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

APPLICATION FOR GRANTS UNDER THE

Comprehensive Centers (CC) Program CFDA Number 84.283B

CFDA # 84.283B

PR/Award # S283B190059

Gramts.gov Tracking#: GRANT12862514

OMB No. 1894-0006, Expiration Date: 01/31/2021

Closing Date: May 24, 2019

Table of Contents

Form	Page
1. Application for Federal Assistance SF-424	e3
Attachment - 1 (1246-Areas Affected by Project)	e6
Attachment - 2 (1247-Congressional Districts)	e7
2. Standard Budget Sheet (ED 524)	e8
3. Assurances Non-Construction Programs (SF 424B)	e10
4. Disclosure Of Lobbying Activities (SF-LLL)	e12
5. ED GEPA427 Form	e13
Attachment - 1 (1243-GEPA_R16CC)	e14
6. Grants.gov Lobbying Form	e16
7. Dept of Education Supplemental Information for SF-424	e17
8. ED Abstract Narrative Form	e18
Attachment - 1 (1245-Abstract R16CC)	e19
9. Project Narrative Form	e21
Attachment - 1 (1244-R16CC Project Narrative)	e22
10. Other Narrative Form	e108
Attachment - 1 (1234-Appendix_A_ Business License)	e109
Attachment - 2 (1235-Appendix_B_Communication_Plan)	e113
Attachment - 3 (1236-Appendix_C_Models)	e119
Attachment - 4 (1237-Appendix_D_Key Personnel Job Descriptions and Resumes)	e124
Attachment - 5 (1238-Appendix_F_Capacity_Building_Materials)	e203
Attachment - 6 (1239-Appendix_G_Lead Partners)	e610
Attachment - 7 (1240-Appendix_H_Other Supporting Documents)	e721
Attachment - 8 (1241-Appendix_E_Letters of Support)	e752
11. Budget Narrative Form	e793
Attachment - 1 (1242-Region 16 Comprehensive Center - Better Together - 5 year grant application - FY 20 to FY 24 - FINAL)	e794

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

Application for Federal Assistance SF-424

* 1. Type of Submission:
- [ ] Preapplication
- [x] Application
- [ ] Changed/Corrected Application

* 2. Type of Application:
- [x] New
- [ ] Continuation
- [ ] Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received: 05/24/2019

4. Applicant Identifier: N/A

5a. Federal Entity Identifier: N/A

5b. Federal Award Identifier: N/A

State Use Only:

6. Date Received by State:

7. State Application Identifier: N/A

8. APPLICANT INFORMATION:

* a. Legal Name: SERRC Southeast Regional Resource Center

* b. Employer/Taxpayer Identification Number (EIN/TIN): 92-0058572

* c. Organizational DUNS: 0379937060000

d. Address:

* Street1: 210 Ferry Way
Street2:
* City: Juneau
County/Parish: Alaska
* State: AK: Alaska
Province:
* Country: USA: UNITED STATES
* Zip / Postal Code: 99801-1389

e. Organizational Unit:

Department Name: SERRC

Division Name: Professional Learning

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

Prefix: Ms.
* First Name: Sheryl
Middle Name:
* Last Name: Weinberg
Suffix:

Title: Executive Director

Organizational Affiliation: SERRC Southeast Regional Resource Center

* Telephone Number: 9075866806
Fax Number:

* Email: sherylw@serrc.org

Application for Federal Assistance SF-424

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

M: Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

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

Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.283

CFDA Title:

Comprehensive Centers

*** 12. Funding Opportunity Number:**

ED-GRANTS-040419-001

* Title:

Office of Elementary and Secondary Education (OESE): Comprehensive Centers (CC) Program CFDA Number 84.283B

13. Competition Identification Number:

84-283B2019-1

Title:

Comprehensive Centers (CC) Program CFDA Number 84.283B

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

1246-Areas Affected by Project.pdf

Add Attachment | Delete Attachment | View Attachment

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

Region 16 Comprehensive Center (R16CC)

Attach supporting documents as specified in agency instructions.

Add Attachments | Delete Attachments | View Attachments

Tracking Number:GRANT12862514 Funding Opportunity Number:ED-GRANTS-040419-001 Received Date:May 24, 2019 09:15:29 PM EDT

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant: AK

* b. Program/Project: WA, OR

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

1247-Congressional Districts.pdf | Add Attachment | Delete Attachment | View Attachment

17. Proposed Project:

* a. Start Date: 10/01/2019

* b. End Date: 09/30/2024

18. Estimated Funding ($):

* a. Federal	16,523,123.00
* b. Applicant	0.00
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	16,523,123.00

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

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

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

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

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

☐ Yes ☒ No

If "Yes", provide explanation and attach

Add Attachment | Delete Attachment | View Attachment

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

☒ ** I AGREE

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

Authorized Representative:

Prefix: Ms.

* First Name: Sheryl

Middle Name:

* Last Name: Weinberg

Suffix:

* Title: Executive Director

* Telephone Number: 9075866806

Fax Number:

* Email: sherylw@serrc.org

* Signature of Authorized Representative: Sheryl Weinberg

* Date Signed: 05/24/2019

Tracking Number:GRANT12862514 Funding Opportunity Number:ED-GRANTS-040419-001 Received Date:May 24, 2019 09:15:29 PM EDT

Areas Affected by Project:

State of Alaska

State of Washington

State of Oregon

Congressional Districts:

WA- all

OR-all

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

OMB Number: 1894-0008
Expiration Date: 08/31/2020

Name of Institution/Organization

SERRC Southeast Regional Resource Center

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

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

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	328,890.00	308,494.00	314,665.00	320,959.00	327,378.00	1,600,386.00
2. Fringe Benefits	191,872.00	180,282.00	183,888.00	187,566.00	191,318.00	934,926.00
3. Travel	58,384.00	58,384.00	60,966.00	61,035.00	45,966.00	284,735.00
4. Equipment	0.00	0.00	0.00	0.00	0.00	0.00
5. Supplies	35,000.00	35,000.00	35,000.00	35,000.00	35,000.00	175,000.00
6. Contractual	2,209,610.00	2,213,263.00	2,217,063.00	2,221,015.00	2,225,125.00	11,086,076.00
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	0.00	0.00	0.00	0.00	0.00	0.00
9. Total Direct Costs (lines 1-8)	2,823,756.00	2,795,423.00	2,811,582.00	2,825,575.00	2,824,787.00	14,081,123.00
10. Indirect Costs*	491,512.00	484,475.00	487,194.00	489,403.00	488,326.00	2,440,910.00
11. Training Stipends	0.00	0.00	0.00	0.00	0.00	0.00
12. Total Costs (lines 9-11)	3,315,268.00	3,279,898.00	3,298,776.00	3,314,978.00	3,313,113.00	16,522,033.00

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

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

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

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

Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2019 To: 06/30/2020 (mm/dd/yyyy)

Approving Federal agency: ☒ ED ☐ Other (please specify):

The Indirect Cost Rate is 22.00 %.

(3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? ☐ Yes ☐ No If yes, you must comply with the requirements of 2 CFR § 200.414(f).

(4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?

☐ Yes ☐ No If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.

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

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

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	
SERRC Southeast Regional Resource Center		

SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	0.00	0.00	0.00	0.00	0.00	0.00
2. Fringe Benefits	0.00	0.00	0.00	0.00	0.00	0.00
3. Travel	0.00	0.00	0.00	0.00	0.00	0.00
4. Equipment	0.00	0.00	0.00	0.00	0.00	0.00
5. Supplies	0.00	0.00	0.00	0.00	0.00	0.00
6. Contractual	0.00	0.00	0.00	0.00	0.00	0.00
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	0.00	0.00	0.00	0.00	0.00	0.00
9. Total Direct Costs (lines 1-8)	0.00	0.00	0.00	0.00	0.00	0.00
10. Indirect Costs	0.00	0.00	0.00	0.00	0.00	0.00
11. Training Stipends	0.00	0.00	0.00	0.00	0.00	0.00
12. Total Costs (lines 9-11)	0.00	0.00	0.00	0.00	0.00	0.00

SECTION C - BUDGET NARRATIVE (see instructions)

ED 524

Tracking Number:GRANT12862514 Funding Opportunity Number:ED-GRANTS-040419-001 Received Date:May 24, 2019 09:15:29 PM EDT

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C.§§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593(identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
Sheryl Weinberg	Executive Director
APPLICANT ORGANIZATION	DATE SUBMITTED
SERRC Southeast Regional Resource Center	05/24/2019

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

Tracking Number:GRANT12862514 Funding Opportunity Number:ED-GRANTS-040419-001 Received Date:May 24, 2019 09:15:29 PM EDT

DISCLOSURE OF LOBBYING ACTIVITIES

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

OMB Number: 4040-0013
Expiration Date: 02/28/2022

1. * Type of Federal Action:

- [ ] a. contract
- [x] b. grant
- [ ] c. cooperative agreement
- [ ] d. loan
- [ ] e. loan guarantee
- [ ] f. loan insurance

2. * Status of Federal Action:

- [ ] a. bid/offer/application
- [x] b. initial award
- [ ] c. post-award

3. * Report Type:

- [x] a. initial filing
- [ ] b. material change

4. Name and Address of Reporting Entity:

[x] Prime [ ] SubAwardee

** Name* N/A

** Street 1* N/A *Street 2* N/A

** City* N/A *State* *Zip* N/A

Congressional District, if known:

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

6. * Federal Department/Agency:

N/A

7. * Federal Program Name/Description:

Comprehensive Centers

CFDA Number, *if applicable:* 84.283

8. Federal Action Number, *if known:*

9. Award Amount, *if known:*

$

10. a. Name and Address of Lobbying Registrant:

Prefix ** First Name* N/A *Middle Name* SERRC does not lobby

** Last Name* N/A *Suffix*

** Street 1* N/A *Street 2* N/A

** City* N/A *State* *Zip* N/A

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

Prefix Ms. ** First Name* Sheryl *Middle Name*

** Last Name* Weinberg *Suffix*

** Street 1* SEERC does not lobby *Street 2* 210 Ferry Way

** City* Juneau *State* AK: Alaska *Zip* 99801

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

*** Signature:** Sheryl Weinberg

***Name:** *Prefix* Ms. ** First Name* Sheryl *Middle Name*

** Last Name* Weinberg *Suffix*

Title: Executive Director **Telephone No.:** 9075866806 **Date:** 05/24/2019

Federal Use Only:

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Standard Form - LLL (Rev. 7-97)

Tracking Number:GRANT12862514 Funding Opportunity Number:ED-GRANTS-040419-001 Received Date:May 24, 2019 09:15:29 PM EDT

NOTICE TO ALL APPLICANTS

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

To Whom Does This Provision Apply?

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

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

What Does This Provision Require?

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

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

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

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

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

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

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

1243-GEPA_R16CC.pdf | Add Attachment | Delete Attachment | View Attachment

GEPA

In carrying out the program activities of the Region 16 Comprehensive Center (R16CC), (Southeast Regional Resource Center, Inc.) SERRC, Alaska's Educational Resource Center as the applicant organization, will assure to the fullest extent possible the equitable participation of, and access opportunities for, all individuals involved. As a first step in preparing for face-to-face or online meetings, professional learning, technical assistance, communications / marketing, data collection or evaluation activities, R16CC partners will inform any project staff or partners of required instructional or environmental modifications or adaptations needed for participants. Preparation for delivery of all professional learning, whether face-to-face or online, will include access provisions for any participant who experiences special needs. In the event that a participant requires modifications to access the online environment, R16CC ADA Communications Specialist, SERRC TechOps and/or SERRC Special Education staff (including education specialists and physical, occupational and speech therapists, and school psychologists) will be available to assist. SERRC is mindful of six types of barriers that can impede equitable access or participation: gender, race, national origin, disability, religion, or age. Grant funded activities, programs and services will be accessible to all program beneficiaries with special needs to participate fully in the proposed projects.

SERRC and all Education Service Districts in Washington and Oregon are equal opportunity employers and do not discriminate in employment, supervision or program assignments on the basis of race, religion, color, national origin, age, sex, gender identification, disability, marital status, pregnancy, parenthood, veteran's status, or political affiliation. SERRC and all Education Service Districts in Washington and Oregon seek and encourage applications for employment from American Indian / Alaska Natives and other persons who are

members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

SERRC's assurance of equitable access will include facilities that will accommodate any special needs, as provided by the Americans with Disability Act (ADA), and all other federal and state requirements. SERRC also will assure that hotel and conference facilities are ADA compliant when used for training, meetings, and other activities.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

* APPLICANT'S ORGANIZATION

SERRC Southeast Regional Resource Center

* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Ms. * First Name: Sheryl Middle Name:

* Last Name: Weinberg Suffix:

* Title: Executive Director

* SIGNATURE: Sheryl Weinberg * DATE: 05/24/2019

Tracking Number:GRANT12862514 Funding Opportunity Number:ED-GRANTS-040419-001 Received Date:May 24, 2019 09:15:29 PM EDT

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

1. Project Director:

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Email Address:
gerryb@serrc.org

2. Novice Applicant:

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

☐ Yes ☒ No ☐ Not applicable to this program

3. Human Subjects Research:

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

☐ Yes ☒ No

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

☐ Yes Provide Exemption(s) #: ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6

☐ No Provide Assurance #, if available:

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

Add Attachment | Delete Attachment | View Attachment

Abstract

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

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

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

You may now Close the Form

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

* Attachment: 1245-Abstract R16CC.pdf | Add Attachment | Delete Attachment | View Attachment

Tracking Number:GRANT12862514 Funding Opportunity Number:ED-GRANTS-040419-001 Received Date:May 24, 2019 09:15:29 PM EDT

REGION 16 COMPREHENSIVE CENTER (R16CC)

ABSTRACT

Absolute Priority 1. A consortium of three state level Educational Service Agencies (ESAs) in Washington, Oregon, and Alaska will form the Region 16 Comprehensive Center (R16CC) with the Lead Applicant being Southeast Regional Resource Center (SERRC), who from 2005 to 2012 successfully led the Alaska Comprehensive Center and facilitated the development of a statewide system of support for low performing schools and districts in Alaska. The R16CC consortium will be comprised of the 29 individual area Education Service Agencies (ESAs) along with national, regional, Tribal, and education association partners and will provide high-quality intensive capacity-building services and technical assistance to State Educational Agencies (SEAs), Tribal Education Agencies (TEAs), Regional Educational Agencies (REAs), Local Educational Agencies (LEAs), and rural schools that support over 1.8 million students.

R16CC has three goals: (1) provide high-quality intensive capacity-building services to state clients and recipients, (2) promote effective instruction in classrooms and schools, and (3) provide families and students with access and opportunities for a high-quality education that meets their unique needs. R16CC capacity-building services will assist clients and recipients in: (a) implementing and scaling up evidence-based programs, practices, and interventions for recipients that have disadvantaged students or high percentages or numbers of students from low-income families and recipients that are implementing comprehensive or targeted support and improvement activities; (b) implementing and scaling up evidence-based programs, practices, and interventions to address educational obstacles faced by rural populations living in poverty; (c) identifying and carrying out capacity-building services to clients that help States address corrective actions or results from audit findings and monitoring.

Competitive Priority 2. Promoting Effective Instruction in Classrooms and Schools will include R16CC coaching support for school teams through Implementation Science to design, implement, and evaluate evidence-based approaches to strengthen instruction and culture through a Train-the-Trainer approach. R16CC consortium coaching support will use evidence-based and cultural proficiency protocols for examining unit, lesson, assessment design, and reviewing formative and summative assessment data to adjust instruction.

Competitive Priority 3. Empowering Families and Individuals to Educational Opportunities That Meet Their Unique Needs will involve R16CC coaches working with school teams to build and maintain trusting relationships that enable equity and inclusivity for all students. R16CC consortium will develop and deliver plans for focused and aligned services to State clients and recipients that address, through instruction, family and student personal and social capabilities and needs that are culturally relevant and impact learning and well-being.

The R16CC consortium has *extensive experience in building personal relationships and* providing high-quality intensive capacity-building services and technical assistance, and it will be enhanced by providing tiered levels of support to all recipients using the ***six phases of implementation*** for all evidence-based practices: (1) conduct needs assessments, (2) develop logic models, (3) select, (4) plan, (5) implement, and (6) evaluate the implementation of evidence-based practices. Using Implementation Science, the R16CC consortium will accelerate the selection and implementation of evidence-based practices that support Elementary and Secondary Education Act (ESEA) programs in SEAs, TEAs, REAs, LEAs, and schools and will increase their capacity to identify best practices and develop cost-effective strategies to make their work available throughout the nation through our partnership with the National Center.

Project Narrative File(s)

*** Mandatory Project Narrative File Filename:** 1244-R16CC Project Narrative.pdf

Add Mandatory Project Narrative File | Delete Mandatory Project Narrative File | View Mandatory Project Narrative File

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

Add Optional Project Narrative File | Delete Optional Project Narrative File | View Optional Project Narrative File

Table of Contents

Introduction 2
SIGNIFICANCE 10
Strategic Performance Management 10
Implementation Science 13
Equity and School Performance 17
Cultural Proficiency 22
QUALITY OF THE PROJECT DESIGN 36
QUALITY PROJECT PERSONNEL 51
QUALITY OF THE PROJECT EVALUATION 64
References 77

Introduction

The Region 16 Comprehensive Center (R16CC) **consortium** will result in system change and improvement that is **unprecedented because of its ability to fully leverage the already established and healthy long-term relationships of 29 educational service agencies (ESAs) in Alaska, Washington, and Oregon with state, tribal, regional, and local educational systems to identify, implement, and sustain effective evidence-based programs, best practices, and interventions that promote improved educator and student outcomes.** This network of ESAs will leverage their resources and educational opportunities, often in rural areas and high poverty areas, because they identify trends and implement evidence-based best practices. Much of this implementation results in the identification of cost-effective strategies that realize a significant savings allowing the thousands of districts served to save dollars allowing more to go directly to the classroom and provide specialized services that might otherwise not be unavailable.

Consortium Partners:

R16CC will be hosted and lead by SERRC-Alaska's Educational Resource Center (a private, non-profit education service agency with offices in Juneau and Anchorage - Appendix A) established by state statue in 1976 to serve the educational needs of Alaska residents. SERRC will direct the grant with a 0.90 FTE Project Director. Oregon Association of ESDs (OAESD) and Washington Association of ESDs (WAESD) will co-direct at 0.50 FTE each. This unique structure allows for leadership across all three states in Region 16. These leaders will work with national research partners who hold key functions within the proposed Region 16 Comprehensive Center structure. These national partners include the Academic Development Institute, the Center on Reinventing Public Education, and the Tribal Education Departments National Assembly. R16CC will enhance expertise of ESAs across the region with the three national partners and additional

national experts on an as needed basis. Below is more information about the three lead organizations and three national partners.

SERRC provides school support and educational programs to the entire state, and most people refer to SERRC as Alaska' Educational Resource Center. SERRC has offices in Anchorage and Juneau and offers adult education services in Southeast Alaska communities via The Learning Connection. SERRC has extensive experience in developing and operating educational programs, and partners with other educational agencies, the State of Alaska, Alaska Native organizations, schools and school districts, businesses, and other educational entities throughout the state and country to create and deliver effective and cost efficient shared services and programs that improve student achievement. From 2012 to 2012, SERRC partnered with Bering Strait School District to develop a culturally responsive teacher evaluation framework, tools, protocols, and training to measure the effectiveness of teachers using culturally responsive skills and practices. This work was conducted through an Alaska Native Education Program (ANEP) grant, Project CREATE.

Project CREATE stands for Culturally Responsive Evidences for Alaska Teacher Effectiveness. An innovative approach to effective teaching, CREATE shined a light on cultural relevance in teacher evaluations, teacher professional development, teacher classroom activities, and teacher satisfaction and commitment. All the development and creation of processes and protocols in this project align to Alaska's Professional Standards for Educators, Cultural Standards for Alaska Educators, and Marzano's Teacher Causal Evaluation Model. SERRC also aligned their culturally responsive evaluation framework to the Danielson Framework, CEL+5, and PD360 teacher evaluation models. The overarching goal of Project CREATE was to provide a framework for teachers in becoming highly effective in their delivery of culturally responsive K-12 instructional pedagogy. This is just one example, but SERRC has extensive experience in

developing and operating educational programs, and partners with other educational agencies, the State of Alaska, Native Corporations and organizations, schools and school districts, businesses, and other educational entities throughout the state and country to create and deliver effective and cost efficient shared services and programs that improve student achievement.

Serving as Co-Director, The Oregon Association of Educational Service Districts (OAESD) represents 19 Educational Service Districts (ESDs) who are developing a P-20 Network that will collaborate with state agencies and recipients to implement regional or statewide initiatives. The OAESD Network is flourishing as an innovative, responsive system that builds and delivers cost-effective programs to every corner of the state. The network provides leadership in implementing statewide initiatives and supporting regional ESDs as they respond to local school district needs. ESDs provide a network of regional coordinators and work directly with school districts on efforts to address chronic absenteeism. ESDs also provide statewide coverage providing professional development and collaborative support to improve student attendance. ESDs provide direct instruction and related services to children and students with special needs, their families and school districts. ESDs provide programs offering college credit for students completing approved high school courses and provide opportunities to explore career paths while still in high school. ESDs are collaborating with school districts to assure career technical education and college prep opportunities. ESDs provide a collaborative network of resources to assist school districts in the recruitment and retention of quality education professionals. Mentorship and support are also provided to foster career development for these educators. OAESD is known for excellence and efficiency. Oregon's ESDs are conveners, collaborators, visionaries and leaders and the OAESD Network, in partnership with the Oregon Department of Education, ensures that every student in Oregon has access to dynamic education programs – no matter where they live. Working together

for the nearly 600,000 students of our state, Oregon's 19 ESDs are instrumental in building a powerful and equitable system that serves students from birth to age 21.

Serving as Co-Director, Association of Educational Service Districts (AESD) in Washington State represents 9 Educational Service Districts that have developed an incredibly effective coordinated and statewide professional learning program resulting in an increased number of education personnel using pedagogical content best practices. The Fellows' Network is a group of instructional leaders convened by the Office of Superintendent of Public Instruction (OSPI) and the Association of Educational Service Districts (AESD) to support district and community implementation of state learning standards in mathematics, English Language Arts (ELA), and science, and the Early Learning Guidelines. Regional ESD Coordinators, in collaboration with OSPI content-area leadership, convene the Fellows three to four times a year to engage in shared learning. Common to all four areas is a commitment to build content learning and instructional leadership, and a focus on equity. These fellows are instructional leaders who support district and community efforts to implement the Washington State K-12 Learning Standards in mathematics, English Language Arts (ELA), and science, and/or for the Early Learning Guidelines. One expectation of being a Fellow is to collaborate with your principal/district administrator/supervisor to create an action plan that will facilitate change throughout your school, district, or organization. Each Fellow's principal, district administrator, or supervisor is expected to collaborate closely with their Fellow in thoughtful planning of how the district, school, or organization will utilize the Fellow's leadership in support of standards implementation efforts and/or to improve students' learning over a three-year timeframe. This is just one example, but it highlights how educational service districts through this R16CC will leverage existing regional experts and their established relationships to provide systemic intensive services matched to regional needs through a nimble

personnel management system.

National Partners:

National R16CC's partners include organizations with experience and reputations to provide high-quality intensive capacity-building services to state education agencies (SEAs), tribal education agencies (TEAs), and regional educational agencies (REAs), and local education agencies (LEAs). Each partner has first-hand successful experience in supporting the implementation and scaling of evidence-based programs, practices, and interventions that directly benefit students from low-income and American Indian/Alaska Native families, and support comprehensive or targeted support and improvement activities to scale-up evidence-based programs, practices, and interventions that address the unique educational obstacles faced by rural populations. Our national partners who have abilities, skills, and knowledge for capacity-building in human, organizational, resource, and policy are:

- **Academic Development Institute, Inc. (ADI)**, national experts in educational leadership and decision making, particularly within coherent system, driven by teams, using methods of Strategic Performance Management (SPM) and proven strategies for systems of support. ADI's experience and success includes SEA and TEA sustainability and scalability using implementation science to promote the uptake of building personal competencies and organizational capacities so that people and organizations make productive changes in what they do and how they do it.
- **Center on Reinventing Public Education (CRPE)**, a research center based at the University of Washington Bothell with more than 25 years as the nation's leading source for transformative, evidence-based resources and ideas about public education. They regularly conduct and disseminate rigorous research and policy analysis to help educators, policymakers,

civic and community leaders, parents, and students themselves reimagine education systems and structures. They make sense of complex trends and data, communicate new possibilities for system change, and will provide guidance and thought leadership to support R16CC in shifts of thinking and implementation.

- **The Tribal Education Departments National Assembly (TEDNA)**, a non-profit membership organization for the Education Departments of American Indian and Alaska Native Tribes across the country. TEDNA administers a Native Youth Community Project to increase early college and career awareness among American Indian/Alaska Native students and the Sovereign Schools Project to increase the capacity of Tribes to conceptualize and operate schools that address the needs of their students and families. TEDNA regularly provides professional development and resources to support leaders and educators in meeting the needs of American Indian/Alaska Native students. TEDNA also collaborates with the Native American Rights Fund (NARF) to advance the implementation of Tribal education codes so that policies are aligned to the education needs of Native students and families.
- **Association of Educational Service Agencies (AESA)** is the National organization for Educational Service Agencies. They support over 500 regional educational service agencies in 45 states. AESA supports and strengthens regional educational service agencies by being a resource for professional development, research and publications, networking, technical assistance, business partnerships, and can serve as a link for regional technology efforts. By having this resource, the R16CC consortium has access and the experience of a nationwide network of ESAs across the country, as needed to maximize a coordinated and integrated approach that focus on statewide implementation of targeted initiatives.

Regional Partners:

Regional R16CC partners include 29 educational service agencies (ESAs) across the three states working hands-on with very diverse districts and schools. Each state has a well-established system of regional service providers that will be key partners in implementing to scale and sustaining the R16CC capacity building activities because of their expertise and relationships with LEAs, schools, and classrooms. Through this proposal, these R16CC partners will enhance coaching abilities, skills, and knowledge to provide school improvement supports and capacity building through the use of Strategic Performance Management[1], Implementation Science[2], evidence-based programs, practices, and interventions through universal, targeted, or intensive capacity building services to address the unique educational obstacles faced by the lowest performing schools with a focus on: Rural, Poverty, American Indian/Alaska Native, English Language Learner, and Early Learner.

Within 90 days of receiving funding for this award, R16CC will secure client and partner commitments to carry out the proposed State service plans. The R16CC looks forward to partnering with all other organizational choices based on client needs to provide professional development to educators and leaders through the varied chosen educational instructional and evaluation frameworks of our clients, including Marzano and Danielson. Equally exciting will the further deepening of partnerships with institutions of higher education across the region and nation who provide varied targeted and foundational subject matter expertise to our R16CC State client's and recipients. R16CC will also partner and secure a commitment to work with Regional Labs

[1] Strategic Performance Management (SPM) weds strategic planning with performance management in a living system that provides direction for people's work while allowing for innovation and course adjustment to produce better results more efficiently (Redding & Layland, 2015).

[2] Implementation science is a method of improvement that concentrates on how education changes are carried out to ensure that the implementation process accounts for local variables in schools and other relevant contextual factors in order to be successful in any setting. (McKay, 2017).

who have for many years worked with our SEAs across the region, to advance research and share learnings to increase client capacity. R16CC looks forward to transferring resources and products to maintain the continuity of services by migrating and populating products, resources, and relevant project information to the National Center's Comprehensive Center network website.

Our unique R16CC proposal will build human, organizational, policy, and resource capacities in Strategic Performance Management for SEAs and recipients to more intentionally and efficiently organize themselves and the systems they work with to better support schools in improvement. By using Implementation Science, R16CC will access the insights to changes that are required to promote the systematic uptake, sustainability and effectiveness of evidence-based programs and practices and from these high-quality intensive capacity-building services to identify, implement, and sustain effective evidence-based programs, practices, and interventions the system will accelerate improved educator and student outcomes.

R16CC will create a responsive and nimble system from national to local experts for school improvement success. It will synergize a network of established robust relationships that is already in place in each state and will accelerate the work/knowledge to be efficiently dispersed through that network. A KEY uniqueness to this consortium model of a Regional Comprehensive Center is that it will not be based on one or two large organizations who will come in to one area to provide services and then leave again. R16CC is embedded in the fabric of the educational systems of all three states in Region 16 and this proposal is not a fly in and fly out provision of services and support.

SIGNIFICANCE

Region 16 Comprehensive Center (R16CC) consortium partners reviewed state, regional, and local data that included: State current and upcoming strategic plans; Every Student Succeeds Act (ESSA) State Plans; US Department's finalized monitoring and audit findings; State demographics & report cards; Northwest Region report (2016) identifying needs; feedback from State, regional, and local education leaders; review of State consolidated service agreements with educational service agencies; school and district improvement needs assessments; and parents/student experiences. Essential to this review was the needs, concerns, and interests of varied stakeholders throughout the process who are fundamental to an informed assessment of needs. Information and data collected represents the voices of stakeholders throughout the system and the results of our synthesis revealed five common and guiding themes: Equity, Implementation Science, Evidence-Based, Cultural Proficiency, and Inclusivity.

Performance Planning Effectiveness

Priority #1: Strategic Performance Management	**Capacity Building:** Human and Organizational
High-Leverage Problem (Strategic Performance Management): SEAs need ongoing expert guidance to set their organizational direction, align that direction to performance measures, operationalize the direction with performance management, and restructure their agencies and acculturate their personnel to a new way of business to equitably address the needs of all.	
Intended recipient(s): R16CC SEAs and recipients to receive intensive services to tailor strategic performance management to each State's context and needs and assist SEA leadership, and ultimately all SEA staff to implement strategic performance management.	

ESSA has provided R16CC SEAs along with TEAs unparalleled opportunities to be innovative in policies and practices. The problem is that for SEAs and TEAs to take advantage of these opportunities depends on the transformation of SEAs to build organization capacities to become more strategic in planning, management of human and material resources, and organization structures and routines (Center on School Turnaround, 2017; Hildreth & Turnbull, 2018; Redding, McCauley, Ryan Jackson, & Dunn, 2018).

Alaska's Education Challenge Report (2018) by the Department of Education & Early Development shared that "*Alaska, in many ways, is still a frontier. We have opportunities that no other state in our country can claim. Our uniqueness is a strength, as it has been for many generations. This is not just true with resource development, natural beauty, and culture, but also with the opportunity to transform our education system into a relevant, high-achieving and family-friendly network of schools*" (p. 3).

Washington State's Superintendent Chris Reykdal, from the Office of Superintendent of Public Instruction shared in his K-12 Education Vision and McCleary Framework (2017) that "*We are in a highly competitive global economy and that means gleaning the best practices from around the world in our redesign. Success looks like a longer school day, a longer school year, substantially better compensation for our educators and support staff, and a completely new approach to developing globally successful students. We do all of this with the added responsibility of closing learning gaps at a faster rate for low-income students, English Language learners, students of color, and students with special needs. Our system redesign can only claim success if it truly provides equal opportunity and an unprecedented embrace of individual learning pathways for each student*" (p. 2).

Oregon Educator Advancement Council (2019) recently announced a Regional Educator Network starting in the Fall of 2019 and "*This is a new approach and an exciting opportunity to build on what we know works for teacher leadership but in a way that recognizes the needs of our students vary from region to region, which means how we support and provide continuous education to our teachers must also be flexible, adaptive and responsive to those needs*" (p. 1).

Success in scaling up and sustainability of these new opportunities and initiatives requires shifts in operational philosophy (greater internal responsibility by all personnel to design and be accountable for work aimed at agency-wide goals and strategies), an enhanced knowledge base (e.g., evidence-based instructional practices), and human and organizational capacities. Internal capacity needs (primarily organizational and human) that are common across SEAs, and R16CC consortium partners is the need for each to have ongoing reviews and focus on: Renewed and well-articulated statements of organizational direction aligned to performance measures; An internal organizational culture of continuous improvement to respond nimbly to changing needs and higher demands; and organizational structures that complement the work functions of the agency and facilitate productive collaboration across divisions, departments, and units.

Solution: Strategic Performance Management (SPM) is a capacity-building process for SEAs to more intentionally and efficiently organize themselves to better support LEAs and schools in improving student outcomes. A convening by Westat in December of 2018 of the six SEAs and their respective Regional Centers that had been implementing SPM confirmed observations of challenges and impacts of SPM. An external evaluation of SPM in 2019 found that participating SEAs made improvements in integration and efficiency of agency operations. "Helping staff work purposefully and collaboratively toward a set of agency goals is seen as a valuable contribution to state agency capacity" (Hildreth & Turnbull, 2018, p. 1).

Strategic performance management can address R16CC's capacity needs. Key personnel designated for this project have published three implementation guides (Redding & Layland, 2015, 2017; Layland & Redding 2017) for a SEA and/or LEA to implement strategic performance management (SPM) and have provided intensive technical assistance to six SEAs (or similar agencies), from 2015 to today, documenting the challenges (e.g., significant shift in mindset and work practices for personnel) SEAs confront when tackling major, systematic implementation of performance management aligned to new strategic directions (vision, mission, goals, strategies, milestones, actions, and performance measures). To compliment this work, the Tribal Education Departments National Assembly (TEDNA) has been supporting Tribal Education Agencies and Departments in this work and will be further supported through the R16CC consortium.

Implementation Science

Priority #2: Implementation Science	**Capacity Building** Resource and Organizational Policy
High Leverage Problem (Implementation Science): SEA strategic plans all include a vision, mission, and priority to improve student and school outcomes within a fiscally restrained system. R16CC SEA strategic plans reveal the desire and priority for each of the State leaders to deepen their work to improve outcomes for students. Implementation science will address the gap between interventions that research has shown to be effective and their delivery to communities and translation into practice, particularly in low-income rural communities.	
Intended recipient(s): R16CC SEAs and recipients to receive intensive services for implementation science in each State's context and needs and assist SEA leadership, and with school improvement personnel in LEAs and schools identified for improvement.	

Research has found policymakers realize that many school improvement initiatives to address State plan priorities with evidence-based practices fail to be implemented with fidelity, and subsequently fail to produce positive and sustained outcomes beyond the duration of the initiative. Careful study of the way educational programs and initiatives are implemented and scaled up has generally been neglected, and the behaviors and beliefs of practitioners, contextual variables, and implementation fidelity have not been included in most studies of program effectiveness (Nordstrum, LeMahieu, & Berrena, 2017). Research shows that these variables exert powerful influences on program outcomes (Aarons, Green, & Miller, 2012), and some researchers argue that program developers and researchers should share in the accountability for the quality of program implementation (Meyers, Durlak, & Wandersman, 2012). Implementation science is a "product both of the increasing realization that the characteristics and dynamics of implementation matter greatly for program effectiveness, and of the sobering realization that most efforts overlook these aspects of programs" (Nordstrum, et al., 2017, p.65).

Implementation science does not focus specifically on the effectiveness of an intervention itself, as this would be expected to have been assessed prior to implementation (McKay, 2017). Rather, it considers the problems that "are associated with organizations' capacities to implement programs, barriers to effective implementation, and the failure of program transfer (results cannot be replicated in other contexts)" (Nordstrum, et al., 2017, p. 65). Implementation science would address the gap between interventions that research has shown to be effective and their delivery and translation into practice, particularly in low-income rural communities. As shown in the following Table 1, R16CC SEA strategic plans could be well served in closing that gap between intervention and application challenging the work to improve outcomes for students and educators.

Table 1: Comparison of R16CC State of Strategic Plans

State	Vision	Mission	Priorities
Alaska	The Alaska Department of Education & Early Development is committed to develop, maintain and continuously improve a comprehensive, quality system to provide resources, data and world class support services that inspire quality learning for all.	An excellent education for every student every day.	All students read at grade level by the end of 3rd grade Increase career, technical, and culturally relevant education to meet student and workforce needs Close the achievement gap by ensuring equitable access to educational rigor and resources Prepare, attract, and retain effective education professionals Improve the safety & well-being of students through school partnerships with families, communities, and tribes
Washington	All students prepared for post-secondary pathways, careers, and civic engagement.	Transform K-12 education to a system that is centered on closing opportunity gaps and is characterized by high expectations for all students and educators. We achieve this by developing equity-based policies and supports that empower educators, families, and communities.	Increase basic education funding. Improve academic achievement and close opportunity gaps. Increase pathways to graduation Improve our statewide assessment system.
Oregon	Every student will have access to and benefit from a world-class, well-rounded, and equitable educational system.	The Oregon Department of Education fosters equity and excellence for every learner through collaboration with educators, partners, and communities.	Graduating our students college and career ready Closing the Achievement Gap Teacher and administrator effectiveness Increasing performance for all schools and districts A strong, seamless education system from early childhood through higher education

Solution: Implementation science is defined as "a method of improvement that concentrates on how education changes are carried out to ensure that the implementation process accounts for local variables in schools and other relevant contextual factors in order to be successful in any setting" (McKay, 2017, p. 1). Our R16CC partner, Center for Reinventing Public Education (CRPE) has found that some SEAs have been able to leverage relatively limited resources for intervention to greater effect by relying on a differentiated, district-led support system (Jochim & Murphy, 2013).

R16CC consortium and national and regional partners will form a collaborative network of service agencies, combining and sharing assets of all 29 ESD's staff, to work with state clients and recipients using six phases of implementation for all evidence-based practices:

1. conduct needs assessments,
2. develop logic models,
3. select evidence-based practices,
4. plan for the implementation of evidence-based practices,
5. implement evidence-based practices, and
6. evaluate the implementation of evidence-based practices.

Considerations of scale and sustainability of State and recipients' interventions or innovations will be ongoing and begin at the outset of implementation rather than after program activities have already been conducted (Nordstrum, et al., 2017). Implementation science "has a number of built-in mechanisms that help identify where there is a good fit between the context and program, as well as an amenability to scaling up and working with local practitioners throughout the steps of implementation to facilitate transferring a program to multiple contexts" (Nordstrum, et al., 2017, p. 69). R16CC will deliberately construct plans from day one for the ultimate shift of

program activities from the implementation team and/or external experts to local practitioners (Coburn, 2003; DeWire, McKithen, & Carey, 2017; Greenberg, et al., 2015).This includes using multiple methods to establish community buy-in and participation in order to cultivate strong ownership of program initiatives by districts and schools that lead to sustained implementation of effective practices (DeWire, et al., 2017). Implementation Science with Strategic Performance Management (SPM) provides SEAs, LEAs and schools the processes and supports needed to have the direction, infrastructure, functions and implementation routines to effective implement and sustained evidence-based practices to improve student outcomes.

Equity and School Performance

Priority #3: Equity and School Performance	**Capacity Building:** Human. Resource, and Organizational
High-Leverage Problem (Equity and School Performance): Closing the equity gaps will require SEAs to intentionally construct accountability systems and support services consistent with a sound framework for rapid school improvement and targeted to districts and schools where low performance and achievement gaps are most pronounced. This cannot be done with a "systems-only approach", nor can it be done with a "school-level intervention" approach alone. It must be done in combination with an "equity lens" for equitable resources and supports.	
Intended recipient(s): R16CC Intensive capacity-building services for the school improvement personnel in SEAs, TEAs, ESDs, LEAs, and schools identified for improvement.	

Region 16 Comprehensive Center (R16CC) consortium partners recognize that there are increasing demands on SEAs to improve student outcomes, often in the face of shrinking financial resources. As shown in the following Table 2 below, Every Student Succeeds Act (ESSA)

priorities highlight that persistent achievement gaps exist for American Indians/Alaskan Natives, racial subgroups, English learners, and students with disabilities, all aggravated by an overlay of poverty and geographic remoteness, and the modest expectations in many cases for closing those gaps. These are not unrelated problems. In fact, inequity is both a cause and consequence of poor school performance, and SEAs are challenged to provide the resources, supports, expectations, and guidance for all their schools to perform at high levels and all students and their families to have access to the schools, programs, and classrooms most appropriate to their needs and interests (Center on School Turnaround, 2017; Redding, McCauley, Ryan Jackson, & Dunn, 2018).

Table 2: R16CC State Every Student Succeeds Act (ESSA) Priorities

State	Priorities and State data (with equity focus)
Oregon	Seek partnerships with community-based groups and Tribes (with equity focus). Adhere to state policies of tribal education
	To reach graduation goals, certain students need to make greater annual gains: ELLs, students with disabilities, Native American students
	To reach ELA and Math achievement goals, certain students will need to make greater gains per year: Special Education, ELLs, and Black students
Alaska	Inspire community and tribal ownership of educational excellence
	Reduce achievement gaps: To reach the goal of reducing by half the percentage of non-proficient students, the State Board of Education has set higher interim growth goals for certain subgroups. The highest annual increments are needed for ELLs, and Alaska Native Students
Washington	Closing subgroup gaps in proficiency within 10 years. Greater gains needed by: Special Education students, American Indian, and Pacific islander respectively by 2028
	Close achievement gap so 90% of all student subgroups graduate in 4 years Greater annual progress needed by: ELLs, American Indian, & Pacific Islander respectively. by 2028
	77% of ELLs make progress in English annually. Six-year goal for students to achieve English proficiency.

SEAs are required to ensure that LEAs conduct resource equity reviews with at least Comprehensive Support and Improvement (CSI) and additional Targeted Support and Improvement (TSI) schools. For LEAs with a significant number of these schools, the SEA must

conduct a review. These requirements present an opportunity for SEAs to further provide guidance or establish requirements that steer LEAs into meaningful reviews that lead to school-level improvements. However, closing these educational equity gaps will require R16CC SEAs to intentionally construct accountability systems and support services consistent with a sound framework for school improvement and targeted to districts and schools where low performance and achievement gaps are most pronounced.

Table 3: R16CC State Every Student Succeeds Act (ESSA) Priority to Improve Education

Priorities	Oregon	Alaska	Washington
Improve Education	• Students enter school ready to learn • Deliver a well-rounded education with a focus on the whole child & community • Educational attainment/ achievement: • By 2020: 40% receive bachelor's, 40% receive associate's or certificate, 20% simply earn high school diploma • By 2024/25: 80% of students be in level 3 or 4 on statewide assessments in ELA and math • Strengthen district systems • Increase capacity of districts and school leaders • Improvement for schools identified as failing	• Ensure excellent educators • Promote safety and well-being • Create new science standards • Amplify student learning: • Reduce by half the percentage of non-proficient students on the statewide assessments in English language arts (ELA) and mathematics in 10 years (by the 2026-2027 school year) • 90% four-year adjusted cohort graduation rate for all students by 2026-2027 • Improvement for schools identified as failing	• LEAs take greater responsibility for improvement • All student groups- even those already performing at or near the state goal (90%)- are expected to show continuous improvement by 2028 • 90% graduation rate by 2028 • Improvement for schools identified as failing.

<u>Solution</u>: A major step in addressing the problems of inequity and inadequate school improvement was taken when the Center on School Turnaround (CST) provided two publications putting forth Four Domains for Rapid School Improvement in 2017 and 2018 (Center on School Turnaround, 2017; Redding, McCauley, Ryan Jackson, & Dunn, 2018), consolidating evidence

and experience on substantial school improvement with practical indicators for states, districts, and schools. Sam Redding, then Associate Director of CST and one of the key R16CC expert partners, was co-author of one of these publications and was lead author on the other. In fact, many SEAs have either officially or just adopted the Four Domains as a framework for school improvement and outline for identifying context-appropriate, evidence-based strategies and practices.

To assist states, tribes, districts, and schools in leading or managing these efforts for school improvement the *Four Domains for Rapid School Improvement: A Systems Framework* identifies four areas of focus that research and experience point to as central to rapid and significant improvement: turnaround leadership, talent development, instructional transformation, and culture shift (Center on School Turnaround, 2017; Redding, McCauley, Ryan Jackson, & Dunn, 2018).

For each of these domains, the roles of the state, the district, and the school are briefly outlined, providing examples of their reciprocal roles in successful school improvement efforts and within each domain, the framework also identifies three critical practices for to be taken for action. The intent was to organize and frame the field's learning about rapid school improvement efforts and how improvement decisions made at any one level could have a lasting impact across all levels of a system comprising the state education agency (SEA), the local education agency (LEA), and the individual school.

One of R16CC's national partners, ADI, has initiated three major streams of work with SEAs that flow from the CST focus on the Four Domains, taking the research to practice: (1) ADI has assisted eight states in integrating the Four Domains into their systems of support (see Layland & Redding, 2017; Layland & Corbett, 2017; Layland, in press) and, at the request of USDOE, developed a school improvement initiative for Puerto Rico; (2) ADI, focusing on the Instructional

Transformation and Leadership domains developed a Transformation Academy (see Redding, 2019), piloted in Illinois, and now providing intensive training through the state education agencies for principals and lead teachers in all CSI schools in Alabama and Mississippi, both states with pockets of considerable poverty and low school performance revealing gaps; and (3) ADI, focusing on the Culture Shift domain (See Redding & Corbett, 2018), developed and provides support for a major school culture initiative in Puerto Rico, created in the aftermath of devastating hurricanes and in a system with significant poverty and gaps in achievement. The support is provided to Puerto Rico Department of Education, managed through the regional offices, and implemented by school teams that include the principal, teachers, and parents.

ADI staff will collaborate with the R16CC to: (1) form a network of our States and their districts identified for improvement to advance the integration of the evidence base in the Four Domains framework into systems of support, with an equity lens, and improve the performance of schools, especially those where achievement gaps are particularly evident; and (2) provide deep and intensive capacity-building services for each State, tailored to that State's context, and engage districts to build equitable and evidence-based instructional practices and school cultures. R16CC and ESA staff will work alongside SEA leadership to strengthen instruction and culture in schools through a Train-the-Trainer approach using an "evidence lens" to check the adoption of State goals, strategies, and milestones against evidence of what is likely to succeed in the given context.

With the support of skilled teams who focus on implementation, districts can expect 80% successful use of effective practices in about three years (Chamberlain, Brown, & Saldana, 2011; Fixsen et al., 2001). Without the support of skilled teams who focus on implementation districts might achieve 14% successful use of effective practices after 17 years (Balas & Boren, 2000; Green, 2008).

In addition, another R16CC national partner, the Center on Reinventing Public Education (CRPE) has experience leading diverse organizations exploring and addressing problems. CRPE believes that leadership is important in transforming teachers' instructional practice and students' learning to enhance school improvement. They also have a focus of their work that includes scaling up support for teacher inquiry circles, which are focused on understanding and strategically using student-level data to inform instructional practices in an on-going way. R16CC SEA and school improvement teams will work in a Train-the-Trainer approach with CRPE, ADI, and TEDNA to build capacity.

Cultural Proficiency

Priority #4: Cultural Proficiency	**Capacity Building:** Human, Resource, and Policy
High Leverage Problem (Cultural Proficiency): Regionally we have a diverse population of students, staff, and rural communities. Diverse groups of students cannot be taught well and expected to achieve if educators do not understand and respond to the dynamics of culture in their school environment.	
Intended recipient(s): Intensive capacity-building services for SEA, TEA LEAs, and R16CC coaches leading instruction, curriculum, and student support services and schools they serve along with collaborating and partnering with the Office of Special Education Programs funded technical assistance centers including the National Center on Systemic Improvement and the National Center on Intensive Intervention to address needs related to all students, including students with disabilities to address challenges.	

A system or schools' culture is the "underground stream of values, beliefs, traditions, and rituals," built up over time, that influence daily behavior and actions of everyone at the school and set the context for student learning (Peterson & Deal, 1998). LEAs and schools in poverty face resource and capacity challenges stemming from poverty. Schools in poverty tend to have a greater share of inexperienced teachers, who are not as effective, and have higher rates of turnover at the teacher and leadership level. These constraints make it difficult to offer quality curricular options, programs after school, or instructional choice. In any educational system, a positive environment of respect and trust is key to enabling the teamwork needed to solve problems and meet challenges. At a persistently low-achieving school, defeat and pessimism have likely become entrenched. Immediate concerted action to shift to a positive culture is crucial to fostering the community cohesion needed for student learning and academic improvement.

Student-centered instruction is a pedagogical approach frequently used by low-income schools to encourage higher performance from students. In a study of schools comprised predominately of low-income students throughout California, researchers found that the student-centered teaching approach was more suited to meet the needs of students from impoverished homes with regards to the development of important skills, a strong foundation in essential knowledge, and increased college preparedness. (Friedlaender, et.al., 2014).

Student-centered classrooms create a context within which rich, engaging curriculum is offered to all students in a manner that personalizes education and supports students' individual needs (Friedlaender, et.al., 2014). This model of instruction is particularly beneficial to students from low income families, for many of whom the traditional "drill-and-kill" approach does not work. According to our R16CC national partner the Center for Reinventing Public Education (CRPE), core principles of student-centered learning include:

1. personalized instruction,
2. authentic instruction,
3. mastery-based assessment,
4. learning that reaches beyond the school walls, and
5. learning models that could change the school schedule (Miller, et.al., 2012).

Solution: Cultural Proficiency is about educating all students to high levels through knowing, valuing, and using as assets their cultural backgrounds, languages, and learning styles within the context of teaching (Lindsey & Lindsey, 2019). Research has established the importance of cultural proficiency in improving students' academic and behavioral outcomes (Byrd, 2016). A central tenet of Cultural Proficiency holds that change is an inside-out process in which a person is, first and foremost, a student of her/his own assumptions. Initially, educators must have the capability to recognize their own assumptions in order to retain those that facilitate culturally proficient actions and to change those assumptions that impede such actions. Similarly, educators as a community apply this inside-out process to examine school policies and practices that either impede or facilitate culturally proficient practices. This ability to examine one's self and organization is fundamental to interdependent thinking needed when addressing achievement gap issues. Cultural Proficiency is about being effective thinkers and educators in cross-cultural situations (Lindey & Lindsey, 2019).

Through a Train the Trainer approach, R16CC staff will work alongside SEA leadership to tailor the process to each State and provide Cultural Proficiency instruction and culture in schools. Intensive capacity-building services will be provided for SEA personnel who lead instruction, curriculum, and student support services and the districts and schools they serve. R16CC will collaborate and partner with the Office of Special Education Programs funded

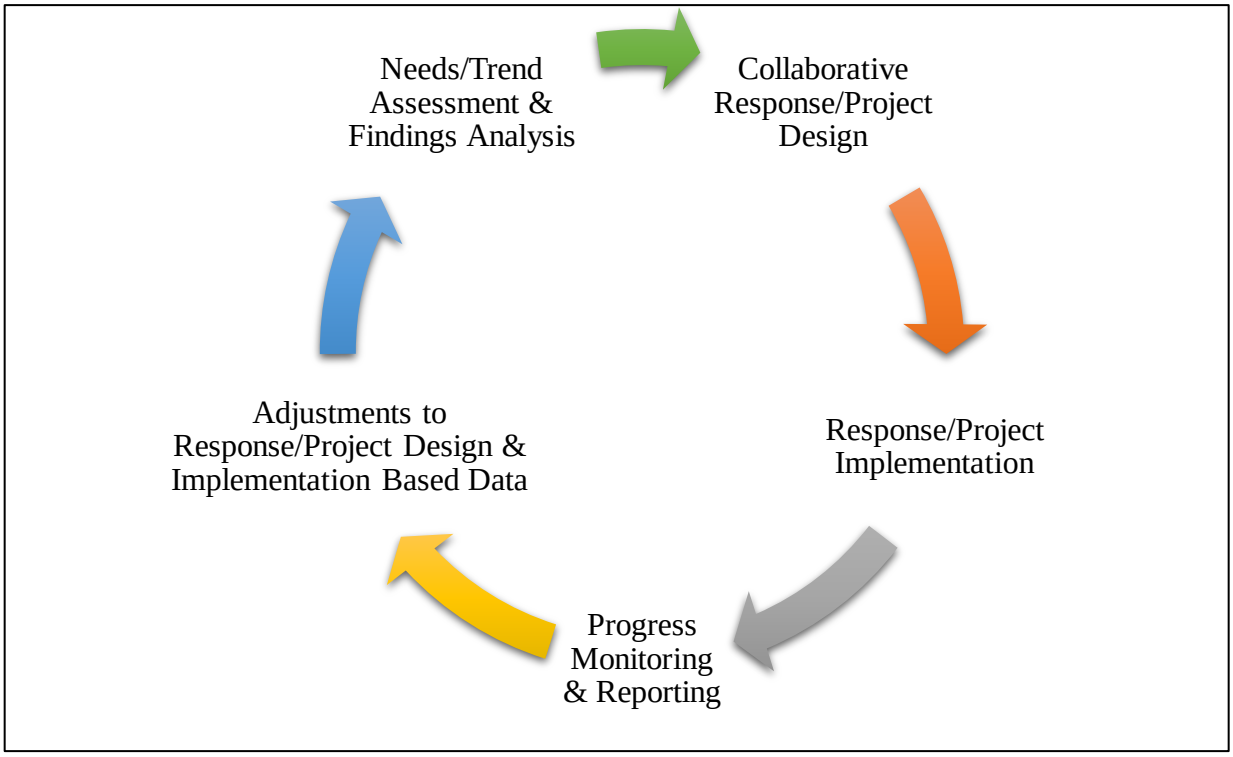
technical assistance centers, including the National Center on Systemic Improvement and the National Center on Intensive Intervention, to ensure trainings address needs related to all students, including students who experience disabilities. As with strategic performance management, the application of activities will be through an "evidence lens" to check the adoption of State goals, strategies, and milestones against evidence of what is likely to succeed in the given context.

In summary, our R16CC consortium of educational service associations (ESAs) and national partners will use our understanding of research and professional experience of strategic performance management, implementation science, equity and school performance, and cultural proficiency to inform our capacity-building services that promote self-sufficiency and sustainability of State-led school improvement activities. For decades our agencies, partners and staff have worked in concert with SEAs and recipients to identify needs and to implement State service plans in consultation with each State's Chief State School Officers (CSSO) and their administrative teams that include: high-leverage problems to be addressed, needs assessment, capacity-building services to be delivered, personnel responsible, provide technical assistance partners, milestones, measures, outputs, and outcomes. For each of our State associations it has always been one of our top activities to serve and support our state with the resources available to maximize success of State service plans.

Responsive Project Design and Implementation System

While the projects discussed above address the needs as determined through reviewed state, regional, and local data and discussions with Chief State School Officers and stakeholders, other needs, as well as findings by the U.S. Department of Education, will arise over the course of the grant period. The Responsive Project Design and Implementation System offers an approach to continuously assess needs, the current landscape and data (including findings), to rapidly respond and build client capacity to address issues as they arise in a timely, effective manner. Figure 1 represents the Responsive Cycle.

Figure 1: Region16 CC Responsive Cycle



Communication is the foundation of the Response Cycle process. The R16 Comprehensive Center (R16CC) will establish and maintain channels of communication with the region's SEAs, REAs, and LEAs to actively engage with the emerging needs of the region, focusing on timely identification of needs that may be addressed with the R16CC's intensive services. The channels

and frequency will include monthly calls with clients and partners, consultation, quarterly reports, semi-annual virtual or face-to-face progress meetings, and coordinating calls and meetings with clients, technical assistance providers, the National Center and any other center or organization critical to the success of the SEA, REA or LEA. Continuous reciprocal communication is key to understanding context, building common language and reaching clarity regarding what is needed, what is the context, challenges and barriers, and what is and is not working. Communication strategically occurs through the Responsive Project Design and Implementation System. Steps include:

Assess

The first step is receiving notification or request for support or services which may include addressing findings. Center staff facilitate discussions between Center staff, the client(s), partners and other relevant technical assistance center staff to dig deeper into the request or need to determine the underlying actionable causes of the issue, need or finding. The complexity and priority levels as well as the readiness and the level of needed change to address the issue or finding will be discussed, analyzed and identified. Tools to be used and explored by SEA teams include those embedded in the Strategic Performance Management (SPM) (Redding & Layland, 2015, 2017); Layland & Redding 2017 materials as well as additional tools like that of the State Implementation and Scale-up of Evidence-based Practices SISEP Assessment tool by the National Implementation Research Network at the University of North Carolina at Chapel Hill (NIRN-SISEP, 2019). (See Appendix H).

Design

Once identified or validated, the R16CC team will apply a design approach to create a project with tools and services that best fit the need and client context. Processes, outputs,

benchmarks or milestones, outcomes and measures for progress and results are included in the project design. The design addresses one or more capacities (human, organizational, resource, policy), and includes multiple delivery modes, (e.g., consulting, training, coaching, product and tool development), and multiple levels of engagement by through varied modes or channels. Key in the design phase is the identification and deep understanding of evidence-based practices that will be applied to address the needs. Theories of Action for each evidence-based practiced will be developed jointly with the client which leads to clear expectations of what is to be done, what the anticipated direct and indirect impact of the work, how we will know if progress is being made (implementation data), and if we are successful in meeting the identified outcomes (results data).

Implementation

Next is the implementation phase of the project where identified supports are provided for effective implementation, progress is recorded at least monthly, reported and analyzed, and adjustments are identified to address barriers and challenges to implementation. Implementation Science is applied to determine the fit, develop the readiness, set the conditions, address any gaps in implementation levers, and set roles, responsibilities and expectations for successful and sustained implementation with fidelity. Project management methodology is applied to manage coordination, resources and tasks, and ensure the right people are in the right positions/places to accomplish the work. As shared by Fixsen, et.al., (2015) "Implementation Drivers are the key components of capacity and the functional infrastructure supports that enable a program's success. The three categories of Implementation Drivers are Competency, Organization, and Leadership" (p.3). Tools are available that will be used to assess the best practices of implementing drivers and these tools will inform the State and recipients of capacity building the who, what, and how to understand the fidelity of implementation and outcomes (Fixsen, et.al., 2015).

Monitor and Adjust

Project management methodology is applied to manage coordination, resources and tasks, and ensure the right people are in the right positions/places to accomplish the work. A process for routine progress monitoring and reporting occurs. Informed decision-making on what, when and how adjustments are made to keep on track for completion within the set timelines will focus on frequent review of data by leadership. The routines engage staff, clients and partners from multiple levels of the system so data are collectively owned and problem-solving is meaningful and relevant.

Evaluation

The project or solution is evaluated to determine if the work was carried out as planned and the outcomes were reached. In addition, the Center documents, disseminates the process, project and results; and uses the learnings in the Cycle of Learning so others may learn and apply the solution in their contexts when needed. By having this process and project defined, the Center guides the technical assistance process to readily address future needs as they occur.

Responsive to Learners

Application of Adult learning best practices has been referred to as the "cornerstone" of Professional Development (PD), so PD providers must understand the concept of andragogy, or the art and science of helping adults learn (Knowles,1984). A major adult learning principle is that the acquisition of new knowledge and skills must relate to teachers' prior learning and experience (Zepeda, 2013). These experiences must be used as resources for new learning within PD programs (Darling-Hammond, et al., 2017). Adult learning theories suggest that adult learners possess the experience and knowledge that allow them to be self-directed, autonomous learners

who seek practical learning experiences that are both relevant and that meet their goals for learning (Dalellew & Martinez, 1988; Knowles, 1990; Simpson, 1980).

Furthermore, adults become more reflective as they age, taking stock of their lives and careers and making more informed decisions about future steps (Trotter, 2006). Any PD program in turn should include reflection and inquiry components to foster adult learning and development (Darling-Hammond, et al, 2017). Cognitive developmental theories (e.g., Perry, 1970) posit that intellectual/cognitive development progresses from the concrete to the abstract, with adults moving towards more advanced stages, in which they operate from internal rather than externally generated standards (Trotter, 2006). Trotter (2006) describes this process in teachers and the need for PD that is well-suited to the learner's needs:

> *Veteran teachers were more likely than beginning and mid-career teachers to have a commitment to self-affirmation rather than to externally generated successes. They had survived changes and reforms and still remained in teaching, perhaps because of the intrinsic satisfaction, despite the negativism of standards and proficiency mandates. Programs of professional development should realize the differing needs of targeted audiences to make the development more meaningful and transferable to the classroom. (p. 10)*

PD should be developmentally appropriate and differentiated to address the needs and characteristics specific to educators within a particular instructional context (Zepeda, 2013). PD must further demonstrate that adult experience is respected and valued. PD that incorporates a deficit perspective that holds that the teacher must be "fixed" will be unlikely to result in teacher growth (Dalellew & Martinez, 1988); instead it should be situated within the school as a proactive process in which teachers take ownership of their professional growth (Zepeda, 2013). Adult

motivation is also critical to learning, and adult learners are motivated by success, volition, perceived value, and gratification (Knowles, et al., 2005). The effects of PD depend heavily on teachers' motivation to learn and change their practice, and recent research has demonstrated lower effect sizes for mandated as opposed to voluntary PD participation (Kennedy, 2016).

Adult learning theory posits that adults should "choose their learning opportunities based on interest and their own classroom experiences/needs" (Darling-Hammond, et al., 2017, p. 7). Motivation to learn also relates to Maslow's (1954) hierarchy of needs, which can parallel teachers' career stages; as teachers gain competence at lower levels of development, they lay the foundation for working towards higher growth and learning levels (Zepeda, 2013). Motivation and career stage theories "support the assumption that teachers who focus on survival as they learn the day-to-day tasks of teaching cannot be expected to fulfill their potential for intellectual achievement, aesthetic appreciation, and self-actualization" (Zepeda, 2013, p. 58).

Also important are the social aspects of adult learning. While adults can and do learn autonomously, learning in the company of other educators is a more powerful PD model that supports the adult learner (Bransford, Brown, & Cockring, 1999; Zepeda, 2013). Highly interactive programs include coaching, peer coaching, lesson study, and action research; these practices are often embedded within the workday to support teachers as they learn about their own practice and that of their colleagues (Zepeda, 2013). Collective participation in PD through professional learning communities (PLCs) is considered to be consistent with the social aspects of adult learning (e.g., Desimone, Garet, Birman, Porter, & Yoon, 2003; Yoon, Duncan, Lee, Scarloss, & Spapley, 2007).

Coaching and other types of follow-up support are consistent with social aspects of adult learning and are essential to both facilitate transfer of new learning to the classroom setting, and

ultimately to sustain changes to practice (DeSimone & Pak, 2017; Kraft, Blazar, & Hogan, 2018; Zepeda, 2013). Coaching has been defined in multiple and sometimes conflicting ways, from a form of support to ensure that new strategies are implemented with fidelity in the classroom, to responsive coaching in which coaches ask teachers to reflect on their practice (Galluchi, Van Lare, Yoon, & Boatright, 2010). Coaching is "intended to be individualized, time-intensive, sustained over the course of a semester or year, context specific, and focused on discrete skills" (Kraft, et al., 2018, p. 548). A recent meta-analysis of studies that examined coaching as part of PD programs using causal research designs found large effect sizes (.49) on instruction and moderately large impacts on student achievement (.18) (Kraft, et al., 2018).

In contextualizing their findings, Kraft and colleagues explain that most of their studies of coaching that were highly effective involved teachers *voluntarily* participating in coaching programs rather than being *required* to participate (e.g., Lockwood, McCombs, & Marsh, 2010). Mandating PD may not be consistent with adult learning principles, such as the need for ownership of professional growth. Kennedy's (2016) review of PD also found coaching programs that included coaches collaborating with teachers on lesson planning and serving as models for strategic planning to be more effective than those in which the coach observed and evaluated teachers based on a rubric. Evidence suggests that teachers must perceive coaching feedback constructively, rather than as an attempt to document shortcomings (Kraft & Gilmour, 2016), and school cultures with strong relational trust among administrators and staff will likely provide contexts in which coaching flourishes (Bryk & Schneider, 2002; Kraft & Papay, 2014).

Research evidence also suggests that providing principal PD activities such as coaching holds promise for improving principal practice and reducing teacher attrition (Lochmiller, 2013; Jacob, Goddard, Kim, Miller, & Goddard, 2015). Principal coaching is frequently included within

principal induction programs, offer non-evaluative and confidential support, and can help school leaders better understand their work and succeed in their roles (Lochmiller, 2013; Jacob, Goddard, Kim, Miller, & Goddard, 2015).

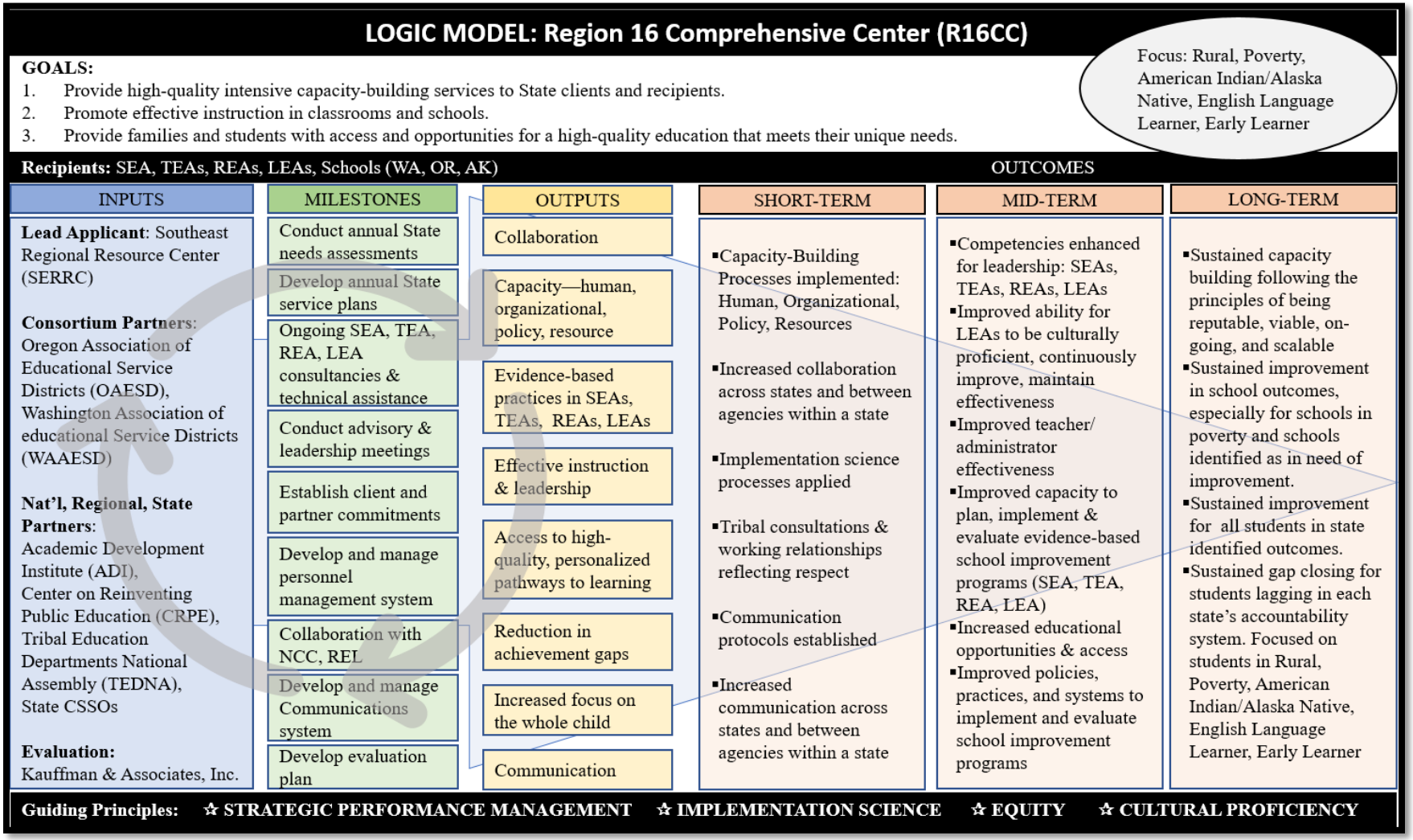
A randomized study of leadership coaching of urban principals in a large district found that coaching significantly enhanced principals' capacity to communicate with teachers about instructional practice and enabled their ability to enact instructional leadership behaviors (Bickman, Goldring, DeAndrade, Breda, & Goff, 2012). Other coaching models, while lacking causal research support, include components demonstrated to be effective within a logic model (Herman, et al., 2017). For example, Lee (2010) found that district coaching that included principal-coach participation in professional development as well as individual leadership coaching helped both novice and experienced principals to become more learner-centered. The Wallace Foundation (2007, 2008) identified five components of effective coaching/mentoring programs: (a) formal selection criteria for mentors, (b) formal training, (c) purposeful and strategic assignment of mentees, (d) mentor compensation through financial means or professional growth opportunities, and (e) program design that develops the growth of both mentor/mentee.

Logic Model

Our R16CC Logic Model (Figure 2) is aligned with the FY 2019 CC Logic Model and communicates how the project will bring together partners to achieve the expected outcomes (short-term, mid-term, and long-term). Inputs, Milestones, and Outputs will assure success that begin with the annual state need assessments and planning, consultancy and technical assistance, which then achieve outputs that include collaboration, human, organizational, policy, and resource capacity, use of evidence-based practices, access to high quality personalized learning, and effective instruction and leadership for focused populations.

R16CC Short-term outcomes will include implemented capacity-building and implementation science processes, and tribal working relationships reflected respect, communications across, in, and between states. Mid-term outcomes will achieve competencies in enhanced leadership to be culturally proficient, improved teacher and administrator effectiveness, capacity to plan, implement, and evaluate evidence-based activities, products, and programs, along with increased opportunities, access, and quality of educational programming. Long-term outcomes will be sustained capacity building that is reputable, viable, on-going, and scalable, but also that there is sustained school improvement and student achievement most notably in Rural, Poverty, American Indian/Alaska Native, English Language Learner, and Early Learners.

Figure 2. Logic Model: Region 16 Comprehensive Center



QUALITY OF THE PROJECT DESIGN

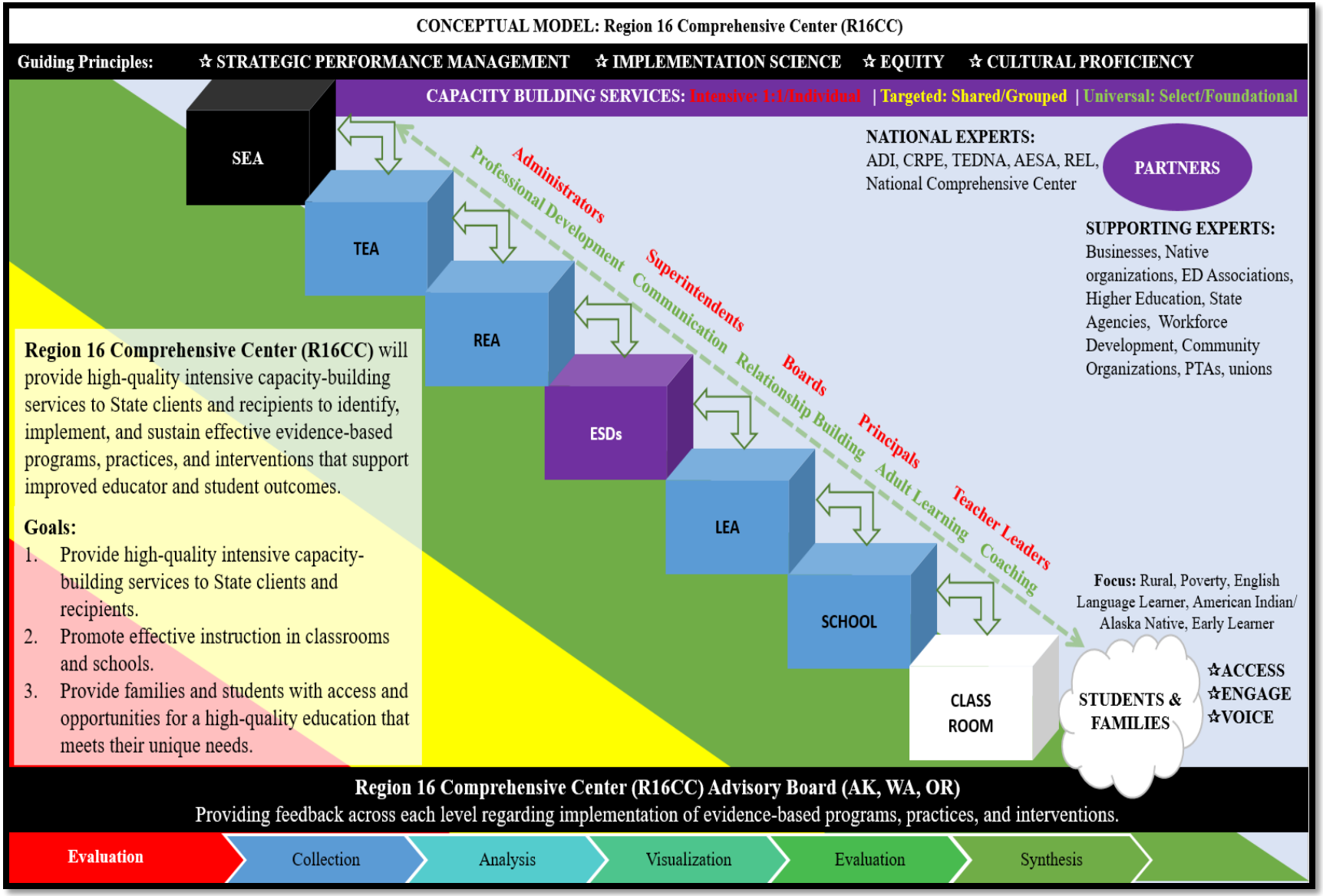
Our Region 16 Comprehensive Center (R16CC) Conceptual Framework underlying our activities is provided in Figure 3 below. Our Logic Model provides one look at the relationship of our project, but our Conceptual Model provides more understanding regarding the Quality of the Project Design.

