

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



**APPLICATION FOR GRANTS  
UNDER THE**

**Turnaround School Leaders Program**

**CFDA # 84.377B**

**PR/Award # S377B140038**

**Grants.gov Tracking#: GRANT11654275**

OMB No. , Expiration Date:

Closing Date: May 23, 2014

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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: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
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* 3. Date Received: <input type="text" value="05/23/2014"/>	4. Applicant Identifier: <input type="text"/>
--	--

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text" value="N/A"/>
--	---

**State Use Only:**

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

**B. APPLICANT INFORMATION:**

\* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="636000619"/>	* c. Organizational DUNS: <input type="text" value="627193386000"/>
---	--

**d. Address:**

* Street1:	<input type="text" value="50 North Ripley Street"/>
Street2:	<input type="text"/>
* City:	<input type="text" value="Montgomery"/>
County/Parish:	<input type="text" value="Montgomery"/>
* State:	<input type="text" value="AL: Alabama"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="36130-2101"/>

**e. Organizational Unit:**

Department Name: <input type="text" value="Alabama State Department of Ed"/>	Division Name: <input type="text" value="Office of Teaching &amp; Learning"/>
---	--

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

Prefix: <input type="text" value="Dr."/>	* First Name: <input type="text" value="Julie"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Hannah"/>	
Suffix: <input type="text"/>	

Title:

Organizational Affiliation:

* Telephone Number: <input type="text" value="334-353-1608"/>	Fax Number: <input type="text" value="334-353-9204"/>
---	---

\* Email:

**Application for Federal Assistance SF-424**

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

A: State Government

**Type of Applicant 2: Select Applicant Type:**

H: Public/State Controlled Institution of Higher Education

**Type of Applicant 3: Select Applicant Type:**

O: Private Institution of Higher Education

**\* Other (specify):**

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

U.S. Department of Education

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

84.377

**CFDA Title:**

School Improvement Grants

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

ED-GRANTS-032814-001

**\* Title:**

Office of Elementary and Secondary Education (OESE):: Turnaround School Leaders Program CFDA Number 84.377B

**13. Competition Identification Number:**

84-377B2014-1

**Title:**

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

Add Attachment

Delete Attachment

View Attachment

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

Project Alabama Consortium for Turnaround (PACT)

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**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	<input type="text" value="2,000,000.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="2,000,000.00"/>

**\* 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 Alabama Consortium for Turnaround (PACT)**

**Congressional Districts**

<b>Applicant Name</b>	<b>Congressional District</b>
Montgomery County	AL-002*
Montgomery County (includes city of Montgomery)	AL-003*

\*Because of geography of Montgomery County, it is split into 2 Congressional districts.

<b>District Name</b>	<b>Congressional District</b>
Colbert County	AL-004
Greene County	AL-007
Lowndes County	AL-007
Marengo County	AL-007
Marshall County	AL-004
Sumter County	AL-007
Washington	AL-001

## 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.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

<b>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</b>	<b>TITLE</b>
Constance Allison	Superintendent, Alabama State Department of Ed
<b>APPLICANT ORGANIZATION</b>	<b>DATE SUBMITTED</b>
Alabama State Department of Education	05/23/2014

Standard Form 424B (Rev. 7-97) Back

# 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 checked="" type="checkbox"/> a. contract <input 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:

**5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:**

<b>6. * Federal Department/Agency:</b> <input type="text" value="Education"/>	<b>7. * Federal Program Name/Description:</b> <input type="text" value="School Improvement Grants"/> CFDA Number, if applicable: <input type="text" value="84.377"/>
--	--

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

**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. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

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

GEPA 427 Equal Access\_ALSDE.pdf

Add Attachment

Delete Attachment

View Attachment

**G.E.P.A.**  
**(General Educational Provisions Act, Section 427)**

**Equal Access Statement**

The Alabama State Department of Education (ALSDE) serves an academically, culturally, and socio-economically diverse population of children and families. The ALSDE and State Board of Education are strongly committed to equal access and treatment for all students, families, employees, and the general public. The intent of the proposal presented in the Turnaround School Leaders Program (TSLP) federal application is to create a leadership pipeline for rural school districts. The emphasis on rural school districts was chosen because of the difficulty these districts have attracting strong leaders due to the geographic location, distance from institutes of higher education in which they could partner and recruit, and the size of the district. By virtue of this application emphasis, the ALSDE is modeling the importance it deems essential for equal access and treatment for all.

With those issues in mind, the ALSDE's history of an attitude of nondiscrimination governs decision making at all levels. The State Board of Education and the Alabama Superintendent of Education are committed to the provision of equal access in all child, family, employment and business programs, activities, services and operations that are deployed by or provided directly by the Board and/or Superintendent. This also extends to programs operated by another entity on behalf of the board under contractual or other arrangements.

In addition, the ALSDE abides by the nondiscrimination policies of the Federal Office of Civil Rights to establish and provide an environment free from discrimination and harassment based upon age, race, color, disability, gender, marital status, national origin, religion, or sexual orientation. These same policies will be followed as selections of promising turnaround leader candidates are made using locally adopted competencies to turnaround low performing rural schools.

The ALSDE and its partners are committed to implementing specific strategies for ensuring equal access and participation in the TSLP for all stakeholders, to include staff of partnering agencies, and employees. The following steps will be carried out with the intent to reduce and eliminate access barriers based on gender, race, national origin, color, disability, and age to maximize participation in the grant program:

- Solicit information from trainers and candidates of grant-related events, such as trainings and workshops, to determine special needs such as wheel chair access or a hearing amplification system.
- Ensure that all program-related activities/sessions are held in facilities deemed accessible and compliant under the Americans with Disabilities Act (ADA).

- Recruit, hire and involve individuals from social and ethnic minority groups, multi-lingual individuals, and individuals with disabilities to plan and implement services, to the greatest extent possible.
- Develop or acquire and disseminate culturally relevant and sensitive curriculum and information materials that can be understood and accessible to all project participants, regardless of their unique challenges or backgrounds.
- Post appropriate project material and information on the Turnaround School Leaders Program web site – which will enable assistive computer devices to interpret the materials for users. Ensure all potential users have direct access to these resources through the provision of usable workstations and/or computer labs, to the greatest extent possible.
- Keep needs of special populations and the need for equal access in the forefront of program discussions, project demonstrations, and writing assignments.

The above listed provisions and strategies will help to ensure that the following principles are reflected in our work with students and the community: valuing diversity and similarities among all peoples; understanding and effectively responding to cultural differences; willingness to continually engage in cultural self-assessment at the individual and organizational level; making adoptions to the delivery of services; and institutionalizing cultural knowledge and avenues for improvement in programming and service delivery.

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(Signature)

---

(Date)

## 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.

<b>* APPLICANT'S ORGANIZATION</b>	
<input type="text" value="Alabama State Department of Education"/>	
<b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>	
Prefix: <input type="text" value="Dr."/>	* First Name: <input type="text" value="Thomas"/> Middle Name: <input type="text"/>
* Last Name: <input type="text" value="Bice"/>	Suffix: <input type="text"/>
* Title: <input type="text" value="Superintendent, Alabama State Department of Ed"/>	
<b>* SIGNATURE:</b> <input type="text" value="Constance Allison"/>	<b>* DATE:</b> <input type="text" value="05/23/2014"/>

## 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

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**ABSTRACT**  
**(Turnaround School Leaders Program)**

The Alabama State Department of Education (ALSDE), in collaboration with the University of Alabama, Auburn University, Samford University, Edwards Educational Services, Inc., and CLAS (Council for Leaders in Alabama Schools) propose an innovative principal leadership development model that will provide an immediate and long-term solution to the State of Alabama's critical need for highly qualified administrators to help turn around its lowest performing schools. The proposed model, entitled *Project Alabama Consortium for Turnaround (PACT)*, will be a collaborative effort of the three major universities in Alabama, and the Alabama State Department of Education. The program will address ***Absolute Priority 2, Competitive Priority 1, and Competitive Priority 2***

**Project Objectives:**

- To recruit and select promising current and prospective school leaders, using locally adopted competencies identified by the applicant as necessary to turn around a SIG school or SIG-eligible school;
- To provide high-quality training to selected school leaders to prepare them to successfully lead turnaround efforts in SIG schools and/or SIG-eligible schools;
- To place school leaders in SIG schools and/or SIG-eligible schools and provide them with ongoing professional development and other support that focuses on instructional leadership and school management and is based on individual needs consistent with the LEA's plan for turning around its SIG schools and/or SIG-eligible schools; and
- To retain effective school leaders, using financial or other incentives, and replace ineffective school leaders.

**Project Activities:**

The proposed project will be a two-pronged approach that will (1) provide targeted training and professional development for identified pre-service candidates who have the potential to become highly effective school leaders and visionary turnaround specialists; (2) It will provide individual assessment and targeted professional development to current licensed school leaders or licensed aspiring school leaders who have the capacity and passion to serve as a turnaround leader in the state’s low-performing rural schools. It is anticipated that candidates who complete the program will receive a special endorsement as a “Turnaround School Specialist”. Most importantly, the proposed program will do more than just “tweak” the current program of studies for school leaders in Alabama. It will serve as a replicable model for the development of school leaders in the state’s most challenging schools. The Alabama State Department of Education (ALSDE) will serve as the LEAD organization for grant submission and project oversight.

**SIG/SIG Eligible Schools to be Targeted:**

District	School	NCES	Locale Code
Colbert County	Colbert County HS	10084000334	42
Coosa County	Central MS	10090002075	43
Dallas County	Keith MS	10111000402	43
	Southside HS	10111000406	42
	Brantley ES	10111000395	41
Greene County	Greene County HS	10168000576	43
Lowndes County	Calhoun HS	10216000815	42
	Hayneville MS	10216001636	42
	Lowndes County MS	10216001637	42
	Jackson-Steele ES	10216000821	42
Marengo County	Marengo HS	10225000856	42
Marshall County	Asbury HS	10000600872	42
Randolph County	Randolph County HS	10282001119	43
Russell County	Russell County HS	10288001802	42
Sumter County	York West End K-8	10309001195	43
Washington County	McIntosh HS	10348001338	42

Anticipated Outcomes:

- Implementation of a restructured pre-service leadership development training at three major Alabama universities over a three-year period, using a Problem-Based Learning (PBL) model that provides leadership experiences designed to place the most talented school leaders in challenging leadership positions within designated SIG and priority schools.
- The successful completion of the program for at least 45 pre-service participants and 20 current principals who will demonstrate their knowledge of highly effective strategies for school leadership through field-based internships, mentoring, and an ISLLC Standards growth assessment model.
- At least 95% of the participants trained in the program will be retained in a target SIG or priority school for at least two years.
- 90% of the schools where *PACT* graduates work will demonstrate positive student academic growth, as well as positive school climate and culture growth.
- 100% of program graduates will be rated as effective or highly effective on the state approved annual performance assessment instrument.
- Capacity and sustainability for the program will be built so that it remains fully operational after the federal grant cycle ends. The program will be 100% sustained after program funding ends.

Proposed Number of Participants: (65)

- 45 pre-service participants recruited by the three IHEs from across the state

*Project Alabama Consortium for Turnaround (PACT)*

- 20 current licensed administrators from across the state

## Project Narrative File(s)

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**TURNAROUND SCHOOL LEADERS PROGRAM  
DEMONSTRATION PROJECT**

**U.S. Department of Education  
*Turnaround School Leaders Program – CFDA No. 84.377B***

-Submitted by the Alabama State Department of Education and a Consortium of three Institutes of Higher Education (IHEs): The University of Alabama, Auburn University, and Samford University

**Proposal Narrative**

**Introduction and Project Overview:**

The Alabama State Department of Education (ALSDE), in collaboration with the University of Alabama, Auburn University, and Samford University, and in conjunction with Edwards Educational Services and, Council for Leaders in Alabama Schools (CLAS) propose a customized and innovative principal leadership development model that will immediately address rural Alabama school districts' critical need for highly qualified SIG school administrators. This model will have a positive impact on student outcome data and will be sustainable. The partners seek to spur much needed systemic school change by providing a framework for school districts to implement innovative approaches to instruction and student learning and ensure school leaders placed in SIG/SIG-eligible schools have a unique set of skills and tools to help them turn their low-performing schools around. Vision and autonomy are key components of State Superintendent Dr. Thomas R. Bice's agenda to dramatically improve student achievement and graduation rates through a strategic plan entitled *Plan 2020*. Those components are embedded throughout the curriculum framework espoused in this proposal.

The proposed program will address ***Absolute Priority 2*** by developing school leadership capacity in seven rural high-need school districts at all grade levels that have identified under-performing schools in need of highly qualified turnaround leaders. It will also address ***Competitive Preference Priority 1*** by providing evidence the targeted school districts have policies in place that provide school leaders with

decision-making authority (with regard to staffing, school schedules, and budgeting) and flexibility in the selection, preparation, placement, support, and retention of school leaders. **Competitive Priority 2** will be addressed by documenting evidence of previous ALSDE success in preparing and supporting school leadership or leadership teams in SIG and/or SIG-eligible schools to positively impact reading/language arts and math scores for “all students” and for each subgroup as specified DOE and U.S.C. codes and regulations.

The proposed project entitled: *Project Alabama Consortium for Turnaround (PACT)* will have a two-pronged approach: (1) A **New Principal Component** will provide targeted training and professional development for identified pre-service candidates who have the potential to become highly effective SIG school leaders and visionary turnaround specialists; (2) A **Currently Licensed Principal Component** will provide individual assessment and targeted professional development to currently licensed school administrators who have the capacity and passion to serve as a turnaround leader in the state’s low-performing rural schools. Both of these components will be strengthened by an internship in a SIG/SIG-eligible school and problem-based learning activities that are guided by highly qualified mentors.

It is anticipated that candidates who complete the *PACT* program will receive a special endorsement as “Specialized Turnaround Trained” by the Alabama State Department of Education. Most importantly, the proposed program will do more than just “tweak” the current program of studies for school leaders in Alabama. It will serve as a replicable model for the development of school leaders in the state’s most challenging schools. The Alabama State Department of Education (ALSDE) will serve as the LEAD organization for grant submission and project oversight.

**Eligibility:**

The following SIG/SIG eligible school districts and schools to be targeted in this project document

ALSDE eligibility:

<u>School District:</u>	<u>School:</u>	<u>NCES:</u>	<u>Locale Code</u>
Colbert County	Colbert Co. High School	10084000334	42
Lowndes County	Calhoun High School	10216000815	42

	Hayneville Middle School	10216001636	42
	Lowndes Co. Middle School	10216001637	42
	Jackson Steele Elementary School	10216000821	42
Marengo County	Marengo High School	10225000856	42
Marshall County	Asbury High School	10000600872	42
Sumter County	York West End K-8	10309001195	43
Washington County	McIntosh High School	10348001338	42

**Response to Need:**

**ALSDE’s Vision and Previous Success in School Leadership Development**

Over the past four years, the ALSDE has engaged in an ambitious, far-reaching initiative to dramatically increase student achievement and high school graduation rates. Superintendent Bice’s *Plan 2020* agenda has set ambitious goals for the district that include 100% graduation and college and/or career readiness. The state plan is built around four pillars designed to attain its goals, with one pillar being every school will be led by a well-prepared, supported, effective school leader.

In an effort to support PLAN 2020, Alabama has initiated several processes to specifically address the need for principals, assistant principals, and central office personnel to become instructional leaders. With a renewed focus on instructional leadership, the 13 IHE’s in Alabama have redesigned their graduate programs to focus on the specific knowledge, skills, and dispositions needed to become an effective instructional leader. The Alabama State Department of Education in collaboration with generous funding from the Alabama State Legislature has also initiated and funded the Alabama Principal Candidate Semester Residency Program. This program provides an annual allocation of \$500,000 for semester residencies of candidates completing approved instructional leadership programs across the state. In addition to the focus on building capacity for future leadership, the ALSDE has also implemented the development of CCRS (College and Career Readiness Standards) Implementation training specifically for principals and instructional leaders at the quarterly CCRS Implementation meetings across the state. Data and feedback (via surveys) from each of these strategic initiatives has

provided positive momentum to the work the state of Alabama continues to do in regard to fully developing the capacity of instructional leaders (or future instructional leaders) in the state.

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## **A. Quality of the Project Design (40 Points)**

### *1. The extent of the selection and placement of school leaders using locally adopted competencies identified as being necessary to turn around SIG/SIG-eligible schools*

Current leaders from the participating high-need SIG school districts will partner with the three Institutes of Higher Education (IHEs) serving as collaborating partners with the Alabama State Department of Education (ALSDE) to assist with the recruitment of candidates from across the state with strong instructional leadership skills. Applicants will undergo a rigorous screening and selection process. At minimum, applicants must have three years of successful teaching experience, a valid Alabama teaching certificate, and an acceptable score on the GRE or MAT. Potential candidates will submit a portfolio, participate in an interview with a panel of faculty and LEA representatives, and complete a written assessment. In addition, candidates must have the following locally identified competencies:

- Ability to assess situations, problem solve, and develop and implement plans of action
- Ability to inspire stakeholders, particularly students and other staff members
- Understanding of the school climate and commitment to an improved future for the school and community
- Resourcefulness in their ability to find ways to improve their schools within the parameters of limited human and fiscal resources

Thirty five pre-service participants and 15 currently licensed participants will be recruited and placed in a special cohort that is separate from the traditional or currently school leadership development program in place across the state. (Auburn University: 10 participants; the University of Alabama: 15 participants; Samford University: 10 participants, Currently Licensed: 15 participants). These participants will be specifically recruited for placement in specified SIG eligible schools (or potential SIG eligible schools) within the collaborating LEA(s) once they complete the prescribed program of studies and required internship. Participants will be asked to make a two-year commitment to work in a SIG designated (or potential SIG eligible school) priority school. The ALSDE will work to develop a State of Alabama *Specialized Turnaround Trained* endorsement for those completing the program. A list of those

earning the endorsement will be available to superintendents across the State for consideration when openings arise in priority schools.

Each of the IHEs will work with SIG designated school district(s) in support of their efforts to secure the most qualified and “best-fitting” candidate(s) for any openings that occur in SIG/SIG-eligible schools. Specific evidence of student mastery and growth as a Specialized Turnaround Trained leader will be shared with the school districts as appropriate. The IHE/ALSDE will conduct follow-up monitoring of impact, and will provide support, technical assistance, and professional development as needed.

*2. The extent to which the applicant will provide comprehensive and differentiated professional development to prepare and support school leaders in SIG/Sig-eligible schools.*

This project’s school leader development model uses a comprehensive approach that is based on the following conceptual framework: (1) the expectations and demands placed on principals in underperforming schools require the placement of highly qualified school leaders with exceptional skills that extend beyond basic state certification requirements; (2) quality recruitment, preparation, and retention programs built upon evidence-based best practices are needed to select and train candidates who will make effective school leaders and will meet the increased expectations of principals in today’s most challenging schools; (3) ongoing comprehensive and differentiated problem-based professional development will improve the effectiveness of school principals in a challenging SIG environment and will provide the support structures necessary to enable principals to meet their schools’ challenges head-on; (4) highly effective school leaders must include innovation and flexibility as bedrocks of their turnaround leadership capacity, and have decision-making autonomy.

