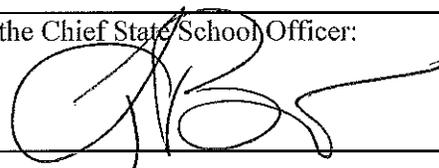# APPLICATION COVER SHEET

SCHOOL IMPROVEMENT GRANTS

Legal Name of Applicant: Emily Richardson	Applicant's Mailing Address: Indiana Department of Education 115 W. Washington Street. South Tower, Suite 600 Indianapolis, IN 46204

State Contact for the School Improvement Grant

Name: Emily Richardson

Position and Office: Assistant Director of School Improvement and Turnaround, Indiana Department of Education

Contact's Mailing Address:
Indiana Department of Education
115 W. Washington Street.
South Tower, Suite 600
Indianapolis, IN 46204

Telephone: 317-233-9589

Fax: 317-232-0744

Email address: erichardson@doe.in.gov

Chief State School Officer (Printed Name): Dr. Tony Bennett	Telephone: 317-232-6665
Signature of the Chief State School Officer: X	Date: 1/7/13

The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.

School Improvement Grants
Application for FY 2012 New Awards Competition

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

Fiscal Year 2012

CFDA Number: 84.377A

State Name: Indiana

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

OMB Number:
Expiration Date:

SCHOOL IMPROVEMENT GRANTS

Purpose of the Program
School Improvement Grants (SIG), authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants to State educational agencies (SEAs) that SEAs use to make competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. Under the final requirements published in the *Federal Register* on October 28, 2010 (http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf), school improvement funds are to be focused on each State's "Priority" or "Tier I" and "Tier II" schools. Tier I schools are the lowest-achieving five percent of a State's Title I schools in improvement, corrective action, or restructuring, Title I secondary schools in improvement, corrective action, or restructuring with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain Title I eligible (and participating) elementary schools that are as low achieving as the State's other Tier I schools ("newly eligible" Tier I schools). Tier II schools are the lowest-achieving five percent of a State's secondary schools that are eligible for, but do not receive, Title I, Part A funds, secondary schools that are eligible for, but do not receive, Title I, Part A funds with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain additional Title I eligible (participating and non-participating) secondary schools that are as low achieving as the State's other Tier II schools or that have had a graduation rate below 60 percent over a number of years ("newly eligible" Tier II schools). An LEA also may use school improvement funds in Tier III schools, which are Title I schools in improvement, corrective action, or restructuring that are not identified as Tier I or Tier II schools and, if a State so chooses, certain additional Title I eligible (participating and non-participating) schools ("newly eligible" Tier III schools). (See Appendix B for a chart summarizing the schools included in each tier.) In the Priority or Tier I and Tier II schools an LEA chooses to serve, the LEA must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model.

ESEA Flexibility
States that have received approval of their ESEA flexibility request will not be required to maintain a separate list of Tier I and Tier II schools. Under this flexibility, an LEA is eligible to apply for SIG funds to implement one of the four school intervention models defined in the SIG final requirements in a priority school even if that school is not in improvement and thus the LEA would not otherwise be eligible to receive SIG funds for the school. An SEA approved to implement this flexibility may award SIG funds above the amount needed for SIG continuation awards to an LEA with Priority schools according to the rules that apply to Tier I and Tier II schools under the SIG final requirements.

Availability of Funds
The Department of Education Appropriations Act, 2012, provided $535 million for School Improvement Grants in fiscal year (FY) 2012.

FY 2012 school improvement funds are available for obligation by SEAs and LEAs through September 30, 2013.

State and LEA Allocations
Each State (including the District of Columbia and Puerto Rico), the Bureau of Indian Education, and the outlying areas are eligible to apply to receive a School Improvement Grant. The Department will allocate FY 2012 school improvement funds in proportion to the funds received in FY 2012 by the States, the Bureau of Indian Education, and the outlying areas under Parts A, C, and D of Title I of the ESEA. An SEA must allocate at least 95 percent of its school improvement funds directly to LEAs in accordance with the final requirements (http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf). The SEA may retain an amount not to exceed five percent of its allocation for State administration, evaluation, and technical assistance.

Consultation with the Committee of Practitioners
Before submitting its application for a SIG grant to the Department, an SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein. The Department recommends that the SEA also consult with other stakeholders, such as potential external providers, teachers' unions, and business, civil rights, and community leaders that have an interest in its application.

FY 2012 NEW AWARDS APPLICATION INSTRUCTIONS

This application is for use only by SEAs that will make new awards. New awards are defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve with SIG funds in the school year for which funds are being awarded—in this case, the 2012–2013 school year. New awards may be made with the FY 2012 funds or any remaining FY 2009, FY 2010 and FY 2011 funds not already committed to grants made in earlier competitions. The U.S. Department of Education will <u>not</u> require those SEAs that will use FY 2012 funds solely for continuation awards to submit a SIG application. Rather, such an SEA is required to submit an assurance that it is not making new awards, as defined above, through the separate application titled, "Continuation Awards Only Application for FY 2012 SIG Program".

An SEA that must submit a FY 2012 application will be required to update its timeline for making awards to LEAs, but may retain all other sections from its FY 2010 application, including its lists of Tier I, II, and III schools and priority schools.

SUBMISSION INFORMATION

Electronic Submission:

The Department strongly prefers to receive an SEA's FY 2012 SIG application electronically. The application should be sent as a Microsoft Word document, **not** as a PDF.

The SEA should submit its FY 2012 application to the following address: OST.OESE@ED.GOV

In addition, the SEA must submit a paper copy of the cover page signed by the SEA's authorized representative to the address listed below under "Paper Submission."

Paper Submission:

If an SEA is not able to submit its application electronically, it may submit the original and two copies of its SIG application to the following address:

> Carlas McCauley, Group Leader
> Office of School Turnaround
> U.S. Department of Education
> 400 Maryland Avenue, SW, Room 3W320
> Washington, DC 20202-6132

Due to potential delays in government processing of mail sent through the U.S. Postal Service, SEAs are encouraged to use alternate carriers for paper submissions.

Application Deadline

Applications are due on or before January 18, 2013.

For Further Information

If you have any questions, please contact Carlas McCauley at (202) 260-0824 or by e-mail at Carlas.Mccauley@ed.gov.

APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

Legal Name of Applicant: Emily Richardson	Applicant's Mailing Address: Indiana Department of Education 115 W. Washington Street. South Tower, Suite 600 Indianapolis, IN 46204

State Contact for the School Improvement Grant

Name: Emily Richardson

Position and Office: Assistant Director of School Improvement and Turnaround, Indiana Department of Education

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Telephone: 317-233-9589

Fax: 317-232-0744

Email address: erichardson@doe.in.gov

Chief State School Officer (Printed Name): Dr. Tony Bennett	Telephone: 317-232-6665
Signature of the Chief State School Officer: X	Date:

The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.

FY 2012 NEW AWARDS APPLICATION CHECKLIST

Please use this checklist to indicate the changes the SEA elects to make to its FY 2012 application from its FY 2011 application. An SEA will be required to update Section D (Part 1): Timeline, but will have the option to retain all other sections from its FY 2011 application, including its lists of Tier I, II, and III schools.

SECTION A: ELIGIBLE SCHOOLS	☐ SEA elects to keep the same definition of "persistently lowest-achieving schools" (PLA schools) as FY 2011	☒ SEA elects to revise its definition of "persistently lowest-achieving schools" (PLA schools) for FY 2012 (see Appendix D)
	For an SEA keeping the same definition of PLA schools, please select one of the following options: ☐ SEA elects not to generate new lists of Tier I, Tier II, and Tier III schools ☐ SEA elects to generate new lists	*For an SEA revising its definition of PLA schools, please select the following option:* ☒ SEA must generate new lists ☒ SEA is substituting the PLA list with its list of priority schools (please see Waiver 4 in Section G of SEA application)
SECTION B: EVALUATION CRITERIA	☒ Same as FY 2011	☐ Revised for FY 2012
SECTION B-1: ADDITIONAL EVALUATION CRITERIA	☒ Same as FY 2011	☐ Revised for FY 2012
SECTION C: CAPACITY	☒ Same as FY 2011	☐ Revised for FY 2012
SECTION D (PART 1): TIMELINE	☒ Revised for FY 2012	
SECTION D (PARTS 2-8): DESCRIPTIVE INFORMATION	☒ Same as FY 2011	☐ Revised for FY 2012
SECTION E: SEA RESERVATION	☒ Same as FY 2011	☐ Revised for FY 2012
SECTION F: CONSULTATION WITH STAKEHOLDERS	☒ Consultation with stakeholders provided	
SECTION G: WAIVERS	☒ Same as FY 2011	☐ Revised for FY 2012

PART I: SEA REQUIREMENTS

As part of its FY 2012 application for a School Improvement Grant under section 1003(g) of the ESEA, an SEA will be required to update its timeline, but may retain all other sections from its FY 2011 application, including its lists of Tier I, II, and III schools.

SECTION A: ELIGIBLE SCHOOLS	
☐ **Definition of "persistently lowest-achieving schools" (PLA schools) is same as FY 2011**	☒ **Definition of "persistently lowest-achieving schools" (PLA schools) is revised for FY 2012** ☒ **SEA is substituting the PLA list with its list of priority schools (please see Waiver 4 in Section G of SEA application)**
For an SEA keeping the same definition of PLA schools, please select one of the following options: ☐ 1. The SEA elects not to generate new lists of Tier I, Tier II, and Tier III schools. The SEA does not need to submit a new list for the FY 2012 application. ☐ 2. SEA elects to generate new lists. Lists submitted below.	*For an SEA revising its definition of PLA schools, please select the following option:* ☐ 1. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition of "persistently lowest-achieving schools." Lists submitted below. ☒ 2. SEA has generated a PLA list in accordance with their ESEA Flexibility request. List submitted below.

Directions: An SEA that elects to generate new lists or must generate new lists of Priority or Tier I, Tier II, and Tier III schools because it has revised its definition of "persistently lowest-achieving schools" must attach a table to its SIG application that include its lists of all Priority or Tier I, Tier II, and Tier III schools that are eligible for new awards.[1] An SEA that will not generate new lists of Tier I, Tier II, and Tier III schools does not need to submit a new list for the FY 2012 application.

SEAs that generate new lists should create this table in Excel using the format shown below. An example of the table has been provided for guidance.

SCHOOLS ELIGIBLE FOR FY 2012 SIG FUNDS									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE[2]

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[1] A "new award" is defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve with SIG funds in the school year for which funds are being awarded—in this case, the 2012–2013 school year. New awards may be made with the FY 2012 funds or any remaining FY 2009, FY 2010 or FY 2011 funds not already committed to grants made in earlier competitions.

[2] "Newly Eligible" refers to a school that was made eligible to receive SIG funds by the Consolidated Appropriations Act, 2010. A newly eligible school may be identified for Tier I or Tier II because it has not made adequate yearly progress for at least two consecutive years; is in the State's lowest quintile of performance based on proficiency rates on State's assessments; and is no higher achieving than the highest-achieving school identified by the SEA as a "persistently lowest-achieving school" or is a high school that has a graduation rate less than 60 percent over a number of years. For complete definitions of and additional information about "newly eligible schools," please refer to the FY 2010 SIG Guidance, questions A-20 to A-30.

EXAMPLE:

SCHOOLS ELIGIBLE FOR FY 2012 SIG FUNDS									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##		X				
LEA 1	##	MADISON ES	##		X				
LEA 1	##	TAYLOR MS	##				X		X
LEA 2	##	WASHINGTON ES	##		X				
LEA 2	##	FILLMORE HS	##				X		
LEA 3	##	TYLER HS	##			X		X	
LEA 4	##	VAN BUREN MS	##		X				
LEA 4	##	POLK ES	##				X		

SCHOOLS ELIGIBLE FOR FY 2012 SIG FUNDS									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE[3]
Charter School	9325	Options Charter School - Carmel	2524	x					
Charter School	9640	Options Charter School Noblesville	2551	x					
Charter School	9810	Hoosier Academy - Muncie	1427	x					
Charter School	9865	Hoosier Acad Virtual Charter Sch	5290	x					
Eastern Greene Schools	2940	Eastern Greene Elementary School	2433	x					
EVSC	7995	Academy for Innovative Studies	8270	x					
EVSC	7995	Caze Elementary School	8261	x					
EVSC	7995	Cedar Hall Community School	8265	x					
EVSC	7995	Fairlawn Elementary School	8293	x					
EVSC	7995	Lincoln School	8251	x					
EVSC	7995	Lodge Community School	8329	x					
Kokomo-Center Twp Con Sch Corp	3500	Bon Air Elementary Sch	2945	x					
Logansport Comm Schl	0875	Columbia Elementary School	0713	x					
M S D Lawrence Township	5330	Crestview Elementary School	5285	x					

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[3] "Newly Eligible" refers to a school that was made eligible to receive SIG funds by the Consolidated Appropriations Act, 2010. A newly eligible school may be identified for Tier I or Tier II because it has not made adequate yearly progress for at least two consecutive years; is in the State's lowest quintile of performance based on proficiency rates on State's assessments; and is no higher achieving than the highest-achieving school identified by the SEA as a "persistently lowest-achieving school" or is a high school that has a graduation rate less than 60 percent over a number of years. For complete definitions of and additional information about "newly eligible schools," please refer to the FY 2010 SIG Guidance, questions A-20 to A-30.

M S D Lawrence Township	5330	Winding Ridge Elementary School	5295	x					
M S D Wayne Township	5375	Maplewood Elementary School	5223	x					
M S D Wayne Township	5375	North Wayne Elem School	5267	x					
Medora Community School Corp	3640	Medora Elementary School	3095	x					
Scott County School District 2	7255	Scottsburg Elem School	7649	x					
Vigo County School Corporation	8030	West Vigo Elementary School	8609	x					
Charter School	9695	Imagine MASTer Academy	0159	x					
Charter School	9820	Imagine Schools on Broadway	0255	x					
Charter School	9880	Career Academy at South Bend	7564	x					
East Allen County Schools	0255	Paul Harding Jr High School	0294	x					
Elkhart Community Schools	2305	Beck Elementary School	1769	x					
Elkhart Community Schools	2305	Pierre Moran Middle School	1763	x					
FWCS	0235	Harrison Hill Elementary Sch	0178	x					
School City of Hammond	4710	Columbia Elementary School	4447	x					
School City of Hammond	4710	Maywood Elementary School	4465	x					
School City of Hammond	4710	Washington Irving Elem Sch	4455	x					
South Bend Community School Corporation	7205	Harrison Primary Center	7545	x					
South Bend Community School Corporation	7205	Jackson Intermediate Center	7510	x					
South Bend Community School Corporation	7205	Madison Primary Center	7573	x					
South Bend Community School Corporation	7205	Marshall Intermediate Center	7581	x					
South Bend Community School Corporation	7205	Monroe Primary Center	7585	x					
South Bend	7205	Muessel Primary Center	7593	x					

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Community School Corporation									
South Bend Community School Corporation	7205	Perley Fine Arts Academy	7613	x					
South Bend Community School Corporation	7205	Warren Primary Center	7417	x					
Charter School	9310	Charter School of the Dunes	1535	x					
Charter School	9340	New Community School	1538	x					
Charter School	9370	Fall Creek Academy	5870	x					
Charter School	9535	Gary Lighthouse Charter School	4130	x					
Charter School	9565	Kenneth A Christmon STEMM Academy	9018	X					
Charter School	9585	West Gary Lighthouse	4008	x					
Charter School	9635	LEAD College Prep	4097	x					
Charter School	9815	Imagine Indiana Life Sci Aca-East	5673	x					
Charter School	9920	Damar Charter Academy	5191	x					
M S D Perry Township	5340	Abraham Lincoln Elem Sch	5337	x					
M S D Pike Township	5350	Guion Creek Middle School	5360	x					
M S D Pike Township	5350	Lincoln Middle School	5355	x					
M S D Washington Township	5370	Nora Elementary School	5427	x					
M S D Washington Township	5370	Northview Middle School	5445	x					
Marion Community Schools	2865	Allen Elementary School	2369	x					
Marion Community Schools	2865	Frances Slocum Elem School	2409	x					
Marion Community Schools	2865	John L McCulloch Junior High Sch	2357	x					
Marion Community Schools	2865	Justice Thurgood Marshall Intrmd	2350	x					
Michigan City Area Schools	4925	Edgewood Elementary School	4805	x					
Michigan City Area Schools	4925	Elston Middle School	4715	x					
Muncie Community School Corporation	1970	Sutton Elementary School	1509	x					
Muncie	1970	Wilson Middle School	1437	x					