At the top are the R16CC guiding principles derived from the initial assessment of individuals states' and regional needs and are identified priorities to the capacity building in human, organizational, policy, and resources. National and supporting partners will provide capacity building services in guiding principles to SEAs, TEAs, REAs, and ESAs. Through this Train-the-Trainer approach, ESAs will then use existing relationships to further our guiding principles with LEAs, schools, and classrooms. SEA to classrooms are the building blocks for the capacity-building through professional development, communication, relationship building, adult learning, and coaching that will cross the system to students and families that access, engage, and have voice in the system, especially from the focused populations.

R16CC's Advisory Board members will convene annually to support the goals and objectives of the Center by providing advice and counsel concerning the activities and strategies for monitoring and addressing the educational needs in AK, WA, and OR. The Advisory Board shall also help to maintain a high standard of quality in the performance of R16CC's activities and advise on how best to carry out the center's duties in a manner that promotes progress toward improving student academic achievement.

R16CC will convene a rotating annual conference between the states to disseminate learnings and showcase activities. Regional and state conferences will be an essential part of the dissemination of information and reaching educators in schools in improvement.

Figure 3. Conceptual Model: Region 16 Comprehensive Center



Absolute Priority 1: Regional Centers

Region 16 Comprehensive Center (R16CC) is a consortium of three state level Educational Service Agencies (ESAs) in Washington, Oregon, and Alaska. The Host and Lead Applicant is SERRC who from 2005 to 2012 directed the Alaska Comprehensive Center. This R16CC consortium will include 29 individual area Education Service Districts, and many are already providing supports and working shoulder to shoulder with the teachers and leaders of the 1,201 (Retner, Tanner, & Braun, 2019) identified comprehensive and targeted support and improvement schools in the region. By providing high-quality intensive capacity-building services to State clients and recipients to identify, implement, and sustain effective evidence-based programs, practices, and interventions, our Comprehensive Center model will improve educator and student outcomes.

To achieve the three goals below, national partners ADI and CRPE will facilitate developing the capacity of SEAs. SEAs will then use a Train-the-Trainer model to facilitate developing the capacity of ESDs and TEAs, who will in turn work with school leaders identified by the SEAs. Throughout this process, ADI and CRPE will work with SEAs as they take on oversight responsibilities for the "Train-the-Trainer" approach. As outlined below, capacity building will be developed across four priority areas: (1) strategic performance management (2) implementation science (3) school transformation and (4) cultural proficiency.

Goal 1-
To provide high-quality intensive capacity-building services to state clients and recipients

Objectives
1.1- Improve capacity of state clients & recipients to use evidence-based practices in performance management 1.2- Improve capacity of state clients & recipients to analyze, design, and implement policy 1.3- Accelerate technical assistance and capacity building services delivered to clients & recipients

Strategic Performance Management (SPM)
- Meeting with SEA leadership and recipients to describe the SPM process and design the implementation plan for the State - Training and consultation guidance for **9, 2-day sessions** with SEAs, including the CSSO, ESAs, and recipients (This is customized based on the SEA context and needs) - Online SPM management tool for SEA and recipients to plan and track implementation of actions leading to milestones - Virtual meeting with SEA project leaders and recipients each month to discuss progress and solve problems

Evidence Base: Strategic Performance Management (SPM) is a capacity-building process for SEAs to more intentionally and efficiently organize themselves to better support LEAs and schools. A convening by Westat in December of 2018 of the six SEAs and their respective Regional Centers that had been implementing SPM confirmed observations of challenges and impacts of SPM. An external evaluation of SPM in 2019 found that participating SEAs made improvements in the integration and efficiency of agency operations: "Helping staff work purposefully and collaboratively toward a set of agency goals is seen as a valuable contribution to state agency capacity" (Hildreth and Turnbull, 2018).

Activities	Performance
• Meeting with State leadership to design implementation plan (Q1 Y1); finalized plan. • Administer SPM self-assessment to track progress (annually, beginning prior to training to establish baseline). • Conduct 9 monthly training and consultation sessions with SEA to implement SPM (Year 1- Q2, Q3, Q4, Q4 and Year 2-Q1). • Provide coaching for SEA divisions and work units through quarterly on-sites and monthly targeted virtual meetings to tailor coaching to needs or division or work unit. (Year 2, Q1 and thereafter).	• All SEAs in region will commit to participation in this project • 75% of schools participating in the training will demonstrate evidence in tracking tool of completion of 75% of actions assigned in trainings • Each and all State teams will participate in monthly meetings to report progress with system of support plan implementation • SEA will achieve an integration of SPM concepts and methods with their LEA/school accountability and improvement systems • All participating SEAs will document ways equity considerations have been integrated into their systems of support

Activities	Performance
• Conduct monthly virtual meeting with the SEA project team (All quarters in two years of initial implementation).	• All states, districts, and schools will provide data necessary to populate the equity and performance database

Process: R16CC will use Strategic Performance Management (SPM) for setting the direction, operationalizing the direction, designing actionable work, and implementing a performance and innovation cycle. During year one, ADI will provide Strategic Performance Management (SPM) capacity building to SEAs. During year two, ADI and SEAs will work together to train ESDs and TEAs. During years three, four and five, ESDs and TEAs will train school leaders, with ADI continuing to work closely with SEAs.

During the Train-the-Trainer approach in years three, four and five, R16CC will focus on the lowest performing schools identified by the states. During year three R16CC, in partnership with SEAs, will select 10 leaders in each state from schools in need of improvement. During year four, those school leaders will train other school leaders at their region's ESD site. By year five, we anticipate that 50 leaders in each state will have received year-long, intensive training in strategic management. SEAs, ESDs, and TEAs will be able to continue this process to reach all schools in need of improvement. Evaluators will create pre and post assessments and ADI has tools and resources for data collection.

Goal 1 (Continued) To provide high-quality intensive capacity-building services to state clients and recipients
Objectives
1.4- Collaborate with the National Comprehensive Center and the Regional Education Laboratory to disseminate evidence-based practices 1.5- Increase communication across state clients, recipients, partners, and National Comprehensive Center

Implementation Science for Improvements
- Meet SEA leadership and recipients to describe Strategic Performance Management process and design

Implementation Science for Improvements
- Training and consultation guidance for **3, 2-day sessions** with SEAs, including the CSSO, ESAs, and recipients – Based on the SEA context and needs - Pre-implementation assessments (e.g., needs or resources), make well-informed decisions about adapting interventions/innovations to the host setting by working with practitioners to decide what will be modified and how, and plan capacity building strategies. - Creation of implementation structures. Establishment of an implementation team and implementation plan that will guide their work. - Sustaining the structure during implementation. This phase occurs in parallel to implementation and involves support providers assisting those on the front line by addressing feedback and ensuring smooth and effective implementation. Process evaluations can be used to monitor ongoing implementation, and feedback mechanisms provide information intended to guide, support and inform adaptation rather than serve as accountability tools. - Improving future applications of the program. This phase combines feedback data from all stakeholders and analyzes program successes and areas that must be improved to achieve sustained and quality implementation. - Virtual meeting with SEA project leaders and recipients each month to discuss progress and solve problems

Evidence Base: Implementation Science is the scientific study of variables and conditions that impact changes at human, organizational, resource, and policy at systems levels (Fixsen, 2015). Implementation science, "has a number of built-in mechanisms that help identify where there is a good fit between the context and program, as well as an amenability to scaling up and working with local practitioners throughout the steps of implementation to facilitate transferring a program to multiple contexts" (Nordstrum, et al., 2017, p. 69). In addition, to build the capacity for self-sufficiency and sustainability, support providers deliberately construct plans from day one for the ultimate shift of program activities from the implementation team and/or external experts to local practitioners (Coburn, 2003; DeWire, McKithen, & Carey, 2017; Greenberg, et al., 2015). This includes using multiple methods to establish community buy-in and participation in order to cultivate strong ownership of program initiatives by districts and schools that lead to sustained implementation of effective practices (DeWire, et al., 2017).

Activities	Performance
• Conduct monthly virtual meeting with the SEA project team (All quarters in two years of initial implementation). • Annual report on degree of implementation, change in self-assessment of capacity. • Annually published practice guides highlighting successful implementation of school improvement initiatives sponsored by the SEA for districts and schools in improvement that impact equity and performance • Create and disseminate at least one practice brief each year based on SPM learnings and highlighting the effect of state policies on organizational capacity (by end of Q3 each year).	• Tracking of implementation of system of support plans will show evidence of 80% of planned actions completed and 70% of milestones met • Teams from all SEAs and ESAs will attend the annual convening and develop or revise plans and operational procedures for their systems of support, with analysis of equity factors • 75% of participating states will demonstrate a year-to-year improvement on measures of equity and school performance for at least 75% of their Rapid Improvement schools • 85% of participating states will demonstrate a year-to-year improvement on measures of equity and school performance for at least 85% of their Rapid Improvement schools

Process: During year one, school transformation capacity building will be provided by ADI to SEAs. Topics will include diagnosing and responding to student learning needs, providing rigorous evidence-based instruction, and building a culture focused on student learning and effort. During year two, SEAs, in collaboration with ADI, will train ESDs and TEAs. In years three, four, and five, ESDs and TEAs will train school leaders, while national partners continue to support SEAs in oversight and management.

During the Train-the-Trainer approach in years three, four and five, R16CC will focus on the schools in improvement using the R16CC focus. These schools may or may not also receive strategic performance management training and implementation science training. During year three R16CC, in partnership with SEAs, will select 10 school leaders in each state. During year four, those school leaders will train other school leaders at their region's ESD site. By year five, we anticipate that 50 leaders in each state will have received year-long, intensive training in strategic management. SEAs, ESAs, and TEAs will be able to continue this process to reach all

schools in need of improvement. Evaluators will create pre and post assessments, and ADI has tools and resources for data collection and course feedback. All the collected information will be used for continuous improvement and further training of R16CC coaches.

Competitive Preference Priority 2:

Promoting Effective Instruction in Classrooms and Schools

Goal 2- Promote effective instruction in classrooms and schools.
Objectives
2.1- Accelerate evidence-based instruction and practices in classrooms & schools 2.2- Accelerate effectiveness of all schoolteachers and leaders 2.3- Increase access of disadvantaged students to effective school leaders 2.4- Increase access of disadvantaged students to effective schoolteachers

Equity & School Performance
- Strengthening Equitable State Systems of Support - Annual convening of State teams (school improvement and equity leadership) from the SEAs and recipients to develop, improve, and implement systems of support for district and school improvement - Monthly virtual meetings with State teams and recipients - Engaging SEAs and R16CC coaches to Strengthen Instruction and Culture in Schools - Training and consultation guidance for **2, 4-day sessions** to Train-the-Trainers of SEA and R16CC ESA coaches to implement the Transformation Academy (TA) and Culture Shift Institute (CSI) in schools - Focusing on Equity and Performance - Establish a database to annually record and report equity, climate, and school performance measures for Comprehensive and Targeted Schools in Improvement in each state - Develop practice guides highlighting successful implementation of school improvement initiatives sponsored by the SEA for R16CC coaches and schools in improvement that impact equity and performance.

Evidence Base: School improvement must focus heavily on building the collective capacity of school leaders and teachers to improve instruction and student learning so that every student has access to a highly effective teacher and an opportunity to learn. Through the precise use of student data, frequent and highly embedded leadership and instructional coaching, and an emphasis on collaborative peer support and accountability, school leaders and teachers will be able

to improve instruction and learning and ensure equity while positively affecting the school climate and working conditions. (Doherty & Abernathy, 1998)

The proposed design of our professional development is supported by research on educator professional learning. Teachers and students acquire deeper knowledge when they can apply it in a practical, relevant setting (Daggett, 2005). Research on professional development shows that educators need long-term support to improve their practices. Coaching following professional learning can be one method for providing that support (Joyce & Showers, 2002; Kretlow & Bartholomew, 2010). Joyce and Showers's (1982) seminal research found that professional development reinforced by ongoing coaching led to 80–90% of implementation of new practices. Implementation science indicates that coaching is an important aspect of implementation of newly learned strategies (Fixsen, Naoom, Blase, Friedman, & Wallace, 2005).

Activities	Performance
• Convene SEA teams to devise systems of support to include operational procedures and equity considerations (by end of Q2 Yr1) • Create protocols, agenda format and reporting format (including online progress tracking tool) for training of SEA and district personnel to conduct Instructional Transformation Academy and Culture Shift Institute (by end of Q3 Y1) • Conduct Trainer-the-Trainers training of SEA, ESAs, conduct Instructional Rapid Improvement and Culture Shift Institute (by end of Q4 Y1) • SEA and districts, with support from their ESAs, conduct Instructional Transformation Academy and/or Culture Shift Institute for **first cohort of schools** (by end of Q2, Y2) • Record and report on changes in equity and performance of Rapid School Improvement schools implementing systems of support	• SEA teams will demonstrate operational knowledge of Equity at 95% level as determined by systems of support knowledge • 90% of school and district personnel participating in training will demonstrate significant gain in knowledge of research and practice on evidence-based instruction on pre- and post- knowledge assessment • Teams for all SEAs and representatives from ESAs and their districts in improvement will complete a **4-day training** to implement the Rapid Improvement and the Culture Shift Institute • 90% of attendees at training will demonstrate significant gain in knowledge of research and practice on instruction and school culture on a pre- and post- knowledge assessment • Each state will implement Rapid School Improvement Academy and/or the Culture Shift Institute in schools in improvement

Activities	Performance
for school improvement (Q4 Yr2, Yr3, Yr4 and Yr5). Yr2 establishes baseline. • Create and disseminate at least one policy brief each year documenting SEA policy changes that facilitate state systems of support with equity consideration (by end of Q4 each year) • Evaluate SEA implementation of systems of support with equity consideration and including Instructional Transformation Academy and Culture Shift Institute • at the SEA level (by end of Q1 Yr2) • at the LEA level (by end of Q1 Yr4) • at the school level (by end of Q1 Yr5)	• Each state will provide the Academy and/or Culture Shift Initiative each subsequent year, increasing the districts and schools participating each year • Tracking of implementation of state plans will show evidence of 80% of planned actions completed and 70% of milestones met • Create a database of relevant equity, climate, and school performance data to annually record and report on changes in performance of schools implementing systems of support for school improvement (Q1 Y1)

Process: During year one, school transformation capacity building will be provided by ADI to SEAs. Topics will include diagnosing and responding to student learning needs, providing rigorous evidence-based instruction, and building a culture focused on student learning and effort. During year two, SEAs, in collaboration with ADI, will train ESDs and TEAs. In years three, four, and five, ESAs and TEAs will train school leaders, while national partners continue to support SEAs in oversight and management.

During the Train-the-Trainer approach in years three, four and five, R16CC will focus on the schools that have significant achievement gaps. During year three R16CC, in partnership with SEAs, will select 10 school leaders in each state. During year four, those school leaders will train other school leaders at their region's ESA site. By year five, we anticipate that 50 leaders in each state will have received year-long, intensive training in strategic management. SEAs, ESAs, and TEAs will be able to continue this process to reach all schools in need of improvement. Evaluators will create pre and post assessments, and ADI has tools and resources for data collection and course feedback. All the collected information will be used for continuous improvement and further training of R16CC coaches.

Competitive Preference Priority 3: **Empowering Families and Individuals Educational Opportunities That Meet Their Unique Needs**

Goal 3. Provide families and students with access and opportunities for a high-quality education that meets their unique needs.
Objectives
3.1- Increase the adoption of evidence-based activities, strategies, and interventions for learning within and outside of schools 3.2- Increase high-quality implementation of evidence-based activities, strategies, and interventions for learning 3.3- Increase opportunities for equitable access to evidence-based activities, strategies, and interventions for learning 4.4- Promote an approach to learning that meets individual student and family needs

Cultural Proficiency

- Focusing the State's Efforts
  o Annual convening of State and recipient teams (instruction, curriculum, student supports) from the SEAs to develop plans for focused and aligned services to districts and states that address, through instruction, students' capabilities and needs, especially as they impact learning and well-being
  o Monthly virtual meetings with State and recipient teams
- Engaging SEAs and Districts to Culture and Personalization through Instruction
  o Train-the-Trainers of SEA and R16CC coaches to implement Cultural and Personalization to build educator and students' personal and social capabilities through instruction
  o Document school and classroom-level integration of strategies in instruction
- Measuring Difficult to Measure Capabilities
  o Establish measures to gauge cultural, personal, and social capabilities that impact learning and well-being
  o Create a database to annually record and report measures for each state, as compiled from districts and schools participating in Learning Academy
  o Develop practice guides highlighting successful implementation of the Learning Academy sponsored by the SEA for districts and schools.
- Understanding Teacher and student in the classroom
  o First-tier engagement of the student's family
  o 4, 1-day sessions Introduction
  o 2, 1-day booster sessions for alumni

Evidence Base: Effective family and community engagement is a cornerstone of a positive environment (Christenson & Sheridan, 2001; Henderson & Berla, 1994). Processes that ensure

student access and opportunity include public sharing of student achievement results on benchmark and formative assessments, peer observations of classroom instructional practices, and effective implementation of multi-tiered systems of support. Schools and districts must work actively to build and maintain trusting relationships that enable equity for all students and develop opportunities to engage family and community in supporting student success. Research has also established the importance of cultural proficiency in improving students' academic and behavioral outcomes (Nuri-Robins, Lindsey, Lindsey & Terrell, 2012). In other words, a system or schools' culture is the "underground stream of values, beliefs, traditions, and rituals," built up over time, that influence daily behavior and actions of everyone at the school and set the context for student learning (Peterson & Deal, 1998). In any system or school, a positive environment of respect and trust is key to enabling the teamwork needed to solve problems and meet challenges. At a persistently low-achieving school, defeat and pessimism have likely become entrenched. Immediate concerted action to shift to a positive culture is crucial to fostering the community cohesion needed for student learning and academic improvement. as it is essential.

SERRC staff Gerry Briscoe and Martha Gould-Lehe, both Senior Associates with the Center on Culturally Proficient Educational Practice will provide SEA, TEA, REA, and R16CC school improvement and content coaches a Train-the-Trainer model on the "Tools of Cultural Proficiency". They will also facilitate processes on how to apply the tools to personal practice and to examine schools' and districts' policies and practices. Most important is to prepare and support school and district trainers for Culturally Proficient Practices to develop professional capital for sustaining growth throughout a district, schools, state, and region and develop a network of trainers and a community of practice dedicated to access and equity and access for all students.

ADI's Sam Redding employs a Learning Academy that includes "enhanced lesson design" as a vehicle for embedding cultural and personalization strategies into existing and newly developed lesson plans. The purpose of Enhanced Lesson Design is to intentionally infuse into a high-quality lesson plan one or more strategies to enhance students' personal competencies (Twyman & Redding, 2018). The lesson design always includes defining and aligning the lesson. Educators learn to first create strong lessons and then enhance them with personalization strategies. This approach allows for incremental infusion of personalization into every classroom, every day, for every student (Twyman & Redding, 2018).

Activities	Performance
• Convene SEA teams to align state-specific definitions and resources for evidence-based and develop implementation plans to include operational procedures (by end of Q2 Yr1) • Create protocols, agenda, & conduct Train-the-Trainers training of SEA and district personnel to conduct evidence-based training for schools (by end of Q3 Y1) • SEA and districts conduct high quality evidence-based activities for first cohort of schools (by end of Q2, Y2) • Record and report on changes in measures of personal and social capabilities in participating schools (Q4 Yr2, Yr3, Yr4 and Yr5). Yr2 establishes baseline. • Provide coaching for SEA divisions and work units through quarterly on-sites and monthly targeted virtual meetings to tailor coaching to needs or division or work unit. (Year 2, Q1 and thereafter). • SEA and districts conduct high quality evidence-based activities for second cohort of schools (by end of Q3, Y2) • Create a database of measures of student personal and social capabilities relevant to the school's definitions and plans to annually record and report on changes in participating schools (Q1 Y1)	• Create protocols, agenda format and reporting format (including online progress tracking tool) for first convening of State teams (by end of Q1 Y1) • 90% of school, district, and ESA personnel participating in training will demonstrate significant gain in knowledge of research and practice regarding evidenced based on pre- and post-training assessments • All participating SEAs, ESA, and districts will document ways evidence-based materials and activities have been integrated into ongoing supports for districts and schools • All participating SEAs will document ways the instructional transformation and culture shift practice, aligned to equity considerations, are evident in the practices of their School Improvement schools and the way they are documenting impact • Each and all State teams will participate in monthly virtual meetings to report progress in implementing its plan to take personalization to scale • Convene SEA teams to document ways personalization strategies are evident in the practices of the participating schools and their means for documenting.

Activities	Performance
• Create and disseminate at least one policy brief each year documenting SEA policy changes and implementation practices that facilitate the scaling of personalization strategies to build students' personal and social capabilities (by end of Q4 each year)	• 75% of participating schools will demonstrate a year-to-year improvement on measures of personal and social capability • Teams from all SEAs will attend the annual convening and each develop or revise plans and operational procedures for assisting districts and schools to build students' personal and social capabilities through instruction

Process: During year one, cultural proficiency capacity building will be provided by SERRC, CRPE, and TEDNA. Topics will include diagnosing and responding to student-centered learning needs, providing rigorous evidence-based instruction, and building a culture focused on student learning and effort. During year two, SEAs, in collaboration with SERRC and CRPE, will train ESDs and TEAs. In years three, four, and five, ESAs and TEAs will train school leaders, while national partners continue to support SEAs in oversight and management.

During the Train-the-Trainer approach in years three, four and five, R16CC will focus on the schools that have significant achievement gaps. During year three R16CC, in partnership with SEAs, will select 10 school leaders in each state. During year four, those school leaders will train other school leaders at their region's ESA site. By year five, we anticipate that 50 leaders in each state will have received year-long, intensive training in strategic management. SEAs, ESAs, and TEAs will be able to continue this process to reach all schools in need of improvement.

Below is a table outlining the scope of delivery of activities related to our milestones. The milestone activities are: establishing the needs of the 3 states, developing the state plans, providing technical assistance, establishing the Advisory Board, developing partner commitments, developing the personnel management system, collaboration with the National Content Center and

the Regional Education Lab, establishing and maintaining our communication system, and finally, implementing a continuous improvement evaluation model.

Table 2: Project Activities

	2019-20		2020-21		2021-22		2022-23		2023-24	
	Year 1		Year 2		Year 3		Year 4		Year 5	
Milestones	Fall	Spr	Fall	Spr	Fall	Spr	Fall	Spr	Fall	Spr
Kickoff	X									
Advertising hiring Positions	X	X								
Implementation										
SEA Needs Assessments	X		X		X		X		X	
SEA Planning and Action		X		X		X		X		X
SEA Training	X		X		X		X		X	
Capacity Building Training ESD/TEAs			X		X		X		X	
Capacity Building Coaching	X	X	X	X	X	X	X	X	X	X
Technical Assistance	X	X	X	X	X	X	X	X	X	X
Implementation Corrections		X		X		X		X		X
On-Going Activities										
Monthly SEA & Directors Meetings	X	X	X	X	X	X	X	X	X	X
Monthly Coaching Sessions	X	X	X	X	X	X	X	X	X	X
Monthly Partner Meetings	X	X	X	X	X	X	X	X	X	X
Weekly Director Field Checks	X	X	X	X	X	X	X	X	X	X
Evaluator Meeting Check-ins	X	X	X	X	X	X	X	X	X	X
Dissemination										
Conference & Dissemination Planning	X		X		X		X		X	
Advisory Board Meetings		X		X		X		X		X
Regional Monthly Meetings	X	X	X	X	X	X	X	X	X	X
National Center Meetings	X	X	X	X	X	X	X	X	X	X

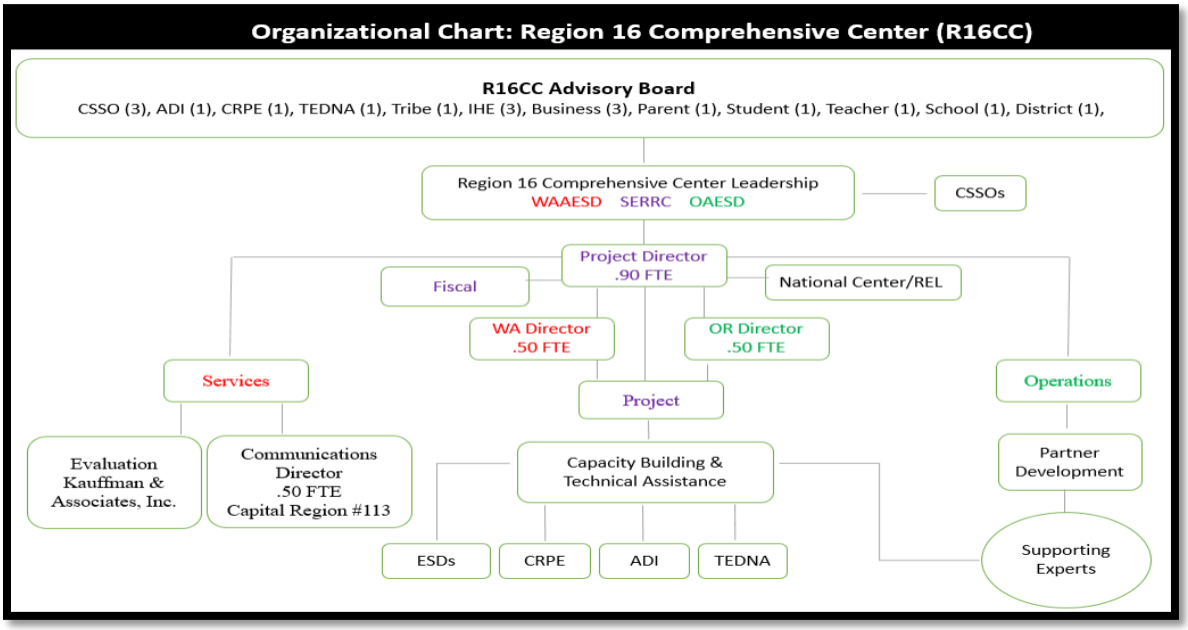
QUALITY PROJECT PERSONNEL

The principal leadership for the Region 16 Comprehensive Center has the experience needed to appropriately guide the comprehensive center while also providing for representation across all three states in Region 16. Confirmed national partners bring research acumen and expertise, while regional partners ground the work in the needs and assets of each locale. Across all three states, improving educational outcomes of American Indian and Alaska Native students has been identified as a priority-- our leadership includes American Indian persons. TEDNA is one the center's national partners and our external evaluation team is female and Native lead.

Comprehensive Center staff are committed to encouraging employment from persons who are members of groups that have been traditionally underrepresented in terms of race, color, national origin, gender, age, and ability. Each of our three state R16CC consortium ESAs which make up our top leadership, is an equal opportunity employer that does not discriminate in employment, supervision or program assignments on the basis of race, religion, color, national origin, age, sex, disability, marital status, pregnancy, parenthood, veteran's status, or political affiliation. Each R16CC consortium partner seeks and encourages applications for employment from persons who are members of groups that have traditionally been underrepresented.

To ensure that diverse perspectives are represented in conducting the project, the following criteria will be used when selecting contractors: (1) the mission of the contractor organization has a specific equity focus. (2) the contractor has proven experience working with under-resourced and under-served students and families, including persons living in poverty; persons living in rural areas; persons whose first language is not English; and persons who are members of groups that have traditionally been underrepresented based on race, color, ability, and gender identification.

Figure 4: R16CC Organizational Chart



Lead Applicant: SERRC

SERRC, Alaska's Educational Resource Center, will direct R16CC and in shared leadership with the Washington Association of Educational Service Districts (AESD) and the Oregon Association of Education Service Districts (OAESD) who will be closely connected with SEA CSSOs to support annual needs assessment and planning. The R16CC Leadership, and partners, are representative of a diverse team in terms of location, experience, and race/ethnicity. Our unique structure ensures that our leadership provides the experience needed to guide the comprehensive center while also providing for representation across all three states in Region 16.

SERRC, authorized by Alaska State Statute 14.12 in 1976, is grant and contract funded. In 1981 SERRC incorporated as a non-profit, and by 1983 began services to both rural and urban districts statewide. Twenty-one of the state's 53 superintendents serve as the Board of Directors. Executive Director, Sheryl Weinberg, manages and leads the agency.

SERRC has the experience and infrastructure to manage large federal grants. Since 1988, SERRC has been awarded and successfully managed over $30 million in federal grants mostly focused on parent engagement, school improvement, out-of-school activities, data gathering, technology, and professional development. The agency has a reputation for working collaboratively to realize improved educational outcomes. For example: (1) SERRC implemented the USED-funded Alaska Parent Information and Resource Center (AKPIRC) from 2006-2012 fostering partnerships among parents, educators, agencies; (2) the Alaska Comprehensive Center, USED grant-funded, helped Alaska's lowest-performing schools raise student achievement; (3) SERRC's ENCORE Program (Enhancing Native Children Outcomes through Reading Experiences) received a three-year USED grant for $1.6 M to build family and child literacy; (4) multiple grants totaling close to $1 M have funded The Learning Connection, which provides education and workforce support for students not completing high school; (5) Transition Camps, funded by $850,000 of Title VI-B grants provide employability skills training for students with disabilities; (6) ARCTIC (Alaska Reform in the Classroom through Technology Integration & Collaboration) was a five-year $5 M partnership funded by a USED Technology Innovation Grant; and (7) ANEP-funded ANSWER Camps have provided culturally-based, academic residential summer experiences for 2,000 Alaska Native middle-school students. SERRC also operates a TechOps Department providing tech training and support through at-distance tools; and initiated Alaska Learning Networks, Individualized Technology Learning Plans for teachers statewide. SERRC is fiscally responsible and high performing as demonstrated through its leadership and validated through annual audits.

As noted above, SERRC as the host and lead has eight years of experience leading a comprehensive center. From 2005 to 2012 SERRC successfully led the Alaska Comprehensive

Center. Staff facilitated the development of a statewide system of support for low performing schools and districts in Alaska.

SERRC has experience leading work with an equity focus. Staff were instrumental in review of Alaska's Cultural Standards for Educators, first publish in the '90s. Subsequent to the review, staff developed and published Culture in the Classroom, a resource that includes indicators and evidences upon which teachers can be evaluated for culturally-responsive instruction (see Appendix G).

Sheryl Weinberg – SERRC Executive Director (in-kind): Sheryl Weinberg serves as SERRC's Executive Director, providing management direction to all the agency's state and federal contracts. She has over 43 years of experience managing education services, developing and evaluating programs, and training educators. Sheryl is a member of the Alaska Depart of Education and Early Development Commissioner's Leadership Council. She has provided leadership for the national Association of Education Service Agencies as a member of the Executive Council. Weinberg developed the Alaska State Plan, Part B for the Individuals with Disabilities Education Act. She served multiple terms as president of the Alaska Council for Exceptional Children. She has master and bachelor's degrees in elementary and special education, K-8 certification, and Alaska Type B administrative certification. More information about Sheryl is available in Appendix D: Resumes.

Gerry Briscoe—R16CC Project Director (.90 FTE): Mr. Briscoe currently serves as Director of Professional Learning of SERRC. He is also the Director of PASSAGES, an Alaska Native Education Program (ANEP) grant, whose purpose is to facilitate professional learning that provides teachers with knowledge and skill for planning culturally responsive classrooms and instructional pedagogy. Mr. Briscoe recently served as the Director of Project CREATE, another

ANEP grant, and guided the development and creation of Culture in the Classroom (Gould-Lehe, et.al., 2015), a document for teacher evaluation consisting of indicators and evidences for Alaska's Cultural Standards for Educators that assess and measure teacher effectiveness.

For one year, Mr. Briscoe served as Interim Director for the Alaska Comprehensive Center (ACC). Prior to his appointment as Interim Director, he served in ACC as a school/district improvement specialist, providing technical assistance to AKDEED in their efforts to support districts in need of school improvement. He trained audit teams to go into schools and districts in order to identify strengths and weaknesses in those districts. He planned the delivery of six distance delivered events for SEA staff in 9 different states regarding the creation of effective Statewide Systems of Support. He provided external assistance to four School Improvement Grantees in Alaska's Bering Strait School District. He was the Alaska liaison to the National Comprehensive Center on Innovation and Improvement and the National Comprehensive Center on Teacher Quality. During this time, he also served as a Shepherd for Indistar with the Center on Innovations in Learning from Temple University for the states of Oregon and Alaska. He provided technical assistance, support, and guidance around continuous improvement using Indistar in those two states. Gerry has direct experience in Regional Comprehensive Center work relating to school improvement in curriculum alignment, evidence-based instructional practices, data analysis, formative and summative assessments, developing school and district improvement plans; effective leadership practices, creating supportive learning environments, and highly effective professional learning.

Mr. Briscoe is also a Senior Associate with the Center for Culturally Proficient Educational Practice, a collaborative partnership among the Southern California Professional Development Federation, California State University San Marcos, and center co-founders. He started his career

in Colorado, where he spent 30 years teaching and leading in Title I schools with high incidence rates of both at-risk children and a significant ELL population. Mr. Briscoe holds a Master's degree in remedial reading and received administrative certification from Western Washington University and the University of Denver. (Appendix D: Resumes)

Washington AESD and Oregon AESD Co-Directors: WA: Dr. Todd Johnson (.5 FTE), OR: TBH (.5 FTE)

The Washington AESD and Oregon AESD will act as co-directors in the R16CC, each at 0.5 FTE. Both positions will support SERRC in the provision of technical assistance and capacity building, particularly in their own state. In addition, the Washington co-director will facilitate the management of communications and the relationship with the evaluator, while the Oregon co-director will facilitate the management of partner development and contract management.

Todd Johnson—R16CC Co-Director, WA (.5 FTE)-- Dr. Todd Johnson is Director of the Center for Research and Data Analysis at Capital Region Educational Services District #113. In his role he supports educational staff in implementing promising, evidence, and scientifically based research into local, regional, and statewide practices. Todd also serves on the state-level network of educational service districts supporting school improvement efforts by conducting monitoring and evaluation of compiled data and facilitating groups to enhance data informed decision capacities. Todd is proficient in the use of statistical software and interpreting results from data using quantitative and qualitative methods and developing evaluation reports. Dr. Johnson received his doctoral degree from Auburn University in Educational Psychology with a specialization in Research, Evaluation, and Measurement. His master's degree is from the University of Northern Colorado in Rehabilitation Counseling with an emphasis in Vocational Evaluation and a bachelor's degree is from Western Oregon University in Psychology with a

minor in Sociology. Currently he is an Adjunct faculty to Saint Martin's University teaching graduate coursework in research design and methods and served as an Assistant Professor in Educational Psychology at Washington State University in Pullman, Washington where he taught graduate level courses in theoretical foundations of learning and instruction, educational statistics, educational measurement, assessment of learning, program evaluation, and coordinated the elementary education classroom assessment program. (Appendix D for resume)

Lead Regional Partner: Washington AESD

The Washington AESD has been in existence for 50 years as a collaboration between the state's nine ESDs and the Washington Department of Education, called the Office of the Superintendent of Instruction (OSPI). The ESD system in the state links local public and private schools with one another and with state and national resources. ESDs play a crucial role in addressing the challenges in our public schools. Geographically closer to local schools and their district offices, the ESDs serve as regional liaisons between the State Superintendent of Public Instruction (OSPI), State Board of Education, and the Legislature. (see Appendix G: Lead Partners)

Gene Sharratt– Washington ESD Executive Director (in-kind): Mr. Sharratt is currently the Executive Director for the OSPI/AESD (Association of Educational Service Districts) Network. The Network encompasses the professional learning for all nine ESDs and OSPI staff in the content areas of mathematics, science, English Language Arts, and Early Learning. In addition, the Network coordinates with OSPI leadership on special education, migrant and bilingual education, Native American, ESSA, teacher evaluation, climate science, computer science, and school leadership training. There are currently over 1,000 teacher Fellows who deliver content training in classroom, schools and districts throughout Washington. AESD's program evaluation is facilitated by Kauffman & Associates and continues to demonstrate a strong association between improvements

in teacher learning with that of improvements in student attainment. As executive director of the OSPI/AESD Network, Gene chairs Governor Inslee's Climate Science and statewide STEM Education Innovation Alliance. Finally, I am on the College Promise Coalition Executive Team and a member of the Career Connect Washington leadership coalition. (see Appendix D: resumes)

Lead Regional Partner: Oregon AESD

The Oregon AESD is a consortium of Oregon's nineteen education service districts. The mission of Oregon's ESDs is to assist school districts and the Oregon Department of Education in achieving the goal of providing equitable, quality education. The Oregon AESD currently operates the ESD P-20 Support Network, which was established in 2017 to coordinate and assist in the implementation of various regional and state-level initiatives and issues affecting ESDs and their local districts. The network's primary activities are providing support for the stateside implementation of targeted initiatives and building capacity within each ESD. (see Appendix G: Lead Partners)

Gary Peterson—Oregon AESD Executive Director (in-kind): Mr. Peterson has served as the Executive Director of the Oregon Association of Education Service Districts (OAESD) since 2016. As Executive Director, Gary is responsible for coordinating the operations, activities and functions of OAESD including the work of the Governance, Superintendent and Officer Councils, and the Program Cabinet. He serves as a liaison to partner organizations ODE, COSA, and OSBA as well as the Association of Educational Service Agencies (AESA). In his role as Executive Director of OAESD, Gary is responsible for the coordination and collaborative activities of all Oregon's ESDs including the Oregon ESD P-20 Support Network. Gary is responsible for the preparation and administration of the Association's annual budget, and the planning and organization of the OAESD conferences and workshops as well as providing

professional growth opportunities for OAESD members. He was the superintendent of Columbia Gorge ESD from 2009-2016, during which time he also served as President of OAESD from 2014 to 2016. Gary started his career in education as an elementary and middle school teacher in rural Clackamas County before moving into administration as an assistant high school principal and principal in Oakridge. Gary holds a Bachelor's degree in elementary education from Oregon State University, a Master's degree in education from Western Oregon University, and he has completed work for his administrative license at Lewis and Clark College. (see Appendix D: resumes)

National Partners: TEDNA, ADI, CRPE, Kauffman and Associates

The Comprehensive Center has four confirmed national partners, which will provide strategic support to the Center and expertise in the delivery of technical assistance, capacity building, and evaluation.

TEDNA

Since 2003, the Tribal Education Departments National Assembly (TEDNA) has be an advocate for Sovereignty in Education, which recognizes the importance and value of having the Tribes' input into education policies at a local, state and federal level. TEDNA has advocated for TEDs/TEAs (Tribal Education Departments and Tribal Education Agencies) for changes in federal education policy, which includes funding for current congressional appropriations of TEDs/TEAs. In 2015, TEDNA won the TED grant currently offered by the Bureau of Indian Affairs (BIA). TEDNA was instrumental in establishing and funding the STEP (State Tribal Education Partnership) grant program, which facilitates collaboration between TEAs and LEAs/SEAs. TEDNA also works through STEP to improve the capacity of TEAs to administer federal programs. TEDNA has the capacity to support state Indian Education efforts to work

with their SEA, as shown through TEDNA's work the Oklahoma Council for Indian Education.

Quinton Roman Nose—TEDNA designee: As an enrolled citizen of the Cheyenne Arapahoe Tribe, Quinton Roman Nose has dedicated most of his career to the Indian education field. He has promoted and developed educational initiatives and opportunities to improve the educational levels of Native American students and tribal members. Quinton currently serves on the Board of Directors as the Executive Director of Tribal Education Departments National Assembly. Quinton is on the Board of Trustees at Bacone College in Muskogee, OK. He is also a board member of the Oklahoma Native Youth Language Fair at the University of Oklahoma and the President of the school board at Riverside Indian School (BIE) in Anadarko, OK. Quinton completed his undergraduate studies in Mathematics at Southwestern Oklahoma State University and his Graduate Studies in Gifted/Talented Education at Oklahoma City University. (see Appendix D: resumes)

ADI

The Academic Development Institute (ADI) is a preeminent developer and provider of transformational services that improve individual and organizational performance and enhance children's academic and personal development. ADI works with regional center, state, and district clients across the country delivering training, consulting, convening, and networking services. Recent projects include: strategic performance management for the Arkansas, Kansas, and Missouri Departments of Education; support for school improvement for the Puerto Rico, South Dakota, and Virgin Islands Departments of Education; personalized learning for the North Carolina and Kansas Departments of Education; and family and community engagement between the Idaho SEA and Nez Pearce Tribe and between the Oklahoma SEA and Muscogee Tribe.

Allison Layland, ADI PI for the R16CC- Dr. Layland is the Chief Education Strategist for the Academic Development Institute (ADI) where she provides technical assistance to states, territories, insular areas, districts and schools on system change, strategic planning and implementation, district and school improvement, and personalized learning. She is a consultant for three Comprehensive Centers and Assistant Director of a Regional Resource Center, all federally funded technical assistance centers U.S. Department of Education Office of Elementary and Secondary Education (OESE) and Office of Special Education Programs (OSEP), respectively. In her federal Center work, she and her colleague, Dr. Sam Redding, created the Strategic Performance Management (SPM) process, a capacity-building process for education organizations to more intentionally and efficiently set a direction, align structures and functions, and transform the way people work within the organization to better support districts and schools in improving student outcomes. Her work at two State Departments of Education resulted in an integrated collaborative approach to monitoring, coaching and services to improve adolescent literacy skills and successfully implementing Response to Intervention. Dr. Layland holds a bachelor's degree from Mount Saint Mary College, a Master's in Education from James Madison University, and a PhD from the University of Denver. (see Appendix D: resumes)

CRPE

The Center on Reinventing Public Education (CRPE) is a research and policy center affiliated with the University of Washington, Bothell. For more than 25 years, CRPE has been a thought leader in the research, design, and implementation of educational systems that feature educational choice, within district schools of choice and charter schools. Within the past ten years, CRPE has produced research related to systemic education reforms related to rural education, state accountability, state oversight, and talent seeking strategies. CRPE's work

includes original qualitative and mixed methods research, policy analysis, program evaluation, and the facilitation of knowledge sharing networks.

Betheny Gross—CRPE PI for the R16CC: Dr. Gross is Associate Director at the Center on Reinventing Public Education (CRPE) and an Affiliate Faculty of the School of Interdisciplinary Arts and Sciences at the University of Washington Bothell. Dr. Gross oversees CRPE's research initiatives. Her work has been published in several journals, including Harvard Law and Policy, Educational Evaluation and Policy Analysis, American Education Research Journal, Journal of Education Finance, and Journal of Policy Analysis and Management. Dr. Gross holds a BA in Economics and Urban Studies from the University of Pittsburgh, an MA in Economics from the University of Iowa, and a PhD in Educational Policy Studies from the University of Wisconsin-Madison. (see Appendix D: resumes)

Kauffman and Associates

KAI is a minority- and woman-owned small professional services firm that brings 28 years of experience with providing evaluation services to federal, state, and tribal governments. KAI's evaluators hold doctorates in educational leadership and have successfully evaluated educational leadership initiatives for the U.S. Department of Education, National Science Foundation (NSF), National Aeronautics and Space Administration (NASA), and the state of Washington. KAI brings substantial expertise and experience in conducting evaluations of educational leadership and professional development initiatives at all levels, from federal and state to district and classroom. KAI uses participatory evaluation approaches that involve communities in the design, implementation, and interpretation of findings.

Janet Gordon—Lead Evaluator: Dr. Janet Gordon brings expertise in teacher and leadership frameworks as a result of her 35 years of experience in the research and evaluation

of educational programs. Dr. Gordon has developed expertise in the evaluation of science, technology, engineering, and mathematics (STEM) programs; grants serving Latino communities; and educator professional development (PD). She uses a participatory approach to partner with clients to define culturally relevant success criteria, and she collaborates closely with stakeholders to develop evaluation capacity. Dr. Gordon's background includes the development of constructs and valid and reliable instruments for measurement, analysis, and interpretation of results to inform and educate policy-makers and the general public. Dr. Gordon holds a doctoral degree in education from Montana State University. (see Appendix D: resumes)

Communication

R16CC has a communication plan (See Appendix B) and will be seeking to broadly disseminate information regarding the activities of this project and what we are learning and how others can be involved. R16CC partners wish to see these activities become scalable and replicable in other regions with educational associations and will be presenting at state, regional, and national conferences, websites, along with fliers on what we did, how we did it, and what we learned.

Capital Region ESD #113 will serve as the Project Communications facilitating the exchange of information within the region, state, and with the National Center. At a minimum the communications representatives will quarterly connect with one another to share R16CC learning and activities regarding evidence-based and best practices, resources and coordinate efforts that support the project.

Kristen Jaudon, APR, Director of Communications & Public Engagement with Capital Region ESD #113 will be the lead. Kristen has extensive experience collaborated with CSSOs, government relations teams, and other agency leadership to develop consistent messaging

around priorities, goals, and vision. She is skilled and has years of experience identifying challenges and emerging issues faced by agencies and in working with agency leadership to address them. (see Appendix D: resumes)

ADA Accessibility

Digital accessibility is the law, and it's the right thing to do. Making websites and documents ADA-accessible ensures no one is excluded. And it provides a better user experience for everyone, not just for people with disabilities. When Capital Region ESD #113 develops a website, the contract includes ongoing hosting, accessibility monitoring, and training on creating accessible documents. They make sites accessible at launch time, and then provide monthly reviews of accessibility, working to fix accessibility issues that arise.

Cindy Jouper is certified by the International Association of Accessibility Professionals as a Web Accessibility Specialist (WAS). This certification is for people who design, develop, implement, evaluate, or manage accessible web-based content, projects, and services. She will provide supports and oversight for digitally created materials to be accessible ensuring no one is excluded. (See Appendix D for resumes)

QUALITY OF THE PROJECT EVALUATION

KAI's Methods for Education Evaluation uses participatory methods to involve members of our target populations while leveraging our skills and following professional standards within the research and evaluation profession. For example, KAI regularly uses teacher and leadership frameworks, such as those developed by the Center for Strengthening the Teaching Profession, to ground the technical approach when developing evaluation plans. KAI has developed evaluation plans and instruments that measure quantitative and qualitative changes in teachers' knowledge,

skills, dispositions, and attitudes over time across multiple categories, including working with adult learners, communication, collaboration, knowledge of content and pedagogy, and systems thinking. KAI also brings extensive experience in applying Cradle-to-Career approaches to engage the community, including elders, business leaders, nonprofit organizations, and other stakeholders in eliminating disparities in five student outcome areas: early grade reading, middle grade math, high school graduation, post-secondary enrollment, and post-secondary completion.

Evaluation Design

The evaluation will use a mixed method design to collect formative and summative data to address the major evaluation questions aligned to the goals and objectives. Throughout the phases of evaluation, formative information will be used to monitor, track and study processes to improve the effectiveness and efficiency of implementation. Formative data will also provide insight into the proximal outcomes achieved. Summative data will monitor progress toward measurable goals as well as GPRA Measures 1-4.

When possible, the data collected and analyzed will be the entire population; however, when datasets are too large, sampling techniques will be used including random, convenience and snowball sampling methods. The analytical methods used will include qualitative narrative analysis (QNA), non-parametric techniques, and measures of central tendency. Interview and focus group protocols, surveys and other instruments will be precisely designed to solicit valid and reliable information to inform the evaluation.

In the data collection phase, the interviews and focus groups will be recorded and transcribed. The interviewer will distribute an Informed Consent Form to participants and verbally explain the elements of informed consent to make sure participants understand prior to signing the form. Transcriptions of the recording will be uploaded into analytical software called Dedoose.

They will be coded and analyzed for emerging themes. Surveys will be administered using an easy-to-use online platform. KAI currently administers state-wide surveys that display real-time results for timely decision making. Survey responses will be analyzed using non-parametric techniques such as the Mann-Whitney U test.

Evaluation Team as Collaborative Partner

The evaluation team will be a collaborative partner throughout all phases of the work, attending the monthly meetings and sharing formative information in a timely manner. KAI's team will work closely with the partners (CRPE, ADI, TEDNA, R16CC Staff, etc.) to augment data collection thus streamlining, eliminating redundancies, and avoiding survey fatigue of respondents. A participatory approach to evaluation ensures that R16CC and SEA leadership and partners can share valuable insights that will help shape and further hone the evaluation to yield essential knowledge. Interim briefs, infographics and a comprehensive annual summative report will be developed. The evaluator will attend in-person key events including the annual assembly of leadership and present critical findings. Additional dissemination events will take place as needed.

Evaluation Questions

The evaluation questions are designed to provide formative and summative information and to test assumptions in the logic model. Entering a cycle of continuous improvement, the plan will provide insight into modifications needed in the conceptual model, implementation and processes to accelerate achievement of the outcomes. The six tables below link the goals, GPRA measures and outcomes to six overarching evaluation questions. Each table lists the data source or collection instruments, timeline, and methods of analysis. The data source and collection

instruments listed are further explained below each table. Lastly, Table 1 provides a comprehensive look at the data collection activities and associated timeline.

Table 1. Evaluation questions, source, timeline, and methods linked to Outcomes.

Outcome: Establishment and Maintenance of a Region 16 Comprehensive Center (R16CC)			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
1. What evidence is there that a viable Regional Center is being established to fulfil the identified role and perform the services indicated?			
a. In what ways is R16CC providing a supportive infrastructure to carry out the Center's mission? b. Do SEAs perceive sufficient support to accomplish their objectives and goals? c. How do the SEAs and partners perceive their role in the work? d. To what extent are the leadership structures being established and maintained? (e.g. Advisory Board, State Leadership Councils, etc.) e. How are principles of Implementation Science being reflected in the planning and implementation of activities?	a. Focus group (FG) with R16CC leadership, 3 State Education Authority (SEA) leads b. FG or interview (I) with SEA leads c. FG/I with SEA leads and partners d/e. FG/I with R16CC leaders and SEA leads, review of State Implementation Plans	a/b. Years 1 2x/year, Years 2-5 1x/year c. Years 1-3 d. Years 1 2x/year, Years 2-5 1x/year e. Years 1 2x/year, Years 2-5 1x/year	a. Qualitative narrative analysis (QNA) b. Non-parametric techniques c. QNA d. QNA e. Non-parametric techniques

R16CC and SEA Interviews or Focus Groups with lead personnel will be conducted on a semi-annual basis. The evaluator will travel to Anchorage, Olympia and Portland for in-person data collection once yearly. The additional interviews and/or focus groups will be conducted virtually using Kauffman and Associates, Inc. professional telemeeting/teleconference technology.

The **State Implementation Plans** will be reviewed for comprehensiveness and clarity to more deeply understand the state's priority initiatives that will lead to the goals and objectives of R16CC. The plan review will support conclusions regarding leadership structure and sustainability as well as the inclusion of implementation science principles, to name a few.

Table 2. Evaluation questions, source, timeline and methods linked to GPRA Measure 3 and outcomes.

GPRA Measure 3: Capacity Building Services were Implemented as Intended **Outcome: High quality intensive capacity-building services delivered to State clients and recipients**			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
2. To what extent are the R16CC, SEAs and partners (ADI, CPRE, etc.) on track with implementation and completion of activities as intended and identified in the management plan according to the timeline?			
a. What progress is being made on: i. the development of the state needs assessment/plan from the CSSO and SEAs? ii. the state Communication Plan?	a. FG/I with R16CC leadership and SEA leads, review of	a. Years 1-5	a. QNA

GPRA Measure 3: Capacity Building Services were Implemented as Intended **Outcome: High quality intensive capacity-building services delivered to State clients and recipients**			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
2. To what extent are the R16CC, SEAs and partners (ADI, CPRE, etc.) on track with implementation and completion of activities as intended and identified in the management plan according to the timeline?			
b. What evidence is there that the data collection modalities will be or are successfully collecting valid and reliable data for measurement? (e.g. databases, instrumentation, protocols, capacity rubrics, etc.) c. What progress are the clients and partners making on their activities and measurements that assess the: i. Promotion of an approach to learning that meets individual student and family needs? ii. Increased access to evidence-based activities and strategies? iii. Adoption of evidence-based practices that promote inclusivity for learning in schools? iv. Increased high quality implementation of evidence-based activities and strategies?	Implementation Plans b. FG/I, data document and instrument review c. FG/I with sample of clients and partners, client and recipient Annual Report	b. Years 1-5 c. Years 1-5	b. QNA, matrix of methods/ measurements planned or being used, validity measures c. QNA, matrix of progress made
d. What progress is being made in R16CC conducting training, consultation sessions, coaching, etc. to SEA divisions and teams to achieve rapid improvement, culture shifts, etc.?	d. FG/I with R16CC leadership and SEA leads, document review, client and recipient Annual Report, Online	d. Years 1-5	d. QNA, matrix of progress made

GPRA Measure 3: Capacity Building Services were Implemented as Intended Outcome: High quality intensive capacity-building services delivered to State clients and recipients			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
2. To what extent are the R16CC, SEAs and partners (ADI, CPRE, etc.) on track with implementation and completion of activities as intended and identified in the management plan according to the timeline?			
	Progress Tracking Tool		

Train-the-Trainers Workshop Satisfaction Survey. Seminal train of the trainer's workshops will be held to promote effective instruction in classrooms and schools by accelerating the effectiveness of all schoolteachers and leaders. An online survey will be administered to participants to measure satisfaction of logistical aspects as well as self-reported changes in cultural awareness/proficiency and strategies to increase access to learning for disadvantaged students.

The **Online Progress Tracking Tool** will store information about trainings of SEA and district personnel including Instructional Transformation Academy and Culture Shift Institute. The information will be used to gauge progress on trainings designed to accelerate the effectiveness of education leaders and teachers. The tracking tool will also be used to select random samples for survey administration.

A cross section of client and recipient **Annual Reports** will be uploaded into Dedoose and provide insight into fidelity and degree of implementation of initiatives. Information in the annual reports will be organized into categories that align with the objectives including proximal outcomes when appropriate.

Table 3. Evaluation questions, source, timeline and methods linked to GPRA Measure 1 and outcomes.

GPRA Measure 1: High Satisfaction of Quality, Usefulness & Relevance **Outcomes: Increased capacity to use Strategic Performance Management; integration of equity in systems of support, effective Communication Plan**			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
3. How satisfied are R16CC's clients (SEAs, TEAs, REAs, LEAs) with the quality, usefulness and relevance of the services provided to support the Elementary and Secondary Education Act (ESEA) and/or state policies applicable to tribal education?			
a. Do clients perceive sufficient support from R16CC to carry out the tasks at hand?	a. FG/I with random sample of clients	a. Years 1-5	a. QNA
b. What are SEAs perceptions of the effectiveness of their State's Communication Plan?	b. FG/I with SEA leads	b. Years 1-5	b. QNA
c. How do clients describe changes in their capacity to use evidence-based practices in strategic performance management (SPM) such as integration of SPM in school improvement systems?	c/d. FG/I with SEA leads and sample of TEAs, and REAs, Equity and Performance Database, client and recipient Annual reports, Changes in Capacity Survey	c. Years 1-5	c. QNA
d. How do clients describe changes in their capacity to analyze, design and implement policy such as integrating equity considerations in their systems of support?		d. Years 1-5	d. QNA, matrix of ways equity is integrated into systems of support

Data in the **Equity and Performance Database** will be heavily studied using a mixed methods statistical software package called Dedoose. The study will result in emerging themes as well as descriptions that operationalize changes in capacity around equity, inclusivity, and strategic performance management. The results will be used to inform interview and focus group protocol development to probe deeper and triangulate the data for an increased reliability and validity of the results.

The evaluator will work collaboratively with R16CC to develop a valid and reliable **Changes in Capacity Survey** to measure changes in capacity in the targeted areas. For example, proficiency in the incorporation of Strategic Performance Management and Implementation Science as strategies to achieve the goals and objectives.

Table 4. Evaluation questions, source, timeline and methods linked to GPRA Measure 2 and outcomes.

GPRA Measure 2: Provides Services & Products to a Wide Range of Recipients **Outcome: Increased communication across state clients, recipients and partners; Accelerated technical assistance and capacity building services**			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
4. How has the development of the R16CC influenced the relationship among education agencies, key partners and the National Comprehensive Center (NCC) and how has this contributed to effectively accelerate technical assistance and capacity building services to a wide range of recipients?			
a. In what ways does R16CC, key partners and the NCC illustrate a collaborative network of service agencies combining and sharing assets? b. How is R16CC building and fostering foundational trusting relationships between clients and partners? c. How do community-based groups and Tribal Education Agencies (TEA) describe their relationship with R16CC and/or partners? (e.g. culturally appropriate, respect for diversity, etc.) d. What evidence is there that the methods of delivering technical assistance and consultation is effectively	a. FG/I with key partners and R16CC leadership, review of recipient/client annual reports b. FG/I with sample of clients, Training and Consultation Survey c. FG/I with sample of TEAs and community groups; survey all TEAs	a. Years 1-5 b. Years 1-5 c. Years 1-5	a. QNA b. QNA c. QNA

GPRA Measure 2: Provides Services & Products to a Wide Range of Recipients Outcome: Increased communication across state clients, recipients and partners; Accelerated technical assistance and capacity building services			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
building capacity to use evidence-based practices in performance management and study policy?	d. SEA SPM Training and Consultation Survey	d. Year 1/Q2-Q4, Year 2/Q1	d. Non-parametric techniques

The **SEA SPM Training and Consultation Survey** will be administered in Year 1 and Year 2 following each of nine monthly training and consultation sessions with SEA to implement the Strategic Performance Management. The survey will measure the effectiveness of accelerating changes in knowledge, skills and ability to: 1) use evidence-based practices in performance management and 2) analyze, design and implement policy to name a few.

Published Practice Guides will be reviewed to track and categorize the successful implementation of school improvement initiatives sponsored by the SEA. One assumption that will be tested in this evaluation activity will be the assumption that the practice guides increase communication across state clients, recipients, partners and the National Comprehensive Center.

Table 5. Evaluation questions, source, timeline and methods linked to GPRA Measure 4 and outcomes.

GPRA Measure 4: Demonstrate Recipient Outcomes were Met **Outcome: Increased access to evidence-based strategies that meets disadvantaged student and family needs; Increased cultural proficiency and improved school culture**			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
5. To what degree have the different investments made by R16CC and each SEA produced the recipient outcomes at the school level?			
a. In what ways has R16CC accelerated the effectiveness of education leaders and teachers? b. How are the efforts influencing access of disadvantaged students to effective school leaders and teachers? (e.g. ELL, SPED, AI/AN, low SES, etc.) c. What effect has the new evidence-based delivery and approach improved the effectiveness of training in cultural relevance and proficiency in the schools?	a. FG/I SEA leads and sample of REAs, TEAs, client and recipient annual reports b/c. FG/I SEA leads and sample of REAs, TEAs, client and recipient published Practice Guides, Changes in Personal & Social Capabilities Survey	a. Years 2-5 b/c. FG/I 2x/year; Survey Year 2 baseline with sample of RSI Schools, then 1x/yr Years 3-5	a. QNA b/c. QNA, non-parametric techniques

A sample of Rapid School Improvement Schools (RSIs) will be identified in Year 2 and baseline measurements established on the **Changes in Personal and Social Capabilities Survey**. The survey will be designed to register instructional transformation and culture shift practices that increase opportunities for equitable access to evidence-based activities, strategies and interventions that meet individual student and family needs.

Table 6. Evaluation questions, data sources, timeline and analytical methods linked to outcomes.

Outcome: R16CC is a reflective, learning organization that effectively builds capacity of education leaders and teachers resulting in improved academic outcomes for disadvantaged students			
Evaluation Questions	**Data Source & Collection Instruments**	**Timeline**	**Methods**
6. What evidence that the process of communicating, developing, and refining is resulting in growth and maturation of R16CC to accomplish their mission?			
a. In what ways is the information generated from the evaluation plan used to promote a culture of learning and continuous improvement in R16CC? b. What challenges are being encountered in carrying out the work? c. How are the challenges being successfully mitigated? d. What aspects of R16CC's work need to be refined to address areas of concern and interest? (e.g. new legislation, policies, etc.)	a. Reflection Survey R16CC, SEA leads, TEAs, REAs b. FG/I with R16CC and SEA leads, sample of TEAs, REAs, Advisory Committee c/d. FG/I with R16CC and SEA leads and sample of TEAs, REAs, Advisory Committee. Review meeting notes.	a. Years 1-5 b. Years 1-5 c/d. Years 1-5	a. Non-parametric techniques b. QNA c/d. QNA

Table 7. Evaluation Activity Timeline

Project Year:	Year 1				Year 2				Year 3				Year 4				Year 5			
Quarter:	**1**	**2**	**3**	**4**	**1**	**2**	**3**	**4**	**1**	**2**	**3**	**4**	**1**	**2**	**3**	**4**	**1**	**2**	**3**	**4**
Evaluation Activities:																				
Welcome Letter: Introduction	X																			
Monthly Training and Consultation Session Survey		X	X	X	X															
Review of Implementation Plans	X	X			X				X				X				X			
R16CC Leadership Focus Group			X	X				X				X				X				X
Advisory Committee Focus Group	X																			
Changes in Capacity Survey				X				X				X				X				X
Review Monthly Meeting Notes					X			X				X				X				X
State Implementation Plan Review			X				X				X				X				X	
Review of Policy Briefs				X				X				X				X				X
Survey R16CC Leadership Group, SEA leads, TEAs & REAs			X				X				X				X				X	
Review Practice Guides				X	X			X	X			X	X			X	X			X
Changes in Personal and Social Capabilities Survey								X				X				X				X
Participants Workshop Satisfaction Survey		X		X		X		X		X		X		X		X		X		
Equity & Performance Database Review			X				X				X				X				X	
SEA SPM Training and Consultation Survey		X	X	X	X															
SPM Self-Assessment to track progress (annually, beginning prior to training to establish baseline)	X				X				X			X				X				X
Online Progress Tracking Tool Review		X		X		X		X		X		X		X		X		X		X
Interim Reports		X				X				X				X				X		
Summative Annual Report					X			X				X				X				X

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Alaska Department of Commerce, Community, and Economic Development
Division of Corporations, Business and Professional Licensing
P.O. Box 110806, Juneau, Alaska 99811-0806

This is to certify that

SOUTH EAST REGIONAL RESOURCE CENTER

210 FERRY WAY STE 200 JUNEAU AK 99801

owned by

SOUTH EAST REGIONAL RESOURCE CENTER

is licensed by the department to conduct business for the period

October 05, 2017 through December 31, 2019
for the following line of business:

61 - Educational Services

This license shall not be taken as permission to do business in the state without having complied with the other requirements of the laws of the State or of the United States.

This license must be posted in a conspicuous place at the business location.
It is not transferable or assignable.

Chris Hladick

INDIRECT COST RATE AGREEMENT
NONPROFIT ORGANIZATION

Organization:

Southeast Regional Resource Center, Inc.
210 Ferry Way
Juneau, AK 99801

Date: May 16, 2019

Agreement No: 2019-054

Filing Reference: This replaces previous Agreement No. 2018-059
Dated: 6/18/2018

The approved indirect cost rates herein are for use on grants, contracts, and other agreements with the Federal Government. The rates are subject to the conditions included in Section II of this Agreement and regulations issued by the Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards under 2 CFR 200.

Section I - Rates and Bases

Type	From	To	Rate	Base	Applicable To
Final	7/1/2017	6/30/2018	22.0%	MTDC	Unrestricted
Final	7/1/2017	6/30/2018	10.7%	MTDC	Restricted
Provisional	7/1/2018	6/30/2019	22.8%	MTDC	Unrestricted
Provisional	7/1/2018	6/30/2019	10.8%	MTDC	Restricted
Provisional	7/1/2019	6/30/2020	22.0%	MTDC	Unrestricted
Provisional	7/1/2019	6/30/2020	10.7%	MTDC	Restricted

Distribution Base:

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

Applicable To:

Unrestricted — Unrestricted rates apply to programs that do not require a restricted rate per 34 CFR 75.563 and 34 CFR 76.563.

Restricted — Restricted rates apply to programs that require a restricted rate per 34 CFR 75.563 and 34 CFR 76.563.

Treatment of Fringe Benefits:
Fringe benefits applicable to salaries and wages are treated appropriately as direct or indirect costs. Vacation, holiday, sick leave and other paid absences are included in salaries claimed on awards. Separate claims for paid absences are not made.

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

Section II – Particulars

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

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

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

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

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

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

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

Section III - Special Remarks

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

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

Section IV – Approvals

For the Organization:

Southeast Regional Resource Center, Inc.
210 Ferry Way
Juneau, AK 99801

Sheryl Weinberg
Signature

Sheryl Weinberg
Name

Executive Director
Title

5/16/19
Date

For the Federal Government:

U.S. Department of Education
OFO / OGA / ICD
550 12th Street, SW
Washington, DC 20202-4450

Frances Outland Digitally signed by Frances Outland Date: 2019.05.16 12:10:48 -04'00'
Signature

Frances Outland
Name

Director, Indirect Cost Division
Title

May 16, 2019
Date

Negotiator: Mae Ewell
Telephone Number: (202) 245-8238

APPENDIX B: COMMUNICATION PLAN

The Center's Communication Plan

Communication is central to any organization's success, particularly during times of significant change. As change happens, every affected person must understand how their work relates to the goals of the R16CC. And they must know how leadership will measure their progress. Communication is an essential element of productive work, including decision-making, trust, and vision. For the purposes of this grant, "communication" is the exchange of meaningful information within the Center and between the Center and its partners, clients, sponsors, and constituents to advance the quality of service. The Center will assign key personnel to manage communication and develop a system to support the Center's work.

A. Personnel with specific responsibility for communication

The Center's personnel will include a Communication Director who will:

- **Work with each State's Center liaison to establish internal communication procedures.** Once a procedure is established, the Communications Director will coordinate the effort and ensure accountability. This will provide each Center team with information necessary to carry out and improve the quality of its work.
- **Meet monthly, online, with each State's designated Center liaison.** The director will prepare agendas, and then provide a summary report to the leadership of the Center and the State to ensure they are kept informed of the work.
- **Supervise technical staff to conduct web analytics.** Monthly reports will signal trends and identify areas of concern for the Center and its State clients.

- **Supervise the Center's content creators and editors.** This will enable the Communications Director to produce digital and print products for the Center to raise awareness of the work among groups directly and indirectly involved, including families.
- **Work with Center leadership to develop key messages for personnel, partners, clients, sponsors, and constituents, and determine appropriate tools for message delivery.** These key messages will articulate and advance the Center's purpose and values.
- **Plan and facilitate regular opportunities for Center personnel to share information and measure progress.** They will meet in teams and as a large group, with the goal of improving the Center's effectiveness.
- **Plan and facilitate regular opportunities for Center personnel to meet with partners, clients, sponsors, and constituents to receive feedback.** Client feedback, through focus groups, interviews, and client satisfaction/impact surveys, will help the Center improve its evidence-based programs, practices, and interventions.

The Center's personnel will also include an ADA Accessibility Specialist who will:

- **Ensure all digital documents, website, and social media posts created by the Center are accessible to all, regardless of physical ability.** Digital accessibility is the law, and it's the right thing to do. Making information ADA-accessible ensures no one is excluded. And it actually provides a better user experience for everyone, not just for people with disabilities. services.

B. Routine mechanisms for communication

The Communication Director will facilitate the exchange of information within the Center and beyond. For clients, communication acts as the hub for simultaneous Center functions, as well as each stage's external engagement with clients, as illustrated in Figure 1.

C. **Personnel with specific responsibility for communication**.

In keeping with the Center's appreciation of the importance of a meaningful exchange of information, the Center's personnel will include a Communication Director, with the responsibility to:

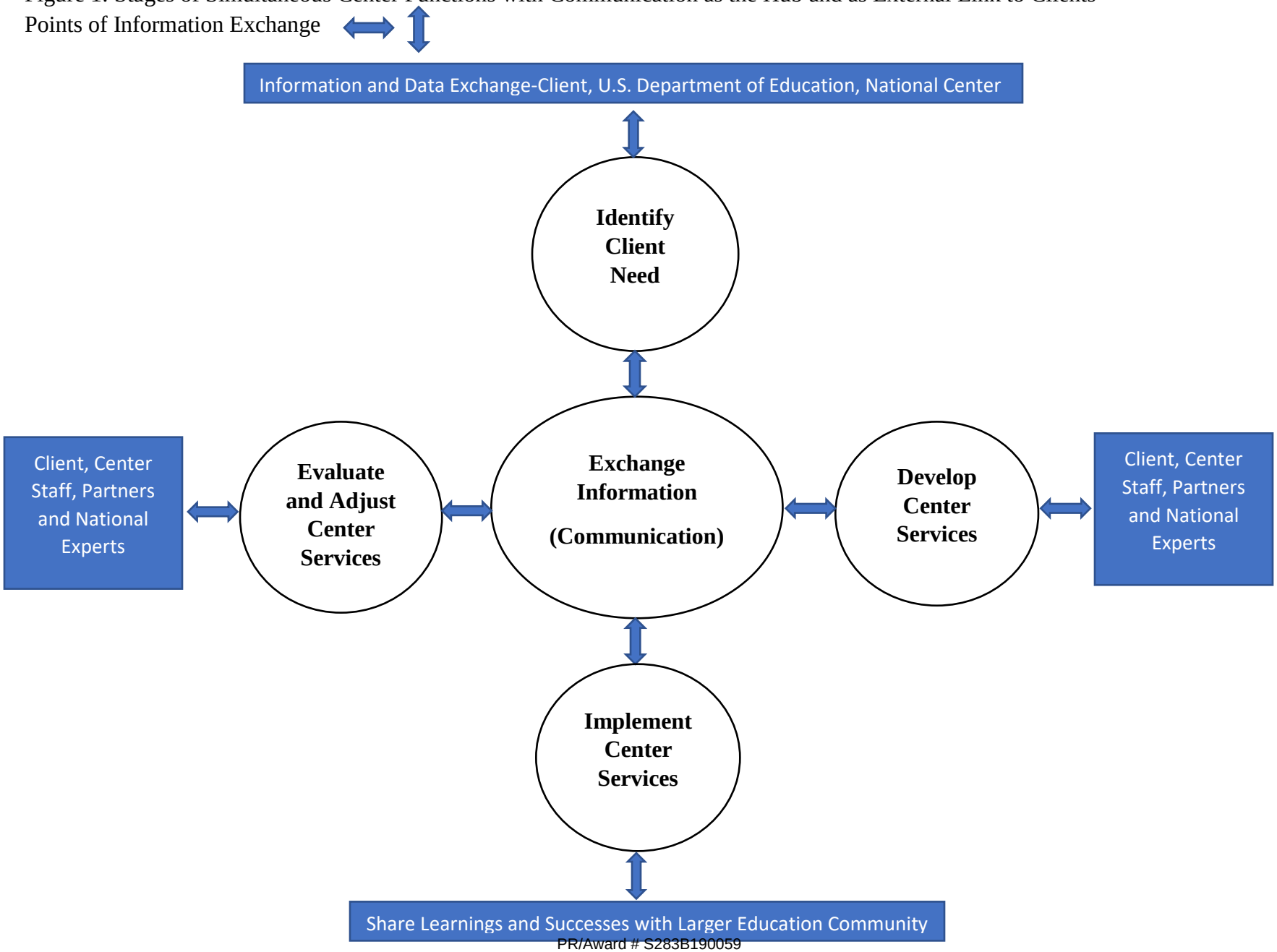
- **Meet virtually each month with each State's designated liaison to the Center,** utilizing prepared agendas, and followed by a summary report to the leadership of the Center and the State.
- **Assist each State agency liaison** to the Center to establish and maintain communication procedures within their agency that enable the liaison to gather information important to the Center to share in the monthly virtual meetings
- **Establish and maintain within the Center** communication procedures that enable the Communication Director to gather information important to each State to share in the monthly virtual meetings.
- **Establish and maintain within the Center routine** communication procedures (face-to-face, virtual, and printed) that provide each Center team with information necessary to carry out and improve the quality of its work.

