2) The evaluation rubric for educators that includes at least three performance levels and the following--</p>	<p>An Act to Ensure Effective Teaching and School Leadership (<i>subsection</i>) Design and Use of the Evaluation Rubric (<i>subsection</i>) Determining Summative Effectiveness Ratings</p>	<p>Pg. 6  Pg. 27  Pg. 32 - 33</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>
<p>(i) Two or more observations during each evaluation period;</p>	<p>Administrator observations and Post-Observation Conferences (<i>subsection</i>)</p>	<p>Pgs. 29 – 30</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>
<p>(ii) Student growth, which for the evaluation of teachers with regular instructional responsibilities must be growth at the classroom level; and</p>	<p>Incorporating Student Growth into Evaluations (<i>subsection</i>)</p>	<p>Pgs. 31 – 32</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>
<p>(iii) Additional factors determined by the LEA;</p>	<p>An Act to Ensure Effective Teaching and School Leadership (<i>subsection</i>) Developing Rigorous, Valid, and Reliable Educator</p>	<p>Pg. 6  Pg. 24 - 25</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>

	Evaluation Systems		
(3) How the evaluation systems will generate an overall evaluation rating that is based, in significant part, on student growth; and	Determining Summative Effectiveness Ratings ( <i>subsection</i> )	Pgs. 32 – 33	TIF 4 MSFE - Part IV: Project Narrative Attachment Form
(4) The applicant's timeline for implementing its proposed LEA-wide educator evaluation systems.	Evaluation Timeline and Process Activities Timeline ( <i>subsection</i> )	Pgs. 28 – 31  Pgs. 43 – 51	TIF 4 MSFE - Part IV: Project Narrative Attachment Form

Absolute Priority 3			
Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<b>Absolute Priority 3: STEM Plan (if applicable)</b>  To meet this priority, an applicant must include a plan in its application that describes the applicant's strategies for improving instruction in STEM subjects through various components of each participating LEA's HCMS, including its professional development, evaluation systems, and PBCS. At a minimum, the plan must describe—	N/A	N/A	N/A

<p>(1) How each LEA will develop a corps of STEM master teachers who are skilled at modeling for peer teachers pedagogical methods for teaching STEM skills and content at the appropriate grade level by providing additional compensation to teachers who —</p> <ul style="list-style-type: none"> <li>(i) Receive an overall evaluation rating of effective or higher under the evaluation system described in the application;</li> <li>(ii) Are selected based on criteria that are predictive of the ability to lead other teachers;</li> <li>(iii) Demonstrate effectiveness in one or more STEM subjects; and</li> <li>(iv) Accept STEM-focused career ladder positions;</li> </ul>	N/A	N/A	N/A
<p>(2) How each LEA will identify and develop the unique competencies that, based on evaluation information or other evidence, characterize effective STEM teachers;</p>	N/A	N/A	N/A
<p>(3) How each LEA will identify hard-to-staff STEM subjects, and use the HCMS to attract effective teachers to positions providing instruction in those subjects;</p>	N/A	N/A	N/A
<p>(4) How each LEA will leverage community support, resources, and expertise to inform the implementation of its plan;</p>	N/A	N/A	N/A

<p>(5) How each LEA will ensure that financial and nonfinancial incentives, including performance-based compensation, offered to reward or promote effective STEM teachers are adequate to attract and retain persons with strong STEM skills in high-need schools; and</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>
<p>(6) How each LEA will ensure that students have access to and participate in rigorous and engaging STEM coursework.</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>

Competitive Preference Priority 4			
Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<p><b>Competitive Preference Priority 4: New and Rural Applicants (if applicable)</b>  To meet this priority, an applicant must provide at least one of the two following assurances, which the Department accepts:</p>			
<p>(a) An assurance that each LEA to be served by the project has not previously participated in a TIF-supported project.</p>	<p>List of TIF 3 Districts</p>	<p>Pg. 21</p>	<p>TIF 4 MSFE - Part VI: Other Required Attachments</p>

(b) An assurance that each LEA to be served by the project is a rural local educational agency (as defined in the NIA).	Target Districts and Schools	Pgs. 12 – 17	TIF 4 MSFE - Part IV: Project Narrative Attachment Form
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**Competitive Preference Priority 5**

Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<p><b>Competitive Preference Priority 5: An Educator Salary Structure Based on Effectiveness (if applicable)</b></p> <p>To meet this priority, an applicant must propose, as part of its PBCS, a timeline for implementing no later than in the fifth year of the grant's project period a salary structure based on effectiveness for both teachers and principals. As part of this proposal, an applicant must describe--</p>	<p>Educator Salary Structure Based on Effectiveness</p> <p>Step 4: Launch and Implement Systems and Supports (<i>subsection</i>)</p>	<p>Pgs. 37 – 39</p> <p>Pgs. 47 – 48</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>
<p>(a) The extent to which and how each LEA will use overall evaluation ratings to determine educator salaries;</p>	<p>Educator Salary Structure Based on Effectiveness</p>	<p>Pg. 37 – 39</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>
<p>(b) How each LEA will use TIF funds to support the salary structure based on effectiveness in the</p>	<p>Sustainability</p>	<p>Pgs. 53 – 56</p>	<p>TIF 4 MSFE - Part IV: Project</p>

<p>high-need schools listed in response to Requirement 3(a); and</p>	<p>Memorandum of Understanding</p>	<p>Pg. 17</p>	<p>Narrative Attachment Form</p> <p>TIF 4 MSFE - Part VI: Other Required Attachments</p>
<p>(c) The extent to which the proposed implementation is feasible, given that implementation will depend upon stakeholder support and applicable LEA-level policies.</p>	<p>Letters of Commitment and Union Support</p>	<p>Pg. 18</p>	<p>TIF 4 MSFE - Part VI: Other Required Attachments</p>
	<p>Stakeholder Involvement and Communication Plans</p> <p>Step 1: Prepare and Engage Leadership and Stakeholders (<i>subsection</i>)</p>	<p>Pgs. 39 - 42</p> <p>Pgs. 43 – 46</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p>

<p>Requirement 1</p>			
<p>Requirement or Priority</p>	<p>Title of Section or Subsection in which this priority or requirement is discussed</p>	<p>Page Number(s) on which this requirement or priority is discussed</p>	<p>Attachment on which this priority or requirement is discussed</p>
<p><b>Requirement 1:</b> Performance-Based Compensation for Teachers, Principals, and Other</p>	<p>Educator Salary Structure</p>	<p>Pgs. 37 - 39</p>	<p>TIF 4 MSFE - Part IV: Project</p>

Personnel. In its application, an applicant must describe, for each participating LEA, how its proposed PBCS will meet the definition of a PBCS set forth in the NIA.	Based on Effectiveness		Narrative Attachment Form
Design Model 1 or 2	Educator Salary Structure Based on Effectiveness	Pg. 37	TIF 4 MSFE - Part IV: Project Narrative Attachment Form
PBCS Optional Features	Educator Salary Structure Based on Effectiveness	Pgs. 37 - 39	TIF 4 MSFE - Part IV: Project Narrative Attachment Form

<b>Requirement 2</b>			
Requirement or Priority	Title of Section or Subsection in which this priority or requirement is discussed	Page Number(s) on which this requirement or priority is discussed	Attachment on which this priority or requirement is discussed
<b>Requirement 2:</b> Involvement and Support of Teachers and Principals In its application, the applicant must include-- (a) Evidence that educators in each participating LEA have been involved, and will continue to be involved, in the development and implementation of the PBCS and evaluation	Stakeholder Involvement and Communication Plans Project Management Plan	Pgs. 39 – 42 Pgs. 42 - 53	TIF 4 MSFE - Part IV: Project Narrative Attachment Form

<p>systems described in the application;</p>	<p>(b) A description of the extent to which the applicant has educator support for the proposed PBCS and educator evaluation systems; and</p>	<p>An Act to Ensure Effective Teaching and School Leadership  Activities Timeline  (subsection)  Letters of commitment and union support</p>	<p>Pg. 6 -7  Pgs. 43 - 46  Pg. 18</p>	<p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form  TIF 4 MSFE - Part VI: Other Required Attachments</p>
<p>(c) A statement indicating whether a union is the exclusive representative of either teachers or principals in each participating LEA.</p>	<p>Letters of commitment and union support  Union as Exclusive Representative</p>	<p>Pg. 18  Pg. 22</p>	<p>TIF 4 MSFE - Part VI: Other Required Attachments  TIF 4 MSFE - Part VI: Other Required Attachments</p>	



	Attachments
<p>(b) For each high-poverty school listed, the most current data on the percentage of students who are eligible for free or reduced-price lunch subsidies under the Richard B. Russell National School Lunch Act or are considered students from low-income families based on another poverty measure that the LEA uses (see section 1113(a)(5) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6313(a)(5))). <i>[Data provided to demonstrate eligibility as a high-poverty school must be school-level data; the Department will not accept LEA- or State-level data for purposes of documenting whether a school is a high-poverty school; and</i></p>	<p>Pgs. 14 – 17</p> <p>Pg. 16</p> <p>List of Schools (<i>subsection</i>)</p> <p>High-Need Schools Documentation</p> <p>TIF 4 MSFE - Part IV: Project Narrative Attachment Form</p> <p>TIF 4 MSFE - Part VI: Other Required Attachments</p>
<p>(c) For any priority schools listed, documentation verifying that the State has received approval of a request for ESEA flexibility, and that the schools have been identified by the State as priority schools.</p>	<p>N/A</p> <p>N/A</p> <p>N/A</p>

## High-Need Schools Documentation

District Name	School Name	AYP Status	Total Students	% FRPL
RSU 16	Elm Street School	CIPS1	323	50.4%
RSU 19	Hartland Consolidated	Making AYP	170	80.3%
RSU 19	Etna/Dixmont School	Making AYP	241	57.5%
RSU 19	Somerset Valley Middle School	Making AYP	257	69.4%
Millinocket School Department	Stearns Junior-Senior High School	CIPS1	253	55.0%
Millinocket School Department	Granite Street Elementary School	CIPS1	277	66.0%
Bangor School Department	James F. Dougherty School	Monitor	409	64.0%
Bangor School Department	Downeast School	Monitor	393	92.0%
Bangor School Department	Fairmount School	CIPS1-On hold	324	66.0%
Bangor School Department	Abraham Lincoln School	Monitor	252	54.0%
Bangor School Department	Vine Street School	Monitor	273	67.0%
MSAD 11	Gardiner Regional Middle School	CIPS5	480	52.5%
MSAD 11	Laura E Richards School	CIPS1-On hold	248	56.9%
MSAD 11	River View Community School	CIPS2	186	58.6%
MSAD 11	Teresa C Hamlin Elementary School	Making AYP	120	55.0%
RSU 86/MSAD 20	Fort Fairfield Middle High School	CIPS1	288	50.0%
RSU 86/MSAD 20	Fort Fairfield Elementary School	Monitor	275	62.0%

### AYP Codes:

“Monitor” status means school was “making AYP” in 2010-11, but did not meet targets in at least one subject in the 2010-11 testing; if these schools meet targets in the current testing year, they will go back to “making AYP” status.

“Continuous Improvement Priority Schools” (CIPS) status means school has not met targets for at least two years in a row.

"CIPS on hold" status means school is poised to come off the CIPS list; these are schools that were in CIPS status last year and met all their targets this year; if they meet the targets again, then the school will be removed from the CIPS list.

**Memorandum of Understanding**

## **Teacher Incentive Fund (TIF) Memorandum of Understanding (MOU) Between Group Applicants**

This Memorandum of Understanding (MOU) is entered into by and between the following entities: The Maine Department of Education (MDOE), and the following Maine local education agencies (LEAs): Bangor School Department, RSU 11, RSU 16, RSU 19, MSAD 20 and Millinocket School Department.

These entities are applying to the U.S. Department of Education (ED) as group applicants for a grant award under the fiscal year (FY) 2012 Teacher Incentive Fund (TIF) General TIF Competition. The purpose of this MOU is to establish the framework through which, if the US Department of Education approves their application, the group applicants will collaborate and to articulate the specific roles and responsibilities of each applicant in implementing the approved TIF project.

### **I. Scope of Work**

Each group applicant agrees to participate in the proposed TIF project that is set forth in this group application for the FY 2012 TIF competition and conduct activities and carry out responsibilities as identified in that application.

The objectives of the new TIF 4 Maine Schools for Excellence program include the following:

1. Scale-up and continued use of the state's easily accessible and navigable longitudinal data system as the backbone of both the state and districts' human capital management system (HCMS). The system is a data warehouse with reporting features and functionality that will allow state, school and district administrators to use the data to plan and inform policy, programs and practice, such as key human capital decisions across all three levels **(Priority 1)**;
2. Implementation of a teacher and principal evaluation system that is anchored on NBPTS Core Propositions and Standards and based in significant part on student growth, but still allow for some flexibility for districts to account for their unique district context **(Priority 2)**;
3. Creation of an effective and efficient management and communication plan to ensure project success, **(Priority 4)**;
4. Development and sustainability of stipends and performance based compensation through labor agreements between MDOE, participating districts, and their local associations **(Priority 5)**.

The project extends existing district and state capacity and aligns with current state law (e.g., LD 1858 "An Act to Ensure Effective Teaching and School Leadership," May 2012) requiring the systems to be based on clear standards, use a four-point rating scale, and incorporate multiple measures of effectiveness, including student achievement and growth. The law also mandates that teacher and principal evaluations be conducted regularly and provide feedback that is used for professional development.

Years 1 (2012 – 13) to 4 (2015 - 16) of the TIF 4 MSFE program will focus on continuously improving the evaluation system, PBCS, and HCMS across all five participating districts. Year 5 (2016 – 17) will be focused on sustaining TIF 4 MSFE through capacity building within and across the districts.

## **II. If Funded, Each Applicant Understands That It Will Be a Grantee of the US Department of Education**

Each group applicant understands that, if the group application is funded, it will be, and assume the legal responsibilities of, a grantee.

## **III. Lead Applicant and Fiscal Agent**

The Maine Department of Education (MDOE) will serve as the lead applicant. As the lead applicant, MDOE will apply for the grant on behalf of the group and will serve as the fiscal agent for the group in the event a grant is awarded. As fiscal agent, MDOE understands that it is responsible for the receipt and distribution of all grant funds and for ensuring that the project is carried out by the group in accordance with Federal requirements.

## **IV. Use of Funds**

Each group applicant that is not the lead applicant agrees to use the funds it will receive from the lead applicant under the MOU agreement in accordance with all Federal requirements that apply to the grant, including any restrictions on the use of TIF funds set forth in the Notice Inviting Applications (NIA), provisions of the approved TIF application, and applicable provisions of the Education Department General Administrative Regulations (EDGAR), including provisions governing allowable costs in section 74.27 (applicable to non-profit organizations) and section 80.22 (applicable to SEAs and LEAs). (See 34 C.F.R.74.27 and 80.22.)

## **V. Participating LEA Responsibilities**

Each participating LEA agrees to--

- 1) Implement the human capital management system (HCMS), evaluation systems, performance-based compensation system (PBCS), and other project components described in the approved application;
- 2) Revisit and revise the local educator salary schedule as needed by Year 4 of the grant to ensure the financial sustainability of the program;
- 3) Participate, as requested, in any evaluations of this grant conducted by ED or by evaluators working at the request of the group; and
- 4) Participate, as required, in all grant related meetings. These additional responsibilities may include:
  - Identifying and sending key staff to become members of TIF 4 Steering Committee.
  - Providing necessary documents and feedback for the development and revision of tools, systems, and supports related to evaluation, the PBCS, and HCMS.

- Consistent, active participation in any identified subcommittees.
  - Supporting the TIF 4 Steering Committee and subcommittee work at the district leadership level with timely and appropriate review and approval of materials and presentations at board, union, and staff meetings.
- 5) Provide support to requisite and educator voluntary participation in grant related professional development as required. Support may include:
- Providing educator release time for planned, cohort or individual meetings.
  - Acquire classroom substitutes to provide coverage for educators to attend professional development, observe peer classrooms or any other approved professional growth or grant related opportunity.
  - Obtain district resources to cover additional or desired professional development or support for the PBCS to district non-TIF schools (schools below 50% FRM or high-performing).

#### **VI. Joint Responsibilities for Communications and Development of Timelines**

Each member of the group agrees to the following joint responsibilities--

- 1) Each member of the group will appoint a key contact person for the TIF grant.
- 2) These key contacts will maintain frequent communication to facilitate cooperation under this MOU.
- 3) These key contacts will work together to determine appropriate timelines for project updates and status and fiscal reporting throughout the whole grant project period.