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Community School Corporation									
School City of East Chicago	4670	Benjamin Franklin Elem School	3933	x					
School City of East Chicago	4670	George Washington Elem School	3961	x					
School City of East Chicago	4670	Joseph L Block Jr High School	3963	x					
Bartholomew Cons Schl Corp	0365	Clifty Creek Elementary Sch	0328	x					
Charter School	9390	Flanner House Elem Sch (Charter)	5872	x					
Flat Rock-Hawcreek	0370	Hope Elementary School	0409	x					
Franklin County Com Sch Corp	2475	Laurel School	2082	x					
Jennings County Schools	4015	Jennings County Middle School	3393	x					
Monroe County Community School Corporation	5740	Fairview Elementary School	6197	x					
Monroe County Community School Corporation	5740	Templeton Elementary School	6225	x					
North Lawrence Com Schools	5075	Fayetteville Elementary Sch	4857	x					
Richmond Community Schools	8385	Elizabeth Starr Acad for Young Ent	9038	x					
Vincennes Community Sch Corp	4335	Francis Vigo Elementary Sch	3581	x					
Vincennes Community Sch Corp	4335	Tecumseh-Harrison Elem Sch	3577	x					
Washington Com Schools	1405	Lena Dunn Elementary School	1103	x					
Gary Community School Corp	4690	Beveridge Elementary School	4061	x					
Gary Community School Corp	4690	Brunswick Elementary School	4065	x					
Gary Community School Corp	4690	Daniel Webster Elem Sch	4165	x					
Gary Community School Corp	4690	Jacques Marquette Elem School	4121	x					
Gary Community School Corp	4690	Jefferson Elementary School	4104	x					
Gary	4690	West Side Leadership	4163	x					

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Community School Corp		Academy							
IPS	5385	Anna Brochhausen School 88	5588	x					
IPS	5385	Brookside School 54	5554	x					
IPS	5385	Charles W Fairbanks Sch 105	5605	x					
IPS	5385	Clarence Farrington School 61	5662	x					
IPS	5385	Elder W Diggs School 42	5542	x					
IPS	5385	Floro Torrence School 83	5583	x					
IPS	5385	Francis Scott Key School 103	5603	x					
IPS	5385	George H Fisher School 93	5593	x					
IPS	5385	George S Buck Elementary School	5619	x					
IPS	5385	James Russell Lowell School 51	5551	x					
IPS	5385	Key Learning Community Elem Sch	5522	x					
IPS	5385	Key Learning Community High School	5631	x					
IPS	5385	Key Learning Community Jr High Sch	5503	x					
IPS	5385	Louis B Russell Jr School 48	5548	x					
IPS	5385	Northwest Community High School	5483	x					
IPS	5385	Northwest Community Jr High School	5516	x					
IPS	5385	Ralph Waldo Emerson School 58	5558	x					
IPS	5385	Raymond F Brandes School 65	5565	x					
IPS	5385	Riverside School 44	5544	x					
IPS	5385	Shortridge Law & Public Plcy Mg HS	5485	x					
IPS	5385	Thomas D Gregg School 15	5515	x					
IPS	5385	Washington Irving School 14	5514	x					
IPS	5385	William A Bell Sch 60 Reggio Acad	5560	x					
IPS	5385	William McKinley School 39	5539	x					
EdisonLearning	8820	Theodore Roosevelt Car & Tech Acad	4033	x					
EdPower	8830	Arlington Community High School	5465	x					
Charter Schools USA	8825	Emma Donnan Middle School	5572	x					
Charter Schools USA	8815	Emmerich Manual High School	5481	x					
Charter Schools USA	8810	Thomas Carr Howe Comm High School	5639	x					

Directions: All SEAs are required to list any LEAs with one or more schools for which funding under previously awarded SIG grants will not be renewed. For each such school, note the amount of unused remaining funds and explain how the SEA or LEA plans to use those funds (e.g., reallocate to other schools with SIG grants or retain for a future SIG competition).

LEA NAME	SCHOOL NAME	DESCRIPTION OF HOW REMAINING FUNDS WERE OR WILL BE USED	AMOUNT OF REMAINING FUNDS
Indianapolis Public Schools	Joyce Kilmer Elementary School 69	These funds ($3,010,462) were reallocated to new SIG recipients. Indiana ran a new competition to issue three new awards; the awards were also supplemented with carry over funds.	There were no remaining funds after reallocation.
	TOTAL AMOUNT OF REMAINING FUNDS:		None

Directions: In the boxes below, provide updates to any sections, if any, the SEA elects to revise. The only section the SEA will be required to update is *Section D (Part 1): Timeline*. The SEA does not need to resubmit information for any section in which it elects to use the same criteria as its FY 2011 SIG application. See Appendix A for guidelines on the information required for revised sections.

SECTION B: EVALUATION CRITERIA

☒ **SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.**	☐ **SEA has revised the information in this section for FY 2012. Updated information listed below.**

N/A

SECTION B-1: ADDITIONAL EVALUATION CRITERIA FOR PRE-IMPLEMENTATION

☒ **SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.**	☐ **SEA has revised the information in this section for FY 2012. Updated information listed below.**

N/A

SECTION C: CAPACITY

☒ **SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.**	☐ **SEA has revised the information in this section for FY 2012. Updated information listed below.**

N/A

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

Process	Date
IDOE submits initial application to USDOE	December 2012
IDOE receives comments from USDOE	January 2013
IDOE revises application and sends to USDOE	January 2013
Within 1-3 days of approval, IDOE posts the application on its web site and sends letters to superintendents	February 2013
IDOE provides webinar to all LEAs explaining SIG process; webinar is made available on IDOE web site	February 2013
LEA SIG applications due to IDOE	March 2013
IDOE reviews applications for Cohort IV	March 2013
IDOE provides technical assistance for revising applications as needed	March 2013
IDOE awards 3-year grants to Cohort IV	April 2013
Cohort IV schools begin implementing approved reform models	May 2013

SECTION D (PARTS 2-8) DESCRIPTIVE INFORMATION:

☒ **SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.** | ☐ **SEA has revised the information in this section for FY 2012. Updated information listed below.**

N/A

SECTION E: SEA RESERVATION

☒ **SEA is using the same information in this section as in its FY 2011 application. The SEA does not need to resubmit this section.** | ☐ **SEA has revised the information in this section for FY 2012. Updated information listed below.**

N/A

SECTION F: CONSULTATION WITH STAKEHOLDERS

☒ **By checking this box, the SEA assures that it has consulted with its Committee of Practitioners regarding the information set forth in its application.**

SECTION G: WAIVERS: SEAs are invited to request waivers of the requirements set forth below. An SEA must check the corresponding box(es) to indicate which waiver(s) it is requesting.

WAIVERS OF SEA REQUIREMENTS

Indiana requests a waiver of the State-level requirements it has indicated below. The State believes that the requested waiver(s) will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and raise the academic achievement of students in Priority or Tier I, Tier II, and Tier III schools.

Waiver 1: Tier II waiver

Note: An SEA that requested and received the Tier II waiver for its FY 2011 definition of "persistently lowest achieving schools" should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.

☐In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2012 competition, waive paragraph (a)(2) of the definition of "persistently lowest-achieving schools" in Section I.A.3 of the SIG final requirements and incorporation of that definition in identifying Tier II schools under Section I.A.1(b) of those requirements to permit the State to include, in the pool of secondary schools from which it determines those that are the persistently lowest-achieving schools in the State, secondary schools participating under Title I, Part A of the ESEA that have not made adequate yearly progress (AYP) for at least two consecutive years or are in the State's lowest quintile of performance based on proficiency rates on the State's assessments in reading/language arts and mathematics combined.

Assurance
☐The State assures that it will include in the pool of schools from which it identifies its Tier II schools all Title I secondary schools not identified in Tier I that either (1) have not made AYP for at least two consecutive years; or (2) are in the State's lowest quintile of performance based on proficiency rates on the State's assessments in reading/language arts and mathematics combined. Within that pool, the State assures that it will identify as Tier II schools the persistently lowest-achieving schools in accordance with its approved definition. The State is attaching the list of schools and their level of achievement (as determined under paragraph (b) of the definition of "persistently lowest-achieving schools") that would be identified as Tier II schools without the waiver and those that would be identified with the waiver. The State assures that it will ensure that any LEA that chooses to use SIG funds in a Title I secondary school that becomes an eligible Tier II school based on this waiver will comply with the SIG final requirements for serving that school.

Waiver 2: n-size waiver

Note: An SEA that requested and received the n-size waiver for its FY 2011 definition of "persistently lowest-achieving schools" should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.

☐In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2012 competition, waive the definition of "persistently lowest-achieving schools" in Section I.A.3 of the SIG final requirements and the use of that definition in Section I.A.1(a) and (b) of those requirements to permit the State to exclude, from the pool of schools from which it identifies the persistently lowest-achieving schools for Tier I and Tier II, any school in which the total number of students in the "all students" group in the grades assessed is less than **[Please indicate number].**

Assurance
☐The State assures that it determined whether it needs to identify five percent of schools or five schools in each tier prior to excluding small schools below its "minimum n." The State is attaching, and will post on its Web site, a list of the schools in each tier that it will exclude under this waiver and the number of students in each school on which that determination is based. The State will include its "minimum n" in its definition of "persistently lowest-achieving schools." In addition, the State will include in its list of Tier III schools any schools excluded from the pool of schools from which it identified the persistently lowest-achieving schools in accordance with this waiver.

Waiver 3: New list waiver

☐ Because the State does not elect to generate new lists of Tier I, Tier II, and Tier III schools, waive Sections I.A.1 and II.B.10 of the SIG final requirements to permit the State to use the same Tier I, Tier II, and Tier III lists it used for its FY 2011 competition.

Waiver 4: Priority schools list waiver

☒ In order to enable the State to replace its lists of Tier I, Tier II, and Tier III schools with its list of Priority schools under ESEA flexibility, waive the school eligibility requirements in Section I.A.1 of the SIG final requirements.

Assurance
☒The State assures that, through its request for ESEA flexibility, its priority school definition provides an acceptable alternative methodology for identifying the State's lowest-performing schools and thus is an appropriate replacement for the eligibility requirements and definition of PLA schools in the SIG final requirements.

WAIVERS OF LEA REQUIREMENTS

Indiana requests a waiver of the requirements it has indicated below. These waivers would allow any local educational agency (LEA) in the State that receives a School Improvement Grant to use those funds in accordance with the final requirements for School Improvement Grants and the LEA's application for a grant.

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

Waiver 5: School improvement timeline waiver

Note: An SEA that requested and received the school improvement timeline waiver for the FY 2011 competition and wishes to also receive the waiver for the FY 2012 competition must request the waiver again in this application.

Schools that started implementation of a turnaround or restart model in the 2010-2011, 2011-2012 or 2012-2013 school years cannot request this waiver to "start over" their school improvement timeline again.

☒Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Priority or Tier I, Tier II, and Tier III Title I participating schools that will fully implement a turnaround or restart model beginning in the 2013–2014 school year to "start over" in the school improvement timeline.

Assurances
☒The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests the waiver in its application as part of a plan to implement the turnaround or restart model beginning in 2013–2014 in a school that the SEA has approved it to serve. As such, the LEA may only implement the waiver in Priority or Tier I, Tier II, and Tier III schools, as applicable, included in its application.

☒The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

Waiver 6: Schoolwide program waiver

Note: An SEA that requested and received the schoolwide program waiver for the FY 2011 competition and wishes to also receive the waiver for the FY 2012 competition must request the waiver again in this application.

☒Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a schoolwide program in a Priority, Tier I, Tier II, or Tier III Title I participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.

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

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☒ The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

ASSURANCE OF NOTICE AND COMMENT PERIOD – APPLIES TO ALL WAIVER REQUESTS
(Must check if requesting one or more waivers)

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

PART II: LEA APPLICATION

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

LEA APPLICATION

☐ **SEA is using the same FY 2011 LEA application form for FY 2012.**	☒ **SEA has revised its LEA application form for FY 2012.**
The SEA does not need to resubmit the LEA application.	**The SEA must submit its LEA application form with its application to the Department for a School Improvement Grant. The SEA should attach the LEA application form in a separate document.**

LEA APPLICATION REQUIREMENTS

The LEA application form that the SEA uses must contain, at a minimum, the information set forth below. An SEA may include other information that it deems necessary in order to award school improvement funds to its LEAs.

A. SCHOOLS TO BE SERVED: An LEA must include the following information with respect to the schools it will serve with a School Improvement Grant.

An LEA must identify each Priority, Tier I, Tier II, or Tier III school the LEA commits to serve and identify the model that the LEA will use in each Priority, Tier I or Tier II school.

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

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

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

(1) For each Priority or Tier I and Tier II school that the LEA commits to serve, the LEA must demonstrate that—
  - The LEA has analyzed the needs of each school and selected an intervention for each school; and
  - The LEA has the capacity to use school improvement funds to provide adequate resources and related support to each Priority or Tier I and Tier II school identified in the LEA's application in order to implement, fully and effectively, the required activities of the school intervention model it has selected.

(2) If the LEA is not applying to serve each Priority or Tier I school, the LEA must explain why it lacks capacity to serve each Priority or Tier I school.

(3) The LEA must describe actions it has taken, or will take, to—
  - Design and implement interventions consistent with the final requirements;
  - Recruit, screen, and select external providers, if applicable, to ensure their quality;
  - Align other resources with the interventions;
  - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively; and

- Sustain the reforms after the funding period ends.

(4) The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Priority or Tier I and Tier II school identified in the LEA's application.

(5) The LEA must describe the annual goals for student achievement on the State's assessments in both reading/language arts and mathematics that it has established in order to monitor its Priority or Tier I and Tier II schools that receive school improvement funds.

(6) For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement.

(7) The LEA must describe the goals it has established (subject to approval by the SEA) in order to hold accountable its Tier III schools that receive school improvement funds.

(8) As appropriate, the LEA must consult with relevant stakeholders regarding the LEA's application and implementation of school improvement models in its Priority or Tier I and Tier II schools.

C. BUDGET: An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Priority, Tier I, Tier II, and Tier III school it commits to serve.

The LEA must provide a budget that indicates the amount of school improvement funds the LEA will use each year to—

- Implement the selected model in each Priority or Tier I and Tier II school it commits to serve;
- Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA's Priority or Tier I and Tier II schools; and
- Support school improvement activities, at the school or LEA level, for each Tier III school identified in the LEA's application.

Note: An LEA's budget should cover three years of full implementation and be of sufficient size and scope to implement the selected school intervention model in each Priority or Tier I and Tier II school the LEA commits to serve. Any funding for activities during the pre-implementation period must be included in the first year of the LEA's three-year budget plan.

An LEA's budget for each year may not exceed the number of Priority or Tier I, Tier II, and Tier III schools it commits to serve multiplied by $2,000,000 or no more than $6,000,000 over three years.

Example:

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

D. ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant.

The LEA must assure that it will—
(1) Use its School Improvement Grant to implement fully and effectively an intervention in each Priority or Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
(2) Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Priority or Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
(3) If it implements a restart model in a Priority, Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;
(4) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality;
(5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding; and
(6) Report to the SEA the school-level data required under section III of the final requirements.

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

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

☐ "Starting over" in the school improvement timeline for Priority or Tier I and Tier II Title I participating schools implementing a turnaround or restart model.

☐   Implementing a school-wide program in a Priority, Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

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REQUIRED INFORMATION FOR REVISED SEA APPLICATION SECTIONS

## B. EVALUATION CRITERIA:

Part 1: The three actions listed in Part 1 are ones that an LEA must take prior to submitting its application for a School Improvement Grant. Accordingly, the SEA must describe, with specificity, the criteria the SEA will use to evaluate an LEA's application with respect to each of the following actions:

(1) The LEA has analyzed the needs of each Priority or Tier I and Tier II school identified in the LEA's application and has selected an intervention for each school.

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

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

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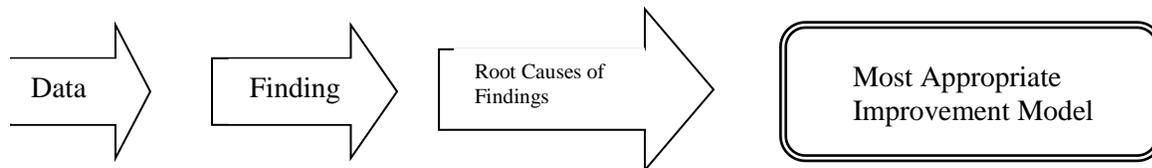
Step 1: Compilation of Data. The first step for the LEA is to obtain and analyze student and school data to determine the needs of the school. This is a critical step in the LEA's later determination of the appropriate intervention model for that particular school. The LEA is required to use multiple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

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

> *Worksheet 1: Student Achievement Data – Adequately Yearly Progress (AYP)*
> - By student groups: American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient, and Special Education
> - For content areas mathematics and English/language arts
> - Percentage of students within the student group not meeting AYP
> - Number of students within the student group not meeting AYP
> - Determination of the severity of the group's finding
> - Determination of the unique learning needs of the group
> - Several key findings or summaries from the student achievement data

> *Worksheet 1: Section B: Student Leading Indicators for 2010-2011 and 2011-2012*

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

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

Worksheet #2: Self-Assessment - Practices of Effective Schools
- o Principal and Leadership
- o Instruction
- o Curriculum
- o Data - Formative Assessments
- o Professional Development
- o Parents, Family, Community
- o Vision, Mission, Goals
- o Cultural Competency

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

Step 3: Determination of Root Causes. In this step, the LEAs are provided with a short explanation of root cause analysis in their application and again examples are provided. The directions encourage the LEAs to explore all inputs surrounding the students (e.g., school, home, and community) and to avoid placing blame on students as the cause of their poor performance, but rather to dig deeper to determine underlying reasons. If the LEA's responses to root causes are inappropriate or simply at the surface level, IDOE staff will assist the LEA in understanding and implementing this step through webinars and/or individual assistance through telephone calls.