- **Supervise technical staff to conduct web analytics** that produce a monthly report of patterns of activity that signal trends and problems of significance to the Center and its State clients.
- **Supervise the Center's content creators and editors** to interface with content specialists and produce web- and print-published products for the Center.
- **Assist Center leadership in crafting messages to Center personnel, partners, clients, sponsors, and constituents** that articulate and advance the Center's purpose and values.
- **Plan and facilitate regular opportunities** for Center personnel, as teams and in whole, to meet face-to-face to exchange information, query each other, review implementation and performance data, and arrive at ways to improve the Center's effectiveness.
- **Plan and facilitate periodic opportunities** for Center personnel to meet face-to-face with partners, clients, sponsors, and constituents for purposeful exchange of information to improve the Center's services.

D. Routine mechanisms for communication

As itemized above, the responsibilities of the Communication Director include the detailed planning, oversight, and often facilitation of procedures to "exchange . . . meaningful information within the Center and between the Center and its partners, clients, sponsors, and constituents that advances the quality of the Center's service." Looking now through the lens of these procedures as they relate to clients, we see communication as the hub of stages of simultaneous Center functions, as well as each stage's external engagement with clients, as illustrated in Figure 1.

Figure 1: Stages of Simultaneous Center Functions with Communication as the Hub and as External Link to Clients



APPENDIX C: MODELS

1. LOGIC

2. CONCEPTUAL

3. ORGANIZATIONAL

4. RESPONSIVE DESIGN AND IMPLEMENTATION SYSTEM

LOGIC MODEL: Region 16 Comprehensive Center (R16CC)

GOALS:

1. Provide high-quality intensive capacity-building services to State clients and recipients.
2. Promote effective instruction in classrooms and schools.
3. Provide families and students with access and opportunities for a high-quality education that meets their unique needs.

Focus: Rural, Poverty, American Indian/Alaska Native, English Language Learner, Early Learner

Recipients: SEA, TEAs, REAs, LEAs, Schools (WA, OR, AK)

OUTCOMES

INPUTS

Lead Applicant: Southeast Regional Resource Center (SERRC)

Consortium Partners: Oregon Association of Educational Service Districts (OAESD), Washington Association of educational Service Districts (WAAESD)

Nat'l, Regional, State Partners: Academic Development Institute (ADI), Center on Reinventing Public Education (CRPE), Tribal Education Departments National Assembly (TEDNA), State CSSOs

Evaluation: Kauffman & Associates, Inc.

MILESTONES

- Conduct annual State needs assessments
- Develop annual State service plans
- Ongoing SEA, TEA, REA, LEA consultancies & technical assistance
- Conduct advisory & leadership meetings
- Establish client and partner commitments
- Develop and manage personnel management system
- Collaboration with NCC, REL
- Develop and manage Communications system
- Develop evaluation plan

OUTPUTS

- Collaboration
- Capacity—human, organizational, policy, resource
- Evidence-based practices in SEAs, TEAs, REAs, LEAs
- Effective instruction & leadership
- Access to high-quality, personalized pathways to learning
- Reduction in achievement gaps
- Increased focus on the whole child
- Communication

SHORT-TERM

- Capacity-Building Processes implemented: Human, Organizational, Policy, Resources
- Increased collaboration across states and between agencies within a state
- Implementation science processes applied
- Tribal consultations & working relationships reflecting respect
- Communication protocols established
- Increased communication across states and between agencies within a state

MID-TERM

- Competencies enhanced for leadership: SEAs, TEAs, REAs, LEAs
- Improved ability for LEAs to be culturally proficient, continuously improve, maintain effectiveness
- Improved teacher/ administrator effectiveness
- Improved capacity to plan, implement & evaluate evidence-based school improvement programs (SEA, TEA, REA, LEA)
- Increased educational opportunities & access
- Improved policies, practices, and systems to implement and evaluate school improvement programs

LONG-TERM

- Sustained capacity building following the principles of being reputable, viable, on-going, and scalable
- Sustained improvement in school outcomes, especially for schools in poverty and schools identified as in need of improvement.
- Sustained improvement for all students in state identified outcomes.
- Sustained gap closing for students lagging in each state's accountability system. Focused on students in Rural, Poverty, American Indian/Alaska Native, English Language Learner, Early Learner

Guiding Principles: ☆ STRATEGIC PERFORMANCE MANAGEMENT ☆ IMPLEMENTATION SCIENCE ☆ EQUITY ☆ CULTURAL PROFICIENCY

CONCEPTUAL MODEL: Region 16 Comprehensive Center (R16CC)

Guiding Principles: ☆ STRATEGIC PERFORMANCE MANAGEMENT ☆ IMPLEMENTATION SCIENCE ☆ EQUITY ☆ CULTURAL PROFICIENCY

CAPACITY BUILDING SERVICES: Intensive: 1:1/Individual | Targeted: Shared/Grouped | Universal: Select/Foundational

SEA

TEA

REA

ESDs

LEA

SCHOOL

CLASS ROOM

STUDENTS & FAMILIES

Administrators

Superintendents

Boards

Principals

Teacher Leaders

Professional Development

Communication

Relationship Building

Adult Learning

Coaching

NATIONAL EXPERTS:
ADI, CRPE, TEDNA, AESA, REL, National Comprehensive Center

PARTNERS

SUPPORTING EXPERTS:
Businesses, Native organizations, ED Associations, Higher Education, State Agencies, Workforce Development, Community Organizations, PTAs, unions

Focus: Rural, Poverty, English Language Learner, American Indian/ Alaska Native, Early Learner

☆ACCESS
☆ENGAGE
☆VOICE

Region 16 Comprehensive Center (R16CC) will provide high-quality intensive capacity-building services to State clients and recipients to identify, implement, and sustain effective evidence-based programs, practices, and interventions that support improved educator and student outcomes.

Goals:

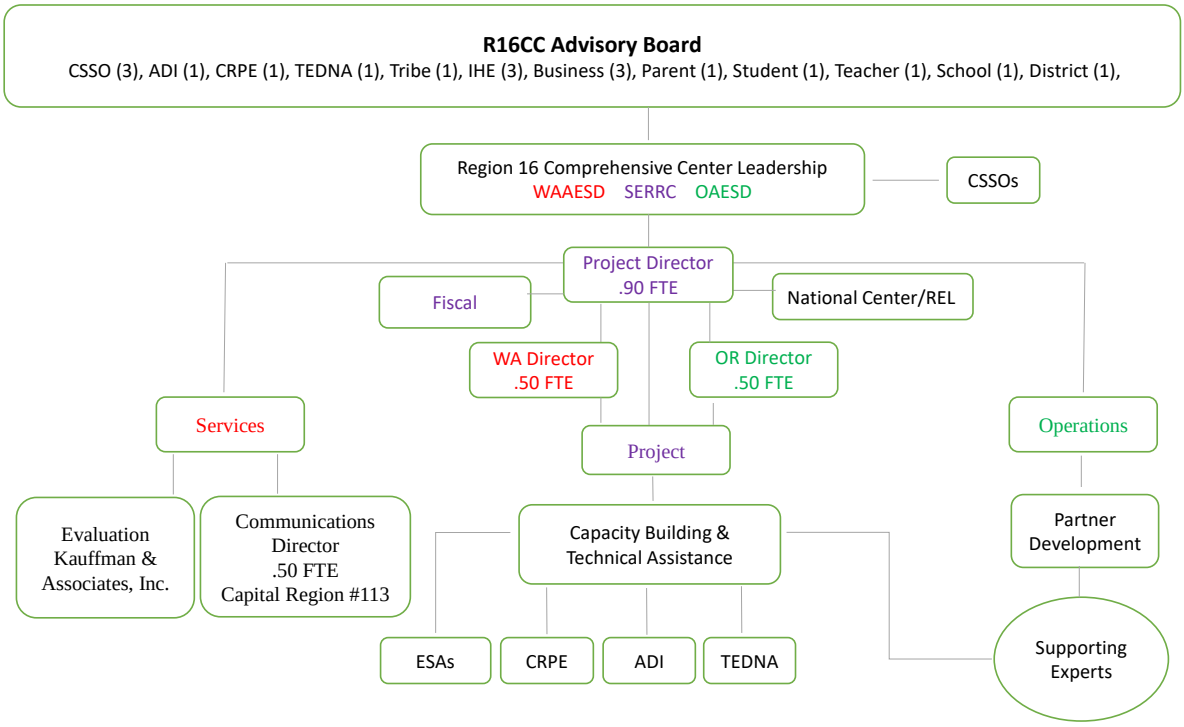
1. Provide high-quality intensive capacity-building services to State clients and recipients.
2. Promote effective instruction in classrooms and schools.
3. Provide families and students with access and opportunities for a high-quality education that meets their unique needs.

Region 16 Comprehensive Center (R16CC) Advisory Board (AK, WA, OR)

Providing feedback across each level regarding implementation of evidence-based programs, practices, and interventions.

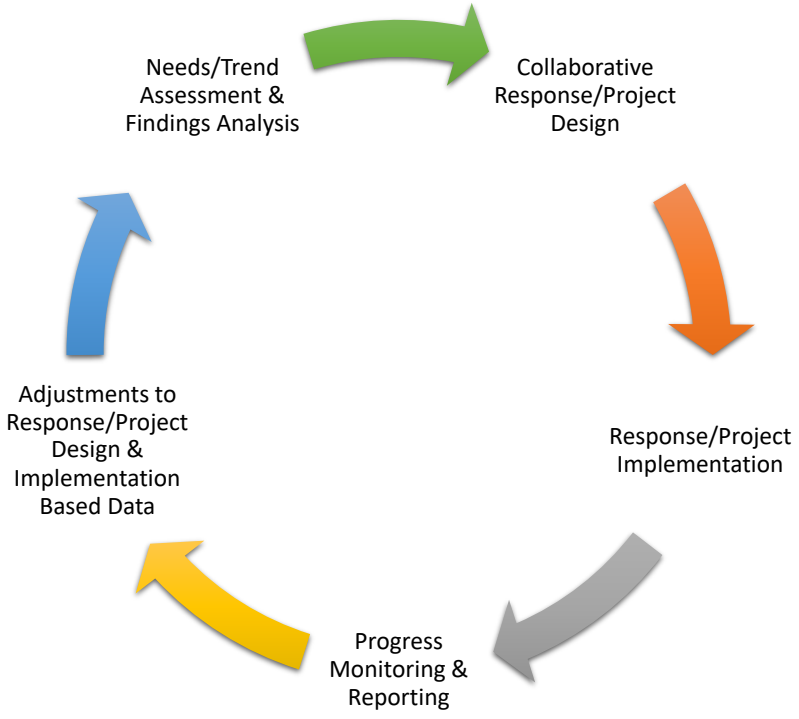
Evaluation → Collection → Analysis → Visualization → Evaluation → Synthesis

Organizational Chart: Region 16 Comprehensive Center (R16CC)



Responsive Design and Implementation System

An approach to continuously assessing needs, the current landscape and data, including findings to rapidly respond and build client capacity to address the issues as they arise in a timely, effective manner



APPENDIX D: JOB DESCRIPTIONS/RESUMES

Job Description:

Project Director –Region 16 Comprehensive Center (CC)
.9 FTE

Position Overview:

The Director provides leadership and facilitates daily activities of the Region 16 CC related to the coordination, implementation, monitoring, and as necessary and approved, revision of project goals and objectives. The Director, in collaboration with the Co-Directors from Washington and Oregon, is responsible for implementation of Center activities related to building the capacity of the SEAs, LEAs and schools by providing state-specific and regional professional development and technical assistance to SEA staff, district staff and/or school staff as determined appropriate through the development, alignment and analysis of an overarching regional plan based on each state plan. The Director, in collaboration with the Co-Directors from Washington and Oregon and subrecipient staff, will develop and staff regional and state-specific professional development and technical assistance services, leveraging and expanding work being done by education service agency staffs in each state. The Director will provide oversite of annual regional or statewide conferences. The Director will serve as the point of contact for the grant evaluator

The SERRC Executive Director supervises the Region 16 CC Project Director.

Job Qualifications:

- Master's degree in education
- Recent experience as an administrator in a school district, education service agency, or other education organization
- Experience providing school improvement services
- Demonstrated ability to plan, implement, monitor, and report project grants and contracts
- Experience as a classroom teacher, three years minimum
- Demonstrated ability to develop, conduct, and evaluate training and technical assistance services
- Demonstrated ability to work with culturally diverse groups
- Knowledge of Federal and State laws, regulations, and policies related to education programs and grant administration
- Demonstrated ability to coordinate and supervise the activities of several employees
- Alaska Teaching or Administrator Certificate, preferred
- Grant writing experience, preferred

Duties and Responsibilities:

- Facilitate development of the Memorandum of Understanding with all Region 16 CC partners
- Facilitate development of the Memorandum of Understanding with the Regional Education Laboratory

- Together with respective Co-Directors in Washington in Oregon, participate in the annual development of each state's annual plan
- Based on an analysis of each State Plan, together with Codirectors, subrecipients and others (as needed - recommended or recruited) develop and implement an overarching Region 16 Annual Plan
- Coordinate staff and partner program schedules and services to accomplish CC goals and objectives
- Together with the Co-Directors, ensure the provision of on-site services at the intensity, duration, and modality appropriate to achieve milestones, outputs, and outcomes described in Region 16 state service plans.
- Collaborate with Co-Directors and Subrecipients and Service Agencies staffs, to monitor CC professional development and technical assistance work done in the office and in the field
- Oversee the implementation of an effective personnel management system to obtain and retain the services of nationally recognized content experts and other consultants in Alaska and throughout Region 16
- Oversee the implementation of an effective communications system that enables routine and ongoing exploration of client and recipient needs as well as feedback on services provided in Region 16 and Alaska
- Collaborate with the National Center to support client and recipient participation in learning opportunities
- Collaborate with Co-Directors to identify and enter into partnership agreements with regional and national organizations, businesses, and industry for the purpose of supporting Region 16 states in the implementation, continuation, and scaling-up of evidence-based programs, practices, and interventions
- As appropriate, ensure assistance is provided to SEAS regarding implementation of SEA initiatives
- Evaluate the performance of project staff relative to grant objectives and timelines, and program standards
- Support participation of Regional Center staff in learning opportunities
- Collaboratively plan and facilitate the CC Advisory Board Meetings
- Serve as project liaison with the Alaska Department of Education, NWREL, US DOE and other professional education associations and/or agencies
- Work closely with Center partners at SEAs to facilitate collaborative efforts and services for schools and districts, particularly those in improvement status
- Monitor the CC budget and approve grant expenditures; request budget revisions, as appropriate
- Supervise the information and data collection, writing, and submission of program reports
- Lead program development activities
- Lead dissemination activities
- Organize staff development opportunities, as needed
- Provide direction for CC administrative assistant
- Conduct orientation for new CC staff members
- Develop necessary program policies and procedures, as needed

Job Description:

State Specific (Washington and Oregon) Codirectors–Region 16 Comprehensive Center (CC)
.5 FTE Washington
.5 FTE Oregon

Position Overview:

The Codirectors provide leadership and facilitate daily activities of the Region 16 CC related to the coordination, implementation, monitoring, of project goals and objectives in their respective states. The Codirectors collaborate with the Project Director and each other to implement Center activities related to building the capacity of the SEAs, LEAs and schools by providing state-specific and regional professional development and technical assistance to SEA staff, district staff and/or school staff as determined appropriate through the development, alignment and analysis of an overarching regional plan based on each state plan. In consultation with the Project Director, each Co-Director will develop and staff regional and state-specific professional development and technical assistance services, leveraging and expanding work being done by education service agency staffs in their respective state and, as appropriate, the region. The Codirectors will provide state specific data, cooperate with the grant evaluator, and participate in the development of each required report.

The Region 16 CC Project Director supervises the Codirectors.

Job Qualifications:

- Master's degree in education
- Recent experience as an administrator in a school district, education service agency, or other education organization
- Experience providing school improvement services
- Demonstrated ability to plan, implement, monitor, and report project grants and contracts
- Experience as a classroom teacher, three years minimum
- Demonstrated ability to develop, conduct, and evaluate training and technical assistance services
- Demonstrated ability to work with culturally diverse groups
- Knowledge of Federal and State laws, regulations, and policies related to education programs and grant administration
- Demonstrated ability to coordinate and supervise the activities of several employees
- Washington or Oregon Teaching or Administrator Certificate, preferred
- Grant writing experience, preferred

Duties and Responsibilities:

- Together with the Region 16 Project Director, participate in the annual development of their State Plan
- Facilitate the development and implementation of their Region 16 CC State Plan

- Together with the Region 16 Project Director and other Co-Director, participate in the annual development of the Region 16 Plan
- Coordinate staff and partner program schedules and services within their state to accomplish CC goals and objectives
- Together with the Project Director and other Co-Director, ensure the provision of on-site services at the intensity, duration, and modality appropriate to achieve milestones, outputs, and outcomes described in Region 16 state service plans
- Collaborate with Project Director, other Co-Director and Subrecipients and Service Agencies staffs, to monitor CC professional development and technical assistance work done in the office and in the field
- Oversee the implementation of an effective personnel management system to obtain and retain the services of nationally recognized content experts and other consultants for their respective state
- Oversee the implementation the communications system within their state that enables routine and ongoing exploration of client and recipient needs as well as feedback on services provided within their respective state and Region 16
- Support client and recipient participation in learning opportunities provided by the National Center
- Collaborate with the Project Director and other Co-Director to identify regional and national organizations, businesses, and industry that would support implementation, continuation, and scaling-up of evidence-based programs, practices, and interventions in Region 16
- As appropriate, ensure assistance is provided to their respective SEA regarding implementation of SEA initiatives
- Assist with the performance evaluation of identified in-state ESD and Subrecipient providers relative to grant objectives and timelines, and program standards
- Participate in staff learning opportunities
- Participate in the planning and facilitation the CC Advisory Board Meetings
- Serve as project liaison with their respective Department of Education, and other in-state professional education associations and/or agencies
- Work closely with respective SEA to facilitate collaborative efforts and services for schools and districts, particularly those in improvement status
- Provide required information and data and assist with writing, and submission of program reports
- Facilitate in-state program development activities
- Facilitate in-state dissemination activities
- Assist with the development of necessary in-state program policies and procedures, as needed

SHERYL L. WEINBERG

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EDUCATION & CREDENTIALS

- Alaska Teaching Certificate, Type B - Administrator, Principal and Special Education Director
- Alaska Teaching Certificate, Type A - K/12 Special Education
- Arizona Teaching Certificate, Basic - Elementary and K/12 Special Education
- SERRC HOUSSE, Highly Qualified Elementary Education
- M.A., Special Education; BEH Fellow; Arizona State University, 1980
- B.A., Special & Elementary Education, Cum Laude; BEH Fellow; Arizona State University, 1976

PROFESSIONAL EXPERIENCE & ACCOMPLISHMENTS

Executive Director (2007 – present)**; Associate Director** (1996-2007)**; Special Education Administrator** (1994-1996)**; Special Education Specialist** (1993-1994) — **SERRC**, 210 Ferry Way, Juneau, AK 99801

- Provide executive leadership regarding all phase of the operation of SERRC;
- Provide supportive leadership to Executive Director regarding all phases of the operation of SERRC, including serving as Acting Executive Director in her absence;
- Authored and directed the development of numerous successful grant proposals over the past ten years, totaling more than $6 million in SERRC operating revenue;
- Provide analyses of SERRC programs resulting in increased cost efficiency and improved program delivery;
- Effectively develop, negotiate, and monitor new and ongoing contracts with client school districts and entities;
- Conceptualized and direct SERRC's QUEST project, funded by AK DEED for purpose of developing guidelines and procedures governing the delivery of special education-related services via videoconferencing;
- Conceptualized SERRC's Transition Camp, a successful residential program to meet the transition needs of secondary students;
- Conceptualized and direct SERRC's highly successful ANSWER Camp, a USDOE ANEP-funded culturally-based academic summer program for Alaska Native youth;
- Conceptualized and facilitated a four-district Goals 2000 School Improvement Consortium;
- Initiated the development of, and lead, SERRC's Professional Development Committee;
- Developed and facilitated numerous district-level and school-wide staff development activities relating to special education, including IEP training materials for AK DEED;
- Initiated the revision of SERRC's employee evaluation system;
- Conceptualized and managed SERRC's Special Education Services Cooperative; and
- Authored the *1995-1997 Alaska State Plan* mandated under Part B - IDEA.

Gifted Program Coordinator, PreK-12 (1989–1993)**; Itinerant/Consultant Special Education Teacher, PreK-12** (1983–1993) — **Southeast Island School District,** Thorne Bay, AK 99919

- Conceptualized, developed and implemented a districtwide program for academically gifted students;
- Conceptualized and facilitated a grant to develop a non-reading dependent World History curriculum and instruction project; and
- Redesigned districtwide system for delivering special education services.

Adjunct Faculty (1987) — **University of Alaska Southeast**, Ketchikan, AK 99901

Teacher/Coordinator ED Program (1980-1983) — **Ketchikan Gateway Borough School District**, Pouch Z, Ketchikan, AK 99901

- Conceptualized and implemented the districtwide program for emotionally disturbed students; and
- Developed a pre-referral intervention process for students with academic and/or behavioral difficulties.

Teacher/Self-contained ED/Middle School Program (1977-1980) — **Sunflower School, Washington Elementary School District**, Phoenix, AZ 85015

Graduate Assistant/Special Education (1976) – **College of Education, Arizona State University**, Tempe, AZ 85281

PRIMARY QUALIFICATIONS

- Superior organizational management, collaboration and interpersonal/communication skills;
- Proven budget development and fiscal management experience;
- Proven ability to work successfully with diverse audiences, including board members, staff, and client school districts;
- Demonstrated ability to plan, develop and evaluate a full range of educational programs and client services;
- Established school improvement, special/gifted education, and curriculum/staff development background;
- Successful local, state and federal inter-agency as well as state legislative relations background;
- Highly successful grant writing, administration and program evaluation experience;
- Knowledge of current and innovative educational practices, including successful application methods; and
- Demonstrated ability to recruit, support, train, and retain highly qualified agency staff.

PROFESSIONAL AFFILIATIONS/APPOINTMENTS

- University of Alaska Southeast, Institutional Review Board Member, 2006 -present
- Alaska Council of School Administrators, 2000-present
- Alaska Council of Administrators of Special Education, 1993-present
- Association for Supervision and Curriculum Development, 1993-present
- Alaska Council of Administrators of Special Education, Alaska Standards Oversight Committee, 1994-1996
- Phi Delta Kappa, 1997-present
- National Staff Development Council, 2000-present
- Alaska Statewide Special Education Conference, Vice President, Board of Directors, 1997-2000
- Alaska Statewide Special Education Conference, Chair, Steering Committee, 1997 & 1993
- Alaska Federation of the Council for Exceptional Children, President, 2001, 1992, & 1990
- Southeast Island School District, Teacher Evaluation Process Review Committee, 1988-1990
- Alaska Department of Education/Columbia Education Center/National Diffusion Network Facilitator Training Institute
- Community Connections Board of Directors, President & Vice President, 1987-1989
- Alaska Department of Education/USDOE Symposium on Rural Education in America
- Tongass Chapter, Council for Exceptional Children, President, 1981
- Alaska Department of Education, Special Education Conditions and Standards Task Force, 1981-1983
- Children at Risk Ketchikan Interagency Council, Ketchikan Gateway Borough School District Representative, 1981-1982
- Arizona State University, College of Education, Department of Special Education Chairperson Search Committee, Student Representative, 1975-1976
- Council for Exceptional Children, 1975-present
- Council for Children with Behavior Disorders, 1975-present
- Arizona State University Chapter, Council for Exceptional Children, President, 1975-1976

PROFESSIONAL RECOGNITION

- Lexington *Who's Who Registry of Executives and Professionals*, 1999-2000
- Certified Teacher Expectations and Student Achievement (TESA) Trainer
- Certified Institute for Creative Education (ICE) Trainer
- *Who's Who in American Education*, 1988-1989
- Southeast Island School District Teacher of the Year Nominee, 1987
- Arizona Teacher of the Year Nominee, 1977
- Outstanding Student in the College of Education Nominee, Arizona State University, 1976
- *Who's Who in American Universities*, 1975-1976

Gerald Briscoe

Work
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Anchorage, Alaska 99501

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EDUCATION

University of Northern Colorado; Greeley, CO; BA Elementary Education, minor in Psychology
University of Northern Colorado; Greeley, CO; MA Reading (remedial concentration)
Western Washington University; Bellingham, WA; Coursework for Type D Certificate
University of Denver; Denver, CO; Type D Administrative Certificate

FELLOWSHIPS

-The Art and Craft of the Principalship, The Principal's Center; Harvard University
-Principal Leadership Academy, Tointon Institute for Educational Change; University of Northern Colorado

RELEVANT EXPERIENCE (42 years)

- Elementary Teacher- Taught 1st, 3rd, 4th grades all subjects, Delta County School District, Colorado (15 years)
- Elementary Principal, Delta County School District, Colorado (14 years)
- Literacy Coordinator RtI and 21st Century Community Learning Director, Delta County School District, Colorado (1 year)
- School/District Improvement Specialist, Alaska Comprehensive Center at Southeast Regional Resource Center, (SERRC), Anchorage, AK (6 years)
- Alaska State Liaison to the National Center on Teacher Quality and the National Center on Innovation and Improvement for the Alaska Comprehensive Center at SERRC, Anchorage, AK (6 years)
- Indistar Shepherd for State Education Departments in Oregon and Alaska through the Center on Innovations in Learning (CIL), Temple University (1 year)
- Director Project CREATE: *Culturally Responsive Evidences for Teacher Effectiveness*, USDOE and ANEP grant, SERRC, Anchorage, AK (4 years)
- Director *PASSAGES to Academic Success*, USDOE and ANEP grant, SERRC, Anchorage, AK (2015-present)
- Director Professional Learning, SERRC, Anchorage, AK; (2012-present)
- Senior Associate, Center for Culturally Proficient Educational Practice; 2018

TRAINING/PRESENTATION EXPERIENCE

- Facilitator of Active Teaching and Active Parenting Workshops
- Facilitator of Fred Jones Workshops
- Facilitator of Reading Recovery
- Initiated Core Knowledge Curriculum in three elementary schools
- Developed and facilitated Conflict Resolution programs for elementary students to become Playground Mediators
- Instructed Core Virtues program for students

- Facilitator of F.A.S.T. Learning program for reading intervention
- Initiated iMAP (Individual Mission and Achievement Plans) for RtI
- Initiated Curriculum Mapper for mapping school's curriculum
- Partnered with Alaska Education Innovations Network to organize two Professional Development Symposiums in Anchorage, Alaska
- Presented at the Alaska Association of School Boards Winter Boardsmanship Academy
- Facilitated Data Retreat Analysis approach for school improvement planning
- Facilitated trainings in AIMSweb
- Facilitated Dr. Marzano's "The Art and Science of Teaching"
- Presented at Association of Education Service Agencies "Alaska STEPP" (INDISTAR) Program of School Improvement
- Provided technical assistance, guidance, and support for INDISTAR, an online school and district improvement software program for Oregon DOE and Alaska DOE
- Liaison for Alaska to the National Center on Teacher Quality and the Center on Innovation and Improvement (CII)
- Trained audit teams for assessing instruction in schools/districts
- Member of design team for Alaska Dept. of Education in developing an alternative licensure program (AKT2)
- Coordinated a planning committee with representatives from a 9-state region for the Pacesetter State Initiative sponsored by CII
- Presented webinars with Alaska State Department of Education on Leadership and Teacher Evaluation
- Member of statewide teacher quality committee for two years helping review and revise state regulations for teacher evaluation
- Organized, facilitated, and presented at a statewide conference on teacher evaluation using the Marzano Causal Model
- Presented at National Association of Education Service Agencies *"Guide to Implementing Alaska Cultural Standards for Educators"*
- Presented at National Indian Education Association *"Culture in the Classroom"*
- Facilitated Cultural Proficiency trainings from the Center of Culturally Proficient Educational Practice
- Facilitated Grove International's Strategic Design Process

AWARDS

- Thelma Pett Award from CCIRA for continuing action research project as a first-grade teacher (Colorado)
- Governor of Colorado's Distinguished School Improvement Award while a principal at one of the schools in Delta County School District

ARTICLES

- White Paper: Implementing Alaska Cultural Standards for Educators in Evaluation Systems: Issues, Solution, and Guidance
- Guest blog on Teaching Channel Teams called: "Life Begins at the End of Your Comfort Zone: Evaluating and Growing Culturally Proficient Schools"

REFERENCES

Available upon request

Martha Gould-Lehe
520 Peppertree Loop
Anchorage, AK 99504
(907) 338-4469

Formal Education

1993 Kansas University; Lawrence, Kansas, M.S. Education
1987 University of Alaska, Anchorage, Alaska, B.A. Elementary Education. Cum Laude.
Type of certification K-8 on file with the State of Alaska.

2013-2014 Southeast Regional Resource Center, Project CREATE Education Specialist

Teaching Experience

2013-2008 Alaska Native Cultural Charter School
2010 Reading Teacher, ASD Summer School, William Tyson, Grade 3
2000-2008 Muldoon Elementary, ASD, Grade 5 – 6 (Teacher-In-Charge, TIC)
1997-2000 Kassuun Elementary, ASD, Grade 5
1996-1997 Chugiak Elementary, ASD, Grade 6 (TIC)
1989-1996 Muldoon Elementary, ASD, Grade 4, 5, 6 (TIC)
1988-1989 Ursa Minor Elementary, ASD, Grade 5
1998-2006 Southeast Regional Resource Center – SERRC Cultural Coordinator (math and science summer camp for Alaska Native seventh and eighth grade students)

Professional Development

Marzano Art & Science of Teaching, summer 2013
Gurian Institute – How Boys & Girls Learn Differently, summer 2012
Sally Ride Science Academy; San Diego, CA, summer 2011
Explore Alaska! - Alaska Native and Western Perspectives on Earth's Systems, 2010
International Learning Styles Institute Lakeland, NY, Summer 2009
University of Alaska, Fairbanks Math in a Cultural Context, 2008-2009
University of Washington Best Practices in Reading, 2005-2006
ASD Writing Effective Assessments 2005-2006
ASD EXCELS Program

Honors and Awards

2013 North Star Service Recognition Award
2000 BP Teacher of Excellence
1987 UAA Dean of Education Award for Undergraduate Studies

Professional Services

STEM: Elementary Math Site-Based Teacher
Develop culturally relevant curriculum
Bilingual Conference presenter
National Presenter for SERRC
ASD Teacher Mentor and Peer Couch
Building level coordinator: Math Derby, Learning Fair, and Cultural Events

Products:

Units of instruction written as a Consortium member of the ECHO Project. This was an affiliation of museums to recognize Alaska's contribution to the whaling industry. The museums involved were: Salem, MA - Peabody Essex Museum, Hawaii's Bishop Museum, Barrow, AK - The Iñupiat Heritage Center, and Anchorage, AK - the Alaska Native Heritage Center. This was a 3-year commitment with travel to the various museums.

Cultural units of instructions written for SERRC'S ANSWER Camp.

Synergistic Activities

Founder of the Alaska Native Cultural Charter School in Anchorage, Alaska.

Presenter of Project Archaeology

Speaker for college education classes on the topic of cultural issues, sensitivity, and curriculum integration.

Instructor of record for Alaska Pacific University and University of Alaska

Art & Science of Teaching; Passages (classes taught)

Collaborators & Other Affiliations

Contributing author:

Earth's Caretakers: Native American Lessons. University of Kansas. 1993. National Science Foundation Grant TPE9050255.

Stop Talking. University of Alaska, Anchorage, and Alaska Pacific University. 2013. *Stop Talking*: Indigenous Ways of Teaching and Learning and Difficult Dialogues in Higher Education.

MELISSA LEEANNE GRIFFITHS

melissa.leeanne@gmail.com 914 Calhoun Ave. #1, Juneau, AK 99801 907 209 6798

Administrative and Program Assistant – January 2011 – Present
At the Juneau Economic Development Council, I handle administrative functions of the office and assist in organizing events and program support.

Teaching Artist – January 2010 to present
As a teaching artist I am an independent contractor and have been employed by various entities, most recently Juneau Charter School. I teach children ages 7-13 years, creating lesson plans and instructing students.

Southeast Regional Field Director – July 2010 to November 2010
On the Alaska gubernatorial campaign of Ethan Berkowitz, I served as the Southeast Alaska field Director, supervising a field organizer, organizing volunteers and events, contributing to Southeast policy, also some copy writing.

Field Organizer – July 2009 to December 2009
As the Southeast Alaska representative for Repower America, I was tasked with community outreach and organizing in my community, as well as communicating policy and technology relating to clean energy.

Auction Assistant – March 2009 to May 2009
Working under the supervision of the Office Manager for CoastAlaska KTOO Public Broadcasting, I organized the Spring Auction, collecting and soliciting donations from donors old and new, updating and maintaining the database, etc.

Administrative Intern – November 2008 to December 2008
At Oceana's main Pacific office, I temporarily took over the functions of the office manager and administrative assistant, acting as receptionist and attending to general office duties, taking on special projects when I could.

Field Organizer – August 2008 to November 2008
On now Senator Begich's 2008 campaign, I was a valuable team member on the Southeast Alaska field team, handling the largest community as well as some smaller neighboring communities, doing constituent and volunteer outreach.

Editorial Cartoonist – January 2007 to May 2007
I drew the editorial cartoons for the Collegian Newspaper of Willamette University, publishing weekly.

Complete work history is available upon request. Above listed positions are all temporary in nature.

Bachelor of Arts in International Studies – August 2003 to May 2007
Willamette University – Salem, Oregon
Thesis - *Die Weisse Rose: Political Resistance in the Third Reich*
Relevant Coursework – Microeconomics, International Economics, Politics of Advanced Industrialized Nations, German Economic Policy, International Politics, Statistics, Senior Seminar in International Studies

Proficient in Mac and Windows operating systems; Microsoft Office Suite, especially Outlook, Word, Excel; Adobe Creative Suite, specifically Photoshop and InDesign; Social Networking and New Media, mainly Facebook, Twitter, Blogging; basic website maintenance using HTML; word processing; Adobe Acrobat Professional; familiar with various opensource alternatives; internet research as well as journal databases.
Leadership training through Leadership Juneau in 2008.

Gene C. Sharratt, Ph.D.

Vitae

1494 Eastmont Ave., #63
East Wenatchee, Washington 98802
gsharratt@wsu.edu (work and personal) (509) 670-3222 (work and personal cell)

EDUCATION

1983 **Ph.D.** **Washington State University**, Pullman, Washington. Major-Curriculum, Minor-School Administration

1974 **M.A.** **Pacific Lutheran University**, Tacoma, Washington. Major-School Administration; Minor-Guidance and Counseling

1972 **B.A.** **Washington State University**, Pullman, Washington. Major-Elementary Education

1970 **A.A.** **Highline College,** Midway, Washington. History

PROFESSIONAL EXPERIENCE

7/16- Present Executive Director, OSPI/AESD Network (Statewide Professional Learning Network – Responsible for alignment and coherence in professional learning for Washington K-12 teachers and school administrators). Work with $278M, nine ESD total budget.

7/16 – Present Higher Education Consultant for HCM Strategists (Washington DC firm) to support HCM's client, The Gates Foundation, by serving as the Washington State consultant in support of "building stakeholder engagement to advance Washington state's postsecondary goals project" for the Gates Foundation. Bill & Melinda Gates Foundation grant ($2M). Recently renewed (October 2018).

7/13 – 7/16 Executive Director, Washington Student Achievement Council (Cabinet Level Position with Governor Inslee Administration) Staff of 105 FTE, Agency operating budget of $15M, $300 financial aid distribution (State Need Grant, College Bound Scholarship, Work Study), and related postsecondary fiscal services totally nine percent of state budget ($6.5 B).

Created by the Legislature in 2012, the Council is the lead state agency bringing together all sectors of the state's education system to improve access, attainment, and outcomes for all Washington citizens, from early learning through higher education. The Council's primary duty is to build a comprehensive10-year Roadmap that will help foster educational attainment, recommend policy and legislative/budget priorities for the Governor and state legislature, administrator state financial aid, oversee the College Savings Program ($2.2B) formerly the GET (Guaranteed Education Tuition), facilitate grants writing and grants management, oversee agency research center, facilitate publication development and dissemination, support expanded agency communication, oversee institution program approval, and develop and report accountability metrics to the Governor and legislature.

9/03 - 6/13	Clinical Associate Professor, Washington State University – School Superintendent Certification Program Director. Recipient of state and national program certification awards (identified under professional program awards section of this vitae).
7/02 – 8/05	Project Field Director, Partnership for School Leadership, US Department of Education Grant
7/91 – 6/02	Superintendent, North Central Educational Service District, Wenatchee, Washington.
7/88 - 7/91	Superintendent, Chehalis School District, Chehalis, Washington.
8/84 - 6/88	Assistant Superintendent- Yelm Community Schools, Yelm, Washington.
2/83 - 7/84	Principal, Naches Valley Primary School, Naches, Washington
6/81 - 1/83	Teaching Assistant – Graduate Student, Washington State University, Department of Education.
9/72 – 6/82	Teacher, Elementary (grades 1-5) and High School Counselor - Washington, Norway, and Alaska

My teaching experience included: four years teaching second and fourth/fifth grade with the Olympia school district; two years teaching first grade at the Stavanger, Norway American School; two years teaching third and fourth grade with the Yelm School District, and four months as a high school counselor in Kodiak, Alaska (filling in for the high school counselor who was also a state senator who was in Juneau for the legislative session). I was responsible for Naïve Alaskan students at Kodiak High School.

PROFESSIONAL AWARDS

2019 President's Leadership Award – Association of Educational Service Districts

2016 Advocate for Education Award – College of Education, Washington State University

2016 Excellence in Leadership Award – College Success Foundation

2015 Valarie Logan Leadership in Washington Science Education Award (Institute for Systems Biology)

2015 Distinguished Alumnus Award, Highline College

2013 Washington Association of School Administrators Lifetime Legacy Award

2013 Association of Washington School Principals Lifetime Achievement Award

2013 Spirit of Education Lifetime Legacy Award, College of Education, Washington State University

2011 Service to School Leadership Award, Washington Association of School Administrators

2009 Distinguished Alumni Award, College of Education, Pacific Lutheran University

2008 Faculty Excellence in Teaching Award, Washington State University

2008 Excellence in Service to Profession Award, Washington State University, College of Education

2008 World Harmony Torch Bearer Award, Jamaica, New York

2005 President's Award for Service and Leadership, Association of Washington School Principals

2003 Washingtonian of the Year 2003. Association of Washington Business and Education Leaders

2003 Washington State University Alumni Achievement Award, Washington State University

1997 Distinguished Scholars Award, Washington State University College of Education

1992 Washington State Bilingual Leadership Award, Washington Association of Bilingual Educators

1991 Washington State School Superintendent of the Year

1988 National Educational Administrator of the Year Award

1988 Washington State Educational Administrator of the Year Award

1982 Outstanding Teacher Award, Pi Lamda Theta Educational Honorary Society, Washington State University

PROFESSIONAL PROGRAM AWARDS

Distinguished Educational Leadership Award, Washington PDK for the WSU School Leadership Program as the recipient of the PDK "Great Teacher Award for 2009."

State University Program Award, WSASCD (Washington State Association of Supervision and Curriculum Development), to the WSU School Leadership Program. October 2008.

"Gold Ribbon" Award Winner from the Association Trends All Media Contest, (2014), Columbia Books, Inc., for the Washington Association of School Principals Evaluation Guide, in the category of Book/Manual/Catalog www.AssociationTRENDS.com/salute (Jamie Herring, Marketing Manager Jherring@columbiabooks.com)

SELECTED PUBLICATIONS

National @ Copyright Leadership Framework

Lashway, L., Cohn, G., & Sharratt, G.C. (2018), Washington Standards-Based Superintendent Framework. Olympia, Washington (www.wssda.org) Copyright 2018 (rewrite from 2013 framework to align with National Educational Leadership Preparation (NELP) Standards for District Level Leaders.

Kipp, G., Quinn, P., Lancaster, S., Malone, G., Lashway, L., Lochmiller.C. & Sharratt, G.C. (2014). The Association of Washington Association of School Principals Leadership Framework User's Guide www.awsp.org/usersguide Olympia Washington (National Gold Ribbon Award Winning Guide from the Columbia Books, Inc., AssociationTRENDS, 2014)

Lashway, L., Cohn, G., Gore, P., & Sharratt, G.C. (2013), The Washington Standards-Based Superintendent Evaluation. Olympia, Washington (mail@wssda.org) Copyright 2013

Kipp, G., Quinn, P., Gordon, J., & Sharratt, G.C. (2012). The Association of Washington School Principals Leadership Framework to Support Principal Development. Olympia, Washington www.awsp.org/evaluation Copyright 2012

National Peer Reviewed

Sharratt, G. C. & Derrington, M. L., (2010). Washington State School District Characteristics that Attract or Diminish Female Interest in a Superintendent Position. *Advancing Women in Leadership Journal*, Winter, 2010

Derrington, M. L. & Sharratt, G. C. (2009). Female Superintendents: Breaking Barriers and Challenging Life Styles. *Delta Kappa Gamma Bulletin: International Journal for Professional Educators,* Winter, (75) 2, 8-12.

Derrington, M. L. & Sharratt, G. C. (2008). Evaluation of School Principals Using Interstate School Leaders Licensure Consortium (ISLLC) Standards. *AASA Journal of Scholarship & Practice.* *5*(3), 19-28.

Sharratt, G. C., Budge, K., & Talbott, B. (2006). Educational Service Agencies: A Significant Partner in District-Wide Improvement. *Perspectives: A Journal of Research and Opinion about Educational Service Agencies*, 12(Fall), 9-16.

State Peer Reviewed

Sharratt, G.C., & Derrington, M. L., (2011). Building a Culture of Support for Learning. *Washington State Kappan: A Journal for Research, Leadership, and Practice.* 5(2), pp: 4-8.

Derrington, M. L., & Sharratt, G. C., (2011). Lessons on Leading and Learning. *Washington State Kappan: A Journal for Research, Leadership, and Practice.* 5(2), pp: 28-29.

Sharratt, G.C., & Klinke, K... (2011). Principals: The Catalyst for Innovations and Improvements in Science Achievement, *Washington State Kappan: A Journal for Research, Leadership, and Practice.* 5(1), pp: *8-10.*

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WORK HIGHLIGHGED IN RECENT STATE PUBLICATIONS

Clark, Larry. (2018), Returns on Education. *Washington State Magazine,* 17(4), 27-33. (Article provides focus on successful strategies for recruitment and retention of students of color into the Washington teacher core)

PROFESSIONAL SERVICE

State of Washington

2013- Present Chair, Governor Inslee's STEM Education Innovation Alliance, statewide effort to align STEM workforce demands with educational training opportunities – Task force of business, labor, educational, and elected leaders for the purpose of raising STEM awareness and educational/workforce opportunities for Washington. Wrote National Association of Governor's Grant ($250,000) to secure funding for initial funding. Governor Inslee continued funding for the past two years from his operational budget. Funding is secure through 2021.

2013-2016 Chair, Governor Inslee's Results Washington, Goal One Committee: World Class Education. Governor Inslee has proposed five goal initiatives to lead Washington in educational and economic development. Goal One, World Class Education, is represented by 14 agencies, from early learning to postsecondary education, for the purpose of raising attainment for all Washingtonians. This committee meets regularly and reports to the Governor. I chaired the Goal One Committee and developed dashboard metrics highlighting goal attainment for three years while I served on his cabinet.

Editing

Member of the *Washington State Kappan Journal* editorial board (2007 to 2012) state peer reviewed journal

Invited reader/reviewer for *Advancing Women in Leadership Journal* (Fall 2010 and Spring 2011) national Peer-reviewed journal

College of Education

2009-Present – Member of the President's Associate Foundation of Washington State University.

2009-13-Instructor and leadership coach for the Washington Leadership Academy. This statewide effort is coordinated through the Washington Association of School Administrators (WASA) and the Association of Washington School Principals (AWSP), with funding from the state legislature and the Gates Foundation, to provide job-embedded professional leadership training to school district leadership teams throughout Washington.

2009 – One of three appointed representatives from the College of Education to serve on the UCEA, *Leveraging Program Development in University-Based Leadership Preparation* project. Assisted in application writing with colleagues Dr. Len Foster and Dr. Joan Kingrey.

2009 – Participated in data collection, program and materials assembly for NCATE and OSPI accreditation visits – WSU Superintendent Certification Program successful passed both accreditation reviews. Superintendent Certification Program received an "***Exemplary for Field Experiences and Clinical Practices for the Initial Superintendent Preparation Progra***m."

2008 – Facilitated the STEM (Science, Technology, Engineering, and Math) Feasibility Study for the OSPI on the need to embed CTE (Career and Technical Education) and skill center high level courses into the STEM (Delta High School) program in the Tri-cities. Programs such as Project Lead the Way and Engineering by Design are two examples of course-embedded high technology programs. Study recommendation was strongly supportive of these and related courses into STEM high school programs.

2008 – 2013 - Chair and Hearing Officer for OSPI, Professional Practices Advisory Committee on Certificated Professional Conduct. Lead and facilitate a nine-member professional committee which reviews investigations, hears testimony, and adjudicates all certificated staff appeals for disciplinary action sought by OSPI for violations of the Code of Unprofessional Conduct. Quarterly meetings at OSPI.

2008 – Facilitated the Grant County Skill Center Feasibility Study to determine the need for a branch campus skill center associated with the North Central Washington Technology Skill Center (Wenatchee). The year-long study recommendation confirmed the need for high tech skill development. The skill center was approved for funding. ($30M was allocated by the state legislature)

2007 – Co-wrote grant, "Leadership Matters: Improving Teacher Quality for Mathematics Instruction," for the College of Education School & Community Collaboration Center. Submitted to Higher Education Coordinating Board. Grant was funded.

2004 – Co-conducted College of Education Partnership Center Study with Dr. Joan Kingrey. Provided recommendations to College of Education leadership.

PROFESSIONAL MEMBERSHIPS

AESA (Association of Educational Service Agencies)
SHEEO (State Higher Education Executive Officers Association)
WHICE (Western Interstate Commission for Higher Education)
Association of Supervision and Curriculum Development (ASCD)
Washington Association of School Administrators (WASA)
Association of Washington School Principals (AWSP)
Washington Education Research Association (Past President, 1990-91)
Phi Delta Kappa (National and State)
Washington Educational Research Association (WERA)
Washington State School Directors Association

PROFESSIONAL AND INTERESTS

Equity and Opportunity	Grants Writing and Management	Revenue Creation/Generation
Special Needs Students	SPED Students Inclusion	Cooperatives/Business Development
Early Learning	Science and Mathematics Literacy	Assessment & Program Evaluation
Strategic Planning	STEM Literacy and CTE Promotion	K-12 and Higher Education Transitions
Project Planning	K12 Attainment Metrics	Collaboration and Systems Alignment
Culture Competence	Professional Learning	Measurement
Writing and Publication	Presentations	Adult Learning

PERSONAL PUBLISHING

Author of self-published educational and motivational book, "*Keeping on your feet.*" Book highlights the value of hope, vision and commitment to overcoming challenges.

ADDITIONAL PROFESSIONAL LEADERSHIP RESPONSIBILITIES

Career Leadership Experience.

President, Washington Educational Research Association, 1990-91, member emeritus.

President, Kappa Delta Pi, Honor Society, Washington State University Chapter, 1981 -82.

Washington State Economic Council Consultant - Wrote economic assessment questions for elementary students in Washington State, 1981-82. In addition, served as an advisor in the 1985-86 rewriting of the third-grade curriculum, The Book Company," and the fourth grade "Market Place."

Washington State School Directors' Association and Washington Association of School Administrators – Conducted research regarding superintendent selection and school board elections. Completed ten year study (1992 – 2002) on incumbent board member election defeat in Washington.

Military Leadership Experience

U.S. Army, Vietnam, Paratrooper, 173rd Airborne, Sgt. E-5, 1967-1969 (Bronze Star, Army Commendation Medal, Good Conduct Medal, Vietnam Service Medal, and Combat Infantryman Badge).

Jessica S. Vavrus, M.P.A.

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Professional Goal

I am strongly committed to public service, especially public education; policy development and implementation; and collaboration/partnerships at the local, regional, and state levels. My professional goal is to continue to strengthen public education by building partnerships with stakeholders, supporting system and policy development, and facilitating implementation of state initiatives to increase equity and access to high quality educational opportunities and positive outcomes for Washington State educators and students.

Professional Experience

Director of Government Relations — **Dec. 2015 – Present**
Deputy Executive Director — **August 2017 – Present**
Washington State School Directors' Association; Olympia, WA

- Facilitate the association's advocacy efforts on behalf of the 1,477 members serving as directors in 295 school districts, including development of the association's annual legislative agenda.
- Support school directors across the state with information about legislation, the legislative process, and other issues.
- Support the association's Legislative Committee and Trust Lands Advisory Committee by:
  - Working with the chairs to plan and facilitate meetings throughout the year.
  - Preparing of meeting and briefing materials for the committee.
  - Designing and choreographing the association's annual Legislative Assembly.
- Direct all aspects of the association's government relations and advocacy efforts, including:
  - Serve as the association's legislative liaison working closely with state legislators and other statewide education associations and agencies (including the Office of Superintendent of Public Instruction, the Department of Natural Resources, and other K-12 education public and private stakeholders) to advocate for and communicate the associations legislative positions and priorities.
  - Conduct one-on-one meetings with legislators and their caucus/committee staff throughout the year.
  - Draft and provide input on bill language, including preparing and delivering testimony before state/local government, fiscal, and education committees.
  - Provide information, as requested, regarding the association's positions and priorities.
  - Develop and disseminate informational materials, including weekly legislative updates and webinar presentations.
- Partner with the Washington Association of School Administrators and the Washington Association of School Business Officials to co-sponsor and facilitate the annual Legislative Conference and Day on the Hill for more than 500 school district participants.
- As the Deputy Executive Director:
  - Act on behalf of the Executive in his/her absence.
  - Represent the association externally to media, government agencies, membership, and the public.
  - Serve as a lead in the formulation and implementation of board policies, procedures, and programs that further the goals and objectives of the association including the continuous monitoring and evaluation of programs, services and needs of the association in an effort to create a culture of continuous improvement.
  - Support ongoing and targeted external partnerships with school districts, and statewide education leaders and associations.
  - Co-lead agency efforts to develop and refine internal processes related to core association functions.

Assistant Superintendent of Teaching and Learning **June 2010 – Dec. 2015**
Director of Teaching and Learning **Feb. 2007 – June 2010**
Washington State Office of Superintendent of Public Instruction; Olympia, WA

- Directed implementation of curricular and instructional initiatives in support of Washington's four state learning goals, basic education priorities, and education policies.
- Served as a cabinet member for two state superintendents (eight years) and lead for high risk projects such as state-level learning standards adoption processes and instructional materials reviews.
- Served as agency lead for teaching and learning partnerships and regional delivery system efforts with the Association of Educational Service Districts (AESD).
- Provided departmental leadership and oversight of 29 divisional staff. Included developing and streamlining budgets (totaling over $24 million annually), coordinating legislative requests, managing human resources, and developing program management communications and processes.
- Provided planning, oversight and guidance for divisional budget totaling $8-9 million annually.

Reading First Assistant Administrator **April 2004 – Feb. 2007**
Washington State Office of Superintendent of Public Instruction; Olympia, WA

- Managed federal state appropriation of approximately $16 million per year from the U.S. Department of Education (Title II, Part B).
- Led all aspects of program operations including annual determination of school district eligibility for funding and facilitation of the competitive application and award process.
- Directly supervised three administrative staff and oversaw human resource management (including recruitment) for 11 field staff.

Washington Reading Corps State Director **July 2001 – April 2004**
Washington State Office of Superintendent of Public Instruction; Olympia, WA

- Managed all aspects of $3.8 million annual budget, including $2.5 million in state grants to schools.
- Served as the state leader for the design, grantee selection, implementation, technical assistance, and evaluation of the program in close collaboration with state partners, including the Governor's Office and National Service.
- Provided guidance to 175+ schools in 86+ districts regarding program design and grants management including budget management, reading intervention delivery, and volunteer recruitment and training.

Washington Reading Corps Program Coordinator **Sept. 2000 – July 2001**
Washington State Employment Security Department; Lacey, WA

- Managed program contracts of four statewide program partners community-based partners (Vancouver, Walla Walla, Chelan, and Olympia),, including program compliance monitoring and review of fiscal expenditure reports for compliance with federal guidelines.
- Maintained personnel employment records for 100+ AmeriCorps and VISTA Members, including providing support and approval for any human resource corrective actions.
- Collaborated with other state agencies (including OSPI and the Governor's Office) to perform community outreach to facilitate member recruitment.

AmeriCorps Program Coordinator **Aug. 1998 - Aug. 2000**
Washington Reading Corps and Youth in Service Education Team
Community Youth Services (CYS); Olympia, WA

- Recruited, placed, managed and supported 130 AmeriCorps and VISTA Members to serve in 60 elementary schools in four counties.
- Developed content for and facilitated annual and monthly Member and supervisor training.
- Wrote monthly, quarterly and annual program reports.
- Developed community presentations for recruitment and overall program awareness.

AmeriCorps Member – Youth Services Coordinator **Feb. 1997 – Jan. 1998**
Carol Yoakum Family Resource Center; Lincoln, NE

Executive, Consumer, and Independent Contract Interviewer **May 1995 – Aug. 1999**
The Gallup Organization; Lincoln, NE and Seattle, WA

Education

Master of Public Administration; Emphasis in Education Policy **June 2003**
The Evergreen State College; Olympia, WA

Leadership Forum for National Service Executives **June 2001**
The University of Washington-Evans School of Public Affairs; Seattle, WA

- 30-hours of coursework which included Elements of Organizational Success; Strategic Planning; Managing Strategic Change; Effective Partnerships; Fiscal Capacity and Making Sound Fiscal Choices; and Program Budgeting, Evaluation, and Performance Measurement.

Facilitative Leadership Training **Feb. 1999**
National Service Leadership Institute; Corporation for National Service; San Francisco, CA

- 50-hours of coursework which included strategic visioning, meeting facilitation, group decision making/team building, project coordination, situational leadership, and public speaking.

Bachelor of Science: Criminal Justice **May 1996**
University of Nebraska; Lincoln, NE

- Emphasis in Pre-Law/Juvenile Justice with Minors in Spanish and Music
- Included cross-cultural and language studies at the Technology Institute of Monterrey; Queretaro, Mexico, May 1994

Todd E. Johnson, Ph.D.

Director, Center for Research and Data Analysis
Capital Region Educational Service District #113

Office Address:
Center for Research and Data Analysis
Capital Region ESD #113
6005 Tyee Drive SW |Tumwater, WA 98512
Phone: (360) 464-6740 | Fax: (360) 464-6900
E-mail: TJohnson@esd113.org

EDUCATION

2002 Ph.D. Auburn University, Auburn, AL
Major: Educational Psychology - Research/Evaluation specialization
Dissertation: *Canonical correlates of the theory of reasoned action for students choosing to major in engineering*

1993 M.A. University of Northern Colorado, Greeley, CO
Major: Rehabilitation Counseling - Vocational Evaluation emphasis

1987 B.S. Western Oregon University, Monmouth, OR
Major: Psychology - Minor: Sociology

2012-Present Endorsed Assessor: Youth Program Quality Assessment (Youth-PQA)
2014-Present Endorsed Assessor: School Aged Program Quality Assessment (School Age-PQA)

RESEARCH AREAS

- Research/Evaluation/Statistics
- Educational access/academic sustainability
- TEAMS (Technology, Engineering, Assessment, Math, and Science)

MEMBERSHIP

Member, American Educational Research Association
Division D- Measurement and Research Methodology
Division H- Research, Evaluation, and Assessment in Schools
Division K-Teaching and Teacher Education
Member, American Society of Engineering Education
Division - Educational Research and Methods
Division - Freshman Programs
Division - K-12 & Pre-College Engineering
Division - Information Systems
Member, National Council on Measurement in Education
Member, Washington Association of School Administrators
Member, Washington Educational Research Association
Board Member, Washington State ACT Council
Board Member, Washington 21st CCLC Evaluation Advisory Group
Board of Directors Member, School Information and Research Service
Board of Directors Member, Academic Development Institute
Board of Directors Member, Arivva Center for Arts and Technology

CURRENT EXPERIENCE

EDUCATIONAL SERVICE DISTRICT #113

June 2007–Present **Director, Center for Research and Data Analysis**
Capital Region Educational Service District #113
Tumwater, WA

Established to provide data analysis, assessment, evaluation, and grant-procurement support services to schools and districts in the region. A major part of the work is to increase awareness and use of evidenced based practices to increase student development and achievement.

ACADEMIC EXPERIENCE

SAINT MARTIN'S UNIVERSITY

Sept 2017–Present **Adjunct, College of Education and Counseling Psychology**
Saint Martin's University
Lacey, WA

Provide educational research methods fundamental knowledge and skills necessary for conducting quality research in education and related social science fields. How to formulate important research questions, design and carry out studies to provide answers to these questions, and critically evaluate the results and conclusions from other educational research studies.

WASHINGTON STATE UNIVERSITY

Aug 2002–May 2007 **Assistant Professor**, Educational Psychology
Department of Educational Leadership & Counseling Psychology
College of Education, Washington State University

Taught courses in educational psychology covering learning theories, educational statistics & measurement, assessment, research methods, and program evaluation. Conducted evaluation work through the Assessment and Evaluation Center within the College of Education.

Sep 2003–May 2004 **Coordinator**, Classroom Assessment for Elementary Teachers
College of Education, Washington State University

Site monitor, taught classroom assessment for elementary teacher's course, and was student practicum faculty liaison.

AUBURN UNIVERSITY

Aug 2000-May 2002 **Graduate Research Assistant**
Department of Educational Foundations, Leadership, &
Technology College of Education, Auburn University

Qualitative and quantitative data collection and reporting to the College of Engineering activities related to recruitment and retention.

Aug 2000-Jul 2001 **Graduate Teaching Assistant**
Department of Educational Foundations, Leadership, &
Technology College of Education, Auburn University

Research, evaluation, measurement, and statistics support to students taking educational psychology course.

Aug 1998- Jun 2000 **Graduate Research/Teaching Assistant**
Department of Rehabilitation and Special Education
College of Education, Auburn University

Taught undergraduate courses in vocational evaluation, introduction to rehabilitation technology, and supervised student practicum experiences.

PROFESSIONAL EXPERIENCE

Dec 1995- Jan 1998 Coordinator of Rehabilitation Training
College of Education, University of Memphis

Statewide and on-site training to Tennessee Department of Human Services/Division of Rehabilitation Services personnel in vocational evaluation, work adjustment, job readiness/placement, community-based programs, rehabilitation counseling, and transition from school to work services.

Aug 1993- Dec 1995 Rehabilitation Training Center Manager
TN Division of Rehabilitation Services Manchester Tennessee

Managed the vocational rehabilitation-training center including maintenance of the budget and facility, administration of the vocational rehabilitation program, and supervision of personnel.

Jun 1992-Aug 1992 Internship, Rehabilitation Counselor & Vocational Evaluator
TN Division of Rehabilitation Services Smyrna Tennessee

Administered and interpreted test data regarding an individual's interest, abilities, and aptitudes in relationship to vocational potential leading to appropriate placement into educational, vocational, and community settings to facilitate the attainment of educational and workforce goals.

1991-1992 Job Coach/Placement Specialist
Schaefer Enterprises, Inc. Greeley, Colorado

Supervised, trained, and provided job development, placement, and counseling services for individuals in need of specialized placement services to facilitate the attainment of workforce goals.

1990-1991 Employment Services Manager
Mid-Valley Rehabilitation, Inc. Amity, Oregon

Managed the Employment Services Department implementing and developing training programs for behaviorally challenging consumers, conducting situational assessments, vocational evaluations, job readiness, placement, and work adjustment services.

1990-1990 Habilitation Technician
Fairview Training Center Salem, Oregon

Assisted psychological staff in the development of behavioral programs to aid in the transition of residents from the state operated MR/DD institution into community-based programs.

1989-1990 Program Services Director
Riverside Training Center St. Helens, Oregon

Program management of employment services for persons with developmental disabilities that included maintenance of the budget, facility, and supervision of personnel.

1987-1989 Employment Specialist
Riverside Training Center St. Helens, Oregon

Job development, placement, work readiness training, and counseling for individuals in need of specialized placement services to facilitate the attainment of workforce goals.

PUBLICATIONS

JOURNAL ARTICLES (REFEREED)

Brophy, M., & Johnson, T. (2007). Dual enrollment at the community college and high school: Where do students hear about it? *Journal of Applied Research in the Community College, 15*(1), 49-55.

Johnson, T. (2007). Canonical correlation of elementary Spanish speaking English language learner's entry characteristics to current English language status. *Education, 127*(4), 400-409.

Maring, G., Davis, D., Doty, J., Johnson, T., & Fickle, M. (2006). Video conferencing in a bridge-building/mathematics activity. *Journal of Online Mathematics and its Applications, 6.* Online from *http://mathdl.maa.org/mathDL/4/?pa=content&* sa=viewDocument&nodeId=1344

Johnson, T., & Brophy, M., (2006). Dual enrollment: Measuring factors for rural high school student participation. *The Rural Educator, 28*(1), 25-32.

Pitre, P., Johnson, T., & Cowan-Pitre, C. (2006). Understanding predisposition in college choice: Toward an integrated model of college choice and theory of reasoned action. *College and University Journal, 81*(2), 35-42.

Johnson, T., Maring, G., Doty, J., & Fickle, M. (2006). Cybermentoring: Evolving high-end video conferencing practices to support preservice teacher training. *Journal of Interactive Online Learning, 5*(1), 59-74.

Simpson, R., Smith, S. & Johnson, T. (2003). Psychometric effects of altering the ceiling criterion on the Passage Comprehension Test of the Woodcock-Johnson Psychoeducational Battery-Revised. *Assessment for Effective Intervention, 28*(2), 35-40.

Shannon, D., Johnson, T., Searcy, S., & Lott, A. (2002). Using electronic surveys: advice from survey professionals. *Practical Assessment, Research & Evaluation, 8*(1). Online from http://PAREonline.net/getvn.asp?v=8&n=1.

McDaniel, R., & Johnson, T. (2000). AssessNet:Internet service for functional assessment and accommodation matching. *Journal of Rehabilitation, 66*(1), 43- 44.

Johnson, T. (1996). Ethics committee compiles casebook. *VEWAA Newsletter, 23*(3), 9.

PUBLISHED CONFERENCE PROCEEDINGS (REFEREED)

Johnson, T. (2006, June). Measuring changes in motivation and learning strategies: Comparing freshman to other undergraduates. *Proceedings of ASEE 2006: American Society for Engineering Education Annual Conference & Exposition. Chicago, IL: ASEE, Educational Research Methods Division.*

Johnson, T., & Miller, R. (2006, June). Measuring engineering classroom community: Learning and connectedness of students. *Proceedings of ASEE 2006: American Society for Engineering Education Annual Conference & Exposition. Chicago, IL: ASEE, Educational Research Methods Division.*

PROGRAM EVALUATION

Johnson, T. (2007-Present). Data Support - School Improvement. *Office of the Superintendent of Public Instruction*. Regional data support and training for schools in improvement, Olympia, WA.

Johnson, T. (2019- Present). Lewis County Behavioral Health. Kaiser Permanente. External evaluation for Educational Service District #113, Tumwater, WA.

Johnson, T. (2012-Present). Title 1 Nursing Services Program Assessment and Evaluation. Evaluation report for Educational Service District #113 and OSPI, Olympia, WA.

Johnson, T. (2018-Present). Youth Behavioral Health Project. Data and evaluation reporting for Cascade Pacific Action Alliance, Olympia, WA

Johnson, T. (2018-Present). Extended Learning- Ocosta School District *21st Century Community Learning Centers Evaluation*. External evaluation for Ocosta, Westport, WA.

Johnson, T. (2016-Present). Youth Marijuana Prevention and Education Program (YMPEP). Data and evaluation reporting for Cascade Pacific Action Alliance, Olympia, WA

Johnson, T. (2014-Present). Lighthouse- Ocosta School District *21st Century Community Learning Centers Evaluation*. External evaluation for Ocosta Service District #113 and OSPI, Olympia, WA.

Johnson, T. (2014- Present). JUMPSTART- Lewis County *21stCentury Community Learning Centers Evaluation*. Evaluation for Educational Service District #113 and OSPI, Olympia, WA.

Johnson, T. (2017-Present). Evergreen to Olympic School. *21st Century Community Learning Centers Evaluation*. External evaluation for Educational Service District #113 and OSPI, Olympia, WA.

Johnson, T. (2018- Present). Children's Behavioral Health – Pilot project. OSPI/ESD Behavioral Network. External evaluation for Educational Service District Network, Olympia, WA.

Johnson, T. (2013-2018). Link-Up- Mason County *21st Century Community Learning Centers Evaluation*. External evaluation for Educational Service District #113 and OSPI, Olympia, WA.

Johnson, T. (2013-2016). Department of Defense Middle School Algebra Math Program. Yelm School District External Evaluation Yelm, WA.

Johnson, T. (2013-2016). Thurston County Youth Recovery Oriented System of Care. External evaluation for Thurston County Department of Health. Olympia, WA.

Johnson, T. (2013-2016). Substance Use Awareness Media Campaign. External evaluation Capital Region ESD 113, True North. Tumwater, WA.

Johnson, T. (2012-2016). Title 1 Nursing Services Program Assessment and Evaluation. Evaluation report for Educational Service District #113 and OSPI, Olympia, WA.

Johnson, T. (2011-2016). JUMPSTART- Lewis County *21stCentury Community Learning Centers Evaluation*. Evaluation for Educational Service District #113 and OSPI, Olympia, WA.

Johnson, T. (2010-2015). JUMPSTART- Shelton School District *21st Century Community Learning Centers Evaluation*. Evaluation report for Educational Service District #113 and OSPI, Olympia, WA.

Johnson, T. (2013-2015). Thurston County Youth Recovery Oriented System of Care. External evaluation for Thurston County Department of Health. Olympia, WA.

Johnson, T. (2013-2014). Empowering Student Watershed Stewardship. External evaluation for Nisqually River Education Project, the Chehalis Basin Education Consortium, and South Sound GREEN. Lacey, WA.

Johnson, T. (2013). 1:1 Computing Implementation Evaluation. Ocosta School District.

Johnson, T. (2010-2013). Department of Defense Middle School Math Program. Yelm School District External Evaluation Yelm, WA.

Johnson, T. (2009-2012). Math, Science, Partnership Kiona School District Evaluation. Kiona-Benton School District: Benton City, WA

Feldman, S., Hickman, M., & Johnson, T. (2009-2010). CTE Math Academic readiness grant. WIRED- Pacific Mountain Workforce Development: Olympia, WA.

Johnson, T. (2009-2010). Research Briefs (4): Washington Rural Education Center. Washington State University: Pullman, WA

Johnson, T., & Feldman, S. (2008-2009). Evaluation of After-school community-based math programs. OSPI: Olympia, WA.

Johnson, T. (2008-2009). Washington State technical high school feasibility study. OSPI: Olympia, WA.

Johnson, T. (2008-2009). Dropout early warning and intervention system. Shelton School District, Shelton, WA.

Allen, C., Dean, J., Boyer, C., & Johnson, T. (2008-2009). Winlock School Improvement and professional learning communities. Winlock School District, Winlock, WA.

Johnson, T. (2007-2008). Co-Hort 1 - *21st Century Community Learning Centers Evaluation*. Evaluation report for Educational Service District #113, Olympia, WA.

Johnson, T. (2008-2009). Mason County Building Bridges. Evaluation report for Educational Service District #113, Olympia, WA.

Allen, C., & Johnson, T. (September & October 2007). Ridgeline Middle School Improvement Assistance for Yelm School District, Yelm, WA.

Trevisan, M., Johnson, T., & Huihua, H. (2007, May). *Statewide evaluation of the 21st Century Community Learning Centers Program: 2006 survey reporting and analysis*. Technical report for Office of State Superintendent of Public Instruction, Olympia, WA.

Trevisan, M., Johnson, T., & Huihua, H. (2006, May). *Statewide evaluation of the 21st Century Community Learning Centers Program: 2005 survey reporting and analysis*. Technical report for Office of State Superintendent of Public Instruction, Olympia, WA.

Johnson, T. (2005). *Using a collaborative learner-constructed engineering concept representation model in engineering education (ChE 201) - Post survey.* Technical report for work grant NSF Grant No.: EEC-0530708 - College of Engineering, Washington State University.

Johnson, T. (2005). *Using a collaborative learner-constructed engineering concept representation model in engineering education (CptS-121)- Pre-and Post- Results.* Technical report for work grant NSF Grant No.: EEC-0530708. College of Engineering, Washington State University.

Johnson, T. (2005, September). *Measuring classroom community: Chemical process principles and calculations (ChE 201)- First Survey.* Technical report for work grant NSF Grant No.: EEC-0530708 - College of Engineering, Washington State University.

REVIEWER & PANELIST

Office of Superintendent of Public Instruction. (2015-2016) Panelist: English Language Arts Menu of Best Practices and Strategies. Office of Superintendent of Public Instruction, Olympia, WA

Office of Superintendent of Public Instruction. (2016-2018) Panelist: Behavior Menu of Best Practices & Strategies. Office of Superintendent of Public Instruction, Olympia, WA

Tanner, D. (2012). *Using statistics to make educational decisions*. Los Angeles: Sage.

Howlett, S., & Bourque, R. (2011). *The complete guide to writing grant proposals.*

KRISTEN JAUDON, APR

kjaudon@esd113.org | 360-464-6715

I work strategically and with integrity to influence thought and action, knowing better understanding leads to better decisions.

RECENT WORK EXPERIENCE

Capital Region Educational Service District 113
Director of Communications & Public Engagement
(May 2016–present)

STRATEGY

- Develops and implements policies, procedures, and direction for internal and external communications.
- Collaborate with the state superintendent, government relations team, and other agency leadership to develop consistent messaging around the agency's and ESD region's priorities, goals, and vision.
- Identify and address challenges and emerging issues faced by the agency.
- Attends Executive Team and Leadership Team meetings to participate in the operational decisions of the agency.

RELATIONSHIPS

- Cultivates positive relationships with school district personnel, the community, and the news media.
- Coordinate professional development programs for agency personnel to ensure their communications are clear and effective, and ADA-accessible.
- Collaborate with work groups, both in and out of the agency, that support student success.

PRODUCTION

- Provide timely, transparent, proactive information about the agency's initiatives, key messages, and programs to school district personnel, community, and news media.
- Design, write, and edit digital, video, and print content (including news releases and fact sheets) for the agency and ESD region.
- Develop and manage communication standards, protocols, and tools to maintain brand consistency across agency products and support department, program, and agency goals.
- Curate and write content for the agency's social media accounts (Facebook and Twitter), and respond to user comments and inquiries.
- Evaluate and continuously improve the quality of communications through the use of surveys and other tools.

PROFESSIONAL AFFILIATIONS

Public Relations Society of America, Puget Sound Chapter

National School Public Relations Association

Washington School Public Relations Association

Ready Washington

South Sound Education Communicators Group

Olympia Communicators Group

EDUCATION

Accreditation in Public Relations (APR)
Universal Accreditation Board

Master of Arts in Art Education
The University of Alabama

Bachelor of Arts in English (writing emphasis) and Art
Pacific Lutheran University

Office of Superintendent of Public Instruction

Communications Specialist (February 2012–May 2016)

STRATEGY

- Collaborate with the state superintendent, government relations team, and other agency leadership to develop consistent messaging around the superintendent's priorities, goals, and vision.
- Identify and address challenges and emerging issues faced by the agency.