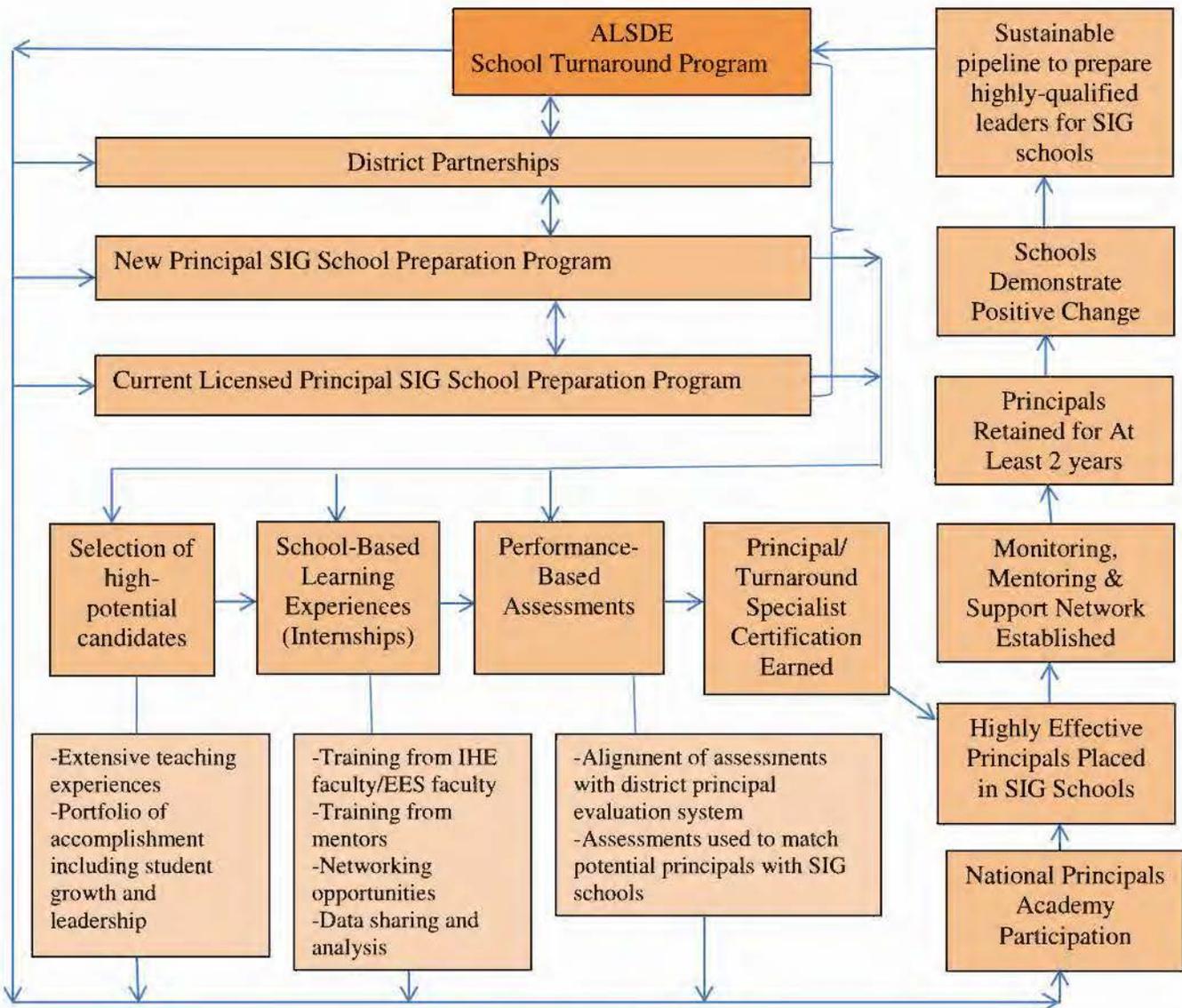
On the basis of the conceptual framework, the proposed leadership development pipeline program will include the following components: (1) a rigorous recruitment, screening, and selection process based on the identification of the skills and expertise needed in the contextual environment of rural Alabama schools to distinguish between very high performing and lower-performing school leaders in a turnaround setting; (2) use of a 360° *Educational Leadership Inventory* © (ELI). The ELI is a research-based 360-degree assessment of five essential domains of effective school leadership: Visionary Leadership;

Instructional Leadership; Emotional Intelligence; Climate and Culture; and Management Skills. These assessment areas are directly linked to the Interstate School Leaders Licensure Consortium (ISLLC) Standards which will be used in a growth assessment instrument to help measure program impact; (3) participation of district level leaders in the professional learning activities. District leaders will be invited to attend all training and professional development courses offered; (4) an internship that will include unique problem-based clinical experiences that are based on the identification of a “problem of practice” and the development of an action research plan that relies on current research for solving the problem, one-to-one mentoring by nationally recognized educational mentors that builds on the *ELI* findings for each participant, and inclusion in a broad-based support network; (5) Seminars & Panel Discussions. The project will include multiple seminars/panel discussions for the cohort group each year. These meetings will be designed for participant interaction and informal discovery and discussion. Among the myriad of opportunities to learn about effective strategies for working with high at-risk populations will be an assortment of opportunities to engage recognized high-profile business leaders in the areas of executive decision-making, systems management, and community engagement strategies; (6) on-site monitoring and supervision. As a means of measuring expected professional growth and intended outcomes, project staff will provide periodic on-site monitoring of trainees’ progress during the year-long internship, and after pre-service graduation and placement in a SIG/SIG-eligible school as principal; (7) National Principals Academy attendance. The NPA is a four-day intensive Leadership Institute that challenges participants to investigate how they lead, encourage them to change habits that are obstacles, and give them strategies to act as a change agent who keeps students’ needs at the center of their work. The NPA is highly engaging, intense, and offers a wide menu of options to enhance leadership capacity. The week’s activities are built around the needs of each participant. The curriculum is grounded in hands-on learning experiences that are both relevant and thought provoking; (8) the use of financial and other incentives to recruit participants for the program; (9) dedicated web-site. A web site will be developed for the program, with additional password-only login capability for participants. Selected training and professional development sessions will be recorded and posted on the website for participants. The web site will serve

to keep participants and other stakeholders informed about major components of the program and will be used to provide ongoing PBL activities and exercises. It will also be a wonderful way to inform a larger audience about the program, to recruit new cohorts of participants, and to disseminate pertinent information about the project; (10) an annual *Turnaround Specialist* state conference hosted by the Council for Leaders in Alabama Schools (CLAS).

The following is a conceptual map of the project's activities and anticipated outcomes:

### Proposed Project Concept Map



## **Project Details:**

As noted in the Introduction and Project Overview, the *PACT* project will have a two-pronged approach: New Principal Development Component and Currently Licensed Principal Component. A discussion of each of the components follows.

### **New Principal Development Component:**

The Departments of Educational Leadership at Auburn University, University of Alabama, and Samford University will lead the effort to develop and implement a pre-service, problem-based/field experience curriculum that focuses on the identified research-based needs of SIG school leaders. Each of the identified Institutes of Higher Education (IHEs) will collaborate with one or more LEAs that have SIG schools or SIG-eligible priority schools. The school districts will agree to work with a specific IHE to help recruit potential students, to help refine the training curriculum to address the specific needs of the schools to be targeted, and to agree to place the students in high-need schools upon completion of the TSLP coursework and internship training.

Coursework for the Turnaround Principal Preparation Program will be significantly modified as part of the redesign process. It will not be a “drive-by” approach to professional development. A major component of the curriculum redesign will include close collaboration and feedback from the targeted LEA(s) to determine the specific, or unique, skills principals should master to be a successful turnaround principal in their SIG schools. Current courses will be reviewed and aligned with the Interstate School Leadership Licensure Consortium (ISLLC) Standards, and the restructured Turnaround Principal Preparation Program will be based on a framework that is guided by Alabama’s *Plan 2020* component that will ensure every school system is led by a prepared and supported visionary instructional leader. This project will build upon leadership development efforts currently being implemented across the state.

Participant recruitment and selection will require special attention and communication with the designated LEA(s). Districts will do the initial screening to determine if candidates meet the Alabama professional requirements for an advanced degree/certificate, and those who might be most likely to emerge as future leaders in the district. Those candidates identified will be examined for potential leadership competency through an admission portfolio, interview, resume, and writing sample.

Each collaborating University will have a unique curriculum and approach that is supported by strong theory and *evidence of promise* indicating there is empirical evidence to support the theoretical linkage(s) between at least one critical component and at least one relevant outcome presented in a designed logic model for the proposed process, product, strategy, or practice. (34 CFR 77.1) More specifically, each IHE will identify critical paths/research-based competencies from which they will build their specialized curriculum to develop school Turnaround Specialists.

Each program participant will be assessed for leadership growth using a *Competency-Based Standards Assessment Matrix and Growth Portfolio Instrument* that will be developed specifically for the *PACT* Project. The instrument is tied directly with coursework taken and the ISLLC Standards. The instrument will assess individual level of competency on the six ISLLC Standards and indicators of proficiency as well as demonstrating mastery over each course competency and disposition. The portfolio requirements are designed in such a manner as to constitute a valid and reliable measure for ascertaining mastery of course competencies and participant growth pertaining to the ISLLC Standards.

**Currently Licensed Principal Component:**

A critical element of this component will be the development of a critical mass of participants with the knowledge and skills to continue the unique professional development model after Federal funding ends.

The first year, a separate cohort of 15 aspiring SIG school leaders who are already licensed as a school administrator will be recruited from across the state to undergo intensive problem-based (PBL) training to prepare them as “Turnaround Specialists” in the leadership development model described below. After the first year, the pre-service leader will enter into an internship with a highly effective

currently licensed principal. The addition of the EES Leadership model training will further prepare them as Specialized Turnaround Trained.

The leadership development model to be implemented for currently licensed school leaders was designed by Edwards Educational Services (EES) in Alexandria, VA ([www.edwardsedservices.com](http://www.edwardsedservices.com)). The model has been used successfully in school districts around the country and parts of Europe, Africa, and Asia. A major component and strength of the model is that it is based on a wide body of research that suggests an effective leadership development program should include Problem Based Learning (PBL), use of technology, intensive mentoring, and on-site support. It also includes components of the *National College for School Leaders* program in the United Kingdom, which experts consider to be the current premier principal training program in the world (Bush, 2013; Crow, 2004). More specifically, the leadership development model is an intensive “blueprint for continuous improvement” that includes the following elements: Assists each participant in developing a personal leadership growth plan; establishes the network to create a culture of ownership for all educational stakeholders within the leader’s sphere of influence; maximizes individuals’ leadership competencies while equipping them with the adaptive skills necessary to manage resources effectively; promotes a collaborative community in a changing environment so that all students can succeed in a global economy; strengthens the understanding of the multiple aspects of curriculum monitoring, while building an organized system for data-driven decision making; & provides a global view of best practices in educational leadership from experts around the world.

The *Continuous Improvement Blueprint* is organized around five strands of activities that have been proven to develop high quality principals and instructional leaders committed to creating a student-centered, high-achieving learning environment.

- **Strand 1:** Educational Leadership Inventory (*ELI*).

The *ELI* is a 360-degree leadership assessment tool that targets five essential domains of effective school leadership: (visionary leadership, instructional leadership, emotional intelligence, climate and culture, and management skills). Proficiency in these domains contributes to high performing and highly effective

educational leaders. The ELI assesses a school leader's strengths in each of the domains through an on-line self-assessment process and through an anonymous on-line assessment of others who have observed the school leader in his/her professional setting. These "*responders*" could be from one of four categories: superiors, subordinates, peers, outside others who are individuals who are associated with the school/district but are not within the participant's chain-of-command.

- **Strand 2:** Virtual and Face-to-Face Networking for a Changing Educational Community.

This includes multiple workshops, panel discussions, and seminars, plus wiki development with on-going professional networking. This strand is designed to help school leaders develop ownership in their educational community and become the nexus in creating a collaborative culture that values all members of the community. It embodies 21<sup>st</sup> Century strategies for incorporating innovative teaching models, empowering all community members, mapping social networks, and reaching out to stakeholders.

- **Strand 3:** Leading the Way Forward

This component includes three to five interactive webinars per year whereby participants gain strategies from acknowledged education experts for embedding 21<sup>st</sup> Century tools in their educational community, coaching to success, systems thinking to promote organizational communication, and consensus building. Additional seminars and panel discussions will be employed to drive the learning forward.

- **Strand 4:** Advancing the Ball: Entrepreneurial Leadership

Workshops designed to help school leaders understand that they must continually adapt to changes and challenge both themselves and their staff to raise student achievement. By constantly reflecting on current practices, the entrepreneurial leader is focused on taking calculated risks that create opportunities for all students. This strand focuses on developing a systematic and comprehensive approach to purposeful school change that permeates all levels of student performance.

- **Strand 5:** Data-Driven Success

Seminars, panel discussion, workshops and professional development seminars, plus on-going virtual assessments and video conferences. This strand will help school leaders develop a cohesive system of

data collection, analysis and decision-making that impacts practice at all levels. They will look at data gathered from four sources (perception, demographic, student assessment, and school progress) that will enable the leadership team to develop specific prevention and intervention strategies (Victoria Bernhardt Model). This strand emphasizes participant's understanding of the academic, social, and emotional development of the student.

### **Project Goals:**

The goals of the program are: *(1) the development of a sustained pipeline of new and current school administrators who will be prepared to be bold, visionary leaders that use the conditions of innovation, flexibility, and autonomy to create schools with high academic achievement, while providing these administrators with an intensive path to attaining recognition as a Specialized Turnaround Trained. (2) increase school/student effectiveness proficiency outcomes (3) reduce the high turnover rate of principals in high-need schools, (4) ensure the sustainability of the leadership development program.*

### **Anticipated Outcomes:**

- A cohort of fifty pre-service and currently licensed school administrators will be selected to be trained as a Turnaround Specialist in SIG/SIG-eligible schools.
- 100% of *PACT* participants will successfully demonstrate mastery over program competencies and be awarded a graduate degree and/or endorsement as a Specialized Turnaround Trained Leader.
- 100% of *PACT* participants will remain in a school administrator position in a high-need/ SIG (SIG-eligible) schools for at least two years after being hired.
- 100% of the schools with *PACT* participants in a school leadership position will demonstrate positive change in student academic growth.
- 100% of *PACT* participants will show positive growth on the Competency Assessment Instrument developed for this project.
- 100% of *PACT* participants will be rated as "highly effective" using the state approved school administrator evaluation tool.

**Project Goals, Objectives, and Benchmarks**

<b>Goal</b>	<b>Objective</b>	<b>Timeline</b>	<b>Success Benchmark</b>
<p>Goal 1.</p> <p>The development of a sustained pipeline of new and current school administrators who will be prepared to be bold, visionary leaders that use the conditions of innovation, flexibility, and autonomy to create schools with high academic achievement, while providing these administrators with an intensive path to attaining certification as a Turnaround Specialist.</p>	<p>1.1 To recruit and train a cohort of 50 pre-service and currently licensed school administrators in designated SIG/SIG-eligible schools across the state in the areas of visionary leadership, instructional leadership, emotional intelligence, climate and culture, and systems management skills as Turnaround Specialists</p>	<p>NLT Dec. 2014</p> <p>Jan. 2015</p> <p>April 2015</p> <p>Upon enrollment</p> <p>Upon graduation/program completion</p>	<p>1.1.1 Participants will apply, be screened, and selected by the participating IHEs &amp; school district leaders.</p> <p>1.1.2 TSLP curriculum will be implemented for currently licensed administrators in Jan, 2015.</p> <p>1.1.3 TSLP curriculum will be implemented for pre-service component in April, 2015</p> <p>1.1.4 A stipend will be provided for all program participants.</p> <p>1.1.5 100% of participants will successfully demonstrate master over competencies and be awarded a graduate degree and/or endorsement as a Specialized Turnaround Trained Leader</p> <p>1.1.6 100% of participants will demonstrate positive</p>

	<p>1.2 To ensure a concerted effort will be made to recruit participants from traditionally under-served populations</p> <p>1.3 To ensure training is accessible to all participants in the rural high-need school districts.</p>	<p>Oct-Dec 2014</p> <p>On-going</p>	<p>growth on the ISLLC Standards Competency Assessment Instrument</p> <p>1.2.1 At least 13 participants (approx... 25%) will be recruited from traditionally under-served populations</p> <p>1.3.1 The training will be provided at designated sites by each IHE and via a virtual platform</p> <p>1.3.2 Reimbursement will be provided for those having to travel more than 50 miles to attend training sessions.</p> <p>1.3.3 Training sessions will be recorded and available for those who miss them.</p>
<p>Goal 2: Increase school/student effectiveness and proficiency outcomes</p>	<p>2.1 To improve school and student outcomes on a number of effectiveness measures to include: end of course test results, standardized test results, 9<sup>th</sup> grade failures, demographic achievement gaps, disciplinary infractions, student</p>	<p>June 2015: Benchmark data collected.</p> <p>June 2016-2018 Performance data collected</p>	<p>2.1.1 There will be at least a 2% annual gain on the identified school/student effectiveness and proficiency outcomes</p>

	attendance, number of remedial courses required in college, ACT college entrance scores, graduation rates, teacher attendance, teacher turnover, administrative turnover.		
Goal 3. Reduce the high turnover rate of principals in high-need schools	3.1 To ensure that school leaders trained in the program will be retained in a SIG/SIG-eligible school 2 or more years.	Annual assessment beginning in 2016	3.1.1 All (100%) of school leaders trained in the program will be retained in their assigned high need/SIG/SIG-eligible school two or more years. 3.1.2 Overall school leader turnover rate in high-need schools will be reduced by 25%.
Goal 4. Ensure the sustainability of the leadership development program	4.1 To ensure the program is sustained after federal funding has ended.  4.2 Lessons learned from the implementation process and program	At end of funding in 2017  On-going	4.1.1 Institutionalized capacity will be built into the <i>PACT</i> initiative so that training will continue in each IHE with zero funding required from outside sources. 4.1.2 Coalitions and alliances will be developed to help secure new state funding 4.2.1. There will be wide dissemination of the <i>PACT</i> outcomes at the

	evaluation will help inform and drive the <i>PACT</i> reform initiative forward.		state and national levels via webcasts, journal articles, conference presentations, etc.
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**3. The extent the project is supported by a strong theory (as defined in 34 CFR 77.1 (c) (5)).**

The school leadership challenge is even greater within the complex cultures of persistently low-performing schools, which have been historically mired in low expectations, high teacher turnover, low student support, absent a professional culture of collaboration, and little to no family engagement. “The most important factor in a successful turnaround is having the right leader. The right leader taking the right actions can overcome barriers that would otherwise prevent success.” (Center for Comprehensive School Reform and Improvement, 2009, p.31) On the other hand, researchers have found that ineffective leadership can result in the spiraling conditions that lead to persistent low performance within schools. “Predictably, higher [teacher] attrition rates are associated with inadequate administrative support and a lack of teacher involvement in decision-making at the school site.” (Ingersoll & Alsalam, 1997; Shen, 1997; Weiss, 1999; Quartz, 2005, p.494) High teacher attrition rates are one key predictor of low achievement.

Research points to the qualities needed to be a successful leader of a turnaround school. A May 2008 practice guide released by the National Center for Education Evaluation and Regional Assistance at the Institute of Education Science (Herman et al.), *Turning Around Chronically Low-Performing Schools*, analyzed published case studies to identify practices which had the greatest success in turning around low-performing schools. The researchers made the following recommendations to turnaround school leaders: signal the need for dramatic change with strong leadership; maintain a consistent focus on improving instruction; make visible improvements early in the school turnaround process (quick wins); & build a committed staff.

Perhaps the most significant research findings pertinent to the *PACT* turnaround leadership development initiative comes from a recently released Wallace Foundation report on their Principal Pipeline Initiative in six participating school districts around the nation (Wallace Foundation, 2013). The report identifies four interlocking components that previous research (Darling-Hammond, LaPointe et al. 2007) indicates are critical to a high-quality school leadership development program: (1) Leader standards to which sites align job descriptions, preparation, selection, evaluation, and support. (2) Pre-service preparation that includes selective admissions to high-quality programs. (3) Selective hiring, and placement based on a match between the candidate and the school. (4) On-the-job evaluation and support addressing the capacity to improve teaching and learning, with support focused on needs identified by evaluation.

The *PACT* turnaround leadership development initiative embodies all four components in its conceptual framework and application strategy. Combined with the above mentioned research-based tenets of action research, the *PACT* initiative is designed to build a high-quality leadership pipeline for Alabama's SIG/SIG-eligible schools. Moreover, the ALSDE and its collaborating partners will launch a sustainable leadership development approach that will have widespread impact on the turnaround challenge in Alabama by better preparing candidates for the intricacies of leading a school beset by low expectations and disappointing results.

Through the proposed project, we will be able to understand how the proposed two-pronged training program impacts the principal leadership in the most challenged schools, which in turn impacts the school process and culture, and subsequently student academic achievement. Therefore, through the proposed principal leadership development pipeline, we will have more knowledge and strategies to improve principal leadership capacity.

In summary, the *PACT* leadership development project is based on solid, up-to-date empirical research and best practices, and it is highly replicable. The proposed project focuses on the core practices of the principalship that are significantly related to changes in instruction and instructional capacity that research indicates are associated with enhanced student achievement (Waters, Marzano & McNulty,

2005; Wahlstrom, Seashore-Louis, Leithwood & Anderson, 2010), and the connections between the recruitment, selection, placement, and support of highly-effective school leaders. With the quality, intensity, and duration of the training previously discussed, we expect to see significant impact on participant growth (for both pre-service and currently licensed participants) as measured by a Competency-Based ISLLC Assessment Matrix & Growth Portfolio instrument, as well as student achievement as measured by the improvements in attendance, graduation rates, end-of-course tests and the ACT.

***4. The extent the design of the proposed project will address the needs of traditionally underserved populations.***

Alabama has implemented a new education plan entitled “*Plan 2020*” that has replaced *No Child Left Behind* through a Federal waiver. *Plan 2020* sets annual benchmarks for traditionally underserved populations that include African-Americans, Hispanics living in poverty, and students with special needs. The proposed *PACT* project will enhance the leadership development goals and activities of *Plan 2020* by recruiting and training school leaders from the ranks of the traditionally underserved populations so that every school is led by a high-quality leader who identifies with the population he/she is serving. It is expected that the leaders of the SIG schools will assist with the recruitment of the potential candidates and will identify those meeting the desired competencies and those representing underserved populations.

***5. The extent data will be used to inform professional development, retention, and incentive decisions.***

Once participants are selected and placed in high need/SIG/SIG-eligible schools, the *Competency-Based Standards Assessment Matrix and Growth Portfolio Instrument* (previously discussed) will be modified to assess leadership growth and development based on data and artifacts relating to the participants on-the-job performance associated to the ISLLC Standards. The instrument will not be intended as a formal evaluation instrument for purposes of retention, but it could be used for incentive purposes and most certainly should help inform areas for which a participant may need more professional development. Additionally, individual professional development will continually be driven by data from the *ELI* assessment that will help inform strengths and weaknesses on the five domains of effective

leadership. Data from individual assessments will be used to drive large-scale professional development strategies and activities that are pertinent to a wide-range of school leaders in the high need/SIG/SIG-eligible schools.

Furthermore, the External Evaluation component will help inform teacher and leader effectiveness by examining various school improvement indicators. Qualitative indicators will include: end of course test results, standardized test results, 9<sup>th</sup> grade failures, demographic achievement gaps, disciplinary infractions, student attendance, ACT college entrance scores, graduation rates, teacher attendance, teacher turnover, administrative turnover. Qualitative indicators will include: parent and community engagement measures, school and climate survey measures, mentor feedback, direct observation notes from ALSDE support staff, and supervisor notes and observations, self-assessment analysis that includes insight gained at workshops and activities such as the National Principal Academy institutes and CLAS Turnaround Specialist conferences. Other outcome measures will also help inform participant retention and incentive decisions. These will include the length of time an administrator remains in a SIG/SIG-eligible school and the results of his/her annual evaluation assessment.