#### **VII. Working Relationship among Group Members**

As the lead applicant, MDOE agrees to facilitate open and regular communication among all parties and agrees to manage the logistics and convening of applicants for meetings as needed. MDOE and LEAs agree to engage as active and responsive participants in the program, during meetings, over e-mail, and as specific feedback is requested.

If an individual representing one of the partnering entities named above does not uphold his or her responsibilities to the TIF 4 steering committee or a subcommittee, the group will inform the individual of the breach(es) in conduct. If the behavior or non-responsiveness continues, the TIF 4 steering committee can request a replacement representative from that entity and the entity.

If a partnering or contracted entity does not fulfill its responsibilities, the other partner entities will inform the contact person from that entity of the specific issues with an accompanying plan for remediation. If the entity does not address the areas outlined by the plan, the group can, with a majority vote from the TIF 4 steering committee and approval from the US Department of Education, amend the approved application and replace the entity in question.

#### **VIII. Assurances**

Each member of the group hereby assures and represents that it:

- 1) Agrees to be bound to every statement and assurance made by the lead applicant in the

application;

- 2) Has all requisite power and authority to execute this MOU;
- 3) Is familiar with the group's TIF application and is committed to working collaboratively to meet the responsibilities specified in this MOU in order to ensure the TIF project's success;
- 4) Will comply with all the terms of the Grant and all applicable Federal and State laws and regulations, including laws and regulations applicable to the Program, and the applicable provisions of EDGAR.

#### **IX. Modifications**

- (1) Consistent with the group's responsibility to implement the approved TIF application, this MOU may be amended only by written agreement signed by each of the group members. Modifications of this MOU do not relieve members of the group from implementing the content of the approved TIF application; therefore any modification that would require a change in the approved application must be approved by the US Department of Education
- (2) Moreover, in no case will a modification of this MOU relieve any member of the group of its responsibility to ensure that the MOU details the activities that each member of the group is to perform, or release any member of the group from every statement and assurance made by the group applicant in the application. See section 75.128(b) of EDGAR (34 C.F.R. 75.128(b)).

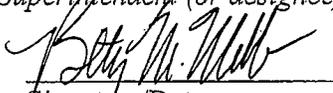
#### **X. Effective Date/Duration/Termination**

This MOU shall take effect upon the lead applicant's receipt of a notice of grant award of TIF funds from the US Department of Education.

This MOU shall be effective beginning with the date of the last signature hereon, and, if a TIF grant is received, ending upon the expiration of the grant project period. Because any award of TIF funds by ED to support the group application is contingent upon the execution of this MOU by each party to the group application, the members of the group also agree that they will not terminate this MOU prior to the end of the grant project period without ED approval.

**XI. Signatures**

*LEA Superintendent (or designee) -- required*

 7/23/12

Signature/Date

(b)(6)

Print Name/Title/Name of LEA

Bangor School Dept.

*SEA Chief State School Officer (or equivalent authorized signatory) -- required*

(b)(6) 7/23/12

Signature/Date

Print Name/Title/Name of SEA

**XI. Signatures**

*LEA Superintendent (or designee) -- required*

*Hinda Mackenzie 7-23-2012*  
Signature/Date

(b)(6), Principal of Stearns Jr. Sr. High School  
Print Name/Title/Name of LEA Millinocket School System.

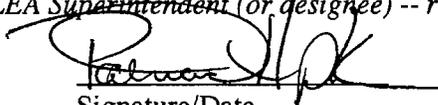
*SEA Chief State School Officer (or equivalent authorized signatory) -- required*

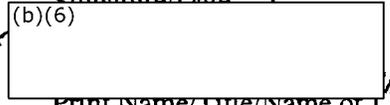
(b)(6) 7/13/12  
Signature/Date

\_\_\_\_\_  
Print Name/Title/Name of SEA

**XI. Signatures**

*LEA Superintendent (or designee) -- required*

 7/23/12  
Signature/Date

(b)(6)  


Superintendent, MSAD #11

Print Name/Title/Name of LEA

*SEA Chief State School Officer (or equivalent authorized signatory) -- required*

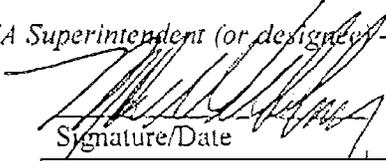
 7/23/12  
Signature/Date

\_\_\_\_\_  
Print Name/Title/Name of SEA

624-6601

**XI. Signatures**

*LEA Superintendent (or designee) -- required*

  
Signature/Date

(b)(6)

Print Name/Title/Name of LEA

7-23-12 RSU #16

*SEA Chief State School Officer (or equivalent authorized signatory) -- required*

(b)(6) 

Signature/Date

Print Name/Title/Name of SEA



**XI. Signatures**

*LEA Superintendent (or designee) -- required*

Marc Germain 7/23/2012  
Signature/Date

MARC GERMAIN / SUPERINTENDENT / MSAD 20  
Print Name/Title/Name of LEA

*SEA Chief State School Officer (or equivalent authorized signatory) -- required*

(b)(6) 7/23/12  
Signature/Date

\_\_\_\_\_  
Print Name/Title/Name of SEA

### **Letters of Commitment and Union Support**

The following section includes letters of commitment and letters of union support from each of the six TIF 4 Maine Schools for Excellence districts. Please find the letters from districts and their union partners in the following order:

- RSU 16
- RSU 19
- Millinocket School Department
- Bangor School Department
- MSAD 11
- RSU 86/MSAD 20

## RSU 16

# RSU #16



MICHAEL WILHELM, Ed.D  
SUPERINTENDENT

REGIONAL SCHOOL UNIT #16  
MECHANIC FALLS \* MINOT \* POLAND

July 12, 2012

Scott Harrison, Project Director  
Maine Schools for Excellence  
Maine Department of Education  
23 State House Station  
Augusta, Maine 04333-0023

Dear Mr. Harrison,

RSU #16 is applying for the 2012 Teacher Incentive Fund 4 grant opportunity. Our district provides an education for 1685 students in the towns of Minot, Mechanic Falls and Poland, Maine. We have three elementary schools, a middle school and high school. As of June 2012, the Elm Street School in Mechanic Falls had a free and reduced lunch percentage of 54.06%. The Elm Street School is also a CIPS school. We believe that the Bruce M. Whittier Middle School will have over 50% receiving free and reduced lunch in the fall, as its percentage now stands at 49.25 %.

Our RSU consolidated from a Union of 3 towns in 2009 and has been coming to terms with creating common evaluation and compensation systems over the last 3 years. A year and a half long negotiation with the teachers ended with a two year contract this spring that created one salary scale for elementary teachers and left the current high school compensation plan intact. Poland Regional High School has a performance pay plan. Teachers receive salary increases only if they complete a professional growth plan – there are no step increases or salary adjustments based on degree status or course work. Because the high school staff is so heavily invested in this, the negotiators agreed to keep this system in place and created a study committee to develop a compensation system over the next two years to merge the elementary and secondary systems into one.

Similarly, the RSU #16 School Board and the Teachers Association recognized the need to have a common evaluation system and has created a study committee to develop one that will incorporate the elements of the 4 systems in place when the three towns and high school each had its own. It also understands the need to incorporate the guidelines that the State will soon expect from Maine school systems.

Consequently, RSU #16 is particularly well poised to participate in the TIF program. The RSU #16 School Board and the teachers have already agreed to develop new evaluation and compensation systems. Both recognize the magnitude of these efforts and the need for outside resources.

It has the benefit of a performance-based model at the high school that has existed for 12 years, which has the support of staff and administration and will have a positive and strong voice at the table. It is also an existing model that can be shared with other school systems in the grant collaborative.

The District has set the foundation to begin creating a compensation system that embraces student performance, professional development and teacher effectiveness. It believes these elements are interconnected and reinforce one another. It will begin a strategic planning process this fall that will determine system goals for student performance, learning opportunities and the professional growth of its personnel. It couldn't ask for a more opportune time to engage in the processes and study that this TIF grant offers to meet its stated needs.

Thank you for your time and consideration. If further information is needed, please do not hesitate to contact me at 207-998-2727 ext. #108.

Sincerely,

(b)(6)

Michael Wilhelm, Ed.D.

# RSU #16



MICHAEL WILHELM, Ed.D  
SUPERINTENDENT

REGIONAL SCHOOL UNIT #16  
MECHANIC FALLS \* MINOT \* POLAND

July 12, 2012

Scott Harrison, Project Director  
Maine Schools for Excellence  
Maine Department of Education  
23 State House Station  
Augusta, Maine 04333-0023

Dear Mr. Harrison,

The RSU #16 Education Association representing the teacher unit supports RSU #16's application for a 2012 Teacher Incentive Fund grant to re-conceptualize teacher evaluation and professional development to improve student performance and reward effectiveness. The grant would support our current negotiated commitments to build new evaluation and compensation systems, and would help us build a more focused professional development plan.

We hope you will seriously consider this application.

Sincerely,

(b)(6)

Co-President  
RSU #16 Education Association

## RSU #16



REGIONAL SCHOOL UNIT #16  
MECHANIC FALLS • MINOT • POLAND

MICHAEL WILHELM, Ed.D  
SUPERINTENDENT

July 20, 2012

Scott Harrison, Project Director  
Maine Schools for Excellence  
Maine Department of Education  
23 State House Station  
Augusta, Maine 04333-0023

Dear Mr. Harrison,

Please know that RSU #16 representing the towns of Poland, Mechanic Falls and Minot will anchor the teacher and principal evaluation system it creates through the TIF4 opportunity to a common set of standards and rubrics of the National Board of Professional Teaching Standards... We recognize the districts fiscal liability for implementing for implementing the professional development associated in those schools with less than 50% free and reduced lunch.

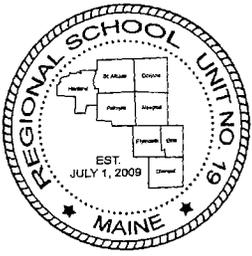
The three towns of Poland, Mechanic Falls and Minot send 1,697 students to our three elementary schools, middle and high school. The communities can be described as mostly rural. The high school has 476 students, our middle school, 261 and our largest elementary school in Poland, 446 students. Elm Street School in Mechanic Falls is a CIPS school, having not met AYP for two years in reading. An aggressive staff development program this last year has seen the school meet AYP. The District has a budget of \$18,506,428 for FY '13. We have seen our graduation rate increase to a high of 90% in 2011 and our rate of graduates going on to post- secondary school increase by 20% in recent years.

Sincerely,

(b)(6)

Michael Wilhelm, Ed.D.

## **RSU 19**



**REGIONAL SCHOOL UNIT 19**  
*Corinna Dixmont Etna Hartland*  
*Newport Palmyra Plymouth St. Albans*

PO Box 40 (182 Moosehead Trail)  
Newport, ME 04953-0040

Telephone (207) 368-5091  
Fax (207) 368-2192

**Mr. Gregory G. Potter**  
Superintendent of Schools

**Dr. Janet J. Morse**  
Asst. Supt. /Dir. of Instruct. Improvement

July 17, 2012

Mr. Scott Harrison  
Project Coordinator, Maine Schools for Excellence  
Maine Department of Education  
Augusta, Maine

Dear Mr. Harrison:

Please accept this letter in support of RSU 19's application for participation in the Teacher Incentive Fund (TIF) 4 Grant / Pilot Program. If selected, the RSU agrees to the following:

1. To "anchor" teacher and principal evaluation and professional development systems in a common set of standards. As a minimum, National Board Standards will be included in said systems.
2. That should the district formally involve additional schools in the performance-based components of the grant, beyond those school approved with the application, the district will be fiscally liable for said inclusions.

RSU 19 is a "rural" Maine school district, with significant fiscal challenges due to the demographics and current economic conditions. All towns are "high receiver" towns with respect to EPS funding. All schools exceed the 50% free/reduced threshold, with schools ranging from 55% to 80%. The district services approximately 2400 students from grades PK to 12. High poverty rates contribute to difficulties with student aspirations and success rates in terms of performance. Despite these significant challenges, the RSU's Administrative Team, Instructional and Support Staffs, School Board and the community "at large" maintain a high degree of positivism and possess the "mindset" that all kids can learn at high levels.

Mr. Harrison, it is my sincere hope that the Application Review Committee will seriously consider allowing RSU 19 to participate in this important project. We would like three (3) of our schools (Etna/Dixmont, Hartland Elementary and Somerset Middle) to participate fully in the pilot. Our five remaining schools will benefit from many aspects of this work; however will not be formally included in the PBCS and required TakeOne! components. They will be involved with piloting our new TEPG and PEPG systems and with the district funded/supported "Steering Committee."

Respectfully Submitted,  
*Gregory G. Potter*  
Mr. Gregory G. Potter  
Superintendent of Schools, RSU 19

RSU 19 TIF 4 Application Data	School Name	This school will participate in <b>ALL</b> aspects of TIF4	Total # students	% Free / Reduced Lunch	Total # staff (including teachers, principal, and all other staff)	# Teachers <sup>1</sup>	# Principals <sup>2</sup>	# NBCT's
1	Corinna Elementary	NO	156	67.2%	26	14	1	0
2	Newport Elementary	NO	317	60.3%	51	26	1	1
3	Hartland Consolidated	YES	170	80.3%	27	10	1	0
4	St. Albans Consolidated School	NO	126	68.1%	19	9	1	0
5	Etna/Dixmont School	YES	241	57.5%	38	25	1	0
6	Sebasticook Valley Middle School	NO	334	64%	42	23	2	0
7	Somerset Valley Middle School	YES	257	69.4%	43	20	2	0
8	Nokomis Regional High	NO	725	55.3%	104	54	2	0

7/17/2012

RSU 19 Superintendent of Schools  
Greg Potter  
PO Box 40  
Newport, ME 04953

Dear Greg,

This letter is written in support of RSU 19's application for a Teacher Incentive Fund Grant sponsored by the United States Department of Education. The members of the Association are willing to work with the School Board and School Administration in developing a collaboratively designed and sustainable performance based compensation system (PBCS) that will be ratified by the parties, and that will enhance and improve student outcomes and produce other positive outcomes that may be derived from the participation in the TIF Grant requirements.

It is understood that the Maine Legislature has adopted LD 1858, An Act To Ensure Effective Teaching and School Leadership, and that the district, along with all others in the state, will be required to develop and fully implement a new teacher evaluation model by the 2015-16 school year. The Association expects that should the district receive a TIF grant, every attempt will be made by the parties to create an evaluation model that meets both the grant criteria and the requirements of Maine law so as not to duplicate work.

It is also understood that the association and the district will enter into a memorandum of agreement that will govern the work to be done in connection with the grant and the ultimate development of an evaluation model that makes use of student performance data and is incorporated into the collective bargaining agreement.

Officially

Wayne Prescott  
RSU 19 EA - President

**Millinocket School Department (Town)**



## Millinocket School Department

199 State Street

P.O. Box 30

Millinocket, Maine 04462

Dr. Kenneth Smith, Superintendent of Schools

Phone: (207) 723-6400

Fax: (207) 447-6599

ksmith@emmm.org

July 16, 2012

Scott Harrison  
Coordinator  
TIF 4 grant

Dear Mr. Harrison:

The Millinocket School Department is interested in applying for the TIF 4 grant for implementing a sustainable performance-based compensation system. We have begun our quest for performance based work by negotiating a new section as noted below:

“The Association agrees to work with administration to create and implement a Professional Compensation System to satisfy Public Law, Chapter 635, LD 1858, 125<sup>th</sup> Maine State Legislature: An Act To Ensure Effective Teaching and School Leadership.”

1. Overall student demographics of the district: *As of June 15, 2012, we had 53% of our school department qualified for free meals and 7% qualified for reduced meals.*
2. The current state of development and/or implementation of performance evaluation, compensation and human capital management systems in the district: *I developed an outline for a Millinocket School Department Professional Compensation System (please see attachment below) which was received by the teacher union and subsequently resulted in an agreement to include the phrase above in the new teacher agreement.*

### OUTLINE FOR A MILLINOCKET SCHOOL DEPARTMENT PROFESSIONAL COMPENSATION SYSTEM

**Goals:** To provide a professional compensation system based upon measurable performance components that will promote teacher effectiveness, professional growth, professional investment in the school system and accountability to students.

Compensation components will be drawn from a composite of the recently enacted “Act To Ensure Effective Teaching and School Leadership”; local assessment tools for measuring student improvement; input from parents/legal guardians (and when appropriate, students); teacher involvement in curriculum development activities; and meaningful professional growth related to the teacher’s discipline/subject.