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

Once that selection is made, the LEA must examine its own ability or capacity to implement the model and then reevaluate its original decision. For example, if a rural LEA selects the Restart Model for the school but upon

examination cannot find educational management organizations that are willing to serve in the rural area, then another intervention model may need to be selected.

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

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

(1) The LEA has analyzed the needs of each school and has selected an intervention for each one.		
Not Adequately Demonstrated	**Basic - Requires Revision** **1-10 points**	**Proficient*** **11-20 points**
• *No* completion of worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" • *Little to none* of the required data sources have been provided and/or the analysis (findings) is lacking or minimal • *Little or no* use of root cause analysis and/or causes are illogical and not based on data • The alignment of the school and its needs and the improvement model chosen is *lacking or minimal*.	• *Some* completion of worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" • *Some* of the required data sources have been provided • *Some* of the analysis (findings) from the data and the root cause analysis is accurate • A *general* alignment between the needs of the school and the model chosen is has been demonstrated	• *Full* completion of worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" • *All* of the required data sources have been provided • *All* of the analysis (findings) from the data and the root cause analysis are logical • The alignment between the needs of the school and the model chosen is *specifically and conclusively* demonstrated as appropriate.

*A proficient score is needed for approval.

(2) The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Priority or Tier I and Tier II school identified in the LEA's application in order to implement fully and effectively the selected intervention in each of those schools.

IDOE will require the LEA to submit a budget for each school identified in its application to demonstrate its capacity to use the funding to provide adequate resources and supports to each school (see Appendices G and H). In the application, the LEA will demonstrate its financial ability, given the amount requested for the school improvement grant, to implement all required elements of the selected model, as listed below:
   o Staff has been identified with the credentials and capability to implement selected intervention model successfully.
   o The ability of the LEA to serve the overall number of schools identified in the application has been

addressed.
- A commitment to support the selected intervention model has been indicated by the teachers' union, the school board, and other stakeholders (staff, parents, community)
- A detailed and realistic timeline to implement the selected model during in the 2013-2014 school year.
- The ability to conduct a needs assessment with a root cause analysis prior to the selection of the model.
- The plan for recruiting new principals with the credentials and capability to implement the model has been described. (Transformation, Turnaround)
- The ability of the LEA to successfully align federal, state, and local funding sources with grant activities and to ensure sustainability of the reform measures.
- A thorough description of adding extended learning time has been included in the application. (Turnaround, Restart, Transformation)
- A governance structure is described, including LEA staff and their credentials, who will be responsible for taking an active role in the day-to-day management of turnaround efforts at the school level and coordinating with IDOE. (Turnaround, Restart, Transformation)
- The availability of charter management organizations (CMOs) and educational management organizations (EMOs) appropriate to the needs of the school to serve that could be enlisted has been described. (Restart)
- Access to and geographic proximity of higher achieving schools, including but not limited to, charter schools or new schools for which achievement data are not yet available. (School Closure)

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

(3) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Priority or Tier I and Tier II school identified in the LEA's application throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).

IDOE will require the LEA to submit a budget for each school identified in its application. The allocations for each school depends on the intervention model selected. In the school application, the LEA will be asked to provide details in respect to each element of the model to be implemented. Additionally, the LEA will describe how it will align SIG monies with other funding sources. IDOE will determine if sufficient funds have been budgeted to fully and effectively implement the selected intervention model and other grant requirements, and determine if the funding is likely to lead to improved teacher instruction, principal leadership and student achievement.
- The intervention model selected for each school provides the details in the school application to fully and effectively implement each element as outlined in the final requirements.
- The budget request for each school must be of sufficient size and scope to support full and effective implementation of the selected intervention over a period of three years.
- The budget must be planned at a minimum of $50,000 and not exceed 2 million dollars per year per school.
- The SIG portion of school closure costs may be lower than the amount required for the other three models and will be granted for only one year.
- The LEA may request funding for LEA-level activities that will support the implementation of school intervention models for identified schools only.

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- o Projected budgets meet the requirements of reasonable, allocable and necessary.
- o A clear alignment to the goals and interventions correlates to the request for funding.

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

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

Part 2: The actions in Part 2 are ones that an LEA may have taken, in whole or in part, prior to submitting its application for a School Improvement Grant, but most likely will take after receiving a School Improvement Grant. Accordingly, an SEA must describe the criteria it will use to assess the LEA's commitment to do the following:

(1) Design and implement interventions consistent with the final requirements.
   a) IDOE staff will hold a Webinar and describe the changes in SIG from previous years and. The webinar will be held once the SEA application is approved and introduced the four intervention

model as well as explain the LEA application process and provide accompanying materials.

   b) IDOE will evaluate an LEA's application for schools using a rubric to ensure that it includes (1) all elements of the selected intervention model, (2) logical and comprehensive steps of implementation to ensure fidelity of the model, (3) an aggressive timeline to allow for the model's elements to be implemented during the 2013-2014 school year, (4) description of LEA staff with the expertise and experience to research, design and implement the selected intervention model, and (5) a plan to regularly engage the school community to inform them of progress and seek input.

SEA Determination of LEA Commitment: The following rubric will be used by IDOE staff to evaluate an LEA application as to its plan to design and implement interventions consistent with the final requirements.

1. Design and implement interventions consistent with the final requirements.		
Not Adequately Demonstrated	**Basic - Requires Revision** **1-10 points**	**Proficient*** **11-20 points**
o *None* of the elements of the selected intervention model are described. o The descriptions of how the elements will be or have been implemented are *not included.* o The timeline demonstrates that *none* of the model's elements are or will be implemented at the beginning of the 2010-2011 school year. o LEA staff has *no* expertise or successful experience in researching, designing or implementing the selected intervention model or other reform models. o *No or little* engagement has occurred with the school community.	o *Some* of the elements of the selected intervention model are described. o The descriptions of how *some* elements will be or have been implemented are *not* detailed and/or steps or processes are *missing*. o The timeline demonstrates that *some* of the model's elements are or will be implemented at the beginning of the 2010-2011 school year. o LEA staff has *some* expertise and successful experience in researching, designing, and implementing the selected model or other school reform models. o *Some* of the school community has been engaged in the progress and in providing input.	o *All* the elements of the selected intervention model are included. o The descriptions of how *all* of the elements will be or have been implemented are specific, logical and comprehensive. o The timeline demonstrates that *all* of the model's elements will be implemented during the 2010-2011 school year. o LEA staff has *high* levels of expertise and successful experience in researching, designing, and implementing the selected intervention model. o The school community has been purposefully engaged *multiple* times to inform them of progress and seek their input.

*A proficient score is needed for approval.

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

(a) The LEA will develop a timely and systematic process for (1) determining the existence of quality external providers that are willing and able to serve in its area of the state and (2) will include parents and community members.

(b) The LEA will develop criteria for selecting the providers and utilize it in determining the past effectiveness of the provider in implementing the intervention model, especially as related to the student population of the school and/or the type of school.

(c) The LEA will develop and submit a copy of the contract with the provider clearly indicating the roles

and responsibilities of the provider, how the LEA will support the provider, and any consequences should the provider not meet its obligations including but not limited to increasing student achievement.
SEA Determination of LEA Commitment: The following rubric will be used by IDOE to evaluate the LEA application to recruit, screen, select, and support external providers.

2. The LEA has or will recruit, screen, select and support appropriate external providers.		
Not Adequately Demonstrated	**Basic - Requires Revision** **1-10 points**	**Proficient*** **11-20 points**
o *No plan* exists to identify external providers. o Available providers have *not been investigated* as to their track record. o Parents and the community have *not been involved* in the selection process. o The provider *does not have* a track record of success. o The roles and responsibilities of the LEA and the provider *are not defined* in the contract. o The LEA *does not indicate* that it will hold the provider accountable to high performance standards. o The capacity of the external provider to serve the school is *not described* or the capacity is *poor.*	o *Some* of the elements of the selected intervention model are described. o The descriptions of how *some* elements will be or have been implemented are *not* detailed and/or steps or processes are *missing.* o The timeline demonstrates that *some* of the model's elements are or will be implemented at the beginning of the 2010-2011 school year. o LEA staff has *some* expertise and successful experience in researching, designing, and implementing the selected model or other school reform models. o *Some* of the school community has been engaged in the progress and in providing input.	o *All* the elements of the selected intervention model are included. o The descriptions of how *all* of the elements will be or have been implemented are specific, logical and comprehensive. o The timeline demonstrates that *all* of the model's elements will be implemented during the 2010-2011 school year. o LEA staff has *high* levels of expertise and successful experience in researching, designing, and implementing the selected intervention model. o The school community has been purposefully engaged *multiple* times to inform them of progress and seek their input.

*A proficient score is needed for approval.
(3) Align other resources with the interventions.
LEAs receive funds through numerous federal and state sources. Yet, all too often, the funding streams are seen as individual line items rather than taken as a whole to work towards school improvement. IDOE will encourage LEAs to examine the current financial supports, and funds in their selected schools, and determine ways to utilize the funds to meet the final requirements of the selected intervention model. Many of the funding sources, such as Title III, will allow for the meeting of a model's requirements, e.g., the recruitment of teacher staff with the skills and experience to implement the intervention model. IDOE provides a tool to assist LEAs in considering how funding sources may be used to implement elements of the selected model (Appendix E). In reviewing the LEA's evaluation, IDOE will determine the LEA's commitment to reexamining the school's funding and the overlapping use of that funding to implement the required elements of the selected intervention model in two areas:

(a) The LEA's detailed budget narrative in the application includes how other funding sources (e.g., Title II, Part are aligned to and will be used in the selected intervention.
(b) The LEA includes a description of how other non-financial resources (e.g., personnel, materials, services)

SEA Determination of LEA Commitment: The following rubric will be used by IDOE staff to evaluate the LEA application as to how it will align other resources with the intervention.

3. The LEA has or will align other resources with the interventions.		
Not Adequately Demonstrated	**Basic - Requires Revision** **1-10 points**	**Proficient*** **11-20 points**
○ *Inappropriate or a few* financial and non-financial resources have been identified. ○ Ways in which to align the interventions with resources have *not been provided* or *do not correspond* to the selected intervention model.	○ *Limited* financial and nonfinancial resources have been identified. ○ For *some* of the resources identified, *general ways* to align to the intervention model have been provided.	○ *Multiple* financial and nonfinancial resources have been identified. ○ For *each* resource identified, *specific ways* to align to the intervention model has been provided.

*A proficient score is needed for approval.

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

The LEA will need to examine its current policies, rules, procedures, and practices and their alignment to the required elements of the selected intervention model. In Indiana, contractual agreements with teachers' unions will be a topic that will need to be addressed as those agreements may impede the full implementation of the model. The SEA will assess the LEA's commitment to first examine and then modify its practices and policies, as necessary, to allow for the full implementation of the selected intervention in the following areas:

(a) *Staff evaluation and dismissal*
- Differentiates performance into four rating categories (i.e., highly effective, effective, improvement necessary, and ineffective).
- Credible distribution of performance across the four rating categories, with parity between tested and non-tested grades/subjects.
- Evaluations are predominantly based (at least 51%) on school and student performance data.
- Clear route to dismissal for ineffective teachers and principals.

(b) *Staff recruitment and retention*
- Specific supports for new teachers (e.g., mentoring) and for teachers that need to improve performance.
- Incentives and rewards for staff that increase student outcomes and for those that work in the neediest schools.
- Provision of dedicated time for staff to meet and work together.
- Rigorous, evidence-driven process for identifying exceptional teachers and principals, with extensive outreach beyond the district and the state.
- Use of a demanding screening process (e.g., performance evaluation) focused on competencies rather than experience alone.
- Hiring and assignments for schools based on the mutual consent of the teacher and principal, regardless of the teacher's seniority.
- Allowance of non-traditional and alternative routes in hiring leaders.

(c) *Changing or deviating from LEA policy or norm*
- Adding at least one hour of additional instructional time per day

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- Alternative or extended school-year calendars that add time beyond the additional hour of instruction time per day
- Other deviations that allow the principal to discard rules and norms that are not working for the school (e.g., bus scheduling constraints).

SEA Determination of LEA Commitment: The following rubric will be used by IDOE staff to evaluate the LEA application in modification of its practices and policies.

4. The LEA has or will modify its practices and policies to enable it and the school the full and effective implementation of the intervention.		
Not Adequately Demonstrated	**Basic - Requires Revision 1-10 points**	**Proficient* 11-20 points**
o Sources of Evidence, e.g., district policy statements, board minutes, contractual agreements	o Sources of Evidence, e.g., district policy statements, board minutes, contractual agreements	➢ Sources of Evidence, e.g., district policy statements, board minutes, contractual agreements
o Evaluation *does not* differentiate performance across categories.	o Evaluation indicates *some* differentiation of performance across categories (i.e., effective, ineffective).	o Evaluation differentiates performance across *four rating categories* (i.e., highly effective, effective, improvement necessary, ineffective).
o The principal and teacher evaluation process includes one *or no* observations, based on school/student performance.	o The principal and teacher evaluation processes includes a *few* observations and is *less than 51%* based on school and/or student performance.	o Staff evaluation process includes *at least annual* observations for teachers and leaders and is *at least 51%* based on school and/or student performance.
o Dismissal policy is *never* utilized for ineffective teachers and principals.	o Dismissal policy is *rarely* utilized or implemented for ineffective teachers and principals.	o *Clear* dismissal pathway for ineffective teachers and principals.
o *Very little or no flexibility* has been provided for hiring, retaining, transferring and replacing staff to facilitate the selected model.	o *Limited flexibility* has been provided for hiring, retaining, transferring and replacing staff to facilitate the model.	o *Flexibility* has been provided for hiring, retaining, transferring and replacing staff to facilitate the selected model.
o *Very limited or no* additional instructional time added.	o *Some* instructional time added (if required by the model).	o *Appropriate* amount of instructional time added (if required by the model).

    (5) Sustain the reforms after the funding period ends.

Sustaining of a reform effort requires the LEA to have built its own internal capacity so it is prepared to work alone, without the support from the SEA, financially and through personnel, materials, and resources. While the LEA certainly will not be able to demonstrate such capacity as the implementation of the intervention model begins, it does need to express and demonstrate commitment to move in that direction. The SEA will assess the LEA's commitment to build its internal capacity in the following areas:

        (1) Continuous measurement of effectiveness in implementing the selected model. Examples of measurements would include attendance rates for teachers and students, graduation rates, results on formative assessments and other leading indicators

(2) Based on the measurement, often adapts implementation to increase effectiveness and/or fidelity to the model.

(3) Availability of funding, staff, and other resources to continue the intervention model.

SEA Determination of LEA Commitment: The following rubric will be used by IDOE staff to evaluate the LEA's commitment to sustain the reform after the funding period ends.

(5) The LEA will provide evidence for sustaining the reform after the funding period ends.		
Not Adequately Demonstrated	**Basic - Requires Revision 1-10 points**	**Proficient* 11-20 points**
o *No* measurement of effectiveness of model's implementation provided. o Based on measurement, *never or rarely* adapts implementation. o Provides *no or limited* description of potential availability of funding, staff, and other resources to continue the intervention after funding ends.	o *Some* measurement of effectiveness of model's implementation provided. o Based on measurement, *occasionally* adapts implementation to increase fidelity. o Provides *limited* description of availability of funding, staff, and other resources to continue the intervention after funding ends.	o *Continuous* measurement of effectiveness of model's implementation provided. o Based on measurement, *routinely* adapts implementation to increase fidelity. o Provides *detailed* description of the availability of funding, staff, and other resources to continue the intervention after funding ends.

*A proficient score is needed for approval.

B-1. ADDITIONAL EVALUATION CRITERIA: In addition to the evaluation criteria listed in Section B, the SEA must evaluate the following information in an LEA's budget and application:

(1) How will the SEA review an LEA's proposed budget with respect to activities carried out during the pre-implementation period[2] to help an LEA prepare for full implementation in the following school year?

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

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

In addition, the full application budget will be analyzed to ensure:
1. Budgeted items are to be fully expended during the grant period and

2. The majority of the budgeted items will be expended during year 1 of the grant period

(2) How will the SEA evaluate the LEA's proposed activities to be carried out during the pre-implementation period to determine whether they are allowable? *(For a description of allowable activities during the pre-implementation period, please refer to section J of the FY 2010 SIG Guidance.)*

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

Criteria	Yes	No IDOE Staff comments
1. A pre-implementation budget is included		
2. The pre-implementation budget and the school year 2013-2014 budget is planned at a minimum of $50,000 and does not exceed 2 million dollars per school.		
3. The SIG funds for the first year cover full effective implementation through the duration of the 2013-2014 school year, in addition to preparatory activities carried out during the pre-implementation period.		
4. Projected budgets meet the requirements of reasonable, allocable and allowable.		
5. A clear alignment to the goals and interventions correlates to the request for funding for pre-implementation.		

[2] "Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2013–2014 school year. For a full description of pre-implementation, please refer to section J of the SIG Guidance.