***6. The extent data will be used to inform continuous improvement of the leadership pipeline during the award period.***

The *PACT* collaborative will use multiple data collection procedures to ensure feedback and continuous improvement of the leadership development project. Concerns about the quality and ability of the project to meet stated goals and objectives will be reviewed during monthly Project Director's meetings. Data collection procedures will be implemented to strengthen the project and to manage the process of applying ongoing data feedback to project improvement strategies.

The training curriculum and individualized professional development (IPD) plans will be continually reviewed to ensure they meet the current needs of the participants and targeted school districts. In addition to the External Evaluator assessment process and ALSDE oversight and monitoring, each IHE will utilize their own assessment tools in conjunction with feedback from all stakeholders to

ensure that the training curriculum for pre-service leaders is on target and adjusted according to the locally adopted competencies identified as necessary to turn around SIG schools. The curriculum and IDP plans will be updated based on various assessments of mentors, coaches, and personal feedback.

The External Evaluator will assess the effectiveness of the project using qualitative and quantitative techniques to examine progress toward achieving project goals and objectives. The evaluation plan includes a formative component which will provide on-going feedback for continuous improvement. The External Evaluator will gather and monitor data monthly to quickly identify the need for any project adjustments, and will prepare timely formative evaluations for review by the project Management Team and other stakeholders. The External Evaluator will develop and forward a list of recommendations for improvement that will be immediately addressed by project staff to ensure compliance with the grant contract and for continuous improvement.

The monthly reports will be used to ensure each component of implementation is succeeding as planned and that all steps meet the expectations of the project timeline. Monthly meetings of the Management Team will ensure that any weaknesses or barriers to program implementation will be identified and overcome as quickly as possible. Quarterly reports will document the fidelity of implementation of the *PACT* leadership development model and to identify strengths of the program and/or challenges the Management Team has encountered. The Final Report will include findings and recommendations that will inform the effectiveness of the leadership development model and provide useful information for the US DOE to consider replicating it in other high-need rural areas across the nation. (Complete evaluation design can be found in Attachments)

**Competitive Preference Priority 1: Existing Policy Conditions that can be Leveraged to Ensure Success and Sustainability of a Turnaround Leadership Pipeline**

Alabama legislation ((*Act 2000-733, p. 1588, §4.*) mandates that all school principals have autonomy and decision-making authority with regard to staffing, school schedules, and budgeting (See attached legislation). Also, the ALSDE *Plan 2020* has incorporated vision, autonomy, and flexibility into

its conceptual foundation. Indeed, there is an expectation on the part of the State Superintendent of Education that these components will be embraced by all school districts in Alabama and will be the hallmarks of school turnaround and reform. (see attached *Plan 2020*)

**Competitive Preference Priority 2: Record of Preparing and Supporting Turnaround School**

**Leaders who have Demonstrated Success in Increased Graduation Rates and Academic Growth.**

The ALSDE created a *School Turnaround Program* two years ago that provides comprehensive technical assistance and training to school leaders and leadership teams in all SIG Tier 1 and 2 Priority schools. The goal of the *Alabama School Turnaround Program* (ASTP) is to build the customized capacity (based on current data and capability) of the lowest-achieving districts and schools to engage in continual improvement practices that impact student achievement, close achievement gaps, promote student growth, and increase the number of graduates that are prepared for college and careers.

Asbury High School, a grades 6-12 rural SIG school in Marshall County is an example where customized support has been effective. The school literally sits on top of a mountain in an isolated community setting. The socioeconomic background is 89% free/reduced lunch and Hispanic students compose 24% of their demographics.

The district and school in collaboration with their state Regional Planning Team have implemented a variety of “best practices” including standards-based instruction, formative, benchmark and standardized assessments, pacing guides, increased learning time, and, differentiated instruction along with the Positive Behavior Supports program. This wrap-around support system includes academic and behavioral interventions as well as a mentoring program, close parent contact, student conferences and goal setting experiences.

Asbury High School offers some very compelling improvement data that has been supported by the ASTP. Student attendance rates have increased yearly from a low of 90.1% in 2009-2010 to a high of 94.58% in 2012-2013. Student truancy rates decreased from a high of 10.2% to a low of 0.04%. Graduation rates increased by over 24% and for the 2013-2014 school year the graduation rate was 100%

with every senior walking to receive a diploma. In grades 6-8 academic growth in ELA and Math has been stagnant. The principal of the school received intensive support and guidance from the ASTP team that included regular on-site visits, mentoring, and staff-development from a wide-variety of regional and national experts in school turnaround.

### **B. Significance of the Project: (5 points)**

#### ***1. The extent to which the proposed leadership pipeline is likely to produce best practices and lessons learned that promote and support reforms in the turnaround field.***

An underlying assumption of education reform efforts aimed at improving principal preparation programs and increasing the rigor of state certification structures is that the quality of a preparation program can positively influence school leaders' work and their school's efforts to improve student outcomes. However, as noted by several researchers, there is a lack of significant research on the relationship between preparation program approaches and effective leadership practices (Leithwood, Jantzi, Coffin, & Wilson, 1996; Orr, 2009, Orr & Barber, 2007).

Given the amount of resources spent annually on the preparation of principals, it is essential that we begin to determine which components of leadership development theory are most effective in terms of preparing highly-effective school leaders for high-need schools. Alabama has mandated rigorous new requirements for the preparation of school leaders; new performance-based assessments for licensure; a new principal performance evaluation system that includes a student growth component. The state's universities and school districts are working together to forge innovative new partnerships aimed at helping new principal preparation programs that will improve schools and increase student achievement.

While individual universities or SEAs around the country may also be seeking federal funding to enhance their pre-service training, this proposal is combining the three major leadership development programs in the state within a consortium of partners of universities and school districts that will specifically target rural high need/SIG/SIG eligible schools. The best practices and effective strategies found through this project will be applicable to universities/districts throughout the country. Strategies and findings from the three unique approaches will be shared via monthly meetings/annual reports, an end

of grant symposium with principal preparation programs and districts in Alabama in a reciprocal exchange of best-practices. The strategies and project findings will also be disseminated nationally via webinars, national conference presentations, journal articles, and locally to media outlets, districts, university faculty, and state policymakers via the Alabama State Department of Education public information dissemination arm.

There is an expectation that there will be systems change or improvement as a result of this project. Due to the inclusion of such a broad-base of stakeholders within the state who are responsible for the development of school leaders, it will allow for a rich level of discussion among individuals that have the ability to institute change within their organizations. This increases the capacity of the partnership to collect and share data on principal effectiveness and to use that information and data in a comprehensive and cohesive manner to further inform the continuous quality improvement process

The most meaningful changes through the *PACT* project will be the changes in perception and approaches to work that occur within the ALSDE/district/university partnership. The universities will be provided with a platform and mechanism for sharing emerging research on effective strategies, and because of their interactions and discussions with the local districts they work with, the research will be more generalizable to the high-need schools involved in the partnerships. Districts in turn will provide insight into the true working conditions of their schools that include many non-school influenced barriers to education and the non-instructional mandates that often confound the mission of the school. This insight will allow universities to develop preparation programs that respond to the realities their principal candidates will face in the schools of today. These partnerships hold the key to long-term, sustainable improvements in leadership development for our most challenging learning environments.

### **C. Capacity to Implement the Proposed Project: (20 points)**

#### ***1. The extent to which there is a system in place that determines teacher and leader effectiveness.***

This *PACT* project has a robust process and system in place to assess teacher and leader effectiveness, both at the pre-service level and after participants are placed in leadership positions.

Additionally, the IHEs, school districts, ALSDE, mentors, and External Evaluator will share data and collaborate fully on all aspects of teacher and leader efficacy that will ensure accurate assessment of leadership capacity and effectiveness. Furthermore, school administrators in Alabama are held to eight standards that guide their performance assessment which are embedded within the process for determining school leader impact and effectiveness.

***2. The extent to which decision-making autonomy (with regard to staffing, schedules, and budgeting) will be extended to school leaders placed in SIG schools.***

This project will be informed by the research of Waters and Marzano (2007) who conclude that principals should be provided with “defined autonomy.” That is, they set clear, non-negotiable goals for learning and instruction, yet provide school leaders with the responsibility and authority for determining how to meet those goals.

As a condition of receiving SIG funds, all SIG schools are required to ensure the principals of SIG/SIG eligible schools have full decision-making autonomy within the domains of their school(s). Furthermore, Alabama’s *Plan 2020* is built upon the cornerstone of innovation and flexibility that extends down to the building level. Even so, there is no one-size-fits-all way for a district to give principals autonomy. This project will embed the skills needed for school turnaround specialists to use principal autonomy in a proactive manner that is based on solid research and is data-driven. However, each district will tailor its approach based on individual school and district needs and constraints.

The ALSDE and universities will work with the target school districts to develop innovative strategies and protocols to support and evaluate autonomous principals. This will mean giving principals enough flexibility in staffing and budgeting to influence intangibles. Such intangibles as school climate and culture likely have as much (if not more) influence on student achievement than a school’s physical assets, such as the number of books in its library, computers per student or student-teacher ratios. The university and ALSDE liaisons working directly with the school districts will be looking for signs of opposition to autonomous leadership that may inhibit school turnaround and meaningful reform.

***3. The extent the project will be coordinated with committed partners as evidenced by MOUs.***

The ALSDE has received enthusiastic endorsement for this project by its three institutes of higher education (IHE) collaborating partners and CLAS. The University of Alabama, Auburn University, Samford University, and CLAS have provided an MOU that outlines the terms and contributions each institution/organization will make to support full and effective implementation of the leadership pipeline and commits them to working with the ALSDE and selected SIG school districts to recruit, train, and oversee the placement of highly-qualified turnaround trained specialists in their schools. The targeted high need/SIG/SIG-eligible districts have also provided an MOU or commitment letter that pledges their support of the project in their schools (see copy of MOUs in attachments). Additionally, letters of support have been received from varying stakeholder groups.

***4. The extent there has been a reasonable opportunity for the public, including teachers and school leaders to provide feedback on the proposed leadership pipeline plan.***

The ALSDE sent the following email, along with a copy of the Project Overview, to all of the SIG/SIG –eligible schools to make them aware of the proposed project and to solicit their feedback: “Dear School Leaders and Teachers, We have the opportunity to apply for a federal grant to help the Alabama State Department of Education, three Alabama universities and the consulting company, Edwards Educational Solutions, prepare credentialed and pre-service leaders specifically to be an administrator in a SIG school or SIG-eligible school. I have attached the program overview that describes our current thinking. Please read over and email back to let me know that you find it acceptable as written or make comments/suggestions for change. Your input is valuable to us.” (response data are attached).

Also, each of the IHEs made personal contact with their designated SIG/SIG-eligible school districts to discuss the proposed project and to seek their feedback. Feedback from those discussions helped them refine their training and implementation strategy in those districts.

#### **D. Sustainability of the Proposed Project After Award Period Ends: (25 points)**

##### ***1. The adequacy of the plan to sustain the leadership pipeline that has been developed***

The continuation of the *PACT* leadership development program after Federal funding ends is a critical element in the proposal. Sustainability has been built into the plan from the ground-up. Each of the IHE collaborating partners and contractual service organizations have been advised to formulate their program implementation and services model to ensure development of internal capacity and longitudinal impact. Each of the IHEs involved in the project will have learned and strengthened their leadership development program as a result of this grant that will result in sustainability at the micro level. That means that the 3 main universities in the state are improving their program for many years to come. Most importantly, there is a strong internal commitment within each of the collaborating organizations to bring about a larger change process within the State of Alabama for leadership development that will ultimately lead to enhanced student outcomes, particularly in the state's most challenged schools. This process relies on each collaborating organization's infrastructure being flexible and receptive to change.

Two key components will be the local acquisition of knowledge, skills, and resources needed to support program activities and maintaining the capacity of the collaborative structure that will be developed to address broad program objectives that are not feasible for the ALSDE to address on its own. For instance, each of the IHEs and designated SIG/SIG-eligible school districts are embarking on this unique endeavor to build leadership capacity as a means of retooling, or redefining their conceptual design of leadership development theory and practice, which will become the "new norm" for curriculum delivery and application. In other words, this project will be sustained as a result of evidence of effectiveness. Moreover, the resources needed to ensure its sustainability will follow, just as resources have followed other new conceptual designs such as semester-long internships, distance-learning, and alternative pathways to graduation.

Another key factor that will be critical to sustainability will be the involvement of the CLAS organization. CLAS (Council for Leaders of Alabama Schools) is considered the primary source of

professional development in the state and brings tremendous assets and potential that will remain after the project ends.

***2. The adequacy of the proposed budget to identify and align resources after funding ends.***

The proposed budget is indeed heavy in start-up costs but becomes sustainable after initial implementation and program development. The budget categories are not laden with personnel costs, travel, or contractual services that could not be recouped through tuition and nominal fees. The proposed budget also lends itself to manipulation and change without compromising essential program components and deliverables.

***3. The adequacy of the plan to sustain stakeholder support after Federal funding ends.***

As noted above, evidence of success of the *PACT* initiative will drive stakeholder support and resources. The anticipated positive outcomes will certainly lead to increased legislative funding and/or grants to sustain the program. Research findings indicate that a major benefit of sustainability is to maintain the positive outcomes of a program or initiative over a long period of time (Pluye et al., 2004). Moreover, extending the life of a program provides sufficient time for the 'latency' period that typically occurs during the time a program begins and when its effect become apparent. When effective programs are not sustained, the resources that went into their planning and implementation are lost (Goodman and Steckler, 1989; Shediak-Rizkallah and Bone, 1998

Most importantly, the ALSDE has embarked on a bold, new vision for leadership development that will result in the redirection of its own resources that will help to sustain the reform initiative. It is also anticipated that educational leadership organizations across the state will embrace the reform effort and provide both direct and in-kind support.

**E. Quality of the Management Plan: (10 points)**

***1. The extent to which the proposed plan it likely to achieve the objectives on time and within the budget.***

Key project personnel have been selected for their professional experience, areas of expertise and commitment to project implementation. The key personnel have successful experience with large statewide and local grant projects. They are also familiar with the many challenges faced by high-need schools and districts.

The *PACT* initiative will be housed within the ALSDE’s School Turnaround Program will include the overall Principal Investigator for the project. In the spirit of partnership, the ALSDE will work closely with collaborating IHE Principal Investigators who will oversee local program management and implementation.

The design of the project ensures that appropriate staff and resources are applied in order to carry out all goals and objectives as expected. A quality project Management Team has been assembled to achieve the outcomes listed in our Timeline. Below is a description of key project personnel and their contributions to accomplishing the project goals. Resumes/bios for named positions are included in the Appendix.

**Program Management Team (PMT)**

<b>Project Key Personnel</b>				
<b>Name/Position</b>	<b>Title/Organization</b>	<b>Background</b>	<b>Time</b>	<b>Role in Project</b>
Principal Investigator: Dr. Julie Hannah	Principal Investigator ALSDE	Office of Student Learning, PhD in Ed Org. and Leadership	.05 FTE	PI: Provide leadership, planning, and administrative oversight to the project
Project Director: TBD			1.0 FTE Contracted	
Project Coordinator: Dr. Brenda Mendiola	Asst. Professor, the Univ. of Alabama		.01	Project Coordinator
Project Coordinator: Dr. Ellen Reames	Asst. Professor, Auburn University		.05	Project Coordinator
Project Coordinator: Dr. Jane Cobia	Assoc. Professor, Samford Univ.		.05	Project Coordinator

Training Provider: Dr. Steve Edwards	President/CEO Edwards Ed Services, Inc.	Former Assoc. Professor in Ed. Leadership, former principal, PhD in Ed. Leadership	Contracted	Training Provider
External Evaluator: Dr. Terry Cash	President/CEO Cash Educational Consulting Services, LLC	Lead researcher, PI, evaluator for multiple federal, state, local grants; former principal, PhD Ed Leadership	Contracted	External Evaluator
Project Advisor	Exec. Dir CLAS		Contracted	Tech Asst

***2. The adequacy of the time commitment and qualifications of the Project Director and key personnel.***

*Principal Investigator: Dr. Julie Hannah (.05 FTE)*

**Julie Hannah** be responsible for the overall management and integrity of the project design, conduct, reporting of the project outcomes, and for managing, monitoring, and ensuring the integrity of the collaborative relationship between the Alabama State Department of Education, the University of Alabama, Auburn University, and Samford University. Additionally, the Principal Investigator will be responsible for the direction and oversight of issues pertaining to compliance, financial, personnel, and other related aspects of the leadership development project. The Principal Investigator will report to the ALSDE Deputy Superintendent of Education, which is serving as the Lead Agency for the project.

Dr. Hannah is currently Dir. of Office of Student Learning. She has a wide-range of experience at all levels of public education. She has served with distinction as an administrator at the school, district, and state-levels. She is highly respected across the state and nation.

*Project Director: TBD.(1.0 FTE)*

The Project Director will manage the day-to-day operational aspects of the grant project and scope of work. He/she will have an advanced degree in Educational Leadership and have the relevant experience and knowledge to effectively manage the project as defined in the proposal.

The Project Director will be the leader of the *PACT* leadership development process and effort. The position will have overall operational and management responsibility in completing the project scope of work and will serve as its primary spokesperson. The Project Director will consult regularly with the Project Management Team, and report directly to the Principal Investigator.

The Project Director will oversee all consultants and sub-contractors who might be engaged in the project to ensure contracts and agreements are executed and implemented as appropriate. In addition, the Project Director will work closely with stakeholders from across the state to develop consensus around the *PACT* initiative and its implementation.

*Co-Principal Investigator: Dr. Brenda Mendiola (.01 FTE)*

**Brenda Mendiola** is a Clinical Assistant Professor. She has been a teacher, principal, curriculum director, and superintendent in the PK-12 setting. She received her Ed.D. from Texas Tech University. She coordinates the master's Instructional Leadership Program, teaches educational leadership courses, and supervises interns in the master's program. Her research interests are in school leadership and instructional improvement, school finance, and leadership training.

*Co-Principal Investigator: Dr. Ellen Reames (.05 FTE)*

**Ellen H. Reames** serves as an associate professor in educational leadership in the College of Education at Auburn University. Her research interests include: data informed decision making, partnerships and educational leadership program design and evaluation. She has published in journals such as *Journal of Research on Educational Leadership (JRLE)*, *The High School Journal* and *Educational Administration Management*. Dr. Reames has been instrumental in establishing a partnership with Macquarie University in New South Wales, Australia and has led graduate students for four summers to explore Sydney and Tasmanian K-12 schools and higher education institutions.

*Co-Principal Investigator: Dr. Jane Cobia (.05 FTE)*

**Jane Cobia** is Assoc. Professor, Director of Doctoral Program at Samford University. She conducts and does research in instructional and leadership practices. She serves as a mentor trainer, is certified by the ALSDE as an evaluator for the AL Professional Education Personnel Evaluation Program, and is a member of the Supts. Leadership Network. As an educational consultant she has developed training materials for leadership in a wide-variety of domains to include leading change, forming and using professional learning communities how to develop effective mentoring, apprenticeships, and dual

enrollment programs. She is a former Asst. Supt. and Supt. of Schools in several AL school districts and has a rich history working in rural school environments across the state.

External Evaluator: Dr. Terry Cash (Contracted)

**Terry Cash** will lead the external evaluation effort for the project. The external evaluation will be conducted by *Cash Educational Consulting Services, LLC*. The CECS staff is composed of Doctorate and Master's level educators with experience in educational leadership at the school and district levels, experience in program development and project evaluation at the district and school levels, and research at the university level. Dr. Cash recently retired as the Associate Director of the National Dropout Prevention Center where he served for over 15 years. He has significant experience as a Principal Investigator and program evaluator for numerous federal, state, and locally funded programs around the nation. He also taught graduate level classes at Clemson University in the Educational Leadership Program and thus has a strong depth of knowledge regarding the components of an effective leadership development program. Dr. Cash's role as external evaluator is enhanced by his previous and current evaluation and technical assistance activities within the state of Alabama, which strengthens his awareness and knowledge base regarding the target population, and by his involvement as an advisor to the project design team. CECS will work with the Project Director and collaborative partner Principal Investigators to provide an assessment of the project's effectiveness in meeting its goals and objectives.

Training Provider: Dr. Steve Edwards (Contracted)

**Steve Edwards** will serve as a subject matter expert and provide the formal training curriculum for the current licensed administrator component. He will also serve as a technical assistance advisor to the project. He is an award-winning administrator, speaker, trainer, and professor. He is the creator of an Educational Leadership methodology that has transformed schools throughout the nation.

A leader nationally recognized by USA Today for his innovative approach to education, Dr. Edwards successfully implemented numerous programs to improve student performance during his sixteen-year tenure as a school administrator. Dr. Edwards also has been instrumental in helping countless school districts tailor similar programs with positive, far-reaching results. In addition, Dr.

Edwards is regularly featured as a content expert on television and radio with appearances on CNN on topics such as school safety, school climate and school reform. He has worked in 49 states and 39 countries.