**Rationale:** The “Act to Ensure Effective Teaching” will require each school administrative unit to develop and implement a performance evaluation and professional

growth system for educators. The current statute requires local units to incorporate multiple measures of teacher effectiveness, including but not limited to student learning and growth. The law requires a rating scale consisting of four levels of effectiveness. The Department of Education is required to develop criteria and standards for a developing a performance evaluation plan. In the 2013-14 schools year, schools are required to develop a system that complies with the Act. In school year 2014-15, schools are required to implement the evaluation system as a pilot program, in school year 2015-16, schools must fully implement the system. However, a school unit may implement the plan earlier. It therefore makes sense to develop a professional compensation system that complies with the Act.

In addition to measuring "teacher effectiveness," this system recognizes that there are other measures of performance that contribute to a successful school. Accordingly, input from parents/legal guardians, (and when appropriate based upon age, students) regarding their learning experience and interaction with the teacher/classroom should also be a recognized component for compensation purposes. The Board and the Association shall develop a parent/student survey to gather input about their teachers. The survey could include as assessment of teacher preparation, effectiveness, homework, availability to parents etc. The Board and the Association will need to consider how the survey will be distributed and assessed, whether the survey will be anonymous, safeguards to filter out responses generated by personal animus or factors unrelated to classroom performance and student/parent interaction.

Improvement in student growth using local assessment tools to measure progress over the school year should also be a component for compensation purposes. This could include state standardized tests, local assessments and/or portfolios of student work. The purpose will be to measure aggregate student growth over the school year. Teacher involvement in uncompensated professional activities outside the classroom that contribute to the school community and the success of the school should be a component for compensation purposes. The Association and the Board can develop a list of activities which contribute to the core educational mission of the school unit and develop a means to measure and/or compare involvement. Examples may include curriculum development, accreditation, work on the new evaluation system, professional development committee and the like.

Finally, professional growth which is directly contributes to classroom and is related to becoming a proficient teacher should also be recognized as a component for compensation. Professional growth can take a myriad of forms including participation in workshops, college courses, mentoring fellow teachers, or introducing new learning to other teachers.

#### Compensation Matrix:

Each of the compensation components shall be rated 1 though 4. Each year teachers shall be assessed on each of the components. Compensation increases will be associated with aggregate grading ranges.

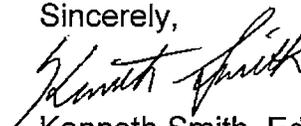
As an example:

	LOW 1	2	3	HIGH 4	SCORE
EFFECTIVENESS RATING			✓		3
PARENT/STUDENT INPUT			✓		3
STUDENT GROWTH		✓			2
TEACHER INVOLVEMENT	✓				1
PROFESSIONAL GROWTH				✓	4

13

<u>SCORE</u>	<u>COMPENSATION</u>
5 – 10	\$500
11 – 14	\$1000
15 – 19	\$1500
20	\$2000

3. We are a rural community with significant labor experience with the former primary employer for our region being the owner of the largest paper mills in the world. The shift to a new economy in a labor oriented community will provide the backdrop to a new age of thinking.
4. The school department hopes to accomplish its goals by working with others in a research based approach in developing and implementing a performance based system.
5. Our elementary school was a CIPS school and they made a remarkable change around. The middle school was designated a CIPS school.
6. Please see the local teachers union co-president's letter of support.

Sincerely,  
  
 Kenneth Smith, EdD  
 Superintendent of Schools



# STEARNS HIGH SCHOOL

199 State Street  
Millinocket, Maine 04462

Phone: (207) 723-6430  
Fax: (207) 723-6437  
[www.millinocketschools.org](http://www.millinocketschools.org)

July 16, 2012

To Whom It May Concern:

The Millinocket Education Association agrees to work with the Superintendent of Schools on development and/or implementation of performance-based evaluation and compensation.

Sincerely,

(b)(6)

Matthew Waite, Co-President  
Millinocket Education Association



# Millinocket School Department

199 State Street

P.O. Box 30

Millinocket, Maine 04462

Dr. Kenneth Smith, Superintendent of Schools

Phone: (207) 723-6400

Fax: (207) 447-6599

ksmith@emmm.org

July 17, 2012

To Whom It May Concern:

This letter is confirmation that I agree to anchor the teacher and principal evaluation system within the Millinocket School Department to a common set of standards, i.e., the National Board standards and rubrics for teachers and principals.

Sincerely,

Dr. Kenneth Smith  
Superintendent of Schools



## Millinocket School Department

199 State Street

P.O. Box 30

Millinocket, Maine 04462

Dr. Kenneth Smith, Superintendent of Schools

Phone: (207) 723-6400

Fax: (207) 447-6599

ksmith@emmm.org

July 17, 2012

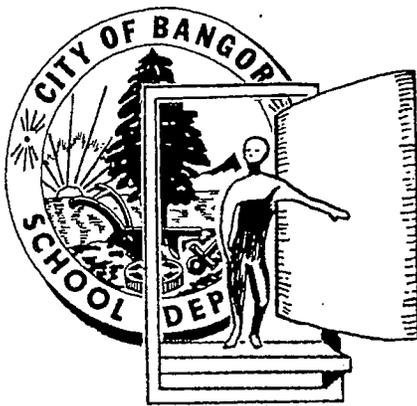
To Whom It May Concern:

This letter is confirmation that I recognize the Millinocket School Department's fiscal liability for implementing PBCS and related professional development in non-high needs schools.

Sincerely,

Dr. Kenneth Smith  
Superintendent of Schools

**Bangor School Department (City)**



# BANGOR SCHOOL DEPARTMENT

73 Harlow Street - Bangor, Maine 04401

[www.bangorschools.net](http://www.bangorschools.net)

Betsy M. Webb Ed.D.  
Superintendent of Schools

207-992-4150  
Fax: 207-992-4163

Alan F. Kochis  
Director of Business Services

207-992-4160  
Fax: 207-992-4163

July 17, 2012

Mr. Scott Harrison  
Maine Department of Education  
Maine Schools for Excellence Project Director  
23 State House Station  
Augusta, ME 04333-0023

Dear Mr. Harrison:

I am submitting this letter to confirm the Bangor School Department's interest in participating in the TIF 4 grant application with the Department of Education. Further,

- I confirm Bangor agrees to anchor the teacher and principal evaluation system to a common set of standards, i.e., the National Board standards and rubrics for teachers and principals.
- I confirm that Bangor recognizes our fiscal liability for implementing PBCS and related professional development in non-high needs schools (i.e., those with <50% FRPL), i.e., if we choose to include them in the system.
- A description of our school system –

Located in Central Maine, this high-performing, comprehensive public school system serves approximately 3,800 students in grades PreK through Grade 12. The City of Bangor has ten schools including five PreK-3 schools, two Grade 4 and 5 schools, two middle schools, and one high school. The Bangor School Department (BSD) has a long-standing tradition of academic excellence and by many measures is considered among the best school systems in the State of Maine and across the nation. Some of BSD's accomplishments include: National Blue Ribbon Schools of Excellence, Standards and Poor's Outperformer Award, Newsweek's Top High School Award, Parents' Choice Award, Sports Illustrated Top 50 and Best in the State Award, and State of Maine High Performing and Efficient Schools Rating.

Bangor is hopeful about this opportunity and is committed to a successful partnership.

Sincerely,

Betsy M. Webb, Ed.D.  
Superintendent of Schools

School Name	This school will participate in ALL aspects of TIF4 (e.g., PBCS, Professional Development (TO!)), Teacher/ Principal Evaluation? (Yes/No)	Total # students	% Free / Reduced Lunch	Total # staff (including teachers, principal, and all other staff)	# Teachers	Principals	NBCT's
Bangor High School	Yes	1260	38%	157	97	4	1
James F. Doughty School	Yes	409	64%	56	37	2	0
William S. Cohen School	Yes	412	38%	63	37	2	1
Downeast School	Yes	393	92%	50	30	1	0
Fairmount School	Yes	324	66%	48	28	1	1
Fruit Street School	Yes	367	38%	39	24	1	2
Fourteenth Street School	Yes	166	37%	28	13	1	0
Abraham Lincoln School	Yes	252	54%	38	20	1	0
Mary Snow School	Yes	279	41%	38	21	1	0
Vine Street School	Yes	273	67%	45	25	1	0

1 Teacher means "any person who meets the definition of that term under state or local law"

2 Principal means "any person who meets the definition of that term under State or local law. At an LEA's discretion, it may also include an assistant or vice principal or a person in a position that contributes to the organizational management or instructional leadership of a school."

The following is Bangor School Department demographic data taken from Infinite Campus on June 13, 2012, and based on the number of students enrolled during the school year 2011-2012.

	Males	Females	Total	ADA	FRL	SPED	LEP	Hispanic	Native American	Asian	Black	Pacific Islander	Caucasian
District	2122	2013	4135	94%	51%	18%	2%	2%	2%	2%	3%	<1%	89%
PK	98	108	206	95%	57%	NI	2%	2%	1%	1%	3%	<1%	85%
K	175	160	335	95%	64%	18%	2%	3%	2%	1%	4%	<1%	87%
1	167	173	340	95%	66%	22%	1%	3%	1%	3%	3%	0%	88%
2	177	135	312	95%	61%	25%	2%	1%	3%	2%	4%	0%	87%
3	127	131	258	96%	53%	18%	1%	3%	1%	1%	3%	0%	89%
4	153	149	302	95%	58%	28%	1%	2%	2%	3%	3%	0%	90%
5	155	146	301	95%	52%	21%	3%	2%	1%	2%	5%	0%	89%
6	135	131	266	94%	53%	21%	2%	2%	1%	3%	3%	<1%	91%
7	140	127	267	94%	51%	22%	1%	2%	2%	2%	4%	0%	89%
8	153	135	288	93%	50%	19%	3%	1%	1%	1%	3%	0%	91%
9	160	135	295	94%	41%	17%	1%	2%	3%	2%	1%	0%	91%
10	163	172	335	93%	44%	18%	2%	2%	2%	3%	4%	0%	89%
11	164	169	333	93%	37%	12%	2%	1%	3%	3%	3%	0%	88%
12	155	142	297	91%	31%	9%	2%	3%	1%	3%	3%	0%	90%

Below is a listing of the schools with 50% or more students receiving Free & Reduced Lunch services.

	Males	Females	Total	ADA	FRL	SPED	LEP	Hispanic	Native American	Asian	Black	Pacific Islander	Caucasian
Abraham Lincoln (Gr. PK-3)	117	135	252	95%	54%	20%	2%	2%	3%	2%	1%	1%	87%
Downeast School (Gr. PK-3)	208	185	393	95%	92%	19%	2%	22%	1%	1%	4%	1%	87%
Vine St. School (Gr. PK-3)	150	123	273	96%	67%	24%	1%	3%	2%	0%	5%	0%	88%
Fairmount School (Gr. 4/5)	171	153	324	95%	66%	23%	1%	1%	2%	1%	4%	0%	90%
James F. Doughty School (Gr. 6-8)	214	195	409	93%	64%	19%	2%	1%	2%	1%	4%	0%	90%

July 11, 2012

Mr. Scott Harrison  
Maine Department of Education  
Maine Schools for Excellence Project Director  
Scott.Harrison@maine.gov  
592-0223

Dear Mr. Harrison:

I am writing this letter to inform you that the Bangor Education Association is interested in a partnership with the Bangor School Department, the Maine Department of Education and the American Institutes for Research in the TIF 4 program. The BEA has been a supporter of teacher evaluation reform that works in the best interest of the children in our classrooms and that promotes constant improvement in practice among our members and those represented under the collective bargaining agreement. Members of the BEA have been serving on the teacher evaluation committee that is already meeting within the Bangor schools. We have also been long standing supporters of the National Board of Professional Teaching Standards and we embrace the concept of bringing those standards into regular teacher evaluation and supervision.

The Bangor Education Association looks forward to working with all of the partners in this project and we endorse the application submitted by Superintendent Betsy Webb. If you have any further questions, please do not hesitate to contact me at 217-7413 or by email at [aleach@bangorschools.net](mailto:aleach@bangorschools.net). Thank you for your time and consideration.

Sincerely,

Adam Leach, Ed.D.  
Bangor Education Association President

**MSAD 11(RSU 11)**

# Maine School Administrative District #11

150 Highland Ave.  
 Gardiner, ME 04345  
 Phone: 207-582-5346  
 Fax: 207-582-8305  
 msad11.org

Patricia Hopkins  
 Superintendent

Howard Tuttle  
 Director of Curriculum

July 16, 2012

Mr. Scott Harrison  
 Maine Schools for Excellence Project Director  
 Maine Department of Education  
 23 State House Station  
 Augusta, ME 04333

Dear Mr. Harrison:

Please find below the information you requested in order to complete the TIF 4 application. We are still very interested in participating in the TIF 4 program.

## Description of MSAD 11

MSAD 11 is a school district consisting of four adjoining towns that surround the Kennebec River in central Maine. MSAD 11 has five small elementary schools, one middle school, and one high school. Our high school accepts many tuition students from surrounding towns. Approximately 2150 students in grades PK through 12 attend our school system. Our Adult Education program is very popular for area students to obtain their GED. Approximately 50% of our students take free or reduced lunch district-wide. MSAD 11 has one of the lowest per pupil funding rates in the state of Maine. However, our test scores and graduation rates are at or above the state average. See the table below for more information about the MSAD 11 school system.

School Name	Grades	Year	Yes	644	41	60	46	3	0
Gardiner Area High School	9-12	2011-12	Yes	644	41	60	46	3	0
Gardiner Regional Middle School	6-8	2011-12	Yes	480	52.5	50	40	2	0
Helen Thompson School	PK-5	2011-12	Yes	287	41.1	28	19	1	0
Laura E Richards School	PK-2	2011-12	Yes	248	56.9	29	19	1	0
Pittston Consolidated School	K-5	2011-12	Yes	182	40.1	20	12	1	0
River View Community School	3-5	2011-12	Yes	186	58.6	23	13	1	0
Teresa C Hamlin Elem School	PK-5	2011-12	Yes	120	55	14	8	1	0

**Union Support for this Initiative**

A separate letter of support from the MSAD 11 Teacher’s Association has been provided.

**Anchoring Teacher and Principal Evaluation Systems to a Common Set of Standards**

We agree to anchor our teaching and principal evaluation systems to a common set of standards. Our current system is anchored to a common set of standards. We are willing to refine and adapt to a different set of standards as appropriate.

**Fiscal Liability for Implementing PBCS and related professional development in non-high needs schools**

We understand that we will be responsible for funding the PBCS system and any related professional development in our non-high needs schools should we choose to include these schools in the system. We also understand that four of our seven schools are currently defined as high needs.

Please let me know if you need any more information in order to complete the application.

Sincerely,

(b)(6)



Howard Tuttle, Director of Curriculum

## Maine School Administrative District #11

150 Highland Avenue  
 Gardiner, ME 04345  
 Phone: 207-582-5346  
 Fax: 207-582-8305  
 msad11.org

Patricia Hopkins  
 Superintendent

Howard Tuttle  
 Director of Curriculum

July 12, 2012

Mr. Scott Harrison  
 Maine Schools for Excellence Project Director  
 Maine Department of Education  
 23 State House Station  
 Augusta, ME 04333

Dear Mr. Harrison:

Maine School Administrative District 11 is interested in participating in the Maine Teacher Incentive Fund 4 grant opportunity. MSAD 11 has been working diligently to improve our district-wide teacher and administrator evaluation system over the last two years. Our district has adopted Maine's Ten Teacher Certification Standards and accompanying performance indicators as the core of our evaluation system. We strictly adhere to district established evaluation timelines, which include annually evaluating probationary staff and evaluating continuing contract staff as part of a three-year process. In addition, we provide ongoing professional development and calibration opportunities for administrators and teachers aligned to these standards. It is our belief the evaluation process should be used to help improve teaching/educational practices, recognize successes, and support professional growth to ensure optimal learning for all. Consequently, we are committed to our evaluations being ongoing, meaningful, self-directed, and an integral part of the teaching/learning process.

### Our Demographics

MSAD 11 has 2,147 students in grades PK-12. Approximately seventy-five percent of our students graduate in four years from Gardiner Area High School. Our poverty rate based on our free and reduced lunch counts can be seen in the table below. The four schools highlighted in yellow are our high needs schools, as the percent of eligible students is over fifty percent.