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

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

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

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

Table 1. Examining the LEA's Claim of Lack of Capacity

Model	Capacity Factors	Possible Measures of Capacity
All	Number of priority schools being served	Total number of schools in LEA: ____ Total number of priority schools in LEA ___
All	Credentials of staff who have the track record and capability to successfully implement the school intervention model(s)	o Number of teachers needed for priority schools ____ o Number of highly effective teachers LEA claims are available to serve priority schools ____ o LEA's ability to find and hire additional highly effective teachers: Good ___ Fair ___ Poor ___
All	Commitment of the school board to eliminate barriers and to facilitate full and effective implementation of the models	o School board minutes or policies show commitment to eliminate barriers and fully implement the model ___ Completely ___ Somewhat ___ Not at all
Model	**Capacity Factors**	**Possible Measures of Capacity**
All	Detailed and realistic timeline for implementing elements of intervention model during the 2013-2014 school year	o Timeline indicates that the elements will be implemented during the 2013-2014 school year ___ Completely ___ Somewhat ___ Not at all
All	Support of parents and community	o Consultation with stakeholders conducted (e.g., LEA Application: General Information, p. 3) ___ Completely ___ Somewhat ___ Not at all
Turnaround Transformation	Support of the teachers' unions with respect to staffing and teacher evaluation requirements	o Contractual agreements indicate allowance of staffing per model's requirements; evaluation tools are performance-based and occur throughout the year ___ Completely ___ Somewhat ___ Not at all
Turnaround Transformation	Ability to recruit new principals to implement the turnaround or transformation models	o Number of highly effective principals needed ___ o Number of highly effective principals LEA claims are available to serve in the schools ____ o LEA's ability to find and hire highly effective principals Good ___ Fair ___ Poor ___
Turnaround Transformation Restart	Ability to align federal, state, and local funding sources with grant activities and to support the reform after funding ends	As described in LEA application, Action #5 ___ Completely ___ Somewhat ___ Not at all IDOE's analysis ___ Completely ___ Somewhat ___ Not at all

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Turnaround Transformation Restart	Ability and commitment to increase instructional time	As described in LEA application, Action #5 ___ Completely ___ Somewhat ___ Not at all IDOE's analysis ___ Completely ___ Somewhat ___ Not at all
Turnaround Transformation Restart	LEA staff with proven track record of implementing school reform models (may include hiring additional staff for this position)	As described in LEA application, Action #1 ___ Yes ___ No, will need to hire LEA staff IDOE's analysis ___ Yes ___ No, will need to hire LEA staff
Restart	Availability and quality of educational management organizations (EMO) and charter management organizations (CMO)	o Number of EMO/CMO available to serve the LEA's geographic area ___ o Quality of the EMO/CMOs ___ Number that are of high quality ___ Number that are of medium quality ___ Number that are of poor quality
Model	**Capacity Factors**	**Possible Measures of Capacity**
School Closure	Access to and proximity to higher-performing schools	o High-performing schools and their proximity Name of School _____ Proximity

If IDOE staff determines the LEA has more capacity than claimed, IDOE will meet with the LEA and if necessary, provide technical assistance to assist the LEA's in realizing its capacity and its commitment as a SIG recipient. IDOE may also provide support to the LEA in improving the writing of the grant application including developing a strong implementation plan.

D (PARTS 2-8). DESCRIPTIVE INFORMATION:

(2) Describe the SEA's process for reviewing an LEA's annual goals for student achievement for its Priority, Tier I or Tier II schools and how the SEA will determine whether to renew an LEA's School Improvement Grant with respect to one or more Priority, Tier I or Tier II schools in the LEA that are not meeting those goals and making progress on the leading indicators in section III of the final requirements.

As the first step, IDOE will examine the findings from the worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" (Worksheet #2- LEA Application), to ensure that the initial set of goals and activities developed are well-aligned to the findings. Experience shows that some LEAs will struggle with creating appropriate and measurable goals. Thus, the IDOE will pay particular attention to the goals and provide technical assistance as needed. The criteria for the goals will be

(a) inclusion of one English/language arts and one mathematics goal for all students; (b) aggressive yet attainable; and (c) measurable through ISTEP+ and/or end-of-course assessments. IDOE will conduct pre-training with its reviewers to achieve inter-rater reliability on the scoring rubric to ensure similar recognition of high quality and appropriate goals (e.g., S.M.A.R.T. goals).

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

(3) Describe the SEA's process for reviewing the goals an LEA establishes for its Tier III schools (subject to approval by the SEA) and how the SEA will determine whether to renew an LEA's School Improvement Grant with respect to one or more Tier III schools in the LEA that are not meeting those goals.

IDOE is not anticipating serving Tier III Schools as funding will be used in serving priority schools.

(4) Describe how the SEA will monitor each LEA that receives a School Improvement Grant to ensure that it is implementing a school intervention model fully and effectively in the Priority, Tier I and Tier II schools the LEA is approved to serve.

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

Additionally, IDOE will monitor the LEAs results of the state's formative diagnostic tools (Wireless Generation and Acuity) for elementary and middle school grade spans, which will allow continuous review of student learning. The state has recently introduced the Indiana Growth Model using ISTEP+ scores to examine cohorts of students with similar scores across the state. This allows for parents, schools, districts and the state to understand how schools (and eventually individual students) are progressing from year to year. It also provides a common measure to show how much growth the students of each school have achieved. High schools will progress monitor students as well using various tools to ensure success on End of Course Assessments. This benchmark data will be collected by IDOE (up to) on a quarterly basis to ensure student growth and to provide a chance for intervention if necessary.

To evaluate the implementation and effectiveness of the school improvement models, IDOE will enlist a qualified independent partner to evaluate both the state's overall turnaround strategy and the interventions in individual schools. The external evaluator will utilize relevant school, LEA, and state data, including data resulting from SIG monitoring, in order to determine the fidelity of the intervention's implementation and its effectiveness. Finally, to ensure financial responsibility each district will receive a 1003 (g) fiscal review twice per school year (January 2014/June 2014).

(5) Describe how the SEA will prioritize School Improvement Grants to LEAs if the SEA does not have sufficient school improvement funds to serve all eligible schools for which each LEA applies.

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

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

No longer applicable. IN is substituting its Priority schools list for its previous PLA list.

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

Public Law 221 (P.L. 221) is Indiana's comprehensive accountability system for K-12 education. It was passed by the General Assembly in 1999, prior to *No Child Left Behind Act of 2001.* The law aimed to establish major educational reform and accountability statewide. To measure progress, P.L. 221 places Indiana schools into one of five categories. Schools that remain in the lowest category, probationary status, may receive one of the state interventions after their sixth consecutive year. If an intervention is necessary, all schools receiving a 1003(g) school improvement grant will be required to meet the final requirements as outlined in the 1003(g) school improvement grant.
Interventions under P.L. 221
1. Merging the school with a nearby school that is in a higher category. (Indiana does not anticipate recommending the merging of schools in the event of state intervention.)
2. Assigning a special management team to operate all or part of the school.
(Turnaround School Operator)
3. Recommendations from the Indiana Department of Education for improving the school.
4. Other options for school improvement expressed at the public hearing, including closing the school.
5. Revising the school's plan in the areas of school procedures/operations, professional development, or intervention for individual teachers or administrators.

Test scores will not be available until summer. In August, the State Board of Education will make decisions based on spring results, follow up visit reports and recommendations from community hearings.

Currently there is only one school in year five of probationary status and it is a current SIG awardee, Glenwood Leadership Academy (cohort 1). If this school were to enter into the sixth year of probationary status, then the Indiana State Board of Education would assign an intervention in the fall of 2013 under the authority of Indiana Public Law 221-1999. Regardless of the assigned intervention, the turnaround principles will continue to be fulfilled if the school if the school continues to be identified as a Priority school.

(8) If the SEA intends to provide services directly to any schools in the absence of a takeover, identify those schools and, for Tier I or Tier II schools, indicate the school intervention model the SEA will implement in each school and provide evidence of the LEA's approval to have the SEA provide the services directly.[3]

At this time, IDOE does not plan to directly implement school intervention model other than restart (state takeover) in a school.

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³ If, at the time an SEA submits its application, it has not yet determined whether it will provide services directly to any schools in the absence of a takeover, it may omit this information from its application. However, if the SEA later decides that it will provide such services, it must amend its application to provide the required information.

E. ASSURANCES

By submitting this application, the SEA assures that it will do the following (check each box):

☒ Comply with the final requirements and ensure that each LEA carries out its responsibilities outlined in the final requirements.

☒ Award each approved LEA a School Improvement Grant in an amount that is of sufficient size and scope to implement the selected intervention in each Priority or Tier I and Tier II school that the SEA approves the LEA to serve.

☒ Ensure, if the SEA is participating in the Department's differentiated accountability pilot, that its LEAs will use school improvement funds consistent with the final requirements.

☒ Monitor and evaluate the actions an LEA has taken, as outlined in its approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality.

☒ Monitor and evaluate the actions the LEA has taken, as outlined in its approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to LEAs on how they can sustain progress in the absence of SIG funding.

☒ If a Priority, Tier I or Tier II school implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.

☒ Post on its Web site, within 30 days of awarding School Improvement Grants, all final LEA applications and a summary of the grants that includes the following information: name and NCES identification number of each LEA awarded a grant; total amount of the three year grant listed by each year of implementation; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Priority or Tier I and Tier II school.

☒ Report the specific school-level data required in section III of the final SIG requirements.

F. SEA RESERVATION: The SEA may reserve an amount not to exceed five percent of its School Improvement Grant for administration, evaluation, and technical assistance expenses.

The SEA must briefly describe the activities related to administration, evaluation, and technical assistance that the SEA plans to conduct with any State-level funds it chooses to reserve from its School Improvement Grant allocation.

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

APPENDIX B

	Schools an SEA MUST identify	Newly eligible schools an SEA MAY identify
Priority	Schools that, based on the most recent data available, have been identified as among the lowest-performing schools in the State. The total number of priority schools in a State must be at least five percent of the Title I schools in the State.	A school among the lowest five percent of Title I schools in the State based on the achievement of the "all students" group in terms of proficiency on the statewide assessments that are part of the SEA's differentiated recognition, accountability, and support system, combined, and has demonstrated a lack of progress on those assessments over a number of years in the "all students" group; A Title I-participating or Title I-eligible high school with a graduation rate less than 60 percent over a number of years; or A Tier I or Tier II school under the SIG program that is using SIG funds to implement a school intervention model.
Tier I	Schools that meet the criteria in paragraph (a)(1) in the definition of "persistently lowest-achieving schools."[4]	Title I eligible[5] elementary schools that are no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(1)(i) in the definition of "persistently lowest-achieving schools" and that are: • in the bottom 20% of all schools in the State based on proficiency rates; or • have not made AYP for two consecutive years.
Tier II	Schools that meet the criteria in paragraph (a)(2) in the definition of "persistently lowest-achieving schools."	Title I eligible secondary schools that are (1) no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(2)(i) in the definition of "persistently lowest-achieving schools" or (2) high schools that have had a graduation rate of less than 60 percent over a number of years and that are: • in the bottom 20% of all schools in the State based on proficiency rates; or • have not made AYP for two consecutive years.

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[4] "Persistently lowest-achieving schools" means, as determined by the State--

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

    (i)   Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or

    (ii)   Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

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

    (i)   Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or

    (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.
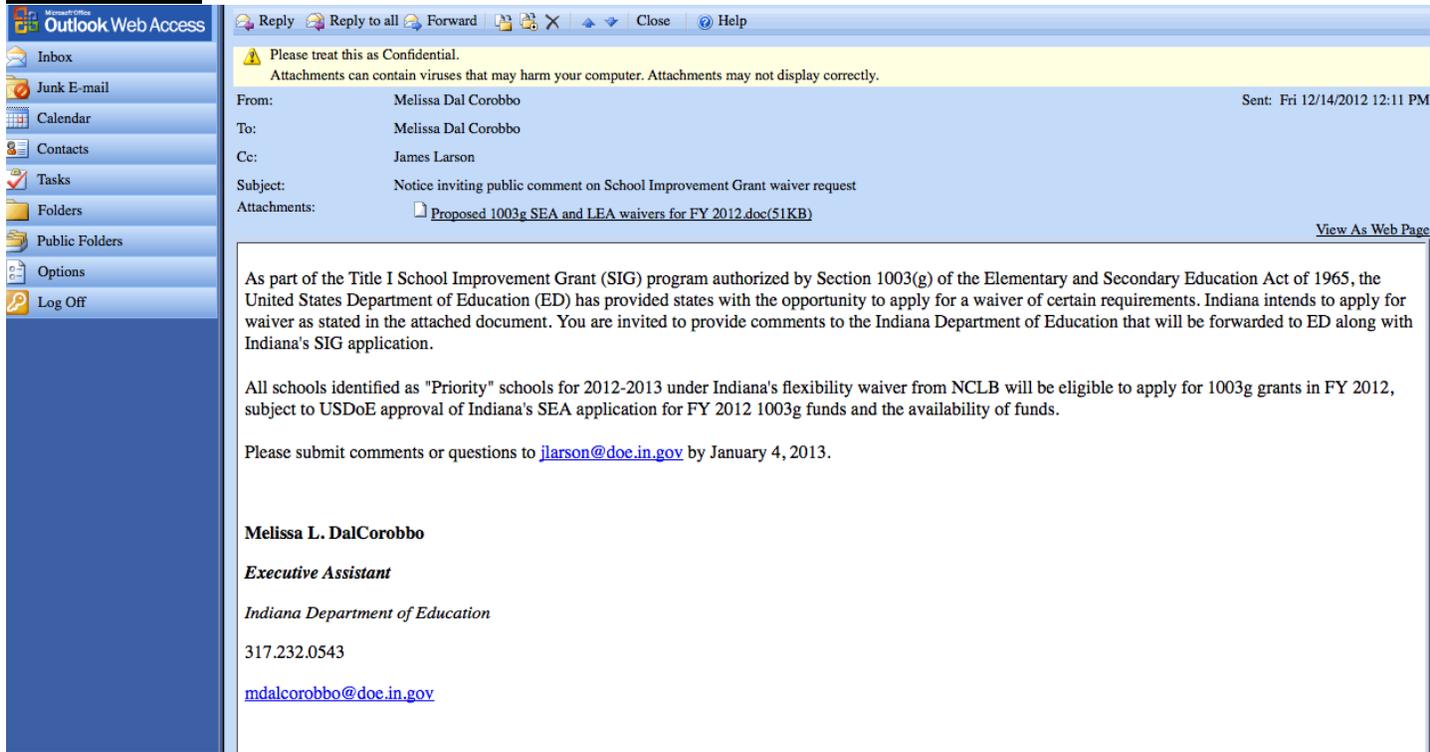
[5] For the purposes of schools that may be added to Tier I, Tier II, or Tier III, "Title I eligible" schools may be schools that are eligible for, but do not receive, Title I, Part A funds or schools that are Title I participating (i.e., schools that are eligible for and do receive Title I, Part A funds).

Tier III	Title I schools in improvement, corrective action, or restructuring that are not in Tier I.[6]	Title I eligible schools that do not meet the requirements to be in Tier I or Tier II and that are: • in the bottom 20% of all schools in the State based on proficiency rates; or • have not made AYP for two years.

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

APPENDIX C

From: Melissa Dal Corobbo   Sent: Fri 12/14/2012 12:11 PM
To: Melissa Dal Corobbo
Cc: James Larson
Subject: Notice inviting public comment on School Improvement Grant waiver request
Attachments: Proposed 1003g SEA and LEA waivers for FY 2012.doc(51KB)

View As Web Page

As part of the Title I School Improvement Grant (SIG) program authorized by Section 1003(g) of the Elementary and Secondary Education Act of 1965, the United States Department of Education (ED) has provided states with the opportunity to apply for a waiver of certain requirements. Indiana intends to apply for waiver as stated in the attached document. You are invited to provide comments to the Indiana Department of Education that will be forwarded to ED along with Indiana's SIG application.

All schools identified as "Priority" schools for 2012-2013 under Indiana's flexibility waiver from NCLB will be eligible to apply for 1003g grants in FY 2012, subject to USDoE approval of Indiana's SEA application for FY 2012 1003g funds and the availability of funds.

Please submit comments or questions to jlarson@doe.in.gov by January 4, 2013.

Melissa L. DalCorobbo

Executive Assistant

Indiana Department of Education

317.232.0543

mdalcorobbo@doe.in.gov

Screen shot of email sent to all Superintendents of districts with at least one Priority school on December 14, 2012 inviting public comment on proposed requested SIG waivers. No responses were received.

>>> "James Larson" <jlarson@doe.in.gov> 12/14/2012 11:32 AM >>>

All,

As a member of the IDOE Title I Committee of Practitioners, I would greatly appreciate your feedback on Indiana's proposed 1003g School Improvement Grant application. Please note that this application is still in draft form. Please note that the only major change is the criteria for potential applicants. Previously, the applicant pool was determined in part by AYP performance. Under Indiana's flexibility waiver from NCLB, AYP is no longer a part of federal school accountability (with the exception of reporting requirements). As such, IDOE plans to request that Priority schools be allowed to apply for 1003g School Improvement Grants. Please do not hesitate to reach out if you have any questions or suggestions.