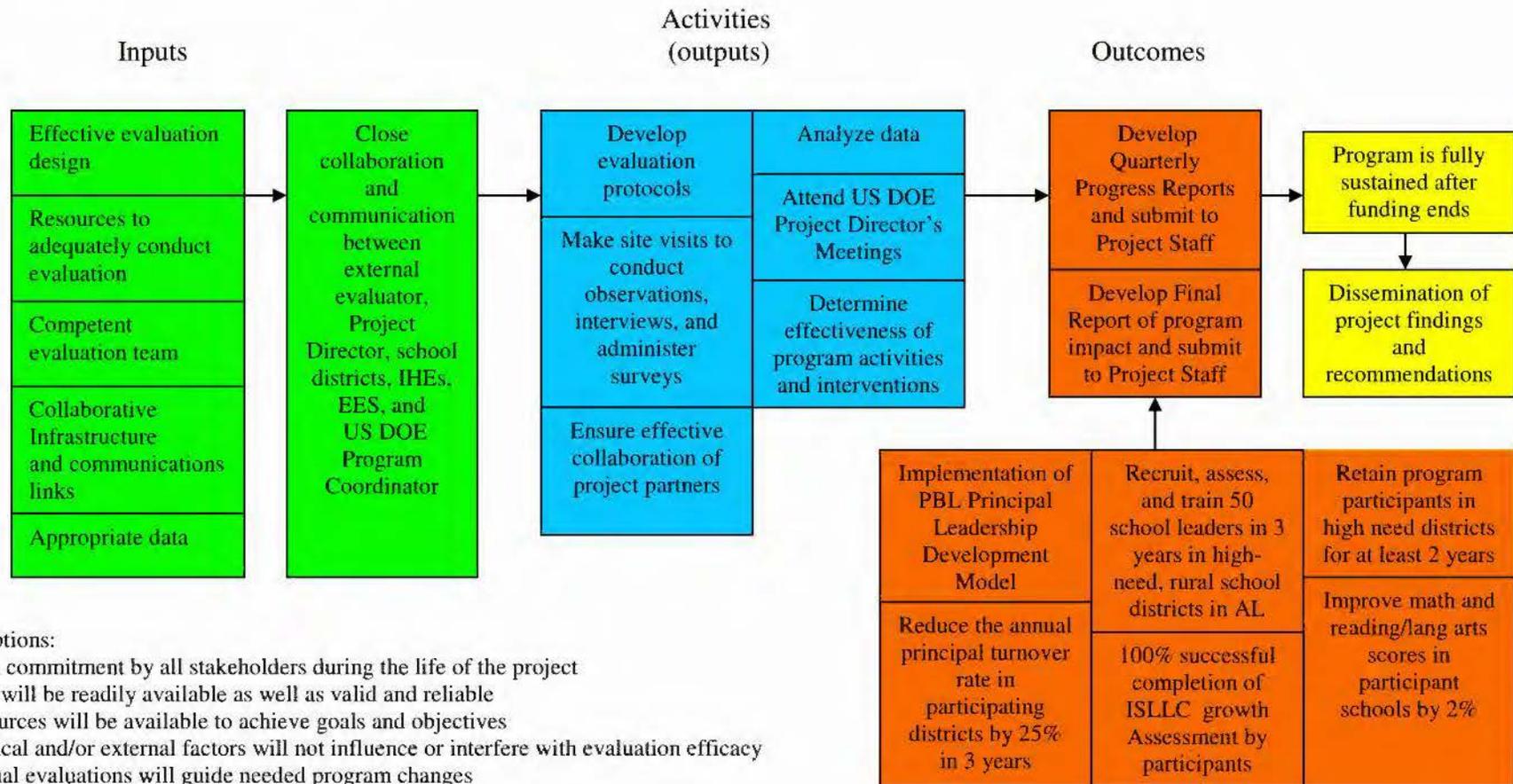
As a planner he has assisted groups and individuals in identifying and achieving individual and organizational goals. Throughout his thirty-seven year professional career, Dr. Edwards has published numerous articles on school reform and leadership, and has co-authored five books, which address school reform initiatives and leadership development. He has also served as a Professor of Educational Leadership for both the University of Connecticut and The George Washington University, teaching prospective administrators in the Graduate School of Education. Currently Dr. Edwards serves as a visiting lecturer at Sheffield Hallam University in the United Kingdom.

**In Summary:** By having a Principal Investigator to oversee all aspects of the grant, a Project Director to provide day-to-day management and oversight; three Co-Principal Investigators representing the institutes of higher ed. pre-service-curriculum component; a Program Management Team (PMT) meeting twice per month to debate decisions on key programmatic issues, and to conduct a quarterly review of all project activities, timelines, and deliverables; and an external evaluator providing continuous feedback to the PMT to analyze and make mid-course corrections, we believe that we have set in place a strong management plan to ensure that the project is implemented with fidelity and quality according to the projected timeline, resulting in attaining the articulated plan deliverables.

# EXTERNAL EVALUATION LOGIC MODEL FOR AL TSLP SCHOOL LEADERSHIP DEVELOPMENT PROJECT

What do we want to know?

- ❑ An understanding of the process of activity implementation to include: program context/infrastructure, staff training, collaboration initiatives, data support systems, and participant satisfaction.
- ❑ What is the program's effectiveness in relation to its overall goal?
- ❑ Can the program be sustained?



Assumptions:

1. Total commitment by all stakeholders during the life of the project
2. Data will be readily available as well as valid and reliable
3. Resources will be available to achieve goals and objectives
4. Political and/or external factors will not influence or interfere with evaluation efficacy
5. Annual evaluations will guide needed program changes

## Section 16-24B-4

### **Principals - Duties.**

**(a) Subject to the authority of the chief executive officer and the employing board, a principal and contract principal shall supervise the daily operation and management of personnel, finances, facilities, and other matters of the school or campus for which the principal and contract principal is responsible.** A principal and contract principal shall assume the administrative responsibility and instructional leadership, as directed by the chief executive officer, consistent with the policies of the employing board, for the planning, management, operation, and evaluation of the education program of each school or campus under the responsibility of the principal and contract principal.

(b) A principal and contract principal shall observe all rules, policies, and procedures relative to the operation of the public schools as established by applicable law, rule, and standard of both the State Board of Education and the employing board.

(c) A principal and contract principal shall perform all other duties assigned by the chief executive officer, consistent with the policies of the employing board and the law.

(d) A principal and contract principal shall make written advisory recommendations to the chief executive officer regarding the appointment, assignment, promotion, transfer, and cancellation of the contracts of all personnel assigned to any school or campus under his or her responsibility. If the recommendation of a principal and contract principal regarding an appointment, assignment, or promotion is rejected, the principal and contract principal shall submit a second recommendation regarding that appointment, assignment, or promotion, subject to this chapter and board policy. These advisory recommendations shall not be binding upon the chief executive officer, and the chief executive officer shall have final authority for all personnel assignments within the applicable school system.

*(Act 2000-733, p. 1588, §4.)*

**External Evaluation Framework for (PACT) Initiative**

<b>Goal</b>	<b>Objective</b>	<b>Activities</b>	<b>Benchmark for Success</b>	<b>Data Source</b>	<b>Frequency of Collection</b>
Goal 1. Did the consortium implement a viable, sustained Problem-Based Learning model for principals in high-need districts in rural Alabama	1.1 To train 50 principals in designated high-need school districts over a three-year period.	1.1.1 School leadership development curriculum will be implemented in Jan, 2015.	Evidence of course outline, curriculum guide and training staff assignments	Course outline and curriculum guide	Beginning of program implementation
	1.2 To recruit 50 participants to participate in the leadership development program	1.2.1 Participants will apply and/or be referred by the participating school district leaders. Training will begin for currently licensed principals Jan 2015	15 participants enrolled by Jan. 2015.	Program application documents	Ongoing beginning in Oct. 2014.
		1.2.2 A stipend will be provided for all program participants.	50 participants will agree to \$1,500 stipend	Participant agreement forms	Upon acceptance into the program
1.3 To ensure training is accessible to all participants in the rural high-need school districts.	1.3.1 The training will be provided for each cohort at designated sites in each school district and via a virtual platform that all participants will have access to.	Equitable access for all participants	Training documentation logs. Participant feedback forms. Evaluator observation	Periodic for each cohort	

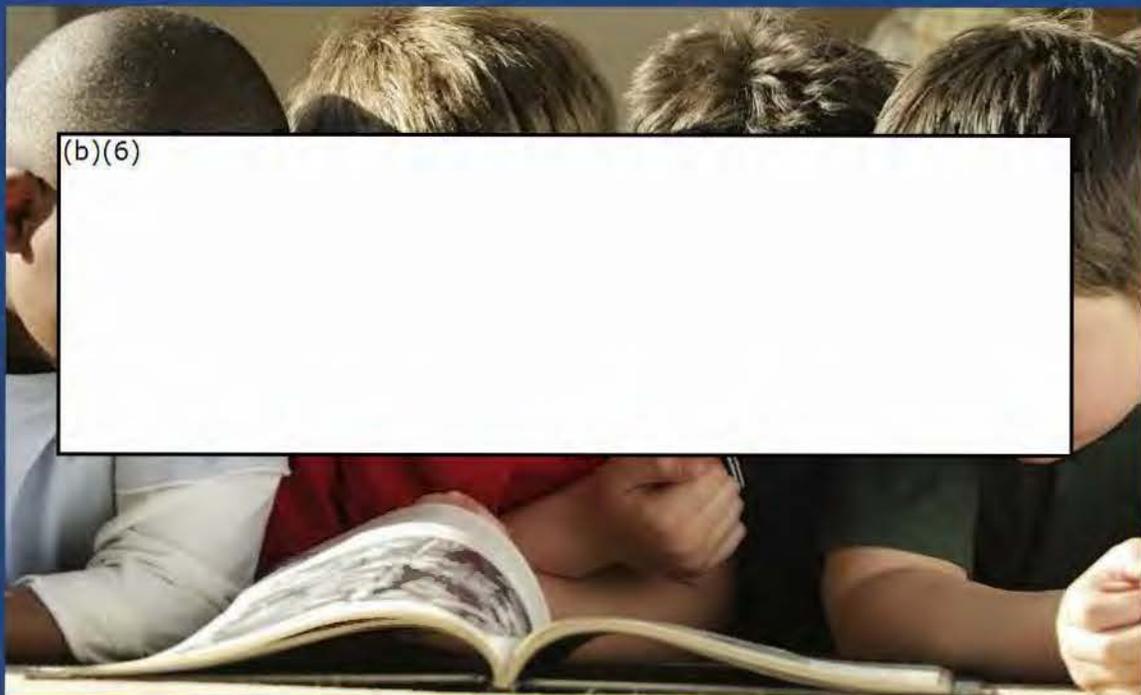
		<p>1.3.2 Reimbursement will be provided for those having to travel more than 25 miles to attend training sessions.</p> <p>1.3.3 Training sessions will be recorded and available via the program designated website for those who miss them.</p>	<p>Reimbursement for all participants as appropriate.</p> <p>Evidence of equitable access for all participants and stakeholders</p>	<p>Travel reimbursement vouchers. Observation.</p> <p>Program website</p>	<p>Periodic for each cohort</p> <p>Periodic for each cohort</p>
<p>Goal 2. Did 50 participants successfully complete the Leadership Development Program?</p>	<p>2.1 To develop school leadership competency for principals in the areas of visionary leadership, instructional leadership, emotional intelligence, climate and culture, and systems management skills</p>	<p>2.1.1 After <i>ESI</i> assessment, each participant will be provided universal, targeted, and/or intense professional development that addresses their individual Leadership Development (LD) needs.</p> <p>2.1.2 Performance indicators will be developed for each individual participant based on their identified needs</p>	<p>Development of individualized PD plan for each participant based on <i>ELI</i> assessment results</p> <p>All participants will have individual performance assessment forms with indicators of successful understanding.</p>	<p>Individualized PD plans</p> <p>Individual assessment forms</p>	<p>Upon acceptance into program and updated yearly.</p> <p>Beginning of program with periodic assessment</p>

		2.1.3. Participants will be provided a highly-qualified peer mentor as needed.	100% of participants will be assigned a highly-qualified mentor	ESI assessment results. Individual assessment forms. Direct feedback.	As assigned
Goal 3. Was there improved academic growth in the targeted high need districts?	3.1 To improve standardized scores in math and language arts in the program participant's schools as a result of the School Leadership Development Program	3.1.1 Program participants will be provided global and intensive PD to build their instructional leadership capacity. The activities will include periodic observation and assessment, on-line support, professional networking support, peer-mentor support, modeling, and synthesis of research pertaining to LOLSO (leadership for organizational learning and student outcomes)	2% improvement in standardized scores in participant's schools	Standardized test results	Annually
Goal 4. Was there a reduction in the school leader	4.1 To build leadership capacity by ensuring leaders trained in the program will	4.1.1. Intensive support system will be in place that will be more comprehensive	100% of school leaders trained in the program	HR records, direct observation	Annually

turnover rate?	<p>be retained in a high-need district 2 or more years.</p> <p>4.2 To reduce the school leader turnover rate in the participating districts by 25%</p>	<p>than any other source within the state. It will include varying local inducements for participants to remain in a high-need district at least two years.</p> <p>4.1.2 Ensure that principals are highly validated and supported. Implement a recognition and reward system for positive results, along with other inducements for participants to remain in a target district</p>	<p>will be retained in a high-need district 2 or more years.</p> <p>School leader turnover rates will be reduced by 25%</p>	HR records	Annually
Goal 5. Will the program be successfully sustained after funding ends?	5.1 To ensure the program is sustained after federal funding has ended.	<p>5.1.1 Sustainability for this project is enhanced by the widely recognized need in the state for improving school leader training programs.</p> <p>5.1.2 Lessons learned from the implementation process and program evaluation will help inform and drive the educational leadership reform initiative forward.</p> <p>5.1.3 IHE, ALSDE, and District capacity will be</p>	The program will remain fully operational after year 3 of the project	<p>Annual evidence of strength of the program</p> <p>External evaluation Final Report findings</p>	Annually and at project completion

		<p>built into the Leadership Development Program so that training will continue in each target district with zero funding required from outside sources.</p> <p>5.1.4 There will be a vigorous attempt to build coalitions and alliances for further program development with key stakeholders throughout the state.</p>			
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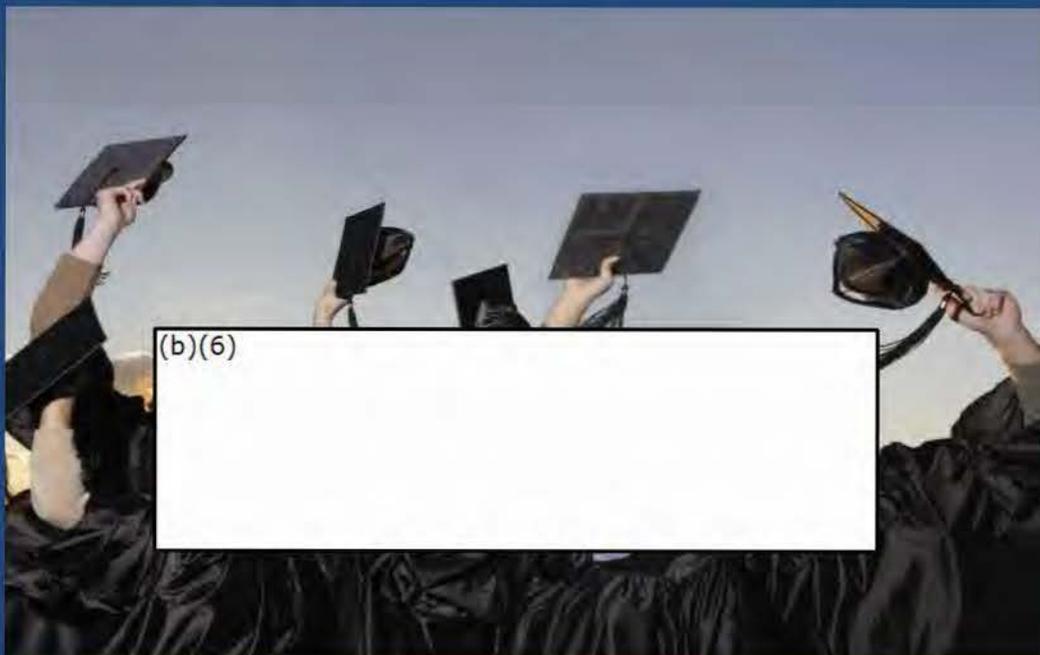
# Alabama State Board of Education



# PLAN 2020

# Our Vision

Every Child a Graduate – Every Graduate Prepared



for

College/Work/Adulthood in the 21<sup>st</sup> Century

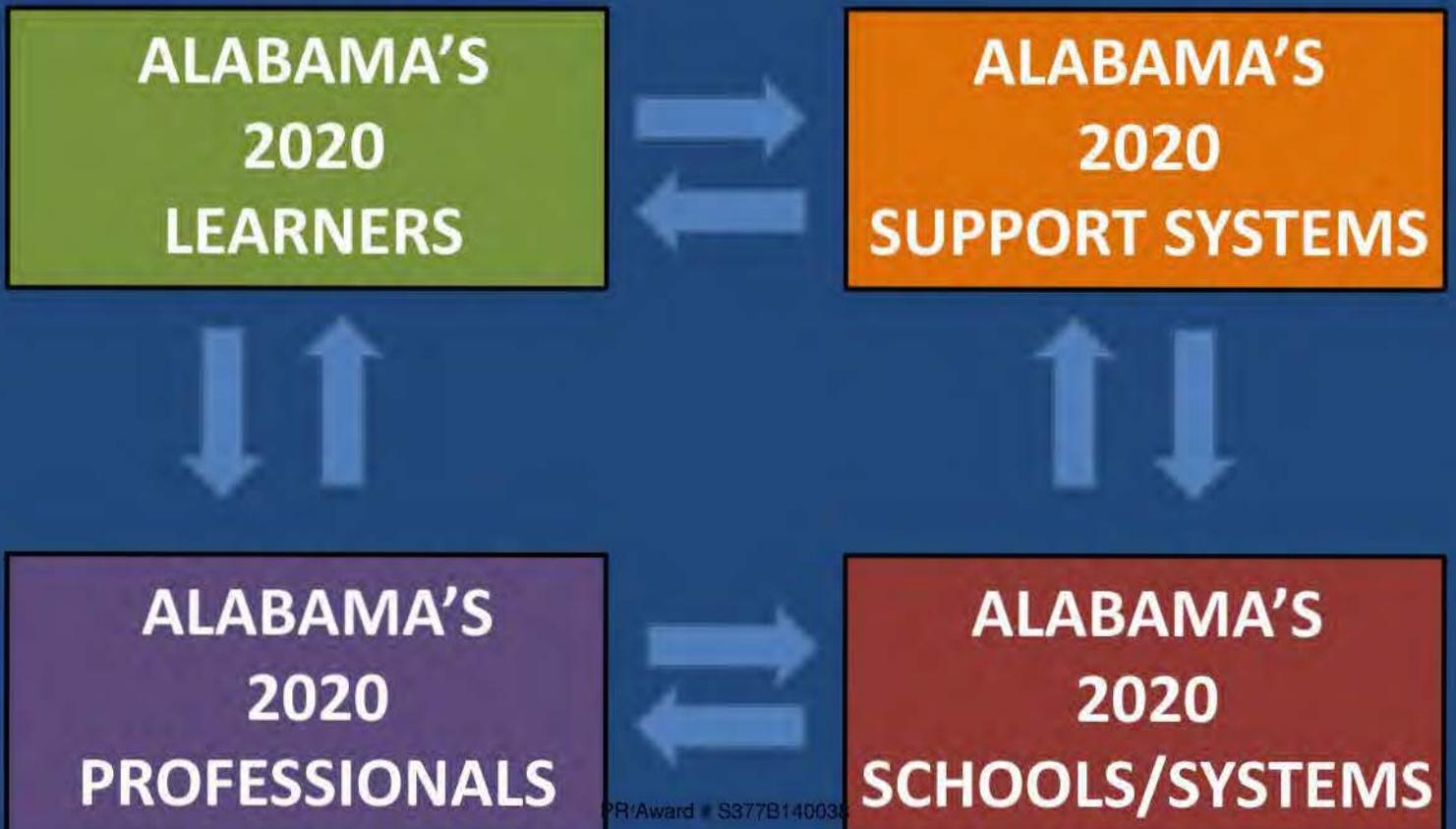
## Prepared Graduate Defined

Possesses the knowledge and skills needed to enroll and succeed in credit-bearing, first-year courses at a two- or four-year college, trade school, technical school without the need for remediation.

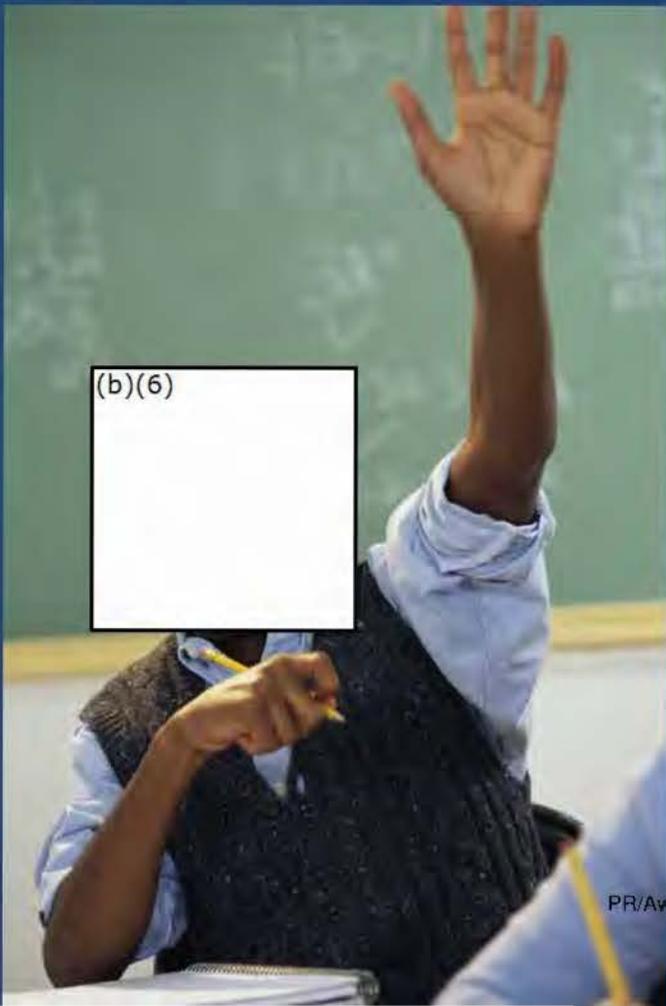


Possesses the ability to apply core academic skills to real-world situations through collaboration with peers in problem solving, precision and punctuality in delivery of a product, and a desire to be a life-long learner.