School Name	Grades	School Year	Total Enrollment	Number Eligible for Free/ Reduced Lunch	Percent Eligible for Free/ Reduced Lunch
Gardiner Area High School	9-12	2011-12	644	264	41.0
Gardiner Regional Middle School	6-8	2011-12	480	252	52.5
Helen Thompson School	PK-5	2011-12	287	118	41.1
Laura E Richards School	PK-2	2011-12	248	141	56.9
Pittston Consolidated School	K-5	2011-12	182	73	40.1
River View Community School	3-5	2011-12	186	109	58.6
Teresa C Hamlin Elem School	PK-5	2011-12	120	66	55.0

**Our Strengths**

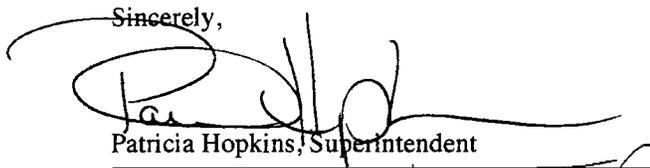
MSAD 11 has been using student achievement data extensively to provide opportunities for feedback and reflection amongst teachers and administrators as part of our supervision/evaluation system as well as our school improvement efforts. We regularly use data from our comprehensive collection of common assessments, the NWEA MAP test, and the NECAP. All our student achievement data has been stored in a data warehouse called Pearson Inform for over five years. This system provides a wealth of information about teacher and school performance and is accessed regularly by teachers and administrators in order to be reflective about their practice. MSAD #11 educators have a high degree of comfort and knowledge in using student achievement data effectively and meaningfully. We have two schools that have been recognized for their notable growth over the last four years. We attribute much of this growth to the consistent, committed use of student achievement data. For these reasons, MSAD 11 will be an excellent partner to have as part of the Teacher Incentive Fund 4 program.

**Our Hopes**

We would like to participate in the Teacher Incentive Fund 4 grant program because we feel our involvement will continue to move MSAD 11 forward and improve the academic achievement of all students. We are excited about the professional development opportunities associated with the National Board for Professional Teaching Standards. We believe our next step should be towards teacher and administrator evaluation systems that incorporate student growth measures in a more significant way.

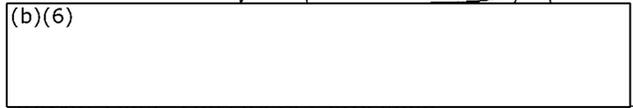
We appreciate your consideration of our application.

Sincerely,



Patricia Hopkins, Superintendent

(b)(6)



Howard Farris, Director of Curriculum

# Maine School Administrative District #11

150 Highland Ave.  
Gardiner, ME 04345  
Phone: 207-582-5346  
Fax: 207-582-8305  
msad11.org

Patricia Hopkins  
Superintendent

Howard Tuttle  
Director of Curriculum

July 12, 2012

Mr. Scott Harrison  
Maine Schools for Excellence Project Director  
Maine Department of Education  
23 State House Station  
Augusta, ME 04333

RE: *MSAD 11 Teacher Association Support for Teacher Incentive Fund 4 Program*

Dear Mr. Harrison:

The Maine School Administrative District # 11 Teachers Association supports the work associated with the Teacher Incentive Fund 4 program. Should MSAD #11 be selected for the program, the Teachers Association will work collaboratively and participate as equal partners for guaranteed project success. We support MSAD 11's participation in the Teacher Incentive Fund 4 program.

We understand the following about the Teachers Incentive Fund 4 program:

- Financial support is provided to develop and implement sustainable performance-based compensation systems for teachers, principals and other personnel in high-need schools in order to increase educator effectiveness and student achievement.
- Creation of strong district-wide teacher and principal evaluation systems that incorporate student growth measures.
- A five-year commitment to the TIF program.
- Joint design and implementation (with other districts and the Department) of a performance evaluation system for teachers and principals that is anchored on the National Board's Core Propositions and standards for accomplished teaching and leading.
- Professional Development and training grounded in the National Board's Core Propositions.
- Implementation of a performance-based compensation system in some or all of the district's high-need schools.
- Demonstrated educator support of and participation in the development and implementation of the TIF program.

We look forward to working on this project together.

Sincerely,

(b)(6)

Dean Hall  
President, MSAD 11 Teacher's Association

**RSU 86/MSAD 20 (Rural)**

## Maine School Administrative District No. 20

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FORT FAIRFIELD HIGH SCHOOL  
FORT FAIRFIELD ELEMENTARY SCHOOL

July 17, 2012

Scott Harrison  
Maine School for Excellence Project Director  
23 State House Station  
Augusta, ME 04333

**RE: TIF 4 Grant**

Dear Mr. Harrison,

M.S.A.D. # 20 is located in Fort Fairfield, Maine, a close knit community that values education. As our town is striving for “Quality of Place”, so does our school district. Our schools are Fort Fairfield Middle High School (Grades 6 – 12) and Fort Fairfield Elementary School (Pre-K to 5) and they serve just under 600 students. Our MEA and SAT scores are on the rise and very competitive with schools statewide. We have recently adjusted our curriculum and schedules at every level to refocus our energies on Literacy. We are also very pleased with the NWEA assessment tool that we introduced in the fall of 2007. This resource helps us in targeting our instruction to help us meet the needs of individual students. Children in our schools enjoy every opportunity to participate and succeed. In our school everyone matters, everyone has a role, and everyone contributes. We understand that what we do counts and will have a profound effect on people’s lives.

Thank you for your consideration of M.S.A.D. #20 for the TIF 4 Grant.

Sincerely,



Marc Gendron  
Superintendent

## Maine School Administrative District No. 20

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FORT FAIRFIELD HIGH SCHOOL  
FORT FAIRFIELD ELEMENTARY SCHOOL

July 10, 2012

Scott Harrison  
Maine School for Excellence Project Director  
23 State House Station  
Augusta, ME 04333

Dear Mr. Harrison,

Please accept this letter of interest as our commitment to support the TIF 4 Grant Application. Our district, MSAD #20 is made up of two schools:

Fort Fairfield Elementary School Enrollment: 275 Free/Reduced Lunch Status: 62%

Fort Fairfield Middle High School Enrollment: 288 Free/Reduced Lunch Status: 50%

Currently we have an outdated evaluation system in both buildings, which does not reflect our transitioning to Common Core alignment, standards based assessment, or teacher accountability.

Our district has been recognized by U.S. News and World Report in both 2010 and 2012 for doing a good job in reaching children with socio-economic challenges. We think we can do even better by strengthening our performance evaluation system for teachers and principals.

We hope this grant will help us recognize, support, and reward good teaching practices that support student learning. Please let me know if there is anything I can do to support this application.

The Union letter of support is enclosed.

Sincerely,



Marc Gendron  
Superintendent

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28 High School Drive – Suite B \* Fort Fairfield, ME 04742

(207) 473-4455 \* [mgendron@msad20.org](mailto:mgendron@msad20.org)

PR/Award # S374A120098

## Maine School Administrative District No. 20

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FORT FAIRFIELD HIGH SCHOOL  
FORT FAIRFIELD ELEMENTARY SCHOOL

July 12, 2012

Scott Harrison  
Maine School for Excellence Project Director  
23 State House Station  
Augusta, ME 04333

Dear Mr. Harrison,

On behalf of the Fort Fairfield Teachers Association, I would like to express support for M.S.A.D. #20's TIF 4 grant application. We understand that this is not a binding commitment to change our current evaluation procedures or our compensation procedures. It is a promise to consider such changes as needed if and when we have more time and additional details to consider participation.

Sincerely,

(b)(6)

Robert Osterblom, Member  
Fort Fairfield Teachers Association

## Maine School Administrative District No. 20

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FORT FAIRFIELD HIGH SCHOOL  
FORT FAIRFIELD ELEMENTARY SCHOOL

July 17, 2012

Scott Harrison  
Maine School for Excellence Project Director  
23 State House Station  
Augusta, ME 04333

**RE: TIF 4 Grant**

Dear Mr. Harrison,

M.S.A.D. # 20, and specifically, Fort Fairfield Middle High School and Fort Fairfield Elementary School recognize our fiscal liability for implementing PBCS and related professional development at both Fort Fairfield Middle High School and Fort Fairfield Elementary School. We choose to include both schools in the system requirement of the TIF 4 Grant.

Thank you for your consideration.

Sincerely,



Marc Gendron  
Superintendent

## Maine School Administrative District No. 20

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FORT FAIRFIELD HIGH SCHOOL  
FORT FAIRFIELD ELEMENTARY SCHOOL

July 17, 2012

Scott Harrison  
Maine School for Excellence Project Director  
23 State House Station  
Augusta, ME 04333

**RE: TIF 4 Grant**

Dear Mr. Harrison,

M.S.A.D. # 20, and specifically, Fort Fairfield Middle High School and Fort Fairfield Elementary School agrees to anchor the teacher and principal evaluation system to a common set of standards, i.e., the National Board standards and rubrics for teachers and principals.

Thank you for your consideration.

Sincerely,



Marc Gendron  
Superintendent



Marc Gendron <mgendron@msad20.org>

RE: Grant files

Harrison, Scott <Scott.Harrison@maine.gov>  
To: Marc Gendron <mgendron@msad20.org>

Mon, Jul 16, 2012 at 6:39 PM

Hi, Marc -

Thanks again for submitting your letter of interest in TIF4. Our MDOE/AIR team just met for an initial review of district letters. We have identified the following information that we need from you before we can move forward to initiate a formal MOU. Given the extraordinarily tight timeframe that we're under to submit our proposal to the USDOE, we need your response to this request by no later than 2pm tomorrow, Tuesday, July 17. If we do not hear from you we will assume that you are no longer interested in moving forward in the grant application process.

Please provide us with the following:

- Complete the table below by listing **ALL** schools in your district with their respective FRPL data as of September 30, 2011.

	School Name	This school will participate in <b>ALL</b> aspects of TIF4 (e.g., PBCS, Professional Development (TO!), Teacher/Principal Evaluation?)  (Yes/No)	Total # students	% Free / Reduced Lunch	Total # staff (including teachers, principal, and all other staff)	# Teachers <sup>1</sup>	# Principals <sup>2</sup>	# NBCT's
1	FFMHS	Yes	288	50%	40	29	1	0
	FFES	Yes	275	60%	37	22	1	0

**Indirect Cost Rate Agreement**

INDIRECT COST RATE AGREEMENT  
STATE EDUCATION AGENCY

**Organization**

Maine Department Of Education  
74 State House Station  
Augusta, ME 04333-0023

**Date:** JUL 10 2012

**Agreement No:** 2011-239 (A)

**Filing Reference:** Replaces previous  
Agreement No. 2011-239

**Dated:** 11/18/2011

The approved indirect cost rates herein are for use on grants, contracts, and other agreements with the Federal Government. The rates are subject to the conditions included in Section II of this Agreement and issued by the U.S. Department of Education pursuant to the authority in Attachment A of Office of Management and Budget Circular A-87.

**Section I - Rates and Bases**

<u>Type</u>	<u>From</u>	<u>To</u>	<u>Rate</u>	<u>Base</u>	<u>Applicable To</u>
Fixed	07/01/2011	06/30/2012	9.0%	MTDC	All Programs
Provisional	07/01/2012	09/30/2012	9.0%	MTDC	All Programs

**Distribution Base:**

MTDC Modified Total Direct Cost - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and each subaward (subcontract or subgrant) above \$25,000 (each award; each year).

**Applicable To:**

All Programs The rates herein are applicable to All Programs.

**Treatment of Fringe Benefits:**

Fringe benefits applicable to direct salaries and wages are treated as direct costs, however, pursuant to OMB Circular A-87-Attachment B Paragraph 8.d.(3), terminal leave costs for all employees will be allocated as an indirect cost except for those employee salaries designated as a direct cost for the restricted rate calculation.

**Capitalization Policy:** Items of equipment are capitalized and depreciated if the initial acquisition cost is equal to or greater than \$5,000.

## Section II - Particulars

Limitations: Application of the rates contained in this Agreement is subject to all statutory or administrative limitations on the use of funds, and payments of costs hereunder are subject to the availability of appropriations applicable to a given grant or contract. Acceptance of the rates agreed to herein is predicated on the following conditions: (A) that no costs other than those incurred by the Organization were included in the indirect cost pools as finally accepted, and that such costs are legal obligations of the Organization and allowable under the governing cost principles; (B) the same costs that have been treated as indirect costs are not claimed as direct costs; (C) that similar types of information which are provided by the Organization, and which were used as a basis for acceptance of rates agreed to herein, are not subsequently found to be materially incomplete or inaccurate; and (D) that similar types of costs have been accorded consistent accounting treatment.

Accounting Changes: The rates contained in this agreement are based on the organizational structure and the accounting systems in effect at the time the proposal was submitted. Changes in organizational structure or changes in the method of accounting for costs which affect the amount of reimbursement resulting from use of the rates in this agreement, require the prior approval of the responsible negotiation agency. Failure to obtain such approval may result in subsequent audit disallowance.

Provisional/Final/Predetermined Rates: A proposal to establish a final rate must be submitted. The awarding office should be notified if the final rate is different from the provisional rate so that appropriate adjustments to billings and charges may be made. Predetermined rates are not subject to adjustment.

Fixed Rate: The negotiated fixed rate is based on an estimate of the costs that will be incurred during the period to which the rate applies. When the actual costs for such period have been determined, an adjustment will be made to a subsequent rate calculation to compensate for the difference between the costs used to establish the fixed rate and the actual costs.

Notification to Other Federal Agencies: Copies of this document may be provided to other Federal agencies as a means of notifying them of the agreement contained herein.

Audit: All costs (direct and indirect, federal and non-federal) are subject to audit. Adjustments to amounts resulting from audit of the cost allocation plan or indirect cost rate proposal upon which the negotiation of this agreement was based may be compensated for in a subsequent negotiation.

Reimbursement Ceilings/Limitations on Rates: Awards that include ceiling provisions and statutory/regulatory requirements on indirect cost rates or reimbursement amounts are subject to the stipulations in the grant or contract agreements. If a ceiling is higher than the negotiated rate in Section I of this agreement, the negotiated rate will be used to determine the maximum allowable indirect cost.

Section III - Special Remarks

Alternative Reimbursement Methods: If any federal programs are reimbursing indirect costs by a methodology other than the approved rates in this agreement, such costs should be credited to the programs and the approved rates should be used to identify the maximum amount of indirect costs allocable.

Submission of Proposals: New indirect cost proposals are necessary to obtain approved indirect cost rates for future fiscal years. **The next indirect cost rate proposal is due six months prior to the expiration dates of the rates in this agreement.**

Section IV - Approvals

For the State Education Agency:

Maine Department Of Education  
74 State House Station  
Augusta, ME 04333-0023

(b)(6)

Signature

*James F. Rice Jr.*

Name

*Deputy Commissioner*

Title

*7-25-12*

Date

For the Federal Government:

U.S. Department of Education  
OCFO / FIPAO / ICG  
550 12th Street, SW  
Washington, DC 20202-4450

(b)(6)

Signature

*Mary Gougisha*

Name

*Director, Indirect Cost Group*

Title

*7-25-12*

Date

Negotiator: David Gause  
Telephone Number: (202) 245-8032

**Individual Résumés for Key Staff**

## Short Bios

**Scott Harrison** came to the Schools for Excellence project from The Harrison Group, LLC and University of Maine System where he served as project leader for the design of a new organization-wide classification and compensation system for classified staff. His consulting assignments have allowed him to develop and administer a wide variety of alternative compensation programs which integrate performance measurement, feedback, variable pay and continuous learning. He has designed and administered employee and customer opinion surveys, integrating results into monthly performance feedback and incentive pay systems. He has provided wrap around support for these systems with data-driven idea sharing and continuous improvement events. He has provided performance system consulting services for a variety of organizations such as The Kresge Foundation, Assurance, Inc., The Henry Ford, AAA of Northern New England, Finance Authority of Maine, The Ford Foundation, Mid Coast Hospital, Enterprise Electric, Downeast Energy, and Jobs in the US, to name a few. Scott received his BS in Human Resources and Labor Relations from the University of Maryland, College Park and an MBA from the University of Southern Maine, Portland. He is a Certified Compensation Professional (CCP). He will serve as the Maine Schools for Excellence Director for both the TIF 3 and TIF 4 to allow cohesive, consistent leadership. He will be supported by experts in human capital management system design which the Department will have under contract.

**Susan Williams** has been an elementary classroom teacher and teacher leader for 17 years. Besides her classroom duties she has developed and facilitated professional learning communities, co-created and co-taught in a grades 1-3 looping program, and served on school and district leadership teams. Sue is a National Board Certified Teacher in Early Childhood/Generalist, fueling her on-going commitment to teacher excellence. She currently serves as a Maine National Board Candidate Support Provider and as an Instruction and Professional Development Committee Member for the Maine Education Association. Until recently, she was MSAD 51's New Staff Induction Coordinator. Sue began her career in Communication/Journalism, but switched to education by completing the K-8 Teacher Education Program at Southern Connecticut State University. A Master's in Adult Learning from the University of Southern Maine refined her education leadership and mentoring skills. Sue is the Professional Development Coordinator and District Level Trainer for TIF 3 MSFE. She will provide leadership and support to TIF 4 Professional Development staff to ensure integrated training frameworks.