RELATIONSHIPS

- Respond quickly and accurately to questions from media, legislators, legislative staff, the executive branch, educators, and the public on existing and emerging K–12 issues and programs.
- Coordinate professional development programs for agency personnel to ensure their communications are clear and effective.
- Collaborate with work groups, both in and out of the agency, that support student success.

PRODUCTION

- Provide timely, transparent, proactive information about the agency's initiatives, key messages, and programs to school district personnel, community, and news media.
- Design, write, and edit digital, video, and print content (including news releases and fact sheets).
- Develop and manage communication standards, protocols, and tools to maintain brand consistency across agency products.
- Create talking points and PowerPoint presentations for public speaking events.
- Edit and review agency legislative reports.
- Manage the assessment, graduation, and family resources pages on the agency website.
- Curate and write content for the agency's social media accounts (Facebook and Twitter), and respond to user comments and inquiries.
- Evaluate and continuously improve the quality of communications through the use of surveys and other tools.

Kristen Jaudon, APR
kjaudon@esd113.org
360-464-6715

Cindy L Jouper, CPWA

Capital Region Educational Service District 113
6005 Tyee Rd SW
Tumwater, WA 98512
360-464-6708
cjouper@esd113.org

Administrator of Special Communications and Technology Projects, Communications Department, Capital Region ESD 113. Specializing in accessibility and web development. Responsibilities include training staff, developing websites and monitoring for accessibility, remediating documents to meet accessibility standards, and consulting with school districts on accessibility issues.

Certifications

Certified Professional in Accessibility Core Competencies (CPACC) – Awarded by IAAP.
Web Accessibility Specialist (WAS) – Awarded by IAAP.
Certified Professional in Web Accessibility (CWPA) – Awarded by IAAP. The CWPA is the highest level of certification offered by IAAP, and fewer than 200 people worldwide have achieved this certification.

Professional Membership

International Association of Accessibility Professionals (IAAP)

Training

Deque University Accessibility full curriculum
WebAIM Training, Logan, UT
WebAIM Onsite training, Tumwater, WA
WebAIM Online Document Accessibility Training

Software

Filemaker Pro
Tableau
Microsoft Office Suite
Google suite
Wordpress
Adobe Acrobat Pro

Gary Peterson

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Education

Lewis and Clark College — Portland, Oregon
- Oregon Standard Superintendent License
- Oregon Standard Administrator License

Western Oregon University — Monmouth, Oregon
- Master of Science in Elementary Education
- Oregon Standard Elementary Teaching License

Oregon State University — Corvallis, Oregon
- Bachelor of Science in Elementary Education
- Oregon Basic Elementary Teaching License

Canby High School — Canby, Oregon

Professional experience

Oregon Association of Education Service Districts — Salem, Oregon
- Executive Director, 2016 - present

Columbia Gorge Education Service District — The Dalles, Oregon
- District Superintendent, 2009-2016

Mid-continent Research for Education and Learning — Denver, Colorado
- Principal Consultant, 2007-2009

Redmond School District 2J — Redmond, Oregon
- District Superintendent, 2004-2006

Crook County School District — Prineville, Oregon
- District Superintendent, 1999-2004

Dayton School District No. 8 — Dayton, Oregon
- District Superintendent, 1996-1999
- Principal, Dayton High School, 1994-1996

Oakridge School District No. 76 — Oakridge, Oregon
- Principal, Oakridge High School, 1990-1994
- Assistant Principal, Oakridge High School, 1988-1990

Clackamas County School District No. 91 — Hubbard, Oregon
(Now part of Canby School District)
- Teacher, Grades 3,4 and 7, 1974-1988

Additional professional activities

2014-2016 President, Oregon Association of Education Service Districts

2012 International School Accreditation Teams, Egypt and Saudi Arabia

1996-2016 Oregon Association of School Executives (Funding Coalition, 2012-16; Executive Committee, 2002-06; Awards Committee, 2001-03; Conference Committee, 1998-2005)

2004-2006 Oregon Teacher Standards & Practices Commission

1997-2006 Oregon School Activities Association (Budget Committee, Delegate Assembly, Classification & Districting Committee)

2000-2006 Budget Committee, High Desert Education Service Dist.

2000-2005 Graduate School Instructor, Lewis & Clark College

1993-2004 Northwest Association of Accredited Schools, Oregon Committee, (Commissioner/State Chair, 1999-2001)

1988-1996 Oregon Association of Secondary School Principals (Curriculum Commission, 1992-1995)

Professional Recognition

Oregon State Superintendent of the Year, 2004

Administrator of the Year, Oregon Traffic Safety Education Assoc., 1997

Selected Presentations

Oregon ESD Support Network, Presentation, Association of Education Service Agencies, 2018, Colorado Springs, Colorado

Local District Collaboration: From Tension to Trust, Presentation, Association of Education Service Agencies, 2015, New Orleans, Louisiana

Starting a Public Preschool for Underserved Populations, Presentation, Oregon School Boards Association, 2014, Portland, Oregon and Association of Education Service Agencies, 2014, San Diego, California

An ESD Elevator Speech for 2015, Address, Oregon Association of Education Service Agencies, 2014, Portland, Oregon

Board Role in Student Achievement: What the Research Says, Presentation, Oregon School Boards Association, 2010, Portland, Oregon

Facilitating Change in Schools, Presentation, National Association of Secondary School Principals, 2009, San Diego, California

What is Excellence? Keynote Address, Oregon School Personnel Association, 2005, Bend, Oregon

Pam Sheley
Executive Director
Academic Development Institute

Education
B.S. Psychology 1985 MacMurray College
M.A. English 2007 University of Illinois at Springfield

Related Experience

- Served as the business manager for Academic Development from 1999 to 2017
- Served as the Vice President of Business and Client Services for ADI from 2012 to 2017
- Co-authored "Grass roots from the top down: The state's role in family-school relationship" in *School-Family Partnerships for Children's Success*
- Edited along with Sam Redding and Marilyn Murphy the *Handbook on Family Engagement*, 2011
- Authored the chapter *Bridging Two Worlds for Native American Families* in Redding, Murphy, & Sheley (Eds.), *Handbook on Family Engagement* (2011)
- Since 2009, serves as the liaison between ADI and the Bureau of Indian Education and assists with training for Native Star
- Since 2010 has been a member of the Core Leadership Team formed at the direction of the BIE Director for the oversight and implementation of Native Star
- Edited, designed, and oversaw publications for Academic Development Institute and the Center on Innovation & Improvement including *Handbook on Restructuring and Substantial School Improvement, Handbook on Statewide Systems of Support, The Mega System, Coherence in the Statewide System of Support, School Turnarounds: Actions and Results, School Turnarounds: A Review of the Cross-Sector Evidence on Dramatic Organizational Improvement, Breaking the Habit of Low Performance, Performance-Based Dismissals, Tough Decisions, Handbook on Effective Implementation of School Improvement Grants*
- Serves on leadership team for Center on Innovations in Learning and is project lead for Getting Better Together project working with 16 schools and their coaches in school improvement
- Partners in the Center on School Turnaround working with Transformation Academy, School Boards
- Partners in Building State Capacity and Productivity Center working primarily in Strategic Performance Management
- Oversees Liftoff Youth Development project in Lincoln, IL for at-risk youth training them in the personal competencies and providing a pathway to college admission and matriculation
- Oversees Indistar—a school improvement process and online platform

Pam Sheley is the Executive Director for Academic Development Institute. She is also the publications director for ADI's multiple publications. Since 2010, she has been the coordinator of services from ADI to the Bureau of Indian Education. She was one of the editors as well as wrote a chapter in the *Handbook on Family and Community Engagement* (Redding, Murphy, & Sheley, 2011) on *Bridging Two Worlds for Native American Families*, as well as co-

authoring a chapter in *School Family Partnerships for Children's Success* on *Grassroots from the Top Down: The State's Role in Family-School Relationships* (Patrikakou, Weissberg, Redding, & Walberg, 2005). She serves on the management teams of three federally funded content centers: Center on School Turnaround, the Building State Capacity and Productivity Center, and the Center on Innovations in Learning. She has been the project manager for the Personalized Learning Academy recently rolled out in the Virgin Islands. She earned a Bachelor of Science in psychology from MacMurrary College and a Masters in English from the University of Illinois at Springfield.

BERNADETTE M. ANDERSON

EDUCATION Ed.D. Educational Leadership; Northwest Nazarene University; Nampa, Idaho May 2020
Ed.S. Educational Leadership: Superintendent; Northwest Nazarene University; Nampa, Idaho 2017
M.Ed. Educational Leadership- Building Administrator; Northwest Nazarene University; Nampa, Idaho 2012
B.A. University of Idaho; Moscow, Idaho 1989
Major: Political Science; Minor: Sociology

PROFESSIONAL EXPERIENCE

Academic Development Institute, *Lincoln*, IL (2000- Present)
Director of Institutional Advancement and Director of School Community Network

- Initiate new ideas and design implementation models for research-based practices in the school community.
- Present to and train senior administrators for Local Educational Agencies, State Educational Agencies, Bureau of Indian Education, and other non-profit organizations.
- Deliver professional development activities for the Center on Innovation and Improvement.
- Actively participate in Department of Education Evaluation meetings.
- Make presentations to the Department of Education.
- Provide intensive instructional and administrative leadership to manage various complex projects successfully.
- Develop and monitor budgets for federally and state grant-funded initiatives.
- Supervise the development and implementation of professional development services for school districts aligned to school improvement efforts.
- Collaborate with multiple school districts across Illinois to create new collaborative linkages with external agencies, private industry, and community organizations.
- Effectively communicate support for high-quality programming and successful student performance with stakeholders by building strong relationships.
- Design Charter Schools.
- Collaborate with multiple Regional Offices of Education, higher education institutions, and state agencies to implement a professional development system focused on continuous learning for educators and parents to improve teaching, learning, and school management.
- Lead development of partnerships and resources for ADI's Metro-East Parent Connection office through successful grant proposals.
- Award grant funding to direct service providers for violence prevention activities.
- Direct youth development programming for ages 10-24 in school and community-based settings.

Metro-East Consortium for Child Advocacy [MECCA] Summer Bridges, Cahokia School District, Cahokia, IL (1999-2010)
Professional Developer (2003-2010); *Third (1999) and Fourth (2000- 2002) Grade Teacher*

- Coordinated professional development for the Illinois State Board of Education Summer Bridges Reading Camp (PreK-6) for more than 100 professional development providers.
- Model and taught writing to students.
- Provided leadership development training to over 200 educators.
- Supervised budget development and monitoring for budget averaging over one million, annually.
- Served on the Board of Directors for the Metro-East Consortium for Child Advocacy (MECCA).

Cahokia School District, Centerville Elementary Cahokia, IL (1996-2008)
Accelerated School Improvement Coach, Project Involvement Specialist, and Special Education Aide
Developed grant-supported programs and managed development of grant proposals, supervised the implementation of grants; maintained budget reports; trained faculty and staff; supervised tutors; provided literacy instruction to students; coached teachers on incorporating technology in the classroom; assisted youth to negotiate better outcomes and make better decisions regarding academics, family, friends, and other issues; and participated in the Teachers Academy for Math and Science.

Comprehensive Child Development Program, Lessie Bates, East St. Louis (1993-1996)
Family Advocate/Social Worker
Supervised the implementation of an early childhood federal research project; taught Head Start standards in the home; provided counseling, guidance, and information to empower families; and supervised practicum students.

Illinois Department of Public Aid, East St. Louis, IL (1990-1993)
Income Maintenance Specialist
Identified eligibility of applicants, counseled families receiving public aid to access needed services, served as the local office Spanish Translator; and investigated fraudulent reports.

INTERESTS: Teaching adults, reading, gardening, swimming, and traveling.

Debra Allison Layland

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EDUCATION

University of Denver, Denver, CO **Jun '09**
Ph.D. in Education Leadership and Policy Studies

James Madison University, Harrisonburg, VA **May '79**
M.A. in Special Education

Mt. St. Mary's College, Newburgh, NY **May '77**
B.A. in Social Sciences, Elementary and Special Education

LICENSES/CERTIFICATIONS

Colorado Superintendent License
Colorado Director of Special Education License
Colorado Principal License
Colorado Professional Teaching *License: Elementary, Special* Education K-12 Mild/Moderate, ELA-E Designation

PUBLICATIONS

- Layland, A. & Corbett, J. (2017). Utilizing integrated resources to implement the school and district improvement cycle and supports: Guidance for schools, districts and state education agencies (in press).
- Redding, S., & Layland, A. (2017). Strategic performance for your branch: Organizing people and their work in an LEA or SEA division or strand. San Antonio, TX: Building State Capacity and Productivity Center.
- Layland, A., & Redding, S. (2017). Casting a statewide strategic performance net: Interlaced data and responsive supports. San Antonio, TX: Building State Capacity and Productivity Center.
- Layland, A., & Redding, S. (2016). States chart new directions for education with a little help from their friends. (Solutions No. 8). San Antonio, TX: Building State Capacity and Productivity Center at Edvance Research.
- Redding, S., & Layland, A. (2015). Strategic performance management: Organizing people and their work in the SEA of the future. San Antonio, TX: Building State Capacity and Productivity Center.
- Layland, A. (2014). VI Teacher Professional Growth Plan Guidance and Examples. Tampa, FL: Florida and the Islands Comprehensive Center at ETS.
- Layland, D. (2009) Examination of universal screening in response to intervention at the secondary level. Unpublished doctoral dissertation, Denver, CO: University of Denver.

AWARDS

- Cable and Television Public Affairs Association, Beacon Awards winner for Customer - Web Sites and Employee - Web Site/Single Event; Cable and Television Public Affairs Association, Beacon Awards winner for Education - Full Campaign/Single Event and Education - PSA
- Women in Cable and Telecommunications Association Leadership Conference Award for Outstanding Teamwork
- National Middle School Association Recognition for Diversity Program

CURRENT POSITION(s)

Academic Development Institute

Chief Education Strategist

- Created and implemented Strategic Performance Management process for state and district education agencies, including training and consultation to clients, assisting with content development, and promoting performance management to other entities to expand client base and revenue.
- Managed, organized and implemented complex education programs by managing time effectively to design and develop analytical project plans, designing evaluation data collection and analysis of project activities, and solving education initiatives to address education issues.
- Provided leadership to project managers and analysts in the design and analysis of projects and activities for effective implementation and impact.
- Conducted regular and ad hoc research and analysis using a variety of methods and creates recommendations and findings based on the research and analysis data
- Maintained performance management data base and reporting system to assure data quality and continuous improvement of reporting processes, and use of data to increase efficiency and effectiveness of activities and products produced as a result of the activities

OTHER PROFESSIONAL EXPERIENCE

Florida and the Islands Comprehensive Center at ETS

Education Specialist

Technical assistance to state education agencies U.S. territories and school districts on topics including strategic performance management, employee evaluation systems, and school improvement

Maryland State Department of Education

Branch Chief-Programmatic Support and Technical Assistance, Division of Special Education/Early Intervention Services

Supervisor of assessment, specialized instruction and early learning projects and staff, and State Personnel Improvement Grant Project Manager

University of Kentucky

Mid-South Regional Resource Center Associate Director

Technical Assistance provider and supervisor for topics related to the Individuals with Disabilities Act (IDEA) including student performance and results, systems improvement priority resources, technical assistance planning, and technology

Colorado Department of Education, Denver, CO

Senior Consultant

Technical assistance provider to districts and schools regarding compliance with state and federal regulations; program effectiveness and school reform; adolescent literacy, math interventions for students with disabilities; transition services; and Colorado State Assessment Program alternate tests in reading and writing

AT&T Broadband, Englewood, CO

Director of Electronic Communications

Merged two company Intranet sites and managed video streaming project to increase internal communications; implemented technology solution for television production, "Opening the Doors to Diversity", a Court TV and Middle School Education Association program about teaching tolerance to students in Middle School; authored articles AT&T Broadband custom page in "Cable in the Classroom" magazine

Douglas County Public Schools, Castle Rock, CO
General Education Teacher and Computer Resource Teacher

Children's Hospital, Denver, CO
Learning Therapist

Fairfax County Public Schools, Fairfax, VA
IEP and Due Process Specialist; Special Education Teacher K-12

References Available upon request

Sam Redding
Academic Development Institute
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Lincoln, IL 62656
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sredding@adi.org

Education

Ed.D.	Educational Administration, Illinois State University, 1976
	Supporting Areas: Special Education
M.S.	Psychology, Illinois State University, 1970
M.A.	English, University of Illinois, 1996
B.A.	History, Illinois State University, 1968
	Supporting Areas: Special Education
Post-Doc	Harvard Institute for Educational Management, 1981

Professional Experience

2017 - Present	Chief Learning Scientist, Academic Development Institute
1984 - 2017	Executive Director, Academic Development Institute
2012- Present	Associate Director, Center on School Turnaround
2012- Present	Senior Learning Specialist, Center on Innovations in Learning
2012- Present	Consultant, Building State Capacity & Productivity Center
2005 - 2012	Director, Center on Innovation & Improvement
1995 - 2006	Senior Research Associate, Laboratory for Student Success
1997 – 2005	Director, Illinois Family Education Center
1991 - Present	Executive Editor, *School Community Journal*
1976 - 1983	Vice President and Dean, Lincoln College
1972 -1976	Associate Professor, Lincoln College
1968 - 1972	Teacher, LeRoy High School

Honors

Ernie Wing Award for Excellence in Evidence-Based Education	2012
Key Leaders Award—YMCA of USA	1995
Ben Hubbard Leadership Award—Illinois State University	1994
Those Who Excel Award—Illinois State Board of Education	1990

Experience & Expertise

Sam Redding is the chief learning scientist at the Academic Development Institute, an organization he founded in 1984, and where he served as executive director until 2017. He is also the associate director of the Center on School Turnaround, senior learning specialist for the Center on Innovations in Learning, and consultant to the Building State Capacity and Productivity Center, all national content centers funded by the U. S. Department of Education. Since 1991 he has served as executive editor of the *School Community Journal*. Sam holds a doctorate in educational administration from Illinois State University and master's degrees in Psychology and English. He did post-doctoral study at the Institute for Educational Management at Harvard University. He taught special education and social studies at the high school level, coached several sports, and was a college psychology and education professor. He was dean and

vice president of Lincoln College. For eleven years he was a senior research associate of the Laboratory for Student Success at Temple University. Sam directed a Parent Information & Resource Center (PIRC) in Illinois and the national Center on Innovations & Improvement. Sam has authored books, chapters, and articles on school improvement, state systems of support, school turnarounds, performance management, personalized learning, parent involvement, and the school community. Sam served on the expert panel on school turnarounds for the Institute of Education Sciences and was a member of the U. S. team meeting with the Korean education ministry to exchange research on school turnaround in 2012. He has consulted with more than 30 state education agencies and many districts.

Selected Publications

Brown, J., Muirhead, M., Redding, S., & Witherspoon, R. (2011). *Changing the conversation: Parental involvement in low-achieving high schools*. Lincoln, IL: Center on Innovation & Improvement.

Corbett, J. & Redding, S. (2017). *Using needs assessments for district and school improvement*. Washington, DC: Council of Chief State School Officers.

Herman, R., Dawson, P., Dee, T., Greene, J., Maynard, R., & Redding, S. (2008, May). *Turning around chronically low-performing schools.* Washington, DC: U.S. Department of Education, National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences.

Kerins, T., Perlman, C., & Redding, S. (Eds.) (2009). *Coherence in statewide systems of support.* Lincoln, IL: Center on Innovation & Improvement.

Layland, A., & Redding, S. (2017). *Casting a statewide strategic performance net: Interlaced data and responsive supports*. San Antonio, TX: Building State Capacity and Productivity Center.

Murphy, M., Redding, S., & Twyman, J. (Eds.) (2014). *Handbook on innovations in learning*. Charlotte, NC: Information Age Publishing.

Murphy, M., Redding, S., &Twyman, J. (Eds.) (2016). *Handbook on personalized learning*. Charlotte, NC: Information Age Publishing.

Patrikakou, E. N., Weissberg, R. P., Redding, S. & Walberg, H. J. (Eds.) (2005). *School-family partnerships for children's success.* New York: Teachers College Press.

Perlman, C. & Redding, S.(Eds.) (2010). *Handbook on effective implementation of school improvement grants.* Lincoln, IL: Center on Innovation & Improvement.

Redding, S. & Keleher, J. (2010). Evaluating parent programs. In D. Hiatt-Michael (Ed.). *Promising practices to support family involvement in schools*. Charlotte, NC: Information Age Publishing.

Redding, S., Murphy, M., & Sheley, P. (Eds.). (2011). *Handbook on family and community engagement*. Charlotte, NC: Information Age Publishing.

Redding, S. & Nafziger, D. (2013). *Functional coherence in the state education agency: A structure for performance management.* San Antonio, TX: Edvance Research.

Redding, S. & Sheley, P. (2005). Grassroots from the top down. In E. Patrikakou, R. Weissberg, S. Redding, and H. Walberg, *School-family partnerships for children's success.* New York: Teachers College Press.

Redding, S. & Walberg, H. (Eds.) (2008). *Handbook on statewide systems of support*. Charlotte, NC: Information Age Publishing.

Redding, S. (2006). Que piensan padres y profesores de la escuela y unos de otros, *Cultura y Educacion*, Oct.-Dec.

Redding, S. (2006). *The mega system: Handbook for continuous improvement within a community of the school*. Philadelphia: Laboratory for Student Success and Academic Development Institute.

Redding, S. (2007). How parents and teachers view their school communities. *Marriage and Family Review*.

Redding, S. (2007). Indicators of successful restructuring. In H. Walberg (Ed.), *Handbook on restructuring*

and substantial school improvement. Charlotte, NC: Information Age Publishing.
Redding, S. (2007). Systems for learning. In H. Walberg (Ed.), *Handbook on restructuring and substantial school improvement*. Charlotte, NC: Information Age Publishing.
Redding, S. (2009). The support of coherence in pursuit of student learning. In T. Kerins, C. Perlman, & S. Redding, *Coherence in statewide systems of support.* Lincoln, IL: Center on Innovation & Improvement.
Redding, S. (2011). Application of *Improving Student Learning*. In H. Walberg, *Improving student learning: Action principles for families, classrooms, schools, districts, and states*. Charlotte, NC: Information Age Publishing.
Redding, S. (2011). School improvement and baseball: Both take a strong team, commentary in *Education Week*, February 23, 2011.
Redding, S. (2012). *Change leadership: Innovation in state education agencies*. Oakland, CA: Wing Institute
Redding, S., & Walberg, H. (2012). *Promoting learning in rural schools*. Lincoln, IL: Center on Innovation & Improvement.
Redding, S. (2013). *Through the student's eyes*. Philadelphia, PA: Temple University, Center on Innovations in Learning.
Redding. S. (2013). *Getting personal: The promise of personalized learning*. In M. Murphy, S. Redding, & J. Twyman (Eds.), Handbook on innovations in learning (pp. 113–130). Charlotte, NC: Information Age Publishing.
Redding, S. (2014). *The something other: Personal competencies for learning and life.* Philadelphia, PA: Temple University, Center on Innovations in Learning.
Redding, S. (2014). *Personal competencies in personalized learning*. Philadelphia, PA: Temple University, Center on Innovations in Learning.
Redding, S. (2014). *Personal competency: A framework for building students' capacity to learn*. Philadelphia, PA: Temple University, Center on Innovations in Learning.
Redding, S. (2018). *Instructional design*. Philadelphia, PA: Center on Innovations in Learning at Temple University.
Redding, S. (2019). *Jump-starting instructional transformation for rapid improvement: A guide for principals*. San Francisco, CA: WestEd.
Redding, S. & Corbett, J. (2018). *Shifting school culture to spark rapid improvement: A quick-start guide for principals and their teams*. San Francisco, CA: WestEd.
Redding, S. & Layland, A. (2015). *Strategic performance management: Organizing people and their work in the LEA and SEA of the future*. San Antonio, TX: Building State Capacity & Productivity Center.
Redding, S., & Layland, A. (2017). *Strategic performance for your branch: Organizing people and their work in an LEA or SEA division or strand*. San Antonio, TX: Building State Capacity and Productivity Center
Redding, S., McCauley, C., Ryan Jackson, K., & Dunn, L. (2018). *Four domains for rapid school improvement: Indicators of effective practice.* San Francisco, CA: WestEd.
Redding, S. & Twyman, J. (2018). *Learning habits*. Philadelphia, PA: Center on Innovations in Learning at Temple University.
Rhim, L., Hassel, B., & Redding, S. (2008). State role in improving school improvement. In S. Redding & H. Walberg (Eds.), *Handbook on statewide systems of support*. Charlotte, NC: Information Age.
Rhim, L., & Redding, S. (2011). *Fulcrum of change: Leveraging 50 states to turn around 5,000 schools*. Lincoln, IL: Center on Innovation & Improvement.
Rhim, L. & Redding, S. (2014). *The state role in school turnaround*. Charlotte, NC: Information Age Publishing.

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Career Brief

Robin Lake is Director of the Center on Reinventing Public Education (CRPE) and Affiliate Faculty, School of Interdisciplinary Arts and Sciences, at the University of Washington Bothell. She is internationally recognized for her research and analysis of U.S. public school system reforms, including charter schools and charter management organizations; innovation and scale; portfolio school districts; school turnaround efforts; and performance-based accountability systems. Lake has authored numerous studies and provided expert testimony and technical assistance on charter schools and urban reform. She is the editor of *Unique Schools Serving Unique Students: Charter Schools and Children with Special Needs* (CRPE, 2010) and editor of the annual report, *Hopes, Fears, & Reality: A Balanced Look at American Charter Schools.* She co-authored, with Paul Hill, *Charter Schools and Accountability in Public Education* (Brookings 2002). She has provided invited testimonies to the U.S. House of Representatives Education and Labor Committee as well as various state legislatures. She presents regularly at conferences and summits around the United States, and has advised on charter school implementation in South Africa and the United Kingdom. Lake serves as a board member or advisor to various organizations, including the Journal of School Choice, the National Center on Special Education in Charter Schools, the National Association of Charter School Authorizers, and is the Founding Chair for the Untapped Potential Project. She is also a part of the 2016 cohort of the Pahara-Aspen Fellows.

Professional Experience

2014 – Present	Affiliate Faculty, School of Interdisciplinary Arts and Sciences - University of Washington Bothell
2012 – Present	Director, Center on Reinventing Public Education
2004 – Present	Executive Director, National Charter School Research Project
1998 – 2012	Associate Director, Center on Reinventing Public Education
1994 – 1998	Research Associate, Center on Reinventing Public Education
1992 – 1994	Legislative Aide, Washington State House of Representatives
1990 – 1992	Public Affairs Consultant, The Fisher/Hoyt Group

Education

2003	M.P.A., Daniel J. Evans School of Public Affairs, Education and Urban Policy, University of Washington.
1990	B.A., Henry M. Jackson School of International Studies, University of Washington.

Professional Appointments, Associations, and Memberships

National Center for Special Education in Charter Schools, Founding Board Member
Journal of School Choice, Board Member
National Association of Charter School Authorizers, Advisory Board Member
National Alliance for Public Charter Schools, Policy Advisory Board Member
Education Next, Editorial Advisory Board Member
Educate 78, Board Member
Referee: Smith Richardson Foundation, Journal of School Choice, Carnegie Foundation
2016 Pahara-Aspen Fellow (2-year program)
Untapped Potential Project, Founding Chair

Books and Edited Volumes

Hopes, Fears, & Reality: A Balanced Look at American Charter Schools, Center on Reinventing Public Education, annually 2005-2013.

Unique Schools Serving Unique Students: Charter Schools and Children with Special Needs, Center on Reinventing Public Education, 2010.

Charter Schools and Accountability in Public Education, Washington DC: Brookings Press, 2002 (with Paul Hill and Mary Beth Celio).

Book Chapters

Lake, R., Hill, P., "Charter School Governance," in *Charter School Outcomes*, ed. Mark Berends et al., Washington, DC: National Center on School Choice, 2007.

Hill, P., Lake, R., "Standards and Accountability in Washington State," in *Brookings Papers on Education Policy 2002*, ed. D. Ravitch, Washington, DC: Brookings Press, 2002.

Selected Reports and Journal Articles

Maas, T., Lake, R., *Passing Notes: Learning from Efforts to Share Instructional Practices Across District-Charter Lines*, Center on Reinventing Public Education, February 2018.

Lake, R., Cobb, T., Sharma, R., Opalka, A., *The Slowdown in Bay Area Charter Growth: Causes and Solutions*, Center on Reinventing Public Education, January 2018.

Campbell, C., Heyward, G., Gross, B., Lake, R., *Stepping Up: How Are American Cities Delivering on the Promise of Public School Choice?*, Center on Reinventing Public Education, November 2018.

Posamentier, J., Lake, R., Hill, P., *How States Can Promote Local Innovation, Options, and Problem-Solving in Public Education*, Center on Reinventing Public Education, April 2017.

Lake, R., Yatsko, S., Gill, S., Opalka, A., *Bridging the District-Charter Divide to Help More Students Succeed*, Center on Reinventing Public Education, January 2017.

Lake, R., *Encouraging Districts and Charter to Link Arms to Solve Problems*, The State Education Standard, January 2017.

Lake, R., Posamentier, J., Denice, P., Hill, P., *Sticking Points: How School Districts Experience Implementing the Portfolio Strategy*, Center on Reinventing Public Education, October 2016.

Gill, S., Yatsko, S., Lake, R., *Herding Cats: Managing Diverse Charter School Interests in Collaboration Efforts*, Center on Reinventing Public Education, August 2016.

Miller, L., Gross, B., Maas, T., Hernandez, J., Lu, A., Lake, R., *Financing Personalized Learning: What Can We Learn from First-Generation Adopters?*, Center on Reinventing Public Education, April 2016.

DeArmond, M., Denice, P., Gross, B., Hernandez, J., Jochim, A., Lake, R. *Measuring Up: Educational Improvement and Opportunity in 50 Cities*, Center on Reinventing Public Education, October 2015.

Lake, R., Miller, L. *The Policy Framework for Online Charter Schools*, Center on Reinventing Public Education, October 2015.

Lake, R., Hill, P., Maas, T. *Next Generation School Districts: What Capacities Do Districts Need to Create and Sustain Schools That Are Ready to Deliver on Common Core?*, April 2015.

Lake, R., Maas, T. *A Blueprint for Effective and Adaptable School District Procurement*, New York City Department of Education, January 2015.

Lake, R., Schnaiberg, L., *Special Education in New Orleans: Juggling Flexibility, Reinvention, and Accountability in the Nation's Most Decentralized School System*, Center on Reinventing Public Education, January 2015.

DeArmond, M., Gross, B., Jochim, A., Lake, R., *How Parents Experience Public School Choice*, Center on Reinventing Public Education, December 2014.

DeArmond, M., Jochim, A., Lake, R., "Fixing Detroit's Broken School System," *EducationNext*, Vol. 15, No.1, November 2014.

DeArmond, M., Jochim, A., Lake., R., *Making School Choice Work*, Center on Reinventing Public Education, July 2014.

Lake, R., "Portfolio Management Addresses the New Realities of Public Education," *School Administrator Magazine,* June 2014.

Gross, B., Lake, R., Miller, L., *Is Personalized Learning Meeting Its Productivity Promise? Early Lessons from Pioneering Schools*, Center on Reinventing Public Education, May 2014.

Denice, P., Lake, R., Gross, B., *Assessing the Outcomes of Charter School Students with Special Needs: Research Design Brief*, Center on Reinventing Public Education, August 2013.

Yatsko, S., Nelson, E. Cooley, Lake, R., *District-Charter Collaboration Compact: Interim Report*, Center on Reinventing Public Education, June 2013.

Lake, R., "Overview – Will the Charter Movement Rest its Laurels or Innovate and Exand?," in *Hopes, Fears, & Reality: A Balanced Look at American Charter Schools in 2012*, Center on Reinventing Public Education, May 2013.

Lake, R., Maas, T., *Common Core; Will Charters Lead or Lag?*, American Enterprise Institute, March 2013

Lake, R., Gross, B., Denice, P., *New York State Special Education Enrollment Analysis,* Center on Reinventing Public Education, November 2012.

Lake, R., Commentary on "Alternative Strategies for Identifying High-Performing Charter Schools in Texas,"*Journal of Applied Research on Children: Informing Policy for Children at Risk,* Vol. 3, Iss. 2, October 2012

Lake, R., Maas, T., Gross, B., *The U.S. Charter Sector, Lessons for South Africa*, Centre for Development and Enterprise. September, 2012

DeArmond, M., Gross, B., Bowen, M., Demeritt, A., Lake, R., *Managing Talent for School Coherence: Learning from Charter School Management Organizations,* Center on Reinventing Public Education, May 2012

Lake, R., Dusseault, B., Eide, C., *Turnaround Models in New Orleans: Initial findings from a study of the Recovery School District*, Center on Reinventing Public Education, presented at the American Education Research Association conference, 2012.

Lake, R., Bowen, M., Demeritt, A., McCullough, M., Haimson, J., Gill, B., *Learning from Charter School Management Organizations: Strategies for Student Behavior and Teacher Coaching,* Center on Reinventing Public Education and Mathematica Policy Research, March 2012.

Lake, R., Yatsko, S., Bowen, M., Cooley Nelson, E., *Tinkering Toward Transformation: A Look at Federal School Improvement Grant Implementation*, March 2012.

Lake, R., Miller. C., *Strengthening the Civic Mission of Charter Schools*, AEI Program on American Citizenship, January 2012.

Lake, R., Bowen, M., Furgeson, J., Gill, Brian., Haimson, J., Killewald, A., McCullough, M., Nichols-Barrer, I., Teh, B., Verbitsky-Savitz, N., *Charter-School Management Organizations: Diverse Strategies and Diverse Student Impacts,* The National Study of Charter Management Organization (CMO) Effectiveness, January 2012.

Lake, R., Gross, B., *New York City's iZone*, Center on Reinventing Public Education, January 2011.

Lake, R., Demeritt, A., *Paying for Scale: Results of a Symposium on CMO Finance*, Center on Reinventing Public Education, January 2011.

Lake, R., Hall, K., "*The $500 Million Question*," *Education Next* Vol. 11, No. 1 October 2011.

Lake, R., Gross, B., *Reforming Districts Through Choice, Autonomy, Equity, and Accountability: An Overview of the Voluntary Public School Choice Directors Meeting,* Center on Reinventing Public Education's Portfolio School Districts Project, May 2011.

Lake, R., DeArmond, M., Sepe, C., *Will Seniority-Based Layoffs Undermine School Improvement Efforts in Washington State?,* Center on Reinventing Public Education, March 2011.

Lake, R., Gross, B., *Special Needs and Choice Districts,* paper presented at the Voluntary School Choice Project Directors Conference, Washington, DC, February 2011.

Lake, R., Angel, L., "The State of State Charter School Research," in *Taking Measure of Charter Schools: Better Assessments, Better Policymaking, Better Schools*, ed. J. Betts and P. Hill, Rowman & Littlefield Education, 2010.

Lake, R., Dusseault, B., Bowen, M. Demeritt, A., Hill, P., *The National Study of Charter Management Organization (CMO) Effectiveness: Report on Interim Findings*, Center on Reinventing Public Education, June 2010.

Lake, R., Hill P., "The Charter School Catch-22," *Journal of School Choice*, Volume 4, Issue 2, April 2010.

Lake, R., "Achieving the Ripple Effect: How Can Charters Prompt District Improvement?" in *Hopes, Fears, & Reality: A Balanced Look at American Charter Schools in 2009*, Center on Reinventing Public Education, 2010.

Lake R., Hill P., *Performance Management in Portfolio School Districts*, Center on Reinventing Public Education, 2009.

Lake, R., Jacobs, J., "New Options for Serving Special-Needs Students," in *Hopes, Fears, & Reality: A Balanced Look at American Charter Schools in 2008*, Center on Reinventing Public Education, 2008.

Lake, R., "In the Eye of the Beholder: Charter Schools and Innovation," *Journal of School Choice*, Vol. 2, No. 2, July 2008.

Lake, R., *Identifying and Replicating the 'DNA' of Successful Charter Schools: Lessons from the Private Sector*, Center on Reinventing Public Education. May 2007.

Lake, R., *Holding Charter Authorizers Accountable: Why It Is Important and How It Might Be Done,* National Charter School Research Panel White Paper Series, No. 1, Center on Reinventing Public Education, 2006.

Lake, R., *Building Excellence in Charter School Authorizing: Critical Design Issues and Illustrations*, National Association of Charter School Authorizers, 2004.

Lake, R., Hill, P., O'Toole, L., Celio, M., *Making Standards Work: Active Voices, Focused Learning*, Center on Reinventing Public Education, 1999.

Hill, P., Bryk, A., et al., *Building Systems of Schools: A Cross-Site Analysis of School System Decentralization*, Center on Reinventing Public Education, 1997.

Select Presentations and Testimony

"Innovation in Special Education - Where is it most needed and how do we catalyze it?" National Coalition of Special Education in Charter Schools Equity Coalition Meeting, March 2018

"Turning the Tide: Tools to Promote Charter Sector Growth," National Summit on Education Reform, November 2017.

"Empowerment Zones as a Tool for Systemic Change," Camp Philos, November 2017.

"Reflecting on the 25th Anniversary of the California Charter Schools Act and Preserving the Mega Waiver," California Charter Schools Association Legislative Symposium, November 2017.

"Exploring the Options: School Choice Policy and the Fiscal and Academic Impacts" and "Delivering on the Promise of Public Education," PIE Network Summit, October 2017.

"Components of a Changing Education Policy Agenda," National Association of State Boards of Education Legislative Conference, March 2017.

"Special Education Financing," Association for Education Finance Policy Annual Conference, March 2017.

"What's Next for Virtual Charter Schools?," National Charter Schools Conference, June 2016.

"The Research Evidence on Charter School Effects, Academic and Otherwise," Brookings Panel on Examining Charter Schools in America, April 2016.

"Authorizing and Closing Charter Schools: Governance in a Portfolio Model," and "Special Education and English Language Learning," Education Research Alliance for New Orleans Conference, June 2015

"Next Generation Authorizing: What Does the Future Hold," National Association of Charter School Authorizers Leadership Conference, October 2014.

"From Recovery to Achievement," National Charter Schools Conference, July 2014.

"Reflections on Portfolio Model as Urban District Reform," and "Implementing the Common Core: Challenges and Opportunities," American Educational Research Association Annual Conference, April 2014.

"Lessons from School Closure: A District-Level Perspective of Impact and Strategies," Yale Education Leadership Conference, April 2014.

"Understanding Replication, Scale, and Effectiveness in Charter Management Organizations," University of Arkansas Education Reform Lecture Series, February 2014.

"Opt-Out or Cop-Out? A Debate on 'New' Accountability Systems," Thomas B. Fordham Institute, July 2013.

"No Excuses Schools: What can South Africa learn from other countries and what will work here? Centre for development and Enterprise, February 2013.

"No Excuses Schools: What can South Africa learn from other countries and what will work here?" Centre for Development and Enterprise, February 2013.

"Teaching America – How Charter Schools can Help Close the Civic Achievement Gap," AEI Program on American Citizenship in conjunction with the Civic Education Initiative, September 2011.

"No Excuses Schools: What can South Africa learn from other countries and what will work here?" Centre for Development and Enterprise, February 2013.

"Teaching America – How Charter Schools can Help Close the Civic Achievement Gap," AEI Program on American Citizenship in conjunction with the Civic Education Initiative, September 2011.

"Interim Report Findings on National Evaluation of CMOs," and "Charter School Scale Up," National Charter Schools Conference, June 2010.

Invited testimony on "All Students Achieving through Reform Act of 2009," U.S. House of Representatives Education and Labor Committee, February 2010.

"School Choice and School Improvement: Research in State, District, and Community Contexts," National Center on School Choice, Vanderbilt University, October 2009

Popular Articles, Book Reviews, and Op-Eds

Lake, R., "Stop Searching for the Next Superhero—Hand Your Schools the Cape," *LA School Report*, April 2018.

Lake, R., Hill, P., "Proposal: The Future of the Charter School Movement Requires a New Political Strategy," *The Seventy Four*, January 2018.

Lake, R. "Denver's Storied Portfolio District Is Starting to Act Like Just Another City School System," *The Seventy Four*, January 2018.

Lake, R. "L.A. Unified Needs a Plan, Not a Scapegoat," *Los Angeles Daily News*, December 2017.

Lake, R. "In a Deeply Flawed 'Analysis,' the Associated Press Blames Public Charter Schools for America's Segregated Cities," *The Seventy Four*, December 2017.

Lake, R. "For Public School Choice, Focus on Reality—not Rhetoric," Brookings' *Brown Center Chalkboard*, November 2017.

Lake, R. "The Charter Movement's Tipping Point Strategy Isn't Working. What's Next?," *Education Next*, September 2017.

Lake, R., Tuchman, S., "Disability Rights Activists Are Fighting the Wrong Fight on School

Choice," *The Seventy Four*, August 2017.

Lake, R., "Why Personalized Learning Will Live or Die on Its Ability to Manage Change," *The Seventy Four*, May 2017.

Lake, R., "At Last, A Court Says Kids (Like Mine) With IEPs Deserve a Top Education. But More Fights Loom Ahead," *The Seventy Four*, March 2017.

Lake, R., "As Charter School Growth Slows, Time to Re-Examine Bureaucratic, Funding, and Political Hurdles," *The Seventy Four*, March 2017.

Lake, R., "Schools and Communities Need More Autonomy," *The New York Times*, September 2016.

Lake, R., "Time for Detroit Charter Schools to Lead – Not Just Fight to Protect Turf", *Fordham Institute*, June 2016.

Lake, R., "It's Time to Move Forward on Charter Schools," *Seattle Times*, April 2016.

Lake, R., "Shameful Claim to Fame: Will WA Become First State to Shutter Successful Schools?", *The Seventy Four*, February 2016.

Lake, R., "Make the most of McCleary funding," *The News Tribune*, December 2015.

Lake, R., "NCLB Opinion: As Congress Shifts Power to States, Time to Realize the Fight for Better Schools Is Now Up to Us," *The Seventy Four*, December 2015.

Lake, R., "Wanted: A new breed of bureaucrat in Nevada," *Fordham Institute*, June 2015.

Lake, R., "Making School Choice Work Requires New Cross-Sector Investments," *Philanthropy News Digest*, September 2014.

Lake, R., "Making School Choice Work Requires Leadership," *Education Week*, August 2014.

Lake, R., Miron, G., Noguera, P., "The Key Is Innovation, Not Regulation," as part of forum "Should Charter Schools Enroll More Special Education Students," *Education Next*, Vol. 14, No. 4, June 2014.

Lake, R., "New charter school commission can learn from other states," *Tacoma News Tribune,* March 2013.

Lake, R., Medler, A., "Do Charter Schools Serve Special-Needs Students?," *Education Week,* Vol. 32, No. 27, April 2012.

Lake, R., "Teacher Evaluations: We Need Trust, Not Just Tools," *Education Week Blog: Rick Hess Straight Up,* April 2012.

Lake, R., "Only a Sith Deals in Absolutes," *Education Week Blog: Rick Hess Straight Up,* April 2012.

Lake, R., "Premature Praise for Turnaround Schools," *Education Week Blog: Rick Hess*

Straight Up, April 2012.

Lake, R., "Where's Innovation for Kids Who Need It Most?," *Education Week Blog: Rick Hess Straight Up,* April 2012.

Lake, R., "Who Will Work in the Schools of the Future?," *Education Week Blog: Rick Hess Straight Up,* April 2012.

"CRPE's Robin Lake on 'Better Choices'," *Thomas B. Fordham Institute's Choice Words,* December 2011.

"Innovate Washington state's K-12 schools, don't cut the school year," *Seattle Times*, November 2011.

Lake, R., Hall, K., "The $500 Million Question," *Education Next* Vol. 11, No. 1 Winter 2011.

Lake, R., *What have we learned in 15 years about getting high-quality charter schools? Lessons for Washington State*, Center on Reinventing Public Education, January 2011.

"Did Bush Hurt the Charter Movement by Trying to Help It?" *Education Gadfly*, January 2009.

Lake, R., Roza, Marguerite., "Schools: Look for ways to get better results for less money," *Seattle Post-Intelligencer,* November 2008.

Campbell C., Gross B., Lake R., "The High-Wire Job of Charter School Leadership," *Education Week*, September 2008.

"Marginal Impact: Time's Too Short for One Kid at a Time – A Review of the Small Schools Literature," *Education Next*, 2003.

Betheny Gross

Associate Director
Center on Reinventing Public Education

betheny@uw.edu

Career Brief

Betheny Gross is Associate Director at the Center on Reinventing Public Education (CRPE) and Affiliate Faculty, School of Interdisciplinary Arts and Sciences, at the University of Washington Bothell. Dr. Gross oversees CRPE's research initiatives, including analysis of school choice and parent choosing, personalized learning initiatives, and portfolio management strategies. She is an authority on systemic strategies to help families to access school choice, including unified enrollment systems, information systems, and other efforts to support choosing. Her work has been published in several journals, including *Harvard Law and Policy, Educational Evaluation and Policy Analysis, American Education Research Journal, Journal of Education Finance*, and *Journal of Policy Analysis and Management*.

Professional Experience

2019-Present	Associate Director, Center on Reinventing Public Education
2012 – 2019	Research Director, Center on Reinventing Public Education
2005 – 2012	Senior Research Analyst, Center on Reinventing Public Education
2002 – 2005	Research Analyst, Consortium for Policy Research in Education

Education

Ph.D., Department of Educational Policy Studies, 2002, University of Wisconsin-Madison
M.A., Department of Economics, 1997, University of Iowa
B.A., Majors in Economics and Urban Studies, 1995, University of Pittsburgh

Professional Appointments, Associations, and Memberships

Editorial Board, Education Evaluation and Policy Analysis Journal
Affiliate faculty, School of Interdisciplinary Arts and Sciences, University of Washington, Bothell
National Research Team Member, Education Research Alliance for New Orleans
Former At-Large Board Member, Association for Education, Finance and Policy

Selected Publications

Books and Edited Volumes:

Gross, B. & Jochim, A. (eds.). 2016. *State Education Agency of the Future: Maximizing Opportunities Under ESSA*. Building State Capacity and Productivity Center, San Antonio, TX.

Gross, B. & Jochim, A. (eds.). 2015. *State Education Agency of the Future: Building Agency Capacity for Evidence-Based Policymaking*. Building State Capacity and Productivity Center, San Antonio, TX.

Gross, B. & Jochim, A. (eds.). 2015. *State Education Agency of the Future: Uncovering the Productivity Promise of Rural Education*. Building State Capacity and Productivity Center, San Antonio, TX.

Gross, B. & Jochim, A. (eds.). 2014. *State Education Agency of the Future: Building the Productivity Infrastructure*. Building State Capacity and Productivity Center, San Antonio, TX.

Gross, B. & Jochim, A. (eds.). 2013. *State Education Agency of the Future: Prioritizing Productivity*. Building State Capacity and Productivity Center, San Antonio, TX.

Gross, B. & Jochim, A. (eds.). 2013. *State Education Agency of the Future: Leveraging Performance Management to Support School Improvement*. Building State Capacity and Productivity Center, San Antonio, TX.

Lake, R. & Gross, B. eds. 2012. *Hopes, Fears, & Reality: A Balanced Look at American Charter Schools in 2011*. CRPE, Seattle, WA.

Hill, P., Campbell, C. & Gross, B. 2013. *Strife and Progress: Portfolio Strategies for Managing Urban Schools*. Brookings Press, Washington, D.C.

Reports:

Gross, B. & DeArmond, M. 2019. *Expanding Access to Out-of-School Learning: Lessons from Year One at ReSchool Colorado.* CRPE, Seattle, WA.

Gross, B. & Denice, P. 2018. *Going the Distance: Understanding the Benefits of a Long Commute to School.* Urban Institute, Washington, DC.

Gross, B. & DeArmond, M. 2018. *Personalized Learning at a Crossroads: Lessons from the Next Generation Systems Initiative and Regional Funds for Breakthrough Schools Initiative.* CRPE, Seattle, WA.

Urban Institute Student Transportation Working Group. 2018. *The Road to School: How Far Students Travel to School in the Choice-Rich Cities of Denver, Detroit, New Orleans, New York City, and Washington, DC.* Urban Institute, Washington, DC.

Campbell, C., Heyward, G., Gross, B., & Lake, R. 2017. *Stepping Up: How Are American Cities Delivering on the Promise of Public School Choice?* CRPE, Seattle, WA.

Jochim, A., Gross, B., & McCann, C. 2017. *Making School Choice Work for Families: DC School Reform Now's High Quality Schools Campaign.* CRPE, Seattle, WA.

Gross, B., McCann, C., Murtagh, S., & Campbell, C. 2017. *Are City Schools Becoming Monolithic? Analyzing the Diversity of Options in Denver, New Orleans, and Washington, D.C.* CRPE, Seattle, WA.

Gross, B., & Denice, P. 2017. *Can Public Transportation Improve Students' Access to Denver's Best Schools of Choice?* CRPE, Seattle, WA.

Gross, B., & Campbell, C. 2017. *A Guide to Unifying Enrollment: The What, Why, and How for Those Considering It.* CRPE, Seattle, WA.

Gross, B., McCann, C. Hernandez, J. & Yatsko, S. 2016 *Unifying Enrollment in Camden: How Families Experienced the New Enrollment System.* CRPE, Seattle, WA.

Gross, B. & Yatsko, S. 2016. *Grappling With Discipline in Autonomous Schools: New Approaches From D.C. and New Orleans*. CRPE, Seattle, WA.

Miller, L., Gross, B., Maas, T., Hernandez, J., Lu, A., & Lake, R. 2016. *Financing Personalized Learning: What Can We Learn From First-Generation Adopters?* CRPE, Seattle, WA.

DeArmond, M. Denice, P., Gross, B., Hernandez, J., Jochim, A., & Lake, R. 2015. *Measuring Up: Educational Improvement and Opportunity in 50 Cities.* CRPE, Seattle, WA.

Denice, P., Gross, B., & Rausch, K. 2015. *Understanding Student Discipline Practices in Charter Schools: A Research Agenda*. CRPE, Seattle, WA.

Gross, B., DeArmond, M. & Denice, P. 2015. *Common Enrollment, Parents, and School Choice: Early Evidence from Denver and New Orleans.* CRPE, Seattle, WA.

Gross, B., & Denice, P. 2015. *An Evaluation of Denver's SchoolChoice Process, 2012-2014: Is the School Enrollment System Working for Families?* CRPE, Seattle, WA.

Gross, B. & DeArmond, M. HR with a Purpose: Building Talent for Distinct Schools and Networks. In *Teacher Quality 2.0: Toward a New Era in Education Reform* eds. Rick Hess and Michael McShane. Harvard University Press, Cambridge, MA.

Gross, B., Jochim, A., DeArmond, M., & Lake, R. 2014. *How Parents Experience Public School Choice.* CRPE, Seattle, WA.

Miller, L., Gross, B., & Lake, R. 2014 *Is Personalized Learning Meeting Its Productivity Promise? Early Lessons from Pioneering Schools.* CRPE, Seattle, WA.

Gross, B., & Lake, R. 2014. *Special Education in Charter Schools: What We've Learned and What We Still Need to Know.* CRPE, Seattle, WA.

Gross, B., Kinne, A., Roza, M., & Murphy, P. 2012. *How Public Universities Close Budget Gap Measures for States*. CRPE, Seattle, WA.

Gross, B., Miller, L., & Ouijdani, M. 2012. *Getting Down to Dollars and Cents: What Do School Districts Spend to Deliver Student-Centered Learning*. CRPE, Seattle, WA.

Gross, B., Lake, R., & Denice, P. 2012. *New York State Special Education Enrollment Analysis*. CRPE, Seattle, WA.

Gross, B.,& Campbell, C. 2012. *Principal Concerns: Leadership Data and Strategies for States*. CRPE, Seattle, WA.

Gross, B., DeArmond, M., Bowen, M., Demeritt, A., & Lake, R. 2012. *Managing Talent for School Coherence: Learning from Charter Management Organizations*. CRPE, Seattle, WA.

Gross, B., Bowen, M. Martin, K. 2012. "Assessing the Charter School Landscape," in *Hopes, Fears, & Reality: A Balanced Look at American Charter Schools in 2011.* CRPE, Seattle, WA.

Hill, P. & Gross, B. 2012. "Creating Recovery School Districts to Drive Reforms: Lessons from Louisiana." Essay prepared for the Policy Innovators in Education (PIE) Network 5th Annual Policy Summit, September 2011, Seattle, WA.

Gross, B. & Lake, R. 2011. *Reforming Districts Through Choice, Autonomy, Equity, and Accountability.* CRPE, Seattle, WA.

Gross, B. & DeArmond, M. 2011. *How Do Charter Schools Get the Teachers They Want?* National Alliance for Public Charter Schools, Washington D.C.

Lake, R. & Gross, B. 2011. *New York City's iZone*. CRPE, Seattle, WA.

Gross, B. 2010. *Inside Charter Schools: Unlocking Doors to Student Success*. CRPE, Seattle, WA.

Gross, B. & DeArmond, M. 2010. *Parallel Patterns: Teacher mobility in charter and traditional public schools.* CRPE, Seattle, WA.

Hill, P., Campbell, C., Menefee-Libey, D. Dusseault, B., DeArmond, M. & Gross, B. 2009. *Portfolio School Districts for Big Cities: An Interim Report.* CRPE, Seattle, WA.

Gross, B., & Martens Pochop, K. 2008. "How Charter Schools Organize for Instruction." In ed. R. Lake, *Hopes, Fears, & Reality: A Balanced Look at American Charter Schools in 2008.* CRPE, WA.

Campbell, C., & Gross, B. 2008. *Working Without a Safety Net: How Charter School Leaders Can Best Survive on the High Wire.* CRPE, Seattle, WA.

Journal Articles:

Gross, B., & Hill, P. T. 2016. The State Role in K-12 Education: From Issuing Mandates to Experimentation. *Harvard Law & Policy Review*, 10, 299.

Denice, P., & Gross, B. 2016. Choice Preferences and Constraints: Evidence from Public School Applications in Denver. Sociology of Education, 89 (4), 300-320.

Gross, B., & Jochim, A. 2016. Incomplete Reform in Baltimore. *Education Next.* 16(4).

Gross, B. & DeArmond, M. 2010. How do Charter Schools Compete for Teachers? A Local Perspective. *Journal of School Choice.* 4 (3), 254–277.

Goldhaber, D., Gross, B., & Player, D. 2010. Teacher career paths, teacher quality, and persistence in the classroom: Are public schools keeping their best? Journal of Policy Analysis and Management. 30 (1), 57-87.

DeArmond, M., Gross, B., & Goldhaber, D. 2010. Is it Better to Be Good or Lucky? Decentralized Teacher Selection in 10 Elementary Schools. *Education Administration Quarterly*. 46(3), 322–362

Gross, B., Booker, K., & Goldhaber, D. 2009. "Boosting Student Achievement: The Impact of Comprehensive School Reform on Student Achievement." *Education Evaluation and Policy Analysis* 31(2), 111-126.

Odden, A., Goertz, M., Archibald, S., Gross, B., Weiss, M. & Mangan, M. 2008. *"The Cost of Instructional Improvement: Resource Allocation in Schools Using Comprehensive Strategies to Change Classroom Practice."* Journal of Education Finance. *33(4), 381-405*

Finnigan, K., & Gross, B. 2007. *Do Accountability Policy Sanctions Influence Teacher Motivation? Lessons from Chicago's Low-Performing Schools*. American Education Research Journal. *44(3), 594 – 630.*

Odden, A., Archibald, S., Fermenich, M., & Gross, B. 2003. "Defining School-Level Expenditure Structures that Reflect Educational Strategies." *Journal of Education Finance*, 28(3), 323-356.

Georgia Heyward

Research Analyst
Center on Reinventing Public Education

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Career Brief

Georgia Heyward is a research analyst at the Center on Reinventing Public Education (CRPE). Since joining CRPE in 2016, Georgia has worked primarily on a mixed-methods analysis of education reform initiatives in 18 cities across the country. The analysis looked at family use of school choice policies, civic and community-based organizational involvement in education, school accountability, and talent strategies. Since 2015, she has also studied the four-day school week. Prior to joining CRPE, Georgia was the Assessment Coordinator at Fei Tian College, a nonprofit performing arts college in New York State. For ten years, she was a teacher/ administrator at a public and independent school.

Professional Experience

2016-Present: Research Analyst, Center on Reinventing Public Education
2014-2016: Research Contractor, Rural Alliance for College Success, Educational Service District 113, and the Center on Reinventing Public Education
2010-2013: Assessment Coordinator, Fei Tian College
2008-2011: Secondary teacher/ Administrator, Fei Tian Academy
2003-2007: Bilingual elementary teacher, Public School 31 New York City Department of Education

Education

2015: M. Ed., Education Policy, University of Washington
2005: M.S., Elementary Education, Mercy College (NYC Teaching Fellows Program)
2002: B.A., Liberal Arts, Evergreen State College

Selected Publications and Presentations

Tuchman, Sivan, Christine Campbell, and Georgia Heyward (July 2018). *Are Washington charter public schools serving students with disabilities?* Center on Reinventing Public School Education.

Heyward, Georgia (June 2018). *What do we actually know about the four-day school week?* Center on Reinventing Public School Education.

Campbell, Christine, Georgia Heyward, Ashley Jochim (May 2018). *Addressing Persistently Underperforming Schools: Evidence and Common Challenges.* Center on Reinventing Public Education.

Campbell, Christine, Georgia Heyward, Betheny Gross, and Robin Lake (November 2017). *Stepping up: How are American cities delivering on the promise of public school choice?* Center on Reinventing Public Education.

Heyward, Georgia. *Guide to the four-day school week: How to assess district readiness and evaluate the results.* Center on Reinventing Public School Education.

"Rural opportunity gap: The case for rural, small schools." Pave the Way Conference, October 6, 2015. Presented with Jim Kowalkowski, Rural Education Center.

Roza, M. & Heyward, G. (September, 2015) *Highly productive rural districts: What is the secret sauce?* Rural Opportunities Consortium Idaho (ROCI).

Hill, P. T. & Heyward, G. (July, 2015) *The four-day school week in rural Idaho schools*. Rural Opportunities Consortium Idaho (ROCI).

ROOHI SHARMA

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EDUCATION

Master's in Education Policy — 2014-15

University of Washington, Seattle, USA (GPA 3.9/4)

Bachelor of Technology, Computer Science — 2005-09

Mody Institute of Technology and Science, India (GPA 7.99/10)

WORK EXPERIENCE

Research Analyst @ Center on Reinventing Public Education (U of Washington) — *Jan 2019-Present*

- Lead CRPE's Walton Special Education project in DC and New Orleans
- Lead field visits and interviews for 4 WA State charter schools for the Gates special education grant
- Collaborate with SRI International on a Department of Education study on innovative charter school practices

Research Coordinator @ Center on Reinventing Public Education (U of Washington) — *Sep 2016-Dec 2018*

- Provided project management for multiple research projects
- Managed CRPE's IRB related activities for research projects with UW's Human Subjects Division department
- Conducted literature reviews on various research topics
- Collected and analyzed data in Excel and R
- Conducted phone interviews with charter organizations and school districts

Strategy Fellow @ Education Pioneers, Boston — *Jun-Sep 2016*

- Placed at: Building Educated Leaders for Life (BELL), Boston
- Analyzed the Every Student Succeeds Act (ESSA) Bill (2015)
- Authored a public policy brief for BELL on how to maximize impact for their students using ESSA, and contribute to its' overall strategy and vision

Contract Policy Associate @ WA Charters, Seattle — *Apr-Dec 2015*

- Carried out marketing, volunteer recruitment, event logistics, and planning for the Charter Champions Day of Service event to support new charter schools opening in Fall 2015. 227 charter school supporters from across WA attended the event
- Unpacked the charter school law in WA State (I-1240) and created accessible reference sheets for charter school leaders

Research Intern @ Green Dot Public Schools Washington, Seattle — *Fall 2014*

- Researched the Federal 21st Century Skills grant for after-school programs
- Analyzed Tacoma Housing Authority data to identify high-need communities for Green Dot's community engagement

Math Instructor @ Mathnasium, Bellevue — *Apr-Dec 2014*

- Taught math to K-12 students and tracked their progress data
- Made it easier to understand and apply difficult math concepts using math enrichment curriculum, mental math strategies and individualized learning plans

Summer Intern @ KIPP Foundation, Houston — *Summer 2013*

- Observed KIPP teachers at KIPP Shine Elementary School and KIPP Academy Middle School
- Participated in vision setting and planning for two weeks of summer school at KIPP Dream

- Shadowed varied KIPP operations teams (Marketing, Development, Finance, Recruiting, Selection, IT, "KIPP To and Through College")

Teaching Fellow @ Teach For India, Pune, India *2011-2013*

- Planned and delivered standards-aligned instructional content to 3rd and 5th grade students
- Reading Comprehension: Achieved average yearly growth of 2.0 years and maximum yearly growth of 4.5 years for the fifth grade students
- Math: Achieved average yearly growth of 1.0 year for the fifth grade students
- Initiated multiple extra-curricular activities: professional football coaching, general knowledge quizzing and singing
- Raised INR 250,000 (~4 times the per capita yearly income in India) to fund academic projects in my classroom: class library; school library; projector for assisted teaching; educational trips
- Lead To Change Project: Led my school and formulated plans to build staff culture, maximize learning and minimize behavioral disruptions by students
- Led sessions for TFI fellows on designing high rigor academic content and tracking classroom data
- Young Authors' Project: Published a book to celebrate the Writing progress of various students across multiple TFI classrooms. This book is now being used by TFI Program Managers in India as an example of excellence

Software Engineer @ IBM, Hyderabad, India *2009-11*

- Topped the SAP ABAP examination conducted by IBM during training with a score of 186/200
- Developed OSS Notes and SAP Objects as part of the SAP Technical Support Pack for Ericsson

Co-Founder @ NGO Karuna, Rajasthan, India *2007-09*

- Organized a Donation Drive for construction workers on the college campus
- Organized training sessions for these workers on various topics like Banking and Hygiene
- Recruited student volunteers
- Tutored primary school aged children in the rural community around campus

PROFESSIONAL APPOINTMENTS, ASSOCIATIONS & MEMBERSHIPS

Board of Directors @ League of Education Voters (Seattle) *Aug 2018 - Present*

Communications Officer @ MEP Alumni Advisory Board (University of Washington, Seattle) *2015-17*

PUBLICATIONS, ARTICLES & PRESENTATIONS

- Lake, R., Cobb, T., Sharma, R. and Opalka, A. 2018. *The Slowdown in Bay Area Charter School Growth: Causes and Solution*. Center on Reinventing Public Education, Seattle, WA Jan 2018
- Lake, R., Cobb, T., Sharma, R. and Opalka, A. 2018. *Why is Charter Growth Slowing? Lessons from the Bay Area*. Education Next, Seattle, WA Jan 2018
- Sharma, R., DeCampos, A. and Wu, N. 2015. *BRICS Nations and Developments in Education Internationally: Why Should It Matter to the USA*? Annual Conference of the Western Social Science Association (WSSA), Portland, OR Apr 2015

RESUME

Quinton Roman Nose
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OBJECTIVE:

To Promote and develop educational initiatives and opportunities to improve the educational levels of Native American students and tribal members.

EDUCATION:

Aug 92 - July 93, Graduate Studies: Gifted/Talented Education at OCU, OKC, OK
Aug 70 - May 74, Undergraduate Studies: Mathematics at SWOSU, Weatherford, OK

POSITIONS HELD:

October 2011 - Present, Executive Director, Tribal Education Departments National Assembly
Duties: Administration of organization to include promotion of the TEDNA mission to assist tribes with seeking sovereignty in education. This includes more control of the education entities such as operating their own schools and working with existing entities such as the US Department of Education and the Bureau of Indian Education. TEDNA continually advocated for the appropriations of TED funding which allows the Bureau of Indian Education to offer grants to tribes and the establishment of more collaboration between local public schools and tribal education programs, which resulted in the STEP (state tribal education partnership) program. TEDNA is providing assistance to tribes to understand and fully participate in the Tribal Consultation policy of the ESSA TEDNA currently operates a NYCP grant from US Department of Education (a college career readiness project) and the Sovereign Schools Project (a program to get Tribes in Oklahoma to offer Charter Schools).

October 2012 - September 2017, Indian Education Consultant for South Central Comprehensive Center, University of Oklahoma, Norman, Ok

April 2003 - January 2010, Executive Director for Cheyenne Arapaho Department of Education for Cheyenne and Arapaho Tribes, Concho, Ok

Duties: Administration of education grants and contracts, supervised coordinators for Adult Education, JOM, Higher Education, Head Start, Child Care, Title VII Indian Education, Tribal Youth Program (Dept of Justice grant), Gear Up Program (state funded grant), Distance Learning courses, Arapaho and Cheyenne language classes and other tribal educational programs, collaborated with external education entities such as local colleges and public schools, assist tribal representatives with educational issues. Worked with outside educational entities to develop Indian Education activities/opportunities and the development of Cheyenne and Arapaho Language classes. Developed and presented the Tribal Council resolution, which established the Cheyenne Arapaho Tribal College, Weatherford, OK.

Department Highlights:

- Worked to increase the amount of funds awarded to college student from $1000 to 2000/2500 per semester for up to 150 students a year and maintained a college scholarship fund which reached almost $2 million dollars.

- Successfully acquire new federally funded programs which included grants from Dept of Education, ANA-Dept of HHS, State funded grant and established a web based Higher Education student portal system for our students who are located in several states.

- Established several distance learning classroom which allowed Cheyenne and Arapaho Language courses to be taught for high schools and colleges.

- Gave a Presentation on the Importance of Native American Student Data in Washington DC sponsored by Campaign for High School Equity.

- Established an annual Cheyenne Arapaho Studies Conference at Denver, CO -Presented testimony at a US congressional appropriations hearing. -Attended the signing of the President Executive Order on Indian Education.

January 1987 - April 2003, Title VII Indian Education Counselor

Watonga Public Schools, Watonga, OK.

Duties: Worked with Native American students at a K-12 grade level to promote academic success through tutoring, promotion of every day attendance, worked with parents to help solve issues related to schools. Promoted college readiness by successfully getting students to take ACT/SAT tests, visit colleges, assisted with concurrent enrollment and assisted students with participation in summer enrichment programs for Native Students. Worked with the AISES (American Indian Science and Engineering Society) and AIMMS (American Indian Math and Science Society).

Jan 1987 - April 2002, Various Summer Positions as Counselor/Math Instructor

Summers of '94, '95 and '97 – Math and Science Upward Bound Programs, University of Colorado, Boulder, CO
Duties: Served as a Counselor, Dorm Manager and Math Instructor for a college enrichment which prepared students for college with an emphasis on Math and Sciences

Summer of 1996 – Participated in the Native American Literature Program at Oklahoma City University sponsored by the National Endowment of Humanities

Summers of '98, '99 and 2000 - Southwestern Indian Polytechnic Institute, Albq., NM, and AISES Summer Programs, CU, Boulder

Duties: Worked during summer months as a Dorm Manager and Math Instructor for a program whose goal was to prepare students for college

Other Career Highlights:

Worked with a Team of Indian Educators to have the Oklahoma State Legislature pass a bill establishing an Oklahoma Indian Education Advisory Council

Worked with a Team of Tribal Education Department directors to advocate for the US Congress to approve $2 million for tribal education departments/agencies in the FY12 federal budget.

Worked with outside organizations and agencies to promote student success which included placing almost 20 students in various summer programs (Upward Bound programs at CU, SWOSU, AISES summer programs at several universities, a middle school science program at OSU) in one summer.

Worked to get a Cheyenne Language program established through distance learning which has been offering a class for over 10 years.

Worked with Darlington Boys and Girls Club to establish a Native American Boys and Girls Club afterschool program at Hammon Schools.

Professional Memberships:

Board Member, Bacone College Board of Regents, Muskogee, OK, 2013 to Present
Board Member, Oklahoma Native American Youth Language Fair (ONAYLF), Univ. of Oklahoma, 2003-Present
President, Oklahoma Indian Higher Education Scholarship Administrators Association OIHESAA), 2007-2009
Founding Member and past President, Tribal Education Departments National Assembly (TEDNA), 2005 to 2011
President, Board of Directors, National Indian Education Association (NIEA), 2009-2012,
President, School Board, Riverside Indian School, BIE funded, Anadarko, Ok 2005 to Present
President, Oklahoma Indian American Baptist Association, Anadarko, Ok 2013-2017

Military Experience:

Officer (2LT), Field Artillery, USA Army, Active Duty Aug 1974 to Aug 1976
Duties: Training Officer and Executive Officer for Pershing Missile Training Battery, Ft Sill, OK

Reference:

Robert Cook, Teach for America, 646-770-6324
Mr. Jacob Tsotigh, South Central Comprehensive Center, University of Oklahoma, 405-301-4844
Mary Kim Titla, Executive Director, United National Indian Tribal Youth (UNITY), Chandler, AZ 602-339-264

KAI's lead personnel résumés

Janet Gordon, EdD

Experience Overview

Dr. Janet Gordon holds a doctoral degree in education from Montana State University and has 35 years of experience with research and evaluation of educational programs. As a subject matter expert and project manager for KAI's Research & Evaluation Team, Dr. Gordon has developed expertise in the evaluation of educator professional development (PD); science, technology, engineering, and mathematics (STEM) programs; and Hispanic-Serving Institutions (HSI) grants. She uses a participatory approach to partner with clients to define culturally relevant success criteria, and she collaborates closely with stakeholders to develop evaluation capacity. Dr. Gordon's background includes the development of constructs and valid and reliable instruments for measurement, analysis, and interpretation of results to inform and educate policy-makers and the general public. She works with Washington State's Office of the Superintendent of Public Instruction to develop accurate and fair state assessments and provides information on educational topics to the Washington State Legislature, particularly in the areas of equity and cultural responsiveness. She led the effort in Washington State to develop a research-based measurement method to evaluate school administrators, known as the Principal Evaluation Framework, which was adopted by the Association for Washington State Principals (AWSP) and accepted by the Legislature. She is experienced in working with American Indian/Alaska Native (AI/AN) and Latino communities in the U.S. and indigenous communities in the Hawaiian and Pacific Islands.

Project Experience

U.S. Department of Health and Human Services, Indian Health Service (IHS), Office of Urban Indian Health Programs (OUIHP), "Urban Indian Health Organization Annual Onsite Review Evaluation": Dr. Gordon serves as the lead researcher for this nationwide project to conduct an evaluation and improvement of the Annual Onsite Review process conducted by OUIHP. KAI did this by conducting stakeholder interviews to gather feedback on the strengths and weaknesses of the current onsite review manual from leadership of Urban Indian Organizations and IHS subject matter experts. KAI took the feedback and revised the manual and scoring system based on those stakeholder interviews. Pending work is to develop an electronic version of the manual, conduct seven site visits to test the newly designed manual with IHS Area Urban Coordinators, revise the manual based on any changes or improvements identified during the pilot testing and finally conduct a series of webinar trainings for the 12 IHS Areas.

U.S. Department of Health and Human Services, Indian Health Service (IHS), Office of Urban Indian Health Programs (OUIHP), "Urban Indian Health Organization 4-in-1 Grant Evaluation": Dr. Gordon serves as the lead researcher for this nationwide project to provide OUIHP and the Urban 4-in-1 Grant program a comprehensive evaluation of reported data and analysis systems to assess program impacts in the four targeted areas of (1) health promotion/disease prevention; (2) immunizations; (3) alcohol and other substance abuse services; and (4) mental health prevention and treatment. KAI has developed and tested a new quarterly reporting template for 29 grantees to submit grant implementation data and will produce an aggregate quantitative and qualitative dataset for grantee data based on identified performance indicators. An electronic data display of quantitative and

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qualitative findings will be developed based on the collected information and summarized with recommendations in a final report.

U.S. Department of Health and Human Services, Office of the Assistant Secretary for Health (OASH), Region VII, "Adult Immunization Project Evaluation": KAI performed a program evaluation of the effectiveness of education resources developed for American Indian populations about adult immunizations. The evaluation consisted of key informant interviews and results from two focus groups held with tribal health professionals, including community health representatives. The evaluation explored perspectives on the education resources, including cultural responsiveness, clarity of messaging, and investigating use of the resources, as well as the potential effects of the messaging to increase awareness of the benefits of adult immunizations. Dr. Gordon served as the lead researcher and designed the data collection instruments, conducted the interviews and focus groups, completed the qualitative narrative analysis, and wrote the final report.