# Alabama's PLAN 2020 Priorities



# Alabama's 2020 Learners



## Objectives

1. All students perform at or above proficiency and show continuous improvement (achievement/growth).
2. All students succeed (gap closure).
3. Every student graduates from high school (grad rate).
4. Every student graduates high school prepared (college and career readiness).

# Plan 2020 STRATEGIES for Learners

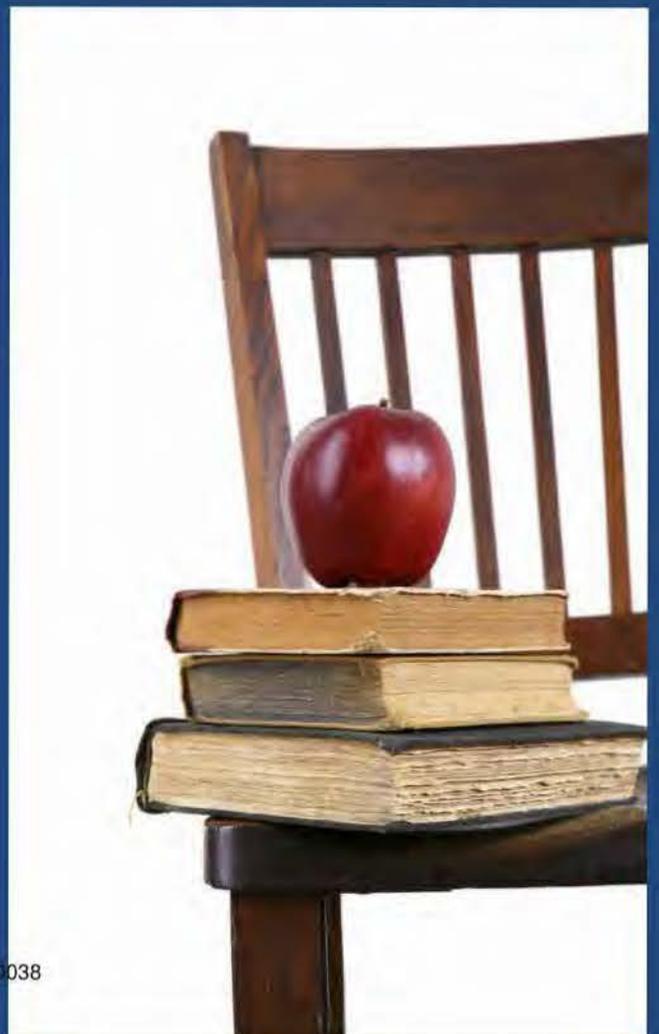
Develop and implement a unified PreK through 20 College and Career Readiness Plan

Develop and adopt college- and career-ready aligned standards in all core subject areas

Develop and disseminate a model curriculum framework

Create and implement a balanced and meaningful assessment and accountability system

Develop and implement a unified School Readiness Plan



# Plan 2020 Learners

## Indicators/Targets Graduation Rate

Indicator: By 2016, increase the 4-year Cohort Graduation Rate to 75%.

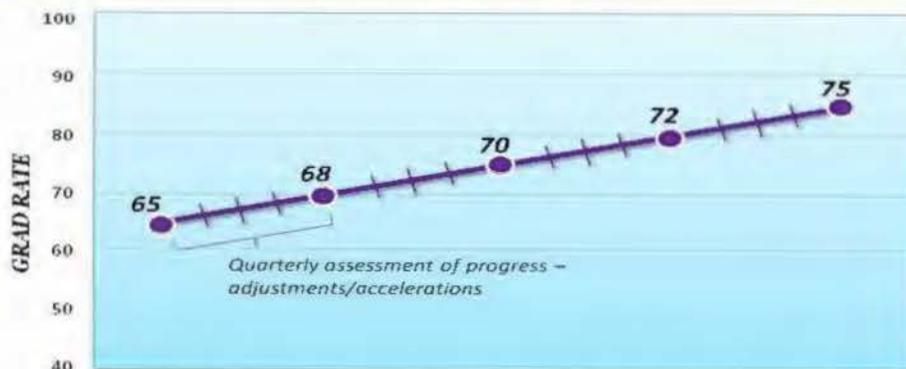
Baseline: 65%

1-year target: 68%

4-year target: 75%

8-year target: 85%

### INCREASING THE GRADUATION RATE



2012

2013

2014

2015

2016

Baseline

PR/Award # S377B140038

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# Plan 2020 Learners

## Indicators/Targets College and Career Ready

Indicator: By 2016, increase the percentage of students who are college- and career-ready as measured by the High School Graduate College and Career Readiness Index.

Baseline: 18%

1-year target: 20%

4-year target: 26%

8-year target: 40%



# Plan 2020 Learners

## Indicators/Targets Remediation Rate

Indicator: By 2016, reduce the number of students requiring remedial courses in Reading and Mathematics in two- and four-year colleges.

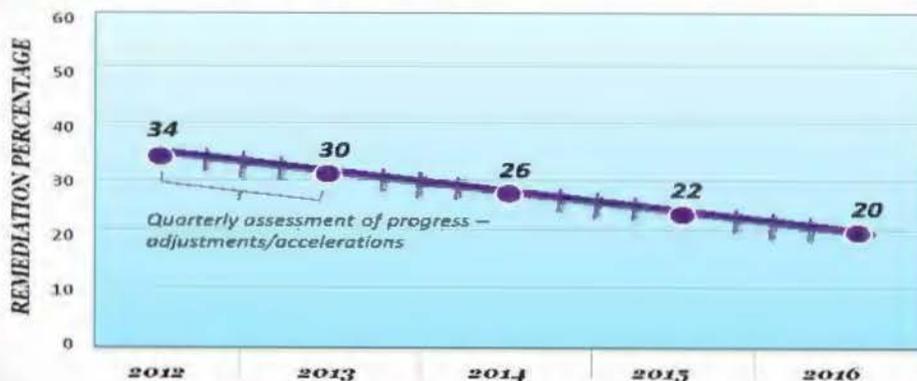
Baseline: 34%

1-year target: 30%

4-year target: 20%

8-year target: 10%

### DECREASE COLLEGE REMEDIATION RATE



Baseline

PR/Award # S377B140038

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# Plan 2020 Learners

## Indicators/Targets Industry Credentials

Indicator: By 2016, increase by 50% the percentage of students graduating from high school with Industry-Recognized credentials.

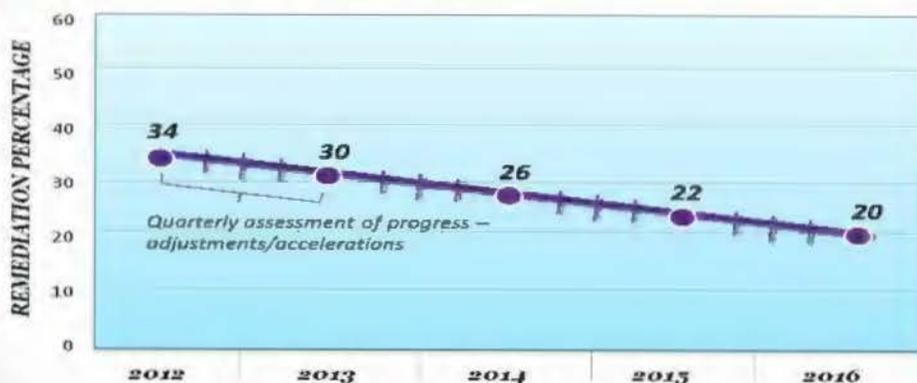
Baseline:

1-year target:

4-year target:

8-year target:

### DECREASE COLLEGE REMEDIATION RATE



Baseline

PR/Award # S377B140038

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# Plan 2020 Learners

## Indicators/Targets

Indicator: By 2016, improve the percentage of students performing at or above proficiency on the *Alabama Reading and Mathematics Test (ARMT)\** in 3<sup>rd</sup> through 8<sup>th</sup> grade reading.

3<sup>rd</sup> grade reading

Baseline:

2- year target:

4-year target:

4<sup>th</sup> grade reading

Baseline:

2-year target:

4-year target:

5<sup>th</sup> grade reading

Baseline:

2-year target:

4-year target:

6<sup>th</sup> grade reading

Baseline:

2-year target:

4-year target:

7<sup>th</sup> grade reading

Baseline:

2-year target:

4-year target:

8<sup>th</sup> grade reading

Baseline:

2-year target:

4-year target:

\*Redefined proficiency based on college and career readiness not AYP

# Plan 2020 Learners

## Indicators/Targets

Indicator: By 2016, improve the percentage of students performing at or above proficiency on the *Alabama Reading and Mathematics Test (ARMT)\** in 3<sup>rd</sup> through 8<sup>th</sup> grade mathematics.

3<sup>rd</sup> grade mathematics

Baseline:

2- year target:

4-year target:

4<sup>th</sup> grade mathematics

Baseline:

2-year target:

4-year target:

5<sup>th</sup> grade mathematics

Baseline:

2-year target:

4-year target:

6<sup>th</sup> grade mathematics

Baseline:

2-year target:

4-year target:

7<sup>th</sup> grade mathematics

Baseline:

2-year target:

4-year target:

8<sup>th</sup> grade mathematics

Baseline:

2-year target:

4-year target:

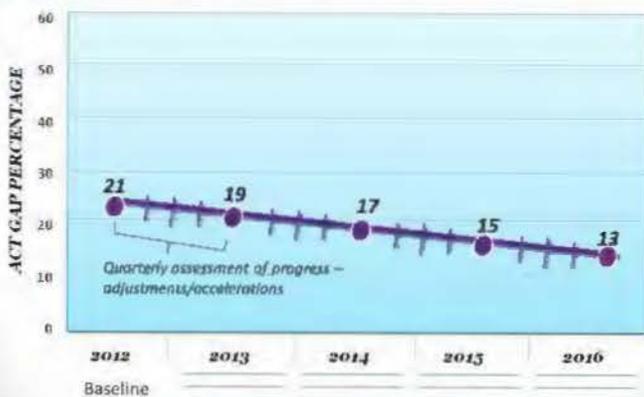
\*Redefined proficiency based on college and career readiness not AYP

# Plan 2020 Learners

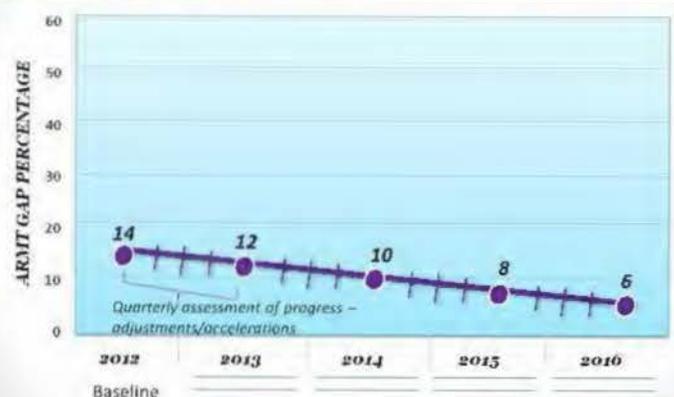
## Indicators/Targets

Indicator: By 2016, decrease the gap\* on the *Alabama Reading and Mathematics Test (ARMT)* combined reading and mathematics scores for 3<sup>rd</sup> through 8<sup>th</sup> grade students and the composite ACT score.

### DECREASE THE ACHIEVEMENT GAP



### DECREASE THE ACHIEVEMENT GAP



\*Gap is defined as the difference in at or above basic performance between a composite of African American, Free and Reduced Lunch, and Limited-English Proficient students

# Alabama's 2020 Support Systems

## Objectives

1. All students will attend school daily and be engaged in rigorous and relevant learning environments.
2. All students will develop a sense of personal and civic responsibility to ensure a learning environment that is safe and civil.
3. All students will be provided with individual and group counseling services.
4. All students will enter 9<sup>th</sup> grade prepared and with a 4-year plan that addresses their individual academic and career interest needs.
5. All students will be provided with healthy meals, physical education and health instruction supported with needed medical and related services.



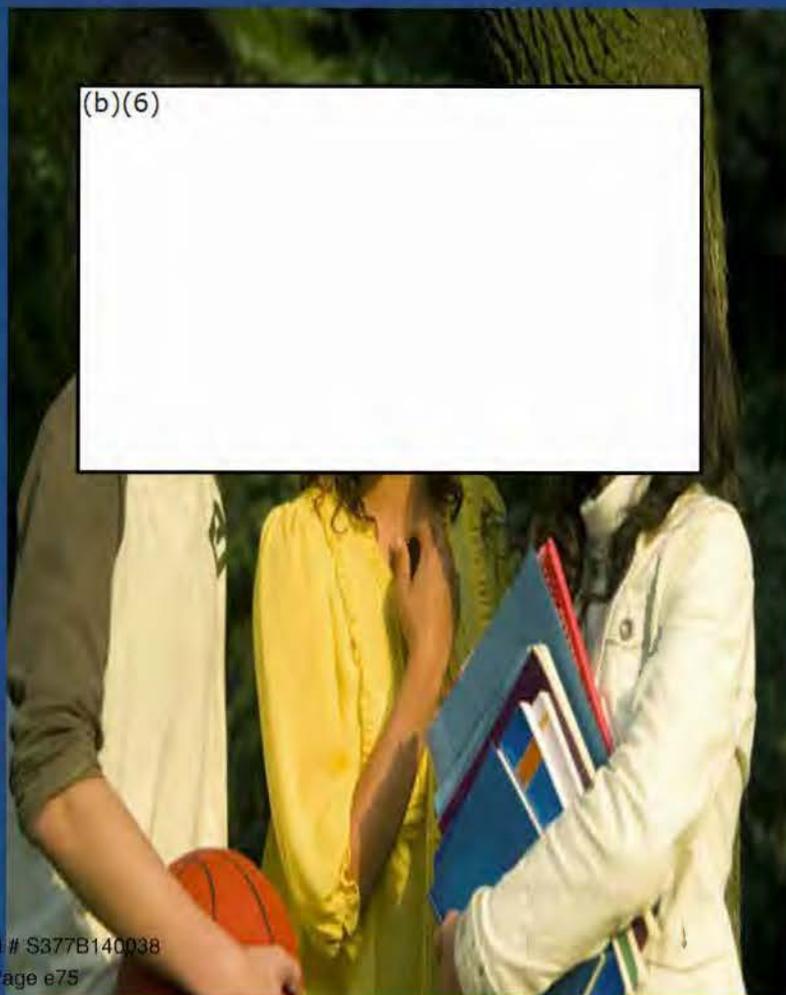
# Plan 2020 Strategies for Support Systems

Implement an early warning system for students absences and build a community-based support and intervention system.

Implement a Positive Behavior Support or other related students and school culture program to support student ownership of their actions that includes alternatives to traditional disciplinary sanctions.

Implement Alabama's Comprehensive Guidance and Counseling Plan.

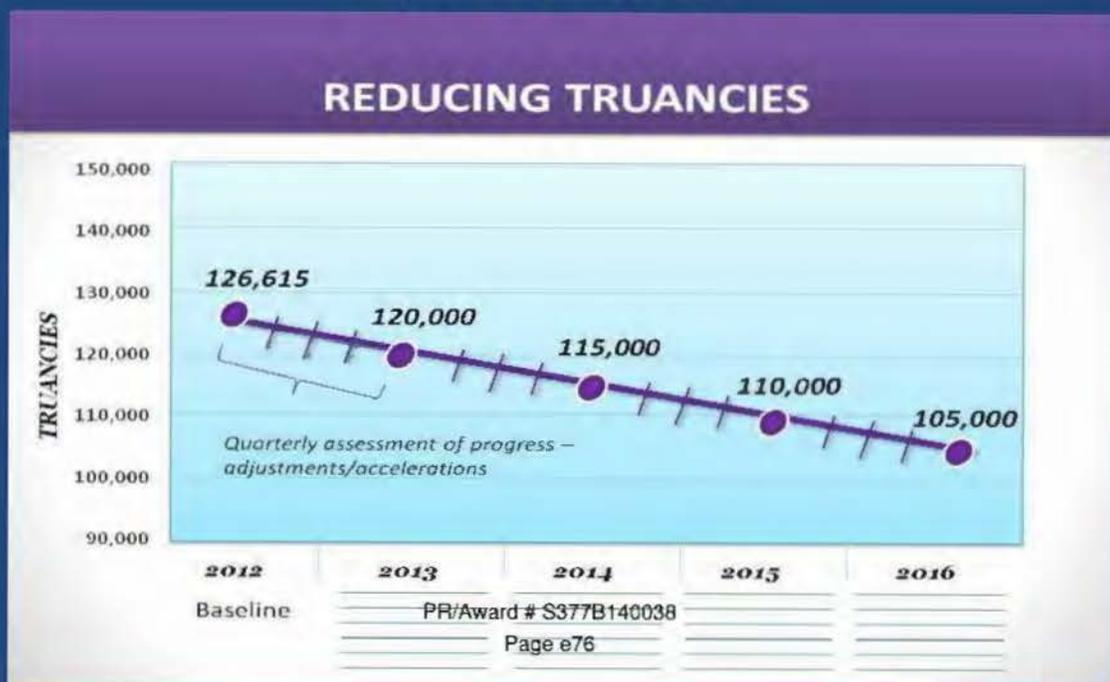
Develop and implement a Coordinated School Health and Support Program.



# Plan 2020 Support Systems Indicators/Targets

Indicator: By 2016, reduce the number of unexcused absences.

Baseline: 126,615  
1-year target: 120,000  
4-year target: 105,000



# Plan 2020 Support Systems Indicators/Targets

Indicator: By 2015, reduce the number of disciplinary infractions.

Baseline: 126,615

1-year target: 120,000

4-year target: 115,000

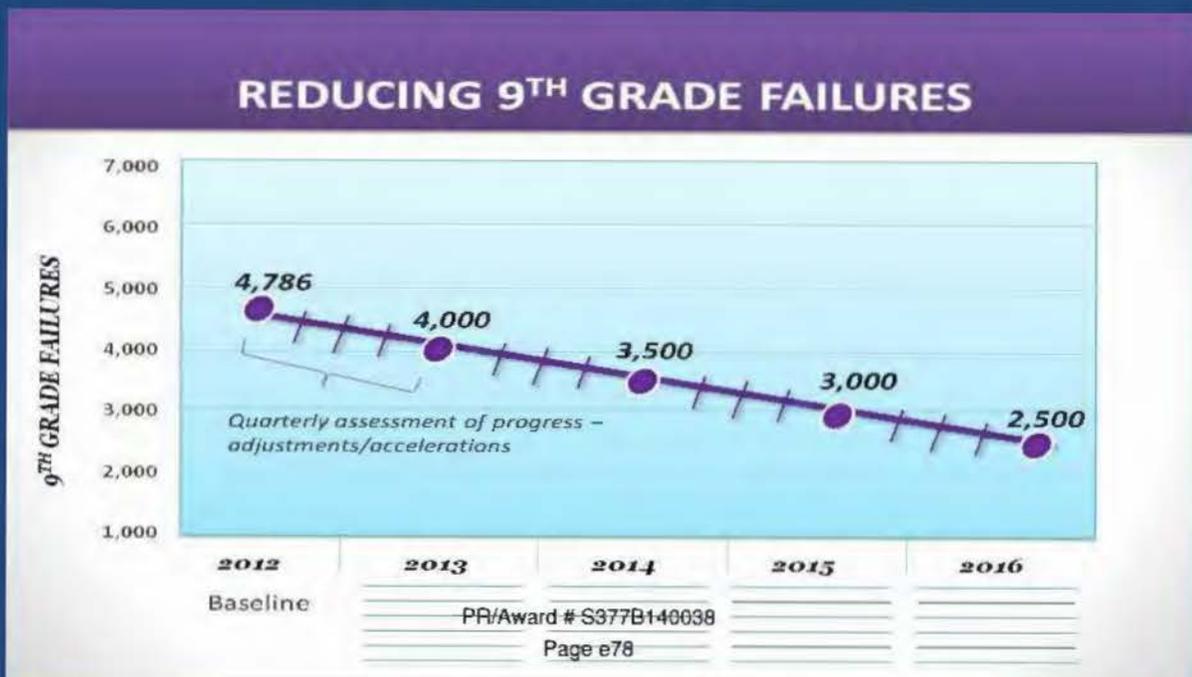
## REDUCING DISCIPLINE INFRACTIONS



# Plan 2020 Support Systems

Indicator: By 2016, reduce the number of 9<sup>th</sup> grade failures.