**Professional Development Coordinator and District Level Trainers.** Maine will hire two full time Professional Development Coordinators who will: be responsible for developing and delivering professional programs that align program goals and National Board standards, build the capacity of mentors and candidate support providers within each school district, be responsible for developing and implementing communication systems to explain the SFE Performance Learning System to schools and stakeholders,

provide necessary training on the SFE Performance Learning System to teachers and school leaders on how the elements work together as a school reform model, and utilize a peer review system to evaluate teachers as a component of the measurement and feedback system.

**Educator Effectiveness Coordinator.** Maine will hire a full time Educator Effectiveness Coordinator who will lead the Maine Department of Education's (MDOE) efforts to recruit, prepare, evaluate, support, and retain highly effective educators. The EEC will be responsible for aligning and coordinating educator preparation program review, licensure, induction, professional development, evaluation, retention initiatives, teacher equity initiatives, and other related functions to help maximize the effectiveness of all educators across the state. The EEC is accountable for helping MDOE achieve its vision of an effective teacher in every classroom and an effective leader in every school.

**TIF 4 Administrative Support.** Maine will hire an administrative assistant to provide on-going support to TIF 4 personnel. Duties include general clerical and project based work.

**Bill Hurwitch** has overall responsibility for the Statewide Longitudinal Data System. He has been working with the Department for ten years and has served as the project director for the 2007 SLDS and 2009 ARRA SLDS grants and is a member of the Data Management Team.

**Edward Fournier** has been with the Department since the Summer 2009 and has been coordinating the fiscal transactions for the Department of Education's American Recovery and Reinvestment Act (ARRA) funds. As those funding streams are ending he is taking on new fiscal responsibilities in the School Finance Division under our Deputy Commissioner.

SCOTT A. HARRISON, MBA, CCP

(b)(6)

CAREER  
OBJECTIVE

Leadership role in managing total rewards strategy. Responsible for planning, designing, developing, monitoring, continually improving, and championing enterprise-wide performance system programs and practices.

EXPERIENCE

2008–Present University of Maine System Bangor, ME  
*Project Leader*

System-wide HR initiative to design, develop and implement a classification and compensation system for classified employees – 2,000 employees, 3 collective bargaining units, 7 universities. Coordinated system-wide ‘total compensation’ measurement and reporting initiative. Coordinated senior leadership review and approval of all UMS workforce management activities.

1994–Present The Harrison Group, LLC Yarmouth, ME  
*Founder & Senior Consultant*

- Lead designer and primary change agent in organization-wide incentive compensation and performance improvement initiatives. Systematically linking strategy, goals and metrics to employee recognition and reward.
- Customize compensation systems for sales, operations and support roles – aligning people, performance, recognition and reward.
- Design enterprise-wide performance scorecard and variable pay systems for companies of different sizes and types (profit, non-profit, service, manufacturing). Serve as outsourced system administrator.
- Develop and administer customer and employee opinion surveys, integrating results into monthly performance feedback and pay systems. Facilitate idea sharing and continuous improvement sessions.
- Develop and administer CEO planning, coaching and evaluation programs.
- Provide performance system consulting services to companies such as: The Kresge Foundation, Mid Coast Hospital, Air Products and Chemicals, American Automobile Association, FAME, Intertech, Enterprise Electric, Peoples Heritage Financial Group, Vessel Services, Downeast Energy, YMCA, Jobs in the US, Assurant, Inc., The Henry Ford.
- Monitor performance pay program effectiveness.
- Client results: 28% average improvement in targeted performance areas, including sales, productivity, expense control, safety and housekeeping, regulatory compliance, employee & customer satisfaction.

1992-1994 First National Bank Portsmouth, NH  
*HR Director*

- Responsible for full range of HR activities including recruitment, selection, training and development, organization design, compensation, benefit administration, employee relations and internal communications. Supervised support staff.

1988–1992 Peoples Heritage Bank Portland, ME  
*Compensation Director*

- Responsible for managing corporate compensation systems. Designed and managed variable pay programs including gainsharing, profit-sharing, stock options, sales commission plans, spot bonus programs.
- Managed payroll, HRIS and job evaluation. Prepared and managed total compensation budget. Supervised support staff.

1986–1988 Human Technology, Inc. McLean, VA

*Consultant*

- Provided HR consulting services to U.S. Department of Labor, Department of Health and Human Services. Special focus on multi-purpose job analysis.

1985–1986 University of Maryland College Park, MD

*Research Assistant*

- Provided research assistance to goal-setting theory pioneer, Edwin L. Locke, Ph.D.

2009 University of Maine Bangor, ME

- Enrolled in doctoral level coursework in higher educational leadership.

1997 University of Southern Maine Portland, ME

- Masters in Business Administration (MBA)

1987 University of Maryland College Park, MD

- BS Human Resources / Labor Relations & Operations Management
- Certified Compensation Professional (CCP); Performance Compensation Administrator (PCA); Human Resources Professional (HRP-elapsed)
- Instructor, University of Southern Maine, HR Certificate Program
- Speaker, Performance System Design, Scorecarding and Variable Pay
- Vitalo, R.L., & Harrison, S.A. (2006) "Creating a Lean-Ready Workforce," [http://vitalentusa.com/learn/lean\\_ready\\_workforce.php](http://vitalentusa.com/learn/lean_ready_workforce.php)
- Harrison, S.A. ('06) Scary-Hairy® MyL'Stones® Learning Kits for the Classroom.
- Harrison, S.A. ('05) Scary-Hairy® MyL'Stones® Children's Book. and Goal Workshop.
- Harrison, S.A. ('03) High Performance CEO: Planning, Coaching, and Evaluation.
- Harrison, S.A. ('02) FairSharing<sup>SM</sup> Performance Pay System.
- Harrison, S.A. ('96) CIGAR Sessions<sup>SM</sup> Creative Idea Generation, Action & Results.
- Vitalo, R.L., & Harrison, S. (1988) "What Happens When Organizational Policy and Human Resource Strategy Are Not Integrated: A Case Study of Failed HR Planning," Human Resource Strategy Sourcebook. (Baird, L.; Schneier, C.; and Beatty, R. eds.), Amherst, MA: HR Development Press.
- Locke, E., Chah, D., Harrison, S., & Lustgarten, N. (1988) "Separating the Effects of Goal Specificity from Goal Difficulty," Organizational Behavior and Human Decision Processes.

EDUCATION,  
CERTIFICATIONS,  
PUBLICATIONS &  
PRODUCTS

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INTERESTS &  
INVOLVEMENT  
PAST & PRESENT

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- Board of Directors (BoD): Cumberland County YMCA, Chair, HR Committee
- BoD Yarmouth Basketball Association, President
- BoD Yarmouth Alumni Association
- Trustee, Robert W. Boyd Memorial Award
- Trustee, FPCC
- Black Belt Instructor, Korean Martial Arts

**Profile**

- Union-supported leader in school reform with an emphasis on educator standards, evaluation and professional growth systems
- Accomplished K-5 educator with an extensive background in instructional leadership
- Effective communicator skilled at partnering with a variety of stakeholder groups including students teachers, administrators, parents and community members, as well as policy makers at the local, state and national levels
- Experienced mentor teacher and facilitator of adult learning, adept at designing and delivering professional development to support improved practice for PK-12 teachers in all stages of their careers
- Resourceful leader with knowledge and skills in the areas of effective instructional decision-making, targeting differentiated instruction and interventions for students with academic needs, developing assessments and analyzing student data
- Collaborative, creative and forward-thinking problem-solver and colleague

**Education and Credentials**

**National Board Certification** – Early Childhood/Generalist, NBPTS, November, 2004  
**M.S., Adult Learning**, University of Southern Maine, May 2000  
**K-8 Teacher Education Program**, Southern Connecticut State University, May 1992  
**B.A., Communications/Journalism**, University of Massachusetts at Amherst, May 1989

**Professional Experience**

- Maine Schools for Excellence, Federal Teacher Incentive Fund Grant – National Board for Professional Teaching Standards/Maine Department of Education**  
*Professional Development Coordinator* 2011-Present
- Responsible for all aspects of professional development programming and related leadership training for 5 rural/high-needs districts, including NBPTS programs, structuring critical conversations about instructional practice, and developing peer and supervisor observer/ inter-rater reliability training
  - Advise and assist District Steering Committees as they select standards, develop rubrics and processes and identify data points to measure the effectiveness of instruction and leadership as part of the development of their Teacher and Principal Evaluation and Professional Growth programs
- Maine School Administrative District #51, Cumberland/North Yarmouth, Maine**  
*Grade 2-3 and 1-2 Looping Program Teacher, 1999-2004; Grade 3 Teacher, 2008-2011* 1995-2011
- Co-creator and teaching partner in a grade 3 literacy co-teaching program
  - Co-taught Math, Writing, Science and Social Studies in a grades 1-2 looping program
  - Planned and implemented all aspects of instruction for a grades 2-3 looping program
- K-5 Math Content Leader, 2005-2008**
- Supported teachers in 3 schools with implementation of K-5 Everyday Math curriculum
  - Assessed students and planned modifications and individualized instruction to help them meet identified goals as part of our district’s Response to Intervention protocol
- Teacher Leader, Mabel I. Wilson School, 2004-2005**
- Developed and facilitated Professional Learning Communities to improve instruction
  - Participated in K-12 decision-making teams at the building and district level
- Classroom Teacher/Island School Coordinator, Chebeague Island School, 1995-1999**
- Planned and implemented instruction for students in a K-3 self-contained classroom
  - Responsible for daily on-site leadership and decision-making for the K-6 island school
- Fairfield Public Schools, Grade 2 Teacher, Roger Sherman School, Fairfield, CT** 1993-1995

**Leadership Highlights**

- CCSSO State Consortium on Educator Effectiveness, Maine Team Member – 2011-Present
- Middle Childhood Generalist Standards Committee Member, NBPTS, March 2010-Present
- National Board Candidate Support Provider, Maine Education Association, 2004-Present
- Instruction and Professional Development Committee Member, Maine Education Association, 2009-Present
- Executive Board Member and Local Officer, MSAD 51 Education Association, 2006-2011

William Hurwitch  
Department of Education  
23 State House Station  
Augusta, ME 04333

(b)(6)

May 2003-Present - MAINE DEPARTMENT OF EDUCATION, Augusta, ME  
Director – Statewide Longitudinal Data System (SLDS)

Responsible for providing leadership in the area of systems design, development, implementation, maintenance, and use of all components of Maine’s Statewide Longitudinal Data System.

- Wrote the successful grant applications and developed the overall budgets and project plans for the \$3.2 million 2007 SLDS grant and the \$7.3 million 2009 ARRA SLDS grant.
- Serve as liaison with stakeholder groups including: 21<sup>st</sup> Century Advisory Council, Data Management Team, State Legislature Education and Cultural Affairs Committee, Governor’s Workforce Cabinet, Maine Children’s Cabinet, Maine Jobs Council and Maine school districts.
- Work closely with technical and non-technical staff of the Maine Department of Health and Human Services early childhood programs, Department of Corrections, Department of Labor, University of Maine System, Maine Community College System and the State Office of Information Technology in the design and implementation of a P-20/Workforce longitudinal data system.
- Worked with Commissioner of Education to form a multi-agency coalition in support of key legislation including Public Law Chapter 448, *An Act to improve the Ability of the Department of Education to Conduct Longitudinal Data Studies*. Testified before the Maine State Legislature and wrote fiscal impact statements.
- Served as a member of the Data Quality Campaign (DQC) Privacy Advisory Committee and presented at DQC events including webinars and meetings. Presentation topics include *Exploring a New Role for States: From Compliance-Based to Service-Supporting* and *Linking Data Across Agencies: States That Are Making It Work*.
- Represent the Maine Department of Education at US Department of Education conferences and New England secondary and postsecondary school consortiums.
- Managed the implementation of the Maine Education Data Management System (MEDMS) statewide information system and the MEDMS financial system.
- Write requests for proposals and contracts and hire and manage technical staff and trainers in support of the SLDS components projects.
- Utilize sound project management methodologies, provide technical leadership and education industry best practices, and work with Department of Education Leadership and the State CIO.

PRIOR EDUCATION PROJECTS:

- Conducted a consulting engagement for the commissioner of the board of governors for higher education of a multi-university state system to assess the recommendations for new administrative systems.
- Conducted a strategic study for a private college in Rhode Island to review the data management, reporting and security systems and audit the implementation of new administrative systems applications. The study included meetings with the president, senior staff and individual department teams to assess and develop system wide data reporting

- requirements and standards, and to recommend courses of action to improve operational efficiency and the management of data resources.
- Developed the high level strategy and planning for the migration of legacy administrative systems and the implementation of ERP systems for a liberal arts college in New York. The initial project included meetings with department heads and staffs as well as faculty to review current and desired business processes and assess overall organizational readiness for change.
- Served as Engagement Manager for the planning and implementation of the PeopleSoft Financial systems package at a large private university. The project was completed in one year on time and under budget and achieved high customer satisfaction. This was a follow-on engagement after the team implemented the human resources, payroll and benefits administrative systems.

EMPLOYMENT HISTORY:

2001-Present e-Services Consulting, Inc.  
Falmouth, ME

**PRESIDENT**

Management consulting for education institutions migrating to new technologies and implementing enterprise and web-based applications.

Scope of services provided include:

- Technology Strategy and Planning
- Business Process Redesign
- Program Management
- Organizational Change Management
- Vendor and Product Selection
- Interim CIO/Engagement/Project Management
- Training and Professional Development

1997-2001 IBM Corporation  
Waltham, MA

**PRINCIPAL, Education Industry, IBM GLOBAL SERVICES**

Responsible for Engagement/Project Management, Business Development, Client Relationship Management, Strategic Vendor Relationships, Resource Management, Contract Profitability, Customer Satisfaction, and Personal Utilization.

- Led multiple engagements in strategy and planning, data warehousing, custom application development, ERP systems implementation and migrations from legacy systems for educational institutions in the Northeastern U.S. Region.
- Worked closely with K-12 and Higher Education national practices and sales teams to develop and implement engagements for end-to-end solutions from business strategy through requirements, design, development and implementation.
- Participated as core team member in the establishment of the e-business Services National Practice including hiring, mentoring and leading consultants, I/T architects and I/T specialists.
- Presented to clients and partners at IBM's e-business University.

- 1988-1997 Vanstar Corporation  
Waltham, Massachusetts  
  
AREA DIRECTOR, VANSTAR EDUCATION SERVICES  
Responsible for Area General Management, Multiple Site Operations, Strategic Partner Relationships with Fortune 1000 Clients, and Technology Partnerships with software, computer-based training services vendors for a division of a \$2.2 billion technology services company.  
  
REGIONAL MANAGER, ZIFF TECHNOLOGIES (prior to acquisition by Vanstar in 1994 from Ziff-Davis Publishing)
- 1986-1988 Wrightson/ComputerSlide  
Watertown, Massachusetts  
  
VICE PRESIDENT SALES & MARKETING  
Responsible for corporate marketing and sales force management, new product and applications development in computer-aided publishing and computer graphics.