Best regards,

Jim

Jim Larson, Director

Office of School Improvement and Turnaround

Indiana Department of Education

jlarson@doe.in.gov

317-232-0550

Screen shot of email sent to Committee of Practitioners on December 14, 2012 inviting public comment on the proposed SEA's SIG application.

Reply | Reply to all | Forward | | X | | Close | Help

⚠ Attachments can contain viruses that may harm your computer. Attachments may not display correctly.

From:	Minetta Richardson [richarme@ips.k12.in.us]	Sent: Mon 12/17/2012 11:42 AM
To:	James Larson	
Cc:		
Subject:	Re: Committee of Practitioners request	
Attachments:	📄 2012 SIG Application DRAFT 121412.doc(575KB)	

View As Web Page

Jim,
Additions I made were for consistency. Priority or was added to sentences on page:
4,16, and 19 again for consistency.

Minetta Richardson
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EXCELLENCE. SCHOLARSHIP. RESPECT. COURAGE

>>> "James Larson" <jlarson@doe.in.gov> 12/14/2012 11:32 AM >>>

All,

As a member of the IDOE Title I Committee of Practitioners, I would greatly appreciate your feedback on Indiana's proposed 1003g School Improvement Grant application. Please note that this application is still in draft form. Please note that the only major change is the criteria for potential applicants. Previously, the

The only response received from Committee of Practitioners regarding the proposed SEA's SIG application. These edits were incorporated into the version submitted to USDoE.

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APPENDIX D

2.D.i   Describe the SEA's methodology for identifying a number of lowest-performing schools equal to at least five percent of the State's Title I schools as priority schools.

Any Title I school that receives an 'F' or is a persistently low-achieving school shall be classified as a *Priority School*. A persistently low-achieving school is defined as any school that receives a 'D' or an 'F' for two or more consecutive years.

Schools that meet this definition are among the lowest performing schools in the state and typically have extremely high rates of low growth (improvement) among all student subgroups. In fact, between schools categorized as *priority* and *focus schools*, the entire 15% of schools with the lowest performance would be facing some level of state intervention under proposed definitions. These schools also encompass <u>all</u> Title I schools in the state that have a graduation rate of less than 65%. In fact, these schools have an average graduation rate of less than 50%.

It is essential that these schools get back on track and increase their performance across all areas (state assessments, graduation, and college and career readiness rates). Notably, students in priority schools are 63% less like to pass a state assessment, 55% less likely to graduate, and six times more likely to drop out of school than are students in Indiana's 'A' schools.

According to ESEA flexibility guidance documents, states are required to ensure that at least the bottom 5% of the State's Tile I are identified as priority schools. Statewide, approximately 16% (154 schools) of Title I schools would be identified as priority schools. That Indiana's school evaluation metrics have identified a significantly larger percentage of schools as priority schools reflects the state's commitment to intervening and subsequently improving all of its lowest-performing schools. Additionally, Tier I and II schools that are under SIG to

implement school intervention models are also identified as Priority schools. See Attachment 9, Table 2 for a list of Indiana's priority schools.

Appendix E:

Worksheet #1A: Analysis of Student and School Data
Worksheet #1B: *Student Leading Indicators for 2011-2012 and 2012-2013*
Worksheet #2: Self-Assessment of Practices of High-Poverty, High Performing Schools

Worksheet #1: Analysis of Student and School Data

➢ *Instructions:*
  - Complete the table below for available student groups (American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient and Special Education) that did *not* pass in English/language arts and/or mathematics for 2011-2012.
  - For LEA data, see the IDOE web site: http://compass.doe.in.gov/dashboard/overview.aspx.

Student groups (list groups below)	% of this group not passing	# of students in this group not passing	How severe is this group's failure in comparison to the school's rate?	How unique are the learning needs of this group? (high, medium, low)

English/Language Arts

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

Mathematics

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

Worksheet #1B: *Student Leading Indicators for 2011-2012 and 2012-2013*

Student Leading Indicators

➢ *Instructions:*

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

	2011-2012	2012-2013
1. Number of minutes within the school year that students are required to attend school		
2. Dropout rate*		
3. Student attendance rate (must be a percentage between 0.00 and 100.00)		
4. Number and percentage of students completing advanced coursework* (e.g., AP/IB), or advanced math coursework		
5. Number of students completing dual enrollment classes		
6. Types of increased learning time offered LSY- Longer School Year		

LSD- Longer School Day BAS-Before/After School SS- Summer School WES-Weekend School OTH-Other		
7. Discipline incidents*		
8. Truants (# of unduplicated students, enter as a whole number)		
9. Distribution of teachers by performance level on LEA's teacher evaluation system		
10 Teacher attendance rate		

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

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

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

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

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

4. Does not include technology. 5. Works alone, rarely meeting in or across grade-level teams to discuss and improve. 6. Instruction is rarely evaluated and connections to student learning growth or increased graduation rates are not made. 7. Instruction is not increased to allow for more student learning time.					3. Uses multiple sources beyond textbooks. 4. Includes frequent use of technology. 5. Works in teams, discussing student learning and instructional ideas. 6. Instruction is evaluated through rigorous, transparent, and equitable processes that take into account student growth and increased graduation rates. **7.** Schedules and strategies provide for increased student learning time.

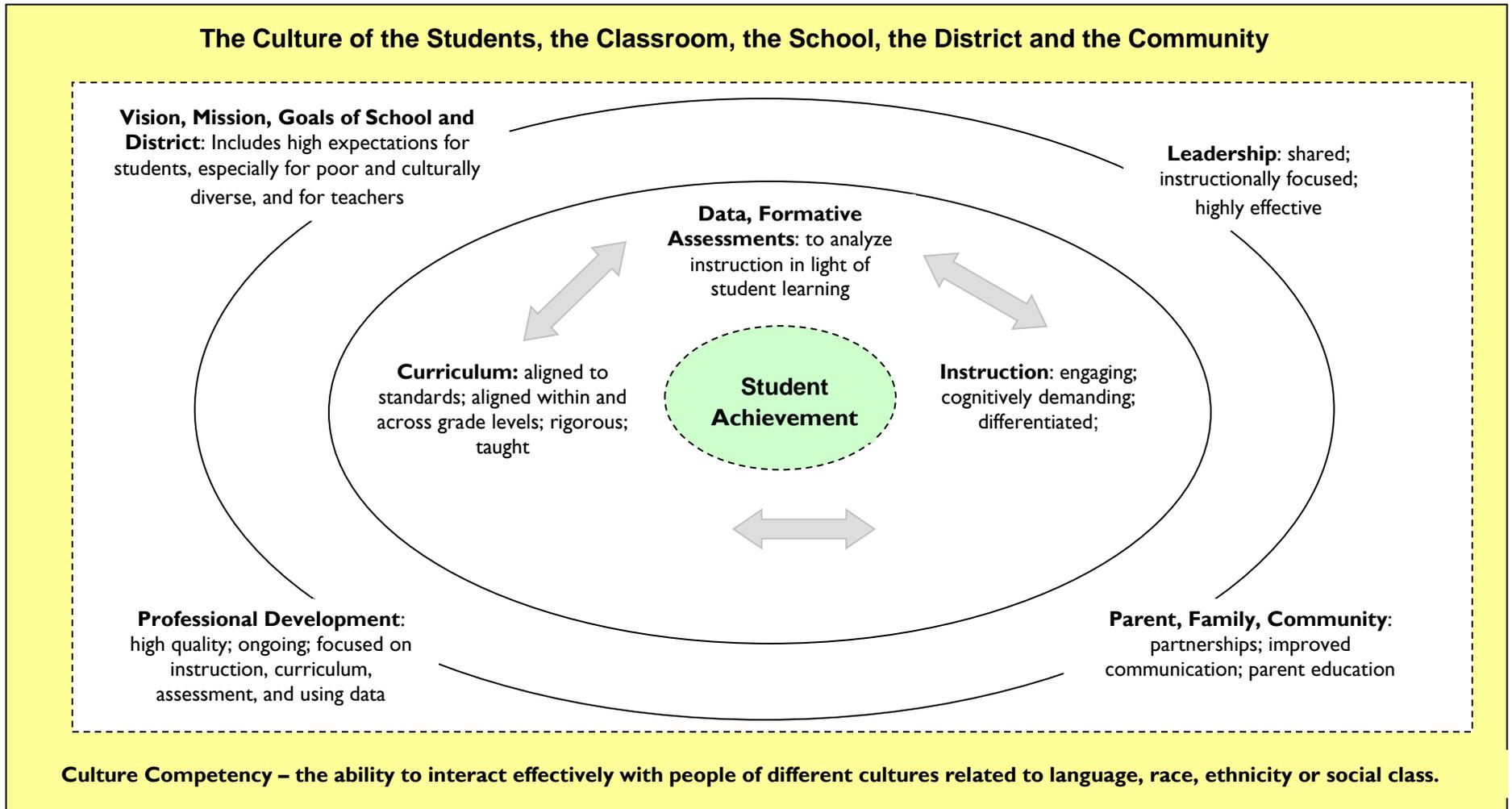| Curriculum	1	2	3	4	Curriculum
1. Leadership does not observe or evaluate teachers for use of the curriculum. 2. Is considered to be the textbook or the state standards. 3. Is not aligned within or across grade levels. 4. Is not rigorous or cognitively demanding. 5. Is not available to all students, e.g., English language learners or students with disabilities as they are not present in the regular classroom during core instruction time. 6. Is not differentiated for struggling students.					1. Is observed by school leadership that it is being taught. 2. Is developed by the district/teachers based on unpacking the state standards. 3. Is aligned within and across grade levels. 4. Is rigorous and cognitively demanding. 5. Is accessible to all students through placement in regular classroom during instruction of the core curriculum. 6. Is differentiated for struggling students.
Data - Formative Assessments	1	2	3	4	**Data - Formative Assessments**
1. Are not regularly used by teachers. 2. Are not routinely disaggregated by teachers. 3. Are not used to determine appropriate instructional strategies.					1. Are used to implement an aligned instructional program. 2. Are used to provide differentiated instruction. 3. Are discussed regularly in teacher groups to discuss student work
Professional Development	1	2	3	4	**Professional Development**
1. Is individually selected by each teacher; includes conferences and conventions. 2. Is not related to curriculum, instruction, or assessment. 3. Is short, i.e., one-shot sessions. 4. Does not include follow-up					1. Is of high quality and job-embedded. 2. Is aligned to the curriculum and instructional program. 3. Includes increasing staff's knowledge and skills in instructing English language learners and students with disabilities.

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

Cultural Competency	1	2	3	4	Cultural Competency
1. Holds the belief that all students learn the same way. 2. Uses the textbook to determine the focus of study. 3. "Cultural instruction" is limited to study of flags, festivals, and foods of countries/people. 4. Does not investigate students' level of education prior to coming to the United States; home languages; the political/economic history; conditions of countries or groups. 5. Does not connect curriculum and learning to students' own life experiences as related to race, ethnicity, or social class.					1. Holds the belief that students learn differently and provides for by using various instructional practices. 2. Combines what learners need to know from the standards and curriculum with the needs in their lives. 3. Provides culturally proficient instruction, allows learners to explore cultural contexts of selves and others. 4. Investigates students' education prior to coming to the United States; home languages; political/economic history; conditions of countries or groups. 5. Connects curriculum and learning to students' own life experiences as related to race, ethnicity or class.

What are the key findings from the self-assessment of high-performing schools?	What is at the "root" of the findings? What is the underlying cause?
Appropriate example: "We don't have a curriculum aligned across grade levels." *Appropriate example*: "We only teach flags, festivals and foods with our students. "	*Appropriate example:*" We don't know how to align our curriculum across grade levels." *Appropriate example:* "Connecting curriculum to students' lives takes longer to prepare lessons."

Appendix F: Theory of Action for Indiana High-Poverty Schools and District in Improvement: Moving towards High-Performance

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

The Culture of the Students, the Classroom, the School, the District and the Community

Vision, Mission, Goals of School and District: Includes high expectations for students, especially for poor and culturally diverse, and for teachers

Leadership: shared; instructionally focused; highly effective

Data, Formative Assessments: to analyze instruction in light of student learning

Curriculum: aligned to standards; aligned within and across grade levels; rigorous; taught

Student Achievement

Instruction: engaging; cognitively demanding; differentiated;

Professional Development: high quality; ongoing; focused on instruction, curriculum, assessment, and using data

Parent, Family, Community: partnerships; improved communication; parent education

Culture Competency – the ability to interact effectively with people of different cultures related to language, race, ethnicity or social class.

Appendix G: Elements of School Intervention/Improvement Models

Turnaround Model	Transformation Model
Required Elements	***Required Elements***
Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a turnaround office, hire a turnaround leader, or enter into a contract to obtain added flexibility in exchange for greater accountability.	Develop Teacher and Leader Effectiveness 1. Replace the principal who led the school prior to implementing the model. 2. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that take into account data on student growth, multiple assessments, and increased graduation rates. Evaluations are developed with teacher and principal 3. Reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and H.S. graduation rates. Remove those who, after opportunities have been provided to improve, have not. 4. Provide staff ongoing, high quality, job-embedded professional development that is aligned with the instructional program and designed with school staff. 5. Implement strategies such as financial incentives, promotion, career growth, and flexible work conditions that are designed to recruit, place and retain staff.
Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.	
Promote the use of student data to inform and differentiate instruction.	
Establish schedules and implement strategies that provide increased learning time.	Increasing Learning Time and Creating Community-Oriented Schools 1. Establish schedules and implement strategies that provide increased learning time. 2. Provide ongoing mechanisms for family and community engagement.
Provide appropriate social-emotional and community-oriented services and supports for students.	Comprehensive Instructional Reform Strategies 1. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards. 2. Promote the continuous use of student data to inform and differentiate instruction.
	Provide Operational Flexibility and Sustained Support 1. Give the school sufficient operational flexibility (staffing, calendars/time and budgeting). 2. Ensure school receives ongoing, intensive technical assistance and support from the LEA, SEA, or designated external lead partner organization.

Turnaround Model	Transformation Model
Permissible Elements	*Permissible Elements*

New school model (e.g., themed, dual language academy
 	
Any of the required and permissible activities under the transformation model – these would be in addition to, not instead of, the actions that are required as part of a turnaround model.
	Develop Teacher and Leader Effectiveness
	1. Provide additional compensation to attract and retain staff with skills necessary to meet the needs of students in a transformation model.
	2. Institute a system for measuring changes in instructional practices resulting from professional development.
	3. Ensure that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority.
	4. LEAs have flexibility to develop and implement their own strategies to increase the effectiveness of teachers and school leaders. Strategies must be in addition to those that are required as part of this model.
	
	Comprehensive Instructional Reform
	1. Conduct periodic reviews to ensure that the curriculum is being implemented with fidelity.
	2. Implement a schoolwide "response–to–intervention" model.
	3. Provide additional supports to teachers and principals to implement strategies to support students with disabilities and limited English proficient students.
	4. Using technology-based supports.
	5. In secondary schools –
	  a) increase rigor
	  b) summer transition programs; freshman academies
	  c) increasing graduation rates establishing early warning systems
	
	Increasing Learning Time and Creating Community-Oriented Schools
	1. Partner with parents, faith and community-based organizations, health clinics, State or local agencies to create safe environments.
	2. Extend or restructure the school day to add time for such strategies as advisory periods that build relationships.
	3. Implement approaches to improve school climate and discipline.
	4. Expand the school program to offer full-day kindergarten or pre-kindergarten.
	
	Operational Flexibility and Sustained Support
	1. Allow school to be run under a new governance arrangement, e.g., turnaround division in the LEA.
	2. Implement a per-pupil school-based budget formula that is weighted based on student needs.

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

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

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

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

Appendix H: LEA Application of General Information
2013-2014

School Improvement Grant (1003g)
Application due April 30, 2013
Email application to 1003g@doe.in.gov

LEA Application: General Information

Corporation Name:	Corporation Number:
Contact for the School Improvement Grant:	

Position and Office:	Contact's Mailing Address:
Telephone:	Fax:
Email Address:	

Superintendent (Printed name)	Telephone:
Signature of Superintendent X _____	Date:

➔ **Complete and submit this form one time only.**

➔ **Complete a second form, "Priority Application" for *each* school applying for a school improvement grant.**

1. Schools to be Served by LEA

Instructions:

1) Using the list of Priority schools provided by the IDOE, complete the information below, for all priority schools in the LEA typing in the school name and grade span (e.g., K-5, 6-8, 9-12, 6-12, etc.).

2) Place an "X" indicating priority and the school improvement model (intervention) selected, based on the "School Needs Assessment" conducted by the LEA. (Add cells to the table as needed to add more schools.)

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

2. Explanation if LEA is Not Applying to Serve Each Priority School

☐ We will serve all of our Priority schools.

☐ We believe we do not have the capacity to serve all Priority schools. Our explanation for why is provided below.