Baseline: 4,786  
1-year target: 4,000  
4-year target: 2,500



# Plan 2020 Support Systems Indicators/Targets

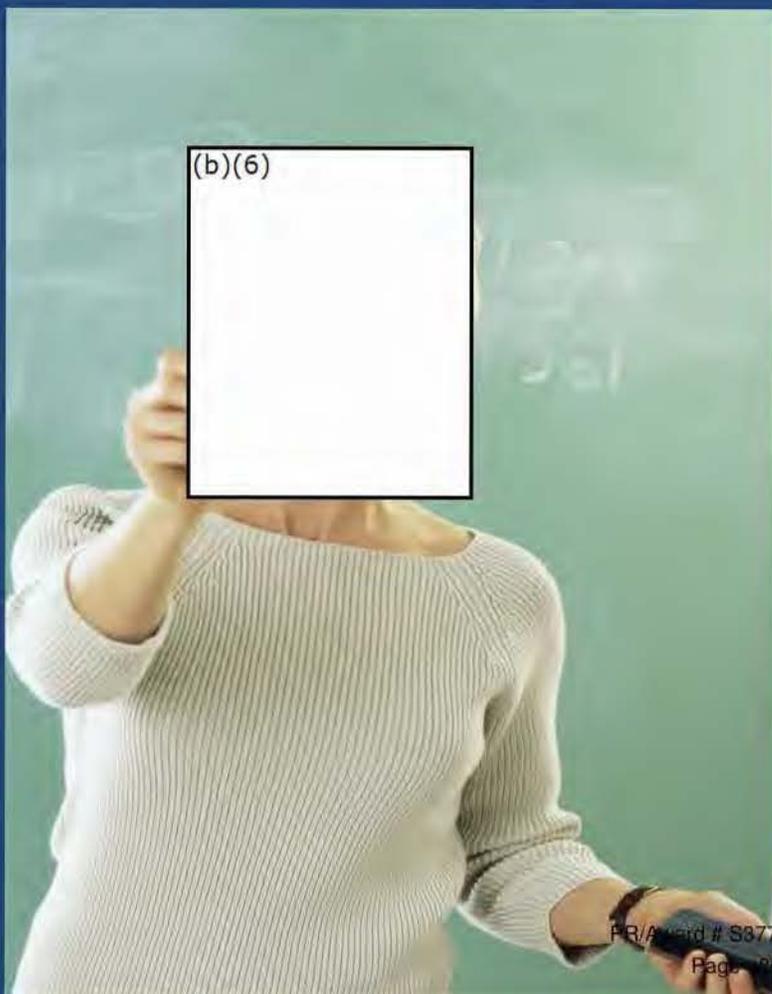
Indicator: By 2016, reduce the number of student visits to the school nurse for chronic health issues.

Baseline:

1-year target:

4-year target:

# Alabama's 2020 Professionals



## Objectives

1. Every child is taught by a well- prepared, resourced, supported, and effective teacher.
2. Every school is led by a well- prepared, resourced, supported, and effective leader.
3. Every school system is led by a prepared and supported visionary instructional leader.

# Plan 2020 Strategies for Professionals

Redesign and reinvest in the Alabama Teacher Recruitment and Incentive Program (ATRIP).

Review the admission and certification criteria for Alabama's teacher preparation programs.

Provide a comprehensive induction and mentoring program for new teachers.

Develop and implement a professional growth evaluation system for teachers and leaders that includes multiple measures of student growth and achievement.

Provide research-based professional growth opportunities for Alabama's teachers and leaders based on their individual and collective professional learning plans.



# Plan 2020 Professionals Indicators/Targets

Indicator: By 2016, increase the percentage of effective teachers and leaders as measured by EDUCATEAlabama, LEADAlabama and multiple measures of student performance.

Baseline: TBD

1-year target:

4-year target:

8-year target:

## Plan 2020 Professionals Indicators/Targets

Indicator: By 2016, increase the percentage of effective teacher and leader preparation programs as measured by EDUCATEAlabama, LEADAlabama and multiple measures of student performance.

Baseline: TBD

1-year Target:

4-year Target:

8-year Target:

# Alabama's 2020 Schools and Systems

## Objectives

1. All schools and systems will receive adequate funding to meet the individual and collective needs of their students.
2. All schools and systems will be resourced and supported based on identified need as determined from the state's accountability plan and additional indicators at the local level.
3. Schools and Systems will be granted flexibility to innovate and create 21<sup>st</sup> century learning environments to meet the individual and collective needs of their students.
4. Schools and Systems are resourced to create a 21<sup>st</sup> century learning environment for their students including infrastructure, building renovation/improvements, and technology.



# Plan 2020 Schools and Systems Indicators/Targets

Indicator: Increase the % of schools/systems rated at or above standard on the Revised Alabama Accountability System/Report Card once a baseline is set.

Baseline: TBD 2013

1-year Target: Revise school/system accountability system/report card to align with Alabama's revised accountability system.

## Plan 2020 Schools and Systems Indicators/Targets

Indicator: By 2016, Increase the number of systems designated as an Innovation School System.

Baseline: 2

1-year target:

4-year target:



**“We can whenever we choose  
successfully teach all  
children whose schooling is  
of importance to us.**

**We already know more than  
we need to do that.**

**Whether or not we do it must  
finally depend on how we  
feel about the fact that we  
haven’t so far.”**

**Ron Edmunds**

## External Evaluation Design (PACT) Initiative

An independent evaluator (Cash Educational Consulting Services, LLC) will conduct a thorough and comprehensive project evaluation during the three years of the project.

### *(1) Use of Objective Performance Measures*

The implementation of the proposed Turnaround School Leaders Program leadership development model will achieve the stated purpose of the TSLP develop and implement, or enhance and implement a leadership pipeline in rural SIG/SIG-eligible schools. The experienced and highly qualified external evaluator will assess the effectiveness of the designed approach by using both qualitative and quantitative techniques to examine project progress in achieving the project's goals and outcomes.

The specific goals associated with these objectives include the following *School Leadership Performance Measures* that fit the TSLP project design:

*(1) The development of a sustained pipeline of new and current school administrators who will be prepared to be bold, visionary leaders that use the conditions of innovation, flexibility, and autonomy to create schools with high academic achievement, while providing these administrators with an intensive path to attaining certification as a Turnaround Specialist.*

*(2) increase school/student effectiveness proficiency outcomes*

*(3) reduce the high turnover rate of principals in high-need schools,*

*(4) ensure the sustainability of the leadership development program.*

### **Outcome Measures:**

- A cohort of fifty pre-service and current licensed school administrators will be selected to be trained as a Turnaround Specialist in SIG/SIG-eligible schools.
- 100% of PACT participants will successfully demonstrate mastery over program competencies and be awarded a graduate degree and/or endorsement as a Turnaround Specialist.
- 100% of PACT participants will remain in a school administrator position in a high-need SIG/SIG-eligible school for at least two years after being hired.
- 100% of the schools with PACT participants in a school leadership position will demonstrate positive change in student academic growth.
- 100% of PACT participants will show positive growth on the Competency Assessment Instrument developed for this project.

- 100% of PACT participants will be rated as “highly effective” using the state approved school administrator evaluation tool.

Qualitative and/or quantitative data will be obtained for each of these measures. Implicit within the data collected will be measures that meet the Secretary’s request for annual reporting of: (1) the grantee’s progress in meeting the application’s objectives; (2) the project’s effectiveness in meeting the purposes of the TSLP; and (3) the project’s effect on the specific LEAs served.

All outcome/performance measures will be compared with pre-and post-data to provide the Project Director and other key participants and stakeholders with valuable information to implement program improvement strategies. The outcome measures will include the number of participants starting and completing the program; actual performance of participants on a wide variety of qualitative variables including confidence level as an administrator, leadership style, leadership capacity, sphere of influence, understanding of the teaching and learning process, stress tolerance, communication skills, decisiveness, organizational ability, and problem analysis; number of participants passing the ISLLC; number of participants retained by the targeted districts for at least two years; and student test score data for participant’s schools, as well as other school climate measures such as: student and teacher attendance rates, discipline referrals, suspensions/expulsions, graduation rate, family and community engagement, and assessment of the school culture.

Findings of program effectiveness and recommendations for changes in policies, practices, uses of resources, and replication capacity will be used in the development of several products to be disseminated to interested parties and stakeholders:

- A “manual of lessons learned” and a guide to the implementation of the Leadership Development Model will be developed.
- Several national/international webcasts will be conducted to advocate the merits of the project design and anticipated outcomes associated with the Leadership Development Model.
- Presentation of evaluation findings at one or more national conferences.
- Presentation at a state-wide Leadership Development Conference.
- The results of the official evaluation report will be widely disseminated, including the development of articles for publication in professional journals.

In summary, the outcomes of the external evaluation will add significantly to the body of knowledge surrounding school leader development programs. The information will prove useful as a tool for reshaping traditional educational leadership preparation programs.

## ***(2) Methods of Evaluation***

Cash Educational Consulting Services, LLL (CECS) will gather and monitor data monthly to quickly identify the need for any project adjustments, and will prepare quarterly formative reports for review by the district staff and other stakeholders. The evaluation team will perform bi-monthly site visits to the Project Director's office and service sites to check for appropriate process documentation, appropriate data collection techniques, proper fiscal handling and reporting techniques, and fidelity of program implementation. CECS will develop and forward a list of findings and recommendations for improvement after every site visit that will be immediately addressed by project staff to ensure compliance with the grant contract and for continuous improvement.

The project evaluation will be conducted through formative and summative evaluations that will measure both the process of program activities and management, as well as the outcomes of stated goals and objectives. Quantitative and qualitative baseline data will be determined from current database resources and various survey forms developed by the evaluator. The external evaluator will organize and manage the development of evaluation procedures, provide technical support to the Project Director, and will coordinate the collection of data needed to determine program effectiveness.

Formative data will be determined for the following quantitative areas: annual administrative turnover rate for each targeted district; the number of administrators expected to leave their position within the next five years; the number of qualified candidates in each school district who are recognized as potential principals; the number of candidates who apply to participate in the program; the number of candidates rejected; data on the number and/or percentage of current principals rated as "highly effective"; and annual standardized scores for math and language arts in grades. Additional data pertaining to attendance, suspensions/expulsions, graduation rate, teacher turnover rates, and other available quantifiable data elements will also be used to measure the impact of the program.

Qualitative data collection will include results from surveys and other data collection instruments designed to assess the perceptions of participants on overall program effectiveness, program management, the professional development curriculum, strategies designed for the improvement of professional competency, and perceptions of participants' immediate supervisor about effectiveness as a current school leader. Additional quantifiable data such as the annual school culture survey administered by the AL DOE, and AL School Turnaround Program Performance Reports will be gleaned and analyzed for pertinent findings that can be attributed to the scope, activities, and goals of the project.

**Types of Data Collected:** Data for recruiting qualified principals will include: evaluation of recruitment materials; logs indicating recruitment contact; surveys of contacts to measure interest in the project; reviews conducted during meetings; annual tabulations of the number of recruits

who enroll in the program; program selection interview results; any available evidence of previous administrator performance data.

Data pertaining to the effectiveness of the professional development program and improving student achievement will include: the number of participants who complete the program; the quality of the participant training program as reported by EES assessments and mentoring reports; surveys of administrators and teachers; and the impact on student achievement as measured by the standardized test data, as well as local benchmark data findings.

Data pertaining to principal turnover rates will include: the number of principals hired/retained by the target districts and the length of time they remain in their position. The tracking of retention is anticipated to continue beyond the third year of the grant period for those principals hired after year three.

**When Data Will Be Collected:** Data will be collected as an on-going activity by the Project Director and Training Coordinator. The External Evaluator will be on-site bi-weekly for direct observation and compilation of all available data and program activities conducted by the Management Team. Each month the Training Coordinators and Project Director will fill out a process evaluation report detailing activities completed, unanticipated issues/problems encountered, solutions of issues/problems encountered, and plans for the upcoming month. Monthly reports will allow for swift adjustments as needs become evident and refinement necessary. The External Evaluator will use the monthly reports to compile quarterly and annual data summaries.

**Data Collection Methodology:** As previously noted, qualitative and quantitative methods will be used to examine the project's implementation and overall project success. All data will be organized into a database for continuous and easy reference throughout the project. The data will be integrated into both process and summative evaluation components. Focus group meetings will be conducted annually with project participants and Management Team personnel. The findings of the focus group meetings will serve as a direct means for participants to inform ongoing policy and practice as it relates to the project.

**How Data Will Be Analyzed:** Data analysis will be performed in multiple ways. First, the Training Coordinator and Project Director will compile and analyze monthly data in the form of an informal report to the external evaluator (Cash Educational Consulting Services). Secondly, CECS staff will make bi-monthly site visits to the target districts to meet with project staff and participating principals/assistant principals in order to monitor project implementation and conduct interviews and focus groups. The external evaluator will also meet with the Project Director & Training Coordinators to conduct an analysis of current activities and determine any needed programming changes. The external evaluator's quarterly report will follow, including further recommendations for the next quarter. Third, at the end of each project year, CECS will meet with the project Management Team to report the year's assessment and review all current

data. The annual summative report, that includes findings and recommendations, will then be provided to all pertinent stakeholders. The project Management Team will conduct a review meeting to discuss and integrate the CECS recommendations determined to be appropriate and feasible for project development.

### ***(3) Ongoing Performance Feedback and Periodic Progress Assessment***

The external evaluator will oversee all data collection activities on an ongoing basis to develop progress reports. The reports will be developed using a mixed method research approach. Quantitative and qualitative data will be included, and a case study approach used to document individual participant development. The reports will also include assessments of the quality and completeness of services. As the reports are developed, notable data points and findings will be shared at Project Director Meetings. These findings will include interpretations of the data, recommendations for program/service revisions, modifications or new capacity–building strategies as necessary. In addition to the quarterly reports, ongoing generation of data-driven monthly feedback communications will allow stakeholders to individually and collectively make program/service modifications as necessary. Ad-hoc reports on special topics will also be developed as needed. Annual reports will be generated using the quarterly reports, to summarize grant activities, impacts and results each year. A final report will be generated at the completion of the project.

Ultimately, the tools and reports developed to document the success of the TSLP leadership development model will result in a project model that is efficient, easily managed, monitored, and highly replicable. The final report will be an essential component of the statewide and national dissemination effort at the end of the project.

The Evaluation Logic Model for the project (found in the Appendix) provides a conceptual blueprint for the evaluation design. A Framework for the external evaluation that includes a more specific discussion to include a project evaluation timeline, activities, benchmarks, and indicators of data collection methodology is also included in the Appendix.

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## Intergovernmental Review (SPOC List)

It is estimated that in 2009 the Federal Government will outlay \$500 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided below by clicking on the State name.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within a State that does not have a SPOC, you may send application materials directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance.

<p><b>ARIZONA</b> Matthew Hanson, GPC Statewide Grant Administrator ADDA, Office of Grants and Federal Resources 100 N. 15<sup>th</sup> Avenue, 4<sup>th</sup> Floor Phoenix, AZ 85007 602-542-7567 <a href="mailto:Matthew.Hanson@azdoa.gov">Matthew.Hanson@azdoa.gov</a></p>	<p><b>ARKANSAS</b> Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7th St., Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 Fax: (501) 682-5206 <a href="mailto:tracy.copeland@dfa.state.ar.us">tracy.copeland@dfa.state.ar.us</a></p>
<p><b>CALIFORNIA</b> Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 Fax: (916) 323-3018 <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a></p>	<p><b>DELAWARE</b> Lindsay Lewis SPOC / Federal Aid Master Contact Budget Development, Planning and Administration Office of Management and Budget 122 Martin Luther King Jr. Blvd. South Dover, Delaware 19901 Telephone: (302) 672-5115 <a href="mailto:Lindsay.Lewis@state.de.us">Lindsay.Lewis@state.de.us</a> <a href="http://budget.delaware.gov/clearinghouse/fedgrants.shtml">http://budget.delaware.gov/clearinghouse/fedgrants.shtml</a></p>
<p><b>DISTRICT OF COLUMBIA</b> Office of Partnerships and Grant Services 300 E Street, NW (Judiciary Square) Washington, DC 20001 Telephone: (202) 727-8900 <a href="http://opgs.dc.gov">http://opgs.dc.gov</a></p>	<p><b>FLORIDA</b> Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Blvd. Mail Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 Fax: (850) 245-2190 <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a></p>
<p><b>GEORGIA</b> Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8th Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 Fax: (770) 344-3568 <a href="mailto:bjack@cpb.state.ga.us">bjack@cpb.state.ga.us</a></p>	<p><b>IOWA</b> Kathy Mable Iowa Department of Management State Capitol Building Room G12 1007 E Grand Avenue Des Moines, Iowa 50319 Telephone: (515) 281-9834 Fax: (515) 281-7076 <a href="mailto:Kathy.Mable@iowa.gov">Kathy.Mable@iowa.gov</a></p>
<p><b>KENTUCKY</b> Lee Nalley The Governor's Office for Local Development 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 Ext. 274 Fax: (502) 573-1519 <a href="mailto:Lee.Nalley@ky.gov">Lee.Nalley@ky.gov</a></p>	<p><b>LOUISIANA</b> Terry Thomas Louisiana SPOC for EPA Grant Office of Management and Finance LA Department of Environmental Quality P.O. Box 4303 Baton Rouge, LA 70821-4303 Phone (225) 219-3840 Fax: (225) 219-3846 <a href="mailto:Terry.Thomas@la.gov">Terry.Thomas@la.gov</a></p>
<p><b>MAINE</b> Amanda Reclor</p>	<p><b>MARYLAND</b> Linda C. Janey, J.D.</p>

PR/Award # S377B140038

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 Governor's Office of Policy and Management  
 181 State House Station  
 Augusta, Maine 04333-0181  
 Telephone: (207) 287-2873  
 Fax: (207) 287-6489  
 Amanda.Rector@maine.gov  
<http://maine.gov/economist/gr/submit.shtml>

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 Telephone: (313) 324-3339  
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 cjohnson@semcog.org

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 Mary.j.thompson@wv.gov

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 Fax: 787-722-6793  
 Omeda\_L@p.gobierno.pr

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 michele.zydel@nh.gov

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 e\_macaranes@yahoo.com

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 Fax: (340) 776-0069  
 dbgottlieb@omb.gov.vi

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [Hai\\_Tran@omb.eop.gov](mailto:Hai_Tran@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
 Office of Management and Budget  
 New Executive Office Building, Suite 6025

725 17th Street, NW  
Washington, DC 20503

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the *Catalog of Federal Domestic Assistance* or CFDA (<http://www.cfda.gov>) and the Grants.gov website (<http://www.grants.gov>).

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# AUBURN UNIVERSITY

## COLLEGE OF EDUCATION

### EDUCATIONAL FOUNDATIONS, LEADERSHIP AND TECHNOLOGY

May 20, 2014

Lowndes County School System  
Dr. Daniel Boyd  
80 South Commerce Street  
Hayneville, AL 36040

Reference: Turnaround School Leadership Program (TSLP) CFDA # 84.377B  
*Project Alabama Consortium for Turnaround (PACT)*

Dear Dr. Boyd:

The Alabama State Department of Education is collaborating with the University of Alabama, Auburn University, and Samford University to submit a grant proposal to the US Department of Education that will build school leadership capacity in high-need schools throughout the State of Alabama. The primary outcomes of the Turnaround School Leadership Program will be to increase the capacity of our principals to be more effective in a rural, high-need environment, to reduce the administrative turnover rate, and to increase student achievement. An Abstract of the proposed project is enclosed.

Auburn University is excited about our partnership with Lowndes County and the commitment that you have offered to assist us in implementing the ALSDE's Turnaround Grant application. Your willingness to provide your expertise and guidance during the three year project is appreciated. Our application will be filed no later than May 23.

Thank you for your willingness to support our efforts to increase the administrative capacity of our principals to serve in the state's most challenged schools.

Your signature below will signify your full support of the Turnaround School Leadership Program. If you have any questions, please call me at 706 573-7563 or email me at [reamseh@auburn.edu](mailto:reamseh@auburn.edu)

Dr. Daniel Boyd  
Superintendent  
Lowndes County Superintendent

(b)(6)

Ellen H. Reames  
Program Coordinator  
Educational Leadership

4036 Haley Center, Auburn, AL 36849-5221; Telephone: 334-844-4460; Fax: 334-844-3072

[www.auburn.edu](http://www.auburn.edu)

OFFICE OF  
**SUPERINTENDENT OF EDUCATION**

MARENGO COUNTY  
P. O. BOX 480339  
LINDEN, ALABAMA 36748-0339

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SUPERINTENDENT  
E-MAIL: lhahllmark@marengo.k12.al.us

PHONE (334) 295-4123  
FAX (334) 295-2259

DONNA CAPLINGER ETHERIDGE  
SECRETARY  
E-MAIL: djones@marengo.k12.al.us

COUNTY BOARD MEMBERS:  
FREDDIE CHARLESTON, DISTRICT 1  
MIKE MCALPINE, DISTRICT 2 (PRESIDENT)  
CLIFTON MCKNIGHT, DISTRICT 3  
ARTHUR J. HOPSON, DISTRICT 4  
BARBARA "BABS" FRITCHETT, DISTRICT 5

May 21, 2014

RE: United States Department of Education Turnaround School Leaders Program Grant

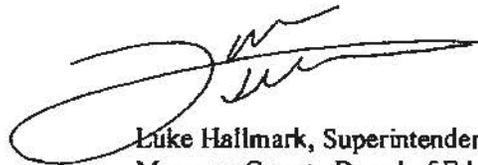
To Whom It May Concern:

As Superintendent of Marengo County Schools, I accept your invitation to join The University of Alabama and the Alabama Department of Education as a partner district in the Turnaround School Leaders program grant proposal entitled: *Project Alabama Consortium for Turnaround (PACT)*. I welcome the opportunity to be part of this important effort to train and provide our principals with the skills and tools necessary to be successful in rural, high-need schools in our state. I believe the model leadership development model you have outlined will have a positive impact on student achievement at all levels and the high school graduation rate in our school district. Additionally, it will help build local capacity and have a significant positive impact on our school leader turnover rate. Rural districts face unique challenges and we welcome the chance to partner with the University of Alabama to meet these challenges and improve educational outcomes for our students.