INSTRUCTIONAL EXPERIENCE:

- 2002-2006 FACULTY, UNIVERSITY OF PHOENIX ONLINE  
MBA in Technology Management Program. Courses taught:
- TMGT 580 – Strategy Formulation, Implementation and Control
  - TMGT 590 – Applications of Technology Management

EDUCATION:

Masters of Business Administration  
Babson College, Wellesley, Massachusetts

Bachelor of Arts in English  
Lafayette College, Easton, Pennsylvania

IBM Training – IBM Certified Professional Consultant, Basic Blue for Managers, Project Management (PMI), Global Services Methodology, Systems Integration/Application Development Methodology, IBM Signature Selling Method, Solution Selling

PROFESSIONAL AFFILIATIONS:

- \* Maine Association of Professional Consultants
- \* Project Management Institute
- \* Maine Technology Institute

MILITARY:

Captain, United State Army, Adjutant General's Corps – Honorable Discharge

# EDWARD P. FOURNIER

(b)(6)

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## EDUCATION

- 1994 M.A. - Applied Anthropology Northern Arizona University  
M.Ed. - Community College Education  
Areas of emphasis: multicultural education, contemporary  
American culture, community college education
- 1988 B.A. - Anthropology, Minor - Political Science Texas State University - San Marcos  
Areas of emphasis: physical anthropology  
and contemporary political theory

## EDUCATIONAL WORK EXPERIENCE

- 2009 - present **AMERICAN REINVESTMENT AND RECOVERY ACT (ARRA) PROGRAM SPECIALIST**  
Maine Department of Education (MDOE)  
23 State House Station, Augusta, ME 04333-0023
- Collaborate with MDOE ARRA grant and School Finance team members ensuring proper administration and grant compliance for multiple State of Maine ARRA federal funding programs. Manage over 200,000,000 in federal ARRA funding including: regular financial reporting and cash management analysis, review and approval of ARRA funding program applications and grant performance reporting materials for public school administrative units statewide, and assist with requisite MDOE grant sub-recipient monitoring and auditing activities. Liaise with local education agencies statewide. Collect, manage, and analyze required grant survey data to inform statewide educational planning and ensure grant compliance. Assist with state level federal ARRA grant program financial reporting requirements.
- 2008 - 2009 **ASSISTANT ACADEMIC DEAN**  
Kennebec Valley Community College  
92 Western Ave., Fairfield, ME 04937
- Managed and coordinated all aspects of federal Carl D. Perkins and three supplemental grants, including annual online application, budget administration, and required reporting. Oversaw college dual enrollment and distance education activities, including: building and maintenance of community relationships with and service to over 400 dually enrolled college students at 4 area adult education sites, 10 area high schools, 4 regional technical centers; collaboration with college admissions staff; and supervision of college satellite site adjunct dual enrollment instructors. Managed development of biannual college hard copy catalog. Coordinated articulation of college academic programs and courses with high school technical center and four year college degree curricula. Supported and assisted in the development and ongoing maintenance of college dual enrollment web page. Served on institutional level curriculum and assessment committees.
- 2001 - 2007 **CURRICULUM & ARTICULATION SERVICES COORDINATOR**  
Coconino Community College  
2800 S. Lone Tree Road, Flagstaff, AZ 86001
- Oversaw college curricular articulation activities including all data entry, encoding, and archiving. Acted as primary liaison between the college and state level postsecondary public institution articulation committees. Managed flow of all new and modified curricula through the college curriculum process. Administered and managed the development of annual hard copy college catalog and ongoing maintenance of real time online catalog content. Provided curriculum development and modification assistance and training to faculty. Coordinated area budget and financial planning activities. Assisted with college course, program, and institutional level assessment activities. Supervised the development and successful transition to web based curriculum review for the college. Served on and chaired institutional level standing committees.

EDWARD P. FOURNIER, pg II

- 1997 - 2007     **ASSOCIATE FACULTY MEMBER**  
Coconino Community College  
2800 S. Lone Tree Road, Flagstaff, AZ 86001
- Prepared and presented weekly topical lectures, course exams, assignments, syllabi, and maintained weekly office hours for undergraduate courses in Anthropology taught in traditional, interactive video (ITV), and online classrooms. Content taught included the sub-disciplines of Cultural Anthropology, Physical, and Linguistic Anthropology. Curriculum development projects completed included course outlines in Physical Anthropology, Anthropological Linguistics, and an Associate Degree program in Anthropology.
- 1993 - 1998     **ADJUNCT FACULTY MEMBER**  
Dine' College - Tuba City Campus, Navajo Indian Reservation  
P.O. Box 1716, Tuba City, AZ 86045
- Prepared and presented weekly topical lectures, course exams, assignments, syllabi; maintained office hours; and developed curriculum for classes comprised of primarily Indigenous American students. Subjects taught included Anthropology, Psychology, Sociology and introductory courses in computing, spreadsheets, and data base management.
- 1995 - 1997     **INSTRUCTOR**  
Northern Arizona University, Department of Anthropology  
P.O. Box 15200, Flagstaff, AZ 86011
- Prepared and presented weekly topical lectures, course exams, assignments, syllabi, and maintained weekly office hours, for undergraduate courses in Cultural Anthropology.
- 1993 - 1994     **INSTRUCTIONAL ASSISTANT**  
Northern Arizona University, Department of Anthropology  
P.O. Box 15200, Flagstaff, AZ 86011
- Assisted a university professor in preparation and teaching of an ITV course broadcast to multiple rural communities. This part-time position included review and grading of student papers, library research, and investigation of course related topics.
- 1993 - 1994     **TUTOR/COUNSELOR**  
Northern Arizona University, Student Support Services Office  
P.O. Box 6035, Flagstaff, AZ 86011
- Individually peer counseled and tutored academically challenged students on a part-time schedule in various college course topics including English, Anthropology, and foreign language. Maintained records of student tutorial visits and academic progress.
- 1993  
(Summer)     **EDUCATIONAL RESEARCHER/INTERN**  
Flagstaff Unified School District  
3285 E. Sparrow Ave., Flagstaff, AZ 86004
- Conducted ethnographic research that included data collection and analysis of community attitudes, beliefs, and opinions regarding the introduction of anthropology and cultural diversity into local public school elementary curriculum.
- 1992 - 1993     **OFFICE COMPUTER SPECIALIST**  
Northern Arizona University, Center for International Education  
P.O. Box 5598, Flagstaff, AZ 86011
- Created and maintained office database tables, reports, and programs used in the academic tracking of university international students. Developed an office computer user's guide. Trained office personnel in the use of and maintained all office hard/software.

OTHER PROFESSIONAL WORK EXPERIENCE

1998 - 2001   **RETAIL STORE MANAGER**  
Designs West Home Furnishings  
4480 N. HWY 89, Flagstaff, AZ 86004

Administered daily operations of 15000+ sq. ft. retail furniture showroom and smaller bedding showroom including supervision and scheduling of all store sales, accounting, delivery, and warehouse staff. Acted as chief customer service liaison to business customers and suppliers. Oversaw staff payroll, human resource concerns, and merchandise receiving, delivery, and repair activities.

COMPUTER SKILLS

Experienced on IBM (or compatible) personal computers. Primary software skills include Windows XP and Vista operating environments, with significant experience using the following: MS WORD, MS EXCEL, MS OUTLOOK, MS POWER POINT, Adobe ACROBAT, DREAMWEAVER and CONTRIBUTE, web based instructional delivery systems, student information systems, and large relational database systems.

PROFESSIONAL & COMMUNITY ACTIVITIES

2012	Work shop Participant	Federal Grant Management Workshop with Michael Burstein - hosted by the Maine Department of Education Augusta, Maine
2008	Conference Participant: Annual Conference	National Career Pathways Network Cincinnati, Ohio
2008	Conference presenter: Adult Education Dual Enrollment in Maine: A Working Model	Maine Adult Education Summer Academy Colby College - Waterville, Maine
2005	Conference Participant: Making a Difference in Student Learning: Assessment as a Core Strategy	The Higher Learning Commission/ American Association for Higher Education Chandler, Arizona
2004-2007	Active Big Brother	Big Brothers and Big Sisters of Flagstaff, Arizona
2003	Conference presenter: BAFA BAFA: A Journey into Diversity	Coconino Community College Third Annual Teaching and Learning Conference Flagstaff, Arizona
1998	Conference Participant	NISOD International Conference on Teaching and Leadership Excellence Austin, Texas
1995	Conference Presenter at invited session: "Education and Ideology: The Relationship Between American Culture and Multicultural Education Initiatives"	Society for Applied Anthropology Annual Meeting Albuquerque, New Mexico
1992 - 1994	Member and Director	Flagstaff Multicultural Coalition

## **The Educator Effectiveness Coordinator (EEC) Position To Be Filled**

The Educator Effectiveness Coordinator (EEC) will lead the Maine Department of Education's (MDOE) efforts to recruit, prepare, evaluate, support, and retain highly effective educators. The EEC will be responsible for aligning and coordinating educator preparation program review, licensure, induction, professional development, evaluation, retention initiatives, teacher equity initiatives, and other related functions to help maximize the effectiveness of all educators across the state. The EEC is accountable for helping MDOE achieve its vision of an effective teacher in every classroom and an effective leader in every school.

### **Major Duties and Responsibilities: Leadership & Accountability**

1. Serves as the "face" of educator effectiveness for MDOE
2. Provides leadership for each component of the educator effectiveness continuum and for staff across MDOE whose work connects with educator effectiveness
3. Is accountable for monitoring and meeting the state's educator effectiveness goals
4. Drives innovation and reform for each of the functions within educator effectiveness
5. Serves as a member of MDOE's Management Team

### **Strategic Outreach, Communication, & Coordination**

6. Develops and implements a strategic plan to guide the state's educator effectiveness work
7. Ensures cross-department and agency alignment of educator effectiveness work
8. Communicates with MDOE staff, schools/districts, and educator associations on an ongoing basis
9. Leverages existing and establishes new relationships with state agencies, foundations, and stakeholder groups to maximize support in the field
10. Raises funds to support and sustain the state's educator effectiveness efforts
11. Manages staffing of and participation in statewide educator effectiveness councils, commissions, and boards
12. Engages in meaningful collaboration and learning with national organizations, multi-state collaboratives, and other state agencies

### **Policy Leadership, Development, and Implementation**

13. Serves as MDOE's resource and policy expert on educator effectiveness
14. Identifies needed policy changes to better support educator effectiveness
15. Monitors effective implementation of educator effectiveness policies

### **Management and Oversight**

16. Ensures each component of the educator effectiveness continuum is aligned and working toward the state's educator effectiveness goals

17. Provides direct supervision of educator effectiveness staff and indirect supervision of all functions that impact educator effectiveness
18. Other duties as assigned

List of TIF 3 Districts

Lewiston School Department

RSU 12

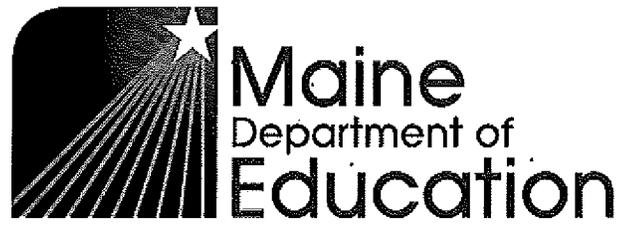
MSAD 24

MSAD 55

MSAD 74

**Union As Exclusive Representative**

As Maine is a collective bargaining state with regard to teachers and other public employees, the Local Education Association of each district has the exclusive right of representation for all teachers (both Association members and non-members) employed in a district with regard to terms covered under the employment contract. The districts involved in this application have each submitted letters of support signed by the President of the local Association on behalf of all teachers in the LEA, recognizing their willingness to negotiate participation in the components of TIF 4 Maine Schools for Excellence.



# TIF 4 Maine Schools for Excellence Program

## Part VIII

### Intergovernmental Review

## Holmes, Jaci

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**From:** amanda.rector@maine.gov  
**Sent:** Thursday, July 26, 2012 12:36 PM  
**To:** Holmes, Jaci  
**Cc:** Harrison, Scott  
**Subject:** Intergovernmental Review information received

Dear Ms. Holmes,

Thank you for using the online IGR submission form. The information you submitted for intergovernmental review has been received and will be added to the next review bulletin after moderation by OPM staff. You will be contacted if there are any issues with this information. (If you mailed project information to OPM, please use the electronic form in the future as paper IGR material will no longer be accepted.)

**Applicant:** Maine Department of Education  
**Project:** The TIF Maine Schools for Excellence Program

Please note: Office of Policy and Management does not review or comment on any projects; we publish a review bulletin sent to a list of interested parties that allows them an opportunity to question/comment directly to your agency. For more information or for past bulletins, please see our website: <http://www.maine.gov/spo/igr>.

The review period ends: 2012-08-16. At the end of the review period, you shall forward to OPM for clearinghouse record keeping any comments/questions resulting from the IGR process. Letters confirming the end of the review period will be available as PDF documents in the online directory of IGR applicants:  
<http://www.maine.gov/spo/igr/directory.shtml>.

Best wishes for your project,

Amanda Rector  
Office of Policy and Management  
181 State House Station  
Augusta, ME 04333-0181  
(207) 287-2873

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Review Submission -  
Material Received**

Thank you. Your project information has been recorded and will appear in the Intergovernmental Review Bulletin and online applicant directory after being approved by OPM staff. Interested parties wishing to question or comment on this project will contact you directly before 2012-08-16. Office of Policy and Management will not review or provide comments concerning this project. An e-mail is also being sent to the address you provided in the form.

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CFDA#	Review-by date	Applicant	Area of Effect
10.760	2012-07-30	City of Eastport, Maine	Wastewater system service area of Eastport . <a href="#">UPGRADE OF EXISTING WASTEWATER COLLECTION AND TREATMENT SYSTEM.</a>
10.575	2012-07-30	Portland Public Schools	City of Portland <a href="#">PORTLAND PUBLIC SCHOOLS FARM TO SCHOOL PROJECT</a>
93.260	2012-08-03	Cicatelli Associates Inc.	National <a href="#">TITLE X NATIONAL TRAINING CENTER FOR FAMILY PLANNING SERVICE DELIVERY</a>
93.243	2012-08-09	JSI Research & Training Institute	Region I (CT, ME, MA, NH, RI, VT) <a href="#">SAMHSA ADDICTION TECHNOLOGY TRANSFER CENTERS</a>
15.614	2012-08-12	Maine Department of Inland Fisheries & Wildlife	Veazie <a href="#">PENOBSCOT RIVER RESTORATION: VEAZIE DAM</a>
20.521	2012-07-27	Maine Department of Transportation	Statewide <a href="#">FEDERAL FISCAL YEAR 2011 NEW FREEDOM FUNDS</a>
93.623	2012-07-27	New Beginnings, Inc.	Cities of Lewiston, Auburn; County of Androscoggin <a href="#">NEW BEGINNINGS EMERGENCY SHELTER FOR HOMELESS YOUTH</a>
10.766	2012-08-23	Yesterday's Children, Inc.	Ellsworth, ME <a href="#">BUILDING ADDITION AND RENOVATIONS TO BIRCHWOOD LIVING CENTER</a>
93.623	2012-07-31	Kennebec Behavioral Health	Augusta and surrounding area <a href="#">KENNEBEC BEHAVIORAL HEALTH - HALCYON HOUSE BASIC CENTER PROGRAM</a>

93.550	2012-07	Penquis Community -31 Action Program Inc.	Penobscot and Piscataquis counties	<u>PENQUIS JOURNEY HOUSE</u>
93.550	2012-07	New Beginnings, Inc. -31	Franklin and Kennebec Counties	<u>TRANSITIONAL LIVING PROGRAM FOR HOMELESS YOUTH</u>
93.550	2012-07	New Beginnings, Inc. -31	Androscoggin County	<u>TRANSITIONAL LIVING PROGRAM FOR HOMELESS YOUTH</u>
10.025	2012-08	Maine Department of -01 Agriculture	statewide	<u>FOREST PEST OUTREACH AND SURVEY PROJECT (FPOSP) FY2012</u>
10.766	2012-08	Town of Orono -02	Orono, Maine	<u>CONSTRUCT PARKING GARAGE(80 SPACES) AT THE JUNCTION OF MAIN ST. AND BENNOCH ROAD IN ORONO.</u>
93.243	2012-08	DHHS, Office of -03 Substance Abuse	State of Maine	<u>STRATEGIC PREVENTION FRAMEWORK - PARTNERSHIPS FOR SUCCESS II</u>
93.087	2012-08	Families And Children -03 Together	Penobscot and Piscataquis Counties	<u>PENQUIS REGIONAL LINKING PROJECT</u>
20.106	2012-08	Town of Lincoln, -06 Maine	Lincoln Regional Airport	<u>ACQUISITION OF SEAPLANE PARCWL 134-004</u>
66.818	2012-08	Washington County -06 Council of Governments	Washington County	<u>BROWNFIELDS ASSESSMENT FUNDS - FOR HAZARDOUS MATERIALS AND PETROLEUM CONTAMINATED SITES</u>
20.106	2012-08	Midcoast Regional -06 Redevelopment Authority	Brunswick Executive Airport	<u>INSTALL AIRPORT SIGNS AND GATES</u>
66.817	2012-08	Maine Department of -06 Environmental Protection	The State of Maine (all)	<u>STATE AND TRIBAL RESPONSE PROGRAM GRANTS (BROWNFIELDS 128A)</u>
16.580	2012-08	Maine Department of -07 Public Safety, Maine State Pol	Statewide	<u>IMPLEMENTATION OF THE FEDERAL SEX OFFENDER REGISTRY TOOL (SORT)</u>
66.818	2012-08	Town of Wilton -07	833 US Rt 2, Wilton, ME	<u>TOWN OF WILTON, FORMER WILTON TANNING SITE BROWNSFIELDS CLEANUP</u>
66.034	2012-08	Maine Indoor Air -08 Quality Council	Maine	<u>TRAINING DEVELOPMENT - RESIDENTIAL RENOVATIONS FOR AN IAQ HEALTHY HOME</u>

66.818	2012-08	Town of Sanford -09	Town of Sanford	
<u>TWO BROWNFIELDS CLEAN UP GRANTS \$400000 ONE BROWNFIELDS ASSESSMENT GRANT \$400000</u>				
20.106	2012-08	City of Presque Isle, -10 ME	Northern Maine Regional Airport	
<u>MODIFICATIONS TO AIRPORT PAVEMENT MARKINGS AND INSTALLATION OF AIRFIELD ROADWAY SIGNS</u>				
84.047	2012-08	University of Southern -10 Maine	Southern Maine	
<u>UPWARD BOUND MATH SCIENCE AT USM</u>				
20.500	2012-08	Maine Department of -14 Transportation	Statewide	
<u>STATEWIDE URBAN TRANSIT PLANNING</u>				
10.773	2012-08	Kennebec Valley -15 Council of Governments	Somerset County	
<u>KVCOG FIBER OPTIC NETWORK ENGINEERING ANALYSIS</u>				
93.737	2012-08	Maine Development -15 Foundation	20 Maine Downtown Center towns throughout state	
<u>HEALTHY MAINE STREETS</u>				
84.374A	2012-08	Maine Department of -16 Education	Maine Department of Education and 17 schools	
<u>THE TIF MAINE SCHOOLS FOR EXCELLENCE PROGRAM</u>				

**Previous projects:**

Click an item description for applicant contact and funding information.