3. Consultation with Stakeholders

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

School Name: _____ **School Number:** _____

Stakeholder Group	Mode of Communication	Date

School Name: _____ **School Number:** _____

Stakeholder Group	Mode of Communication	Date

School Name: _____ **School Number:** _____

Stakeholder Group	Mode of Communication	Date

School Name: _____ **School Number:** _____

Stakeholder Group	Mode of Communication	Date

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

D. Collaboration with Teachers' Unions

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

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

E. Assurances

_____ assures that it will

Corporation/Charter School Name

_____ (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Priority or Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;

_____ (2) Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Priority or Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;

_____ (3) If it implements a restart model in a Priority, Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;

_____ (4) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality;

_____ (5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding; and

_____ (6)Report to the SEA the school-level data required under section III of the final requirements.

F. Waivers

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

☐ "Starting over" in the school improvement timeline for Priority Title I participating schools implementing a turnaround or restart model.

☐ Implementing a schoolwide program in a Priority Title I participating school that does meet the 40 percent poverty eligibility threshold.

Appendix I: LEA Application for Each Priority School

School Improvement Grant (1003g)
2013-2014

> ## LEA School Application: Priority

The LEA must complete this form for *each* Priority school
applying for a school improvement grant.

School Corporation _____Number _____

School Name _____

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

☐ Turnaround   ☐ Restart

☐ Transformation   ☐ Closure

Assurances

_____ assures that it will

Corporation/Charter School Name

_____ (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Priority or Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;

_____ (2) Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Priority or Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;

_____ (3) If it implements a restart model in a Priority, Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;

_____ (4) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality;

_____ (5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding; and

_____ (6)Report to the SEA the school-level data required under section III of the final requirements.

Waivers

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

☐ "Starting over" in the school improvement timeline for Priority Title I participating schools implementing a turnaround or restart model.

☐ Implementing a schoolwide program in a Priority Title I participating school that does meet the 40 percent poverty eligibility threshold.

A. LEA Analysis of School Needs

Instructions:

1) With an LEA improvement team that includes staff from the school, complete the two worksheets on the following pages "Analysis of Student and School Data" and "Self-Assessment of High-poverty, High-performing Schools."

2) Develop findings from the data - short phrases and sentences that indicate the facts revealed by the data.

3) Complete a root cause analysis of the findings - the underlying reason for the finding.

4) Consider overall the meaning of the data, the findings, and the root cause analysis in terms of student, teachers, the principal and school needs.

Worksheet #1A: Analysis of Student and School Data
Worksheet #1B: *Student Leading Indicators for 2011-2012 and 2012-2013*
Worksheet #2: Self-Assessment of Practices of High-Poverty, High Performing Schools

Worksheet #1: Analysis of Student and School Data

➢ *Instructions:*
- Complete the table below for available student groups (American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient and Special Education) that did *not* pass in English/language arts and/or mathematics for 2011-2012.
- For LEA data, see the IDOE web site: http://compass.doe.in.gov/dashboard/overview.aspx.

Student groups (list groups below)	% of this group not passing	# of students in this group not passing	How severe is this group's failure in comparison to the school's rate?	How unique are the learning needs of this group? (high, medium, low)

English/Language Arts

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

Mathematics

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

Student Leading Indicators

> *Instructions:*

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

	2011-2012	2012-2013
1. Number of minutes within the school year that students are required to attend school		
2. Dropout rate*		
3. Student attendance rate (must be a percentage between 0.00 and 100.00)		
4. Number and percentage of students completing advanced coursework* (e.g., AP/IB), or advanced math coursework		
5. Number of students completing dual enrollment classes		
6. Types of increased learning time offered LSY- Longer School Year LSD- Longer School Day BAS-Before/After School SS- Summer School WES-Weekend School OTH-Other		

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

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

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

| | |
| | |

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

➢ *Instructions:*

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

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

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or across grade-level teams to discuss and improve.					technology.
13. Instruction is rarely evaluated and connections to student learning growth or increased graduation rates are not made.					12. Works in teams, discussing student learning and instructional ideas.
14. Instruction is not increased to allow for more student learning time.					13. Instruction is evaluated through rigorous, transparent, and equitable processes that take into account student growth and increased graduation rates.
					14. Schedules and strategies provide for increased student learning time.

Curriculum	I	2	3	4	Curriculum
7. Leadership does not observe or evaluate teachers for use of the curriculum. 8. Is considered to be the textbook or the state standards. 9. Is not aligned within or across grade levels. 10. Is not rigorous or cognitively demanding. 11. Is not available to all students, e.g., English language learners or students with disabilities as they are not present in the regular classroom during core instruction time. 12. Is not differentiated for struggling students.					7. Is observed by school leadership that it is being taught. 8. Is developed by the district/teachers based on unpacking the state standards. 9. Is aligned within and across grade levels. 10. Is rigorous and cognitively demanding. 11. Is accessible to all students through placement in regular classroom during instruction of the core curriculum. 12. Is differentiated for struggling students.
Data - Formative Assessments	I	2	3	4	**Data - Formative Assessments**
4. Are not regularly used by teachers. 5. Are not routinely disaggregated by teachers. 6. Are not used to determine appropriate instructional strategies.					3. Are used to implement an aligned instructional program. 4. Are used to provide differentiated instruction. 3. Are discussed regularly in teacher groups to discuss student work
Professional Development	I	2	3	4	**Professional Development**
4. Is individually selected by each teacher; includes conferences and conventions. 5. Is not related to curriculum, instruction, or assessment. 6. Is short, i.e., one-shot sessions. 4. Does not include follow-up					4. Is of high quality and job-embedded. 5. Is aligned to the curriculum and instructional program. 6. Includes increasing staff's knowledge and skills in instructing English language learners and students with disabilities.

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

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

What are the key findings from the self-assessment of high-performing schools?	What is at the "root" of the findings? What is the underlying cause?
Appropriate example: "We don't have a curriculum aligned across grade levels."	*Appropriate example* " We don't know how to align our curriculum across grade levels."
Appropriate example: "We only teach flags, festivals and foods with our students. "	*Appropriate example:* "Connecting curriculum to students' lives takes longer to prepare lessons."

B. Selection of School Improvement Model

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

Turnaround Model	Transformation Model
	Required Elements
Required Elements	**Develop Teacher and Leader Effectiveness** 1. Replace the principal who led the school prior to implementing the model. 2. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that take into account data on student growth, multiple assessments, and increased graduation rates. Evaluations are developed with teacher and principal 3. Reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and H.S. graduation rates. Remove those who, after opportunities have been provided to improve, have not. 4. Provide staff ongoing, high quality, job-embedded professional development that is aligned with the instructional program and designed with school staff. 5. Implement strategies such as financial incentives, promotion, career growth, and flexible work conditions that are designed to recruit, place and retain staff.
Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a turnaround office, hire a turnaround leader, or enter into a contract to obtain added flexibility in exchange for greater accountability.	
Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.	
Promote the use of student data to inform and differentiate instruction.	
Establish schedules and implement strategies that provide increased learning time.	**Increasing Learning Time and Creating Community-Oriented Schools** 1. Establish schedules and implement strategies that provide increased learning time. 2. Provide ongoing mechanisms for family and community engagement.
Provide appropriate social-emotional and community-oriented services and supports for students.	**Comprehensive Instructional Reform Strategies** 1. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards. 2. Promote the continuous use of student data to inform and differentiate instruction.
	Provide Operational Flexibility and Sustained Support 1. Give the school sufficient operational flexibility (staffing, calendars/time and budgeting). 2. Ensure school receives ongoing, intensive technical assistance and support from the LEA, SEA, or

Turnaround Model	Transformation Model
	Permissible Elements
Permissible Elements	Develop Teacher and Leader Effectiveness
New school model (e.g., themed, dual language academy	1. Provide additional compensation to attract and retain staff with skills necessary to meet the needs of students in a transformation model.
	2. Institute a system for measuring changes in instructional practices resulting from professional development.
Any of the required and permissible activities under the transformation model – these would be in addition to, not instead of, the actions that are required as part of a turnaround model.	3. Ensure that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority.
	4. LEAs have flexibility to develop and implement their own strategies to increase the effectiveness of teachers and school leaders. Strategies must be in addition to those that are required as part of this model.

Transformation Model — Permissible Elements (continued)

Comprehensive Instructional Reform
1. Conduct periodic reviews to ensure that the curriculum is being implemented with fidelity.
2. Implement a schoolwide "response–to–intervention" model.
3. Provide additional supports to teachers and principals to implement strategies to support students with disabilities and limited English proficient students.
4. Using technology-based supports.
5. In secondary schools –
   d) increase rigor
   e) summer transition programs; freshman academies
   f) increasing graduation rates establishing early warning systems

Increasing Learning Time and Creating Community-Oriented Schools
1. Partner with parents, faith and community-based organizations, health clinics, State or local agencies to create safe environments.
2. Extend or restructure the school day to add time for such strategies as advisory periods that build relationships.
3. Implement approaches to improve school climate and discipline.
4. Expand the school program to offer full-day kindergarten or pre-kindergarten.

Operational Flexibility and Sustained Support
1. Allow school to be run under a new governance arrangement, e.g., turnaround division in the LEA.
2. Implement a per-pupil school-based budget formula that is weighted based on student needs.

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

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

II. Selection of Improvement Model

Based on our findings of the three data sources, the LEA is selecting this model for this school:

☐ Turnaround   ☐ Restart

☐ Transformation   ☐ Closure

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

Intervention model selected _____

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

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

C. LEA Capacity to Implement the Intervention Model

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

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

Capacity Task	Yes	No	District Evidence
5. The district has the resources to serve the number of Priority schools that are indicated. *All models*			
6. A clear alignment exists between the goals and interventions model and the funding request (budget). *All models* • Funding requests for identified interventions are proportionately balanced and demonstrate an equitable distribution as identified in the SIG application • Funding should directly impact the schools improvement processes for supporting prescriptive and intentional designed interventions • Funding of programs, models, professional development, and staff should be directly linked to a School Improvement Goal identified in the SIG application • Funding supports the schools current capacity to improve student achievement			

Capacity	Yes	No	District Evidence
7. The LEA and school staff has the credentials and a demonstrated track record to implement the selected model. *All models* • *Data portfolios of incoming staff/leaders* • *Highly Qualified in content of contractual agreement* • *Samples of implemented school improvement plans with documented outcomes using data*			
8. The district has received the support of the staff to fully implement the intervention model. *All models* • *Staff Assurances* • *Staff Surveys* • *Staff Needs Assessments*			
9. The district has received the support of parents to fully implement the intervention model. *All models* • *Parent Meeting Agendas* • *Parent Surveys* • *Parent Focus Groups*			

Capacity Task	Yes	No	District Evidence
10. The school board is fully committed to eliminating barriers to allow for the full implementation of the selected model. *All models* • *School Board Assurances* • *School Board Meeting Minutes from proposal and or discussion* • *Support the creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools*			

Capacity Task	Yes	No	District Evidence
11. The superintendent is fully committed to eliminating barriers to allow for the full implementation of the selected model. *All models* • *Superintendent Assurance* • *School Board Meeting Minutes from proposal and or discussion* • *Superintendent SIG Presentation* • *Creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools*			

Capacity Task	Yes	No	District Evidence
12. The teacher's union is fully committed to eliminating barriers to allow for the full implementation of the model, including but not limited to teacher evaluations, hiring and dismissal procedures and length of the school day. *Turnaround, Transformation Models* • *Teacher Union Assurance* • *An outline of amendments to SIG Teacher contracts that will allow for full implementation of the identified model*			

Capacity Task	Yes	No	District Evidence
13. The district has the ability to recruit new principals. *Turnaround, Transformation Models* • *Partnerships with outside educational organizations (TFA, New Teachers for New Leaders) and or universities* • *Statewide and national postings* • *External networking*			

Capacity Task	Yes	No	District Evidence
14. The district has a robust process in place to select the principal and staff. *Turnaround, Transformation Models* • *Principal and staff hiring practices* • *Principal and staff transfer policies/procedures* • *principal and staff recruitment, placement and retention procedures*			
15. The timeline is detailed and realistic, demonstrating the district's ability to fully implement the intervention during the 2013-2014 school year. *All models* • *Monthly focus with identified objectives* • *Smart Goals* • *Measurable Outcomes (consisting of transformative, formative, and summative data)* • *Streamline and scaffold focus aligned to key findings and root causes in SIG application*			

Capacity Task	Yes	No	District Evidence
16. District staff has high levels of expertise and successful experience in researching, and			

17. The school community has been purposefully engaged multiple times to inform them of progress and seek their input. *All models* • *Town Hall Meetings* • *Town Hall Meeting Postings (news paper, district website, parent newsletters, public flyers)* • *Town Hall sign in sheets* • *Community Partner Assurances* • *Documentation of mailings*			
implementing the selected intervention model. *Turnaround, Transformation, Restart Models* • *Professional Development sign in sheets aligned to SIG funded PD* • *Support framework of district staff aligned to areas of need as identified in the SIG application (Staff member, area of expertise, support provided to the school, frequency)*			

Capacity Task	Yes	No	District Evidence
18. The district demonstrates the ability to align federal, state, and local funding sources with grant activities. *All models* • *Title I* • *Title II* • *Title III* • *IDEA* • *E-Rate* • *TAP*			

Capacity Task	Yes	No	District Evidence
19. The district demonstrates the ability and commitment to increased instructional time. *Turnaround, Transformation Models* • *Increased instructional time is structured and embedded into the schools' daily schedule and or school calendar* • *Increased learning time for students is tiered and supported by licensed and/or highly qualified educators* • *A needs assessment has been completed to identify areas where extended time can be most effectively used* • *Increased learning time is structured as a vehicle to support differentiated learning (ex:…)*			

o An additional block of time embedded into the school day *o Summer enrichment/remediation* *o Saturday intervention* *o Before or after school enrichment/remediation* *o School vacation weeks* *• Compensation for extended day is identified by the LEA*			

D. LEA Commitments (Actions) for All School Intervention/Improvement Models

➢ *Instructions:*

1) All districts, regardless of the school improvement model that will be implemented, are to <u>complete the table below</u>.
2) There are five required LEA commitments or actions that districts have already taken or *plan to take in school year 2013-2014*.
3) In the second column, provide a short description of how the commitment was completed or the district's plan to complete it.
4) For how the descriptions of commitments will be scored, see the scoring rubric in Attachment B.

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

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

Indicators of LEA Commitment	Description of how this commitment was or will be completed
(2) The LEA has or will recruit, screen, selects and support appropriate external providers. *The IDOE will assess the LEA's commitment to recruit, screen, and select external providers by requiring the LEA to document a process for assessing external provider quality which may include, but will not be limited to:* (a) Identifying external providers based on each school's SIG needs; (b) Interviewing and analyzing external providers to determine evidence-based effectiveness, experience, expertise, and documentation to assure quality and efficiency of each external provider based on each schools identified SIG needs; (c) Selecting an external provider based upon the provider's commitment of timely and effective implementation and the ability to meet school needs; (d) Aligning the selection with existing efficiency and capacity of LEA and school resources, specifically time and personnel; (e) Assessing the regular (at least biweekly) communication with the selected service provider(s) to ensure that supports are taking place and are adjusted according to	

the school's identified needs, (f) Assessing the utilization of multiple sources of data to evaluate the effectiveness of the supports provided (at least biweekly) and reporting the results to the IDOE. (g) Assessing the monitoring of records for quality and frequency of supports provided by the selected service provider(s), (h) Assessing the in-school presence (at least one day a week) to monitor the interactions of the school administration, faculty, and staff with the selected service provider(s) to ensure the full implementation of supports; and (i) Assessing the recording and reporting of progress to school, LEA, IDOE, and USDE. Intervention and school improvement activity providers will be held to the same criteria as external providers.	

Indicators of LEA Commitment	Description of how this commitment was or will be completed
3. Align other resources with the school improvement model. (For examples of resources and how they might align, see Attachment C).	
The IDOE will assess the LEA's commitment to align other resources with the interventions by requiring the LEA to document a process which may include, but will not be limited to: (a) Identifying resources currently being utilized in an academic support capacity; (b) Identifying additional and/or potential resources that may be utilized in an academic support capacity; (c) Assessing the alignment of other federal, state, and local resources based on evidence-based effectiveness and impact with the design of interventions; (d) Assessing the alignment of other federal, state, and local resources with the goals and timeline of the grant (e.g., fiscal, personnel, time allotments/scheduling, curriculum, instruction, technology resources/equipment); (e) Conducting regularly scheduled reviews of the resource alignment to ensure all areas are operating fully and effectively to meet the intended outcomes or making	

adjustments as necessary;	
(f) Redirecting resources that are not being used to support the school improvement process; and	
(g) Assessing the presence (minimum of one day per week the first year) in the school to monitor the implementation of the interventions by school administration, faculty, and staff as well as interactions with the selected service provider(s) to ensure the full implementation of supports.	

Indicators of LEA Commitment	Description of how this action was or will be completed
4. *Modify LEA practices and policies to enable the school to implement the intervention model fully and effectively.*	
The IDOE will assess the LEA's commitment to modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively by requiring the LEA to document a process which may include, but will not be limited to: (a) Identifying IDOE and/or LEA challenges that may slow or halt the school improvement implementation process; (b) Assessing, designing, and implementing a policy modification protocol that includes input that may include state and local education agency administrators, board members, and personnel; and (c) Developing an ongoing process to assess areas that may be considered for policy and process modification that include, but will not be limited to: (i) school administrator and staff hiring practices; (ii) school administrator and staff transfer procedures; (iii) school administrator and staff dismissal procedures;	

(iv) school administrator and staff evaluation procedures [predominately based (at least 51%) on school and student performance data] (v) school administrator and staff rewards for increased student achievement and/or graduation rate; (vi) school administrator and staff recruitment, placement and retention procedures ; and (vii) altering the traditional school day and/or calendar to include additional instructional and planning time.	