We are aware that agreeing to serve as a collaborating partner on this proposal will require providing district/agency data to establish the need for the project in our school district as well as providing pre- and post-project evaluation data to examine the effectiveness of the proposed leadership development model. We support the proposal's overall goals and objectives and are excited to contribute to an effort to build an infrastructure that will better prepare school leaders to work in the high-risk school environments found throughout rural Alabama.

I look forward to working with you on this project. I strongly believe that this proposed work will benefit not only the school districts directly involved in this project, but ultimately all school districts in Alabama.

Sincerely,



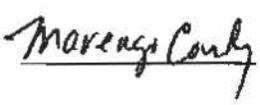
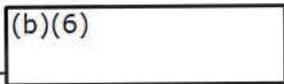
Luke Hallmark, Superintendent  
Marengo County Board of Education

LH/dce

**Memorandum of Understanding<sup>1</sup>**

**The Instructional Leadership Program at the University of Alabama**

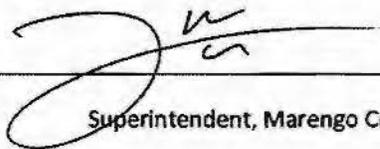
This agreement specifies the proposed respective responsibilities of Marengo County School System and the College of Education (COE) in the implementation of the Instructional Leadership Program.

School District Responsibilities		College of Education Responsibilities
Identify an individual who will coordinate with candidates, mentors, the university coordinator, and other district and university personnel in accomplishing the responsibilities outlined below.	<i>Program Coordination</i>	Designate a program coordinator to serve as a liaison between the College of Education and the school district to coordinate with each candidate's mentor, district personnel, and program faculty in accomplishing the responsibilities outlined below.
Provide district personnel to participate in the interview and selection process.	<i>Admissions</i>	In conjunction with university faculty and practicing administrators, facilitate the assessment center activities (interview and written assessment) and evaluate results.
Collaborate with the program coordinator in identifying qualified mentors and arranging times and sites for candidates to complete embedded field experiences, the internship, and a 10-day residency.	<i>Field Experiences</i>	Collaborate with district personnel in selecting qualified mentors and arranging dates and sites for internship and residency placements. Assist candidates in the development of a plan for the 10 day residency.
Mentors will attend relevant meetings including program orientation, mentor training, and on-site conferences with the university supervisor and the intern, and participate in identifying leading experiences related to each of the Alabama Standards for Instructional Leaders. Mentors will evaluate the mentee in relation to the program standards, COE dispositions, and review the mentee's portfolio.	<i>Mentoring</i>	Collaborate with district personnel in identifying mentors; provide program orientation and training for mentors; maintain contact with mentors and mentees throughout the two semester internship and residency period. Work with candidates and mentors in the development of a plan to provide candidates with leading experiences related to each of the Alabama Standards for Instructional Leaders.
Provide district personnel to participate in reviewing candidate performance ratings and portfolios. Participate in program evaluations and partnership planning meetings to aid in the improvement of the internship experience and program quality.	<i>Evaluation</i>	In conjunction with university faculty and practicing administrators, review candidate performance ratings and portfolios. Implement program evaluations and partnership planning meetings to aid in the improvement of the internship experience and program quality.
 Superintendent Signature	School District 	 Dean College of Education University of Alabama
Printed Name: <u>Luke Hallmark</u>		Printed Name: Peter Hlebowitsh
Date: <u>3/28/14</u>		Date:

<sup>1</sup> This document is a Memorandum of Understanding and is not intended to create binding or legal obligations on either party.

In addition to the responsibilities outlined in the MOU, in support of creating a pipeline of highly-qualified candidates to fill SIG school principal vacancies, the Marengo County School System will:

1. Agree to work in the spirit of cooperation in establishing an environment within the System that supports the successful transition of The University of Alabama students into their internship, and then into new roles as SIG school principals or assistant principals;
2. Participate in the identification and selection process for SIG school principal preparation students at The University of Alabama. The program will admit students that both parties agree have the potential to be effective SIG school principals or assistant principals;
3. Collaborate with The University of Alabama faculty in providing appropriate internship experiences, which will lead to candidates successfully securing an Alabama Principal Endorsement;
4. Support the rigorous principal training and internship by providing guidance to The University of Alabama faculty including identifying resident placement sites;
5. Ensure that all Marengo County System principals that host a principal intern meet the minimum qualification requirements set forth by the state;
6. Collaborate with The University of Alabama and the ALSDE in creating professional development and training for Mentor Principals that support both the needs of the school and the individual learning needs of the SIG school principal candidate;
7. Support and/or facilitate meetings between the University Supervisor and the Mentor Principal throughout the year and maintain regular communications;
8. Ensure that the internship experience provides the state required exposure to diverse populations, the hiring, supervision and evaluation of teachers, working parents, the community, and the School Board;
9. Ensure that school leaders placed in SIG schools will have decision-making autonomy with regard to staffing, school schedules, and budgeting;
10. Support the students' successful completion of the state's principal performance assessments;
11. Communicate with the ALSDE and The University of Alabama faculty regarding changes to school district policies that might impact SIG school principals, assistant principals, and/or principal Interns;
12. Host meetings designed to introduce SIG school principal interns to the district departments and other school leaders;
13. Participate in regular TSLP partnership meetings and University meetings pertaining to the implementation of the TSLP project.
14. Participate in TSLP partnership meetings to evaluate the program in making improvements based on the results of the internal and external evaluation findings;
15. Agree to publically support the partnership and to establish resolutions and policies that are aligned with that support;
16. Work cooperatively to assist in any program evaluation by sharing profiles and relevant data;



---

Superintendent, Marengo County Schools

Date 5/21/14

Date \_\_\_\_\_

---

Board President, Marengo County Schools



## Sumter County Board of Education

P. O. Box 10 • Livingston, AL 35470 • 205/652-9605 • FAX: 205/652-9641

May 21, 2014

Reference: US DOE Turnaround School Leaders Program Grant:

Katie Jones-Powell  
Sumter County School District  
Livingston, AL 35470

To Whom It May Concern:

As the Superintendent of Sumter County Schools, I accept your invitation to join The University of Alabama and the Alabama Department of Education as a partner district in the Turnaround School Leaders Program grant proposal entitled: Project Alabama Consortium for Turnaround (PACT). I welcome the opportunity to be part of this important effort to train and provide our principals with the skills and tools necessary to be successful in rural, high-need schools in our state. I believe the model leadership development model you have outlined will have a positive impact on student achievement at all levels and the high school graduation rate in our school district. Additionally, it will help build local capacity and have a significant positive impact on our school leader turnover rate. Rural districts face unique challenges and we welcome the chance to partner with The University of Alabama to meet these challenges and improve educational outcomes for our students.

We are aware that agreeing to serve as a collaborating partner on this proposal will require providing district/agency data to establish the need for the project in our school district as well as providing pre and post project evaluation data to examine the effectiveness of the proposed leadership development model. We support the proposal's overall goals and objectives and are excited to contribute to an effort to build an infrastructure that will better prepare school leaders to work in the high-risk school environments found throughout rural Alabama.

I look forward to working with you on this project. I strongly believe that this proposed work will benefit not only the school districts directly involved in this project, but ultimately all school districts in Alabama.

Sincerely,

A handwritten signature in cursive script that reads "Katie Jones-Powell".

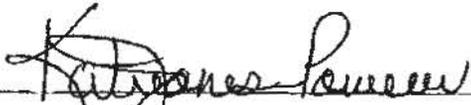
Katie Jones-Powell, Superintendent  
Sumter County Schools

KJP/elh

*"Each Child, Each Day . . . Excellence"*

In addition to the responsibilities outlined in the MOU, in support of creating a pipeline of highly-qualified candidates to fill SIG school principal vacancies, the Sumter County School System will:

1. Agree to work in the spirit of cooperation in establishing an environment within the System that supports the successful transition of The University of Alabama students into their internship, and then into new roles as SIG school principals or assistant principals;
2. Participate in the identification and selection process for SIG school principal preparation students at The University of Alabama. The program will admit students that both parties agree have the potential to be effective SIG school principals or assistant principals;
3. Collaborate with The University of Alabama faculty in providing appropriate internship experiences, which will lead to candidates successfully securing an Alabama Principal Endorsement;
4. Support the rigorous principal training and internship by providing guidance to The University of Alabama faculty including identifying resident placement sites;
5. Ensure that all Sumter County System principals that host a principal intern meet the minimum qualification requirements set forth by the state;
6. Collaborate with The University of Alabama and the ALSDE in creating professional development and training for Mentor Principals that support both the needs of the school and the individual learning needs of the SIG school principal candidate;
7. Support and/or facilitate meetings between the University Supervisor and the Mentor Principal throughout the year and maintain regular communications;
8. Ensure that the internship experience provides the state required exposure to diverse populations, the hiring, supervision and evaluation of teachers, working parents, the community, and the School Board;
9. Ensure that school leaders placed in SIG schools will have decision-making autonomy with regard to staffing, school schedules, and budgeting;
10. Support the students' successful completion of the state's principal performance assessments;
11. Communicate with the ALSDE and The University of Alabama faculty regarding changes to school district policies that might impact SIG school principals, assistant principals, and/or principal interns;
12. Host meetings designed to introduce SIG school principal interns to the district departments and other school leaders;
13. Participate in regular TSLP partnership meetings and University meetings pertaining to the implementation of the TSLP project.
14. Participate in TSLP partnership meetings to evaluate the program in making improvements based on the results of the internal and external evaluation findings;
15. Agree to publicly support the partnership and to establish resolutions and policies that are aligned with that support;
16. Work cooperatively to assist in any program evaluation by sharing profiles and relevant data;

  
\_\_\_\_\_  
Superintendent, Sumter County Schools

Date 5/20/14

**BOARD OF EDUCATION**

Mark Rains, President  
Bill Aaron, Vice President  
Vince Edmonds, Member  
Terry Kennamer, Member  
Tony Simmons, Member

**SUPERINTENDENT**

Mr. Tim Nabors



**MARSHALL COUNTY  
BOARD OF EDUCATION**

12380 U.S. Highway 431 South  
Guntersville, Alabama 35976  
(256) 582-3171  
(256) 582-3178 - FAX

May 16, 2014

Mr. Tim Nabors, Superintendent  
Marshall County School District  
12380 US Highway 431 South  
Guntersville, Alabama 35976

Reference: US DOE Turnaround School Leaders Program Grant:

Dear Dr. Mendiola:

As the Superintendent of Marshall County Schools, I accept your invitation to join the Instructional Leadership Program and the Alabama Department of Education as a partner district in the Turnaround School Leaders Program grant proposal entitled: *Project Alabama Consortium for Turnaround (PACT)*. I welcome the opportunity to be part of this important effort to train and provide our principals with the skills and tools necessary to be successful in rural, high-need schools in our state. I believe the model leadership development model you have outlined will have a positive impact on student achievement at all levels and the high school graduation rate in our school district. Additionally, it will help build local capacity and have a significant positive impact on our school leader turnover rate. Rural districts face unique challenges and we welcome the chance to partner with the University of Alabama to meet these challenges and improve educational outcomes for our students.

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I look forward to working with you on this project. I strongly believe that this proposed work will benefit not only the school districts directly involved in this project, but ultimately all school districts in Alabama.

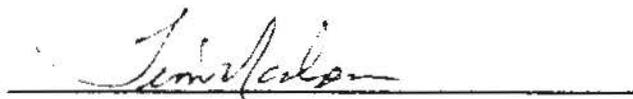
Sincerely,

A handwritten signature in cursive script, appearing to read 'Tim Nabors', written in black ink.

Mr. Tim Nabors, Superintendent  
Marshall County Schools

In addition to the responsibilities outlined in the MOU, in support of creating a pipeline of highly-qualified candidates to fill SIG school principal vacancies, the Marshall County School System will:

1. Agree to work in the spirit of cooperation in establishing an environment within the System that supports the successful transition of The University of Alabama students into their internship, and then into new roles as SIG school principals or assistant principals;
2. Participate in the identification and selection process for SIG school principal preparation students at The University of Alabama. The program will admit students that both parties agree have the potential to be effective SIG school principals or assistant principals;
3. Collaborate with The University of Alabama faculty in providing appropriate internship experiences, which will lead to candidates successfully securing an Alabama Principal Endorsement;
4. Support the rigorous principal training and internship by providing guidance to The University of Alabama faculty including identifying resident placement sites;
5. Ensure that all Marshall County System principals that host a principal intern meet the minimum qualification requirements set forth by the state;
6. Collaborate with The University of Alabama and the ALSDE in creating professional development and training for Mentor Principals that support both the needs of the school and the individual learning needs of the SIG school principal candidate;
7. Support and/or facilitate meetings between the University Supervisor and the Mentor Principal throughout the year and maintain regular communications;
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14. Participate in TSLP partnership meetings to evaluate the program in making improvements based on the results of the internal and external evaluation findings;
15. Agree to publically support the partnership and to establish resolutions and policies that are aligned with that support;
16. Work cooperatively to assist in any program evaluation by sharing profiles and relevant data;



Superintendent, Marshall County Schools

Date 5/21/14



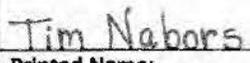
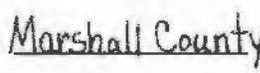
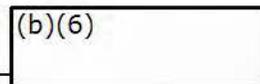
Board President, Marshall County Schools

Date 5/20/14

**Memorandum of Understanding<sup>1</sup>**

**The Instructional Leadership Program at the University of Alabama**

This agreement specifies the proposed respective responsibilities of Marshall County School System and the College of Education (COE) in the implementation of the Instructional Leadership Program.

School District Responsibilities		College of Education Responsibilities
Identify an individual who will coordinate with candidates, mentors, the university coordinator, and other district and university personnel in accomplishing the responsibilities outlined below.	<i>Program Coordination</i>	Designate a program coordinator to serve as a liaison between the College of Education and the school district to coordinate with each candidate's mentor, district personnel, and program faculty in accomplishing the responsibilities outlined below.
Provide district personnel to participate in the interview and selection process.	<i>Admissions</i>	In conjunction with university faculty and practicing administrators, facilitate the assessment center activities (interview and written assessment) and evaluate results.
Collaborate with the program coordinator in identifying qualified mentors and arranging times and sites for candidates to complete embedded field experiences, the internship, and a 10-day residency.	<i>Field Experiences</i>	Collaborate with district personnel in selecting qualified mentors and arranging dates and sites for internship and residency placements. Assist candidates in the development of a plan for the 10 day residency.
Mentors will attend relevant meetings including program orientation, mentor training, and on-site conferences with the university supervisor and the intern, and participate in identifying leading experiences related to each of the Alabama Standards for Instructional Leaders. Mentors will evaluate the mentee in relation to the program standards, COE dispositions, and review the mentee's portfolio.	<i>Mentoring</i>	Collaborate with district personnel in identifying mentors; provide program orientation and training for mentors; maintain contact with mentors and mentees throughout the two semester internship and residency period. Work with candidates and mentors in the development of a plan to provide candidates with leading experiences related to each of the Alabama Standards for Instructional Leaders.
Provide district personnel to participate in reviewing candidate performance ratings and portfolios. Participate in program evaluations and partnership planning meetings to aid in the improvement of the internship experience and program quality.	<i>Evaluation</i>	In conjunction with university faculty and practicing administrators, review candidate performance ratings and portfolios. Implement program evaluations and partnership planning meetings to aid in the improvement of the internship experience and program quality.
 Superintendent Signature   Printed Name:	<i>School District</i>   Marshall County	 Dean College of Education University of Alabama Printed Name: Peter Hlebowitsh
Date: 5/16/14		Date: 5/20/14

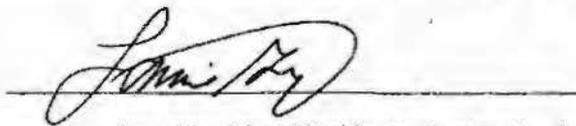
<sup>1</sup> This document is a Memorandum of Understanding and is not intended to create binding or legal obligations on either party.

In addition to the responsibilities outlined in the MOU, in support of creating a pipeline of highly-qualified candidates to fill SIG school principal vacancies, the Washington County School System will:

1. Agree to work in the spirit of cooperation in establishing an environment within the System that supports the successful transition of The University of Alabama students into their internship, and then into new roles as SIG school principals or assistant principals;
2. Participate in the identification and selection process for SIG school principal preparation students at The University of Alabama. The program will admit students that both parties agree have the potential to be effective SIG school principals or assistant principals;
3. Collaborate with The University of Alabama faculty in providing appropriate internship experiences, which will lead to candidates successfully securing an Alabama Principal Endorsement;
4. Support the rigorous principal training and internship by providing guidance to The University of Alabama faculty including identifying resident placement sites;
5. Ensure that all Washington County System principals that host a principal intern meet the minimum qualification requirements set forth by the state;
6. Collaborate with The University of Alabama and the ALSDE in creating professional development and training for Mentor Principals that support both the needs of the school and the individual learning needs of the SIG school principal candidate;
7. Support and/or facilitate meetings between the University Supervisor and the Mentor Principal throughout the year and maintain regular communications;
8. Ensure that the internship experience provides the state required exposure to diverse populations, the hiring, supervision and evaluation of teachers, working parents, the community, and the School Board;
9. Ensure that school leaders placed in SIG schools will have decision-making autonomy with regard to staffing, school schedules, and budgeting;
10. Support the students' successful completion of the state's principal performance assessments;
11. Communicate with the ALSDE and The University of Alabama faculty regarding changes to school district policies that might impact SIG school principals, assistant principals, and/or principal interns;
12. Host meetings designed to introduce SIG school principal interns to the district departments and other school leaders;
13. Participate in regular TSLP partnership meetings and University meetings pertaining to the implementation of the TSLP project.
14. Participate in TSLP partnership meetings to evaluate the program in making improvements based on the results of the internal and external evaluation findings;
15. Agree to publically support the partnership and to establish resolutions and policies that are aligned with that support;
16. Work cooperatively to assist in any program evaluation by sharing profiles and relevant data;

  
Superintendent, Washington County Schools

Date 5-12-14

  
Board President, Washington County Schools

Date 5-12-14



# Colbert County Schools

Post Office Box 538  
425 Highway 72 West  
Tuscumbia, Alabama 35674  
Phone 256-386-8565 • Fax 256-381-9375  
www.colbert.k12.al.us

**Superintendent**  
Anthony Olivis

**Board Members**  
Thomas Burgess    Brad Counce  
Linda Evans        Carrie Greene  
Mary Moore         Nancy Parker

May 12, 2014

Mr. Anthony Olivis, Superintendent  
Colbert County School District  
425 Highway 72 West  
Tuscumbia, AL 35674

Reference: US DOE Turnaround School Leaders Program Grant:

To whom it may concern:

As the Superintendent of Colbert County Schools, I accept your invitation offered through the Alabama Department of Education as a partner district in the Turnaround School Leaders Program grant proposal entitled: *Project Alabama Consortium for Turnaround (PACT)*. I welcome the opportunity to be part of this important effort to train and provide our principals with the skills and tools necessary to be successful in rural, high-need schools in our state. I believe the model leadership development model you have outlined will have a positive impact on student achievement at all levels and the high school graduation rate in our school district. Additionally, it will help build local capacity and have a significant positive impact on our school leader turnover rate. Rural districts face unique challenges and we welcome the chance to partner with you to meet these challenges and improve educational outcomes for our students.

We are aware that agreeing to serve as a collaborating partner on this proposal will require providing district/agency data to establish the need for the project in our school district as well as providing pre and post project evaluation data to examine the effectiveness of the proposed leadership development model. We support the proposal's overall goals and objectives and are excited to contribute to an effort to build an infrastructure that will better prepare school leaders to work in the high-risk school environments found throughout rural Alabama.

I look forward to working with you on this project. I strongly believe that this proposed work will benefit not only the school districts directly involved in this project, but ultimately all school districts in Alabama.

Sincerely,

Mr. Anthony Olivis, Superintendent  
Colbert County Schools

*"Where Performance is the Standard"*

PR/Award # S377B140038

Page e107



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OUR STUDENTS. OUR SCHOOLS. OUR FUTURE.

May 21, 2014

Ann Allison  
Education Administrator  
Alabama State Department of Education  
Office of Student Learning  
School Turnaround Program

Reference: Turnaround School Leadership Program (TSLP) CFDA # 84.377B  
*Project Alabama Consortium for Turnaround (PACT)*

Dear Ms. Allison:

School Superintendents of Alabama (SSA) understands very well the unique challenges that face our leaders in rural, high-need schools. We see firsthand the difficulty of recruiting high quality educators – especially leaders – to these areas. As such we are pleased to support and to collaborate with the Alabama State Department of Education, the University of Alabama, Auburn University, and Samford University as you prepare to submit a grant proposal to the US Department of Education aimed at building school leadership capacity in high-need schools throughout the state.

Our association is glad to pledge our support and resources to this project. SSA will certainly provide assistance for the training sessions as well as individualized support and guidance if needed. In order to move our rural schools forward, they are going to need more resources, opportunities, and qualified personnel who are willing to move to and work in these areas. We are pleased that the Department has undertaken this bold initiative.