State of Washington, Puget Sound Educational Service District (PSESD), "Washington Association of Educational Service Districts Network Professional Development Program-Third Party Evaluation": KAI is conducting a statewide longitudinal evaluation of the effects of teacher professional development on teacher and student academic and non-academic measures. The project is aimed at measuring the effects of participation in a leadership program that provides targeted education support through training and internship experiences. The study was informed by the Educational Opportunity Gap Oversite and Accountability Committee and required the coordination of Washington State's Office of Superintendents of Public Instruction, Washington State Legislature, and nine educational service districts' initiatives. Dr. Gordon is serving as the principal investigator and lead evaluator and developed a theory of change and conceptualized and wrote the evaluation plan and instruments. She also worked closely with the Information Technology analysts to design a relational database to store the data collected as well as processes to retrieve data to meet needs.

U.S. Department of Interior, Indian Affairs (IA), Office of the Deputy Assistant Secretary, Bureau of Indian Affairs (BIA), "BIA Strategic Workforce Plan": KAI developed a comprehensive strategic workforce plan for IA to address the needs of the Assistant Secretary–Indian Affairs, BIA, and Bureau of Indian Education (BIE). The two-part project included an evaluation of IA organizational structure, leadership, and effectiveness, including communications processes and practices internally and externally at all levels of the organization. This work was accomplished through a needs assessment; benchmarking report; leadership survey; strengths, weaknesses, opportunities, and threats (SWOT) analysis; development of a SWOT workshop presentation and facilitator's guide; training program materials for leadership; and a proposal for an advisory council plan. Additionally, the evaluation included a review of BIE school achievement, staffing, resources, and financial integrity. The evaluation led to the comprehensive strategic workforce plan. Dr. Gordon collaborated across organizations to create and use a framework to evaluate curriculum alignment with reading/math standards and the scope/sequence of instruction for BIE schools across the United States. She designed, built, and manipulated a very large database of student- and school-level factors to make recommendations on how to change factors to improve student academic achievement. The collaborative team effort assessed the effectiveness of the organization and provided recommendations to IA to help strengthen its workforce.

National Science Foundation (NSF), "Indigenous Evaluation Framework: Research & Capacity Building": Dr. Gordon is the lead evaluator for an NSF Promoting Research and Innovation in Methodologies for Evaluation (PRIME) grant dedicated to testing the implementation of a new culturally sensitive evaluation tool for science, technology, engineering, and mathematics (STEM) programs in tribal communities. Working closely with cultural experts, tribal elders and tribal IRBs, she develops quantitative and qualitative instruments designed to measure changes in attitudes, knowledge, skills, and abilities of participants. She completes the data analysis, writes reports, and makes presentations to stakeholders.

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Education

Doctorate of Education, Curriculum and Instruction, Montana State University, 2008
Master of Science, Environmental Science/Forestry, Northern Arizona University, 1996
Bachelor of Science, Computer Information Systems, Arizona State University, 1985

Employment History

Kauffman & Associates, Inc., Subject Matter Expert/Project Manager, 2015–Present
Montana State University, Adjunct Faculty, 2008–Present
The Gordon Group, Senior Researcher/Evaluator, 2004–Present
Little Big Horn College, NASA Program Directory & STEM Coordinator, 2002–2003

Selected Publications

LaFrance, J., Nelson-Barber, S., Rechebei, E., & Gordon, J.V. (2014). Partnering with Pacific Communities to Ground Evaluation in Local Culture and Context: Promises and Challenges. *In Continuing the Journey to Reposition Culture and Cultural Context in Evaluation Theory and Practice* (Editors Greene, J. & Donaldson, S.). Stafford Hood: University of Illinois, Champaign, Il.

Gordon, J. V., Downey, J. & Bangert, A. (2013). Effects of a school-based mentoring program on student behavior and measures of adolescent connectedness. School Community Journal, 23(2).

Kipp, G., Quinn, P., Gordon, J., & Sharratt, G. (2012). The AWSP Leadership Framework: The Eight New Principal Evaluation Criteria. Olympia, WA.

Selected Presentations and Conferences

LaFrance, J. & Gordon, J.V. (2015). Diverse Approaches to Educating the Public about Climate Change: Is there a Common Denominator? AEA Annual Conference, November 2015, Chicago, Ill.

LaFrance, J., Nelson-Barber, S., & Gordon, J.V. (2014). *Spanning the Pacific: Decolonizing education and evaluation in Polynesia and Micronesia.* CREA Annual Conference, April 2013, Chicago, Ill.

Gordon, J. V. & Angotti, R. (2012). Teaching mathematics to the Net Generation: Promising strategies in a technology-rich mathematics classroom. AERA Annual Conference, April 2012, Vancouver, B.C.

Awards and Honors

Appointed to serve on the External Evaluation Advisory Committee for the Office of Superintendent of Public Instruction in Washington State, 2013

Appointed to develop the Principal Evaluation Framework for the Association for Washington State Principals (AWSP) approved by State Legislature, 2012

Appointed to serve on the Science Assessment Leadership Team (SALT), Office of the Superintendent of Public Instruction for Washington State, 2004

Awarded a scholarship from the National Science Foundation (NSF) - Center for Learning in the West (CLTW) Doctoral Scholarship, Montana State University, 2003

Certifications

Youth Program Quality Assurance (YPQA), Weikart Center, 2019

Professional Affiliations

Center for Culturally Responsive Evaluation and Assessment (CREA), member/presenter, 2015–Present
American Education Research Association (AERA), member/presenter, 2003–Present
American Evaluation Association (AEA), member/presenter, 2003–Present
National Council on Measurement in Education (NCME), member, 2003–Present
Washington Education Research Association (WERA), member, 2003–Present
Washington State University, College of Education Fellows, Doctoral Committee Member, 2009–2015

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Susan Silberman, PhD

Experience Overview

Dr. Silberman is an experienced research and evaluation professional with more than 20 years of experience in program evaluation, data analysis, and strategic management. Dr. Silberman provides strategic direction for KAI's federal and state research and evaluation contracts, including designing quantitative and qualitative methodology, overseeing the creation of valid and reliable instruments, managing OMB clearance, and reviewing the analysis of data to create meaningful findings and outcomes for our clients. Dr. Silberman also works closely with tribal communities to develop and execute participatory program evaluations for tribal governments and philanthropic organizations. As a political economist, she specializes in health policy and long-term services and supports, and her areas of expertise include Indigenous Evaluation Framework in her evaluation work with American Indians and Alaska Natives (AI/AN) survey research, public opinion polling, policy evaluation, needs assessment, and environmental scans. Dr. Silberman has developed multiple policy and program initiatives using the steps of goal creation, strategic planning, implementation, analysis, monitoring, outcome assessment, and evaluation of lessons learned. Dr. Silberman leads a project for Margaret A Cargill Philanthropies, Native Arts and Cultures Subprogram to evaluate grantees in cultural preservation; recently served as corporate monitor on a project with the Assistant Secretary for Planning and Evaluation (ASPE) to conduct a qualitative study to identify barriers to recruitment and retention of healthcare providers within facilities operated by IHS and to explore promising practices and policy options; and led a contract with Indian Affairs (IA) to develop a comprehensive strategic workforce plan for IA to address the needs of the Assistant Secretary–Indian Affairs, Bureau of Indian Affairs (BIA), and Bureau of Indian Education (BIE). As a senior research & policy advisor, at AARP, she provided strategic leadership and policy guidance to AARP's 53 state offices, served as AARP State Director in both Iowa and South Dakota, and acted as the integrated campaign manager of AARP Maine's Question 4 Tax Relief Initiative campaign in 2009. Dr. Silberman holds a doctoral degree in political science from Michigan State University in East Lansing, Michigan.

Project Experience

U.S. Department of Health and Human Services, Indian Health Service (IHS), "CHR Program Evaluation Services": KAI is conducting an evaluation of the IHS Community Health Representatives (CHR) program to understand the impacts of CHRs on American Indian/Alaska Native (AI/AN) health. Dr. Silberman serves as corporate monitor and oversaw KAI's Team in conducting a literature review, key informant interviews, and three focus groups. KAI worked closely with a subcontractor to create a survey of CHRs to understand their perceived impact on their clients, and Dr. Silberman oversaw the submission of the Office of Management and Budget (OMB) and Internal Review Board (IRB) paperwork for the survey.

Margaret A. Cargill Philanthropies (MACP), Native Arts and Cultures (NAC) Subprogram, "Evaluation Consultation for Grantee Evaluation Design, Data Collection, and Analysis": KAI provides evaluation consultation services to three cohorts of NAC Subprogram grantees (n=20) in the Pacific Northwest, Upper Midwest, and Southwest to support grantees in telling their stories of success and in highlighting the intergenerational transfer of knowledge, revival of endangered art forms, and strategic alignment around mutually meaningful outcomes. Dr. Silberman is the project director and evaluation expert for the ongoing project and leads the team in conducting site visits. developing logic models, designing evaluation plans, creating data collection tools, and identifying metrics specific to each grantee. She helped design and

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implement a first-of-its-kind grantee dashboard to track data collection and produce metrics that are meaningful, appropriate, and reflect grantees' priorities and cultural contexts. The dashboard enables grantees and the MACP staff to map grantee success, download reports and charts, and analyze their progress.

U.S. Department of Interior, Indian Affairs (IA), Office of the Deputy Assistant Secretary, Bureau of Indian Affairs (BIA), "BIA Strategic Workforce Plan": KAI developed a comprehensive strategic workforce plan for IA to address the needs of the Assistant Secretary–Indian Affairs, BIA, and Bureau of Indian Education (BIE). The two-part project included an evaluation of IA organizational structure, leadership, and effectiveness, including communications processes and practices internally and externally at all levels of the organization. This work was accomplished through a needs assessment; benchmarking report; leadership survey; strengths, weaknesses, opportunities, and threats (SWOT) analysis; development of a SWOT workshop presentation and facilitator's guide; training program materials for leadership; and a proposal for an advisory council plan. Additionally, the evaluation included a review of BIE school achievement, staffing, resources, and financial integrity. The evaluation led to the comprehensive strategic workforce plan. Dr. Silberman conducted a series of in-depth interviews with the leaders of IA, BIA, and BIE to gather information and perspectives on the gaps and issues concerning leadership and accountability, organizational structure and roles, work and talent management, and culture and communications.

National Science Foundation (NSF), Division of Acquisition & Cooperative Support, Tribal Colleges and Universities Program (TCUP), "Evaluation of the Tribal Colleges and Universities Program": For the NSF project, KAI designed, implemented, and disseminated a comprehensive evaluation of the TCUP science, technology, engineering, and mathematics (STEM) programming. The study included a descriptive analysis of the programs, compiling and analyzing program data, and conducting six in-depth case studies. KAI worked with an advisory panel to implement a culturally sensitive Indigenous Evaluation Framework for all evaluation activities. KAI and worked closely with NSF and the project officer to meet all their needs and adapt to the changing circumstances of the evaluation. Dr. Silberman oversaw management, budget, and all deliverables; liaised with the client; and convened the advisory panel to review study findings and recommendations. She also contributed to the final evaluation report and ensured that the report reflected the evaluative rigor requested by the client.

Education

Doctor of Philosophy, Political Science, Michigan State University, 2000
Master of Arts, Political Science, Michigan State University, 2000
Master of Arts, International Economic Development, American University, 1987
Bachelor of Arts, Government & International Relations, Clark University, 1985

Employment History

Kauffman & Associates, Inc. Vice President for Research & Evaluation, 2014–Present
Kauffman & Associates, Inc. Director of Research & Evaluation, 2013–2014
Centering Healthcare Institute, Director, Research Policy & Program Innovation, 2011–2012
E-Health Initiative, Vice President, Policy Research & Programs, 2010–2011
AARP, Senior Research & Policy Advisor, State Director, Iowa & South Dakota, 2001–2010
Opportunity Systems Inc., Senior Policy Associate & Consultant, 2000–2004

Certifications

Technology of Participation (ToP) Facilitation Methods, Institute of Cultural Affairs, July 2017
Records Management Training, U.S. Department of Health and Human Services, 2016
Working Effectively with Tribal Governments Certificate, U.S. Office of Personnel Management, 2013
Certified Focus Group Moderator, Burke Institute, 2003

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Certificate, Focus Group Interviewing American Evaluation Association, 2002

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Meredith Anderson, MPH

Experience Overview

Meredith Anderson is a public health professional with 10 years of experience in health policy research and program evaluation. As project manager for KAI's Research and Evaluation Team, she conducts complex qualitative research and manages client relationships and deliverables. Ms. Anderson is skilled in developing literature reviews, identifying and communicating key research findings, creating surveys, and conducting and analyzing interviews to increase the effectiveness of programs such as the Affordable Care Act (ACA) and Medicaid in Indian Country. She has cultivated subject matter expertise in public health and eliminating health disparities, workforce development, suicide and substance use prevention, and long-term services and supports (LTSS). Under KAI's subcontract with SAMHSA to support Native Connections grantees, Ms. Anderson served as the data and evaluation coordinator and provided high level management and analysis of technical assistance data in a culturally appropriate manner. Recently, Ms. Anderson has also managed several large research projects with the IHS, including overseeing a multi-site CHR survey and an injury/cost benefit analysis study. Ms. Anderson managed a project with the Assistant Secretary for Planning and Evaluation (ASPE) to conduct a qualitative study to identify barriers to recruitment and retention of healthcare providers within facilities operated by the Indian Health Service (IHS) and to explore promising practices and policy options. Ms. Anderson holds a master of public health degree in health policy and administration with a concentration in women's health from the University of Illinois at Chicago School of Public Health.

Project Experience

U.S. Department of Health and Human Services, Indian Health Service (IHS), "CHR Program Evaluation Services": KAI is conducting an evaluation of the IHS Community Health Representatives (CHR) program to understand the impacts of CHRs on American Indian/Alaska Native (AI/AN) health. Ms. Anderson serves as project manager and oversaw KAI's Team in conducting a literature review, key informant interviews, and three focus groups. KAI worked closely with a subcontractor to create a survey of CHRs to understand their perceived impact on their clients, and Ms. Anderson oversaw the submission of the Office of Management and Budget (OMB) and Internal Review Board (IRB) paperwork for the survey.

U.S. Department of Health and Human Services, Indian Health Service (IHS), Division of Environmental Health Services (DEHS), "Injury Cost/Benefit Analysis Study": Under a contract with IHS, KAI is conducting a cost/benefit analysis study on the economic burden of injuries among American Indians and Alaska Natives (AI/AN). KAI's in-depth analysis on the incidence and cost of injuries in Indian Country will allow IHS and programs throughout Indian Country to develop more effective injury prevention interventions. KAI developed an Institutional Review Board (IRB) exemption package and gained access to the 5 most recent years of injury data from the IHS National Data Warehouse (IHS NDW). KAI's subcontractor analyzed the data to generate statistics about injury incidence and injury-associated annual payments for AI/ANs; this analysis resulted in estimates of direct annual costs of injury among AI/ANs treated by IHS. Ms. Anderson serves as the project manager and monitors the project's progress to ensure timelines are being met and that IHS is kept updated on the status of the research. She is overseeing the development of an article on the research—which KAI submitted to a peer-reviewed journal for publication—as well as the development of fact sheets to present the

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summarized research findings in an engaging manner. Ms. Anderson conducted one in-person presentation of the study to IHS and other federal officials.

U.S. Department of Health and Human Services, Assistant Secretary for Planning and Evaluation (ASPE), "Recruitment and Retention of Indian Health Care Providers": KAI conducted a qualitative study to identify barriers to recruitment and retention of healthcare providers within facilities operated by the IHS and to explore promising practices and policy options. As project manager, Ms. Anderson created a detailed work plan, assessed contract risks, and ensured that KAI had the resources and tools required to complete the contract. She worked with the contract officer's representative (COR) to arrange case study locations, coordinate schedules, and identify all other relevant stakeholders. She also conducted qualitative research, created significant written reports, and oversaw the work of the project's principal investigator (PI). Ms. Anderson wrote an environmental scan and worked with the PI to create a field input plan and interview six subject matter experts with knowledge of IHS recruitment and retention barriers and best practices. She conducted and analyzed the case study interviews with clinical leadership and providers. Ms. Anderson created a written final report and presented it to ASPE at an in-person briefing.

U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration (SAMHSA), "Training and Technical Assistance to Native Connections Grantees": KAI provides virtual and onsite training and technical assistance (TTA) support for tribal grantees across the United States. The TTA in this contract supports tribal communities in preventing and reducing suicidal behavior and substance abuse among American Indian/Alaska Native (AI/AN) youth up to age 24. The TTA is designed to allow AI/AN communities to support youth and young adults as they transition into adulthood by facilitating collaboration among agencies and equipping them with culturally appropriate resources. Ms. Anderson served as the data and evaluation coordinator and provided high level management and analysis of technical assistance data in a culturally appropriate manner.

U.S. Department of Health and Human Services, Centers for Medicare & Medicaid Services (CMS), "Affordable Care Act (ACA), American Reinvestment and Recovery Act (ARRA), CMS Programs Outreach, and Long-Term Services and Supports (LTSS) Technical Support to American Indian/Alaskan Native (AI/AN) Communities ": Under this contract with CMS, KAI provides communications and research and evaluation services to assist CMS in reaching out to the AI/AN community – which is underenrolled in ACA and CMS programs – and encouraging individuals to apply for CMS programs; the contract also supports AI/AN communities in establishing local LTSS programs. Ms. Anderson provides support for Project B, "Improve and expand development and delivery of LTSS in AI/AN communities," which entails writing literature reviews and conducting background research and interviews on LTSS in Indian Country.

Education

Master of Public Health, Health Policy & Administration, Concentration in Women's Health, University of Illinois at Chicago, School of Public Health, 2015

Bachelor of Arts, History, Certificate in Women's Studies, University of Wisconsin–Madison, 2007

Employment History

Kauffman & Associates, Inc., Senior Researcher, 2018–Present

Kauffman & Associates, Inc., Project Manager I, 2015–2018

Certifications

Technology of Participation (ToP) Strategic Planning, Institute of Cultural Affairs, May 2018

Technology of Participation (ToP) Facilitation Methods, Institute of Cultural Affairs, July 2017

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Aislinn Rioux, Ed.D.

Experience Overview

Dr. Rioux is program evaluator for KAI's Research and Evaluation Team, and she has more than 13 years of experience with applied statistics in teaching, evaluation, and research for a wide variety of populations and settings. Her expertise in the statistical field includes using advanced sampling and multivariate analysis techniques in social science research. Her expertise in the statistical field includes using advanced sampling and multivariate analysis techniques in social science research. She has expertise in the Statistical Package for the Social Sciences (SPSS) software; survey management, including methodology, development, pilot testing, and dissemination; quantitative data collection and analysis including visual data representation; and writing final reports. Dr. Rioux provides support at both the community and the contract levels for contracts, including suicide prevention for American Indian and Alaska Native (AI/AN) communities, surveys for tribal court systems, and long-term services and supports (LTSS) for American Indians. Dr. Rioux supports a variety of evaluation contracts, including supporting a mixed-method evaluation that includes focus groups, surveys, and key informant interviews to conduct an evaluation of the Indian Health Service Rural Interdisciplinary Team Training program to improve geriatric care for veterans for the U.S. Department of Veterans Affairs. She previously served as an external Native evaluator for the Tribal Ventures program of the Northwest Area Foundation. She also served as the project manager/technical assistance lead for the Substance Abuse and Mental Health Services Administration's (SAMHSA's) Native Connections contract to offer training and technical assistance (TTA) to AI/AN grantees. Dr. Rioux earned her doctorate of education in educational leadership and higher education administration from the University of Montana.

Project Experience

U.S. Department of Health and Human Services, Indian Health Service (IHS), Office of Urban Indian Health Programs (OUIHP), "Urban Indian Health Organization 4-in-1 Grant Evaluation": Dr. Rioux serves as project manager under this task order with IHS, where KAI is providing OUIHP and the Urban 4-in-1 Grant program a comprehensive evaluation of reported data and analysis systems to assess program impacts in the four targeted areas of (1) health promotion/disease prevention; (2) immunizations; (3) alcohol and other substance abuse services; and (4) mental health prevention and treatment. KAI has developed and tested a new quarterly reporting template for 29 grantees to submit grant implementation data and will produce an aggregate quantitative and qualitative dataset for grantee data based on identified performance indicators. An electronic data display of quantitative and qualitative findings will be developed based on the collected information and summarized with recommendations in a final report.

U.S. Department of Veterans Affairs (VA), "Evaluation of an Expansion of Indian Health Services Rural Interdisciplinary Team Training (IHS-RITT) Program to Alaska Native Villages": KAI conducted an evaluation of the IHS-RITT program for an expansion to Alaska Native villages. The goal of the contract was to improve geriatric care for veterans by providing recommendations for adapting the IHS-RITT curriculum to be delivered through telehealth modalities to 125 Alaska Villages. Dr. Rioux was the project manager and client point of contact. She developed curriculum reviews; performed literature reviews; observed and analyzed existing trainings; and oversaw the mixed method evaluation, which included focus groups, surveys, and key informant interviews.

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U.S. Department of the Interior, Bureau of Indian Affairs (BIA), Office of Justice Services (OJS), "Tribal Crash Reporting Assessment": The BIA contracted with KAI to conduct an assessment of Tribal Crash Reporting with 10 tribes across the country to field test a tool and protocols required for effectively tracking crashes in Indian Country and identifying safety improvements. Dr. Rioux served as the project manager and was the client point of contact. She also worked to develop both a tribal traffic crash reporting advisory and tools/instruments for conducting a traffic records assessment. In addition, she oversaw the on-site assessments at the various tribes, which included interviews and facilitated, structured conversations. Dr. Rioux assisted with developing a final report that summarized the data collected for each major module and a finding recommendation for each module in the Tribal Crash Reporting Assessment tool.

National Science Foundation (NSF), "All Nations Louis Stokes Alliance for Minority Participation (ANLSAMP)": ANLSAMP's goal is to increase the number of American Indian and Alaska Native (AI/AN) students completing degrees in science, technology, engineering, and mathematics (STEM) by working with a geographically diverse alliance of 11 mainstream colleges and 27 tribal colleges. Dr. Rioux served as external evaluator for this 5-year, $3.5 million contract. She employed a mixed method design to analyze financial and programmatic data by reviewing program documents, past evaluations, and program reports. This guided her in developing and conducting student and liaison surveys and interviews and facilitating staff focus groups. Dr. Rioux administered the online survey with SurveyMonkey and used Statistical Package for the Social Sciences (SPSS) software to manage and analyze the survey data. A final report of the findings and recommendations was presented to the ANLSAMP staff at the conclusion of the project each year.

Education

Doctorate in Education, Educational Leadership and Higher Education Administration, University of Montana, 2017
Master of Interdisciplinary Studies, Applied Statistics and Criminology, University of Montana, 2008
Bachelor of Arts, Criminology/Sociology and Forensic Anthropology, University of Montana, 2006

Employment History

Kauffman & Associates, Inc., Program Evaluator, 2017–Present
Kauffman & Associates, Inc., Native Connections Project Manager/Technical Assistance Lead, 2016–2017
Kauffman & Associates, Inc., Evaluation & Reporting Coordinator, 2014–2016
All Nations Louis Stokes Alliance for Minority Participation, External Evaluator, 2009–2014
University of Montana, Graduate School Research Assistant, 2008–2014

Selected Publications

HeavyRunner-Rioux, A., O'Reilly, F., & Matt, J. (2018). The Influence of Persistence Factors on American Indian Graduate Students. *Journal of Education and Learning, 7*(4), 32-39. https://doi.org/10.5539/jel.v7n4p32

Certifications

Technology of Participation (ToP) Strategic Planning, Institute of Cultural Affairs, May 2018
Technology of Participation (ToP) Facilitation Methods, Institute of Cultural Affairs, December 2016
Records Management Training, U.S. Department of Health and Human Services (HHS), 2017
Protecting Human Research Participants, National Institutes of Health (NIH), Office of Extramural Research, 2015

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APPENDIX F: CAPACITY BUILDING MATERIALS

NIRN-SISEP Data System:
State Implementation and Scaling-up of Evidence-based Practices (SISEP) assessment

STRATEGIC PERFORMANCE MANAGEMENT:
Organizing People and Their Work in the LEA or SEA of the Future

STRATEGIC PERFORMANCE FOR YOUR BRANCH:
Organizing People and Their Work in an LEA or SEA Division or Strand

CASTING A STATEWIDE STRATEGIC PERFORMANCE NET:
Interlaced Data and Responsive Supports

FOUR DOMAINS FOR RAPID SCHOOL IMPROVEMENT:
A Systems Framework

FOUR DOMAINS FOR RAPID SCHOOL IMPROVEMENT:
Indicators of Effective Practice

SHIFTING SCHOOL CULTURE TO SPARK RAPID IMPROVEMENT:
A Quick Start Guide for Principals and Their Teams

INSTRUCTIONAL TRANSFORMATION FOR RAPID SCHOOL IMPROVEMENT:
A Guide for Principals

CULTURE IN THE CLASSROOM:
Indicators and Evidences for Evaluating Culturally Responsive Teaching Using the Alaska Cultural Standards for Educators

Upgraded NIRN-SISEP Data System (SISEP.org)

SISEP
State Implementation and Scaling-up of Evidence-based Practices

An overview of updates to SISEP.org

What is the NIRN-SISEP Data System?

The NIRN-SISEP Data System (SISEP.org), formerly called SISEP Assessment, is a web-based data system that allows leadership and implementation teams to complete an assessment of their efforts to use implementation best practices to support adoption, implementation, and scaling of a practice or program.

An Improved Data System!

An upgraded website will launch on May 27th, 2019. Improvements to the NIRN-SISEP Data System were based on feedback from users, as well as a desire to broaden the capacity assessments that are available in the system.

What's Changing?

- **Additional assessments will be available.** Previously, only the District Capacity Assessment (DCA) and Observation Tool for Instructional Supports and Systems (OTISS) were available for online data entry and reporting. The following assessments and observation will be available on the upgraded site when it launches:
  - State Capacity Assessment (SCA)
  - Regional Capacity Assessment (RCA)
  - District Capacity Assessment (DCA)
  - Observation Tool for Instructional Supports and Systems (OTISS)
  - *Coming in late 2019 – Drivers Best Practices Assessment (DBPA)
  - *Coming in early 2020 – a universal Agency Capacity Assessment (ACA)
- **Expanded graphing and reporting capabilities.** If a user has access to multiple organizations in the NIRN-SISEP Data System, they will be able to compare data from multiple organizations on the same graph (i.e. staff at the regional level can compare data from multiple districts). All users will have the option to export a simple written report that provides an overview of each assessment along with their organization's data from that assessment.
- **User role options will be clearer.** When a new user requests access to the website, they are assigned a user role with specific permissions. Updated user roles will include:
  - **Agency Coordinator** – can add and manage users for their organization, administer assessments, edit a submitted assessment, and view assessment reports. Once an Agency Coordinator has been established for an organization, they will be asked to assume responsibility for creating new accounts and managing access for others within their organization. There can be up to two Agency Coordinators per organization.
  - **Assessment Administrator** – can administer assessments and view assessment reports.
  - **Read Only** – can view assessment reports.
- **Assessments can easily be started by an Assessment Administrator.** Previously, Coordinators first had to "open" a survey before Administrators could access the assessment and enter data. This unnecessary step will be removed.
- **OTISS access will be granted on a user-by-user basis.** This will ensure that users have received appropriate training on use of the OTISS classroom observation tool prior to entering and viewing OTISS data.
- **Ability to customize regional structure by state.** We will now be able to capture regional capacity assessment data and customize the organizations by state given wide variability of the structures of regional teams across states.

Other upcoming changes

We will launch a new online capacity assessment administration training module in fall 2019. Successful completion of the training module will be required for new users to gain access to the NIRN-SISEP Data System as an Agency Coordinator or Assessment Administrator. Until then, successful completion of the DCA Short Course is still required for new users to gain access to the data system. Users who request Read-Only access to the data system are not required to complete the DCA Short Course.

Questions?

Contact us at sisep@unc.edu with any questions or for more information about how to access the NIRN-SISEP Data System.

Strategic Performance Management

Organizing People and Their Work in the LEA or SEA of the Future

Sam Redding
Allison Layland

BSCP Building State Capacity and Productivity Center

Westat

PR/Award # S283B190059

Strategic Performance Management

Organizing People and Their Work in the SEA of the Future

Sam Redding and Allison Layland

Strategic Performance Management (SPM) is a multistep process that guides the SEA leadership in designing and revising a system of strategic performance management. SPM combines *strategic planning* with *performance management* by creating an organizational structure based on strategies and functions, aligning resources with the structure, addressing human capital and productivity, and establishing performance measures.

Acknowledgements

The authors wish to acknowledge the support, encouragement, and advice of Dr. Alice Lindsay, Director of the Florida and the Islands Comprehensive Center at ETS, and Dr. Dean Nafziger, Director of the Building State Capacity and Productivity (BSCP) Center. Further, the authors thank our BSCP Center colleagues—Edunomics Lab and Dr. Heather Zavadsky—for their expert feedback. We are appreciative of Dr. Kerri White, South Central Comprehensive Center, and Dr. Marilyn Muirhead, Maryland State Department of Education, for excellent comments and suggestions. We are grateful for the editing of Lori Thomas and Pam Sheley and also for Pam's design.

The Building State Capacity and Productivity Center

The Building State Capacity and Productivity Center (BSCP Center) is one of seven national content centers supported under the U.S. Department of Education's Comprehensive Centers program. The BSCP Center focuses on providing assistance to the 15 Regional Comprehensive Centers (RCCs) and state education agencies (SEAs) throughout the country to meet the daunting challenge of improving student performance with diminishing financial resources. The BSCP Center provides technical assistance to SEAs that builds their capacity to support local educational agencies (LEAs or districts) and schools by providing high quality information, tools, and implementation support to help them shift from a "compliance-based" to a "performance-oriented" approach. The partners in the BSCP Center are Edvance Research, Inc., the Academic Development Institute, and the Edunomics Lab (Georgetown University).

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About Strategic Performance Management (SPM)

Making full use of SPM on the way to becoming an SEA of the Future requires the commitment and involvement of the Chief State School Officer (CSSO) as the key arbiter of change and direction. SPM may be especially useful for a new Chief, but it is also appropriate for the veteran Chief eager to move more dramatically toward performance and productivity.

SPM is intended to provide a logically coherent process for linking strategic planning with performance management, ultimately engaging every person in the SEA in performance-guided, satisfying work connected to the agency's mission. SEA personnel may also gain new understandings about the SEA of the Future by studying the systematic way in which SPM connects many of the dots in how SEAs are purposed and managed.

This document includes a boatload of terminology, and a Glossary is provided. We have defined the terms and attempted to use them consistently so that we can convey concepts more clearly. But every state has its own vocabulary, and the terms used in SPM may certainly be replaced by ones more familiar to the user.

In a Nutshell

Strategic Performance Management (SPM) weds *strategic planning with performance management* in a living system that provides direction for people's work while allowing for innovation and course adjustment to produce better results more efficiently. SPM includes elements of strategic planning and connects them to performance measures, productivity considerations, and ongoing processes for gauging progress, improving practice, and exceeding expectations.

SPM modules and SPM Task Forces: The SPM process is organized into three modules. The Chief State School Officer (CSSO) designates an SPM group for Module A: Purpose and Direction, and we call this group the Direction Task Force (DTF). The same or a differently constituted group for Module B: Functions and Structures is called the Operations Task Force (OTF). All SEA personnel are involved in Module C: Performance and Innovation. Approximate time to complete each module is:

Module A: Purpose and Direction—18.5 hours total in three or more sessions

Module B: Functions and Structures—12.75 hours total in two or more sessions

Module C: Performance and Innovation—11.75 hours total in two or more sessions

Upon completion of Module C, the SEA has put in place an ongoing system of performance management, with procedures and schedules for teams' regular review of progress toward milestones and performance measures. This performance management process enables the SEA teams to stay on track, nimbly adjust course, and achieve desired results more efficiently.

A **Strategic Performance Management Self-Assessment** in the appendix is useful in determining the SEA's current status and documenting change over time.

Chief Performance Officer: The BSCP Center recommends that the SEA designate a deputy or assistant superintendent-level person as the Chief Performance Officer (CPO) for purposes of managing the SPM process. See *The Chief Performance Officer in Education* (Nafziger, 2013) at: http://www.bscpcenter.org/officers/

Facilitation: SPM goes most smoothly with a trained facilitator, external to the SEA, to guide the process and work alongside the designated CPO and the CSSO. To secure a facilitator, contact the BSCP Center at:

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Table of Contents

Introduction **3**
Key Features of Strategic Performance Management 4
Synopsis of the Modules and Steps 5
Module A: Purpose and Direction **9**
Module A–Session 1 10
Step 1. Create or Revisit the SEA's Vision, Mission, Values, and Goals 10
Step 2. Delineate the Roles and Responsibilities of the State, Districts, and Schools 12
Module A–Session 2 14
Step 3. Appraise the Current Situation 14
Step 4. Determine Goal-Aligned Strategies 16
Module A–Session 3 19
Step 5. Establish Performance Measures and Milestones for Strategies 19
Attachment A: SEA's Vision, Mission, Values, and Goals Tool 21
Attachment B: Roles and Responsibilities Tool 23
Attachment C: SWOT Analysis Template 25
Attachment D: Strategy Development Tool 27
Attachment E: Performance Measures Template 29
Module B: Functions and Structures **31**
Module B–Session 1 32
Step 6. Conduct a Functional Analysis 32
Step 7. Conduct a Structural Analysis (Organizing Units to Do the Work) 33
Module B–Session 2 35
Step 8. Establish Coordinating Teams 35
Step 9. Assign Personnel to Structure and Identify Funding Sources 35
Attachment F: Functional Analysis Tool 37
Attachment G: Structural Analysis Tool 40
Attachment H: Organization Chart 42
Attachment I: Coordination Tool 43
Attachment J: Personnel Assignment Chart 44
Attachment K: Funding Sources for Roles (Positions) 47
Module C: Performance and Innovation **49**
Module C–Session 1 50
Step 10. Assign Milestone to Clusters and Units 50
Module C–Session 2 51
Step 11. Engage Personnel in Performance Management 51
Attachment L: Milestones Assigned to Clusters and Units Chart 55
Attachment M: Milestone Action Plan (Logic Model) Template 56
Attachment N: Establish Collaborating Teams and Mechanisms Template 57
Conclusion **58**
Glossary **59**
References **62**

Appendix A: Strategic Performance Management Self-Assessment.....63
Appendix B: Performance Cycle Reporting.....71
About the Authors.....73

Table of Figures

Figure 1: Strategic Performance Management.....8
Figure 2: SWOT Analysis.....15
Figure 3: Intentional and Emergent Strategies.....16
Figure 4: Performance Management Cycle.....54

Introduction

The Chief State School Officer (CSSO), whether elected or appointed, is the key arbiter of change and direction for the State Education Agency (SEA), to be sure, but also for the many facets of education throughout the state. Setting the direction of constructive change requires vision, and getting results demands skills of communication and organization. Every person within the SEA must see the relevance of his or her work to the overarching goals of the agency and must know how progress is measured and how better ways of doing things are brought into the mainstream of practice. With the CSSO lies the responsibility for establishing a culture of constructive change as well as the policies and processes by which vision becomes reality. With *Strategic Performance Management*, the CSSO draws everyone in the SEA into a smoothly operating, open system that recognizes their contributions and encourages their innovation.

Most organizations operate from a strategic plan, and SEAs are no different. Strategic plans are typically designed to cover a three- to five-year period and reflect the organization's priorities, focus, and intended outcomes. Unfortunately, many strategic plans reiterate what the organization has already been doing and fail to take advantage of innovative thinking needed for change. "Strategic planning, as it has been practiced, has really been *strategic programming*, the articulation and elaboration of strategies, or visions, that already exist" (Mintzberg, 1994, p. 107). Current planning results in a well-written, polished, static, budget-driven document that often sits on a shelf or resides on a website until it is time to report out at the end of the five years. This planning typically isn't explicit about what the organization chooses to do and not do and why. It does not question current assumptions and challenge leadership to innovate (Martin, 2014).

Strategic Performance Management (SPM), however, results in an organization moving from a static plan to a reiterative process using an adaptive performance management system with performance measures for goals and strategies, milestones for strategies, and action plans to meet milestones. SPM requires ongoing mechanisms for feedback and adjustment in course. It is a fluid process by which the SEA leadership develops and operationalizes a plan that goes beyond the basic elements of vision, mission, values, goals, and strategies to include careful analysis of the functions performed by the SEA, its units, and its positions (roles) to facilitate effective placement, assignment, and training of personnel. Further, SPM includes a "productivity lens," prompting the SEA leadership to consider all options in the use of resources to achieve desired results. The emphasis is on planning through strategic thinking and synthesis that allows the SEA to make critical adjustments as needs and context change. It will help guide SEA leadership in decisions about what ideas to pursue and also about what not to do.

SPM incorporates elements of effective strategic planning and performance management from the business perspective, while also recognizing and addressing the unique nature of an SEA. For most SEAs, vision and mission statements are in place. The related goals tend to be broad and may not significantly change over the years because the inherent nature of an SEA is to provide resources, information, and assistance to local education agencies (LEAs) and schools to ensure that every student is prepared for college and/or career (Redding & Nafziger, 2013). The strategies, what the SEA does to more closely approximate the broad goals, change as progress is made towards the goals and/or the state context changes.

The vision, mission, values, goals, and strategies typically form the backbone of an organization's strategic plan. To create a performance management system,

Change Leadership

Change is inevitable, but leaders must be adept at intentionally choosing what change to initiate and anticipating its consequences on the people charged with implementing it. Introducing change into an organization calls for leadership skill and demands analysis of information from within and outside the organization. Change may be the introduction of new practices and processes or the termination of unproductive ones.

From *Change Leadership: Innovation in State Education Agencies* (Redding, 2012, p. 7)

however, an SEA must focus on *emergent strategies* as well as *intentional strategies*. Emergent strategies consist of the SEA's responses to intervening variables, such as changes in resources and restrictions or unanticipated events, whereas intentional strategies are deliberate and anticipated. A performance management system also includes performance measures for the SEA's goal-aligned strategies and milestones for strategies, as well as ongoing mechanisms for feedback and adjustment in course. A performance management system ensures effective implementation of a plan, as well as means for ongoing modification of the plan to achieve better results.

Key Features of Strategic Performance Management

1. **A Living System**
   SPM weds *strategic planning* with *performance management* in a living system that provides direction for people's work while allowing for innovation and adjustment in course to produce better results more efficiently. SPM includes elements of strategic planning and connects them to performance measures, productivity considerations, and ongoing processes for gauging progress, improving practice, and exceeding expectations.

2. **Productivity Lens**
   In building the SEA of the Future and planning and organizing for performance management, decisions should be made with a productivity lens. Productivity is not the same thing as efficiency. Efforts to improve productivity do not call for cutting spending, increasing efficiency, or finding cheaper ways to do the same things as before. When an SEA raises productivity, it means *finding ways to leverage system resources to maximize agency goals*. To this end, SEA leadership should examine previous assumptions and uses of agency resources—such as structural configurations (number and type of staff, use of external providers/contractors, organization of teams) and how technology and data might be used—in order to improve student outcomes. Most importantly, the SEA leadership should leverage the unique powers and limits of the state role to manage real and perceived restrictions at the school and district level placed by statutes, policies, regulations, and traditional practices that impair or boost efforts to improve student outcomes.

3. **Modules and Steps**
   SPM is organized into modules and steps. The CSSO may assemble one group for Module A and a different group for Module B or utilize the same group for all the modules. For example, the state board or a group of state board members and agency personnel may address the Purpose and Direction module, while the CSSO's executive cabinet may work out the Functions and Structures module. A broader engagement of agency personnel is necessary for the Performance and Innovation module. In any case, the CSSO determines which groups tackle which modules, suiting the needs and traditions of the agency and state. The Module A group is called the Direction Task Force (DTF), and the Module B group is the Operations Task Force (OTF).

4. **User Aids: Examples, Productivity Lens, Tools, and Quality Checks**
   This document includes several user aids with icons to identify each type. The user aids are: Examples, Productivity Lens, Tools, and Quality Checks. Examples are provided whenever possible; however, inclusion of an example does not indicate endorsement of the content, and the SEA leaders are encouraged to not let the examples restrict their thinking. Productivity Lens provides key questions or concepts that decision makers need to consider to

maximize efficiency and effectiveness. The icons (see sidebar) call attention to the user aids containing important ideas or features:

Examples: Examples of possible entries are provided, without endorsement.

Productivity Lens: Looking to leverage inputs for maximum outcomes.

Tools: Points to corresponding forms or protocols found in the Attachments.

Quality Checks: Lists items to confirm the quality and completeness of the work on a step.

Synopsis of the Modules and Steps

Module A: Purpose and Direction

Step 1. Create or Revisit the SEA's Vision, Mission, Values, and Goals

The SEA leadership creates vision and mission statements or revisits existing ones to determine if they still represent the purpose of the SEA and where it wants to be. In most organizations, goals are time-bound, usually three to five years corresponding to the length of most strategic plans; however, SEA goals may not be restricted by time as they express an ongoing execution of the SEA's mission. Progress toward the goals demonstrates that the organization's mission is being carried out and it is closer to reaching the ideal state of the vision. In the SPM process, the SEA leadership is encouraged to create a manageable set of broad goals that: (1) highlight desired results for all students; (2) take into account both the student outcomes at the time of graduation and the ongoing progress during the years of schooling; and (3) include academic outcomes and student competencies (desired personal attributes not measured by academic markers). Performance measures are defined for each goal so that progress can be determined.

Step 2. Delineate the Roles and Responsibilities of the State, Districts, and Schools

Delineating the roles and responsibilities of the state, districts, and schools in relationship to the SEA's goals brings needed clarity to what the SEA should and should not do. It is important for the SEA to focus on goals, strategies, and actions that are within its purview and to deeply understand its role and relationship with districts and schools within the context of what it wants to accomplish. Bringing clarity to the SEA role and responsibilities in relationship to districts and schools is helpful when later identifying the SEA's goal-aligned strategies.

Step 3. Appraise the Current Situation

Before launching into the construction of a strategic performance plan, the SEA leadership conducts a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis of each goal. The analysis is conducted with a productivity lens: strengths must be efficient and effective; weaknesses include the identification of inefficiencies in resource utilization. Do the opportunities capitalize on productivity, or can productivity increase with the opportunity? What threatens productivity? Analysis of data, recognition of patterns, and discussion lead to a consensus listing of three to five organizational strengths, weaknesses, opportunities, and threats for each goal. Completing a SWOT is a constructive exercise that sets the stage for determining the SEA's goal-aligned strategies.

Step 4. Determine Goal-Aligned Strategies

Using a possibilities approach, a few powerful strategies are identified to more closely approximate each of the SEA's goals. A strategy is not as specific as an action, yet it leads to the type of activities that need to occur to advance the SEA's mission and move closer to its goals. Strategies do not necessarily represent what the SEA has been doing but what it could do to effectively pursue each goal, carry out its mission, and realize its vision. Strategies focus on how the SEA contributes to the student results stated in the goals.

Step 5. Establish Performance Measures and Milestones for Strategies

Performance management is nimble, enabling the organization to make adjustments to plans and processes in response to data that provide information about progress toward quantitative markers. These markers are called "performance measures" and are tied to goal-aligned strategies. Baseline performance measures are set at the beginning of the SPM process, as are milestones for the first two years. Activities (tasks) to reach milestones are added later in Module C. Performance measures and milestones are adjusted annually.

Module B: Functions and Structures

Step 6. Conduct a Functional Analysis

Form follows function. A functional analysis is a key step in the SPM process. Pursuing goals and executing strategies requires the performance of specific functions—the work to be done. By identifying the unique and overlapping functions required to effectively implement the strategies, personnel in the SEA can be more productively organized for their work.

Step 7. Conduct a Structural Analysis

Sometimes the existing organizational structure—how departments or units and positions are arranged on the organization chart—is not ideal for carrying out the agency's functions to execute its strategies and pursue its goals. Organizational structures evolve over time and become conflated with funding streams and modified to meet the interests and abilities of specific personnel. SPM suggests mapping out an organizational structure aligned to the SEA's functions first, and then massaging the structure as resources and restrictions dictate. The basic structure consists of functional units organized into clusters with a common purpose.

Step 8. Establish Coordinating Teams

The Operations Task Force (OTF) creates two kinds of permanent coordinating teams: a Leadership Team consisting of the leader(s) from each cluster, and Cluster Teams consisting of representatives from each unit in the cluster. The Leadership Team maintains coordination and communication across organizational clusters. The Cluster Teams maintain coordination and communication among units within the cluster. Each unit itself also operates as a team. The Leadership Team, Cluster Teams, and Unit Teams will engage in action planning (see Module C) and implement a cycle of review, reporting, adjusting, and creating in a continuous improvement cycle through performance management. Ad hoc Collaborating Teams are formed across clusters and units to pursue specific milestones.

Step 9. Assign Personnel to Structure and Identify Funding Sources

The OTF places within each unit the personnel prepared by competency to perform the appropriate functions of their roles in the unit. In determining the fit of personnel for specific positions within the newly created structure, competency and ability to take on new responsibilities is given greater weight than experience in a certain job category. By determining the roles and assigning personnel to them, the need for specific training and professional development is made apparent. Funding sources are identified for each position.

Module C: Performance and Innovation

Step 10. Assign Milestones to Clusters and Units

The SEA Leadership Team (leaders from each cluster) assigns each milestone to an accountable cluster, and the Cluster Teams (representatives of each unit in a cluster) assign the milestones to Unit Teams. Cluster leaders, with the input of accountable Unit Teams, meet with other cluster leaders to form Collaborating Teams (multiple units with roles in meeting a milestone).

Step 11. Engage Personnel in Performance Management

Once the milestones are assigned to Cluster Teams and Unit Teams, the Unit Teams develop action plans to detail the actions, outputs, lead personnel, and collaborations needed to meet milestones. Via the action planning process, SPM is operationalized at the unit level, thus building ownership, buy-in, and accountability by staff responsible for the actions.

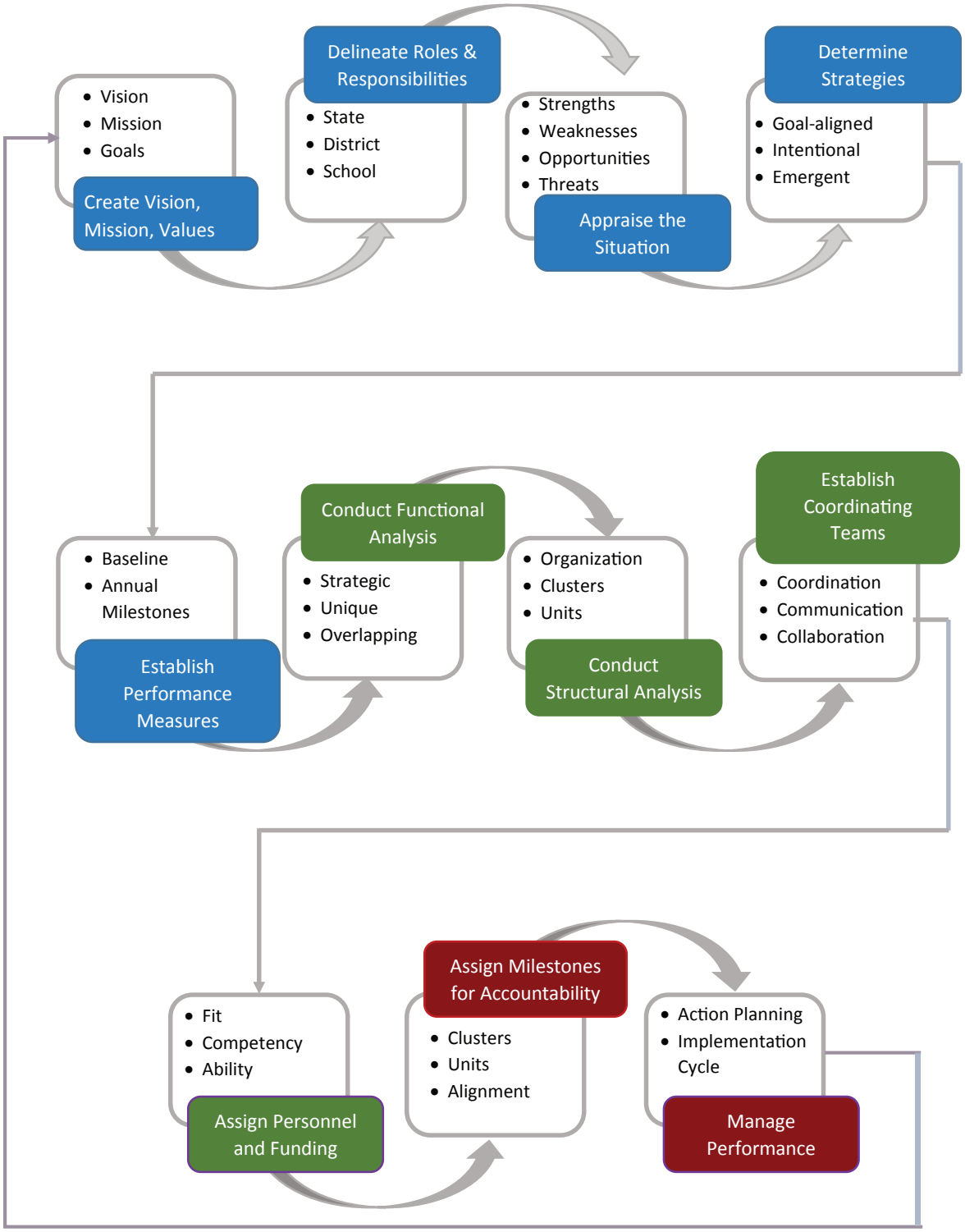
Based on their action plan, each unit engages in a cycle of implementation—each month performance data are collected and adjustments to action plans are made to ensure actions are completed, milestones are met, and strategies are implemented efficiently and effectively. The cycle empowers the SEA in continuous improvement through performance management.

Strategic performance management proceeds at multiple levels:

- **Monthly Unit Team Performance Review.** Each month, each unit meets to review progress with action plans the Unit Team is involved in and to make adjustments in staff assignments and recommendations to Collaborating Teams for adjustment in action plans.
- **Monthly Collaborating Team Performance Review.** Each month, the Collaborating Teams meet to review progress with the action plan and make adjustments in the plan as necessary to more expeditiously meet the milestone.
- **Quarterly Cluster Team Performance Review.** Each quarter, the Cluster Team, with representatives from the cluster's units, meets to review the progress of each unit relative to its action plans and the annual milestones. Adjustments are made to actions and, if needed, to milestones in light of data.
- **Annual Leadership Team Performance Review.** Each year, the Leadership Team and CSSO meet to review performance data relative to milestones, strategies, and goals. The team adjusts milestones for the coming year if needed and adds performance measures and milestones for the following year.

In summary, SPM is a multistep process that guides SEA leadership in designing and revising a system of strategic performance management. SPM combines *strategic planning* with *performance management* by creating an organizational structure based on strategies and functions, aligning resources to the structure, addressing human capital and productivity, and establishing performance measures. Figure 1 illustrates the steps in the SPM process.

Figure 1: Strategic Performance Management



Strategic Performance Management

Module A: Purpose and Direction

Estimated Completion Time: 18.5 hours total in three or more sessions

In Module A of SPM, the team designated for this module by the CSSO: (1) creates, modifies, or confirms the SEA's vision, mission, values, and goals; (2) delineates the roles of the state, districts, and schools relative to the goals; (3) appraises the current situation with a SWOT analysis; (4) determines goal-aligned strategies; and (5) establishes performance measures and milestones for the strategies.

Agenda for Module A: Purpose and Direction (Estimated Times)

Session 1 (6 hours)	
Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 1: Create or Revisit the SEA's Vision, Mission, Values, and Goals	3 hours
Step 2: Delineate the Roles of the State, Districts, and Schools	2 hours
Determine data and stakeholder input to be collected for next session	30 minutes
Before Next Session: Gather data and stakeholder input relative to the goals	
Session 2 (6 hours and 15 minutes)	
Recap of Session 1	15 minutes
Step 3: Appraise the Current Situation (SWOT Analysis)	2 hours
Step 4: Determine Goal-Aligned Strategies	4 hours
Session 3 (6 hours and 15 minutes)	
Recap of Session 2	15 minutes
Step 5: Establish Performance Measures and Milestones for the Strategies	5 hours
Wrap-Up and Review of Module A	1 hour

Module A–Session 1 (6 hours)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 1: Create or Revisit the SEA's Vision, Mission, Values, and Goals	3 hours
Step 2: Delineate the Roles of the State, Districts, and Schools	2 hours
Determine data and stakeholder input to be collected for next session	30 minutes

Before Next Session: Gather data and stakeholder input relative to the goals

Step 1. Create or Revisit the SEA's Vision, Mission, Values, and Goals

Framing Discussion (15 minutes). The Direction Task Force (DTF) thinks about the ideal education system and considers what it would look like for a student going through school in this ideal state. What would happen for a student who is struggling (academically, socially, personally), or who has a disability, or whose primary language is not English? Or is especially talented? Or has strong interests and aspirations that deserve to be nurtured? What would be the experience of the student's family, teachers, and the school principal? How is this ideal education system different from the one that currently exists? This discussion is powerful and brings meaning to the vision and mission.

See the Vision, Mission, Values, and Goals Tool (Attachment A) to record the vision, mission, values, and goals with performance measures.

Vision

The vision portrays the organization (SEA) in its ideal form. Thus the vision statement paints a picture of the optimally functioning SEA—what it looks like. It instills in personnel a sense of purpose, inspires them to give their best, and shapes stakeholders' understanding of the SEA and how and why they should engage with it. A vision statement illustrates the SEA at its best and the greater good it serves. The statement is typically a solid sentence or two in length and is vividly descriptive.

Mission

The mission statement succinctly presents the organization's purpose. It describes what the organization does and for whom. It aims at the vision statement and provides direction for its employees, clients, and partners. Although the purpose of all SEAs is to provide resources, information, and assistance to LEAs and schools to ensure that every student is prepared for college and/or career (Redding & Nafziger, 2013), specific SEA's vision and mission statements are crafted to reflect the values of that state, the state's leadership, and stakeholders. More than likely, the vision and mission statements were constructed some time ago; therefore, it is essential to revisit the vision and mission to ensure they still apply in current and anticipated future contexts.

Values

Many organizations also define **values or beliefs** which provide a foundation of the organization's ethics or expressions of the ethos of the organization. The values typically express how the SEA expects its personnel to relate to each other

and to the field as well as core beliefs about the SEA's ways of operating. Articulating the agency's values roots the mission and vision statements. Values, together with the vision and mission, provide a clear picture of where the organization is and what it strives to be for all stakeholders.

Goals

Goals, when accomplished, make the vision a reality. They demonstrate that the organization's mission is being carried out and the organization is moving toward the ideal of the vision statement. In most organizations, goals are time-bound—usually three to five years, corresponding to the length of most strategic plans. For SEAs, goals are broad, representing the ultimate state of educating all students, and therefore may not be restricted by time. In other words, a goal may be continuously more closely approximated, but may never be fully met.

In the SPM process, the DTF is encouraged to create a manageable set of broad goals that: (1) highlight desired results for all students; (2) take into account both the student outcomes at the time of graduation and the progress during the years of schooling; and (3) include academic outcomes and student personal competency skills (desired personal attributes not measured by academic markers).

Performance measures (indicators, data sources, baseline, and annual targets) are then defined for each goal. Because goals are aspirational in referring to "every student," the steady progress in their direction is mapped in the performance measures. For example, a goal would not be limited to say "72% of our students will graduate ready for college and career," but a performance indicator for the goal could be tied to the percentage of students that are prepared, with annual targets for improvement.

The SEA may already have identified goals related to the vision, mission, and values. If goals do exist, it is recommended that the SEA leadership reexamine them to determine if they will result in carrying out the mission and are relevant to today's context and clients.

EXAMPLES

Examples

Vision: The Department of Education is respected and valued by the citizens of the state for its leadership and service in effectively and efficiently providing every student an excellent education from pre-K through high school in preparation for success in life.

Mission: The Department of Education advocates for state policy; develops and implements state regulations; conducts effective oversight of school districts; and provides high-quality technical assistance to districts and communities to maximize educational opportunities and academic and personal success of all students throughout the state.

Values: As an SEA we value

- **Integrity** through honesty, transparency, and highly ethical behavior
- **Respect** through being courteous and considerate of others
- **Dedication to excellence** through high standards, high expectations, and great results
- **Efficiency** by minimizing waste of time, effort, and resources
- **Continuous improvement** by always learning, being innovative, and seeking improvement
- **Customer focus** by understanding needs, delivering quality service, and exceeding expectations

- **Effective communication** through shared information, active listening, and timely responsiveness

Goals

1. Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.
2. Every student will make at least a year's growth in literacy, math, and science each year of school as measured by state assessments.
3. Every student will develop and apply the personal competencies that foster learning, happiness, and success in life.
4. Every student will graduate high school ready for postsecondary study and/or careers.

Goal Performance Measures (typically more than one indicator per goal)

Goal: Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.

Goal Performance Measure

- **Goal Performance Indicator:** Percentage of students testing proficient or better in reading and math on state standards assessments in Grade 3
- **Goal Data Source:** State standards assessment test results in reading and math for Grade 3
- **Goal Baseline:** 2014: 73.6% of third graders tested proficient or better in both reading and math
- **Year 1 Goal Target:** 77%
- **Year 2 Goal Target:** 80%

Quality Check

QUALITY CHECK

_____ 1. The vision statement portrays the ideal or optimal SEA.

_____ 2. The mission statement clearly expresses the purpose of the SEA.

_____ 3. The values express the ethics that are the underlying foundation of the SEA's vision and mission.

_____ 4. Goal statements demonstrate that, as the goals are more closely approximated, the mission is being carried out and the SEA is moving toward the ideal of the vision statement.

_____ 5. Goal Performance Measures provide multiple, quantitative ways to estimate progress toward the goals and include indicators, data sources, baseline, and targets.

See the Roles and Responsibilities Tool (Attachment B) to record state, district, and school roles and responsibilities related to each goal.

Step 2. Delineate the Roles and Responsibilities of the State, Districts, and Schools

The identified goals bring meaning to the vision and mission of an SEA; however, it takes more than the SEA to move the state more closely to broad, student-focused goals. A state education system is a multilevel system involving the state education agency, school districts across the state, schools within each district, and many service and advocacy organizations. The SEA is the furthest removed from the students and their learning experiences, and yet it influences much that occurs at the classroom level.

The complexity at each level of the system often leads to disconnects, blurred boundaries, and miscommunication. It is important for the SEA to engage in a discussion of the roles and responsibilities of the state, district, and school in relation to each goal to bring clarity in what the SEA can or should do and what it should stop or not do. It also provides insight into how its relationships with the districts and schools could be strengthened or leveraged to move closer to each goal.

QUALITY CHECK

_____ 1. For each goal, the state, district, and school roles and responsibilities are identified.

_____ 2. Discussions included input from district and school stakeholders.

_____ 3. Conflicts are identified and resolved.

_____ 4. Gaps are also identified.

Quality Check

Preparation for Session 2

Baseline data previously identified for each goal as well as any relevant additional data, including input from stakeholders, are to be gathered before the next session and organized for use in the SWOT analysis. Often the challenge in this preparation is not in finding the data, but in determining what data are most useful in this analysis. Therefore, time and attention should be given to this important preparation. Who will gather what data? Is there current data on stakeholder perception and satisfaction? If not, how can this information be gathered (e.g., survey, focus groups)? What is the best way to present the data? Will the data be shared to SWOT analysis participants ahead of time?

Module A–Session 2 (6 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 3: Appraise the Current Situation (SWOT Analysis)	2 hours
Step 4: Determine Goal-Aligned Strategies	4 hours

Step 3. Appraise the Current Situation

Framing Discussion (15 minutes). After creating or reviewing the goals, the DTF engages in a deep, honest discussion regarding the current situation in relation to the goals. Previously, the DTF discussed what it would look like if it reached its ideal state, what the student might experience, his or her family's experience, and the teacher's or principal's experience. Now the SEA examines what the current, actual experience is for a student and his or her family. What are the perceptions about schooling of various stakeholders including students, families, clients (districts and schools), and partners? How does the perception vary from school to school, place to place, student to student? This discussion creates the context and sets the stage for conducting a SWOT analysis and identifying powerful strategies through which the SEA can meet its responsibility in pursuing each goal.

SWOT Analysis

Conducting a **SWOT** analysis for each goal is helpful in providing a clear picture of what is happening now, and the information obtained can then be used to identify strategies and performance measures later in this process. SWOT stands for **Strengths, Weaknesses, Opportunities,** and **Threats** (Harvard Business Review, 2006).

See the SWOT Analysis Template (Attachment C) to record the strengths, weaknesses, opportunities, and threats related to each goal.

- **Strengths** are capabilities that enable the SEA to perform well, ones that should be leveraged to sustain or increase performance.
- **Weaknesses** are characteristics that hinder SEA performance and need to be addressed.
- **Opportunities** are trends, variables, events, and forces that could be capitalized on.
- **Threats** are forces or events outside the SEA's control that need to be planned for, responded to, or mitigated.

By analyzing the external factors affecting the SEA in achieving each goal, the DTF uncovers and better understands threats and opportunities, which, in turn, help to reveal strategic options. Consider the evolving needs of districts and schools, the changing demographics of students and families, and the ever-changing technology that is redefining the classroom environment. Include a deeper look at the legislators crafting policies, current and future vendors and consultants, as well as the various institutes of higher education and professional organizations and advocacy groups. Examine the needs of business and industry in the state today and what they are expected to be in the future.

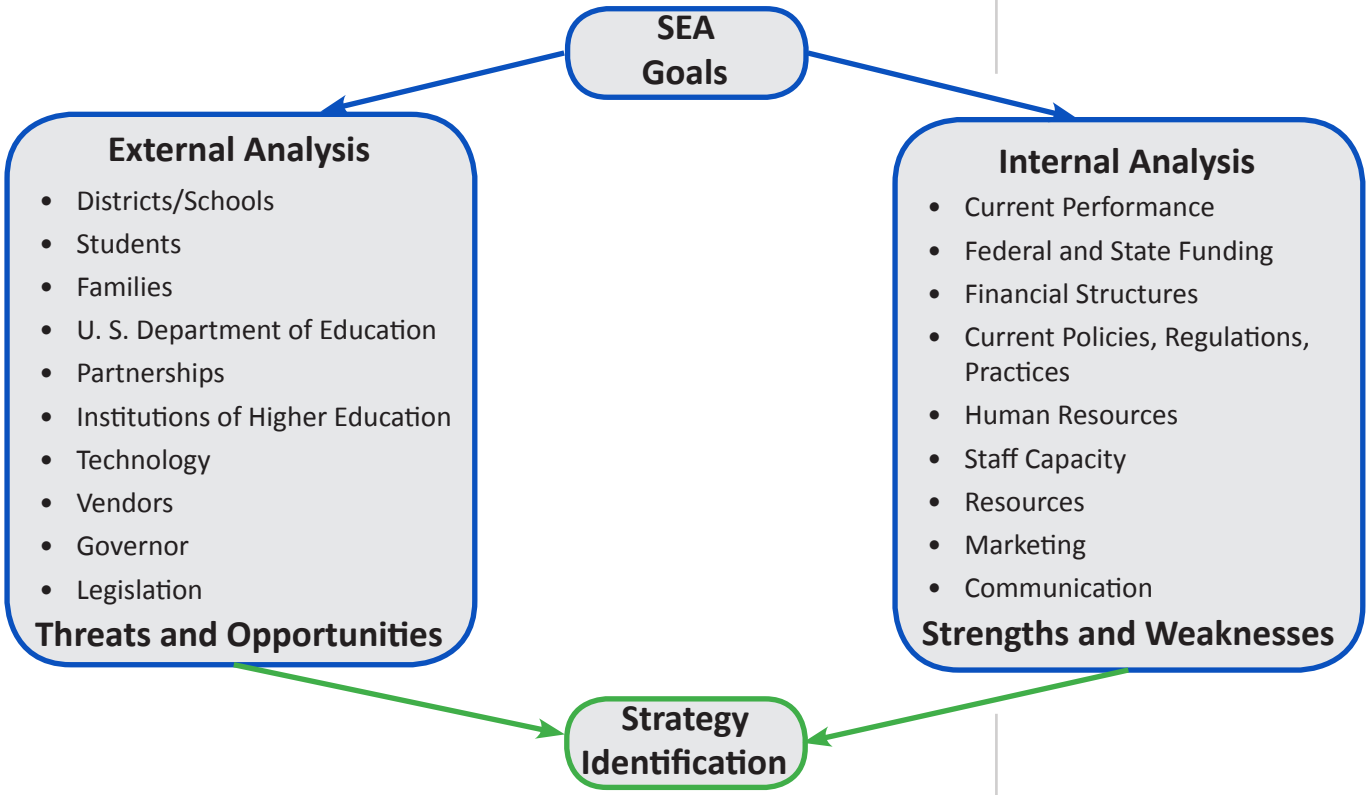
Strengths are what the SEA does really well and are valued by its constituents. The analysis examines the SEA's core capabilities and processes, financial condition, management, culture, and services to the field. The DTF candidly identifies inefficiencies and areas of ineffectiveness. Only then can the SEA truly see the critical changes needed and what it should stop doing.

How can strengths be leveraged to take advantage of opportunities? How can weaknesses be addressed to minimize high-priority threats?

Figure 2 lists possible external and internal factors to consider. The list is not all-inclusive and should be expanded or shortened based on the context of each SEA. A discussion, starting with the external analysis, leads to a consensus listing of three to five organizational strengths, weaknesses, opportunities, and threats and sets the stage for the strategic process (Harvard Business Review, 2006). Use a productivity lens to ensure a focus on determining efficiency and effectiveness related to each factor.

Are strengths efficient and effective? Are weaknesses caused by inefficiency and ineffectiveness? Will the opportunities capitalize on productivity?

Figure 2: SWOT Analysis



QUALITY CHECK

_____ 1. The DTF gathered and used information from stakeholders, including parents, institutes of higher education, community, and business representatives, in SWOT analysis.

_____ 2. Data from multiple sources were analyzed to identify strengths, weaknesses, opportunities, and threats.

_____ 3. Strengths and weaknesses were identified and accurately reflect the current state of the organization.

_____ 4. Opportunities and threats represent current context, including community, business, financial, and technology environments.

_____ 5. Analysis included examination of strengths with opportunities and weaknesses with threats.

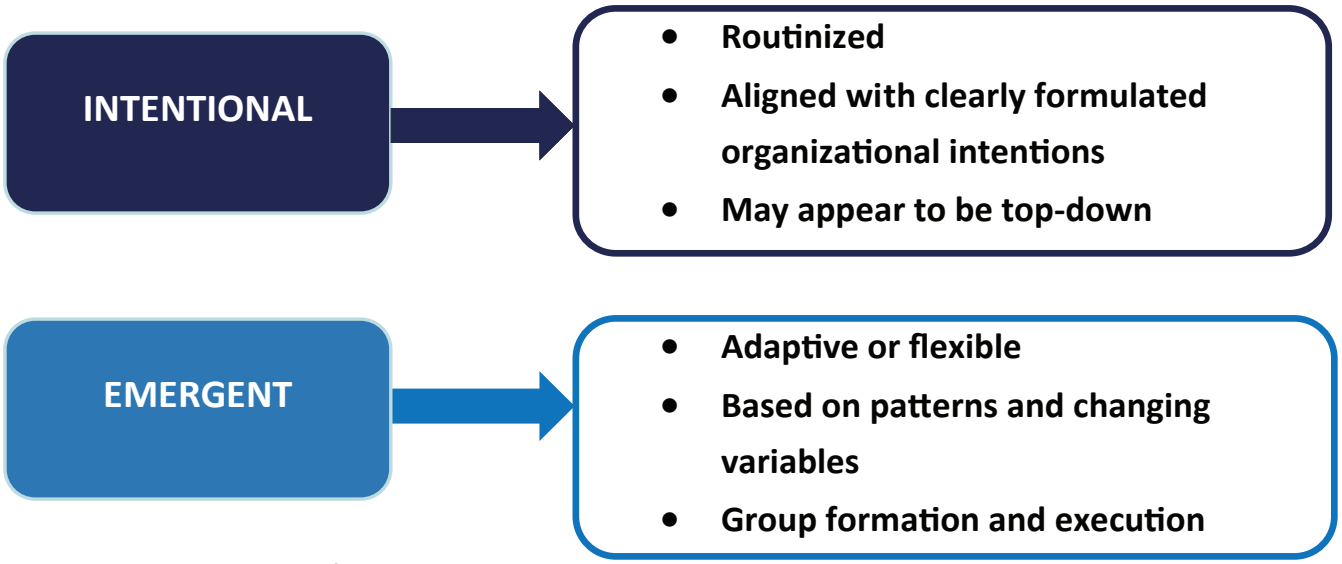
Quality Check

Step 4. Determine Goal-Aligned Strategies

Strategies describe what the SEA will do to more closely approximate the goals. Strategies tell how the SEA gets from "here" (the current state) to "there" (the ideal state represented by the vision). Strategies are constructed with the understanding that meeting the performance measures attached to all of the strategies associated with a goal will move the dial on the goal's performance measures—more closely approximating the goal itself.

A strategy is not as specific as an action, yet it leads to the type of actions that need to occur. Some strategies are "intentional," related to routine, mandated, and established work of the SEA. Other strategies are "emergent," enabling the SEA to adapt, innovate, and respond to changes (Mintzberg, 1994; O'Donovan & Flower, 2015). A strategy focused on finance would be considered an intentional strategy because there are set standards and procedures that must be followed. The strategy often comes from top leadership in response to state legislation attached to funding. An emergent strategy might be one focused on technical assistance because the clients, topics, and delivery methods are subject to considerable change.

Figure 3: Intentional and Emergent Strategies



To encourage innovative thinking, the DTF utilizes the following steps: (1) create possible strategies; (2) identify conditions, barriers, and alternatives for each; and (3) determine the most powerful strategies that can be realized.

Generating Possible Strategies

See the Strategy Development Tool (Attachment D) to guide the process of strategy development.

The DTF begins by generating possible strategies to move closer to the goal. What are all the possible ways to get the job done, again thinking in broad strokes and not specific actions? Possible strategies need to have internally consistent logic and plausibility. A possibility is much like a hypothesis or **theory of action**: *"When we do this, this will result"* or, more simply, *"If we …, then…"*. The emphasis is on what might be viable, not what won't work and why. A possibility might be an improved version of a strategy currently being implemented or something new. A list of three to six possible strategies is generated for each goal. A *word of cau-*

tion: reach high when thinking about possibilities, but they must not be so high that they are unrealistic.

Considering Conditions, Barriers, and Alternatives

For each possible strategy, the DTF identifies the conditions that must occur for the strategy to become a reality (Lafley, Martin, Rivkin, & Siggelkow, 2012). What would have to be true for the strategy to be supported and succeed? The SEA should think about the "must haves" versus the "nice to haves" and focus on the "must haves," for these represent the minimum conditions that must be in place for the strategy to be effectively implemented. At the same time, the SEA also identifies the barriers to success. What barriers can be overcome or removed, and which barriers are outside the purview or influence of the SEA? What might be another way to achieve the same end—an alternative strategy to this one?

Selecting Powerful Strategies

After examining each possible strategy, the SEA selects those few bold strategies that may be challenging yet attainable. These are strategies that the SEA feels confident enough to make a reality, with the fewest barriers that cannot be removed or overcome. When the process is followed, decisions about which strategies to choose are evident.

A productivity lens should be applied when deciding on a strategy. Would the strategy effectively utilize available resources? What additional resources would be needed to successfully implement the strategy in an efficient and timely manner? What restrictions are placed by statutes, policies, contractual obligations, and regulations that could impact implementing the strategy? What would be the most productive means for achieving the goal performance targets within the bounds of these restrictions? Does looking at the strategy through a productivity lens evoke a deeper understanding of the value of the strategy?

Once selected, each strategy is stated using the **If we…, then…and…** format (the "and" connects the strategy to the goal) to show impact on each goal that the strategy is designed to pursue. The stronger the logic, the easier it will be to define actions and outputs to achieve annual measurable targets and thus successfully implement the strategy.