Letters confirming the end of the review period are also available for each project listed here.

CFDA#	Review -by date	Applicant	Area of Effect
93.550	2012- 07-26	Volunteers of America Northern New England	Androscoggin County
<u>HOMELESS YOUTH TRANSITIONAL LIVING PROGRAM</u>			
66.818	2012- 07-23	Dover-Foxcroft Historical Society	Central Hall, Dover- Foxcroft, Maine
<u>BROWNFIELDS ABATEMENT OF HAZARDOUS MATERIALS IN CENTRAL HALL</u>			
15.611	2012- 07-23	Maine Department of Inland Fisheries & Wildlife	Statewide
<u>LAND ACQUISITION AND HABITAT MANAGEMENT</u>			
97.056	2012- 07-23	Maine Department of Marine Resources	Sea Ports in Maine
<u>MAINE MARITIME SECURITY TEAM EQUIPMENT 2012</u>			
97.056	2012- 07-23	Maine Department of Marine Resources	Port of Portland
<u>PORTLAND MAINE MARITIME SECURITY TEAM EQUIPMENT 2012</u>			
11.472	2012- 07-23	Maine Department of Marine Resources	Inshore Gulf of Maine Whiting Fishery

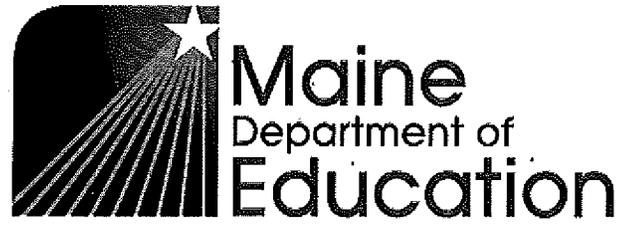
## Budget Narrative File(s)

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\* Mandatory Budget Narrative Filename:

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To add more Budget Narrative attachments, please use the attachment buttons below.



## TIF 4 Maine Schools for Excellence Program

### Part V Budget Narrative Attachment Form

## **Section C. Budget Narrative**

**TIF 4 Maine Schools for Excellence**

**Submitted as a TIF Grant by**

**The Maine Department of Education**

The TIF 4 Maine Schools for Excellence Program (“Program”) has been structured in a manner for the state of Maine and its schools to implement most of the components of the Program on a fee for service basis through contractors (“Contractors”), with monies being provided to the Contractors in relation to work performed in order to best ensure the integrity and fiscal oversight of the Program. All expenses paid by the Maine Department of Education (DOE) to Contractors to implement the program will be accounted for as *contractual costs* on the books and records of Maine DOE.

Following is a description of the services to be rendered directly by the Maine DOE and through Contractors, and the costs related to the services.

### **1. Personnel**

#### **A. Program Administration**

*Program Administrator/ Maine Schools for Excellence Director:* The State of Maine (“Maine”) will hire a dedicated/ part time administrator who will manage the Program. The Program Administrator/ Maine Schools for Excellence Director will work closely with national experts in human capital management systems, the state, districts, schools, and steering committee to facilitate meetings to create and implement the optimal Human Capital Management System, including key components such as Teacher and Principal Evaluation and Performance Based Compensation for each local education authority (LEA). *Program Administrator/ Maine Schools for Excellence Director:* An amount not to exceed \$42,000 (inflated at 3% for years 2-5 of the grant period) for the Program administrator’s salary and benefits on an annualized basis.

*Educator Effectiveness Coordinator:* The Educator Effectiveness Coordinator (EEC) will lead the Maine DOE’s efforts to recruit, prepare, evaluate, support, and retain highly effective educators. The EEC will be responsible for aligning and coordinating educator preparation program review, licensure, induction, professional development, evaluation, retention initiatives, teacher equity initiatives, and other related functions to help maximize the effectiveness of all educators across the state. The EEC is accountable for helping MDOE achieve its vision of an effective teacher in every classroom and an effective leader in every school. The Educator Effectiveness

Coordinator will be funded at an amount not to exceed \$77,000 (inflated at 3% for years 2-5 of the grant period) salary and benefits on an annualized basis.

*Two Professional Development Coordinators:* Maine will hire two (2) full time Professional Development Coordinators who will: be responsible for developing and delivering professional programs that align program goals and National Board standards, build the capacity of mentors and candidate support providers within each school district, be responsible for developing and implementing communication systems to explain the TIF 4 performance systems to schools and stakeholders, provide necessary training on the system to teachers and school leaders on how the elements work together as a school reform model, and utilize a peer review program to evaluate teachers as a component of the teacher and principal evaluation program. The Professional Development Coordinators will be funded at an amount not to exceed \$154,000 (inflated at 3% for years 2-5 of the grant period) salary and benefits on an annualized basis.

*Administrative Assistant:* A dedicated administrative assistant will be hired to support all the State level TIF 4 staff. The cost of this position will be \$35,000 for salary and benefits.

Projected personnel costs associated with program administration follow:

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Program Administration Personnel Costs	\$308,000	\$317,240	\$326,757	\$336,560	\$346,657	\$1,635,214

**B. Performance Based Compensation:** As part of the TIF 4 initiative, Maine will provide performance based compensation to all eligible teachers (513) and principals (28) according to program specifications.

Projected costs associated with performance based compensation follow:

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Performance Based Compensation	\$319,653	\$3,056,403	\$2,881,328	\$2,905,328	\$2,934,128	\$12,096,840

PBCS Element	Incentive Opportunity*	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Recruitment and Retention	NBCT Recruitment Bonus: To attract high-quality teachers to TIF 4 districts	\$27,000	\$27,500	\$27,500	\$27,500	\$27,500	\$137,500
	Hard-to-Staff Assignment Bonus: To attract and retain teachers and principals to district defined hard-to-staff roles	\$27,500	\$27,500	\$27,500	\$27,500	\$27,500	\$137,500
Professional Growth	Take One! Stipend: To encourage and reward educators for completion* of a rigorous and meaningful professional development process tied to the evaluation rubric and generate interest in the NBC process *Submission of scoreable entry to NBPTS.	\$32,063	\$303,500	\$28,500	\$28,500	\$28,500	\$421,063
	Teacher Leader Stipend: To encourage and reward teachers who choose to serve as leaders in providing effective support to new teachers, colleagues and administrative leadership. Examples of teacher leader roles including: peer observation/mentoring/coaching, TEPG facilitation/implementation, TIF design and implementation, NB candidate support, Take One! / PLC facilitation, etc.)	\$217,200	\$543,213	\$350,938	\$350,938	\$350,938	\$1,813,227
	NBCT Stipend: To encourage and reward accomplished teaching through the attainment of the NBCT credential	\$15,390	\$102,690	\$274,890	\$274,890	\$274,890	\$942,750



	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Program Administration Personnel Costs	308,000	317,240	326,757	336,560	346,657	1,635,214
Performance Based Compensation	319,653	3,056,403	2,881,328	2,905,328	2,934,128	12,096,840
Total Personnel Costs	627,653	3,373,643	3,208,085	3,241,888	3,280,785	13,732,054

## 2. Fringe Benefits

Fringe benefits have been calculated at 30% per year on all personnel and performance based compensation that is eligible for fringe benefits. All PBCS except for recruitment and retention stipends are 'earnable compensation' and subject to fringe benefit costs, per Maine Public Employees Retirement System (MePERS).

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Program Administration Fringe	132,000	135,960	140,039	144,240	148,567	700,806
Performance Based Compensation Fringe	79,396	900,421	847,898	855,098	863,738	3,546,552
Total Fringe Benefits	211,396	1,036,381	987,937	999,338	1,012,305	4,247,357

## 3. Travel

The following travel costs pertain to travel for staff in the Maine sites that are not currently included in personnel costs. During year one, the methodology for professional development support and project management facilitation and on-site visits will be refined. Subsequent to refinement, certain travel costs may be placed under the responsibility of the Contractors and re-categorized as contractual.

Year 1 Travel	Number of Miles	Rate per Mile	Number of trips	Total
<i>Local Travel for Site based personnel to fulfill their managerial, observational, professional development and project involvement responsibilities. (Note: These costs may be re-categorized as contractual at a later date.)</i>				

<i>Maine Program Staff Travel:</i> The Maine DOE program staff is expected to travel extensively among campuses in fulfillment of their responsibilities, particularly overseeing the fidelity of the Program administration.	54,545	0.55		30,000
	<b>Cost per Trip</b>		<b>Number of Trips</b>	
Non-local travel for Maine Program Staff to attend TIF / school improvement related events and conferences	2500		2	5,000
<b>Total travel for Year 1</b>				<b>35,000</b>

<b>Year 2 Travel</b>	<b>Number of Miles</b>	<b>Rate per Mile</b>	<b>Number of trips</b>	<b>Total</b>
<i>Local Travel for Site based personnel to fulfill their managerial, observational, professional development and project involvement responsibilities (Note: These costs may be re-categorized as contractual at a later date.)</i>				
<i>Maine Program Staff Travel:</i> The Maine DOE program staff is expected to travel extensively among campuses in fulfillment of their responsibilities, particularly overseeing the fidelity of the Program administration.	38,636	0.55		21,250
<i>Maine Professional Development and Candidate Support Providers.</i> While the goal of the Program is to have NBCTs with the closest proximity to the schools in the Program, the geographic location of the sites and the limited number of NBCTs in the state will necessitate travel that is less than optimal.	38,636	0.55		21,250
	<b>Cost per Trip</b>		<b>Number of Trips</b>	
Non-local travel for Maine Program Staff to attend TIF related events and conferences	2,500		2	5,000
<b>Total travel for Year 2</b>				<b>47,500</b>

<b>Year 3 Travel</b>	<b>Number of Miles</b>	<b>Rate per Mile</b>	<b>Number of trips</b>	<b>Total</b>
<i>Local Travel for Site based personnel to fulfill their managerial, observational, professional development and project involvement responsibilities. (Note: These costs may be re-categorized as contractual at a later date.)</i>				

<i>Maine Program Staff Travel:</i> The Maine DOE program staff is expected to travel extensively among campuses in fulfillment of their responsibilities, particularly overseeing the fidelity of the Program administration.	38,636	0.55		21,250
<i>Maine Professional Development and Candidate Support Providers.</i> While the goal of the Program is to have NBCTs with the closest proximity to the schools in the Program, the geographic location of the sites and the limited number of NBCTs in the state will necessitate travel that is less than optimal.	38,636	0.55		21,250
	<b>Cost per Trip</b>		<b>Number of Trips</b>	
Non-local travel for Maine Program Staff to attend TIF related events and conferences	2,500		2	5,000
<b>Total Travel for Year 3</b>				<b>47,500</b>

	Number of Miles	Rate per Mile	Number of trips	Total
<b>Year 4 Travel</b>				
<b>Local Travel for Site based personnel to fulfill their managerial, observational, professional development and project involvement responsibilities.</b> (Note: These costs may be re-categorized as contractual at a later date.)				
<i>Maine Program Staff Travel:</i> The Maine DOE program staff is expected to travel extensively among campuses in fulfillment of their responsibilities, particularly overseeing the fidelity of the Program administration.	38,636	0.55		21,250
<i>Maine Professional Development and Candidate Support Providers.</i> While the goal of the Program is to have NBCTs with the closest proximity to the schools in the Program, the geographic location of the sites and the limited number of NBCTs in the state will necessitate travel that is less than optimal.	38,636	0.55		21,250
	<b>Cost per Trip</b>		<b>Number of Trips</b>	
Non-local travel for Maine Program Staff to attend TIF related events and conferences	2,500		2	5,000
<b>Total Travel for Year 4</b>				<b>47,500</b>

	Cost per trip	Number of people per trip	Number of trips	Total
<b>Year 5 Travel</b>				
<i>Local Travel for Site based personnel to fulfill their managerial, observational, professional development and project involvement responsibilities. (Note: These costs may be re-categorized as contractual at a later date.)</i>				
<i>Maine Program Staff Travel: The Maine DOE program staff is expected to travel extensively among campuses in fulfillment of their responsibilities, particularly overseeing the fidelity of the Program administration.</i>	38,636	0.55		21,250
<i>Maine Professional Development and Candidate Support Providers. While the goal of the Program is to have NBCTs with the closest proximity to the schools in the Program, the geographic location of the sites and the limited number of NBCTs in the state will necessitate travel that is less than optimal.</i>	38,636	0.55		21,250
	<b>Cost per Trip</b>		<b>Number of Trips</b>	
Non-local travel for Maine Program Staff to attend TIF related events and conferences	2,500		2	5,000
<b>Total Travel for Year 5</b>				<b>47,500</b>

<b>Five Year Travel Cost Summary</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total</b>
<i>Travel Costs</i>	35,000	47,500	47,500	47,500	47,500	225,000

#### 4. Equipment

Equipment is defined as tangible, non-expendable, personal property having a useful life of three years and an acquisition cost of \$1,000 or more per unit. Equipment is anticipated to have a three year life, and accordingly will be required only in the first and fourth years of the Project.

Year 1	Number of Items	Cost per unit	Total
<i>Laptop Computers and specialized software:</i> Laptop computers are necessary to supply the needs of six new employees; laptops will be necessary given the high mobility of all Program staff	6	1,800	10,800
<i>Laptop Docking Stations:</i> These will allow personnel to dock their laptops in the Program office, giving them immediate access to office hardware such as desktop printers	6	1,800	10,800
<i>Laser Color Printer/Copier/Fax</i> A dedicated printer/copier/fax is essential to promote efficiency of the Program. (Note: It might be necessary to provide a separate ink-jet fax/printer and a color laser printer/ copier; and the amount for both is priced accordingly.)	3	1,100	3,300
<i>iPads for State Level Staff</i>	3	600	1800
<i>iPads for schools, 4 per school in year 1 which calculates 4x 34=136x600=74,400</i>	136	600	81,600
<i>Video equipment:</i> for classroom observation and professional development purposes 2 per school in year 1	68	1000	68,000
<b>Total Equipment Year 1</b>			<b>176,300</b>

Year 4	Number of Items	Cost per unit	Total
<i>Laptop Computers and specialized software</i>	6	1,800	10,800
<i>Laptop Docking Stations</i>	6	1,800	10,800
<i>Laser Color Printer/Copier/Fax</i>	3	1,250	3,750
<i>iPads for schools, 4 per school in year 1 which calculates 4x 34=136x600=81,600</i>	136	600	81,600
<b>Total Equipment Year 4</b>			<b>106,950</b>

Five Year Equipment Summary	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Equipment	176,300	-	-	106,750	-	283,050

## 5. Supplies

Standard office supplies (paper, pens, staples, folders, binders, etc.) are necessary for the smooth operation of the Program offices. This category also includes printing and third-party duplication costs, which include, but are not limited to, the production of the material for training and professional development activities.