With best regards, I am

Sincerely yours,

(b)(6)

Eric G. Mackey, Ed.D.  
Executive Director

COMMITTEE ON FINANCIAL SERVICES

SUBCOMMITTEE ON  
CAPITAL MARKETS AND  
GOVERNMENT SPONSORED ENTERPRISES

SUBCOMMITTEE ON  
DOMESTIC AND INTERNATIONAL  
MONETARY POLICY AND TRADE



HOUSE PERMANENT  
SELECT COMMITTEE ON INTELLIGENCE

DC OFFICE  
1133 LONGWORTH HOUSE OFFICE BUILDING  
WASHINGTON, D.C. 20515  
(202) 225-2665

CHIEF DEPUTY WHIP

TERRI A. SEWELL  
CONGRESS OF THE UNITED STATES  
HOUSE OF REPRESENTATIVES  
ALABAMA, DISTRICT 7

May 20, 2014

Dr. Julie P. Hannah, Director  
Office of Student Learning  
Alabama State Department of Education  
P. O. Box 302101  
Montgomery, AL 36130-2101

Re: Turnaround School Leaders Program

Dear Dr. Hannah:

On behalf of the Seventh Congressional District of Alabama, I am writing to express my full support for the U.S. Department Education's *School Turnaround Leaders Program* grant application submitted by the Alabama State Department of Education.

The Alabama State Department of Education (ALSDE), in conjunction with the University of Alabama, Auburn University, Samford University, and Edwards Educational Services, Inc., propose a customized and innovative principal leadership development model that will immediately address rural school districts' critical need for highly qualified school administrators and will have a positive impact on student outcome data. The proposed program is specifically designed to develop and strengthen school leadership capacity in rural high-need school districts that have identified schools in need of highly qualified "turnaround" leaders.

This collaboration intends to introduce the proposed project entitled: *Project Alabama Consortium for Turnaround (PACT)*. The proposed program will do more than just "tweak" the current program of studies for school leaders in Alabama. It will serve as a replicable model for the development of school leaders in the state's most challenging schools.

I am proud to offer my full support for this application and applaud the collaborative efforts of the Alabama Department of Education and these four institutions to meet the needs of today's youth. I request full consideration of this application and thank you in advance for your attention to this matter. Please contact my office if I or a member of my staff may be of further assistance at (205) 254-1960.

Sincerely,

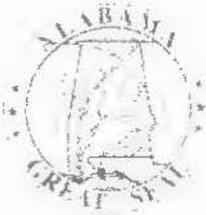
TERRI SEWELL  
Member of Congress

BIRMINGHAM OFFICE  
TWO 20<sup>TH</sup> STREET NORTH  
SUITE 1130  
BIRMINGHAM, AL 35203  
(205) 254-1960

MONTGOMERY OFFICE  
101 SOUTH LAWRENCE STREET  
MONTGOMERY COUNTY COURTHOUSE ANNEX III  
MONTGOMERY, AL 36104  
(334) 262-1919

SELMA OFFICE  
908 ALABAMA AVENUE  
FEDERAL BUILDING, SUITE 112  
SELMA, AL 36701  
(334) 877-4414

TUSCALOOSA OFFICE  
2501 7<sup>TH</sup> STREET, SUITE 300  
TUSCALOOSA COUNTY COURTHOUSE ANNEX  
TUSCALOOSA, AL 35401  
(205) 752-5380



STATE OF ALABAMA  
DEPARTMENT OF EDUCATION



Thomas R. Bice  
State Superintendent  
of Education

FOR IMMEDIATE RELEASE  
May 15, 2015

CONTACT: Communication  
334-242-9950  
[comm@alsde.edu](mailto:comm@alsde.edu)

Alabama State  
Board of Education

Governor  
Robert Bentley  
President

Tracy T. Roberts  
District I

Betty Peters  
District II

Stephanie Bell  
District III

Yvette M.  
Richardson, Ed.D.  
District IV

Ella B. Bell  
District V  
President Pro Tem

Charles E. Elliott, M.D.  
District VI  
Vice President

Jeff Newman  
District VII

Mary Scott Hunter, J.D.  
District VIII

Thomas R. Bice, Ed.D.  
Secretary and  
Executive Officer

**TURNAROUND SCHOOL LEADERS PROGRAM GRANT PROPOSAL  
OVERVIEW NOW AVAILABLE ONLINE FOR PUBLIC VIEWING**

Montgomery, Ala. – On behalf of 11 rural school districts in the state, the Alabama Department of Education, Office of Student Learning, has made the project overview for the *Turnaround School Leaders Program* [application](#) available online for public viewing.

The overview describes a proposed federal grant application to create a pipeline of school leaders specifically trained to work in Alabama’s lowest-performing schools. It is a three-year project funded by the U.S. Department of Education.

To view the proposal, [click here](#). The purpose of posting the overview online is to allow time for public comment, as required by the U.S. Department of Education. Written comments may be emailed to Mrs. Ann Allison at [aallison@alsde.edu](mailto:aallison@alsde.edu) by Thursday, May 22, 2014.

###

## Allison Ann

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**From:** balexander@clarkecountyschools.org  
**Sent:** Tuesday, May 20, 2014 12:12 PM  
**To:** Allison Ann  
**Subject:** Turnaround School Leaders Program

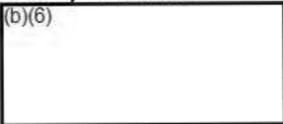
Ms. Allison:

I wanted to touch base with you concerning the Turnaround School Leaders Programs. I am interested in working with this initiative. I hold a Master's in Administrative and Supervision and have just completed my Master's again at the University of West Alabama. This summer I will begin my coursework towards my specialist in administration. I am highly trained in several initiatives focusing on data driven instruction. I work as Science Chair at Clarke County High School in Clarke County, Alabama. Please let me know anyway that I could serve or become an integral component of this turnaround program.

Thanks,

Becky Alexander

(b)(6)



## Allison Ann

---

**From:** BRITTINA MOORE <BMOORE@tusc.k12.al.us>  
**Sent:** Tuesday, May 20, 2014 11:56 AM  
**To:** Allison Ann  
**Cc:** Moore Brittina  
**Subject:** Turnaround School Leaders Program

Good Morning,

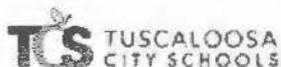
I am curious and intrigued by the information I read about this program. Is this a new cohort outside of the cohorts that have been established in the last year or so at The University of Alabama? I am currently enrolled in the Educational Leadership program there. I am also taking a class titled Data Informed Decision Making. We are using the book by Bernhardt, "Data, Data Everywhere..." I am interested in knowing more about how I could possibly be involved in this effort. I am currently working at Westlawn Middle School, we are one year past the SIG grant. Thanks. BRM

## Allison Ann

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**From:** Cathy Seale <cseale@tusc.k12.al.us>  
**Sent:** Tuesday, May 20, 2014 8:55 AM  
**To:** Allison Ann  
**Subject:** Re: Turnaround School Leaders Project

Ann,  
This looks really good. I didn't see anything that I would change. Looks great!  
Cathy



Cathy Seale, Educational Specialist  
School Improvement Coordinator  
Federal Programs  
(205) 496-1702

>>> Allison Ann <aallison@ALSDE.edu> 5/16/2014 3:18 PM >>>

Dear School Leaders and Teachers,

We have the opportunity to apply for a federal grant to help the Alabama State Department of Education, three Alabama universities and the consulting company, Edwards Educational Solutions, prepare credentialed and pre-service leaders specifically to be an administrator in a SIG school or SIG-eligible school. I have attached the program overview that describes our current thinking. Please read over and email back to let me know that you find it OK as written or make comments/suggestions for change. Your input is valuable to us.

Thank you for taking time to do this for us. We are hopeful that our application is funded.  
Ann

Ann Allison  
Education Administrator  
Alabama State Department of Education  
Office of Student Learning  
School Turnaround Program  
Phone: 334-353-1608 (office)  
Fax: 334-353-9204  
aallison@alsde.edu

## Allison Ann

---

**From:** CEDRIC TATUM <CTATUM@bhm.k12.al.us>  
**Sent:** Friday, May 16, 2014 9:26 PM  
**To:** Allison Ann  
**Subject:** Re: Turnaround School Leaders Project

This is a unique approach. If approved I would apply to participate.

Cedric Tatum

Sent from my iPad

On May 16, 2014, at 3:19 PM, "Allison Ann" <aallison@ALSDE.edu> wrote:

Dear School Leaders and Teachers,

We have the opportunity to apply for a federal grant to help the Alabama State Department of Education, three Alabama universities and the consulting company, Edwards Educational Solutions, prepare credentialed and pre-service leaders specifically to be an administrator in a SIG school or SIG-eligible school. I have attached the program overview that describes our current thinking. Please read over and email back to let me know that you find it OK as written or make comments/suggestions for change. Your input is valuable to us.

Thank you for taking time to do this for us. We are hopeful that our application is funded.  
Ann

Ann Allison  
Education Administrator  
Alabama State Department of Education  
Office of Student Learning  
School Turnaround Program  
Phone: 334-353-1608 (office)  
Fax: 334-353-9204  
[aallison@alsde.edu](mailto:aallison@alsde.edu)

<Revised TSLP Project Overview (2).docx>

## Allison Ann

---

**From:** Kenneth E. Fair <kfair@lowndesboe.org>  
**Sent:** Friday, May 16, 2014 10:23 AM  
**To:** Allison Ann

Good morning Mrs. Allison,

I am emailing to let you know that I am interested in the (TSLP) Turnaround School Leaders Program. Your name was listed as point of contact, and I wanted to get more info relative to registration or anything available from you. I am specifically interested in when the program will begin as well. Any information that you could share at this time will be most helpful in pursuing this distinguished accomplishment.

Thanks for you time and response.

--  
K.E. Fair, Principal  
The Calhoun School  
334-227-4515  
8213 CR 33  
Letohatchee, Al. 36047

"The capacity to imagine determines your level of potential."

- K.E.

Fair

## Budget Narrative File(s)

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\* **Mandatory Budget Narrative Filename:**

[Add Mandatory Budget Narrative](#)

[Delete Mandatory Budget Narrative](#)

[View Mandatory Budget Narrative](#)

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

[Add Optional Budget Narrative](#)

[Delete Optional Budget Narrative](#)

[View Optional Budget Narrative](#)

**Budget Narrative**  
**Year One**  
**(October 1, 2014-September 31, 2015)**

**1. Personnel**

*Subtotal for Personnel: 0*

**2. Fringe**

*Subtotal for Fringe: \$ 0*

**3. Travel**

- a. Grant orientation meeting in DC for 2 staff: \$2,550
- b. Local travel to make site visits and attend meetings: \$6,938

*Subtotal for Staff Travel: \$9,488*

**4. Equipment**

None

**5. Supplies**

- a. General office supplies: \$2,500
- b. Laptop for PD & software: \$2,100
- c. Printer for PD: \$2,100

*Total Supplies: \$6,700*

**6. Consultants and Subcontracts**

- a. Edwards Educational Services (EES) will provide personnel for the management and delivery of all professional development training and will include the following tasks:

- 1) Administer the Educational Leadership Inventory (ELI): \$3,000
  - 2) Mentor stipends: (3 x 5,000): \$15,000
  - 3) Mentor travel: \$5,000
  - 4) Provide professional development training: \$80,000
  - 5) Travel for training & PD: \$7,000
  - 6) Admin Support: \$15,000
  - 7) National Principals Academy Tuition: (15 x \$1,500)= \$22,500
- Total for EES: \$147,500

*Project Alabama Consortium for Turnaround (PACT)*

b. External Evaluator:

Cash Educational Consulting Services (CECS), LLC will provide external evaluation of overall project to measure success in compliance with program requirements. CECS will develop process and outcome evaluation reports and establish an outcome evaluation system with assessment tool development:

Evaluation activities: \$30,000

Related travel: \$6,000

Supplies: \$1,200

Total for CECS: \$37,200

c. University of Alabama: Develop and Implement training curriculum for pre-service participants in designated SIG/SIG-eligible school districts:

Personnel costs to deliver training: \$19,394

Fringe: \$2,083

Travel: (to visit interns, interviewing, training mentors, student mileage to Tuscaloosa): \$24,988

Supplies: (books, printing, handbooks, brochures): \$24,410

Other: meals/snacks for mentor training sessions: \$360

GA Tuition: \$10,395

Tuition for PACT participants: \$75,000

Indirect Costs @ 8%: \$5,699

Total Costs: \$162,329

d. Auburn University: Develop and Implement training curriculum for pre-service participants in designated SIG/SIG-eligible school districts:

Personnel: \$80,541

Fringe: \$18,908

Travel: \$25,425

Supplies: \$5,000

Contractual: (Guest lecturers, mentors, Co-Teachers): \$44,000

Other: (Training Fellowships): \$50,000

Indirect Costs @ 8%: 17,910

Total Costs: \$241,784

e. Samford University: Develop and Implement training curriculum for pre-service participants in designated SIG/SIG-eligible school districts:

*Project Alabama Consortium for Turnaround (PACT)*

Partnerships/Consultants: \$10,000  
Travel: \$31,000  
Materials and Supplies: \$4,000  
Recruiting and Promotional: \$1,000  
Total: \$49,680

- f. Council for Leaders In Alabama Schools (CLAS): Conduct yearly *PACT* State Institute, conduct two webcasts, provide professional development, and mentors for participants.

Professional Development and Dissemination: \$31,000  
Mentor stipends: \$58,080  
Indirect costs @8%: \$7,126  
Total: \$96,206

*Subtotal for Consultants and Subcontracts: \$734,699*

7. **Construction**

Not Applicable

8. **Other**

*Subtotal for Other: \$ 0*

9. **Total Direct Costs**

*Subtotal for Direct Costs: \$750,887*

10. **Indirect Costs: (Limited to first \$25,000)**

$(\$25,000 \times .175) = \$28,917$

*Subtotal for Indirect Costs: \$4,375*

11. **Training Stipends**

*Subtotal Stipends: \$ 0*

**Total Year One Budget = \$779,804**

**Budget Narrative**  
**Year Two**  
**(October 1, 2015-September 31, 2016)**

**1. Personnel**

*Subtotal for Personnel: 0*

**2. Fringe**

*Subtotal for Fringe: \$ 0*

**3. Travel**

- a. Grant orientation meeting in DC for 2 staff: \$2,550
- b. Local travel to make site visits and attend meetings: \$6,938

*Subtotal for Staff Travel: \$9,488*

**4. Equipment**

None

**5. Supplies**

- a. General office supplies: \$2,500

*Total Supplies: \$2,500*

**6. Consultants and Subcontracts**

- a. Edwards Educational Services (EES) will provide personnel for the management and delivery of all professional development training and will include the following tasks:

- 1) Administer the Educational Leadership Inventory (ELI): \$3,000
  - 2) Mentor stipends: (3 x 5,000): \$15,000
  - 3) Mentor travel: \$5,000
  - 4) Provide professional development training: \$105,000
  - 5) Travel for training & PD: \$7,000
  - 6) Admin Support: \$15,000
  - 7) National Principals Academy Tuition: (15 x \$1,500=\$22,500
- Total for EES: \$172,500

*Project Alabama Consortium for Turnaround (PACT)*

b. External Evaluator:

Cash Educational Consulting Services (CECS), LLC will provide external evaluation of overall project to measure success in compliance with program requirements. CECS will develop process and outcome evaluation reports and establish an outcome evaluation system with assessment tool development:

Evaluation activities: \$30,000

Related travel: \$6,000

Supplies: \$1,200

Total for CECS: \$37,200

c. University of Alabama: Develop and Implement training curriculum for pre-service participants in designated SIG/SIG-eligible school districts:

Personnel costs to deliver training: \$27,021

Fringe: \$2,133

Travel: (to visit interns, interviewing, training mentors, student mileage to Tuscaloosa): \$26,025

Supplies: (books, printing, handbooks, brochures): \$18,000

Other: Grad Assistant: \$17,152

Tuition for PACT participants: \$75,000

Contractual (Sub payments, mentors): 30,180

Indirect Costs @ 8%: \$8,269

Total Costs: \$203,780

d. Auburn University: Develop and Implement training curriculum for pre-service participants in designated SIG/SIG-eligible school districts:

Personnel: \$74,251

Fringe: \$16,958

Travel: \$25,425

Supplies: \$1,000

Contractual: (Guest lecturers, mentors, Co-Teachers): \$33,000

Other: 0

Indirect Costs @ 8%: \$12,051

Total Costs: \$162,685

e. Samford University: Develop and Implement training curriculum for pre-service participants in designated SIG/SIG-eligible school districts:

Partnerships/Consultants: \$10,000

*Project Alabama Consortium for Turnaround (PACT)*

Travel: \$31,000  
Materials and Supplies: \$4,000  
Recruiting and Promotional: \$1,000  
Total: \$49,680

- f. Council for Leaders In Alabama Schools (CLAS): Conduct yearly PACT State Institute, conduct two webcasts, provide professional development, and mentors for participants.

Professional Development and Dissemination: \$31,000  
Mentor stipends: \$58,080  
Indirect costs @8%: \$7,126  
Total: \$96,206

Subtotal for Consultants and Subcontracts: \$722,051

7. **Construction**

Not Applicable

8. **Other**

Subtotal for Other: \$ 0

9. **Total Direct Costs**

Subtotal for Direct Costs: \$734,039

10. **Indirect Costs: (Limited to first \$25,000)**

$(\$25,000 \times .175) = \$28,186$

Subtotal for Indirect Costs: \$4,375

11. **Training Stipends**

Subtotal Stipends: \$ 0

**Total Year Two Budget = \$762,225**

**Budget Narrative**  
**Year Three**  
**(October 1, 2016-September 31, 2017)**

**1. Personnel**

*Subtotal for Personnel: 0*

**2. Fringe**

*Subtotal for Fringe: \$ 0*

**3. Travel**

- a. Grant orientation meeting in DC for 2 staff: \$2,550
- b. Local travel to make site visits and attend meetings: \$6,938

*Subtotal for Staff Travel: \$9,488*

**4. Equipment**

None

**5. Supplies**

- a. General office supplies: \$2,500

*Total Supplies: \$2,500*

**6. Consultants and Subcontracts**

- a. Edwards Educational Services (EES) will provide personnel for the management and delivery of all professional development training and will include the following tasks:

- 1) Administer the Educational Leadership Inventory (ELI): \$3,000
  - 2) Mentor stipends: (3 x 5,000): \$15,000
  - 3) Mentor travel: \$5,000
  - 4) Provide professional development training: \$130,000
  - 5) Travel for training & PD: \$7,000
  - 6) Admin Support: \$15,000
  - 7) National Principals Academy Tuition: (20 x \$1,500=\$30,000)
- Total for EES: \$205,000

- b. External Evaluator:

Cash Educational Consulting Services (CECS), LLC will provide external evaluation of overall project to measure success in compliance with program requirements. CECS will develop process and outcome evaluation reports and establish an outcome evaluation system with assessment tool development:

Evaluation activities: \$45,000

Related travel: \$6,000

Supplies: \$1,200

Total for CECS: \$52,200

- c. Samford University: Develop and Implement training curriculum for pre-service participants in designated SIG/SIG-eligible school districts:

Partnerships/Consultants: \$10,000

Travel: \$31,000

Materials and Supplies: \$4,000

Recruiting and Promotional: \$1,000

Total: \$49,680

- f. Council for Leaders In Alabama Schools (CLAS): Conduct yearly *PACT* State Institute, conduct two webcasts, provide professional development, and mentors for participants.

Professional Development and Dissemination: \$31,000

Mentor stipends: \$58,080

Indirect costs @8%: \$7,126

Total: \$96,206

*Subtotal for Consultants and Subcontracts: \$403,086*

**7. Construction**

Not Applicable

**8. Other**

*Subtotal for Other: \$ 0*

**9. Total Direct Costs**

*Subtotal for Direct Costs: \$403,086*

**10. Indirect Costs: (Limited to first \$25,000)**

$(\$25,000 \times .175) = \$28,186$

Subtotal for Indirect Costs: \$4,375

**11. Training Stipends**

Subtotal Stipends: \$ 0

**Total Year Three Budget = \$443,260**

**Total Budget (Years 1-3)= \$1,985,289**

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

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

Name of Institution/Organization

Alabama State 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	0.00	0.00	0.00			0.00
2. Fringe Benefits	0.00	0.00	0.00			0.00
3. Travel	9,488.00	9,488.00	9,488.00			28,464.00
4. Equipment	0.00	0.00	0.00			0.00
5. Supplies	6,700.00	2,500.00	2,500.00			11,700.00
6. Contractual	734,699.00	722,051.00	403,086.00			1,859,836.00
7. Construction	0.00	0.00	0.00			0.00
8. Other	0.00	0.00	0.00			0.00
9. Total Direct Costs (lines 1-8)	750,887.00	734,039.00	415,074.00			1,900,000.00
10. Indirect Costs*	28,917.00	28,186.00	28,186.00			85,289.00
11. Training Stipends	0.00	0.00	0.00			0.00
12. Total Costs (lines 9-11)	779,804.00	762,225.00	443,260.00			1,985,289.00

**\*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:  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 Alabama State 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						
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)**

U.S. DEPARTMENT OF EDUCATION  
SUPPLEMENTAL INFORMATION  
FOR THE SF-424

**1. Project Director:**

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
	Constance	Ann	Allison	

Address:

Street1:	50 North Ripley Street
Street2:	
City:	Montgomery
County:	
State:	AL: Alabama
Zip Code:	36103-2101
Country:	USA: UNITED STATES

Phone Number (give area code)	Fax Number (give area code)
334-3353-1608	334-353-9204

Email Address:

aa11lison@alsde.edu
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**2. Novice Applicant:**

Are you a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

- Yes  No  Not applicable to this program

**3. Human Subjects Research:**

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

- Yes  No

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

Yes Provide Exemption(s) #: 

--

No Provide Assurance #, if available:

c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

	Add Attachment	Delete Attachment	View Attachment
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