Later in the SPM process, in Module C, strategies will be incorporated into a **logic model** along with the *inputs* (resources including time, competencies, and tools), the *actions, outputs* (concrete products), and *outcomes* (strategies) to formulate action plans.

Productivity is where efficiency and effectiveness intersect. Decision makers must consider the most productive way to get the job done.

Examples

EXAMPLES

Goal	Strategy
Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.	If we implement a performance management system for all SEA units, then the agency will more effectively support the districts and schools, and they will have the capacity to improve instruction for students in grades preschool–3.
	If we create regional teacher development centers to coordinate regional training and support the implementation of evidence-based practices in preschool programs, then more districts will have skilled preschool teachers, and more students will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.
	If we secure legislation and funding to increase access to high-quality preschool for all eligible children, then we will increase the level of school readiness of students across the state, and more students will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.
	If we set state standards for preschool programs, then the programs will improve in quality, and more students will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.

Quality Check

QUALITY CHECK

_____ 1. For each goal, at least two but no more than six possible strategies were suggested without judgments.

_____ 2. Minimum conditions were listed for each possible strategy and represent what must happen for the strategy to become a reality.

_____ 3. Barriers that can and cannot be removed were identified for each strategy.

_____ 4. Decision-making included analysis of conditions in relation to barriers.

_____ 5. No more than three or four strategies were chosen for each goal.

_____ 6. A productivity analysis was applied to each strategy before approving it to determine if a better outcome could be achieved by allocating resources of time and money differently.

_____ 7. The cumulative effect of all the strategies associated with a goal is that the SEA is successfully carrying out the strategies and getting closer to achieving the goal.

Module A–Session 3 (6 hours and 15 minutes)

Recap of Session 2	15 minutes
Step 5: Establish Performance Measures and Milestones for the Strategies	5 hours
Wrap-Up and Review of Module A	1 hour

Step 5. Establish Performance Measures and Milestones for Strategies

Performance measures for strategies are comprised of one or more **indicators, data sources, baselines**, and **targets**. The indicators are the measurements used to determine progress in implementing the strategy. The baseline performance is set for each indicator at the beginning of the time period for the plan, and annual targets are established for at least two years. In Step 5, milestones are created for each strategy. Milestones are the incremental steps to be completed to effectively implement a strategy and are set at one-year intervals. If the number of milestones per strategy is more than three or four, the level of detail may be too fine; more specific actions will be created in Module C by Unit Teams and Collaborating Teams.

The SEA examines the decision-making data and productivity analysis related to each strategy (including the SWOT analysis) and identifies the annual milestones to effectively implement the strategy. Milestones express the achievement of major steps in carrying out a strategy and are typically descriptive rather than quantitative. Multiple milestones may be assigned to each strategy.

See the Performance Measurement Tool (Attachment E) to guide the process of identifying performance measures for strategies.

EXAMPLES

Examples

Goal: Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.

Strategy: If we increase access to high-quality preschool for all eligible children, **then** we will increase the level of school readiness of students across the state, **and** more students will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3. (Note: There may be other strategies related to this goal.)

Current Situation: Current state funding for preschool programs is $47,742,255 ($2,290 per child) and is provided directly to school districts and through grants to community-based organizations. As a result, 32% of 4-year-olds in the state are enrolled in state-funded preschool programs; 10% in Head Start; 3% in other public pre-K programs; and 4% in special education preschool services.

Strategy Performance Measure

- **Strategy Performance Indicator (relates to the "then" portion of the strategy):** Enrollment numbers of preschool compared to number of eligible preschool age children
- **Strategy Data Sources:** Annual enrollment in preschool programs and census estimates of number of eligible children
- **Strategy Baseline:** 21% of eligible preschool children are currently enrolled in a preschool program

- **Year 1 Strategy Target:** 24% of eligible preschool children enrolled in preschool program
- **Year 2 Strategy Target:** 34% of eligible preschool children enrolled in a preschool program

Strategy Milestones

- **Year 1:** SEA advocacy will result in proposed legislation to increase preschool funding annually over the next five years.
- **Year 2:** Funding will be in place.

Quality Check

QUALITY CHECK

_____ 1. Performance measures include indicators, data sources, baseline, and annual targets.

_____ 2. Measures can realistically be collected, analyzed, and used in making decisions related to the strategies and goals.

_____ 3. Specific, relevant performance milestones were identified for each strategy.

_____ 4. The milestones are necessary for the strategy to be implemented.

_____ 5. The milestones are specified for at least two years.

_____ 6. The cumulative effect of achieving the performance measures for all the strategies associated with a goal is that the goal itself will be more closely approximated.

Attachment A: SEA's Vision, Mission, Values, and Goals Tool

PART I: MISSION, VISION, AND VALUES
Mission: **Vision:** **Values:** **1.** **2.** **3.** **4.** **5.**

PART II: SEA GOALS		
Goal	**What does it mean for students?**	**What does it mean for families?**
1.		
2.		
3.		
4.		

PART II: GOAL PERFORMANCE MEASURES					
SEA Goals	**Goal Performance Indicator**	**Data Sources**	**Baseline (Current)**	**Goal Indicator Targets**	
1.				Year 1:	Year 2:
				Year 1:	Year 2:
2.				Year 1:	Year 2:
				Year 1:	Year 2:
3.				Year 1:	Year 2:
				Year 1:	Year 2:
4.				Year 1:	Year 2:
				Year 1:	Year 2:

Note: At this point, the targets may be tentative. They can be adjusted as the rest of the plan evolves.

Attachment B: Roles and Responsibilities Tool

The State Education Agency leadership may choose to seek input from district representatives when delineating state, district, and school roles and responsibilities related to each goal. Use the table below to chart the goals, roles, and responsibilities.

SEA Goal 1:		
State Roles and Responsibilities	**District Roles and Responsibilities**	**School Roles and Responsibilities**
Current Conflicts or Gaps		

SEA Goal 2:		
State Roles and Responsibilities	**District Roles and Responsibilities**	**School Roles and Responsibilities**
Current Conflicts or Gaps		

SEA Goal 3:		
State Roles and Responsibilities	District Roles and Responsibilities	School Roles and Responsibilities
Current Conflicts or Gaps		

SEA Goal 4:		
State Roles and Responsibilities	District Roles and Responsibilities	School Roles and Responsibilities
Current Conflicts or Gaps		

Attachment C: SWOT Analysis Template

The State Education Agency conducts a SWOT analysis for each goal. SWOT stands for Strengths, Weaknesses, Opportunities, and Threats. Record the results of the SWOT analysis below.

SEA Goal 1:	
SEA's Strengths	**SEA's Weaknesses**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
SEA's Opportunities	**SEA's Threats**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

SEA Goal 2:	
SEA's Strengths	**SEA's Weaknesses**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
SEA's Opportunities	**SEA's Threats**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

SEA Goal 3:	
SEA's Strengths	**SEA's Weaknesses**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
SEA's Opportunities	**SEA's Threats**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

SEA Goal 4:	
SEA's Strengths	**SEA's Weaknesses**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
SEA's Opportunities	**SEA's Threats**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

Attachment D: Strategy Development Tool

Using a *possibilities approach*, identify possible strategies for each goal. For each possible strategy, list the conditions that must occur for the strategy to be accepted, supported, and implemented, and the barriers. A strategy may appear for more than one goal.

Goal	Possible Strategies	Must Have Conditions	Barriers
1.	1.		
	2.		
	3.		
	4.		
	5.		
2.	1.		
	2.		
	3.		
	4.		
	5.		
3.	1.		
	2.		
	3.		
	4.		
	5.		
4.	1.		
	2.		
	3.		
	4.		
	5.		

Discuss the conditions and barriers and determine which strategies will have the most significant impact on achieving the goal, have conditions that are right for implementation, and have the fewest barriers that cannot be removed. Selected strategies are then written in **If we…then…and…** statements to articulate the impact each will have on the goal. Conduct a productivity analysis before finalizing the strategies by applying productivity concepts to the strategy: Is this strategy the best way to achieve the goal? Does the strategy raise efficiency and effectiveness levels of the organization? Will the cumulative effect of the strategies move us closer to realizing the goal?

SEA Goals	Strategies (State as If We…then…and…statements)	Productivity Analysis
Goal 1:	**1.**	
	2.	
	3.	
Goal 2:	**1.**	
	2.	
	3.	
Goal 3:	**1.**	
	2.	
	3.	
Goal 4:	**1.**	
	2.	
	3.	

Attachment E: Performance Measures Template

After analysis of available data from multiple sources, develop performance measures (performance indicators, data sources, baseline, and targets) for each strategy. Add milestones for the first two years. Milestones express the achievement of major steps in carrying out a strategy and are typically descriptive rather than quantitative. Multiple milestones may be assigned to each strategy.

Vision: _____

Mission: _____

Values: _____

SEA Goals	Strategies	Strategy Performance Measures				Strategy Milestones
		Strategy Performance Indicators	Data Sources	Baseline	Strategy Indicator Targets	
Goal 1:	Strategy 1.1				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
	Strategy 1.2				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
	Strategy 1.3				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
Goal 2:	Strategy 2.1				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
	Stretegy 2.2				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2

SEA Goals	Strategies	Strategy Performance Measures				Strategy Milestones
		Strategy Performance Indicators	Data Sources	Baseline	Strategy Indicator Targets	
	Strategy 2.3				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
Goal 3:	Strategy 3.1				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
	Strategy 3.2				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
	Strategy 3.3				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
Goal 4:	Strategy 4.1				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
	Strategy 4.2				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2
	Strategy 4.3				Year 1	Year 1 Year 1
					Year 2	Year 2 Year 2

Strategic Performance Management

Module B: Functions and Structures

Estimated Completion Time: 12.75 hours total in two or more sessions

In Module B of Strategic Performance Management, the Operations Task Force (OTF) designated for this module by the CSSO: (1) conducts a functional analysis of the strategies; (2) conducts a structural analysis of the organization; (3) establishes coordinating teams; and (4) assigns personnel to units and identifies their funding sources.

Agenda for Module B: Functions and Structures (Estimated Times)

Session 1 (6 hours and 30 minutes)	
Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 6: Conduct Functional Analysis of the Strategies	3 hours
Step 7: Conduct Structural Analysis of the Organization	3 hours
Session 2 (6 hours and 15 minutes)	
Recap of Session 1	15 minutes
Step 8: Establish Coordinating Teams	1 hour
Step 9: Assign Personnel to Structure and Identify Funding Sources	4 hours
Wrap-Up and Review of Module B	1 hour

Module B–Session 1 (6 hours and 30 minutes)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 6: Conduct Functional Analysis of the Strategies	3 hours
Step 7: Conduct Structural Analysis of the Organization	3 hours

See the Functional Analysis Tool (Attachment F) to guide the process of aligning functions with strategies.

Step 6. Conduct a Functional Analysis

Form follows function. Executing strategies to more closely approximate goals requires the performance of specific functions—the types of work to be done. To achieve maximum performance, it is important to align the organizational structure with the functions required to carry out strategies. Identifying the functions necessary to carry out a strategy adds clarity in creating an organizational structure. Functional analysis prior to determining or revising the organizational structure is a step that is critical yet overlooked by many organizations.

In this step, the OTF identifies the functions that relate to each strategy. A function may be common to several strategies or could be unique to one. For example, a function may be channeling state dollars to districts. More than one strategy may involve funding, and so functions related to the processing of funds may be aligned with multiple strategies.

For each strategy that the OTF has previously identified, look at the "**If we…**" portion of the statement. That portion of the statement provides a broad description of the work (functions) to be done to carry out that strategy. In this exercise, the strategies are aligned with functions (the kind of work required), and a list of common SEA functions is provided. Additional functions may be added, and those stated may be amended to suit the organization. One function may appear in multiple strategies.

Examples

EXAMPLES

Functions
Management
1. Resource/facility management
2. Finance management and procurement
3. Cost benefit and cost effectiveness analysis
4. Performance management monitoring and reporting
5. Compliance management and reporting
6. Contract management
7. Direct state management of programs
Service to the Field (Districts and Schools)
1. Policy and practice guidance
2. Information dissemination
3. Standards, licensure, and program evaluation
4. Resource allocation
5. Continuous improvement support
6. Intervention

Leadership and Advocacy
1. Advocacy
2. Policy development and research
3. Establishment and maintenance of partnerships
4. Consultancy/advisement
5. Communication
Other
1.
2.

Function statements provide specificity about the types of work the SEA performs in carrying out its strategies. Once functions for each strategy have been identified, a comparison with current SEA functions is completed to identify gaps. A function may be identified that the SEA does not currently perform or may not have current capacity to perform. There may be a function that a partnering agency could perform. Is this function within the role of an SEA, and should it be? Could a partnership be leveraged to accomplish the work? Could the gap critically impact productivity in implementing the strategy? Are too many personnel on staff for some functions but not enough for others?

Productivity is a primary consideration in a functional analysis.

QUALITY CHECK

_____ 1. Functions have been identified that clearly relate to each strategy.

_____ 2. Functions include those related to management, service to the field, and leadership and advocacy.

_____ 3. Gaps are identified, including those related to capacity.

_____ 4. Possible solutions to address gaps were explored.

Quality Check

Step 7. Conduct a Structural Analysis (Organizing Units to Do the Work)

Sometimes the existing organizational structure—how departments or units are arranged on the organization chart—is not ideal for carrying out the agency's functions to effectively implement the strategies and more closely approximate its goals. Organizational structures evolve over time and become conflated with funding streams and modified to meet the interests and abilities of specific personnel. Leadership needs to structure the SEA to optimize the implementation of strategies and pursuit of goals. Structures for effective performance management:

- align the organization to best follow its strategic direction;
- allow for clearly defined roles and responsibilities;
- clarify who makes decisions;
- minimize handoffs that affect clients or create confusion over who is responsible for what (district or parent is passed on from one department to another to the point of frustration);
- pull together people who need to work closely with each other;
- allow information to flow unrestricted to those who need it;
- create manageable mechanisms of monitoring and reporting; and

Use the Structural Analysis Tool (Attachment G) and the Organization Chart Tool (Attachment H) to guide the analysis.

- are easily augmented by informal channels of cross boundary communication (Rhodes, 2011).

Functional structures bring people with common functions together and enable better collaboration, effective application of expertise, and clear standards of performance. The OTF looks at the functions it has listed to carry out the strategies and creates or redefines structural units—divisions, departments, branches, or whatever they are called within the SEA—to do the work. Rather than forcing functions into existing units, try naming units to reflect the nature of the functions they perform. What is the work that the unit performs? What are the inefficiencies and gaps in the current structural units? What structure is needed to address gaps and inefficiencies to more efficiently and effectively accomplish the work?

The SEA maps out an organizational structure aligned to the SEA's functions first and then massages the structure as resources and restrictions dictate. The chart may begin with the entities and positions that transcend the structural units. For example, the state board and the chief state school officer (CSSO) are over all units, thus an organization chart can begin with these two items.

There may be a number of structural units that are related in function and these can be clustered. This results in two levels of organization below the CSSO—one being the cluster and the other composed of the various units arranged within the cluster. Clustering the units should maximize productivity, so once an organization map is proposed, decision-makers review with a productivity lens. Will this organizational structure maximize efficiency and get the work done more effectively? Does the structure effectively support staff carrying out the functions? Does the organizational structure minimize redundancies?

Quality Check

QUALITY CHECK

_____ 1. Structural units are defined according to the functions required to implement strategies.

_____ 2. Similar or related units are clustered for efficiency and effectiveness.

_____ 3. Current structure is compared to needed structure, and gaps and redundancies are identified.

_____ 4. A productivity lens is applied to make decisions regarding unit clusters and relationships.

_____ 5. An organization chart reflects the realigned structure.

Module B–Session 2 (6 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 8: Establish Coordinating Teams	1 hour
Step 9: Assign Personnel to Structure and Identify Funding Sources	4 hours
Wrap-up and Review of Module B	1 hour

Step 8. Establish Coordinating Teams

Coordinating teams. Coordinating teams maintain coordination, communication, and collaboration within and across organizational clusters and units. At this point in the process, the OTF outlines a basic structure of coordinating teams. For now, designate: (1) a Leadership Team consisting of the cluster leaders (persons yet to be identified); and (2) one coordinating team for each cluster that includes representatives from each unit in the cluster. Each unit will also function as a Unit Team. When the clusters and units develop action plans in Module C, the need for task- or project-specific Collaborating Teams will arise. These Collaborating Teams are added and terminated as work progresses. Procedures for forming or terminating these Collaborating Teams are established by the Leadership Team now in Attachment H.

Use the Coordination Tool (Attachment I) to determine initial coordinating teams.

QUALITY CHECK

_____ 1. A Leadership Team consisting of the leader(s) from each cluster is established.

_____ 2. Cluster Teams consisting of the leader(s) from each unit in the cluster have been established.

_____ 3. Procedures for creating and terminating Collaborating Teams have been established.

Quality Check

Step 9. Assign Personnel to Structure and Identify Funding Sources

The effective deployment and use of human resources correlates with better results (Huselid, 1995; Ulrich, 1997). However, the human resource function in most organizations is administrative and focused on cost control and administrative activities (Lawler, 2015). In order to accomplish goals related to successfully educating all children, knowledgeable, skilled, talented professionals are needed at all levels, including SEAs. Sometimes, however, staffing decisions at an SEA are made in isolation and not aligned to the strategic plan. Strategy, no matter how powerful and appropriate, cannot be effectively implemented without the right people in the right places. Aligning human resources means integrating decisions and processes about people with decisions and processes related to the goals the organization wants to pursue. In addition, the process of assigning, reassigning, or acquiring staff with the needed competencies to implement strategies should be collaborative, involving leadership beyond the human resources department.

Use the Personnel Assignment Chart (Attachment J) to assign personnel to units and detail roles, responsibilities, and competencies.

Personnel decisions should ensure the SEA has competent staff to perform functions in the most productive way.

Use the Funding Sources for Roles Chart (Attachment K) to identify the funding sources for each position and the percentage of the compensation contributed by that source.

Quality Check

The OTF must place within each unit the personnel with the competencies to perform the appropriate functions of their role within the unit. In determining the fit of personnel for specific positions within the newly created structure, competency and ability to take on new responsibilities is given greater weight than experience in a certain job category.

When assigning personnel, the OTF may find vacant positions. In those cases, it is critical to define the responsibilities and competencies needed to effectively perform the function to ensure recruitment and hiring that results in the right fit. It may mean shifting people, or retraining those already in a position. What is the best way to get the person with the right competencies in the most efficient and effective way? Is it more effective to wait for the right candidate for a position or to place a less skilled employee and provide the necessary training to develop the necessary skill? Consideration to productivity may indicate that a position would be better filled by a contractual person or consultant. Also, by determining the roles and competencies, the need for specific training and professional development is made apparent, and a personnel evaluation system can be aligned to the role's functions.

QUALITY CHECK

_____ 1. Responsibilities and competencies are identified for each position.

_____ 2. The Operations Task Force (OTF) assigned personnel to each unit.

_____ 3. Vacancies are identified and responsibilities and competencies for each vacant position are identified.

_____ 4. Gaps in training and professional development are identified.

_____ 5. Funding sources are identified for each position.

Attachment F: Functional Analysis Tool

Use the codes below to identify SEA functions to carry out each strategy.

Function Codes			
Management		**Leadership and Advocacy**	
Resource/facility management	MRM	Advocacy	LAAD
Finance management and procurement	MFM	Policy development and research	LAPD
Cost benefit and cost effectiveness analysis	MCB	Establishment and maintenance of partnerships	LAPA
Performance management monitoring and reporting	MPM	Consultancy/advisement	LACA
Compliance management and reporting	MCR	Communication	LACM
Contract management	MCM	Other (specify)	
Direct management of state programs	MSP		
Other (specify)			
Service to the Field (Districts and Schools)		**Other Area (specify)**	
Policy and practice guidance	SFPG	Other (specify)	
Information dissemination	SFID		
Standards, licensure, and program evaluation	SFSE		
Resource allocation	SFRA		
Continuous improvement support	SFCI		
Intervention	SFIN		
Other (specify)			

Using the codes on the previous page, identify SEA functions needed to successfully implement each strategy.

SEA Goals (Number)	Strategies (short phrase)	Functions (Check each that applies)																	
		MRM	MFM	MCB	MPM	MCR	MCM	MSP	SFPG	SFID	SFED	SFRA	SFCI	LAAD	LAPD	LAPA	LACA	LACM	
Goal 1																			
Goal 2																			
Goal 3																			
Goal 4																			
Goal 5																			

Compare current SEA functions with identified functions needed to implement the strategies. Are there any conflicts? Are there any gaps? How can the conflicts and/or gaps be addressed?

SEA Current Functions	Identified Functions	Conflicts/Gaps	Possible Solutions

Attachment G: Structural Analysis Tool

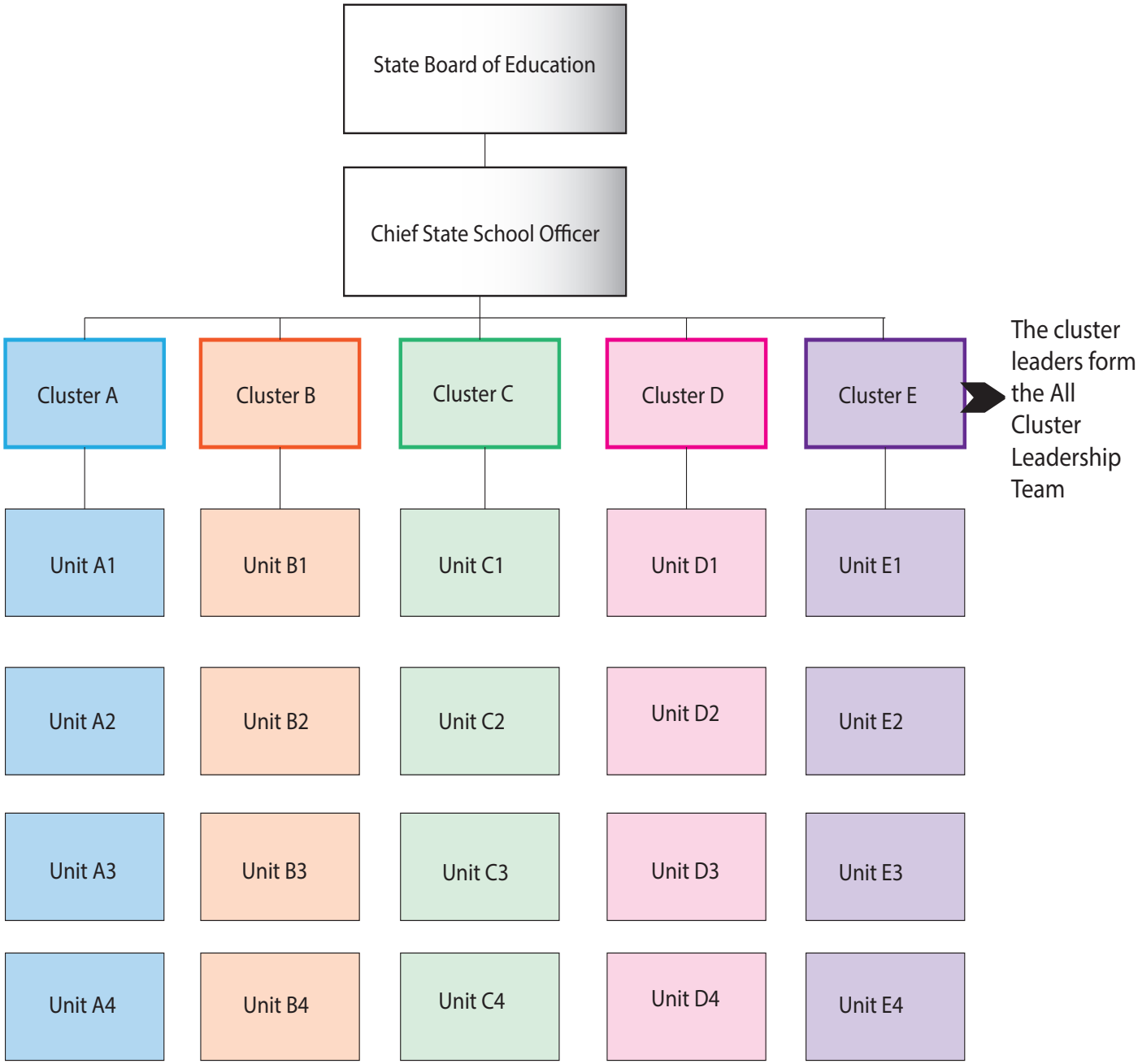
The task now is to create structural units—divisions, departments, branches, or whatever they are called within the SEA—to do the work. A structural unit may be aligned with more than one function. Rather than forcing functions into existing units, try naming units to reflect the nature of the functions they perform. What is the work that they do?

Structural Unit	Unit Purpose	Unit Functions

The task now is to organize the units into clusters with related functions. A cluster includes multiple units.

Cluster	Units in Cluster	Purpose of Cluster

Attachment H: Organization Chart



Attachment I: Coordination Tool

Team	Coordinating Teams		Mechanisms
Leadership			
Cluster 1			
Cluster 2			
Cluster 3			
Cluster 4			
Other			
Other			

Procedure for Proposing and Approving the Formation or Termination of a Collaborating Team by an Accountable Cluster (Approval required from the leaders of each cluster involved)	
Proposed By Date	
To Include Representatives from (Clusters and/or Units)	
Purpose/Rationale	
Duration (or Ongoing)	
Approved by Date	

Attachment J: Personnel Assignment Chart

Use the charts below to assign personnel and identify training or professional development needs. In **Role Status,** indicate if current staff are likely to fill this position—Yes or No.

Cluster	Structural Unit	Role (Position Title)	Role Status	Responsibilities	Competencies Required
Cluster A:	Unit A1:	Role A1a:			
		Role A1b:			
		Role A1c:			
	Unit A2:	Role A2a:			
		Role A2b:			
		Role A2c:			
	Unit A3:	Role A3a:			
		Role A3b:			
		Role A3c:			
Cluster B:	Unit B1:	Role B1a:			
		Role B1b:			
		Role B1c:			
	Unit B2:	Role B2a:			
		Role B2b:			
		Role B2c:			
	Unit B3:	Role B3a:			
		Role B3b:			
		Role B3c:			

Cluster	Structural Unit	Role (Position Title)	Role Status	Responsibilities	Competencies Required
Cluster C:	Unit C1:	Role C1a:			
		Role C1b:			
		Role C1c:			
	Unit C2:	Role C2a:			
		Role C2b:			
		Role C2c:			
	Unit C3:	Role C3a:			
		Role C3b:			
		Role C3c:			
Cluster D:	Unit D1:	Role D1a:			
		Role D1b:			
		Role D1c:			
	Unit D2:	Role D2a:			
		Role D2b:			
		Role D2c:			
	Unit D3:	Role D3a:			
		Role D3b:			
		Role D3c:			
Cluster E:	Unit E1:	Role E1a:			
		Role E1b:			
		Role E1c:			
	Unit E2:	Role E2a:			
		Role E2b:			
		Role E2c:			
	Unit E3:	Role E3a:			
		Role E3b:			
		Role E3c:			

Identify staff competency needs and possible training as well as professional development. Training is short, intensive, and skill specific, whereas professional development focuses on ongoing growth to build broad capacity of staff.

Competency Gaps/Needs	Training (to acquire specific skills)	Professional Development (ongoing growth to build capacity)

Attachment K: Funding Sources for Roles (Positions)

For each position, designate the funding source and the percentage of the position's compensation that is contributed by that source.

Cluster	Structural Unit	Role (Position Title)	Source and %	Source and %	Source and %	Source and %
Cluster A:	Unit A1:	Role A1a:				
		Role A1b:				
		Role A1c:				
	Unit A2:	Role A2a:				
		Role A2b:				
		Role A2c:				
	Unit A3:	Role A3a:				
		Role A3b:				
		Role A3c:				
Cluster B:	Unit B1:	Role B1a:				
		Role B1b:				
		Role B1c:				
	Unit B2:	Role B2a:				
		Role B2b:				
		Role B2c:				
	Unit B3:	Role B3a:				
		Role B3b:				
		Role B3c:				

Cluster	Structural Unit	Role (Position Title)	Source and %	Source and %	Source and %	Source and %
Cluster C:	Unit C1:	Role C1a:				
		Role C1b:				
		Role C1c:				
	Unit C2:	Role C2a:				
		Role C2b:				
		Role C2c:				
	Unit C3:	Role C3a:				
		Role C3b:				
		Role C3c:				
Cluster D:	Unit D1:	Role D1a:				
		Role D1b:				
		Role D1c:				
	Unit D2:	Role D2a:				
		Role D2b:				
		Role D2c:				
	Unit D3:	Role D3a:				
		Role D3b:				
		Role D3c:				
Cluster E:	Unit E1:	Role E1a:				
		Role E1b:				
		Role E1c:				
	Unit E2:	Role E2a:				
		Role E2b:				
		Role E2c:				
	Unit E3:	Role E3a:				
		Role E3b:				
		Role E3c:				

Strategic Performance Management

Module C: Performance and Innovation

Estimated Completion Time: 11.75 hours in two or more sessions plus 3 hours per month

In Module A, the DTF created, modified, or confirmed the SEA's vision, mission, values, goals, and strategies. The DTF then developed performance measures and milestones for each strategy. In Module B, the OTF identified the functions necessary to carry out the strategies and established an organizational structure to efficiently and effectively do the work. The structure includes units, clusters of units, and coordinating teams (within and across clusters).

However, planning without action is pointless. Successful organizations are ones that quickly turn strategy into action, manage processes intelligently, maximize employee contribution and commitment, and create the conditions for seamless change (Ulrich, 1998). Now, in Module C, with the reservoir of information developed through planning sessions in Modules A and B, clusters and units take ownership of the milestones and form Collaborating Teams that detail specific actions to meet milestones. The continuous cycle of performance management is set in motion.

In Module C, the Leadership Team (consisting of the leaders of each cluster) determines the accountable cluster for each milestone, and each accountable Cluster Team assigns the milestones to units. Units and Collaborating Teams detail the actions, outputs, lead personnel, and collaborators. Via this action planning process, SPM is operationalized at the unit level, thus building ownership, buy-in, and accountability by staff responsible for the actions. The teams also establish procedures for monitoring progress and making adjustments in course.

Innovation. "Adjustment in course" sounds bland and mechanical, but in fact this is where innovation takes place. As each team works toward milestones, meeting performance measures for strategies and goals, it finds ways to improve upon its established practices and processes. When the new ways prove to be better ways, they are innovations. Milestones are met more expeditiously, strategies carried out more ambitiously, and lofty goals more closely approximated.

Agenda for Module C: Performance and Innovation (Estimated Times)

Session 1: Leadership Team (leader from each cluster) (4 hours and 30 minutes)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Overview of Work Products from Modules A and B	1 hour
Step 10: Assign Milestones to Clusters and Units	3 hours

Session 2: Cluster Teams and Units (7 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 11: Engage Personnel in Performance Management	7 hours

Ongoing: 3 hours monthly for each Unit Team and Collaborating Team; 3 hours quarterly for Cluster Teams

Module C–Session 1 (4 hours and 15 minutes)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Overview of Work Products from Modules A and B	1 hour
Step 10: Assign Milestones to Clusters and Units	3 hours

See Milestones Assigned to Clusters and Units Chart (Attachment L) to assign milestones to clusters and units.

Step 10. Assign Milestones to Clusters and Units

As a result of the work completed in Module A and Module B, the SEA now has: (1) documents describing the agency's purpose and direction (vision, mission, values, goals, and strategies); (2) annual milestones for the work to be accomplished in the next two years to effectively implement the strategies; (3) an organizational chart (clusters and units) outlining the SEA's personnel structure now aligned with the functions required to implement the strategies; and (4) descriptions of key personnel positions, the competencies needed for each position, and the people assigned to them. In some cases a position may be vacant; however, the competencies needed for the position have been identified to recruit for the position.

The next task is for the Leadership Team (which consists of the leaders of each cluster) to assign milestones to clusters. The cluster assigned to a milestone is **accountable** for the thorough completion of that milestone. As stated in Module B, a cluster is made up of units with common functions; therefore, the accountable cluster should be one representing one or more units whose functions are primary to completing the milestone. Reaching a milestone typically requires the work of more than one unit and often units within other clusters; however, there needs to be one accountable or lead cluster.

The accountable cluster determines what units (within the cluster or in other clusters) must be involved in the work leading to a milestone and designates one unit within the cluster as the lead unit for the milestone. The cluster leader then meets with the leaders of other clusters to form Collaborating Teams consisting of the units required to meet the milestone. See the **Procedure for Proposing and Approving the Formation or Termination of a Collaborating Team by an Accountable Cluster** developed in Module B. This Collaborating Team engages in action planning in Step 11 to complete the milestone.

Examples

EXAMPLE

Take this milestone from Module B: ***SEA advocacy will result in proposed legislation to increase preschool funding annually over the next 5 years***. The primary function is advocacy, yet to accomplish this milestone, communication, finance management, cost benefit analysis, and resource allocation are also needed.

The accountable cluster may be a Policy and Compliance cluster comprised of units whose functions are policy development, advocacy, policy and practice guidance, and compliance management and reporting. Another cluster, Finance, is comprised of units whose functions are finance management and procurement, cost benefit and cost effectiveness analysis, contract management, and resource allocation. Since the milestone work involves both policy and finance functions, the leader of the accountable cluster (Policy and Compliance) gets together with

the leader of Finance and together they identify the units to bring together. In this case it would be the advocacy, communication, finance management, and resource allocation units. These units form the Collaborating Team for this milestone, directed by the lead unit in the accountable cluster, and manage the action planning and performance process for it.

QUALITY CHECK

_____ 1. The Leadership Team has identified the accountable cluster for each milestone.

_____ 2. The accountable cluster has designated a lead unit within the cluster for each milestone for which the cluster is accountable.

_____ 3. Each accountable cluster contains the most primary structural unit or units needed to complete the milestone.

_____ 4. The accountable cluster has identified the lead unit for each milestone, and the cluster leader has met with the cluster leaders of the other units to confirm the composition of the Collaborating Team.

_____ 5. Collaborating Teams include representatives from all units whose functions are needed to meet a milestone.

Quality Check

Module C–Session 2 (7 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 11: Engage Personnel in Performance Management	7 hours
Ongoing: 3 hours monthly for each Unit Team and Collaborating Team; 3 hours quarterly for Cluster Teams	

Step 11. Engage Personnel in Performance Management

Each Collaborating Team prepares an Action Plan aimed at meeting each milestone assigned to it. The plans detail the actions, timeline, resources including personnel, collaborations, and outputs needed to meet the milestones. Each team should engage as many of the people who will be doing the work as possible in the action planning. This creates ownership of not only the actions, but the milestones and strategies themselves. Ownership fosters commitment and productivity.

See the Milestone Action Plan Template (Attachment M) to document the cross-unit action plans.

Action Plans

Actions are the incremental steps needed to meet the milestone, including the targeted **timeline** for completion of each action.

Inputs are identified for each action. Inputs include **resources** and **budgets** as well as personnel. Personnel are specified using a Roles and Responsibility Charting (RACI) approach. RACI stands for Responsible, Accountable, Consulted, and Informed. The RACI approach is a way to clarify roles to prevent gaps, duplications, and confusion and fosters greater productivity of a team. Roles include, but are not limited to:

- **Responsible persons** are the "doers." They are responsible for doing the work.
- **Supporters** are those who may not do the work, but provide resources and supports.

- **Consultants** are those internal and external people who provide expertise and/or advice. Their contribution is more indirect.

Outputs are the tangible products created in the actions. They should not be confused with outcomes, which are the milestones themselves.

Action planning makes it clear who does what when and provides a means to effectively monitor progress on each milestone.

Collaborating Teams and Mechanisms

A collaborating mechanism is the way in which Collaborating Teams communicate, coordinate, and collaborate. For example, they may meet monthly face-to-face, share document creation online, and conduct a weekly conference call. Teams and participation may differ depending on levels of communication, coordination, and/or collaboration needed for the milestone. The key is to meet milestones for carrying out strategies.

See the Collaboration Mechanisms Template (Attachment N) to define the inter-unit collaborations.

Mechanisms are also the processes and routines needed for the Collaborating Teams to conduct their work, monitor progress, keep leadership on multiple levels informed, and sustain high levels of productivity. Mechanism might include a reporting structure so strategic performance management can be frequently discussed at multiple levels. In creating the mechanisms, the OTF considers needed lines of communication, levels of decision making, data collection and reporting, and capacity to ensure productivity.

A Performance Cycle is a mechanism by which actions, milestones, and strategies are monitored; progress is reviewed, shared, and discussed with leadership at various levels; adjustments are made; and new milestones and actions are created as others are completed year to year. The cycle allows the flexibility to react as conditions change while also staying the course to effectively meet the milestones and carry out the strategies to reach SEA goals. The performance cycle should be established before the action plans are implemented so there is a mechanism in place for ongoing performance management. The performance cycle should include:

- Monthly Unit Team Performance Review. Each month, each unit meets to review progress with Action Plans the unit is involved in and make adjustments in staff assignments and recommendations to Collaborating Teams for adjustment in Action Plans.
- Monthly Collaborating Team Performance Review. Each month, the Collaborating Teams meet to review progress with the Action Plan and make adjustments in the plan as necessary to more expeditiously meet the milestone.
- Quarterly Cluster Team Performance Review. Each quarter, the Cluster Team, with representatives from the cluster's units, meets to review the progress of each unit relative to its action plans and the annual milestones. Adjustments are made to actions and, if needed, to milestones in light of data.
- Annual Leadership Team Performance Review. Each year, the Leadership Team and CSSO meet to review performance data relative to milestones, strategies, and goals. The team adjusts milestones for the coming year if needed and adds performance measures and milestones for the following year.

See **Performance Cycle Reporting** in appendix.

An example of one SEA's performance cycle is provided in Figure 4.

QUALITY CHECK

Quality Check

_____ 1. An action plan is developed for each milestone.

_____ 2. All plans include actions, timeline, inputs, and outputs.

_____ 3. Action plans are rigorous but attainable and support the completion of its milestone.

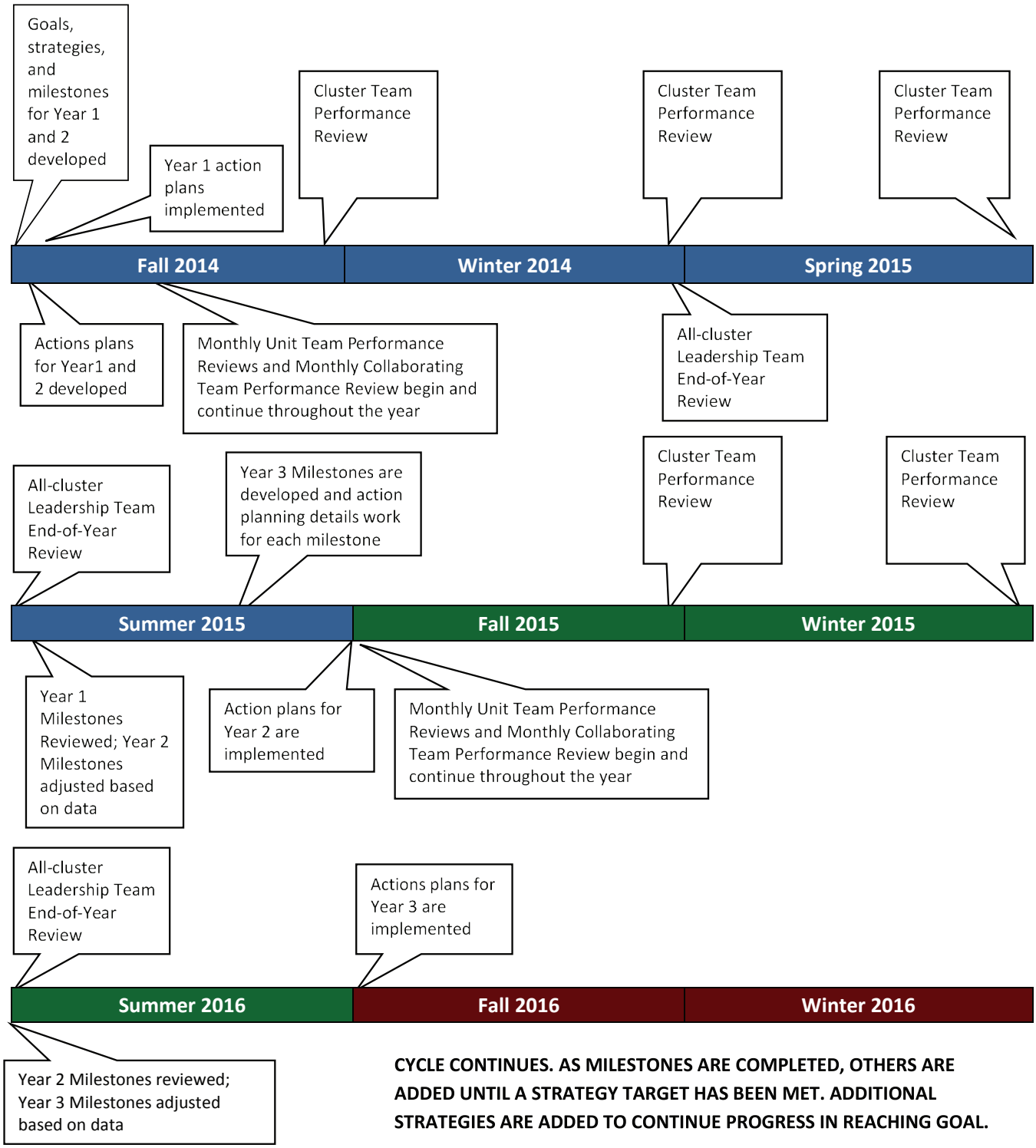
_____ 4. The combined completion of the actions will result in completion of the milestone.

_____ 5. Collaboration mechanisms are identified to support communication, coordination, and collaboration of teams.

_____ 6. An implementation cycle is created and supports monitoring and reporting progress on actions and milestones, as well as the creation of new milestones and actions for at least two years.

_____ 7. The implementation cycle includes quarterly and annual performance reviews.

Figure 4: Performance Management Cycle



Attachment L: Milestones Assigned to Clusters and Units Chart

Year 1			
Strategy	Milestone	Cluster	Lead Unit
Year 2			
Strategy	Milestone	Cluster	Lead Unit

Attachment M: Milestone Action Plan (Logic Model) Template

GOAL:	
STRATEGY:	
Milestone (Outcome):	
Accountable Cluster:	
Lead Unit:	
Collaborating Units:	

ACTION	TIMELINE	INPUTS					OUTPUTS
		Resources/ Budget	Respon-sible Person(s) (those doing the work)	Supporters (those providing resources or supporting the work	Consultants (both internal and external)	Informed (those who need to be informed of the work)	

Attachment N: Establish Collaborating Teams and Mechanisms Template

Each Collaborating Team determines its collaborating mechanisms.

Milestone	Lead Unit	Collaborating Units	Method and Frequency of Communication	Method and Frequency of Collaboration

Conclusion

A State Education Agency, whether in a large state or small, is responsible for a complex education system, responsive to a host of stakeholders, and charged with advocating for a multitude of students of all ages attending schools of every description. Much of what an SEA is tasked with accomplishing is set by external entities, from the federal government to the state legislature, state board, and governor's office. Other responsibilities of the SEA arise from SEA personnel's estimation of what is needed by districts and schools to best serve students.

Each SEA leader struggles to find the right balance in their attention between competent execution of responsibilities that are externally determined and visionary leadership. All of these considerations come together in the work that must be performed by the many people in the agency. Strategic Performance Management is a way to mix the injection of vision with the routine fulfillment of duties in a dynamic organization in which innovation to meet and exceed expectations thrives.

The SPM process requires a considerable amount of time from busy people, but this time devoted to organizing the people and their work returns efficiencies in time saved down the road. SPM engages everyone in the agency in a process that draws on the expertise of each person and amplifies the benefits of that individual's competency to the organization.

The greatest investment in time to move the SEA to performance management is in the beginning to set the purpose and direction for the agency. Often, much of this work on vision, mission, values, and goals has been done before, but a reconsideration of each of these elements is worthwhile. It is less likely that the agency has conducted a thorough examination of its functions and structures before organizing people to most productively do their work. SPM includes processes for functional and structural analysis that lead to more enlightened personnel decisions.

Finally, SPM puts in place an ongoing process of units, Collaborating Teams, and coordinating teams efficiently managing the work and finding better ways to achieve organizational ends. The time taken for these groups to "work on the work" is valuable time that keeps the work on track and aimed at the most significant outcomes.

Glossary

The glossary provides definitions to terminology within the context of a state education agency and strategic performance management.

Accountable Person, Unit, or Cluster	A person, unit, or cluster of units whose job is to ensure thorough completion of a milestone. It is the one where the "buck stops." It may not be the person or persons that do the work, but the ones who answer to leadership for the work accomplished.
Annual Leadership Team Performance Review	An annual meeting of the leaders of all clusters and the CSSO, known as the Leadership Team, to review performance data relative to milestones, strategies, and goals.
Baseline	As part of a performance measure, baseline indicates the current level of indicator performance related to a goal or strategy.
Cluster	A group of structural units that are similar in function.
Collaborating Team	An intra- and inter-Unit Team comprised of units needed to complete a milestone. This team develops and implements the action plan detailing the actions, timelines, inputs, and outputs to complete the milestone.
Coordinating Team	A coordinating team is comprised of cluster and unit leaders and is charged with maintaining coordination, communication, and collaboration within and across organizational clusters and units.
Competency	The set of knowledge and skills necessary to successfully perform a functional role.
Consultants	Internal or external people or organizations who can provide expertise and/or advice on a specific topic to a cluster or unit to support the accomplishment of milestones.
Direction Task Force (DTF)	The DTF is the group assembled by the CSSO for Module A: Purpose and Direction.
Emergent Strategies	Strategies that enable an SEA to adapt, innovate, and respond to changes and differing contexts. They are formed and executed by groups in a bottom-up approach, rather than top-down, and are based on patterns and changing variables.
Function	Different types of work needed to implement a strategy.
Functional Analysis	Process to identify all functions needed to implement strategies to accomplish the SEA goals.
Goal (SEA)	An ambitious, usually aspirational, outcome of the SEA's pursuit of its mission. Goals represent the ultimate, desired state of educating all students and may not be restricted by time.
Human Capital	Personnel, both internal and external, and their capabilities that are needed to implement strategies to move closer to realizing an SEA's goals.
Indicator	The measurement element of a performance measure used to determine progress in implementing a goal or strategy.
Intentional Strategies	Strategies often formed and executed in a top-down approach and are typically related to routine, mandated work of an SEA.
Leadership Team	A team comprised of the leaders of each cluster, which is comprised of similarly functioning units, sometimes called a department or division.
Logic Model	A logic model is a stepwise presentation of the theory of action that is used in action planning and includes inputs, actions, outputs, and outcomes.

Milestone	An incremental step in implementing a strategy, usually a year in duration. A milestone may also be referred to as an objective and is typically non-quantitative and descriptive.
Mission	A statement of an SEA's purpose. It describes what the SEA does and for whom to realize its vision.
Monthly Collaborating Team Performance Review	A monthly meeting of the Collaborating Teams to review progress on the Action Plan and make adjustments as necessary to more expeditiously meet the milestone.
Monthly Unit Team Performance Review	Each month each unit meets to review progress with action plans the unit is involved in and make adjustments in staff assignments and recommendations to Collaborating Teams for adjustment in each Action Plan.
Operations Task Force (OTF)	The OTF is the group assembled by the CSSO for Module B: Structure and Functions.
Performance Cycle	A reiterative cycle by which actions, milestones, and strategies are monitored; progress is reviewed, shared, and discussed with leadership at various levels; adjustments are made; and new milestones and actions are created as others are completed year to year.
Performance Management	The process by which accountable teams routinely examine data on progress toward milestones, strategies, and goals, and apply their ingenuity to achieve results (or exceed expectations) most productively.
Performance Measure	Means by which a strategy is measured and includes **indicators, data sources, baselines**, and **targets**. Indicators are the measurements used to determine progress in implementing the strategy. The baseline performance is set for each indicator at the beginning of the time period for the plan, and annual targets are established for at least two years.
Productivity	Working with optimum efficiency and effectiveness to complete actions, milestones, and strategies, and more closely approximate goals.
Productivity Lens	A lens of efficiency, effectiveness, alternative routes, and high quality outputs that when applied results in decision-making to improve the organization's productivity.
Quarterly Cluster Team Performance Review	Each quarter, the Cluster Team, with representatives from the cluster's units, meets to review the progress of each Unit relative to its action plans and the annual milestones. Adjustments are made to actions and, if needed, to milestones in light of data.
RACI	An approach used to identify personnel roles to complete an action. Roles include • **Responsible persons** are the "doers." They are responsible for doing the work. • **Supporters** are those who may not do the work, but provide resources and supports. • **Consultants** are those internal and external people who provide expertise and/or advice. Their contribution is more indirect. • **Informed** are those internal and external people who need to be kept apprised of the work and progress.
Responsible Person or Unit	A person or unit that does the actual work and is responsible for the specific actions they are assigned to complete.

SEA	State Education Agency, a state governmental agency primarily responsible for the supervision of public elementary schools and secondary schools in that state.
SPM	Strategic Performance Management
Strategic Performance Management	A multistep process that combines strategic planning with performance management by creating an organizational structure based on strategies and functions, aligning resources with the structure, addressing human capital and productivity, and establishing performance measures.
Strategic Planning	Planning that involves the allocation of resources to programmed activities calculated to achieve a set of goals in a dynamic, competitive environment.
Strategies	Describe what an SEA will do to move closer to achieving a goal. Strategies tell how an SEA gets from "here" (the current state) to "there" (the ideal state represented by the vision).
Student Competencies	Personal attributes that propel learning and other forms of goal attainment, such as cognitive, motivational, metacognitive, and social/emotional competency; sometimes associated with aspects of character, traits such as grit and resilience, and attitudes such as a growth mindset.
Structural Analysis	Process by which a Leadership Team looks at the functions needed to implement the SEA strategies and creates or redefines structural units (e.g., divisions, departments, branches, etc.) to do the work.
Supporters	People or units that provide resources and supports to get work completed, rather than doing the work themselves.
SWOT	Process by which an SEA examines its strengths, weaknesses, opportunities, and threats to identify strategies that, when implemented, will move the SEA closer to achieving its goals.
Theory of Action	A common form for a theory of action is "When we do this, this will result." It is a linkage of the strategies to their outcomes in the goals.
Unit	Structures within the SEA that carry out specific functions to complete milestones to effectively implement identified strategies.
Values	Beliefs which provide a foundation of the SEA's ethics or expressions of the ethos.
Vision	A statement portraying an SEA in its ideal form, illustrating an SEA at its best and the greater good it serves.

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Appendix A: Strategic Performance Management—Self-Assessment Instructions

A State Education Agency (SEA) utilizes this self-assessment to: (1) reflect on its strategic planning and performance management processes, (2) determine priority areas, and (3) identify an access point to reconstruct all or parts of its strategic planning and performance management systems.

The self-assessment is organized in three sections to match the process outlined in the *Strategic Performance Management: Organizing People and their Work in the SEA of the Future* (2015). For each of the essential elements of strategic performance management, the SEA: (1) determines the current level of development or implementation, (2) rates the priority level of the element (high, medium, low), and (3) rates the element's opportunity level (relatively easy to address, requires moderate change but is not a significant paradigm shift for the organization, requires significant change in current policy, practice, staffing, and budget conditions).

Note that in order to attain a score of "4," the conditions for "3" and "2" must be met, and for "3," the conditions for "2" must be met.

Module A: Purpose and Direction

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Vision	☐ Organization has not identified its vision.	☐ Vision statement has been documented.	☐ Vision has been developed with stakeholder input.	☐ The vision statement portrays the ideal or optimal SEA.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Mission	☐ Organization has not identified its mission.	☐ Mission statement has been documented.	☐ Mission has been developed with stakeholder input.	☐ The mission statement clearly expresses the purpose of the SEA.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Values	☐ Organization has not identified its values.	☐ Values have been documented.	☐ Values have been identified with stakeholder input.	☐ The values express the ethics that are the underlying foundation of the SEA's vision and mission.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Goals	☐ Goals have not been defined.	☐ Goals have been documented.	☐ Goals highlight desired results for all students.	☐ Goals are related to academic outcomes and student personal competency skills.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Goal Performance Measures	☐ Goal performance measures have not been developed.	☐ Goal performance measures have been documented.	☐ Goal performance measures provide a means to measure progress toward the goals.	☐ Goal performance measures include indicators, data sources, baseline, and targets.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Roles and Responsibilities of State, Districts, and Schools	☐ SEA, district, and school roles and responsibilities have not been identified for each goal.	☐ SEA, district, and school roles and responsibilities have been documented for each goal.	☐ Stakeholder input was used in identifying SEA, district, and school roles and responsibilities.	☐ Role analysis included identification of gaps and redundancies.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Analysis of SEA Strengths, Weaknesses, Opportunities and Threats	☐ SEA strengths, weaknesses, opportunities and threats have not been identified.	☐ SEA strengths, weaknesses, opportunities and threats have been documented.	☐ The SEA used data from multiple sources to identify SEA strengths, weaknesses, opportunities and threats.	☐ Data review included analysis of strengths with opportunities and weaknesses with threats.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Goal-Aligned Strategies	☐ Strategies have not been identified for SEA goals.	☐ Strategies have been documented for each goal.	☐ Strategies include minimum conditions necessary for their successful implementation.	☐ Strategies were developed with a productivity analysis to ensure best use of available resources.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Strategy Performance Measures	☐ Strategy performance measures have not been developed.	☐ Strategy performance measures have been documented.	☐ Strategy performance measures provide a means to measure progress in carrying out each strategy.	☐ Strategy performance measures include indicators, data sources, baseline, and targets.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Milestones	☐ Milestones have not been identified for each strategy.	☐ Milestones have been documented for each strategy.	☐ Milestones measure progress in implementing each strategy.	☐ Milestones include indicators, data sources, baseline, and annual targets to measure progress.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Reflection of SEA Current Purpose and Direction:						

Module B: Functions and Structures

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Functional Analysis	☐ The SEA has not documented SEA functions.	☐ SEA functions necessary to implement each strategy have been documented.	☐ Functions required to implement the strategies were compared to current SEA functions and capabilities.	☐ Gaps between needed and currently available functional capacities have been identified and addressed.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Structural Analysis	☐ SEA organizational chart does not exist.	☐ SEA organizational chart is documented.	☐ The SEA organizational chart represents a structure to implement strategies.	☐ The SEA organizational chart represents a structure that reflects an analysis of functions required to implement strategies.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Coordination	☐ A team structure for coordination is not documented.	☐ A team structure for coordination is documented.	☐ The team structure and their operating procedures are documented.	☐ A team structure and procedures facilitate coordination of work within and across functional units.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Personnel Placement	☐ Policies and procedures for assigning personnel to positions and units are not documented.	☐ Policies and procedures for assigning personnel to positions and units are documented.	☐ Personnel assignment is based on an examination of individual competencies.	☐ Personnel assignment is based on an examination of individual competencies relative to functions required to implement strategies.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Reflection of SEA Functions and Structures:						

Module C: Performance and Innovation

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Accountability of Milestones	☐ Accountability for milestones is not documented.	☐ Accountability for milestones is documented.	☐ An accountable organizational division has been identified for each milestone.	☐ A lead organizational unit has been identified for each milestone.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Collaborating Teams	☐ Collaborating Teams are not documented.	☐ Collaborating Teams are documented.	☐ A procedure to create and disband Collaborating Teams as needed is documented.	☐ Collaboration mechanisms to support communication, coordination and collaboration of teams are documented.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Action Plans	☐ Action plans to complete milestones have not been developed.	☐ Action plans to complete milestones have been developed.	☐ Action plans are rigorous but attainable.	☐ Action plans include timeline, inputs, outputs and clearly defined staff roles.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change
Performance Cycle	☐ A performance cycle to implement the strategic plan has not been documented.	☐ A performance cycle to implement the strategic plan has been documented.	☐ A performance cycle includes progress monitoring for milestones and strategies.	☐ A performance cycle uses progress monitoring data to make adjustments as needed.	Choose an item. ☐ High ☐ Medium ☐ Low	Choose an item. ☐ Easy to address ☐ Requires moderate change ☐ Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Reflection of SEA Performance and Innovation:						

Appendix B: Performance Cycle Reporting

Teams and Responsibilities

Team	Members	Responsibility	Frequency
Task Forces (Direction Task Force and Operations Task Force)	CSSO and CSSO's appointees	**Strategic Performance Management**. Review and revise Strategic Performance Management plan	Every 3 to 5 years
Leadership Team	Leaders of the clusters and CSSO	**Goals, Strategies, and Milestones.** Review performance data relative to milestones, strategies, and goals. Adjust milestones for the coming year if needed and add performance measures and milestones for the following year.	Annually
Cluster Team	Representatives of units in cluster	**Milestones.** Review the progress of each unit relative to its Action Plans and the annual milestones. Adjustments are made to actions and, if needed, to milestones in light of data.	Quarterly
Collaborating Team	Staff assigned from units that formed the Collaborating Team to address a milestone	**Action Plans.** Review progress with the Action Plan and make adjustments in the plan as necessary to more expeditiously meet the milestone.	Monthly
Unit Team	Staff responsible for carrying out the functions of the unit to complete action work	**Action Plans.** Review progress with Action Plans the unit is involved in and make adjustments in staff assignments and recommendations to Collaborating Teams for adjustment in Action Plans.	Monthly

Reporting Outline

Goals and Strategies Reported by Leadership Team–Annually	
Goal A	
Progress	
Challenge	
Adjustment	
Next Steps	
Strategy A1	
Progress	
Challenge	
Adjustment	
Next Steps	

Milestones Reported by Accountable Cluster Team—Quarterly												
Milestone A1.1												
	Quarter 1			**Quarter 2**			**Quarter 3**			**Quarter 4**		
Progress												
Challenge												
Adjustment												
Next Steps												

Action Plan Reported by Accountable Collaborating Team—Monthly												
Action A1.1.1												
	Month 1	**Month 2**	**Month 3**	**Month 4**	**Month 5**	**Month 6**	**Month 7**	**Month 8**	**Month 9**	**Month 10**	**Month 11**	**Month 12**
Progress												
Challenge												
Adjustment												
Next Steps												

About the Authors

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Dr. Redding is the executive director of Academic Development Institute and a consultant with the Building State Capacity and Productivity Center. Dr. Redding also serves as the associate director of the Center on School Turnaround and senior learning specialist for the Center on Innovations in Learning. A former high school teacher and college dean, Dr. Redding has published in the areas of statewide systems of support, school improvement and turnaround, personalized learning and personal competencies, change leadership, innovations in education, and family and community engagement. Dr. Redding has consulted with more than 30 state education agencies and many districts and schools across the country. As a senior research associate at the Laboratory for Student Success, he headed the Lab's research and implementation of comprehensive school reform. He holds masters' degrees in psychology and English, a doctorate in educational administration from Illinois State University, and is a graduate of Harvard's Institute for Education Management.

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For more information about Strategic Performance Management please visit:

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The Building State Capacity and Productivity Center (BSCP Center) focuses on helping state education agencies (SEAs) throughout the country, as they adapt to reduced fiscal resources and increased demands for greater productivity. As State Departments of Education are facing a daunting challenge of improving student performance with diminishing financial resources, the BSCP Center provides technical assistance to SEAs that builds their capacity to support local educational agencies (LEAs or districts) and schools, and to the 21 regional and content comprehensive centers that serve them, by providing high quality information, tools, and implementation support. The partners in the BSCP Center are Edvance Research, Inc., the Academic Development Institute, and the Edunomics Lab.

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Strategic Performance for Your Branch

Organizing People and Their Work in an LEA or SEA Division or Strand

Sam Redding
Allison Layland

BSCP
Building State Capacity and Productivity Center

Westat

PR/Award # S283B190059

Strategic Performance for Your Branch

Organizing People and Their Work in an LEA or SEA Division

Building State Capacity and Productivity Center
Sam Redding and Allison Layland

This guidebook is for a division or strand of work within an LEA or SEA where the organization has not implemented Strategic Performance Management. For a similar manual for agency-wide implementation in an LEA or SEA, see the detailed SPM implementation manual—*Strategic Performance Management: Organizing People and Their Work in the LEA or SEA of the Future* at www.bscpcenter.org/performance

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Strategic Performance Management

This publication is one of three in a suite of guidebooks on strategic performance management from the Building State Capacity and Productivity Center. See www.bscpcenter.org/performance

Strategic Performance Management: Organizing People and Their Work in the LEA or SEA of the Future
This manual describes the process by which SPM is installed agency-wide in an LEA or SEA.

Casting a Statewide Strategic Performance Net: Interlaced Data and Responsive Supports
Casting shows how SPM methods can underlie a statewide system of support for district and school improvement.

Strategic Performance for Your Branch: Organizing People and Their Work in an LEA or SEA Division or Strand
When a division of an agency (LEA or SEA), or a strand of work that runs across divisions, is ready to take SPM seriously before the whole agency is ready, this guidebook shows how.

More information and resources about Strategic Performance Management can be accessed on the SPM webpage on the BSCP Center website at www.bscpcenter.org/performance/

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A copy of this publication can be downloaded from www.bscpcenter.org

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TABLE OF CONTENTS

PAGE 3 — Part I: Introduction to Strategic Performance Management

PAGE 6 — Part II: SPM in an Organization's Division or Strand of Work

PAGE 8 — Part III: Modules and Steps for a Division or Strand to Implement SPM Methods

- Module A: Setting the Direction
  - Step 1. Create or Revisit Purpose
  - Step 2. Delineate Roles and Responsibilities
  - Step 3. Appraise Current Situation
  - Step 4. Identify or Create Goal-Aligned Strategies
  - Step 5. Establish Strategy Performance Measures and Milestones
- Module B: Operationalizing the Direction
  - Step 6. Conduct a Functional Analysis
  - Step 7. Align or Create a Structure
  - Step 8. Assign Milestones and Prepare for Action Planning
- Module C: Designing Actionable Work
  - Step 9. Engage Personnel in Action Planning
- Module D: Implementing a Performance and Innovation Cycle
  - Step 10. Create the Performance and Innovation Cycle
  - Step 11. Tell the Story

PAGE 40 — References

PAGE 41 — About the Authors

Building State Capacity and Productivity Center

The Building State Capacity and Productivity (BSCP) Center develops publications and tools on Strategic Performance Management (SPM) and provides technical assistance to State Education Agencies (SEAs) to create performance management systems aligned with strategic plans. This work has been agency-wide, headed by the Chief State School Officer (CSSO) and his or her leadership teams.

The BSCP Center provides technical assistance for an SEA or LEA to implement SPM: (1) agency-wide; (2) in a division or strand of work; or (3) across SEAs, LEAs, and schools in a Multi-Organization System (MOS). The BSCP Center and the Center on School Turnaround (CST) combine their expertise to offer guidance for applying SPM in a state's system of support for district and school improvement.

Note: For the SEA or LEA, we always recommend implementation of agency-wide SPM, led by the CSSO or superintendent. See the detailed implementation manual—*Strategic Performance Management: Organizing People and Their Work in the LEA or SEA of the Future* (2nd ed.) by Sam Redding and Allison Layland, Building State Capacity and Productivity Center, 2017.

Part I: Introduction to Strategic Performance Management

For state education agencies (SEAs) and local education agencies (LEAs), the tide of work has shifted pretty dramatically in recent years. Once obsessed with regulatory fussiness, these agencies are now busy harnessing innovation in pursuit of better schools and more successful students. They are striving for big wins in a time of tight budgets. To succeed, states and districts must be strategic, and at the same time they must be nimble and creative. They must fully engage the talents and hard work of everyone in their organizations, with everyone pulling in the same direction. They need to strike a sure direction with strategic planning joined seamlessly with systematic implementation of that direction.

Strategic planning "defines where the organization is going, sometimes where it is not going, and provides focus" (Ginter, Duncan, & Swayne, 2013, p.16). Performance management is "the systematic process by which an agency involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of agency mission and goals" (U.S. Office of Personnel Management, n.d., para. 1). *Strategic performance management* folds strategic planning and performance management into one, seamless process, combining systematic focus with opportunities to challenge the routine and discover more productive avenues to success.

A branch of an SEA or LEA may be a division (department) or a strand (a program or initiative that cuts across divisions). For example, Human Resources, Learning Services, or Curriculum and Instruction may be among the half dozen or so main segments of the organization we call divisions in this guidebook. Communication or School Improvement may not be divisions, but major strands of work that include people and initiatives in different divisions.

When the whole organization—SEA or LEA—implements *strategic performance management*, the role of every division and strand is included. But what can the leader of a division or strand do when the agency as a whole is not ready to adopt the performance management methodology? Can the leader apply strategic performance management methods to a division within an agency or a strand of work that spans divisions? We propose that the leader can, and furthermore, doing so will plant the seeds for building an agency-wide system. Always, an agency-wide system is preferable to strategic performance management for a division or strand, but why should the good be sacrificed on the altar of the perfect?

Strategic Performance Management (SPM-capitalized for the process specifically advanced by the BSCP Center) is a multi-step process that marries *strategic planning* with *performance management* to guide an organization's leadership in:

- articulating vision, values, mission, and goals;
- creating an organizational structure based on strategies and functions;
- aligning resources with the structure;
- addressing human capital and productivity; and
- establishing performance measures.

SPM's logically coherent process engages every person in the organization in performance-guided, satisfying work connected to the organization's mission. The ongoing performance management enables personnel to keep a keen eye on productivity

and opportunities to innovate while designing their work, routinely checking progress, and assuming clear responsibility for annual milestones.

In any organization, SPM adopts the characteristics of a system, both in terms of the organization's internal operations and its relationship to external influences and external beneficiaries of its services. SPM's consideration of the internal operations of the organization as well as its relationship to external entities of two types—those that influence the agency and those that are direct recipients of the agency's services—can be reduced to a graphical construct such as Figure 1.

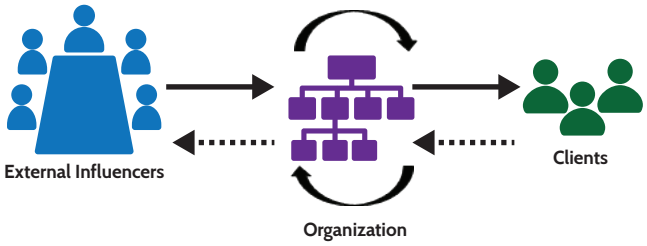


Figure 1. The organization, its external influencers, and its clients

The education system places the state, district, and school in relationship to each other and to the external influence of each, as depicted in Figure 2.

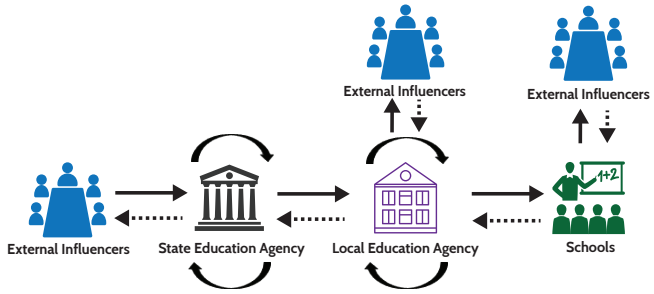
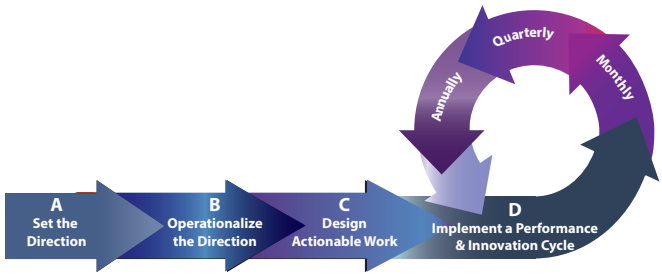


Figure 2. The context of an SEA or LEA

Building an SPM system at the SEA level is already happening in a few states (for examples, see Layland & Redding, 2016; see also BSCP, 2016a; BSCP, 2016b). Each of these SEAs is applying a process described in the manual, *Strategic Performance Management: Organizing People and Their Work in the Sea of the Future* (Redding & Layland, 2017). However, not all SEAs or LEAs are ready or willing to take on the demanding task of building an agency-wide strategic system of performance management. Short of the full, agency-wide SPM, getting a division or strand in shape is a great idea. That is what this guidebook is about—applying SPM to a single division within an organization or a strand of work across an organization.

SPM agency-wide is implemented through the four-module SPM framework and its 15-step process. SPM for a specific division or strand in an LEA or SEA is also implemented through the same four-module framework, however, several steps are combined, leaving 11 steps to complete. The four modules (or phases) for instituting SPM, as depicted in Figure 3, are:

1. Set the Direction;
2. Operationalize the Direction;
3. Design Actionable Work; and



4. Implement a Performance and Innovation Cycle.

Figure 3. SPM's Four Module Framework

A more detailed depiction of the 11 steps in the four-module framework is provided in Figure 4 (see following page).

Organization-wide SPM in an SEA or LEA takes the commitment of the Chief State School Officer or Superintendent to engage the leadership team and various staff in the modules for a minimum of 10 days (typically two days per month for five months). Installing SPM in a single division or strand of work requires the full endorsement of the CSSO or Superintendent, the engagement of the division's or strand's leader, and leadership team, and a minimum of four to six days of intense, initial engagement with BSCP Center consultants.

In Parts II and III of this guidebook, the process for installing SPM in a division or strand is detailed. Throughout the SPM process, whether it is used for a division, strand, or agency-wide, teams step aside from their work at key points in time and look back at it through a special pair of glasses. These glasses are special because they have three lenses:

- **Productivity Lens**—is what we are planning to do (or doing) the most effective use of available resources in moving the dial on performance measures, achieving milestones, and pursuing organizational goals?
- **Best Practice Lens**—is what we are planning to do (or doing) encouraging or applying what is known as best (sound) educational practice?
- **Innovation Lens**—do we have reasonable evidence that a specific deviation from best practice is likely to achieve greater productivity?