Indicators of LEA Commitment	Description of how this action was or will be completed
5. *Sustain the model after the funding period ends.*	

The IDOE will assess the LEA's commitment to sustain the reforms after the funding period ends by requiring the LEA to document a process that may include, but will not be limited to: (a) Developing school improvement planning processes that support sustainability of education reform protocol; (b) Developing processes to assure effective training of school leadership staff to ensure the understanding and efficient implementation of interventions into operating flexibility of the school; (c) Developing processes to assure effective training of school staff to ensure the understanding and efficient implementation of interventions into the classroom curriculum and activities; (d) Identifying alternative funding sources to sustain operational protocol that may require financial support; (e) Identifying meaningful professional development for school leadership and staff that support short-term and long-term initiatives of educational improvement; (f) Demonstrating a commitment to the continuous development of teacher knowledge and skills to incorporate changes into their instruction as	

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

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

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

> *Instructions:*

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

Turnaround Model

☐ We will implement this model.   ☐ We will <u>not</u> implement this model - move to next model.

If implementing the turnaround model, complete the table below.

Elements	Tasks/Steps	Lead Person/ Position	Time Period (month)
1. *Replace the principal and grant principal operational flexibility.*			

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

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

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

➢ If implementing the turnaround model, <u>explain how the recruitment and selection of a new principal will take place</u>.

Pre-Implementation

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

Action:

Timeline:

Budget:

Check Your Work - *Additional Requirements for All Models*

Requirement	Yes	No
1. *All* the elements of the selected intervention model are included.		
2. The descriptions of how *all* of the elements will be or have been implemented are specific, logical and comprehensive.		
3. The timeline demonstrates that *all* of the model's elements will be implemented during the 2013-2014 school year.		

Transformation Model

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

If implementing the transformation model, complete the table below.

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

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

Elements	Tasks	Lead Person/ Position	Time Period (month)
8. *Promote the use of data to inform and differentiate instruction.*			

Elements	Tasks	Lead Person/ Position	Time Period (month)
9. *Provide mechanisms for family and community engagement.*			

Elements	Tasks	Lead Person/ Position	Time Period (month)
10. *Give the school sufficient operational flexibility (staffing, calendars/time, budgeting).*			

Elements	Tasks	Lead Person/ Position	Time Period (month)
11. *LEA and, SEA supports school with ongoing, intensive technical assistance and support.*			

➢ If implementing the transformation model, explain how the <u>recruitment and selection of a new principal</u> will take place.

Pre-Implementation

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

Action:

Timeline:

Budget:

Check Your Work - *Additional Requirements for All Models*

Requirement	Yes	No
1. *All* the elements of the selected intervention model are included.		
2. The descriptions of how *all* of the elements will be or have been implemented are specific, logical and comprehensive.		
3. The timeline demonstrates that *all* of the model's elements will be implemented during the 2013-2014 school year.		

Restart Model

☐ We will implement this model.   ☐ We will <u>not</u> implement this model – move to next model.

If implementing the restart model, complete the table below.

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

Pre-Implementation

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

Action:

Timeline:

Budget:

Check Your Work - *Additional Requirements for All Models*

Requirement	Yes	No
1. *All* the elements of the selected intervention model are included.		
2. The descriptions of how *all* of the elements will be or have been implemented are specific, logical and comprehensive.		
3. The timeline demonstrates that *all* of the model's elements will be implemented during the 2013-2014 school year.		

School Closure

☐ We will implement this model.   ☐ We will not implement this model – do not complete.

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

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

Pre-Implementation

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

Action:

Timeline:

Budget:

Check Your Work - *Additional Requirements for All Models*

Requirement	Yes	No
1. *All* the elements of the selected intervention model are included.		
2. The descriptions of how *all* of the elements will be or have been implemented are specific, logical and comprehensive.		
3. The timeline demonstrates that *all* of the model's elements will be implemented during the 2013-2014 school year.		

5. Annual Goals for Priority Schools for Accountability

Instructions:

1) Review the results of the two worksheets "Analysis of Student and School Data" and "Self-Assessment of High-poverty, High-performing School," the findings, and the root cause analysis.

2) Based on the baseline student data for ISTEP+ and/or end-of-course assessments, develop:
   - One English/language arts goal for "all students."
   - One mathematics goal for "all students."

3) Schools serving students in grade 12 must also include a goal related to graduation.

4) Include goals for the three-year duration of the grant.

Note: Goals must be measureable and aggressive, yet attainable.

SY 2011-2012 Baseline Data (most recent available data that corresponds to the proposed goals)	Annual Goals		
	SY 2013-2014	**SY 2014-2015**	**SY 2015-2016**
Example: 50% of all students are proficient on ISTEP+ mathematics	75% of all students are proficient on ISTEP+ mathematics	85% of all students are proficient on ISTEP+ mathematics	95% of all students are proficient on ISTEP+ mathematics

II: Budget

Instructions:

1) Complete the budget pages provided in the attached Excel file for the three years (see copies in Attachment C). Electronically select each "tab" for years 2013-2014, 2014-2015, and 2015-2016.

2) Indicate the amount of school improvement funds the school will use for each year of the grant period to implement the selected model in the school it commits to serve.

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

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

4) Describe how the LEA will align federal, state, and local funding sources with grant activities. (see Attachment D for suggestions)
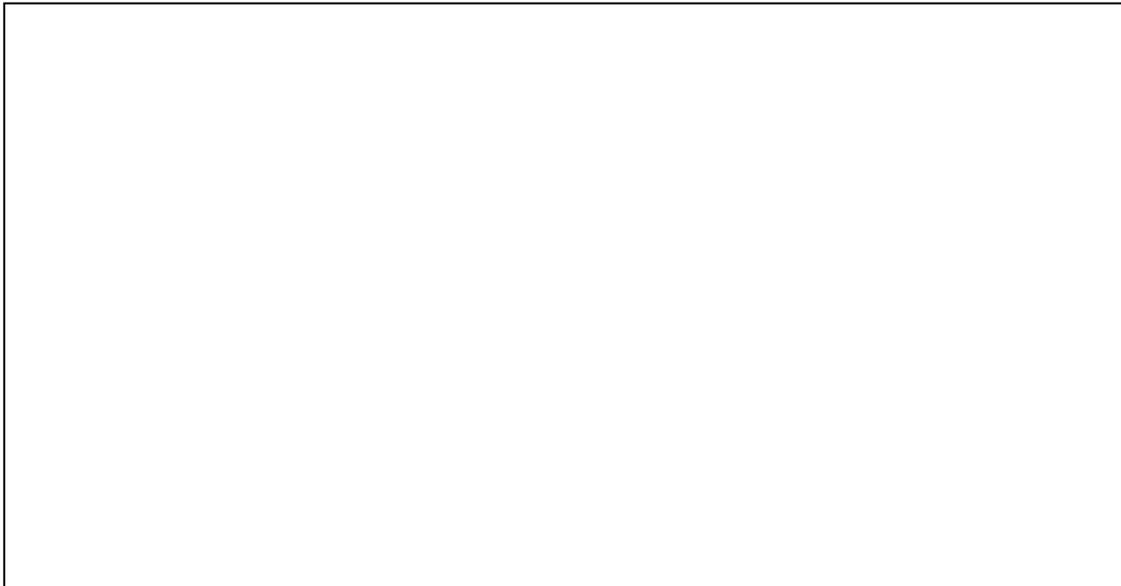
Submit all materials in this document, including the two worksheets in this application to IDOE

Attachment A: LEA Budget Capacity Scoring Rubric

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

6. A clear alignment exists between the goals and interventions model and the funding request (budget). *All models* • Funding requests for identified interventions are proportionately balanced and demonstrate an equitable distribution as identified in the SIG application • Funding should directly impact the schools improvement processes for supporting prescriptive and intentional designed interventions • Funding of programs, models, professional development, and staff should be directly linked to a School Improvement Goal identified in the SIG application • Funding supports the schools current capacity to improve student achievement			

7. The LEA and school staff has the credentials and a demonstrated track record to implement the selected model. *All models* • *Data portfolios of incoming staff/leaders* • *Highly Qualified in content of contractual agreement* • *Samples of implemented school improvement plans with documented outcomes using data*			

8. The district has received the support of the staff to fully implement the intervention model. *All models* • *Staff Assurances* • *Staff Surveys* • *Staff Needs Assessments*		

9. The district has received the support of parents to fully implement the intervention model. *All models* • *Parent Meeting Agendas* • *Parent Surveys* • *Parent Focus Groups*		

10. The school board is fully committed to eliminating barriers to allow for the full implementation of the selected model. *All models* • *School Board Assurances* • *School Board Meeting Minutes from proposal and or discussion* • *Support the creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools*		

11. The superintendent is fully committed to eliminating barriers to allow for the full implementation of the selected model. *All models* • *Superintendent Assurance* • *School Board Meeting Minutes from proposal and or discussion* • *Superintendent SIG Presentation* • *Creation of a new turnaround office (or reorganization if additional schools are being added within a district) with an appointed turnaround leader having significant and successful experience in changing schools*		

12. The teacher's union is fully committed to eliminating barriers to allow for the full implementation of the model, including but not limited to teacher evaluations, hiring and dismissal procedures and length of the school day. *Turnaround, Transformation Models* • *Teacher Union Assurance* • *An outline of amendments to SIG Teacher contracts that will allow for full implementation of the identified model*		

13. The district has the ability to recruit new principals.		

Turnaround, Transformation Models
   • *Partnerships with outside educational organizations (TFA, New Teachers for New Leaders) and or universities*
   • *Statewide and national postings*
   • *External networking*			

14. The district has a robust process in place to select the principal and staff.
Turnaround, Transformation Models
   • *Principal and staff hiring practices*
 	
   • *Principal and staff transfer policies/procedures*
 	
   • *principal and staff recruitment, placement and retention procedures*			

15. The timeline is detailed and realistic, demonstrating the district's ability to fully implement the intervention during the 2013-2014 school year.
All models
   • *Monthly focus with identified objectives*
   • *Smart Goals*
   • *Measurable Outcomes (consisting of transformative, formative, and summative data)*			

• *Streamline and scaffold focus aligned to key findings and root causes in SIG application*			

16. District staff has high levels of expertise and successful experience in researching, and implementing the selected intervention model. *Turnaround, Transformation, Restart Models* • *Professional Development sign in sheets aligned to SIG funded PD* • *Support framework of district staff aligned to areas of need as identified in the SIG application (Staff member, area of expertise, support provided to the school, frequency)*			

17. The school community has been purposefully engaged multiple times to inform them of progress and seek their input. *All models* • *Town Hall Meetings* • *Town Hall Meeting Postings (news paper, district website, parent newsletters, public flyers)* • *Town Hall sign in sheets* • *Community Partner Assurances* • *Documentation of mailings*			

18. The district demonstrates the ability to align federal, state, and local funding sources with grant activities. *All models* • *Title I* • *Title II* • *Title III* • *IDEA* • *E-Rate* • *TAP*		

19. The district demonstrates the ability and commitment to increased instructional time.
 	
Turnaround, Transformation Models
 	
• *Increased instructional time is structured and embedded into the schools' daily schedule and or school calendar*
• *Increased learning time for students is tiered and supported by licensed and/or highly qualified educators*
• *A needs assessment has been completed to identify areas where extended time can be most effectively used*
• *Increased learning time is structured as a vehicle to support differentiated learning (ex:…)*
   o *An additional block of time embedded into the school day*
   o *Summer enrichment/remediation*		

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o *Saturday intervention*
  o *Before or after school enrichment/remediation*
  o *School vacation weeks*
• *Compensation for extended day is identified by the LEA*			

Attachment B: LEA Commitments Scoring Rubric

(1) The LEA has analyzed the needs of each school and has selected an intervention for each one.		
Exceptional **3 points**	**Adequate** **2 points**	**Inadequate** **1 point**
• *Full* completion of worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" • *All* of the required data sources have been provided • *All* of the analysis (findings) from the data and the root cause analysis are logical • The alignment between the needs of the school and the model chosen is *specifically and conclusively* demonstrated as appropriate.	• *Some* completion of worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" • *Some* of the required data sources have been provided • *Some* of the analysis (findings) from the data and the root cause analysis is accurate • A *general* alignment between the needs of the school and the model chosen is has been demonstrated	• *No* completion of worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" • *Little to none* of the required data sources have been provided and/or the analysis (findings) is lacking or minimal • *Little or no* use of root cause analysis and/or causes are illogical and not based on data • The alignment of the school and its needs and the improvement model chosen is *lacking or minimal*.

(2) Recruit, screen, and select external providers, if applicable, to ensure their quality.		
Exceptional **3 points**	**Adequate** **2 points**	**Inadequate** **1point**
There is exceptional evidence of a process for recruiting, screening, and selecting an external provider. All of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and thoroughly explained. The LEA includes a comprehensive process for recruiting, screening and selecting an external provider to meet the needs identified.	There is adequate evidence of a process for recruiting, screening, and selecting an external provider. Most of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and adequately explained. Minor changes are needed to the LEA process for recruiting, screening and selecting an external provider to meet the needs identified.	There is inadequate evidence of a process for recruiting, screening, and selecting an external provider. Some or none of the decisive factors regarding the process for recruiting, screening and selecting an external provider are addressed and inadequately explained. The plan is not consistent with the final requirements and the process for recruiting, screening, and selecting an external provider does not meet the identified needs.

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

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

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

Attachment C: Budget

School Improvement Grant (1003g)
Section II -- BUDGET

School Year 2013 - 2014

*Note:*The total amount of funding per year must total **_no less than $50,000_** and **_no greater than $2,000,000_** per year.

Corporation Name:

Corporation Number:

School Name:

ACCOUNT NO.	FTE	Cert.	Noncert.	EXPENDITURE DESCRIPTION	SUBTOTAL	LINE ITEM TOTAL
1. PERSONNEL (include positions and names)						
			TOTAL SALARIES			
2. Benefits: Benefits should be based on actual known costs or an established formula. Fixed charges/benefits below are for the personnel listed under PERSONNEL above and only for the percentage of time devoted to this project.						
			Additional 5 school days			$ 35,000.00
3. TRAVEL: (differentiate in-state and out-of-state)						
out-of-state						
in-state						

	TOTAL TRAVEL	███	

4. CONTRACTED SERVICES: (List the type of contracted services to be provided, including the vendor's name, if applicable.)

			████
	TOTAL CONTRACTED SERVICES		

5. SUPPLIES: Enter the total amount of materials and supples. Provide a list of supplies on a separate sheet. (Include the total amount to be used to purchase testing, programmatic and/or office supplies.)

	TOTAL SUPPLIES	███	

6. EQUIPMENT AND TECHNOLOGY: Enter the total amount of equipment and technology purchases. Provide a list of equipment and technology on a separate sheet. Equipment is defined as "tangible, non-expendable/non-consumable personal property having a useful lifespan of more than one year".