Five Year Supplies Cost Summary	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Professional Development Materials	3,080	-	-	1,320	-	4,400
General supplies and duplicating/printing costs for Maine	4,000	3,500	2,500	2,575	2,652	15,227
Total	7,080	3,500	2,500	3,895	2,652	19,627

## 6. Contractual

**A. Contractor One:** As part of the TIF 4 initiative, Maine is committed to support the development of a technically and behaviorally sound human capital management system, including teacher and principal evaluation and performance based compensation components. In so doing, the State seeks to identify a vendor that can augment the M DOE's internal expertise in this area. Among the work that Maine is looking to outsource includes:

1. **Project management:** Contractor will coordinate services with a designated Maine DOE project director and may develop and disseminate RFPs to procure additional subcontractor services (e.g., program evaluation, professional development). Contractor will, as necessary, co-facilitate meetings, coordinate project timelines, and communicate with the U.S. Department of Education (U.S. ED).
2. **Evaluation design:** Contractor will work in partnership with MDOE and TIF 4 participating district steering committees to redesign principal and teacher evaluation systems building upon resources and tools from the TIF 3 Schools for Excellence program. Contractor will assist MDOE to identify appropriate TIF 4 Steering Committee members, plan and facilitate meetings, co-design communications materials, collect data from stakeholder groups for use by the steering committee, author teacher and principal observation instruments and evaluation guidebooks, conduct a quality review of all materials with an expert panel, design and manage inter-rater reliability and inter-rater agreement analyses

to monitor observation system implementation, co-develop observer training and support, and provide research and practice information for measures identification and use.

3. **Compensation design:** Contractor will lead compensation system design meetings for the TIF 4 Steering Committee and each TIF 4 district, provide research and practice information on compensation systems design, co-author a compensation systems guidebook, facilitate expert review of the compensation system, and assist with data collection and integration to assure that the compensation system is accurate and fair.
4. **HCMS design:** Contractor will conduct an assessment of each participating TIF 4 district’s human capital management systems using the METworks Needs Assessment and analyze data, co-facilitate with MDOE project director and TIF 4 Steering Committee members to coordinate system redesign, assist with integration of data systems, and assist with redesign of system procedures as needed.
5. **Training and support:** Contractor in partnership with MDOE will co-design and co-facilitate principal and teacher training sessions include TIF 4 Maine Schools for Excellence (a) educator orientation, including webinars, (b) educator evaluator training, (c) educator observer training; and analyze inter-rater reliability and inter-rater agreement data to assure evaluator certification; analyze student growth data, as needed; and analyze educator evaluation data, as needed.

**Contractor 1: Projected Costs per Year**

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$533,066	\$577,515	\$557,215	\$324,311	\$232,010	\$2,224,117

- B. Contractor Two:** As part of the TIF 4 initiative, Maine is committed to using multiple measures to gauge teacher effectiveness. In so doing, the State seeks to identify a vendor that can administer student surveys to students in grades K-12 during course of the grant period. Among the work that Maine is looking to outsource includes:

The State will contract for the administration of a survey that is research-based and has been shown to produce results that correlate with student growth, as demonstrated by academic assessments.

The vendor will administer surveys to students in grades K-12. The vendor will provide all online and/or in-person orientation required for teachers and administrators who will administer the surveys. The vendor must have the ability to provide surveys in “paper and pencil” form and in an on-line environment, as needed. The vendor must

also provide technical assistance to districts and provide guidance to school districts and best practices for survey administration.

The vendor must provide analyses and reports of the student survey results at the teacher-level, school-level, district-level, and state-level at the end of the year to teachers, principals, superintendents, and state officials. While the vendor will conduct analyses, the data collected will belong to the State.

The vendor must demonstrate clearly each of the following:

- Considerable data to demonstrate the validity and reliability of the student survey
- Constructs measured by the student surveys that are supported by peer-reviewed, relevant research on factors that contribute to successful teaching and learning. The constructs must also align with the teacher behaviors assessed through relevant teacher evaluation instruments.
- Correlation between student survey results and student growth data
- Corporate capacity to perform the tasks specified
- Significant experience in leading and conducting this work at the state and district levels in large scale projects

**Contractor 2: Projected Costs per Year [estimated at \$5 per student]**

Year 1	Year 2	Year 3	Year 4	Year 5	Total
57,015	57,015	57,015	57,015	57,015	285,075

- C. **Contractor Three:** As part of the TIF 4 initiative, Maine is interested in contracting for use of digital observation technology to support the teacher and principal evaluation process. Maine seeks a contractor that can simplify observations by eliminating paperwork and automating tasks; report observations in a timely manner that informs meaningful conversations to improve teacher effectiveness.

**Contractor 3: Projected Costs per Year [estimated at \$65 per teacher]**

Year 1	Year 2	Year 3	Year 4	Year 5	Total
58,825	58,825	58,825	58,825	58,825	294,125

- D. **Contractor Four:** As part of the TIF 4 initiative, Maine is interested in contracting with an outside vendor to help plan and program enhancements to the Statewide Longitudinal Data System in order to optimize the system’s capacity to store teacher and principal evaluation data, and student growth data, and enable analysis through the interface of the two.

**Contractor 4: Projected Costs per Year**

Year 1	Year 2	Year 3	Year 4	Year 5	Total
82,500	82,500	85,000			250,000

E. Miscellaneous Assessments: e.g., NWEA, DIBELS, DRA, AIMSWeb, \$20 x 11403 students per year

**Contractor 5: Projected Costs per Year**

Year 1	Year 2	Year 3	Year 4	Year 5	Total
228,060	228,060	228,060	228,060	228,060	1,140,300

**Summary Projections: Contractual**

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
A. Contractor One	533,066	577,515	557,215	324,311	232,010	2,224,117
B. Contractor Two: Student Perception Survey Contract \$5 x 11403 students per year	57,015	57,015	57,015	57,015	57,015	285,075
C. Contractor Three: Digital iPad Technology \$65 x 905 teachers each year	58,825	58,825	58,825	58,825	58,825	294,125
D. Contractor Four: Data Warehouse reporting and support	82,500	82,500	85,000			250,000
E. Miscellaneous Assessments, e.g., NWEA, DIBELS, DRA, AIMSWeb \$20 x 11403 students per year	228,060	228,060	228,060	228,060	228,060	1,140,300
<b>Total</b>	<b>959,466</b>	<b>1,003,915</b>	<b>986,115</b>	<b>668,211</b>	<b>575,910</b>	<b>4,193,617</b>

**7. Construction - Not part of this grant application**

## 8. Other

### Costs for materials associated with National Board for Professional Teaching Standards (NBPTS)

**A. Take One!** is a framework and process for guiding teachers through a standards-based evaluation and development of their own practice, providing a clear connection between teaching practice and student learning gains. Take One! work is scored by the National Board and provides feedback to teachers to further guide their professional growth. *The cost of Take One! is \$395 per person, calculated by the percentages of teachers noted in the chart below per year. There are 513 teachers in high needs schools.*

Year 1	Year 2	Year 3	Year 4	Year 5	Total
12.5% = 64	100% = 513	10% = 51	10% = 51	10% = 51	
25,280	202,635	20,145	20,145	20,145	288,350

**B. National Board Certification** for teachers is a ten-part professional learning experience and performance assessment that assesses a teacher's ability to link teaching practice to student learning. *The cost of the National Board Certification process is \$2,565 per participant, calculated by the percentages of teachers noted in the chart below per year.*

Year 1	Year 2	Year 3	Year 4	Year 5	Total
.5% = 3	5% = 26	10% = 51	10% = 51	10% = 51	182 teachers
7,695	66,690	130,815	130,815	130,815	466,830

**C. Retake Material.** For teachers who do not achieve National Board in their first or second attempt, they may "Retake" selected entries to improve their overall performance to an accomplished level, which costs \$350 per resubmission. *Number of retakes are indicated by year.*

Year 1	Year 2	Year 3	Year 4	Year 5	Total
	1	13	25	25	
	350	4,550	8,750	8,750	22,400

**D. Leadership Professional Development.** The National Board offers a Principal Evaluation Process that is designed to be a professional learning program for educational leaders. The goal of the performance assessment process is to improve and

link principal practice to student learning. *The cost is \$5,000 per person. All leaders (28) done in year 2.*

Year 1	Year 2	Year 3	Year 4	Year 5	Total
	140,000				140,000

**E. Principal Professional Learning!** Similar to the teacher professional development, this principal professional development module focuses on setting and achieving school-wide learning goals. Aligned to and building towards the Principal Evaluation Process, Principal Professional Learning introduces principals to standards-based leadership, specifically focusing on planning and implementation of strategies to improve student learning. *The cost is \$850 per person. All leaders (28) take in year 2.*

Year 1	Year 2	Year 3	Year 4	Year 5	Total
	23,800				23,800

**F. NBCEL Leadership Assessment.** A 360 degree leadership survey tool that links to the NB Core Propositions and Standards of effective leadership and provides principals with feedback from key stakeholders in their schools (teachers, students, families) to help them assess and address challenges in their school and in their own performance. *The cost is \$200 per person. 28 leaders will take each of the five years@5600 per year*

Year 1	Year 2	Year 3	Year 4	Year 5	Total
5600	5600	5600	5600	5600	28,000

**G. The Video Observation Program** is a web-based library of videos and accompanying commentary that provides examples of accomplished teaching for evaluator training and for coaching of teachers as part of their evaluation and growth process. *One time cost of 30,000 with a five year license.*

Year 1	Year 2	Year 3	Year 4	Year 5	Total
30,000					30,000

**H. Facilitation Skills Books** for all teachers (513) @ \$30 per book in year 2.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
	15,390				15,390

**Substitutes:** Year one, 3 substitute days for all teachers (513) at \$250 per day. Years two-five, 5 substitute days for all teachers (513) at \$250 per day.

Summary costs associated with materials to support National Board for Professional Teaching Standards (NBPTS) professional development follow as items A-H, and Substitute cost are the last item before the total:

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
A. 1. Take One I		202,635	20,145	20,145	20,145	288,350
B. 2. National Board Certification	7,695	66,690	130,815	130,815	130,815	466,830
C. 3. Retakes		350	4,550	8,750	8,750	22,400
D. 4. National Board Principal Evaluation Process		140,000				140,000
E. 5. Principal Effectiveness Learning I		23,800				23,800
F. 6. Leadership Survey	5,600	5,600	5,600	5,600	5,600	28,000
G. 7. Video Observation Program	30,000					30,000
H. 8. FAC Skill Books for all Teachers		15,390				15,390
Substitute costs	384,750	641,250	641,250	641,250	641,250	2,949,750
<b>Total</b>	<b>453,325</b>	<b>1,095,715</b>	<b>802,360</b>	<b>806,560</b>	<b>806,560</b>	<b>3,964,520</b>

**9. Total Direct Services**

Year 1	Year 2	Year 3	Year 4	Year 5	Total
2,470,220	6,560,654	6,034,497	5,874,142	5,725,712	26,665,225

**10. Indirect Costs**

Maine Department of Education has an established indirect cost rate from the US Department of Education. The rate is 9% of the total direct services.

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
A rate of 9% was applied to the total direct services costs.	222,320	590,459	543,105	528,673	515,315	2,399,872

**Summary**

Based on each of the costs enumerated above, The Maine DOE requests funds in the amount of \$29,065,097 to support TIF 4 districts, schools, and educators in their work to transform educator practice and student learning on behalf of the children of Maine. The ED 524 provides the line item summaries.



**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008  
Expiration Date: 04/30/2014

Name of Institution/Organization  
Maine Department of Education

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	627,653	3,373,643	3,208,085	3,241,888	3,280,785	13,732,054
2. Fringe Benefits	211,396	1,036,381	987,937	999,338	1,012,305	4,247,357
3. Travel	35,000	47,500	47,500	47,500	47,500	225,000
4. Equipment	176,300	0	0	106,750	0	283,050
5. Supplies	7,080	3,500	2,500	3,895	2,652	19,627
6. Contractual	959,466	1,003,915	986,115	668,211	575,910	4,193,617
7. Construction	0	0	0	0	0	0
8. Other	453,325	1,095,715	802,360	806,560	806,560	3,964,520
9. Total Direct Costs (lines 1-8)	2,470,220	6,560,654	6,034,497	5,874,142	5,725,712	26,665,225
10. Indirect Costs*	222,320	590,459	543,105	528,673	515,315	2,399,872
11. Training Stipends	0	0	0	0	0	0
12. Total Costs (lines 9-11)	2,692,540	7,151,113	6,577,602	6,402,815	6,241,027	29,065,097

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No
- (2) If yes, please provide the following information:  
 Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2011 To: 09/30/2012 (mm/dd/yyyy)  
 Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_ The Indirect Cost Rate is 9.0%
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
  - Is included in your approved Indirect Cost Rate Agreement? or  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is \_\_\_\_\_%

## Section C – Budget Narrative Non- Federal Funds

### 1. Personnel

Maine Department of Education is providing in kind personnel salaries from both the State Longitudinal Data System Team and the School Finance Team to support the TIF 4 grant in the amount of \$(b)(4) per year for each year of the grant.

### 2. Fringe Benefits

Fringe benefits have been calculated at (b) % each year of the grant, which based on the salary allocation above is \$(b)(4) per year.

### 8. Other

Public Law 2011, Chapter 702, formerly An Act to Restructure the National Certification Program for Teachers, allocates funds for salary supplements for those teachers who have attained certification from the National Board for Professional Teaching Standards at \$(b)(4) a year in special revenue, and allocates funds to encourage certain teachers to apply to and enroll in the certificate program offered by the National Board for Professional Teaching Standards at \$(b)(4) per year. Therefore, there has been \$(b)(4) allocated each year in line 8. Other.

Within the next year the State's Essential Programs and Services (EPS) Funding Formula will be developing a Targeted Fund for Educator Evaluation to assist school administrative units in developing and implementing performance evaluation and professional growth systems pursuant to Public Law 2011, Chapter 635. The amount of funds that will be allocated for the Targeted Fund is not know at this time and has not been included in the ED 524 Non-Federal Form.

### 9. Total Direct Costs

Total direct costs for each year are calculated at \$(b)(4) per year, as the sum of lines 1,2, and 8.

### 10. Indirect Costs

Indirect costs are calculated at 9% per year for an amount of \$(b)(4) per year.

### 12. Total Costs

Total Costs are \$ (b)(4) per year, for a total non-federal support over the period of the grant of \$ (b)(4)

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	(b)(4)					
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

**SECTION C – BUDGET NARRATIVE (see instructions)**

# Survey on Ensuring Equal Opportunity For Applicants

OMB No. 1890-0014 Exp. 2/28/2009

## Purpose:

The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

## Instructions for Submitting the Survey

If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

<b>Applicant's (Organization) Name:</b>	Maine Department of Education
<b>Applicant's DUNS Name:</b>	8090455450000
<b>Federal Program:</b>	Office of Elementary and Secondary Education (OESE): Teacher Incentive Fund (TIF):
<b>CFDA Number:</b>	84.374

1. Has the applicant ever received a grant or contract from the Federal government?

Yes       No

2. Is the applicant a faith-based organization?

Yes       No

3. Is the applicant a secular organization?

Yes       No

4. Does the applicant have 501(c)(3) status?

Yes       No

5. Is the applicant a local affiliate of a national organization?

Yes       No

6. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer       15-50

4-5       51-100

6-14       over 100

7. What is the size of the applicant's annual budget? (Check only one box.)

Less Than \$150,000

\$150,000 - \$299,999

\$300,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$4,999,999

\$5,000,000 or more

# **Survey Instructions on Ensuring Equal Opportunity for Applicants**

OMB No. 1890-0014 Exp. 2/28/2009

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

## **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 **1890-0014**. The time required

to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

**If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008  
Expiration Date: 02/28/2011

Name of Institution/Organization

Maine Department of Education

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
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3. Travel	35,000.00	47,500.00	47,500.00	47,500.00	47,500.00	225,000.00
4. Equipment	176,300.00	0.00	0.00	106,750.00	0.00	283,050.00
5. Supplies	7,080.00	3,500.00	2,500.00	3,895.00	2,652.00	19,627.00
6. Contractual	959,466.00	1,003,915.00	986,115.00	668,211.00	575,910.00	4,193,617.00
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	453,325.00	1,095,715.00	802,360.00	806,560.00	806,560.00	3,964,520.00
9. Total Direct Costs (lines 1-8)	2,470,220.00	6,560,654.00	6,034,497.00	5,874,142.00	5,725,712.00	26,665,225.00
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11. Training Stipends	0.00	0.00	0.00	0.00	0.00	0.00
12. Total Costs (lines 9-11)	2,692,540.00	7,151,113.00	6,577,602.00	6,402,815.00	6,241,027.00	29,065,097.00

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(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From:  To:  (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify):

The Indirect Cost Rate is  %.

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or,  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is  %.

Name of Institution/Organization Maine Department of Education	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	
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**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	(b)(4)					
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**SECTION C - BUDGET NARRATIVE (see instructions)**