In addition, communication plays a significant role throughout SPM implementation. As draft goals and strategies are created, for example, they are shared with all other members of the organization, division, or strand and feedback is gathered and used to finalize the strategic direction. The task forces create a glossary at the beginning of Module A, and terms are added throughout the process and shared with staff to keep everyone in the loop with the new way of doing business. The glossary is used to communicate and assist everyone in understanding key terms related to the strategic performance management system. For more

information on strategic communication, including useful tools, see the BSCP Center's website at http://www.bscpcenter.org/communications/

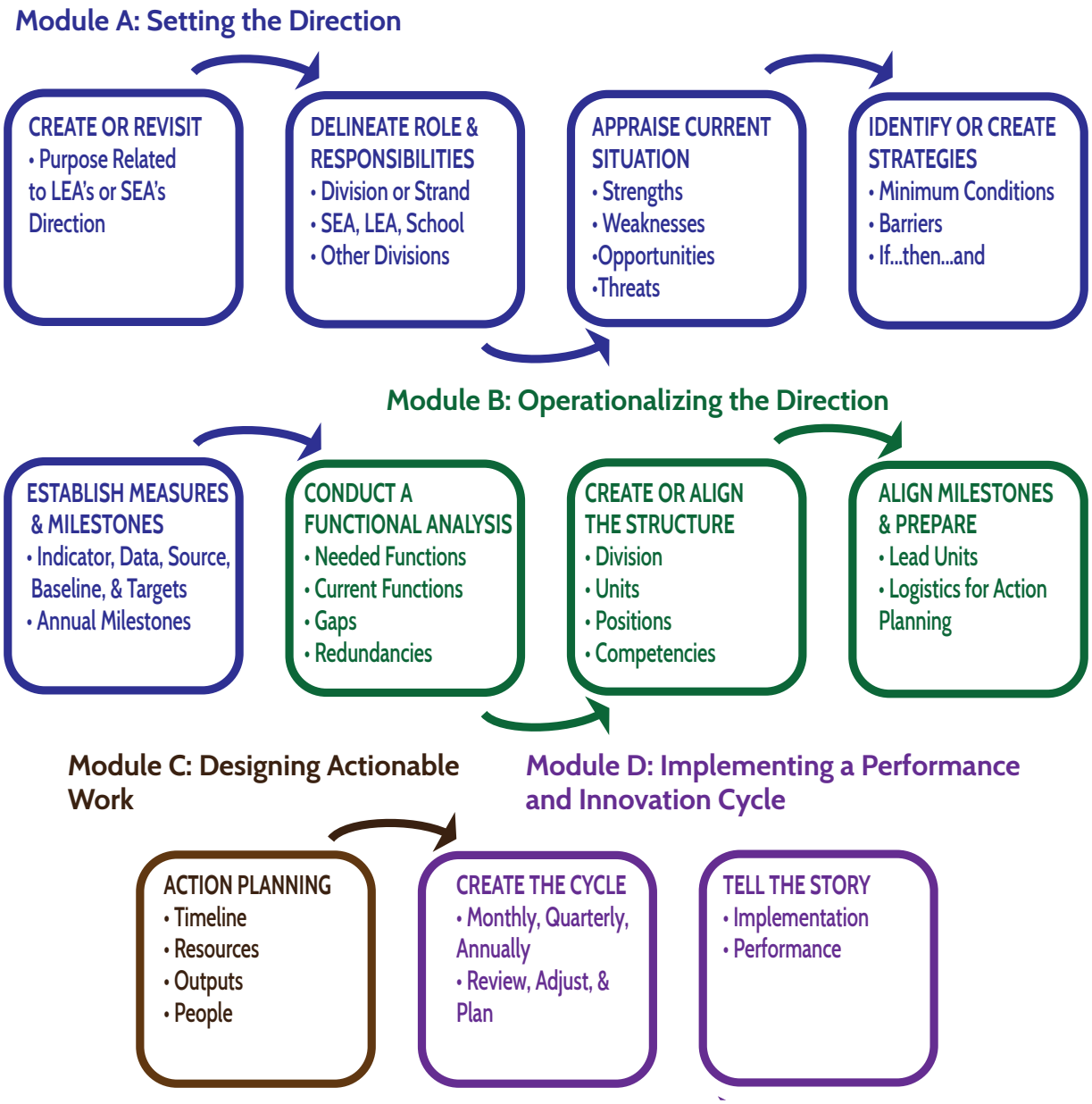


Figure 4. Strategic Performance Management process for a division or strand

PR/Award # S283B190059
Page e292

Part II: SPM in an Organization's Division or Strand of Work

The SPM process can be applied to an LEA or SEA division or strand to better organize the people and their work, improve performance, and increase results. A division is easy to recognize; it is right there on the organization chart, one of the big chunks of organizational real estate with a leader at the top, sitting close to the head honcho. A unit is easy to see; it is one of the smaller fiefdoms that the divisional kingdom has been carved into, and it too is right there on the chart. A strand, on the other hand, is a slippery creature, meandering its way through the organization and leaving no obvious trace on the chart. The existence of a strand often indicates that an area of work has grown significant enough to be its own division. Alternatively, the strand exists, within the SPM world, as an interlinking of collaborating units that stretch across divisions.

Ideally, an SPM system is put in place across the entire organization, but sometimes a division within an organization wants to employ SPM methods in the absence of an organization-wide system. Similarly, a strand of work that unites a segment of people that cuts across divisions may seek more productive ways to operate. It is always best for a part in a system to be certain of its connection to the whole—its purpose in advancing the mission of the organization. For that to happen, the organization's own vision, mission, and goals must be certain, and the role of the division or strand must be made clear relative to the organization's vision, mission, and goals. Otherwise, the organization itself exists as an external influencer (albeit a powerful one) to the division or strand—the division or strand is an orphan, as shown in Figure 5.

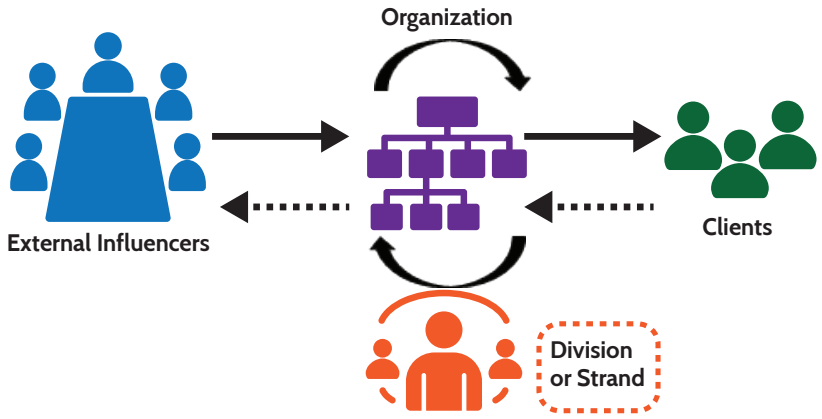


Figure 5. The orphaned division or strand

An incomplete SPM system may exist in an organization when:

1. The organization has not set *its direction* (vision, values, mission, goals, strategies, measures) or is missing some of these components, making it difficult for a division or strand to cement its purpose within the organization.
2. The organization has set its direction, but has not articulated the purpose of each division or strand relative to that direction.

3. The organization or the division or strand has not operationalized the direction by establishing an aligned organizational structure and defining the purposes and functions of each division and unit.
4. The division or strand does not plan, execute, and monitor its work aimed at clear annual milestones.
5. The division or strand does not routinely analyze appropriate data to make nimble decisions to enhance productivity.

When any of these gaps in strategic performance management exist in the organization, the first response for the division or strand is to see if some of the gaps can be filled. This may require a degree of imagination and a ton of diplomacy.

1. Will the organization's leader approve a full SPM process for the entire organization?
2. Is it possible that some elements of organization-wide SPM exist—organizational vision, mission, and goals are most common—even if they are not consequential in the daily operations of the organization? Could a divisional SPM system be grafted to these shallow roots?
3. Will the organization's leader agree to convene division leaders and other key personnel and construct the organizational mission and goals to hang the division's or strand's own SPM process on?

The organization's mission and goals are the two critical roots to which a division or strand may graft SPM. If they exist, fine, but if not, the division or strand will need to encourage the organization's leader to convene leadership for a day or two and construct them. Once drafted, they will enable the division or strand to move forward. The leadership may wish for these mission and goal statements to exist as a gray-out component of the division or strand's SPM. In other words, they guide the division or strand in constructing its SPM but are not public.

Given this element of mischief-making (the need to move forward even if the organization as a whole is not ready to do so), a division or strand follows the 11 steps below for installing SPM methods. In this context, a division would be a major node on the organization chart such as Learning Services or Finance, whereas a strand threads across divisions such as Communications or School Improvement.

The Division or Strand Leadership Team. Just who takes the bull by the horns and does the work of installing SPM in a division or strand? A leadership team for a division is comprised of the leader of the division and all of the unit leaders. For example, the Finance division could have a division leader and unit leaders for Procurement, Property and Assets, and Grants Management. A strand may be a more complicated consideration. A Communication strand, for example, could have a designated leader and representatives from the various divisions and units across the agency that are part of the work.

Each module in the SPM process is led by a task force. The participants for each SPM task force are identified by the division or strand leader and may consist of the same members or vary with each Module. In a small agency, or small division or strand, everyone that belongs to the branch may meet as a task force to implement SPM. Always, once the strategic direction is set and some organizational matters attended to, all the staff begins work on teams (which we call units) to create action plans aimed at milestones, do their work, collaborate, and report their progress.

Part III: Modules and Steps for a Division or Strand to Implement SPM Methods

Module A: Setting the Direction

The division or strand leader selects a team to tackle Module A as the Direction Task Force. This group's job is to clarify the organization's strategic direction (vision, mission, values, goals, and strategies, to the extent they exist) and define the purpose of the division or strand relative to the organization's strategic direction. There are at least three different ways to make a connection between the division or strand and the organization's strategic direction.

Which approach will the division or strand take to establish its connection to the organization? Check one.

_____ **Option 1**: Convince the organization's leadership to launch an organization-wide SPM that will include the division or strand.

_____ **Option 2**: Connect the division's or strand's purpose statement to existing elements of the organization's vision, mission, goals, and strategies.

_____ **Option 3**: Convince the organization's leader to convene division heads and other key leaders and at least construct an organizational mission and goals, even if they are not yet to be considered public.

If Option 1—Waiting for the organization to implement SPM and include the division or strand in it. Congratulations! Your orphaned division or strand will soon be adopted. See the detailed SPM implementation manual—*Strategic Performance Management: Organizing People and Their Work in the LEA or SEA of the Future* (Redding & Layland, 2017; www.bscpcenter.org/performance).

If Option 2—Connecting to extant pieces of the organization's vision, mission, values, goals, and/or strategies. Round up what is available and make use of the material in Module A. Proceed to Step 1.

If Option 3—Take a couple days with leadership and, at a minimum, construct a likely mission for the organization, two to five organizational goals, and performance measures for each goal. See definitions for mission, goals, and goal performance measures below. Then proceed to Step 1.

Step 1. Create or Revisit Purpose

In Step 1, the Direction Task Force defines the purpose of the division or strand within the context of the organization's direction. Completion of Step 1 results in the alignment of:

1. LEA or SEA Mission Statement
2. LEA or SEA Goals and Goal Explanations
3. LEA or SEA Goal Performance Measures
4. Division or Strand Purpose Statement

By the end of Step 1, the Direction Task Force will have a purpose statement representing the role and work of the division or strand in relation to the LEA's or SEA's vision, mission, values, and goals (or at least mission and goals).

LEA or SEA Mission Statement. The mission statement succinctly presents the organization's purpose. It describes what the organization does and for whom. It aims at the organization's ideal vision of itself and provides direction for its employees, clients, and partners.

Example of an SEA Mission Statement
The Department of Education advocates for state policy; develops and implements state regulations; conducts effective oversight of school districts; and provides high-quality technical assistance to districts and communities to maximize educational opportunities and academic and personal success of all students throughout the state.

LEA or SEA Goals. The Direction Task Force identifies which organizational goals the division's or strand's purpose most supports. Goals in education organizations are typically not restricted by time as they express an ongoing execution of the agency's mission. The goals are aimed at results for students, and they are expressed for **all** students (or every student).

For example, the SEA or LEA may have a manageable set of broad goals that: (1) highlight desired results for **all** students; (2) take into account both the student outcomes at the time of graduation and the ongoing progress during the years of schooling; and (3) include academic outcomes and student personal competencies (desired personal attributes not directly measured by academic markers).

Don't worry that the goals seem to lack quantitative measures. That comes with the goal performance measures.

Example of an LEA or SEA Goal
Each student will meet his or her annual growth targets and graduate ready to pursue post-secondary study and/or a career.

LEA or SEA Goal Explanation. A goal explanation is simply a paragraph or two describing the intent of the goal. The goal explanation is a way to ensure that everyone understands the goal in the same way.

LEA or SEA Goal Performance Measures. Performance measures are defined for each goal so that progress toward the goal can be determined. Progress toward the goals demonstrates that the organization's mission is being carried out and is closer to reaching the ideal state of the vision. Does the division have a role in the collection and reporting of performance measure data? If so, how is this role reflected in its defined purpose? If the organization has not identified performance measures for its goals, the Direction Task Force should identify performance measures for those goals that the division's or strand's purpose most supports. The measures would focus on student results that are indirectly impacted by the work of the specific division or strand.

Example of an LEA or SEA Goal Performance Measure

Indicator: Percent of students who meet or exceed annual growth target.
Data Source: Growth analysis of annual state standards assessment.
Baseline: 67%
Year 1 Target: 73%
Year 2 Target: 77%

Division/Strand Purpose Statement. The purpose statement represents why the division or strand exists and how it is part of the greater organization's strategic direction. The purpose statement also represents what the division or strand does for its clients (the beneficiaries of its products and services), both internally and externally. Who are the clients, and what services do they receive from the division or strand? Who are the future clients, what would their needs be, and how will the division or strand meet those needs within the context of the greater direction of the organization? If a defined purpose statement is already in place, the Direction Task Force considers its current and future relevance and revises the statement, if needed. The purpose statement is the equivalent of the organization's mission statement but focused on the work of the division or strand. Below is an example of a division's and strand's purpose statement.

Human Resources Division Purpose Statement: *The purpose of the Human Resources Division is to hire, develop, support, and retain a high-quality workforce of professionals committed to providing exceptional services to districts, schools, partners, and other agencies.*

School Improvement Strand Purpose Statement: *The purpose of school improvement across the agency is to provide leadership and differentiated supports to districts and schools to improve the quality of education services so each student graduates prepared for college or a career.*

Attachment A: The Division or Strand Purpose Statement Related to the Organization's Direction is provided to assist with Step 1.

Quality Check

- [ ] 1. At a minimum, SEA or LEA mission and goals with goal explanations and measures have been identified.
- [ ] 2. The Direction Task Force identified SEA or LEA goals relevant to its purpose and clients.
- [ ] 3. The division or strand purpose statement describes its role relative to the organization's direction (vision, mission, values, goals, and measures; or at least mission and goals).
- [ ] 4. The purpose statement describes the division's or strand's work, what it does, how it serves internal and external clients to advance the organization's direction.

PR/Award # S283B190059
Page e296

Attachment A: The Division or Strand Purpose Statement Related to the Organization's Direction

Use the chart below to document the organization's vision, mission, values, and goals and the division or strand purpose.

PART I: Organization Direction		
Vision:		
Mission:		
Values:		
	Goals and Goal Explanations Those relating most to the division or strand have an * and include a brief statement of why the goal most relates to the division or strand.	**Goal Performance Measures** Those relating most to the division or strand have an *. If no goal measures exist, the Direction Task Force creates measures for the goals most closely related to the division or strand. More than one indicator may be necessary for a goal.
1.	**Goal:**	**Indicator:**
		Data Source:
	Explanation:	**Baseline:**
		Year 1 Target:
		Year 2 Target:
2.	**Goal:**	**Indicator:**
		Data Source:
	Explanation:	**Baseline:**
		Year 1 Target:
		Year 2 Target:

PART II: Division or Strand Purpose	
Division or strand clients and needs (to be met by division or strand):	
External	Internal
Division or strand purpose (relative to the organization's mission and its clients):	

Step 2. Delineate Roles and Responsibilities

Whether the organization is an SEA or an LEA, a division or strand within the organization stands in relationship both to other divisions and strands within the organization and to other parts of the education system outside the organization. Clarifying the division's or strand's goal-related roles and responsibilities relative to other parts of the organization and to other parts of the education system outside the organization is important.

Delineating the roles and responsibilities of the state, district, and school in relationship to the division or strand brings needed clarity to what the division or strand should and should not do. Bringing clarity to the roles and responsibilities of the division or strand in relationship to the organization's goals is helpful when later identifying a division's or strand's goal-aligned strategies.

This exercise helps inform the Direction Task Force of roles and responsibilities of other divisions, strands, or even units within the agency, especially those internal clients of the division or strand.

Attachment B: Goals, Roles, and Responsibilities for Division or Strand is provided to assist with Step 2.

Quality Check

- [ ] 1. For each relevant goal, roles and responsibilities of the SEA or LEA, the division or strand, other divisions or strands, and districts and schools were identified.
- [ ] 2. Discussions included input from internal and external clients, including districts and schools.
- [ ] 3. Gaps and conflicts have been identified and resolved or possible solutions have been identified.

Attachment B: Goal, Roles, and Responsibilities for Division or Strand

For each relevant organizational goal, the Direction Task Force delineates the role of the division or strand, the SEA, the LEA, and the school. The Task Force may choose to seek input from external and internal clients including state, district, and school representatives before completing the table below.

PART I: Goal, Role, and Responsibilities Relative to Other Parts of Education System			
Organization Goal # Organization Goal:			
Name of This Division or Strand:			
Division or Strand Role and Responsibilities Relative to Goal	SEA Role and Responsibilities Relative to Goal	LEA Role and Responsibilities Relative to Goal	School Role and Responsibilities Relative to Goal
Current Conflicts or Gaps			

PART II: Goal, Role, and Responsibilities Relative to Other Key Divisions and Strands in the Organization

Organization Goal # Organization Goal:

Name of This Division or Strand:

Name of Other Division or Strand	Other Division's/Strand's Role and Responsibilities Relative to This Division or Strand	This Division's/Strand's Role and Responsibilities Relative to Other Division or Strand

Current Conflicts or Gaps

Step 3. Appraise Current Situation

Before moving on to strategies, the Direction Task Force conducts a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis of each relevant organizational goal in relation to its role and responsibilities. **Strengths** are capabilities that enable the division or strand to perform well, ones that should be leveraged to sustain or increase performance. **Weaknesses** are characteristics that hinder the division's or strand's performance and need to be addressed. **Opportunities** are trends, variables, events, and forces that could be capitalized on to improve the division's or strand's performance. **Threats** are forces or events outside of the division's or strand's control that need to be planned for, responded to, or mitigated. Data on past and current work, feedback from clients and partners both within and outside of the division, and projected work including upcoming legislation should be used in the SWOT analysis.

***Productivity* Lens.** The analysis is conducted with a productivity lens—strengths must be efficient and effective; weaknesses include the identification of inefficiencies in resource utilization. Division or strand strengths can be used to capitalize on external opportunities. Do the opportunities capitalize on productivity, or can productivity increase with the opportunity? What are external threats, and could they be the cause of any weaknesses? Could the threats be addressed or eliminated? What threatens division or strand productivity?

***Innovation* Lens.** Analysis also includes an innovation lens—do current conditions support collaboration, creative thinking, and reasonable risk taking to encourage innovation?

Analysis of data, recognition of patterns, and honest discussions lead to a consensus listing of three to five division or strand strengths, weaknesses, opportunities, and threats for each relevant goal. Completing a SWOT is a constructive exercise that sets the stage for determining the division's or strand's goal-aligned strategies.

Attachment C: Division or Strand SWOT Analysis is provided to assist with Step 3.

Quality Check

- [ ] 1. The Direction Task Force gathered and used information from clients, partners, and other influencers in SWOT analysis.
- [ ] 2. Data (information) from multiple sources were analyzed to identify strengths, weaknesses, opportunities, and threats.
- [ ] 3. Strengths and weaknesses were identified and accurately reflect the current state of the division or strand.
- [ ] 4. Opportunities and threats represent current context, including community, business, financial, and technology environments.
- [ ] 5. Analysis included examination of strengths with opportunities and weaknesses with threats.

Attachment C: Division or Strand SWOT Analysis

For each relevant organizational goal, identify the division's or strand's strengths, weaknesses, opportunities, and threats in engaging and completing work to realize its purpose in relationship to the goal.

Goals	Strengths	Weaknesses
Goal 1		
	Opportunities	Threats
Goal 2	Strengths	Weaknesses
	Opportunities	Threats
Summary of Analysis		

Step 4. Identify or Create Goal-Aligned Strategies

If the organization has already created strategies, the Direction Task Force will work to get the strategies into proper SPM form, as per the instructions that follow (see the Strategy Lens Analysis and Format below before moving to Step 5). But if the organization has not identified such organizational strategies, the Direction Task Force will create strategies that link each organizational goal to the work of the division or strand. These strategies, then, will apply primarily to the work of the division or strand.

A strategy describes an organization's work in pursuing a goal. If the organization has already enumerated its strategies and aligned them with its goals, then the division or strand simply determines which strategies describe its work and moves forward with them by creating milestones and actions. In the absence of such strategies, the Direction Task Force must create them.

If the Direction Task Force must create strategies, it creates them for the goals that it flagged as being most relevant to the division's or strand's own work. A "possibilities" approach is utilized to create a few powerful strategies aligned to each relevant organizational goal. The Task Force brainstorms possible strategies and identifies the minimum conditions and barriers for each strategy. Strategies with minimum conditions that can be or are in place and the fewest barriers are ones that are more likely be implemented.

Strategy Lens Analysis and Format

Strategies focus on the "what" and "how" of the division's or strand's work and the direct and indirect impact of that work. Strategies do not necessarily represent what the division or strand has been doing, but what it could do to effectively support the relevant organizational goals, carry out its role, meet its responsibilities, and realize its purpose. A strategy should take multiple years to implement. If a strategy can be accomplished in a year, it is too narrow and may actually be a milestone. Lenses are also applied to narrow in on the few potent strategies needed to get the maximum results:

- **Productivity Lens**—is what we are planning to do (or doing) the most effective use of available resources?
- **Best Practice Lens**—is what we are planning to do (or doing) encouraging or applying what is known as best (sound) educational practice?
- **Innovation Lens**—do we have reasonable evidence that a specific deviation from best practice is likely to achieve greater productivity?

Whether the strategies have already been created for the organization or the Direction Task Force must create them, the strategies need to be constructed in the form of a theory of action. Strategies are composed as **If** ... **then** ... **and** ... statements. The **If** part of the statement describes the work the division or strand engages in relative to the organizational goal. The **then** part refers to the direct impact of the work on the division's or strand's clients (internal or external) related to the goal. The final **and** part relates back to the student-focused organizational goals. It is in the **If** part of a division's or strand's goal-aligned strategy that a division or strand finds its work. The direct impact is found in the **then** statement, and the indirect (but very significant) impact in the **and** statement.

A final review of each selected strategy in relation with the SWOT is conducted to make sure strengths and opportunities are capitalized on and weaknesses or threats are addressed. In addition, the **If** part of the statement is scrutinized against the roles and responsibilities to ensure the division's or stand's work is within its proper purview. An explanation of the Direction Task Force's intent for the strategy is created for each strategy. The strategy explanations help others understand the reason and meaning of each strategy, which is critical when creating the strategy measures and milestones. The following are some examples of strategies.

Human Resources Division Purpose Statement: *The purpose of the Human Resources Division is to hire, develop, support, and retain a high-quality workforce of professionals committed to providing exceptional services to districts, schools, partners, and other agencies.*

LEA or SEA Goal: *Each student will meet his or her annual growth targets and graduate ready to pursue post-secondary study and/or a career.*

Human Resources Strategy: ***If*** *we implement an employee evaluation process based on growth, rather than retribution, to build and retain high-quality employees,* ***then*** *more high-quality employees will be providing exceptional services to districts, schools, partners, and other agencies to meet the needs of all students,* ***and*** *each student will successfully meet his or her annual targets and graduate ready to pursue post-secondary study and/or a career.*

School Improvement Strand Purpose Statement: *The purpose of school improvement across the agency is to provide leadership and differentiated supports to districts and schools to improve the quality of education services so each student graduates prepared for college or a career.*

LEA or SEA Goal: *Each student will meet his or her annual growth targets and graduate ready to pursue post-secondary study and/or a career.*

School Improvement Strategy: ***If*** *we implement a system of differentiated technical assistance and supports matched to district and school needs,* ***then*** *more districts and schools will have the capacity to implement high-quality education services to meet the needs of each student* ***and*** *each student will successfully meet his or her annual targets and graduate ready to pursue post-secondary study and/or a career.*

Attachment D: Strategy Development and **Attachment E: Strategy Theory of Action** are provided to assist with Step 4.

Quality Check

- [ ] 1. If the SEA or LEA has strategies for its goals, those strategies relevant to the division or strand's purpose have been identified.
- [ ] 2. For each relevant goal, possible strategies were identified or suggested without judgment.
- [ ] 3. Minimum conditions were listed for each possible strategy and represent what must happen for the strategy to become a reality.
- [ ] 4. Barriers that can and cannot be removed were identified for each strategy.
- [ ] 5. Decision-making included analysis of conditions in relation to barriers to select the most viable strategies.
- [ ] 6. Productivity, Best Practice, and Innovation lenses were applied to each strategy before final selection.
- [ ] 7. Strategies align with the roles and responsibilities of the division or strand.
- [ ] 8. Strategies are written as If...then...and... statements.

Attachment D: Strategy Development

Using a *possibilities approach*, the Direction Task Force brainstorms possible strategies for each relevant goal. For each possible strategy, list the conditions that must occur for the strategy to be accepted, supported, and implemented, as well as the barriers. If organizational strategies exist, identify those most relevant to the purpose of the division or strand and list the conditions and barriers relative to the division or strand work supporting the organizational strategies.

Goal	Possible Strategies	Must Have Conditions	Barriers
1.	1. 2. 3. 4. 5.		
2.	1. 2. 3. 4. 5.		
3.	1. 2. 3. 4. 5.		
4.	1. 2. 3. 4. 5.		
5.	1. 2. 3. 4. 5.		

Attachment E: Strategy Theory of Action

After discussing the conditions and barriers, the Direction Task Force determines which strategies have the most significant impact relative to the organizational goals, have conditions that are right for implementation, and have the fewest barriers that cannot be removed. Each selected strategy is then written as an **If ...then ...and** ... statement. If working with organizational strategies, revise those identified relative to the division's or strand's work as **If ...then ...and** ... statements.

Organization Goals	Division or Strand Strategies (State as If ...then ...and ... statements)	Explanation of Why Strategy Was Created/Selected
Goal 1	1. 2. 3.	1. 2. 3.
Goal 2	1. 2. 3.	1. 2. 3.
Goal 3	1. 2. 3.	1. 2. 3.
Goal 4	1. 2. 3.	1. 2. 3.
Goal 5	1. 2. 3.	1. 2. 3.

Step 5. Establish Strategy Performance Measures and Milestones

Once strategies are determined (either organizational strategies or strategies created for the division/strand) and expressed in If ...then ...and ... statements, performance measures are identified for each strategy. A performance measure includes one or more indicators, each with a data source, baseline, and two annual targets for each indicator. As part of an ongoing SPM cycle, targets are adjusted annually, based on data. By creating two years of targets and using data from Year 1 to either confirm or adjust Year 2 targets, a process is built that allows for adjustment based on changing contexts and conditions.

The strategy performance measure focuses on the **then** part of the strategy statement, the direct impact of the division's or strand's work. For example, a strategy performance measure for the following strategy statement could have one indicator on employee ratings (how many are of high quality) and another on the quality of services to clients (how many districts, schools, partners, and other agencies indicate services were exceptional).

> ***If*** *we implement an employee evaluation process based on growth, rather than retribution, to build and retain high-quality employees,* ***then*** *more high-quality employees will be providing exceptional services to districts, schools, partners, and other agencies to meet the needs of all students,* ***and*** *each student will successfully meet his or her annual targets and graduate ready to pursue post-secondary study and/or a career.*

In addition to the quantitative performance measures set for each strategy, qualitative, annual milestones are set for each strategy, describing work to be completed relative to the strategy in that timeframe. A milestone should take one year to complete. If a milestone can be completed in less than a year, then it may be too narrow and could be an action towards completing the milestone. If a milestone takes more than a year to complete, it is too broad and may indeed be a strategy. Two years of milestones will provide enough planning, yet allow for adjustments each year based on progress.

Creating milestones includes reviewing current work. In most cases, there are many initiatives, projects, and routines that personnel are already doing that support the goals, strategies, and milestones. If a current project or initiative supports a milestone, then it should be noted so the project or initiative can be represented as an action step for that milestone. If the current project or initiative supports the strategy, but there is no milestone for it, then a milestone should be created.

There may be an initiative, project, or routine that does not fit into a logical strategy or milestone. If that is the case, reexamining the intent of the division's or strand's purpose and strategies may provide clarity. Is this work required? Does it support a goal, the division's or strand's purpose, and strategies? If the answer is "yes," then a milestone can be added. If the answer is "no," the team should consider discontinuing or phasing out the work. Examples of strategy performance measures and milestones are provided below.

Human Resources Division Purpose Statement: *The purpose of the Human Resources Division is to hire, develop, support, and retain a high-quality workforce of professionals committed to providing exceptional services to districts, schools, partners, and other agencies.*

LEA or SEA Goal: *Each student will meet his or her annual growth targets and graduate ready to pursue post-secondary study and/or a career.*

Human Resources Strategy: ***If*** *we implement an employee evaluation process based on growth, rather than retribution, to build and retain high-quality employees,* ***then*** *more high-quality employees will be providing exceptional services to districts, schools, partners, and other agencies to meet the needs of all students,* ***and*** *each student will successfully meet his or her annual targets and graduate ready to pursue post-secondary study and/or a career.*

Strategy Performance Measure:

Indicator 1: Percent of clients (districts, schools, partners, and other agencies) indicating services were of high quality
Data Source: Client satisfaction survey
Baseline: 59%
Year 1 Target: 63%
Year 2 Target: 68%

Year 1 Milestone: Develop a professional growth plan process to be part of our employee evaluation system.

Year 2 Milestone: Pilot the professional growth plan process, and make adjustments based on feedback and plan for full implementation.

School Improvement Strand Purpose Statement: *The purpose of school improvement across the agency is to provide leadership and differentiated supports to districts and schools to improve the quality of education services so each student graduates prepared for college or a career.*

LEA or SEA Goal: *Each student will meet his or her annual growth targets and graduate ready to pursue post-secondary study and/or a career.*

School Improvement Strategy: ***If*** *we implement a system of differentiated technical assistance and supports matched to district and school needs,* ***then*** *more districts and schools will have the capacity to implement high-quality education services to meet the needs of each student* ***and*** *each student will successfully meet his or her annual targets and graduate ready to pursue post-secondary study and/or a career.*

Strategy Performance Measure:

Indicator 1: Percent of districts and schools indicating increased capacity as a result of technical assistance
Data Source: Post-technical assistance evaluations
Baseline: To be determined using 2017–18 evaluation data
Year 1 Target: To be determined using 2018–19 baseline data
Year 2 Target: To be determined using 2019–20 actual data

Year 1 Milestone: Create a technical assistance framework to differentiate supports by kind, frequency, intensity, and duration.

Year 2 Milestone: Pilot the technical assistance framework and gather feedback and make adjustments needed for full implementation.

Attachment F: Strategy Performance Measures and Milestones is provided to assist in Step 5.

Communicating the Direction. At the end of Module A, the entire strategic direction is communicated with staff, even if it has already been communicated throughout the creation process. In addition, a glossary is created during Module A, and terms are added throughout the other three modules. **Attachment G: Glossary of Terms** may assist in creating a glossary.

Quality Check

- [ ] 1. Performance measures were identified for each strategy and include indicators, data sources, baseline, and annual targets.
- [ ] 2. Measures can realistically be collected, analyzed, and used in making decisions related to the strategies and goals.
- [ ] 3. Specific, relevant milestones were identified for each strategy.
- [ ] 4. The milestones are necessary for the strategy to be implemented.
- [ ] 5. Milestones are specified for each year for at least two years.
- [ ] 6. Current work was reviewed and is either included in milestones, will be included as actions under specific milestones, or plans to investigate the need for the work have been created.
- [ ] 7. The direction is being communicated to all staff and input is being used to finalize the direction.
- [ ] 8. A glossary has been started to define and communicate key terms.

Attachment F: Strategy Performance Measures and Milestones

Milestones apply only to the work of the division or strand.

The Direction Task Force documents performance indicators, data sources, baseline, and targets for each strategy and creates milestones for the first two years.

Goal	Strategies	Strategy Performance Measures				Strategy Milestones
		Strategy Performance Indicators	Data Sources	Baseline	Strategy Indicator Targets	
Goal 1	Strategy 1.1				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2
	Strategy 1.2				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2
Goal 2	Strategy 2.1				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2
Goal 3	Strategy 3.1				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2
	Strategy 3.2				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2

List any current initiatives, projects, or other work that need to be included as actions under milestones:

Current Initiatives, Projects, Work	Related Milestone(s)	Comments

Attachment G: Glossary of Key Terms

Key Terms	Definition	Example or Reference

Module B: Operationalizing the Direction

Step 6. Conduct a Functional Analysis

For Module B, an Operations Task Force is formed, which may consist of some members of the Direction Task Force and others appropriate to the task, or it may simply be the same people with a new task force name. Rather than setting the direction, the group is now operationalizing the direction.

Form follows function. A functional analysis is a key step in the SPM process. Pursuing goals and executing strategies requires the performance of specific functions—the work to be done. By identifying the unique and overlapping functions required to effectively implement the strategies, personnel in a division or strand can be more productively organized for their work. Information from the analysis can guide decisions on how to streamline work, how to address gaps in functions, and how to address redundancies that lead to inefficiencies.

In this step, the Operations Task Force identifies the functions that relate to each strategy. Functions relate to the **If** portion of a strategy statement, the broad description of the work (functions) to be done to carry out that strategy. First, a list of functions and their definitions is created. In general, LEAs and SEAs engage in work related to leadership, management, program or product development, and support to schools or districts. Using **Attachment H: Functions and Definitions**, the Operations Task Force identifies functions common to the LEA or SEA. Examples of functions common among most SEAs or LEAs are provided in each section to help the group get started. A definition for each function, along with the minimum skills or competencies needed to carry out the function, is created so everyone has a common understanding and expectation of each function.

Next, the Operations Task Force identifies the functions needed to implement each strategy, again focusing on the **If** portion. It is critical that the Task Force identify the functions needed, not necessarily those the division or strand already perform, so a critical function is not omitted. For example, take a look at the strategy statement below. What functions are needed to *implement a system of differentiated technical assistance and supports?*

> ***If*** *we implement a system of differentiated technical assistance and supports matched to district and school needs,* ***then*** *more districts and schools will have the capacity to implement high-quality education services to meet the needs of each student* ***and*** *each student will successfully meet his or her annual targets and graduate ready to pursue post-secondary study and/or a career.*

Research (program and product development), as well as policy and practice guidance (service to the field) are likely to be needed.

Once functions have been identified for each strategy, the Operations Task Force utilizes the function list again and identifies the *current* functions being carried out by the division or strand. For a division, each unit would be listed, and the functions carried out by the unit's members would be identified. For a strand, the task is a bit more complicated. A strand would be comprised of one or more units within several divisions across the agency; therefore, each unit within each division within the strand would be listed.

Candor is truly the best approach here if the division or strand work is going to be effectively carried out. A comparison is then made between the needed functions and the current functions to identify gaps and redundancies. Is there a function the division or strand is engaged in that was not identified as a needed function? If yes, why was it not identified in the previous part of the analysis process? Is this function being carried out so poorly that no one recognizes it as a function? If no, should people be engaged in this function? Are some of the functions also carried out by other divisions or strands? If so, is there coordination or collaboration between the divisions or strands? Finally, solutions are identified for any issues, gaps, or redundancies identified through the analysis.

In addition to **Attachment H: Functions and Definitions**, **Attachment I: Functional Analysis** is provided to assist with Step 6.

Quality Check

- [ ] 1. Common division/strand functions were identified and defined.
- [ ] 2. Functions have been identified that are needed to implement each strategy.
- [ ] 3. Gaps and redundancies have been identified, including those related to capacity, and ways to address them were created.

Attachment H: Functions and Definitions

Using the examples provided under each section title, generate a list of functions common to the LEA or SEA and create definitions for each function. The functions are then placed in **Attachment I** to use in the functional analysis.

Functions	Definitions	Minimum Competencies
Leadership and Advocacy (e.g., Communication, Establishment and Maintenance of Partnerships, Government or Community Relations, Legal, Policy Development)		
Management (e.g., Financial Management, Procurement, Resource/Facility Management, Contract Management, Information Management, Compliance and Reporting, Performance Management and Reporting)		
Program and Product Development (e.g., Proto-Type Development and Testing, Research, Data Analysis, Grant Writing, Professional Learning)		
Service to Field (e.g., Policy/Practice Guidance, Continuous Improvement, Intervention, Program Evaluation, Resource Allocation, Standards/Assessment, Licensure		

Attachment I: Functional Analysis

Needed Functions

Insert the functions from Attachment H, and check the functions needed to implement each strategy.

Strategies	Function 1	Function 2	Function 3	Function 4	Function 5	Function 6	Function 7	Function 8	Function 9	Function 10	Function 11	Function 12	Function 13	Function 14	Function 15	Function 16
Strategy 1																
Strategy 2																
Strategy 3																
Strategy 4																
Strategy 5																

Current Division Functions

Insert the groups or units within the division and the functions from **Attachment H**. Check the functions being carried out by each unit.

Units Within the Division	Function 1	Function 2	Function 3	Function 4	Function 5	Function 6	Function 7	Function 8	Function 9	Function 10	Function 11	Function 12	Function 13	Function 14	Function 15	Function 16
Unit 1																
Unit 2																
Unit 3																
Unit 4																
Unit 5																

Current Strand Functions

For a strand, the unit and its division are inserted as well as the functions from Attachment H. Check the functions being carried out by each unit.

Divisions and Units Within the Strand	Function 1	Function 2	Function 3	Function 4	Function 5	Function 6	Function 7	Function 8	Function 9	Function 10	Function 11	Function 12	Function 13	Function 14	Function 15	Function 16
Division 1 Unit 1																
Division 1 Unit 2																
Division 2 Unit 1																

Summary of Functional Analysis

Identify functional gaps and possible solutions to address the gaps.

Function Gaps	Solutions

Step 7. Align or Create a Structure

To achieve maximum performance, it is important to have a structure that optimizes people with the right competencies to carry out the functions needed to do the strategy work. Having such an aligned structure also supports the success rate of innovation (Spruijt, Spanjaard, & Demouge, 2013). All too often, as structures evolve over time, they become conflated with funding streams and are frequently modified to meet the interests and abilities of specific personnel. The existing structure—how units and positions are arranged on the organization chart for the division or strand—may not be ideal for carrying out the division's or strand's functions to execute its strategies and pursue the organization's goals.

Terms used to describe structural components vary from organization to organization. For our purposes, a division is the major branch or department under the chief or superintendent, and a unit is a smaller entity within the division. The basic structure consists of functional units organized into divisions. A strand may cut across such divisions and units. In creating or revising the structure, each unit, its purpose, functions, and the minimum competencies of staff required to successfully carry out the functions are identified.

Division

For a division, aligning structure and function is pretty straightforward. The Operations Task Force maps out the current structure (each unit, unit purpose, unit functions, and minimum competencies needed to carry out the functions). Next, the Task Force creates a chart of the unit positions, status (people filling or to fill the position, or vacant), major responsibilities, and the competencies of the current people.

A structural analysis is then conducted comparing the needed functions with the current structure and positions. Function definitions and competencies created in Step 6 are key data to consider. The ultimate goal is to align knowledge, learning, and work so the division or strand has the capacity to realize its purpose. The following questions can guide analysis and discussions:

- Are there multiple units doing the same function? Should those units be combined into one?
- Are there any units of one position? Is this unit really needed, or could the position be included in another unit doing similar functions?
- Are there one or two units doing the majority of functions? Is there a better structure to ease the burden on these units?
- Are there any gaps in function? Could they be filled within the unit, within the organization, or by an external partner?
- Are there gaps in positions and competencies? Are there others within the division, within the organization, or externally that could fill the gap? Could professional learning address any of the gaps?
- Are there any vacant positions? Are the competencies of the vacant position needed, or could that position be repurposed?

Division leadership may be able to make some adjustments to structure, functions, and positions pretty quickly; others may take some time. If that is case, a plan should be developed to move to the ideal structure over time. Once the analysis and plan are completed, the charts can be revised to reflect the new or changed structure, functions, positions, and people. This information will then be used in the following steps.

Strand

The structural analysis for a strand is another beast altogether, and the ability to alter the structure may be far more limited. Figure 6 (see next page) shows one possible configuration of a strand. In this example, the strand has a leader, two consultants, and three strand units comprised of others from units and divisions throughout the organization.

Not only is the structure created or analyzed, so are the procedures related to creating and sustaining the strand structure and work. The SPM suggestion is that the organization's leader designates a leader for the strand and that representatives of all the divisions and units working in the strand form the strand leadership team. The strand leadership team maintains communication and coordination across divisions within the strand and keeps the organization's leadership team informed, since the work is cross-divisional.

Strand units function as collaborative teams. Collaboration occurs when two or more people, groups, or organizations have a common goal or task, but no one person, group, or organization has all that is needed to accomplish the goal or task. It is time intensive, and the process, which includes the development of strong relationships between two or more entities, evolves over time through the development of procedures as well as human and resource structures. This is accomplished by developing a shared vision of collaboration, clearly defining the roles and responsibilities of all collaborators, and equally sharing power, resources, risks, and rewards, among other things.

If the organization has an identified process to establish collaborative teams, then the strand leader follows that process to identify, request, and assign needed members from other divisions and units to assist in the strand work. If a process is not in place, then the strand leader and other leaders identify what collaboration is in the context of the strand work and what it looks like when people across divisions are effectively collaborating to implement the

strategies of the strand. A clear definition of collaborative procedures and expectations should be agreed upon by the strand and division leaders.

Regardless of whether we are focusing on a division or strand, Productivity and Innovation lenses are applied to the structural work. What structure is needed to address gaps and inefficiencies to more efficiently and effectively accomplish the work? Will this new or revised structure maximize efficiency and get the work done more effectively? Does the new or revised structure support creativity and innovation?

Attachment J: Structural Analysis and **Attachment K: People Assignments** are provided to assist with Step 7. Step 8 further details collaboration and provides **Attachment M: Procedures for Creating Collaborative Teams**, which can also be used for Step 7.

Quality Check

- [ ] 1. Structural units were defined according to the functions required to implement strategies.
- [ ] 2. Current structure was compared to needed structure, and gaps and redundancies were identified.
- [ ] 3. Personnel have been assigned to each unit based on matching people with needed competencies identified for each unit. Vacancies have also been identified.
- [ ] 4. Professional learning needs have been identified.
- [ ] 5. Changes to structure and people assignments either have been made or a plan to phase in the needed changes in structure or people assignments has been developed and presented to leadership for approval.
- [ ] 6. Procedures have been identified for creating strand units and securing members from other divisions and units across the agency.

Example of Strand Within an LEA or SEA

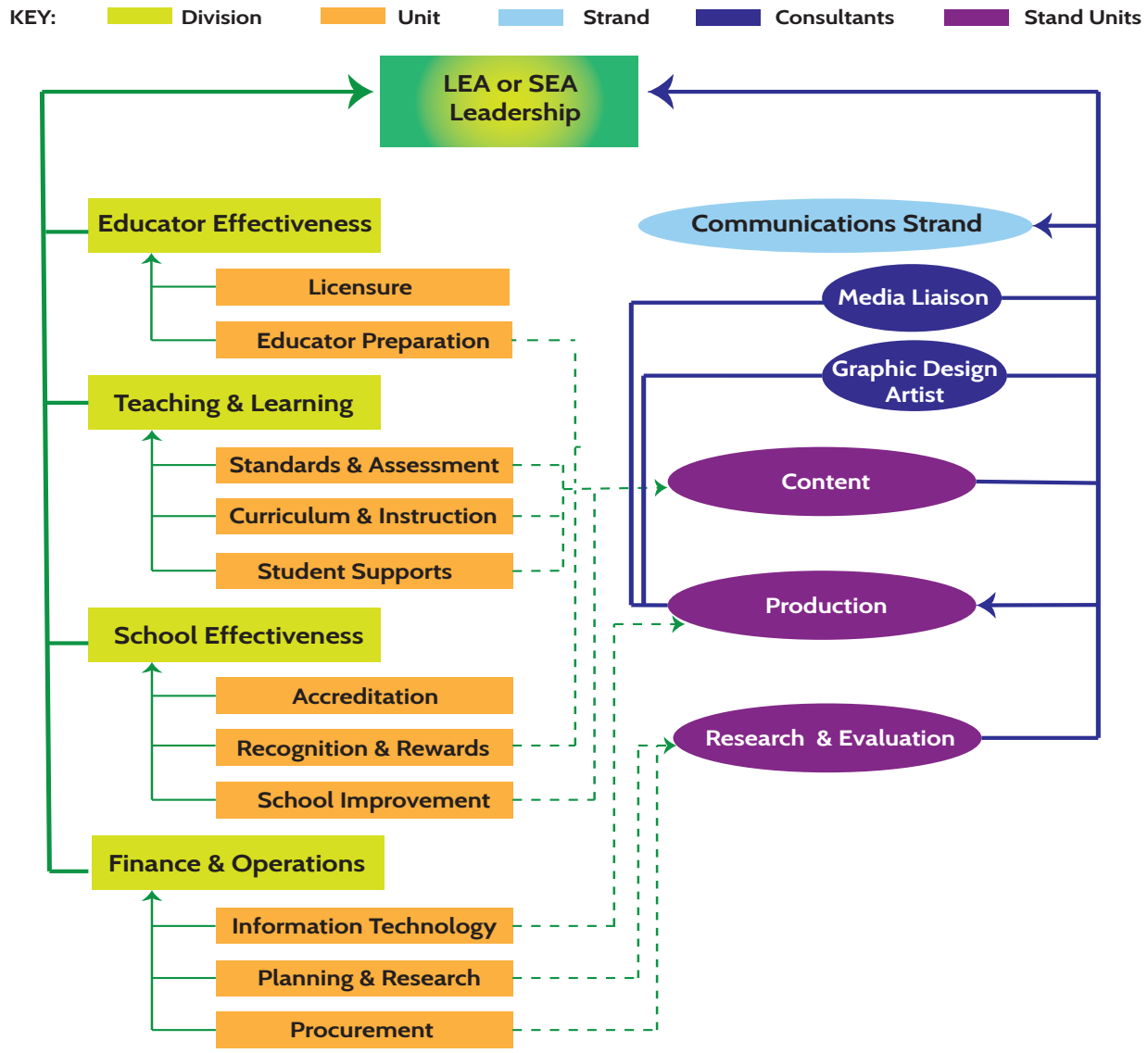


Figure 6. Possible strand structure

Attachment J: Structural Analysis

The Operations Task Force documents results of the structural analysis including the units and functions. Note any concerns or issues that were addressed or need to be addressed.

Unit	Unit Purpose	Unit Functions	Minimum Competencies Needed for Functions

Comments/Issues	Solutions

For a strand, document the procedure for proposing and approving strand units.

Procedure for Proposing and Approving the Formation or Termination of a Strand Unit Approval is required from the leaders of each division and unit involved.					
Strand of Work:		Division or Strand Leader:			Request Date:
Representatives Needed for Strand		Purpose/Rationale			
Division	Unit				
Duration (or Ongoing):					
Approved by:					Date:

Attachment K: People Assignments

The Operations Task Force charts personnel assignments. In Position Status, name current staff either in the position or to fill the position. Indicate VACANT if the position needs to be filled. Any professional learning needed to address competency gaps is also noted.

Unit	Position (Title)	Position Status	Responsibilities	Competencies/Skills
Unit 1	Position 1a			
	Position 1b			
	Position 1c			
Unit 2	Position 2a			
	Position 2b			
	Position 2c			
Unit 3	Position 3a			
	Position 3b			
	Position 3c			
Unit 4	Position 4a			
	Position 4b			
	Position 4c			
Unit 5	Position 5a			
	Position 5b			
	Position 5c			
Needed Professional Learning				

Step 8. Assign Milestones and Prepare for Action Planning

The Operations Task Force next assigns milestones to units within the division or strand. The division or strand itself is **accountable** for the thorough completion of each milestone, while each assigned **lead unit** is **responsible** for the day-to-day work leading to milestone completion. Milestones should be assigned to units that carry out the most functions related to each milestone. Other units that contribute to the work will be identified as collaborating units during the Action Planning process (see collaboration below). Thought is given to the overall distribution of responsibility. If one or two units are assigned most of the milestones, the Task force should review the function and structure documents and decisions to see if more refinement is needed before proceeding with milestone assignments.

Often, others are needed to assist the lead units in action planning because they may have information that could inform action planning, or perhaps they are currently engaged in work that links to a milestone. Additional divisions and units needed for planning are identified at this time. Note: Divisions and units needed for planning are not necessarily those needed for collaboration to complete the work. Collaboration is addressed below.

Collaboration

In Step 7, collaboration was discussed in relation to a strand. However it is important that collaboration be addressed by divisions, as well as strands, in preparation for action planning. Highly effective, innovative organizations, as well as the divisions and strands within an organization, are those in which personnel collaborate to learn, create, solve problems, and innovate. Collaboration is not the same as coordination or communication, so it is critical to have a clear understanding of what it means within the context of the division or strand.

During the Action Planning process, units within the division or strand, as well as those in other divisions or strands, are identified as collaborators on actions. Collaboration occurs when two or more entities have a common goal or task, but no one person, group, or organization has all that is needed to accomplish the goal or task. It is time intensive, and the process, which includes the development of strong relationships between two or more entities, evolves over time through the development of organizational procedures as well as human and resource structures. This is accomplished by developing a shared vision of collaboration, clearly defining the roles and responsibility of all collaborators, and equally sharing power, resources, risks, and rewards, among other things.

Unfortunately, collaboration is often misused to the detriment of performance. We have all been part of or seen groups at one time or another that collaborated just for the sake of collaboration, resulting in dysfunctional teams, broken relationships, and even inadequate use of resources (especially human capital). In general, people tend to over-identify the need for collaboration, identifying most people across the organization. Collaborators are only those that have a competency, skill, or knowledge that is needed through the majority of the work. Divisions, and units which need to be kept informed or consulted for a small piece of information or advice are not considered collaborators.

If the organization has an identified process to establish collaborative teams, then the division or strand leadership follows that process to identify collaborators from other divisions and units to assist in the work. If a process is not in place, then the division or strand leadership identifies what collaboration is in the context of their work and what it looks like when people across divisions are effectively collaborating to accomplish common goals, strategies, milestones, or actions. The discussion should also cover what collaboration does not include and what red flags signal that collaboration is not happening.

At a minimum, a clear definition of collaborative procedures and expectations should be agreed upon by all within the division or strand before action planning begins.

Attachment L: Milestone Assignments and Action Planning Logistics and **Attachment M: Procedure for Creating Collaborative Teams** are provided for Step 8.

Quality Check

- [ ] 1. Each milestone has been assigned to lead units.
- [ ] 2. The divisions involved in a strand were included in the discussions and decisions regarding lead units.
- [ ] 3. Other needed divisions or units have been identified and involved in the logistics setting.
- [ ] 4. A schedule, location, and other logistics have been identified and communicated to all identified for action planning.

Attachment L: Milestone Assignments and Action Planning Logistics

The Operations Task Force uses the chart below to document lead units, as well as others, needed for action planning for each milestone.

Goal	Strategy	Milestone	Lead Unit and Its Division	Others Needed for Action Planning	Planning Time	Location
YEAR 1						
Goal 1	Strategy 1.1	Milestone 1.1.1				
		Milestone 1.1.2				
		Milestone 1.1.3				
		Milestone 1.1.4				
		Milestone 1.1.5				
	Strategy 1.2	Milestone 1.2.1				
		Milestone 1.2.2				
		Milestone 1.2.3				
		Milestone 1.2.4				
		Milestone 1.2.5				
Goal 2	Strategy 2.1	Milestone 2.1.1				
		Milestone 2.1.2				
		Milestone 2.1.3				
		Milestone 2.1.4				
		Milestone 2.1.5				
Goal 3	Strategy 3.1	Milestone 3.1.1				
		Milestone 3.1.2				
		Milestone 3.1.3				

Attachment M: Procedure for Creating Collaborative Teams

The Operations Task Force creates a common vision or definition of collaboration and creates a procedure for approving and terminating collaborative teams, if one does not already exist. Approval is required from the leaders of each division and units involved.

Creating Collaborative Teams			
Common Vision of Collaboration			
Procedure for Creating Collaborative Teams			
Step 1.			
Step 2.			
Step 3.			
Step 4.			
Step 5.			
Collaborative Team Approval			
Strand of Work:		Division or Strand Leader:	Request Date:
Representatives Needed for Strand		Purpose/Rationale	
Division	Unit		
Duration (or Ongoing):			
Approved by:			Date:

Module C: Designing Actionable Work

Step 9. Engage Personnel in Action Planning

Division and strand leadership, each lead unit, key unit members, and any other staff identified during the logistics planning in Step 8 work together and develop actions to complete assigned milestones by the end of one year. Each team engages as many people who will be doing the work as possible in action planning. This creates ownership of not only the actions, but the milestones and strategies themselves. Ownership fosters commitment and productivity. An action plan includes actions, timeline, resources, personnel, outputs, and supports needed to accomplish the milestone.

Actions are the incremental steps needed to meet the milestone, including the start date and anticipated end date (**timeline**). An action takes more than a month to complete, but less than a year. There is no set number of actions needed to have a high-quality plan, however, if a milestone only has a couple of actions, the planning may not be detailed enough. If a milestone has more than 15 actions, the planning may be too detailed. Actions should start with an action verb and generally describe the work to be completed. If personnel are not used to action planning, the team may want to generate a list of steps leading to the milestone and then review the list identifying any that should be combined, eliminating redundancy, ordering the steps, and turning the steps into actions. Once the team feels the actions are in place, they should share the milestone and actions with others, including the division leaders, other unit leaders, and leadership. Feedback refines the actions.

Resources and **budgets** may be identified for each action. This is not the time to detail a budget, line by line, funding source codes, etc. Rather, the entries are general in nature and reference the amount and source of resources or funds, especially if beyond the current or anticipated budget for the upcoming year. This field is meant to be a reminder for the team to pursue resources needed. For example, if a media spot is needed, the funds may not have been included in the annual budget. The estimated amount is noted here and discussed with the division leader and others, as appropriate, when reviewing the final plan.

Outputs are the tangible products created as a result of the completed action. Outputs could be documents, web postings, slide shows, or rubrics, for example. They should not be confused with outcomes, which are the milestones themselves. The outputs provide evidence that the action was completed and contribute to the milestone and strategy. If the team is having difficulty identifying an output, they may want to review the action to determine if it is an action or minute step of a larger action. Is it stated as an action? Does the action support the milestone? The action statement may need to be revised.

Personnel are specified as *responsible person* and *supports*. A person within the lead unit is identified as the *responsible person* for an action. The responsible person ensures the day-to-day action work of the team is occurring, progress in completing the action is occurring, and updates are reported to the unit leader so monthly status reports can be completed by the unit leader and shared with the accountable division leader. The responsible person does not do all of the action work, but contributes to the work as a team member while also facilitating and supporting other team members in completing the action. *Supports* are those people within the lead unit that will contribute to completing the action by either completing work or supporting others in completing the work. For a strand, the responsible person and supports may be people in other divisions and units, as the units in a strand are comprised of members throughout the organization.

Collaborating Units are also identified at this stage, using the procedures previously developed by either the organization or by the division or strand (see Steps 7 and 8). Keep in mind, that each strand unit is a collaborative team in itself, so other collaborating units may or may not be needed. Once collaborating units have been identified, division leaders and units are notified of the collaboration request so they can identify the collaborating personnel.

Action plans are easily converted into a monthly progress reporting format so progress and challenges can be noted as the work progresses and timely adjustments can be made to ensure all milestones are completed by the end of each year.

Attachment N: Action Planning Template is provided to assist in Step 9.

Quality Check

- [ ] 1. An action plan has been developed for each milestone.
- [ ] 2. All plans include actions, timeline, resources and budget, outputs, and personnel.
- [ ] 3. Collaborators have been identified to support completion of milestones using procedures previously developed by the organization, division, or strand.
- [ ] 4. Action plans are rigorous, yet attainable.
- [ ] 5. The combined completion of the actions will result in completion of the milestone.

Attachment N: Action Plan Template

The Operations Task Force uses this template to develop an action plan for each milestone.

Year 1 Action Plan		
Goal		
Strategy		
Milestone		
Action		
	Start Month:	End Month:
Resources/Budget		
Outputs		
Personnel	Responsible Person (in Unit):	
	Supports (in Unit/One or More):	
Add Units Needed for Collaboration on the Action		
	Need:	
	Unit(s) in My Division	Unit(s) in Other Divisions

Module D: Implementing a Performance and Innovation Cycle

A Performance and Innovation Cycle uses both implementation and performance data to continuously improve routines and processes to ultimately realize better results. An SEA, and even an LEA, only indirectly impacts students, even though its goals are student-focused and goal measures track progress on student outcomes. The work of an SEA more directly impacts districts and that of an LEA more directly impacts schools. In order to get a true picture of the impact of an LEA's or SEA's work, we need to know both the direct and indirect impact of what they do. The goal and strategy measures provide the *performance* data. Strategy measures demonstrate the direct impact on districts and schools, whereas goal measures demonstrate the indirect impact on students.

Implementation data let leadership and others know that the work an LEA or SEA planned to do is actually getting done, that the strategic plan is being carried out. The same is true for a division or strand. Monthly status reports, outputs from actions, and the completion of milestones provide *implementation* data.

A Performance and Innovation Cycle recognizes the importance of both implementation and performance and enables leadership, divisions, and units to utilize the data to make timely adjustments and identify more innovative ways to increase performance.

Step 10. Create the Performance and Innovation Cycle

The cycle is the regularity with which progress toward milestones is reviewed and necessary adjustments in actions are made. The cycle also includes less frequent review of the milestones (implementation data) and strategies themselves, as well as periodic review of goals and student results (performance). The division or strand leadership and units manage, monitor, and adjust the work on a continuous basis. Status reports on each action, submitted by the unit team leaders monthly, give teams necessary information to keep work on pace, and seek even better ways to complete the milestones to carry out the strategies. Some teams may need to meet more frequently, but at a minimum, monthly status reporting and quarterly implementation reporting is advised. Suggested status reporting and frequencies are listed below; however, the frequencies may be adjusted based on the context and need.

Monthly Status Reporting
Each month, units meet to review progress on actions, report status, and make adjustments in people and resources, as needed. Division or strand leadership reviews the progress of their units and assists unit leaders in addressing issues.

Quarterly Leadership Team Performance Review
Each quarter, division or strand leadership reviews the progress of their units and irons out any cross-divisional collaboration issues. Adjustments to milestones are considered, and adjustments to actions are recommended to units in light of data from status reports.

Annual Division (or Strand) Leadership Team Performance Review
At least once a year, division or strand leadership and all unit leaders meet to review data relative to milestones, strategies, and goals. The team adjusts milestones for the coming year if needed and adds performance measures and milestones for the following year.

In a Performance and Innovation Cycle, two years of planning are in place at any one time. Both implementation and performance data are used to make adjustments to the next year's planned work while planning continues for the following year's work. For example, when starting a cycle, two years of milestones are created, and actions to meet the milestones for the first year have been identified. During the fourth quarter of the year, progress on year one milestones is used to make adjustments to year-two milestones and unit teams plan year-two actions. At the beginning of Year 2, milestones for Year 3 are created, and the process of review, adjust, and plan continues each year.

Why not just develop a 5-year plan? Unless you have a crystal ball and can predict future conditions, the education landscape, and especially for any particular agency, will change dramatically over the course of two or three years. Planning beyond two years is a guessing exercise. Planning for two years at a time keeps planning practical while also making the process nimble enough to react as the unexpected occurs. Figure 7 illustrates the review, adjust, and plan process of the Performance and Innovation Cycle (see next page).

Remember:

Action and Milestone Completion = Implementation Measures

Strategy and Goal Performance Measures = Performance Measures

Adjustments in Course to Enhance Productivity = Innovation

Step 11. Tell the Story

At least annually, the division's or strand's story of its work and impact is told based on data collected through the multiple measures identified throughout the SPM process. Think of a literary piece of work. It is just as important to read the narrative and work through the plot as it is to know the conclusion—the end results. Actions and outputs tell about the work to complete each milestone at the end of the year, the implementation narrative. They describe what the LEA or SEA did, the tangible products created through the work, the challenges encountered, and adjustments made to address the challenges. The monthly status reports graphically show how the work evolved through the course of a year.

The goal and strategy measures represent the conclusion, the impact of the work accomplished throughout the year. Strategy measure data show the direct impact of the LEA or SEA work, whereas the goal measure data show the indirect impact on students. Together these provide the performance narrative.

An annual report should include both the implementation and performance narratives. As implementation strengthens, so should the capacity of districts and schools. As the districts and schools strengthen implementation, so should the capacity of students.

Who receives the annual report is up to the leadership of the division or strand as well as the organization's leaders. The report could be shared internally, externally, or both. Whatever is decided, the same stakeholders should receive the reports each year. The SPM suggestion is that it is best to build and maintain transparency with all stakeholders regardless of whether they are internal or external to the division, strand, or organization.

In summary, SPM is a multistep process that can guide the leadership of a division or strand in designing and revising a system of performance management. The SPM process combines strategic planning with performance management by creating an organizational structure based on strategies and functions, aligning resources to the structure, addressing human capital and productivity, and establishing performance measures. SPM is nimble, enabling the organization to make adjustments to plans and processes in response to data that provide information about progress toward quantitative markers. A division or strand can successfully engage in the SPM process to improve productivity and encourage innovation, even if the larger organization is not ready to take on SPM.

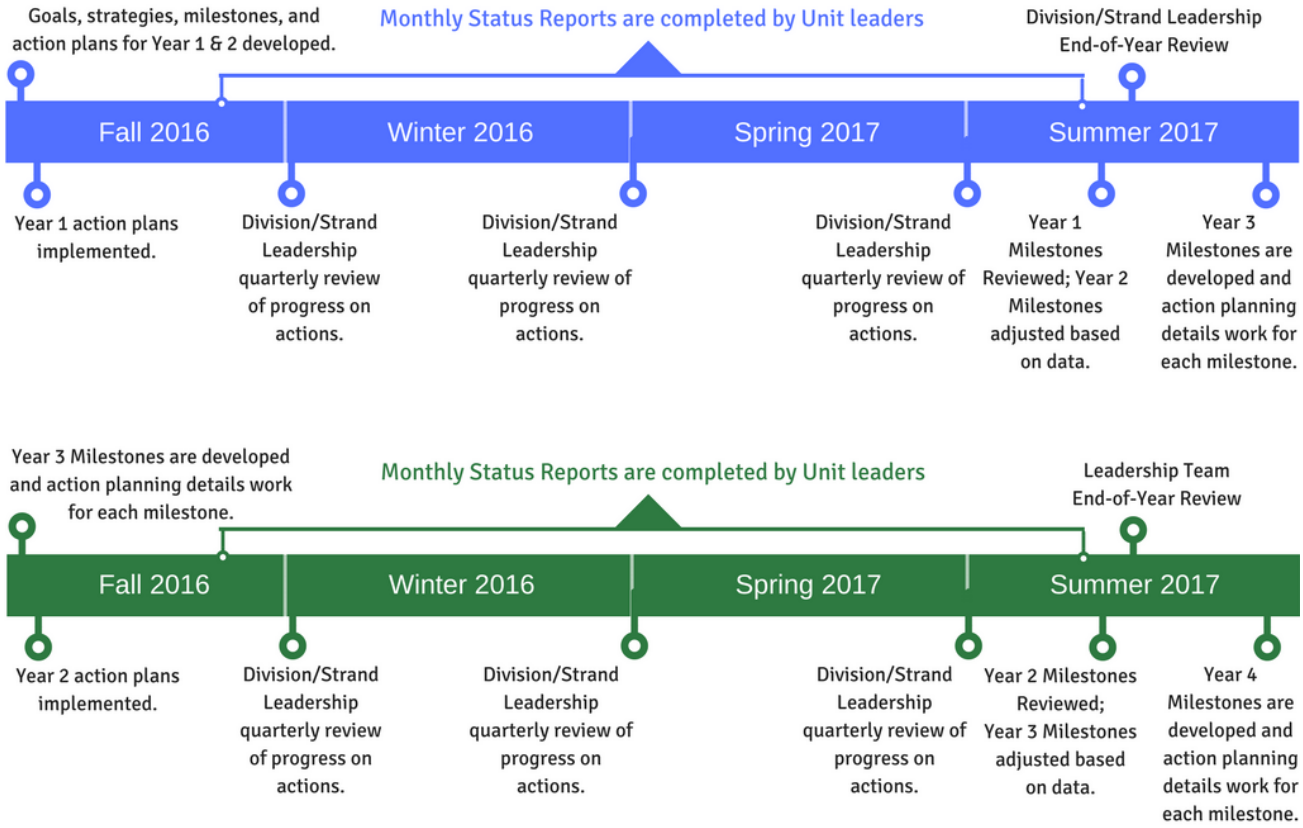


Figure 7. SPM Continuous Review, Adjust, and Plan Process

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At the BSCP Center website (www.bscpcenter.org) see:

- Section on **Performance** for additional information and materials about Strategic Performance Management
- Section on **Communication** for information about organizational communication, including a communication tool box

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The Building State Capacity and Productivity Center (BSCP Center) focuses on helping state education agencies (SEAs) throughout the country, as they adapt to reduced fiscal resources and increased demands for greater productivity. As State Departments of Education are facing a daunting challenge of improving student performance with diminishing financial resources, the BSCP Center provides technical assistance to SEAs that builds their capacity to support local educational agencies (LEAs or districts) and schools, and to the 21 regional and content comprehensive centers that serve them, by providing high quality information, tools, and implementation support. The partners in the BSCP Center are Edvance Research, Inc., the Academic Development Institute, and the Edunomics Lab.

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Casting a Statewide Strategic Performance Net

Interlaced Data and Responsive Supports

Allison Layland
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BSCP Building State Capacity and Productivity Center & Center on School Turnaround

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Building State Capacity and Productivity Center
Center on School Turnaround

Allison Layland and Sam Redding

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TABLE OF CONTENTS

PAGE 3 — Part I: Casting a Responsive Net

PAGE 6 — Part II: Synopsis of the Modules and Steps for an SEA, LEA, or School to Implement SPM
- Module A: Setting the Direction
  - Step 1. Create or Revisit Mission
  - Step 2. Create or Revisit Goals
  - Step 3: Establish Goal Performance Measures
  - Step 4. Determine Goal-Aligned Strategies
  - Step 5. Establish Strategy Performance Measures and Milestones
- Module B: Operationalizing the Direction
  - Step 6. Establish Coordination and Assign Milestones
- Module C: Designing Actionable Work
  - Step 7. Engage Personnel in Action Planning
- Module D: Implementing a Performance and Innovation Cycle
  - Step 8. Create the Performance and Innovation Cycle
  - Step 9. Review and Adjust
  - Step 10. Reporting—Telling the Story

PAGE 18 — Part III: Interlaced Data and Responsive Supports
- Key Points in Statewide Strategic Performance Management
- Fitness of Change
- A Scenario for Example
  - School Level
  - District Level
  - State Level
- Interlacing the Data and Providing Responsive Supports
  - Implementation Data
  - Interlacing the Implementation Data
  - Responsive Supports Based on Implementation Data
  - Performance Data
  - Interlacing the Performance Data
  - Responsive Supports Based on Performance Data

PAGE 30 — Part IV: Best Practice, Productivity, and Innovation
- Plugging Holes in a Results-Based Approach
  - Strategic Performance Management
  - Benchmarks for Sound Practice
  - Levels of Evidence
  - The Grand Synthesis in SPM: Sound Practice, Productivity, and Innovation
  - Conclusion

PAGE 33 — Appendix A: Ways to Identify Sound (Best) Practice

PAGE 35 — Appendix B: Summary of Recommended Study Criteria for Each Evidence Level

PAGE 36 — References

PAGE 37 — About the Authors

Building State Capacity and Productivity Center

The Building State Capacity and Productivity (BSCP) Center develops publications and tools on Strategic Performance Management (SPM) and provides technical assistance to State Education Agencies (SEAs) to create performance management systems aligned with strategic plans. This work has been agency-wide, headed by the Chief State School Officer (CSSO) and his or her leadership teams.

The BSCP Center provides technical assistance for an SEA or LEA to implement SPM: (1) agency-wide; (2) in a division or strand of work; or (3) across SEAs, LEAs, and schools in a Multi-Organization System (MOS). The BSCP Center and the Center on School Turnaround (CST) combine their expertise to offer guidance for applying SPM in a state's system of support for district and school improvement.

Center on School Turnaround

The Center on School Turnaround (CST) develops publications and tools on school turnaround, rapid school improvement, and state-district-school support systems. CST captures lessons learned from turnaround efforts across the country to build stronger state systems of support and intervention, particularly to improve performance in schools designated for substantial improvement.

Note: For the SEA or LEA, we always recommend implementation of agency-wide SPM, led by the CSSO or superintendent. See the detailed implementation manual—*Strategic Performance Management: Organizing People and Their Work in the LEA or SEA of the Future* (2nd ed.) by Sam Redding and Allison Layland, Building State Capacity and Productivity Center, 2017. But for purposes of SPM in a system of support, we offer here the streamlined version as a way to put in place SPM statewide in the most time-efficient manner.

Part I: Casting a Responsive Net

The pivot point for educational change is now firmly placed with the district, rebalancing the position of the state and the school relative to the local education agency (LEA). The state education agency (SEA) has been shifting its emphasis for decades, from a compliance-focused authority to a change agent equipped with systems, processes, training, and support to heighten the progress of the local district and its schools. A strategic approach to performance management fit neatly in this new organizational environment. Ideal for organizing people and their work in one entity (SEA, LEA, or school), strategic performance management is equally suited to a multi-organization system where interlaced data and responsive supports are critical. A state system of support is such a system.

Strategic Performance Management (SPM; capitalized for the process specifically advanced by the BSCP) is a kind of performance management that flows from the organization's strategic mission and aims at its strategic goals and transforms the way people work within the organization. Applying SPM to a network of organizations can be equally transformative, but not in a "Big Brother," command-and-control sort of way. Quite to the contrary, a networked application of SPM sharpens each organization's unique direction, enhancing that organization's productivity in pursuing its own goals. Networked SPM, however, adds a multiplier effect to the potency of the whole. Interlaced data create rapid circuits of information that activate responsive supports. Sound mysterious? Read on.

Consider a statewide system of support for district and school improvement. Yes, it is an old concept and one we have never completely mastered in practice. But the concept presents a visual of a large array of organizations—state, districts, schools, service providers, community groups—in a constructive relationship to one another for the purpose of improving educational experiences for students. In reality, the system too often short-circuits, with too little data too tardily transmitted to act upon. Further, the information is variously structured, organization by organization, making meaningful aggregation impossible.

The principal nodes in a statewide network are the districts, with their schools functioning as satellite nodes. With SPM, each node claims its due share of autonomy, determining its organizational goals, strategies, performance measures, and actions. These core elements of SPM are structured in a way that implementation and performance data can flow between district and school and between both and the state, making possible responsive supports.

In a multi-organizational application of SPM, the state agency itself adheres to the same principles of continuous improvement as districts and schools. The SPM processes generate useful, timely data to guide decision-making and course correction within each organization and across them.

Performance management is "the systematic process by which an agency involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of agency mission and goals" (U.S. Office of Personnel Management, n.d., para. 1). Dean Nafziger (2013), director of the Building State Capacity and Productivity (BSCP) Center, contributes the term "strategic" to this definition, calling performance management "a strategic approach to improvement in which the entire organization shares the same set of objectives" (p. 1).

PR/Award # S283B190059
Page e336

In our technical assistance manual (Redding & Layland, 2017), we explain the strategic approach to performance management this way:

> Strategic Performance Management (SPM) weds *strategic planning* with *performance management* in a living system that provides direction for people's work while allowing for innovation and course adjustment to produce better results more efficiently. SPM includes elements of strategic planning and connects them to performance measures, productivity considerations, and ongoing processes for gauging progress, improving practice, and exceeding expectations. (in press)

We belabor the definitions to emphasize the fact that strategic performance management is *not* aimed at the evaluation of individual performance (for personnel or students) or for determining district or school status in an accountability system. SPM engages personnel, operating in units or teams, in work aimed at organizational milestones, strategies, and goals, all in carrying out the stated organizational mission. These teams develop their own action plans to achieve the milestones, and conduct regular (usually monthly and quarterly) performance reviews to check progress and make adjustments in course. Performance measures for goals and strategies provide quantitative markers for annual progress.

The crux of the SPM approach is that performance can be strategically managed across many organizations at different levels of the system (state, district, school, for example) if their plans and operational procedures include common elements. Note that this system does not dictate the content of the work, for example the goals chosen, or the strategies employed. It is the structure of a process that results in routine flow of two kinds of data:

- Implementation data in the regular performance reviews of progress status for actions and milestones;
- Outcome data in the performance measures for strategies and goals.

This operational structure and data protocol establish high-quality performance management in each organization (state, district, school) and enable routine reporting of each organization's implementation and performance. Routine and consistent reporting makes possible precise targeting of supports and interventions, adjustment in course, innovation, and efficient allocation of resources.

The following elements of SPM are essential for each organization in a networked system that asserts the appropriate autonomy of each organization, properly relates the organizations to one another, and facilitates interlaced data and responsive supports:

A. Setting Direction	
Step 1.	Mission
Step 2.	Goals
Step 3.	Goal Performance Measures
Step 4.	Strategies
Step 5.	Strategy Performance Measures and Milestones
B. Operationalizing the Direction	
Step 6.	Coordination and Milestone Assignment
C. Designing Actionable Work	
Step 7.	Action Plans
D. Performance and Innovation Cycle	
Step 8.	Review Cycle
Step 9.	Adjustment
Step 10.	Report—Telling the Story

Any program can be fitted to this structure. So, if the SEA requires this structure in LEA and school plans, regardless of the program, the basics of SPM will be in place. Then reporting can be timely and actionable. The organizational mission and goals are the two critical roots for SPM, and the goals must be aimed at outcomes for *all* students.