	TOTAL EQUIPMENT AND TECHNOLOGY	███	

7. OTHER SERVICES: (Include a specific description of services.)

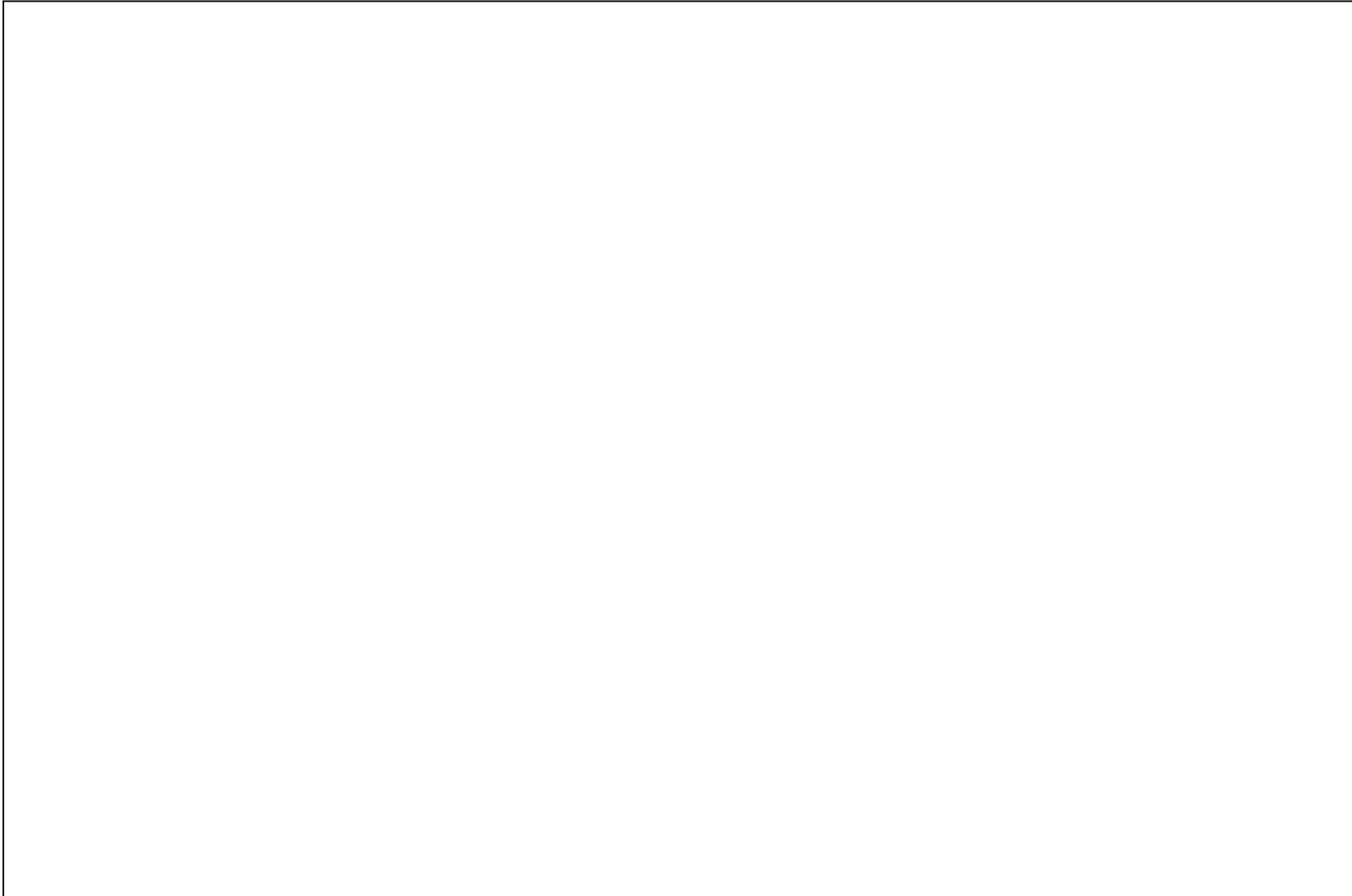|			
			████
	TOTAL OTHER SERVICES	███	
	TOTAL ANTICIPATED EXPENDITURES (SUM OF SECTIONS 1-7 OF THIS FORM).		

SUPPLIES: The following list represents the anticipated materials and supplies purchases.

QUANTITY	DESCRIPTION	UNIT PRICE	TOTAL PRICE
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
	TOTAL SUPPLIES COSTS		$ -

EQUIPMENT AND TECHNOLOGY: The following list represents the anticipated equipment and technology purchases.

QUANTITY	DESCRIPTION	UNIT PRICE	TOTAL PRICE
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
	TOTAL EQUIPMENT AND TECHNOLOGY COSTS		$ -

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

School Improvement Grant (1003g)
Section II -- BUDGET

School Year 2014 - 2015

Note: The total amount of funding per year must total **_no less than $50,000_** and **_no greater than $2,000,000_** per year.

Corporation Name:

Corporation Number:

School Name:

ACCOUNT NO.	FTE	Cert.	Noncert.	EXPENDITURE DESCRIPTION	SUBTOTAL	LINE ITEM TOTAL
1. PERSONNEL (include positions and names)						
			TOTAL SALARIES			
2. Benefits: Benefits should be based on actual known costs or an established formula. Fixed charges/benefits below are for the personnel listed under PERSONNEL above and only for the percentage of time devoted to this project.						
			Additional 5 school days			
3. TRAVEL: _(differentiate in-state and out-of-state)_						
out-of-state						
in-state						
			TOTAL TRAVEL			
4. CONTRACTED SERVICES: (List the type of contracted services to be provided, including the vendor's name, if applicable.)						

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	TOTAL CONTRACTED SERVICES		$ 168,000.00

5. SUPPLIES: Enter the total amount of materials and supples. Provide a list of supplies on a separate sheet. (Include the total amount to be used to purchase testing, programmatic and/or office supplies.)

	TOTAL SUPPLIES		$ 13,100.00

6. EQUIPMENT AND TECHNOLOGY: Enter the total amount of equipment and technology purchases. Provide a list of equipment and technology on a separate sheet. Equipment is defined as "tangible, non-expendable/non-consumable personal property having a useful lifespan of more than one year".

	TOTAL EQUIPMENT AND TECHNOLOGY		$ 114,059.00

7. OTHER SERVICES: (Include a specific description of services.)

	Staff Retreats	$ 6,000.00	
	Professional Development Stipends	$ 12,000.00	
	Attendance Incentive	$ 5,000.00	
	Teacher Innovation Mini Grants	$ 10,000.00	
	ECA Test Incentives	$ 5,000.00	
	TOTAL OTHER SERVICES		$38,000.00
TOTAL ANTICIPATED EXPENDITURES (SUM OF SECTIONS 1-7 OF THIS FORM).			$ 654,159.00

SUPPLIES: The following list represents the anticipated materials and supplies purchases.

QUANTITY	DESCRIPTION	UNIT PRICE	TOTAL PRICE
		$ -	$ -
		$ -	$ -

		UNIT PRICE	TOTAL PRICE
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
	TOTAL SUPPLIES COSTS		$ -

EQUIPMENT AND TECHNOLOGY: The following list represents the anticipated equipment and technology purchases.

QUANTITY	DESCRIPTION	UNIT PRICE	TOTAL PRICE
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
	TOTAL EQUIPMENT AND TECHNOLOGY COSTS		$ -

School Improvement Grant (1003g)
Section II -- BUDGET

School Year 2015 - 2016

*Note:*The total amount of funding per year must total **_no less than $50,000_** and **_no greater than $2,000,000_** per year.

Corporation Name:

Corporation Number:

School Name:

ACCOUNT NO.	FTE	Cert.	Noncert.	EXPENDITURE DESCRIPTION	SUBTOTAL	LINE ITEM TOTAL
1. PERSONNEL (include positions and names)						
						███
						███
						███
						███
						███
			TOTAL SALARIES		███	
2. Benefits: Benefits should be based on actual known costs or an established formula. Fixed charges/benefits below are for the personnel listed under PERSONNEL above and only for the percentage of time devoted to this project.						
			Additional 5 school days		███	
3. TRAVEL: (differentiate in-state and out-of-state)						
out-of-state						███
in-state						███
						███
						███
			TOTAL TRAVEL		███	
4. CONTRACTED SERVICES: (List the type of contracted services to be provided, including the vendor's name, if applicable.)						
						███

	TOTAL CONTRACTED SERVICES		

5. SUPPLIES: Enter the total amount of materials and supples. Provide a list of supplies on a separate sheet.(Include the total amount to be used to purchase testing, programmatic and/or office supplies.)

	TOTAL SUPPLIES		

6. EQUIPMENT AND TECHNOLOGY: Enter the total amount of equipment and technology purchases.   Provide a list of equipment and technology on a separate sheet. Equipment is defined as "tangible, non-expendable/non-consumable personal property having a useful lifespan of more than one year".

	TOTAL EQUIPMENT AND TECHNOLOGY		

7. OTHER SERVICES: (Include a specific description of services.)

	TOTAL OTHER SERVICES		
	TOTAL ANTICIPATED EXPENDITURES (SUM OF SECTIONS 1-7 OF THIS FORM).		

SUPPLIES: The following list represents the anticipated materials and supplies purchases.

QUANTITY	DESCRIPTION	UNIT PRICE	TOTAL PRICE
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -
		$ -	$ -

		$ -	$	-
		$ -	$	-
	TOTAL SUPPLIES COSTS		$	-

EQUIPMENT AND TECHNOLOGY: The following list represents the anticipated equipment and technology purchases.

QUANTITY	DESCRIPTION	UNIT PRICE	TOTAL PRICE	
		$ -	$	-
		$ -	$	-
		$ -	$	-
		$ -	$	-
		$ -	$	-
		$ -	$	-
		$ -	$	-
	TOTAL EQUIPMENT AND TECHNOLOGY COSTS		$	-

Attachment E: Example of Alignment of Other Funding Sources to SIG Elements

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

Attachment F: Intervention Scoring Rubrics

Turnaround

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

	o Screening of current staff *is conducted by a team of school and district personnel and an external partner; interview questions are rigorous and relevant to determine the staff's willingness to fully implement the model*	o Screening of current staff is conducted by a team of school and district personnel; interview questions are general in nature and offer some insight in the staff's willingness to implement the model	o Screening of current staff is conducted by the school or district; interview questions are of *insufficient nature* to determine *staff's willingness* to implement the model	
	o *Less than 50 percent of the staff is rehired*	o *50 percent of the staff is rehired*	o *More than 50 percent of the staff is rehired*	
3. Implement strategies to recruit, place, and retain staff	o Recruitment and retention of staff includes at least three *strategies known to be effective,* such as improving working conditions, providing higher salaries, and offering job promotions	o Recruitment and retention of staff includes at least two *strategies known to be effective,* such as improving working conditions, providing higher salaries, and/or offering job promotions	o Strategies for recruitment and retention *do not correspond with strategies known to be effective*	
	o *Mentors and/or coaches are provided* for all staff	o *Mentors and/or coaches are provided* for identified groups of teachers, such as newer teachers or those changing grade levels	o *Mentors nor coaches are included*	
4. Provide high-quality, job embedded professional development	o *Topics* of professional development are *determined by SIG goals, needs assessments, and other data points; professional development is differentiated by teacher need*	o *Topics* of professional development are *connected to the SIG goals, needs assessments, and other data points; not differentiated by teacher need*	o Topics of professional development are *disparate; do not align to SIG goals, needs assessments or other data points; established by the LEA; not differentiated by teacher need*	

	o Professional development is conducted *weekly through job-embedded opportunities at the school*	o Professional development is conducted *monthly through job-embedded opportunities at the school*	o Professional development is *rarely* provided at the school; *usually occurs as a whole district*	
	o Professional development includes vertical and horizontal collaboration, coaching and mentoring, data analysis, and determining appropriate curriculum and instruction	o Professional development often includes vertical collaboration; may include coaching and mentoring, data analysis, or determining appropriate curriculum and instruction	o Focus of professional development is *not related to teacher collaboration, coaching and mentoring, data analysis or curriculum and instruction*	
5. Adopt a new governance structure	o Creates a *new* turnaround office with an appointed turnaround leader who has *significant and successful experience in school turnaround*	o Creates a *new* turnaround office and/or appoints a turnaround leader with *successful experience in school turnaround*	o *Reshuffles or redesigns* its current structure rather than creating a turnaround office and appointing a turnaround leader	
	o Turnaround leader and staff will spend *extensive time in the school* allowing for a highly visible, supportive, and transparent relationship with the school	o Turnaround leader and staff will spend some *time in the school* allowing for a supportive relationship with the school	o Turnaround leader and staff provides minimal and/or inconsistent support and time in the school	
6. Use data to implement an aligned instructional program	o LEA *provides multiple assessments and data points through technology-based resources* for the school to align its instructional program	o LEA provides some *assess-ments and data* with minimal technology for the school to align its instructional program	o LEA *provides minimal* assessments with no data; technology is not used	

	o LEA provides *intensive and ongoing* professional development in conducting and using assessment results to inform instructional decision making throughout the year	o LEA provides professional development in conducting and using assessment results to inform instruction throughout the year	o *LEA rarely provides* professional development for teachers to increase skills in conducting assessments and using results to inform instruction	
7. Promote the use of data to inform and differentiate instruction	o Provides *frequent structured time* (e.g., weekly) for teachers to collaborate and analyze student data and make instructional decisions	o Provide *regular time* (e.g., monthly) for teachers to collaborate and analyze student data and make instructional decisions	o *Rarely* provides time for teachers to collaborate and analyze student data and make instructional decisions	
	o Provides *extended, job-embedded professional development* that includes observation and coaching to increase knowledge of differentiated instruction	o Provides *job-embedded professional development* to increase knowledge of differentiated instruction	o Provides professional development that occurs *outside of the classroom* and does *not focus on* live student data or on improving differentiated instruction	
8. Provide increased learning time for students and staff	o Provides increased, intentional learning time driven by student data indicated for *all* students and staff	o Provides increased learning time for *all* students and staff	o Does not provide increased learning time for all students and staff	
	o Time is of *extensive length (at least 300 hours)* to potentially increase learning	o Time is of *sufficient length (at least 180 hours)* to potentially increase learning	o Time is *not of sufficient length (90 hours or less)* to create change	
9. Provide social-emotional and community-oriented services/supports	o Collaborates with several *external organizations and community partners* to provide sustainable space and services for *student needs*, (e.g., dental, medical, behavioral, etc)	o Collaborates with minimal *external organizations or community partners* to provide space and services for *student needs*, (e.g., dental, medical, behavioral, etc) as needed	o Does not collaborate with external organizations; support to families is *limited*	

	o Works with community to provide on-going and consistent *family and community engagement activities*	o Works with community to provide limited *family and community engagement activities*	o *No partnerships* in the community to provide *family and community engagement activities*	

Total Score_____/60

Transformation

Required Element	Possible Tasks: Score 3 Exceptional	Possible Tasks: Score 2 Adequate	Possible Tasks: Score 1 Inadequate	Score
1. Replace the principal who led the school prior to implementing the model.	o Principal is replaced with one that has evidence of a proven track record	o Principal is replaced with one without evidence of a proven track record	o Principal is replaced with one having an ineffective track record	
2. Use evaluation systems for teachers and principals that consider student growth and assessments; develop with teacher/principal involvement	o Evaluation systems for principal and teachers includes multiple assessments aligned to student academic growth	o Evaluation systems for principal and teachers includes a single assessment aligned to student academic growth	o Evaluation systems for principal and teachers does not include an assessment aligned to student academic growth	
	o Evaluation systems are developed with teachers' *and* principal involvement	o Evaluation systems are developed with teachers' *or* principals involvement	o Evaluation system development does *not include involvement* of principal or teachers	
3. Reward school leaders, teachers and staff who, in implementing the model, increase student achievement or high school graduation rates; remove those who, after professional	o Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.	o Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.	o Rewards for school leaders, teachers and staff implementing this model have been determined using tools and rubrics that are data driven and reflect an increase in student achievement or high school graduation rates.	

development, have not.	o The awards correspond to *effective practices* of retaining teachers such as improving working conditions, increasing financial compensation, and/or providing job promotions as identified by staff through a survey or needs assessment	o The awards correspond to *effective practices* of retaining teachers such as improving working conditions, increasing financial compensation, and/or providing job promotions	o Awards *not described or do not correspond to effective practices* of retaining teachers and thus are unlikely motivators	
	o Provides a comprehensive, *effective, and logical* process for assisting teachers (e.g., providing additional professional, mentoring) who are not improving student learning or graduation rates; plan must provide an implementation timeline and pathways for improvement or release	o Provides description of *effective and logical* process for assisting teachers (e.g., providing additional professional, mentoring) who are not improving student learning or graduation rates	o Description for assisting teachers who are not improving student learning or graduation rates is *not given, not detailed, or not likely to change teachers' practices*	
4. Provide high-quality, job embedded professional development	o *Topics* of professional development are *determined by SIG goals, needs assessments, and other data points; professional development is differentiated by teacher need*	o *Topics* of professional development are *connected to the SIG goals, needs assessments, and other data points; not differentiated by teacher need*	o Topics of professional development are *disparate; do not align to SIG goals, needs assessments or other data points; established by the LEA; not differentiated by teacher need*	
	o Professional development is conducted *weekly through job-embedded opportunities at the school*	o Professional development is conducted *monthly through job-embedded opportunities at the school*	o Professional development is *rarely* provided at the school; *usually occurs as a whole district*	
	o Professional development includes vertical and	o Professional development often includes vertical collaboration;	o Focus of professional development is *not related to teacher collaboration,*	

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

	o LEA provides *intensive and ongoing* professional development in conducting and using assessment results to inform instructional decision making throughout the year	o LEA provides professional development in conducting and using assessment results to inform instruction throughout the year	o *LEA rarely provides* professional development for teachers to increase skills in conducting assessments and using results to inform instruction	
8. Promote the use of data to inform and differentiate instruction	o Provides *frequent structured time* (e.g., weekly) for teachers to collaborate and analyze student data and make instructional decisions	o Provide *regular time* (e.g., monthly) for teachers to collaborate and analyze student data and make instructional decisions	o *Rarely* provides time for teachers to collaborate and analyze student data and make instructional decisions	
	o Provides *extended, job-embedded professional development* that includes observation and coaching to increase knowledge of differentiated instruction	o Provides *job-embedded professional development* to increase knowledge of differentiated instruction	o Provides professional development that occurs *outside of the classroom* and does *not focus on* live student data or on improving differentiated instruction	
9. Provide mechanism for family and community engagement	o LEA conducts a comprehensive, community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.	o LEA conducts a basic, community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.	o LEA did not conduct a community-wide assessment to identify the major factors that significantly affect the academic achievement of students in the school, including an inventory of the resources in the community that could be aligned, integrated, and coordinated to address these challenges.	
10. Give school sufficient	o LEA provides a	o LEA provides a document or plan	o LEA *does not provide a document or*	

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

Total Score_____/66