The Leadership Team. Just who takes the bull by the horns and does the work of installing SPM in an SEA, LEA, or school? In the SEA, if SPM is to be installed for the purposes of the system of support rather than for the agency as a whole, the CSSO or a deputy or assistant commissioner with responsibility for the state's system of support for district and school improvement would head up a Leadership Team. A Leadership Team is comprised of the other key leaders in the SEA's system of support. In the LEA, the superintendent heads the district Leadership Team along with others who may provide support to schools, and in the school, the principal and assistant principals along with teacher leaders might comprise the school Leadership Team.

A Special Pair of Glasses. Throughout the SPM process, in each organization and across the system, teams step aside from their work at key points in time and look back at it through a special pair of glasses. These glasses are special because they have three lenses:

- **Productivity Lens**—is what we are planning to do (or doing) the most effective use of available resources in moving the dial on performance measures, achieving milestones, and pursuing organizational goals?
- **Best Practice Lens**—is what we are planning to do (or doing) encouraging or applying what is known as best (sound) educational practice?
- **Innovation Lens**—do we have reasonable evidence that a specific deviation from best practice is likely to achieve greater productivity?

For more on the three lenses, see Part IV: Best Practice, Productivity, and Innovation. The section that follows provides a synopsis of the process by which an SEA, LEA, or school would implement SPM. Then we describe how this all comes together in a network that honors organizational autonomy while facilitating responsive support of each other's progress.

Part II: Synopsis of the Modules and Steps for an SEA, LEA, or School to Implement SPM

Module A: Setting the Direction

Step 1. Create or Revisit Mission

Mission. The purpose of Step 1 is to identify or confirm the mission of the organization. The mission statement represents what the organization does for its clients (the beneficiaries of its products and services). Who are the clients, and what services do they need from the organization? Who are the future clients, what would their needs be, and how will the organization meet those needs?

Step 2. Create or Revisit Goals

Goals. In most organizations, goals are time-bound, usually three to five years corresponding to the length of most strategic plans; however, in education organizations, goals may not be restricted by time as they express an ongoing execution of the organization's mission. For example, the organization would have a manageable set of broad goals that: (1) highlight desired results for **all** students; (2) take into account both the student outcomes at the time of graduation and the ongoing progress during the years of schooling; and (3) include academic outcomes and student personal competencies (desired personal attributes not directly measured by academic markers). The Leadership Team creates goals, or if current goals exist, they are reviewed to verify they are still relevant, or they are adjusted to ensure they are student focused and represent all students.

Step 3: Establish Goal Performance Measures

Performance Measures. Performance measures are defined for each goal so that progress toward the goal can be determined. Progress toward the goals demonstrates that the organization's mission is being carried out.

By the end of Step 3, the Leadership Team will have a mission statement representing the role and work of the organization and personalized goals with performance measures. Note that the performance measures are not part of the goal statement.

See **Attachment A: Organization's Mission Statement, Goals, and Goal Performance Measures** and **Attachment B: Goal Performance Measures** to assist with Steps 1–3.

Quality Check

- [ ] 1. The organization's mission statement reflects the organization's purpose and work—what it does.
- [ ] 2. The goals state outcomes for all students.
- [ ] 3. Goal performance measures include one or more indicators for each goal, with indicator, data source, baseline, and targets for two years.

Attachment A: The Organization's Mission Statement, Goals, and Goal Performance Measures

Use the charts below to document the organization's mission and goals.

PART I: Organization Direction
Mission:

Goals	
1.	
2.	
3.	
4.	
5.	

Attachment B: Goal Performance Measures

Performance indicators, data sources, baseline, and targets are documented for each goal. Note: A goal can have one or more measures, and not all goals need to have the same number of measures.

Goal	Goal Performance Measures			
	Goal Performance Indicators	Data Sources	Baseline	Goal Indicator Targets
Goal 1				Year 1
				Year 2
				Year 1
				Year 2
Goal 2				Year 1
				Year 2
				Year 1
				Year 2
Goal 3				Year 1
				Year 2
				Year 1
				Year 2

Step 4. Determine Goal-Aligned Strategies

A strategy describes an organization's work in pursuing a goal. The strategies need to be constructed in the form of a theory of action, using **If. . . then. . . and** statements. The **If** part of the statement describes the work the organization engages in related to the goal. The **then** part refers to the direct impact of the work on the organization's clients (internal or external) related to the goal. The final **and** part relates back to the personalized organizational goals.

Using a possibilities approach, the Leadership Team identifies possible strategies along with the implementation minimum conditions and barriers. Minimum conditions are those that must be true or in place for a strategy to be a viable choice. Then, after examining the conditions and barriers, the Team selects a few powerful organizational strategies that can be implemented to reach each goal. Or it works with the organization's existing strategies, reaffirms the implementation minimum conditions and barriers, and converts them as necessary to state them in the **If . . . then . . . and** format.

Strategies focus on the "what" and "how" of the organization's work and the direct and indirect impact of implementing each strategy. Strategies do not necessarily represent what the organization has been doing, but what it could do to effectively support the relevant organizational goals. Productivity and Innovation lenses help to narrow in on the few potent strategies needed to get the maximum results.

Best Practice Lens. For the LEA and school especially, a Best Practice lens is applied to strategies to ensure that the chosen approaches have a high likelihood for success. The Best Practice lens is therefore applied to the **then** part of the strategy statement. Is the strategy reflective of sound practice?

SPM is nimble, enabling the organization to make adjustments to plans and processes in response to data that provide information about progress toward quantitative markers. Once strategies are determined, performance measures are identified for each strategy.

Evidence-Based Strategies

The level of evidence for a strategy's soundness has also been given various labels, including: best practice, evidence-based practice, research-based practice, effective practice, scientifically based practice, promising practice, and emerging best practice. The Leadership Team at each level (SEA, LEA, school) should affirm that strategies are sound in terms of their likely impact on student outcomes.

Step 5. Establish Strategy Performance Measures and Milestones

Performance measures with indicators for each goal have already been set, and now they are set for each strategy. The strategy performance measures focus on the **then** part of the strategy statement. In other words, the measures focus on the specific organization's work and its immediate impact. For example, the measures would focus on the SEA work (**If** we do...) and the impact on the districts or schools (**then** districts or schools will...). For a district, the measures would focus on the district work (**If** we do...) and the impact on the schools (**then** the schools or educators will...). The strategy performance measures serve as the outcome data for not only reporting results, but also reporting interim (typically annual) progress.

For each indicator, the data source is determined, baseline values are set, as are targets for the first two years. By creating two years of targets and using data from year one to either confirm or adjust the second year targets while also creating year three targets, a process is built that provides interim progress data and allows for adjustment based on progress as well as changing contexts and conditions. As part of an ongoing SPM cycle, targets are adjusted annually based on data.

Milestones. In addition to the quantitative performance measures set for each goal and strategy, qualitative, *annual* milestones are set for each strategy, describing work to be completed relative to the strategy in that timeframe. Milestones are set for two years, and each year the next year is adjusted and an additional year added. Milestones are then used for specific action planning .

See **Attachment C: Strategy Development**, **Attachment D: Strategy Theory of Action**, and **Attachment E: Strategy Performance Measures and Milestones** to assist with Steps 4 and 5.

Quality Check

- [ ] 1. Performance measures have been identified for goals and strategies.
- [ ] 2. Performance measures include indicators, data sources, baseline, and annual targets.
- [ ] 3. Measures can realistically be collected, analyzed, and used in making decisions related to the strategies and goals.
- [ ] 4. Specific, relevant milestones were identified for each strategy.
- [ ] 5. The milestones are necessary for the strategy to be implemented.
- [ ] 6. The annual milestones are specified for at least two years.

Attachment C: Strategy Development

Using a *possibilities approach*, identify possible organizational strategies for each relevant goal. For each possible strategy, list the conditions that must occur for the strategy to be accepted, supported, and implemented, as well as the barriers.

Goal	Possible Strategies	Must Have Conditions	Barriers
1.	1.		
	2.		
	3.		
	4.		
	5.		
2.	1.		
	2.		
	3.		
	4.		
	5.		
3.	1.		
	2.		
	3.		
	4.		
	5.		
4.	1.		
	2.		
	3.		
	4.		
	5.		
5.	1.		
	2.		
	3.		
	4.		
	5.		

Attachment D: Strategy Theory of Action

After discussing the conditions and barriers, the Leadership Team determines which strategies have the most significant impact relative to the goals, have conditions that are right for implementation, and have the fewest barriers that cannot be removed. Each selected strategy is then written as an **If... then... and** statement.

Organization Goals	Strategies *(State as If... then... and... statements)*
Goal 1:	1.
	2.
	3.
Goal 2:	1.
	2.
	3.
Goal 3:	1.
	2.
	3.
Goal 4:	1.
	2.
	3.
Goal 5:	1.
	2.
	3.
Goal 6:	1.
	2.
	3.

Attachment E: Strategy Performance Measures and Milestones

Performance indicators, data sources, baseline, and targets are documented for each strategy as well as milestones for the first two years.

		Strategy Performance Measures				
Goal	**Strategies**	**Strategy Performance Indicators**	**Data Sources**	**Baseline**	**Strategy Indicator Targets**	**Strategy Milestones**
Goal 1	Strategy 1.1				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2
	Strategy 1.2				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2
Goal 2	Strategy 2.1				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2
Goal 3	Strategy 3.1				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2
	Strategy 3.2				Year 1	Year 1
						Year 2
					Year 2	Year 1
						Year 2

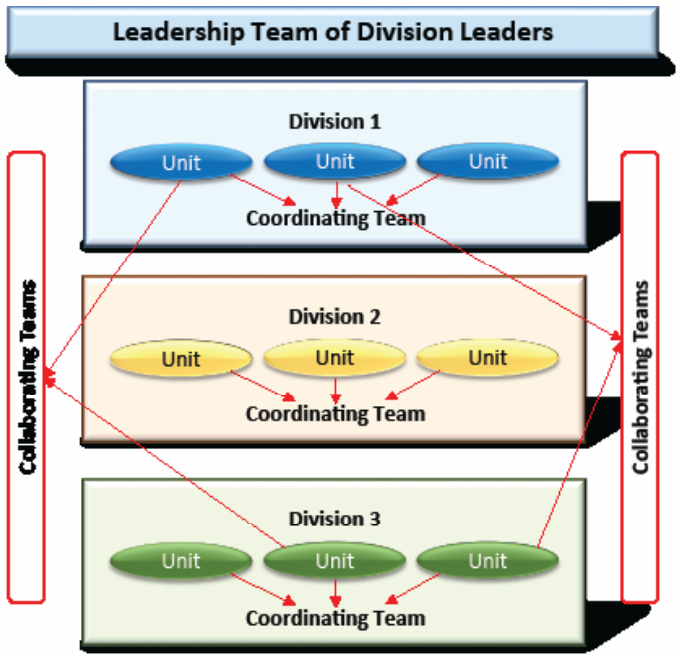
Module B: Operationalizing the Direction

Step 6. Establish Coordination and Assign Milestones

All too often, organizations function in silos, duplicate efforts, or treat related initiatives as isolated projects. This can impact productivity and results. It is, therefore, critical to coordinate work and communicate progress on an ongoing basis. For SEAs and LEAs, SPM suggests a three-tiered organizational structure to coordinate the SPM process: (1) Leadership Team (division leaders and key, high-level staff with the chief or superintendent); (2) Division Teams consisting of the leader(s) from each unit in a division; and (3) Unit Teams consisting of all the members of a unit. The Division Team maintains communication and coordination across units within the division. A Unit Team maintains communication and coordination among the members of the unit. The Division Teams and Unit Teams engage in action planning (see Module C) and implement a cycle of review, reporting, adjusting, and creating through performance management (Module D). Figure 1 represents the SEA or LEA team structure.

A school's organizational structure is more commonly the Leadership Team, teacher instructional teams, and other teams such as a School Community Council.

Figure 1: SEA or LEA Team Structure



The Leadership Team creates milestones as the objectives relative to each strategy that are to be met in each year for two years. The Leadership Team assigns milestones to lead divisions, which assign them to their units. The **assigned division** is **accountable** for the thorough completion of that milestone. The **lead unit** within the division is **responsible** for the day-to-day work leading to milestone completion. In addition, others needed to assist the accountable division and lead unit in action planning are identified, logistics for planning are determined, and expectations are communicated.

Attachment F: Milestone Assignments is used to capture the milestone assignments.

Quality Check

- [ ] 1. Milestones have been assigned to divisions and lead units or teams.
- [ ] 2. Additional units, teams, or stakeholders have been identified to assist in action planning for each milestone, as appropriate.
- [ ] 3. A schedule, location, and logistics have been identified for action planning.

Attachment F: Milestone Assignments

Use the chart below to document lead units and other units that may be needed for action planning for each milestone related to a strategy and goal.

Goal	Strategy	Milestone	Lead Unit	Others Needed for Action Planning
Year 1				
Goal 1	Strategy 1.1	Milestone 1.1.1		
		Milestone 1.1.2		
		Milestone 1.1.3		
		Milestone 1.1.4		
		Milestone 1.1.5		
	Strategy 1.2	Milestone 1.2.1		
		Milestone 1.2.2		
		Milestone 1.2.3		
		Milestone 1.2.4		
		Milestone 1.2.5		
Goal 2	Strategy 2.1	Milestone 2.1.1		
		Milestone 2.1.2		
		Milestone 2.1.3		
		Milestone 2.1.4		
		Milestone 2.1.5		
Goal 3	Strategy 3.1	Milestone 3.1.1		
		Milestone 3.1.2		
		Milestone 3.1.3		
		Milestone 3.1.4		
		Milestone 3.1.5		

Step 7. Engage Personnel in Action Planning

Each accountable division, lead unit, unit members, accountable team (in schools), and others identified for action planning for a specific milestone work together and develop an action plan to complete the assigned milestone by the end of the year. For a school, the accountable team would engage in action planning to reach or accomplish the milestone or objective by the end of the school year. An action plan details actions, timeline, resources, personnel, outputs (concrete outcomes as a result of the actions), and supports needed to accomplish the milestone. Each team should engage as many of the people who will be doing the work as possible in the action planning. This creates ownership of not only the actions, but the milestones and strategies themselves. Ownership fosters commitment and productivity. Action plans are created using the Action Plan Template or the SPM online tool so progress can be documented on a monthly basis, challenges can be noted and shared, and adjustments can be made to ensure all milestones are completed by the end of each year.

Action plans are created using **Attachment G: Action Plan Template**.

Quality Check

- [ ] 1. An action plan is developed for each milestone.
- [ ] 2. All plans include actions, timeline, resources and budget, outputs, and personnel.
- [ ] 3. Action plans are rigorous, yet attainable.
- [ ] 4. The combined completion of the actions will result in completion of the milestone.
- [ ] 5. Collaborators are identified to support completion of milestones using either the established process of the organization or, if one does not exist, a process defined by the Leadership Team which includes a definition and expectations.

Attachment G: Action Plan Template

Use this template to develop an action plan for each milestone.

Year 1		
Strategy		
Milestone		
Action		
	Start Month:	End Month:
Resources/Budget		
Personnel	Responsible Person (in Unit):	
	Supports (in Unit/One or More):	
Add Units Needed for Collaboration on the Action		
	Need:	
	Unit(s) in My Division:	Unit(s) in Other Division(s):

Module D: Implementing a Performance and Innovation Cycle

Step 8. Create the Performance and Innovation Cycle

A performance and innovation cycle is the regularity with which progress toward milestones is reviewed and necessary adjustments in actions are made. The performance and innovation cycle also includes less frequent review of the milestones and strategies themselves. An organization's Leadership Team and unit or accountable teams manage, monitor, and adjust the work on a continuous basis. Status reports on each action, submitted by the unit or accountable team leaders, and related data give teams necessary information to keep work on pace and seek even better ways to meet milestones and carry out strategies. Some teams may need to meet more frequently, but at a minimum, monthly status reports and quarterly performance reports should be completed.

Step 9. Review and Adjust

Feedback is used to improve processes so productivity is increased and innovation is encouraged and supported. Suggested status and performance reporting and frequencies are listed below; however, the frequencies may be adjusted based on the context and need.

Monthly Status Reporting
Each month, each unit or accountable team meets to review progress on actions, report status, and make adjustments in people and resources, as needed. The status reports also serve as implementation data and can be reduced to implementation summary data for reporting purposes. The Division Teams review the work of their units. The Leadership Team reviews the progress of the teams and irons out any cross-divisional collaboration issues.

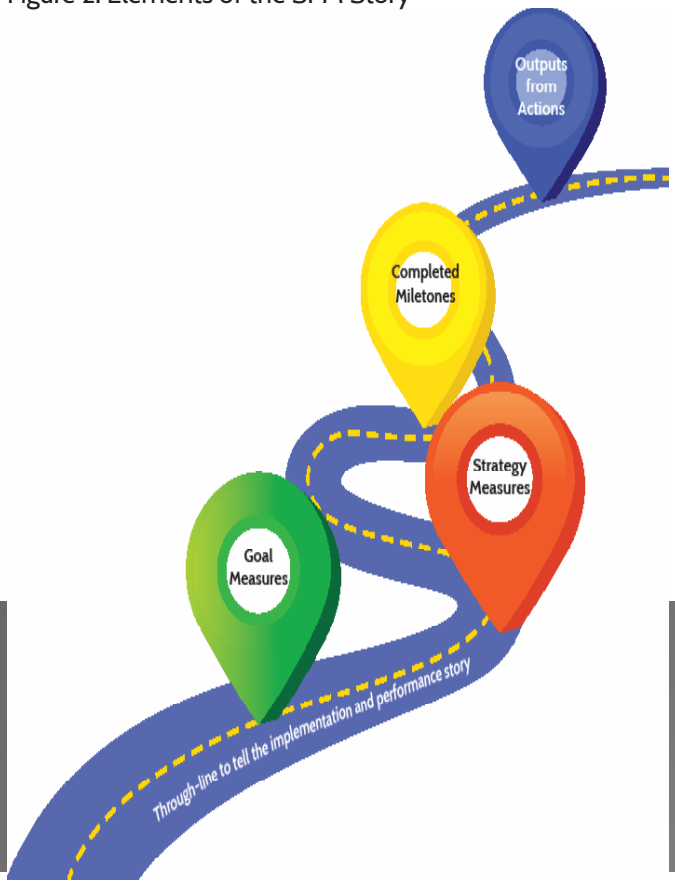
Quarterly Division Team Performance Review
The Division Teams review the progress of their units and iron out any collaboration issues. Adjustments to milestones are considered for recommendation to the Leadership Team, and adjustments to actions are recommended to units in light of data from status reports.

Annual Leadership Team Performance Review
At least once a year, the Leadership Team meets to review performance data relative to strategies, and goals. The Team adjusts milestones for the coming year if needed and adds or removes performance measures and milestones for the following year, as appropriate to effectively implement the strategy and move closer to realizing the goal.

Step 10. Reporting—Telling the Story

At least annually, the organization's performance story needs to be told, based on data collected through the multiple measures identified throughout the SPM process. The story has a similar structure to that of any story. The organization's goals provide the purpose of or conflict within the story. The strategies, milestones, and actions make up the plot. The feedback, informed by data and evidence, form the through-line of the story, the invisible line that binds the story together. The through-line provides the meaning or the heart of the story. Data from the performance measures, along with outputs from each action that led to the completion of milestones, are put together to tell about the division's or strand's work and its impact. From year to year, performance patterns or trends are included and inform adjustments or innovations. The story also includes the supports and adjustments made to keep productivity and innovation moving forward. Figure 2 represents the SPM story through the various levels of performance data.

Figure 2: Elements of the SPM Story



Quality Check

- [ ] 1. Monthly, quarterly, and annual reporting is in place.
- [ ] 2. Analysis of both implementation and performance data are routinely occurring to identify needs and determine responsive supports for improvement.
- [ ] 3. Analysis and reporting is routinely occurring to tell the annual story of work and results to various internal and external stakeholders.

Part III: Interlaced Data and Responsive Supports

When an SEA leads the implementation of SPM at multiple levels of the education system, the common data structure facilitates a responsive system of support. Interlaced data—for both implementation and performance—provide the timely information that allows for nimble, responsive technical assistance. The district responds to the school, and the state responds to the district (and in some cases the school).

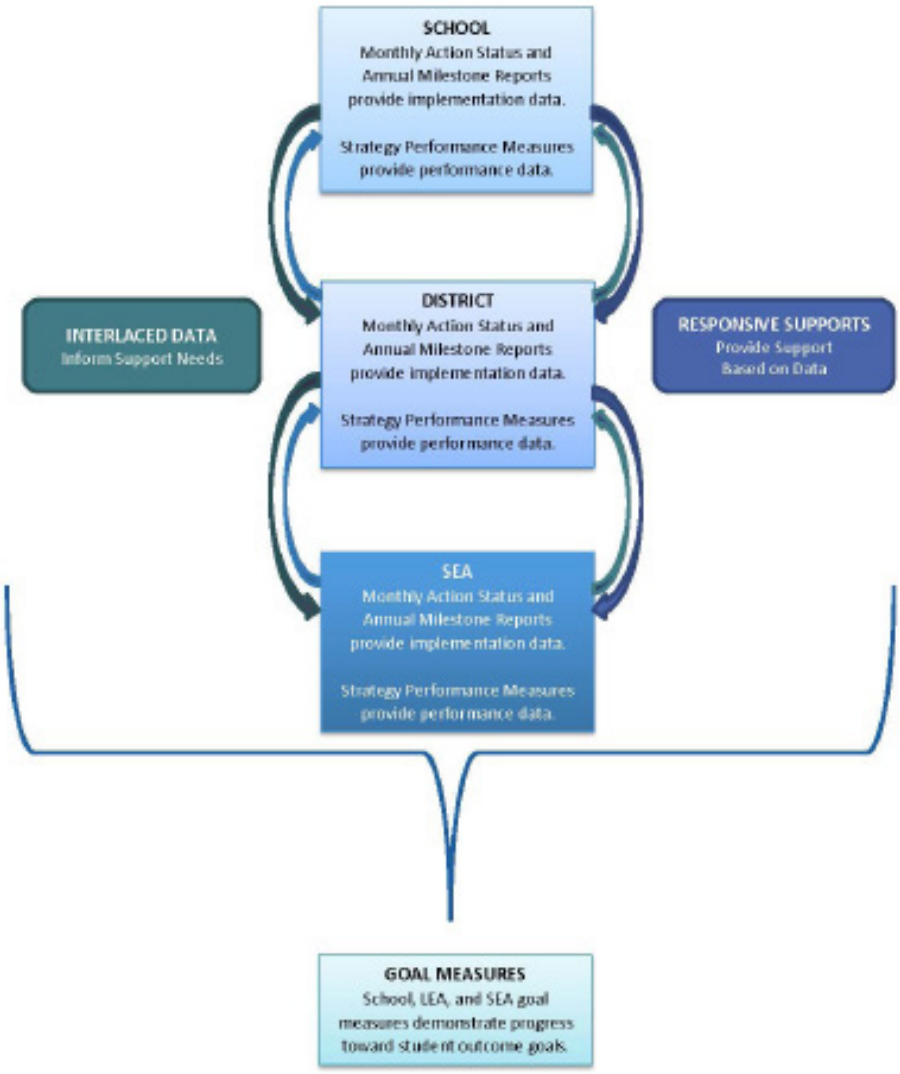
Each organization sets its direction (vision, mission, goals, strategies, and performance measures), creates the structures for its people to pursue that direction, and creates action plans to achieve annual milestones. An action plan details actions, timeline, resources, personnel, outputs (concrete outcomes as a result of the actions), and supports needed to accomplish the milestone. Units within each organization track and report progress with specific implementation and performance data and correct course as the data dictate.

Key Points in Statewide Strategic Performance Management

1. **Autonomy.** The SEA, LEA, and school each is granted the freedom and responsibility to define its mission, set goals, and determine strategies to pursue the goals.
2. **Performance measures.** Goals and strategies are not time-bound, making them applicable across years and for a variety of initiatives. The performance measures for the goals and strategies are separate from the goal and strategy statements, enabling annual adjustment of targets.
3. **Influence.** The SEA influences LEA and school strategies, milestones (annual objectives), and actions through statutes and regulations, conditions for discretionary resources (incentives), and information about best practice. The LEA influences school strategies, milestones (annual objectives), and actions through policy.
4. **Fitness of change.** By first setting a strategic direction that expresses its unique identity and desired future, each organization is able to fit new opportunities (funding, resources, initiatives) into its operational stream.
5. **Interlaced data.** Coding of common data categories for each organization's strategic directions, as well as specific program applications and plans, enable data to flow at regular points in time (monthly, quarterly, annually) for calculations of implementation progress and outcomes (performance). The data may be interlaced, assayed across organizations and organization levels (school, district, state) through category coding to see system patterns.
6. **Responsive supports.** Early and frequent data reporting on implementation progress (monthly status of actions—timeline, resources, personnel, outputs, and supports—and annual milestones) enables responsive and appropriate provision of supports. Supports may be provided by the SEA to LEAs and schools, the LEAs to their schools, and external providers throughout the system. Supports are also adjusted based on annual performance measures for each organization's goals and strategies.

Figure 3 represents the system with interlaced data and responsive supports.

Figure 3: System of Interlaced Data and Responsive Supports



Fitness of Change

Schools and districts have typically developed improvement plans as part of a state accountability system. They have also created a variety of other plans for operational areas, such as technology; program areas, such as special education; and myriad funding and regulatory regimes. Student outcome measures are included as a gauge of progress on most plans, and each plan has its own objectives, timelines, and actions. Success with this type of planning depends upon the:

1. quality of the plan (its likelihood for getting results in the context);
2. fidelity of the plan's implementation;
3. appropriate adjustment of the plan in light of experience; and
4. adequacy of external supports.

In the SPM lexicon, a plan is replaced by the operationalization of the strategic direction. The organization's strategic direction is aspirational and long-term, but it is operationalized with annual milestones, actions, and a performance reporting cycle. New initiatives attach to existing strategies when at all appropriate or generate new strategies when necessary. The new initiative brings new performance measures to the strategies and creates new milestones (annualized objectives) and actions. All efforts continue to aim at the organization's succinct set of student-based goals.

Quality. The quality of chosen strategies, milestones, and actions can be appraised by holding them to the light of research and confirming that similar strategies and practices have been successful in similar contexts. In SPM, this is the application of a best practices lens. Making that determination is the responsibility of the plan creator (district or school, for example), and the plan's strength, likelihood for success, and feasibility are further assayed by the agency (state or district) charged with approving the plan.

Fidelity, Adjustment, Support. This leaves implementation fidelity, appropriate adjustment, and adequate supports as the remaining variables for success. The adequacy of external supports depends, in large part, on the:

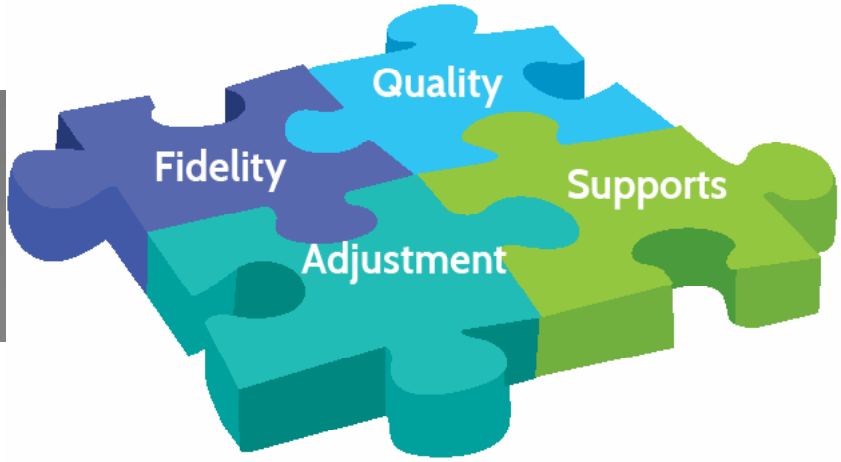
- **quality** and appropriateness of supports anticipated in the initial plan,
- **timeliness** and accuracy of implementation data, and
- **agility** with which the support providers can adapt to the evolving implementation data.

Implementation. Timely, accurate, succinct implementation data, expeditiously reported, enables the organization (state, district, or school) implementing the strategies to make adjustments in course, and external support providers to respond effectively. In a system of SPM, the SEA, LEAs, and schools share a common structure for their improvement (or operational) plans and for their various program plans (aligned with the operational plan), and that structure includes goal-aligned strategies, milestones, and actions. Implementation data consists of the monthly status of actions and the completion of annual milestones. That is true for the state, the district, and the school, for each organization's operational plan and for the plans of each program within each organization.

Performance. Implementation of the plan is only half the data equation of continuous improvement. Performance is the other half. If the plan (meaning the strategies, milestones, actions chosen) is right, then high-quality implementation should equal gains in performance. Performance measures for goals aimed at student outcomes and strategies that express the organization's approaches in pursuit of the goals provide the performance half of the equation.

A Scenario for Example

Let's examine a sample of an SPM system using a scenario that includes two schools from District X, School A and School B, all of which are in the State of Anywhere in which the Anywhere SEA oversees education for students across the state. The following tables (1–4) summarize the descriptive and strategic performance data that outline the strategic direction for each school, their district, and their state. Only a sample of goals and strategies are displayed.



School Level

Table 1: School A—Descriptive and Strategic Performance Data

School Type	Elementary	
Grade Levels	K–8	
ELA Proficiency (3–8)	33%	
Math Proficiency (3–8)	42%	
Status	In need of improvement	
Leadership Team	Principal, Assistant Principal, Grade Level Teacher Leads	
Diagnostic Assessment	Student performance data, professional practice data, stakeholder input from surveys	
Strategic Goals Adopted	3	
Total Strategies Adopted	7	
Total Year 1 Milestones	14	
Total Year 1 Actions	53	
Sample Goal	Each student in grades 3–8 will meet or exceed his/her math and ELA growth targets each year	
Sample Goal Performance Measure	Indicator	% students meeting or exceeding growth targets in ELA and math
	Data Source	State standards-based assessment in Gr. 3–8
	Baseline	ELA = 33%; Math = 42%
	Target Yr 1	ELA = 37%; Math = 45%
	Target Yr 2	ELA = 46%; Math = 50%
Strategy 1 for this Goal	**If we** engage our Instructional Teams in developing standards-aligned units of instruction and examples of lesson plans that personalize instruction, **then** teachers will plan and deliver standards-based and personalized instruction, **and** all of our students will meet or exceed their math and ELA growth projections.	
Sample Strategy Performance Measure	Indicator	% of teachers with more than 80% of their completed (taught and reflections recorded) lesson plans based on standards-aligned units of instruction and personalized learning instructional practices
	Data Source	Online lesson planning system
	Baseline	29%
	Target Yr 1	70%
	Target Yr 2	90%

Table 2: School B—Descriptive and Strategic Performance Data

School Type	High School	
Grade Levels	9–12	
ELA Proficiency (10th Gr)	86%	
Math Proficiency (10th Gr)	82%	
Graduation Rate	88%	
Status	Continuous improvement trajectory	
Leadership Team	Principal, 2 Assistant Principals, Department Heads, School Psychologist	
Diagnostic Assessment	Student performance data, professional practice data, stakeholder input from surveys	
Strategic Goals Adopted	5	
Total Strategies Adopted	15	
Total Year 1 Milestones	32	
Total Year 1 Actions	112	
Sample Goal	Each student, before graduation, will succeed in at least one advanced placement course or complete one or more career and technical education (CTE) certification programs.	
Sample Goal Performance Measure	Indicator	% of graduating students who have received an end-of-course exam score of 80% or better in at least one advanced placement course or earning one or more CTE certificates
	Data Source	Student report cards and CTE certificate lists
	Baseline	43%
	Target Yr 1	65%
	Target Yr 2	78%
Strategy 1 for this Goal	**If we** provide all students with data-based guidance in choosing advanced placement courses and CTE programs and provide academic supports (e.g., supplemental interventions) when needed to enable them to succeed in these courses/programs, **then** more students will enroll in appropriate advanced placement and CTE certification programs, **and** each student will succeed in advanced placement courses or career and technical education certification programs.	
Sample Strategy Performance Measure	Indicator	% of students this year enrolled in advanced placement or CTE as percentage of all students
	Data Source	Class registration
	Baseline	22%
	Target Yr 1	35%
	Target Yr 2	45%

District Level

Table 3: District X—Descriptive and Strategic Performance Data

District Type	Unit; 6 elementary, 2 middle, 1 high school	
Grade Levels	Pre-K–12	
ELA Proficiency	76%	
Math Proficiency	78%	
Graduation Rate	88%	
Status	Continuous improvement trajectory	
Leadership Team	Superintendent, Assistant Superintendent, 3 Department Heads, revolving Principals	
Diagnostic Assessment	Student performance data, professional practice data, stakeholder input from surveys—aggregated from all schools	
Strategic Goals Adopted	6	
Total Strategies Adopted	18	
Total Year 1 Milestones	37	
Total Year 1 Actions	128	
Sample Goal	All students will develop learning acquisition (metacognitive) skills appropriate to their grade level and growth trajectories.	
Sample Goal Performance Measure	Indicator	% students earning a rating of Well Done or better on annual examination by teachers of Learning Acquisition Portfolio
	Data Source	District Learning Acquisition Portfolios for all students
	Baseline	NA
	Target Yr 1	TBD
	Target Yr 2	TBD
Strategy 1 for this Goal	**If we** develop grade-level guidelines for Learning Acquisition Portfolios, **then** teachers will facilitate creation of the portfolios for all students, **and** all students will develop learning acquisition (metacognitive) skills appropriate to their grade level and growth trajectories.	
Sample Strategy Performance Measure	Indicator	% of teachers whose students created a Learning Acquisition Portfolio
	Data Source	Teacher report
	Baseline	NA
	Target Yr 1	TBD
	Target Yr 2	TBD

State Level

Table 4: State of Anywhere—Descriptive and Strategic Performance Data

State Type	Mid-size population; urban, suburban, rural	
Grade Levels	Pre-K–12	
ELA Proficiency	72%	
Math Proficiency	69%	
Graduation Rate	86%	
Status	None	
Leadership Team	Commissioner, 6 Assistant Commissioners, 6 Directors	
Diagnostic Assessment	Student performance data, professional practice data, stakeholder input from surveys—aggregated from all districts	
Strategic Goals Adopted	5	
Total Strategies Adopted	20	
Total Year 1 Milestones	42	
Total Year 1 Actions	149	
Sample Goal	Each student will be actively engaged in college, career preparation, military service, and/or competitive employment one year after graduation.	
Sample Goal Performance Measure	Indicator	% graduates enrolled in two- or four-year college for fall of year following graduation
	Data Source	National Student Clearinghouse
	Baseline	39%
	Target Yr 1	41%
	Target Yr 2	42%
Strategy 1 for this Goal	**If we** support schools through a flexible, comprehensive state accountability system that includes graduation rate and first-year post-secondary engagement results, **then** educators employ student engagement, re-engagement, and alternative learning opportunities as needed, **and** students will graduate and become actively engaged in college, career preparation, military service, and/or competitive employment one year after graduation.	
Sample Strategy Performance Measure	Indicator	% of districts with designated student re-engagement programs
	Data Source	District Consolidated Report
	Baseline	37%
	Target Yr 1	50%
	Target Yr 2	60%

Interlacing the Data and Providing Responsive Supports

As each organization implements its SPM system, data flows within and across the organizations and are interlaced to tell the performance story at the state, district, and school levels. Monthly status of actions and the completion of annual milestones are data points that indicate implementation fidelity. Performance data are provided by the goal and strategy performance measures, which are typically calculated annually. The routine reporting of implementation and performance data for purposes of course adjustment is called a Performance and Innovation Cycle. Let's examine a sample of such a system, starting with implementation data.

Implementation Data

Each reporting year begins on July 1 for the SEA, LEAs, and schools. The sample data displayed in tables 5–8 is for November of the first year with SPM, based on succinct monthly reports from each team in each organization. In all cases:

- the data can be disaggregated and drilled to isolate particular goals and strategies in each organization as well as organizational subunits such as departments and teams, and
- coding of the nature of each organization's goals and strategies enables data consolidation and aggregation to ascertain progress across organizations and even across levels of the education system.

Table 5: Implementation Data for School A (November)

Organization	School A			
Actions Reported	Number of Actions On Time	Number of Actions Completed	Number of Actions Not Yet Started	Number of Actions Behind Schedule
100%	45%	33%	12%	30%
Comments	Actions related to a milestone on planning and delivering standards-based instruction are behind schedule.			

School A reported its implementation data, with explanatory notes, including the fact that the actions that are behind schedule are related to lesson planning and design to personalize instruction.

Table 6: Implementation Data for School B (November)

Organization	School B			
Actions Reported	Number of Actions On Time	Number of Actions Completed	Number of Actions Not Yet Started	Number of Actions Behind Schedule
49%	13%	13%	11%	28%
Comments	Actions behind schedule are those related to a milestone on career and technology education planning and delivery of instruction.			

School B reported its implementation data, with explanatory notes, including that the lagging actions are related to career and technology education. A concern is why only 49% are reported. What is the status of the other 51% of the actions? Is implementation fidelity slipping?

Table 7: Implementation Data for District X (November)

Organization	District X			
Actions Reported	Number of Actions On Time	Number of Actions Completed	Number of Actions Not Yet Started	Number of Actions Behind Schedule
98%	63%	17%	8%	12%
Comments	Actions related to monthly meetings with each school are on time, but those related to a milestone on using the state growth model are behind.			

District X reported its implementation data, with explanatory notes, including that the actions related to monthly meetings with each school are on time, but those related to using the state growth model are behind.

Table 8: Implementation Data for State of Anywhere (November)

Organization	SEA Anywhere			
Actions Reported	Number of Actions On Time	Number of Actions Completed	Number of Actions Not Yet Started	Number of Actions Behind Schedule
83%	42%	29%	23%	6%
Comments	The actions behind schedule are those related to milestones on gathering research on personalized learning practices, identifying schools and districts implementing some of the practices, and gathering resources for districts and schools on personalized learning practices.			

The **State of Anywhere** reported its implementation data, with explanatory notes, including significant variation in on-schedule actions among the SEA's major divisions. Also, in general, actions across divisions that were related to a goal for personalized learning are lagging.

Interlacing the Implementation Data

By coding goals and strategies for the topics they include, data from multiple organizations can be examined to determine if patterns emerge. Thus, at the district level, cross-school data is examined, and at the state level both cross-district and cross-school data is examined. Because district data includes the actions of the district itself and not merely an aggregation of school actions, topical data can be analyzed that cuts across both districts and schools. The state can compare its own progress on particular strategies with that of districts and schools on similar strategies.

In the examples, note that the SEA is behind schedule on gathering research related to personalized learning practices, and the district is behind schedule on actions related to the growth model. At the same time, School A and B are behind schedule on actions related to personalized learning. Student performance using a growth model can be very helpful in identifying individual student needs and utilizing personalized instructional practices and supports to meet individual student needs. Could the lags in implementation of actions at the SEA and LEA levels be having an impact on School A's or School B's actions on planning and delivery of instruction? Having common structures (goals, strategies, milestones, and actions) provides opportunity to track progress on implementation at multiple levels and identify the possible impact on work of each organization.

Responsive Supports Based on Implementation Data

Each organization uses its implementation data to adjust course, sometimes in ways that are innovative or more productive. The SEA may shift resources to accomplish the actions that are behind schedule, particularly the research needed to develop guidance and resources to districts and schools on personalized learning; or School B may reexamine the CTE actions and timelines to determine if the timelines were overly ambitious and need to be adjusted.

However, the *real* power is when the data are used to determine what technical assistance is needed across the system. In our scenario, District X, noting that School A is behind schedule on actions related to planning personalized instruction, analyzes implementation data from other schools and finds three additional schools with similar goals but different strategies and milestones, yet they are having the same lag in implementation of actions related to personalized instruction. Utilizing the primary contacts for each of the identified schools and resources from the Learning Services Department, the district provides targeted support to each school and collaborative support across schools, including creating sharing sessions where schools together create strategies to address implementation challenges.

In the meantime the SEA, through analysis of district action status reporting, realized that more than half of the districts were behind on actions related to the state growth plan. A quick survey was used to gather information from those superintendents, and a webinar was conducted to provide more detailed information and answers to critical questions so districts had the information needed to get back on track with their actions. In addition, a new guidance document was created, and regional centers were provided a one-day training so they could assist districts.

By having common data and reporting structures, the schools, districts, and state are able to report on implementation regularly throughout the school year. In addition, the school and district implementation data inform the SEA technical assistance contacts of the type of support needed. Finally, the school implementation data indicate that School B is in need of support in implementing its plan (or at least in reporting status), even though it is and has been a higher performing school.

Of course, monthly reports of action status are only one way to track implementation data, and the prime implementation measures are in the milestones themselves. Quarterly reviews of action progress by each organization consider whether the actions are headed toward fully meeting the milestone by year's end. If not, adjustments are made. At the end of the year, milestone completion is the gauge of implementation fidelity.

Performance Data

At the end of year one, each organization reports on the milestones completed and data from performance

measures for strategies and goals. Multiple indicators are usually required to adequately assess progress toward goals and strategies, and each indicator carries with it a data source, baseline, and annual targets for two years. The out-year target is adjusted each year. A strategy performance measure aims at the **and** portion of the strategy's logic model. That is the part of the strategy that the organization intends to directly affect.

Tables 9–12 summarize the *sample* goal and strategy performance measure results for each organization in the scenario at the conclusion of one year.

Table 9: School A Performance Data—Year 1

Organization	School A
Goal	Each student in grades 3–8 will meet or exceed their math and ELA growth targets each year.
Goal Performance Measure (Indicator)	% students meeting or exceeding growth targets in ELA and math
Target for this year	ELA = 37%; Math = 45%
Performance Results	ELA = 41%; Math = 44%
Strategy	**If we** engage our Instructional Teams in developing standards-aligned units of instruction, **then** teachers will plan and deliver standards-based personalized instruction, **and** all of our students will meet or exceed their math and ELA growth projections.
Strategy Performance Measure (Indicator)	% of teachers with more than 80% of their completed (taught and reflections recorded) lesson plans based on standards-aligned units of instruction and personalized learning instructional practices.
Target for this year	70%
Performance Results	73% of teachers had completed lesson plans based on standards-aligned units of instruction.

School A was behind on actions related to lesson planning and delivery, however the performance data indicate that 73% of the teachers had planned and delivered standards-based personalized instruction, and this seemed to already have a positive impact on student performance in reading. The district provided responsive supports to School A which helped improve implementation. The responsive supports could be expanded to other schools with implementation difficulties. In addition, School A is adjusting year two milestones to include one to address the lack of progress in math, looking particularly at the quality of lesson planning in math.

Table 10: School B Performance Data—Year 1

Organization	School B
Goal	Each student, before graduation, will succeed in at least one advanced placement course or complete one or more career and technical education (CTE) certification programs.
Goal Performance Measure (Indicator)	% of graduating students who have received an end-of-course exam score of 80% or better in at least one advanced placement course or earning one or more CTE certificates
Target for this year	65%
Performance Results	58%
Strategy	**If we** provide all students with data-based guidance in choosing advanced placement courses and CTE programs and provide academic supports (e.g., supplemental interventions) when needed to enable them to succeed in these courses/programs, **then** more students will enroll in appropriate advanced placement and CTE certification programs, **and** each student will succeed in advanced placement courses or career and technical education certification programs.
Strategy Performance Measure (Indicator)	% of students this year enrolled in advanced placement or CTE as percentage of all students
Target for this year	52%
Performance Results	35%

School B's performance data indicate that milestone targets for advanced placement and CTE were not met. Implementation data indicated they struggled with completing many actions, and more guidance is needed on designing instruction aligned to advanced placement and CTE instruction. The school's Leadership Team concluded that based on implementation data and monthly discussion with the district technical assistance contact, they lacked the capacity to implement the large number of milestones and actions in their plan. They are continuing some milestones in year 2 and moved a number to year 3. In addition, teams reviewed actions and prioritized and narrowed down the number of actions. They are requesting more assistance in managing and implementing their plan.

Table 11: District X Performance Data—Year 1

Organization	District X
Goal	All students will develop learning acquisition (metacognitive) skills appropriate to their grade level and growth trajectories.
Goal Performance Measure (Indicator)	% students earning a rating of Well Done or better on annual examination by teachers of Learning Acquisition Portfolio
Target for this year	No Target–Actual will become Baseline
Performance Results	72%
Strategy	**If we** develop grade-level guidelines for Learning Acquisition Portfolios, **then** teachers will facilitate creation of the portfolios for all students, **and** all students will develop learning acquisition (metacognitive) skills appropriate to their grade level and growth trajectories.
Strategy Performance Measure (Indicator)	% of teachers whose students created a Learning Acquisition Portfolio
Target for this year	No Target–Actual will become Baseline
Performance Results	86%

District X set its baselines for its milestones this year because the Learning Acquisition Portfolio was a new program and no data were available. The district ended the year with a high completion rate for its actions (93%) and its milestones (88%). Its Leadership Team concluded that it is on track and made minor adjustments to its Year 2 milestones and actions.

Table 12: State of Anywhere Performance Data—Year 1

Organization	State of Anywhere
Goal	Each student will be actively engaged in college, career preparation, military service, and/or competitive employment one year after graduation.
Goal Performance Measure (Indicator)	% graduates enrolled in two- or four-year college for fall of year following graduation
Target for this year	41%
Performance Results	43%
Strategy	**If we** support schools through a flexible, comprehensive state accountability system that includes graduation rate and first-year post-secondary engagement results, **then** educators will employ student engagement, re-engagement, and alternative learning opportunities as needed, **and** students will graduate and become actively engaged in college, career preparation, military service, and/or competitive employment one year after graduation.
Strategy Performance Measure (Indicator)	% of districts with designated student re-engagement programs
Target for this year	50%
Performance Results	48%

The **State of Anywhere** provided supports to districts on the use of the state growth model, yet instruction continues to be a concern. The SEA actions related to gathering research on personalized learning practices by identifying schools and districts implementing some of the practices were behind schedule early in the year and never recovered. This delayed valuable guidance, information, and resources that could have assisted districts and schools in designing and delivering more personalized instruction. The SEA Leadership Team elevated expectations in its Year 2 plan to make up for lost time. The SEA examined

differentiated technical assistance to districts to support effective implementation of standards and aligned assessments as part of the statewide growth model, utilized the research they had gathered on personalized learning, and adjusted their strategy to support districts in making stronger connections between growth data, standards-based instruction, and strategies to personalize learning.

Interlacing the Performance Data

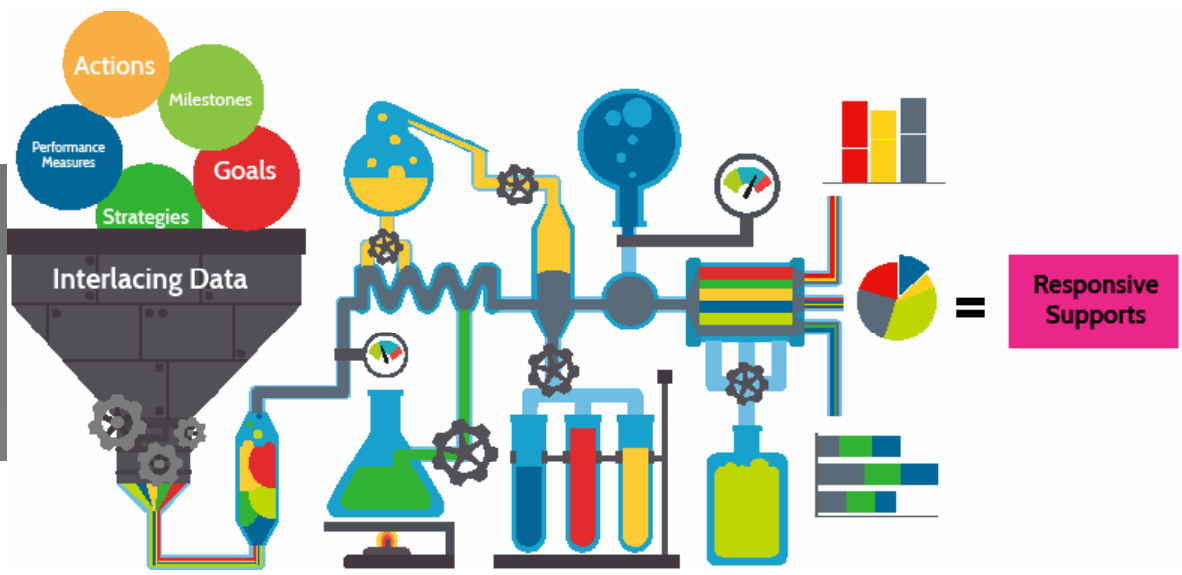
Performance data is derived from the performance measures for each organization's goals and strategies. The goals are based on desired student outcomes. The strategies describe the organization's major initiatives in pursuing the goals. Annual accounting of progress on goal and strategy performance measures, then, is an indication of the education system's effectiveness as well as the strengths and weaknesses of each organization's efforts. As with implementation data, coding of goal and strategy topics enables analysis of data across organizations and across system levels, even though each organization retains autonomy in setting its direction, including determining its goals and strategies.

Responsive Supports Based on Performance Data

The scenario is an example of how a multi-organization system of strategic performance can result in interlaced data to identify successes and issues at one or more levels within and across organizations. The first response to performance data is from the organization itself, considering its progress toward student goals and organizational strategies. The organization adjusts its milestones and actions for the coming year, and it may reconsider strategies although a single year's data is typically not sufficient to determine the efficacy of a strategy.

Responsive supports from outside the organization may come from external service providers, renegotiating their services in light of the data, or from other organizations (district responding to school data; state responding to district and school data). In addition to adjustments in supports for individual districts and schools, the state, through the interlacing of data, sees larger, system patterns that may shift its broader-gauged technical assistance programs.

The SPM process builds a system of supports focused on implementation and performance results, but this is just one facet of the power of SPM. The next section describes how SPM also addresses the vulnerabilities of a results-based approach to organizational management by utilizing three lenses (best practice, innovation, and productivity) to incorporate and strengthen sound practices.



Part IV: Best Practice, Productivity, and Innovation

Plugging Holes in a Results-Based Approach

The idea of a results-based approach to organizational management and improvement isn't a new one. It seeped into education along with the standards movement and SMART goals in the 1980s. When the National Commission on Excellence in Education released *A Nation at Risk* in 1983, it made a common practice of business and industry an urgent necessity for education. Standards and Expectations were one of its five recommendations to restore America's competitive position in the world. Just two years earlier, George T. Doran, a consultant and former Director of Corporate Planning for Washington Water Power Company published a paper titled "There's a S.M.A.R.T. Way to Write Management's Goals and Objectives" (1981). Today, content standards, standards-based assessments, and SMART goals permeate the education system. The focus on "results" is at home in education as much it is in big business.

The results orientation requires an objective (goal), a way to measure progress (indicator), and a time parameter (target date). In Doran's original definition of a SMART goal, the formulation also included assignability (responsible people) and an analysis that concludes the whole construction is realistic given available resources. What a SMART goal doesn't include is the route most likely to achieve the goal. In other words, the pathway is not part of the goal. Similarly, content standards and their assessments are ends without means—the "results" do not contain within them the strategies and practices that are most potent in their pursuit. This allows for nonproductive effort, churning away at strategies and practices without considering that alternative strategies and practices might be more effective.

Another vulnerability of a results orientation is that the measure becomes the focus of the effort. Choi, Hecht, and Taylor (2013) call this pitfall "surrogation." The "consequence of aligning strategy and performance measures is that managers may lose sight of the strategic construct(s) the measures are intended to represent, and subsequently act as though the (imperfect) measures *are* the constructs of interest" (p. 2). For example, we often focus more on the standardized tests (what they are, how to administer the tests, the scoring and reporting of test results), rather than on the content the tests are meant to measure. Diverting the organizational eyes from the goal and the strategies for its pursuit to the measurement of progress de-emphasizes the strategic pathway and thwarts innovation. Innovation is the discovery of a different way that is also a better way, altering the pathway to more readily achieve the outcome. The pathway is the variable.

The greatest impact of the standards movement has been the setting of standards for the results students are expected to achieve rather than the setting of standards for what teachers and school leaders are expected to do in the performance of their professions. The logic for content standards, similar to the logic for school accountability, is that if educators are accountable for the results students achieve, they will surely figure out ways to reach those marks. The influence of this results-based approach is seen in most school improvement processes—set a SMART goal for student outcomes, and you will somehow see what the adults need to do so that the students reach the goal. This assumption also underlies strategic performance management—an organization, given a process to construct its own goals, will surely select the best strategies to achieve the goals. Strategic Performance Management (SPM), however, includes safeguards to ensure that organizational management and improvement proceed toward results with due consideration for sound practice, productivity, and innovation.

Strategic Performance Management

SPM is a positive and continuous process that sets an organization in motion, every person in it engaged in designing, carrying out, reviewing, and improving upon coordinated work aimed at aspirational goals. In that sense, SPM is forward-looking and ambitious. Goal pursuit, in fact, is always forward-looking, and SPM's Performance and Innovation Cycle offers frequent opportunities to gauge progress toward a goal and adjust course. SPM is basically a *results-based* approach to improvement, but not that alone. A strictly results-based approach to improvement suffers from an inherent flaw; it neglects the significance of choices made on the path to the goal. In education, the choices are called strategies or practices. Attention to sound practice adds considerable traction to the moving wheels of change, and only in contrast to the current best practice can an innovation be confirmed.

SPM addresses the vulnerabilities of a results-based approach to organizational management and improvement by introducing three lenses through which strategies are selected. The lenses are:

- Best Practice Lens
- Productivity Lens
- Innovation Lens

Similarly, the three lenses are employed as the strategic direction is activated, with action plans developed by teams, implementation progress reported routinely, and performance measures attached to goals and strategies. At each decision point, the team is asked to consider best practice, more productive alternatives to the current course, and innovations that would produce better results. In this attention to the pathway to the goal—the strategies, practices, and actions selected—SPM plugs holes in a strictly results-based approach to organizational management and improvement.

Benchmarks for Sound Practice

Especially at the school level, results-based improvement processes can be strengthened by incorporating and bolstering specific sound practices. The question arises: What is sound practice? Knowing it, we would surely adopt it and make it part of the chugging and churning of SPM. Sound practice in education has gone by many names, each with its own distinctions. Various schemes for identifying sound (best) practice have been constructed over the years (see Appendix A), and these itemized practices have served as guideposts or benchmarks, especially for improvement at the school level.

Levels of Evidence

The level of evidence for a practice's soundness has also been given various labels, including: best practice, evidence-based practice, research-based practice, effective practice, scientifically based practice, promising practice, and emerging best practice. School improvement programs typically recommend that local improvement plans include at least one study on an intervention to provide *strong evidence*, *moderate evidence*, or *promising evidence*. In current parlance, as per the U.S. Department of Education's (2016) non-regulatory guidance relative to the Every Student Succeeds Act of 2015, evidence-based practice can be categorized according to criteria as provided in the Appendix B.

The Grand Synthesis in SPM: Sound Practice, Productivity, and Innovation.

So what is the role of sound practice, regardless of what it is called, in SPM? One could argue that the entire SPM process is sound practice because it provides a well-specified logic model informed by research or evaluation. After all, strategic planning and performance management have been studied over the years, as seen in the research literature contained in journals such as the *Global Journal of Management and Business Research*, *Strategic Management Journal*, and *Journal of Business Research*. However, sound practice in SPM goes deeper than the overall process itself. SPM guides decision makers in considering the triad of best practice, productivity, and innovation in making decisions at multiple points in the process.

A strategy is written as a theory of action (**If we** as a state education agency [SEA] or a local education agency [LEA]..., **then** educators will be able to..., **and** students will...) The **and** portion of the statement points back to an organizational goal for students. The best practice lens is applied to the **then** part of the strategy statement. Is what the SEA or LEA wants educators to do as a result of its work reflective of sound practice? In other words, is the SEA or LEA, through the strategy, encouraging and creating the right conditions for the districts and schools to seek and implement best practices? For example, one SEA strategy is to create conditions for educators to deliver more personalized instruction to students. Through a best practice lens, the SEA leadership would examine the *soundness* of personalized learning practices before choosing this as a strategy. If the **If we** of the SEA strategy is to provide differentiated technical assistance to its districts and schools so that they can implement a reading initiative, the SEA leadership would ensure that the initiative stood up to a test of soundness (best practice at a level of evidence deemed appropriate to the SEA).

The SPM also utilizes an "innovation lens" throughout the process not only to encourage innovation, but to foster a culture for innovation which is "the consequence of behaviors, of processes, procedures, and expectations that are embedded in scientific methods" (Redding, Twyman, & Murphy, 2016, p. 2). But what does innovation have to do with sound practice? Redding, Twyman, and Murphy (2013) remind us that an innovation is not just

> a different way of doing something, it is also a *better* way of doing something. In education, an innovation is a deviation from the standard practice that achieves greater learning outcomes for students than the standard practice given equal or lesser amounts of time and resources. (p. 3)

The foundation of an innovation is an improvement on a sound practice that has evidence that it works. Establishing evidence that the new practice is an effective improvement over the standard practice is challenging, but evidence can be gathered through formative evaluations over an initial implementation period before engaging in validation using more demanding research standards.

Redding et al. (2016) also note that processes of *continuous improvement* (narrowing the gap between actual practice and standard practice) and *innovation* (creating and validating practices that improve upon standard practice) occur simultaneously in an organization intent upon getting better at what it does. The Performance and Innovation Cycle in SPM engages SEA or LEA leadership and staff in continuously examining their standard practices and seeking innovative ways of conducting their work. The cycle is not only used to report and manage performance—it can also be used to gather formative evaluation data on specific innovative practices related to the organization's strategies, milestones, and actions. It also provides the structure to support study of the innovative practices so strong, moderate, or promising evidence can be collected and disseminated to expand the use of the innovative practices. Eventually those innovative practices will become the "standard" by which the organization and its people strive to improve further. Thus, the SPM process fosters an innovative process and assists the organization in striking a balance between sound standard practices and the development and use of innovative practices that can improve productivity.

Productivity, in fact, is the third lens through which organizations using SPM view the selection of strategies, practices, and actions and make adjustments in course based on implementation and performance data. Given available resources, what is the most expeditious pathway to the goal?

Conclusions

As an essentially results-based approach to organizational management, SPM is susceptible to the vulnerabilities of any results-based approach: (1) surrogation of measures for strategic constructs; (2) adoption of strategies, practices, and actions that are not likely to achieve the desired results; (3) selecting pathways to goals that do not make the best use of available resources; and (4) stifling innovation. But through its decision-making lenses at key points in the process, both in its initial implementation and continuing through its performance cycle, SPM plugs holes in a strictly results-based approach. Sound practice, productivity, and innovation, infused into the SPM process, give traction to the system.

Appendix A: Ways to Identify Sound (Best) Practice

1. **Effective Schools.** Choosing the 1970s as a point in time to begin this discussion, we find the effective schools movement. In part a response to the massive Equality of Educational Opportunity Study (Coleman, 1966), also known as the Coleman Report, which reported that family background, teacher characteristics, and social context were more predictive of academic attainment than level of educational resources, the effective schools research sought differentiators between schools that resided in school practices rather than in resources or student demographics. Ron Edmonds, primarily from his work at Harvard's Center for Urban Studies, was a significant contributor to effective schools research, launching a simple list of effective school correlates that was embellished by other researchers over the years. Edmonds' 1979 article, *Effective Schools for the Urban Poor*, listed just six characteristics of schools that attained exemplary results with poor children:
   - Strong administrative leadership
   - High expectations
   - An orderly atmosphere
   - Basic skills acquisition as the school's primary purpose
   - Capacity to divert school energy and resources from other activities to advance the school's basic purpose
   - Frequent monitoring of pupil progress
2. **What Works.** In 1986, the U.S. Department of Education published a booklet of practical knowledge called *What Works: Research on Teaching and Learning*. A layman's presentation of the best sense of experts on a range of topics of advice for the home (8 research findings), the classroom (19 research findings), and the school (14 research findings), *What Works* reduced research to a set of succinct research findings upon which the experts commented and cited related publications. This set of 41 research findings (stated as brief principles) was larger in number than Edmonds' effective school correlates, incorporating home and classroom factors as well as characteristics of the school.

   The What Works Clearinghouse (WWC), established in 2002, is administered by the Institute of Education Sciences (IES) within the U.S. Department of Education. The WWC website provides scientific evidence on education programs, products, practices, and policies. The website "offers more than 700 publications and catalogs and more than 11,000 reviewed studies in its database" (Fleischman, Scott, & Sargrad, 2016, p. 12).

   For a few years, the U.S. Department of Education sponsored a Doing What Works website that curated descriptions of programs and strategies that demonstrated efficacy (though not necessarily to the standards of the WWC). The descriptions included interviews with practitioners and examples of practical tools. The Doing What Works website was terminated in 2013 when the Department of Education reported that it lacked the funds to maintain the project.
3. **Evidence-Based Programs.** The Results First Clearinghouse Database website "was created by Results First, a project funded by The Pew Charitable Trusts and the John D. and Catherine T. MacArthur Foundation to identify evidence-based programs in education and other related fields. It provides links to eight clearinghouses that review a total of nearly 1,300 programs for their effectiveness" (Fleischman et al., 2016, p. 12).
4. **Best Evidence.** The Best Evidence Encyclopedia, sponsored by Johns Hopkins University School of Education's Center for Data-Driven Reform in Education, "offers access to research syntheses and program reviews of more than 900 programs and approaches in the areas of math, reading, science, early childhood, and whole-school improvement" (Fleischman et al., 2016, p. 12).
5. **Turnaround.** At the beginning of the era of school turnaround, the IES published a practice guide titled *Turning Around Chronically Low-Performing Schools* (Herman et al., 2008). The practice guide advanced the following four recommendations with 17 specific practices aligned to them:
   - Signal the need for dramatic change with strong leadership
   - Maintain a consistent focus on improving instruction
   - Provide visible improvements early in the turnaround process (quick wins)
   - Build a committed staff

   In 2017, the Center on School Turnaround at WestEd, based now on several years of national experience with turnaround, released its *Four Domains of Rapid School Improvement: A Systems Framework*. The four domains are:
   - Turnaround Leadership
   - Talent Development
   - Transformational Instruction
   - Culture Shift

   To the four domains are assigned 22 practices, each with roles for the state, district, and school.
6. **Behavioral (Implementation) Indicators.** Margaret C. Wang, as director of the Laboratory for Student Success (LSS), a Regional Educational Laboratory based at Temple University, developed one of the first comprehensive school models validated by the U.S. Department of Education for the Comprehensive School Reform Demonstration Program (CSRDP)

in 1998. The model, called Community for Learning (CFL), was based on Wang's research and the adaptive learning environments model (ALEM; Wang, 1992). Wang's ALEM and CFL were characterized by very specific, typically single-variable essential elements (behavioral indicators) organized under critical dimensions. Redding (2006), writing for the LSS, advanced Wang's methodology with the itemization of more than 100 "success indicators."

In 2005, Temple University became a partner with the Academic Development Institute (ADI) in the national Center on Innovation & Improvement (CII). CII continued the work begun by Wang and others at LSS, publishing several books and monographs itemizing specific indicators of effective practice. CII's *Handbook on Restructuring and Substantial School Improvement* (Walberg, 2007) synthesized research on each level of the education system and itemized 168 indicators of effective practice. The *Handbook* received an Outstanding Publication of the Year award from Division H of the American Educational Research Association. In 2012, Temple and ADI partnered in the national Center on Innovations in Learning (CIL), published new indicators of effective practice on personalized learning, and continued to provide resources related to indicators of effective practice in other domains. In CIL's *Handbook on Innovations in Learning*, Redding (2013) contributed a chapter devoted to the logic of an indicator-based improvement process.

Appendix B: Summary of Recommended Study Criteria for Each Evidence Level

From Non-Regulatory Guidance: Using Evidence to Strengthen Education Investments

U.S. Department of Education, 2016

https://www2.ed.gov/policy/elsec/leg/essa/guidanceuseseinvestment.pdf

	Strong Evidence	Moderate Evidence	Promising Evidence	Demonstrates a Rationale
Study Design	Experimental study	Quasi-experimental study	Correlational study with statistical controls for selection bias	Provides a well-specified logic model informed by research or evaluation
WWC Standard	Meets WWC Evidence Standards without reservations (or is the equivalent quality)	Meets WWC Evidence Standards with or without reservations (or is the equivalent quality)	N/A	N/A
Favorable Effects	Shows a statistically significant and positive (i.e., favorable) effect of the intervention on a student outcome or other relevant outcome	Shows a statistically significant and positive (i.e., favorable) effect of the intervention on a student outcome or other relevant outcome	Shows a statistically significant and positive (i.e., favorable) effect of the intervention on a student outcome or other relevant outcome	Relevant research or an evaluation that suggests that the intervention is likely to improve a student outcome or other relevant outcome
Other Effects	Is not overridden by statistically significant and negative (i.e., unfavorable) evidence from other findings in studies that meet WWC Evidence Standards with or without reservations (or are the equivalent quality)	Is not overridden by statistically significant and negative (i.e., unfavorable) evidence from other findings in studies that meet WWC Evidence Standards with or without reservations (or are the equivalent quality)	Is not overridden by statistically significant and negative (i.e., unfavorable) evidence from other findings in studies that meet WWC Evidence Standards with or without reservations (or are the equivalent quality)	An effort to study the effects of the intervention, ideally producing promising evidence or higher, will happen as part of the intervention or is underway elsewhere
Sample Size and Overlap	Includes a large sample and a multi-site sample, overlapping with populations and settings proposed to receive the intervention	Includes a large sample and a multi-site sample, overlapping with populations or settings proposed to receive the intervention	N/A	N/A

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At the BSCP Center website (www.bscpcenter.org) see:

- Section on **Performance** for additional information and materials about Strategic Performance Management
- Section on **Communication** for information about organizational communication, including a communication tool box

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FOUR DOMAINS FOR RAPID SCHOOL IMPROVEMENT

A Systems Framework

The Center on School Turnaround at WestEd

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http://centeronschoolturnaround.org

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Contents

Introduction **1**
The Framework: Responsibility at Each Level of the Education System 2

Domain 1: Turnaround Leadership **4**
Practice 1A: Prioritize improvement and communicate its urgency 5
Practice 1B: Monitor short- and-long term goals 6
Practice 1C: Customize and target support to meet needs 7
Framework Self-Reflection for Domain 1: Turnaround Leadership 8
References for Domain 1 and its Practices 9

Domain 2: Talent Development **11**
Practice 2A: Recruit, develop, retain, and sustain talent 12
Practice 2B: Target professional learning opportunities 13
Practice 2C: Set clear performance expectations 14
Framework Self-Reflection for Domain 2: Talent Development 15
References for Domain 2 and its Practices 16

Domain 3: Instructional Transformation **18**
Practice 3A: Diagnose and respond to student learning needs 19
Practice 3B: Provide rigorous evidence-based instruction 20
Practice 3C: Remove barriers and provide opportunities 21
Framework Self-Reflection for Domain 3: Instructional Transformation 22
References for Domain 3 and its Practices 23

Domain 4: Culture Shift **25**
Practice 4A: Build a strong community intensely focused on student learning 26
Practice 4B: Solicit and act upon stakeholder input 27
Practice 4C: Engage students and families in pursuing education goals 28
Framework Self-Reflection for Domain 4: Culture Shift 29
References for Domain 4 and its Practices 30

Conclusion **32**

Domain- and Practice-Specific References **33**
Domain 1: Turnaround Leadership 33
Domain 2: Talent Development 35
Domain 3: Instructional Transformation 38
Domain 4: Culture Shift 41

Appendix: Project Methods **44**

Introduction

Struggling schools, along with the many local and state efforts to improve them, are nothing new. But the challenge to make dramatic and sustainable improvements in our lowest performing preK-12 schools first gained national attention in 2001 with the advent of No Child Left Behind and its restructuring mandate. In 2009, the Obama administration then extended that challenge, making rapid and significant school improvement, commonly referred to as school turnaround, a top priority under the U.S. Department of Education's School Improvement Program and its Elementary and Secondary Education Act waivers. Yet despite a continued and intense local, state, and federal focus on turnaround over the past 15 years, improvement efforts have yielded mixed results, with individual turnaround schools appearing as islands of excellence in a sea of otherwise frustrated expectations.

What educators and policymakers have learned during this period of intense focus on turnaround is that the always-challenging endeavor of significantly improving the performance of individual schools is most likely to be successful when receiving support from beyond the individual school and its community. Rapid improvement can be bolstered or stalled by the system within which a school operates, a system that, in addition to the school itself, encompasses the state education department and the local district. To the extent that this broader system — state, district, school — is recast to actively support dramatic school improvement across the board, it will allow us to progress beyond the current state of having islands of excellence to a point where all schools are able to provide all students with the education they deserve.

To support educators in creating such systems, the Center on School Turnaround at WestEd (CST) has developed a framework to assist states, districts, and schools in leading and managing rapid improvement efforts. The framework shares, in practical language, the critical practices of successful school turnaround in four domains, or areas of focus, that research and experience suggest are central to rapid and significant improvement: turnaround leadership, talent development, instructional transformation, and culture shift. At a more fine-grained level, the framework then offers examples of how each practice would be put into action at each level of the system.

The framework was created by a CST task force, with input from CST's leadership team as well as from members of the Network of State Turnaround and Improvement Leaders (NSTIL) Advisory Council, which includes SEA personnel from across the country who are responsible for school turnaround in their respective state. The framework is based on what has been learned from the research on turnaround, including lessons from improvement work under NCLB and promising practices from among the SIG efforts, as well as from the experience of CST's turnaround experts and partners. (For more information about the underlying methods, see the appendix.)

When conscientiously and collectively put into action, the practices identified within the domains may lead to progress across those areas. Implemented effectively, the practices in the framework should not only help students assigned to failing schools, but, by creating a system that better supports students in these schools, should have a cascading effect that improves the ecosystem of all schools. The intended audience for this framework are SEA staff and district and school leaders.

The framework was drafted before the advent of Every Student Succeeds Act (ESSA) provisions explicitly requiring that interventions for the lowest performing schools meet one of the top three levels of evidence.[1] The framework is not intended to meet the highest ESSA evidence standards or to lay out a series of interventions; rather, its purpose is to organize and provide a framing for the field's learnings about rapid school improvement efforts and about how improvement decisions made at any level could have a lasting impact across every level of the system.

The framework reflects the understanding that local context and implementation influence the outcomes of any improvement initiative.[2] It further reflects lessons learned from the federal School Improvement Grants program:[3]

- a successful school turnaround requires a systems approach with coherent guidance and support from the state and district to complement the actions of the school; and
- a successful school turnaround is more than the initial jolt of bold changes in structure, authority, and personnel; it includes phases in which effective practices and processes are routinized and sustained.

Furthermore, turnaround has proven to be hard work; it is not a linear process with defined steps that guarantee positive results. This framework should not be seen as a "magic bullet." As stated previously, context matters in terms of implementation and impact. Instead, this framework organizes the issues that state, district, and school leaders should consider when planning for a successful and sustainable turnaround. Decisions about what practices to implement when, and how, should take into account the particular needs and context of a turnaround effort.

The framework reflects the multifaceted and interrelated aspects of turnaround as currently understood; it will evolve as further research clarifies and affirms the components of a successful school turnaround.

The Framework: Responsibility at Each Level of the Education System

The domains and practices identified in the framework that follows apply across the system of the state education agency, the local education agency, and the school. As noted earlier, for each practice, the roles of the state, the district, and the school are briefly outlined, providing examples of their reciprocal roles in successful school improvement efforts. The domains are not meant to be considered in isolation, or to be approached in a step-by-step manner. The domains and practices overlap, with some consistent threads tying them together, including the need for clear goals and expectations, for tailored support, and for accountability to encourage a positive environment that is focused on improving student achievement in the lowest performing schools. Further, the practices are not provided in a suggested order of implementation. A turnaround plan should consider the most appropriate

1 For the U.S. Department of Education's guidance on levels of evidence, see https://www2.ed.gov/policy/elsec/leg/essa/guidanceuseseinvestment.pdf

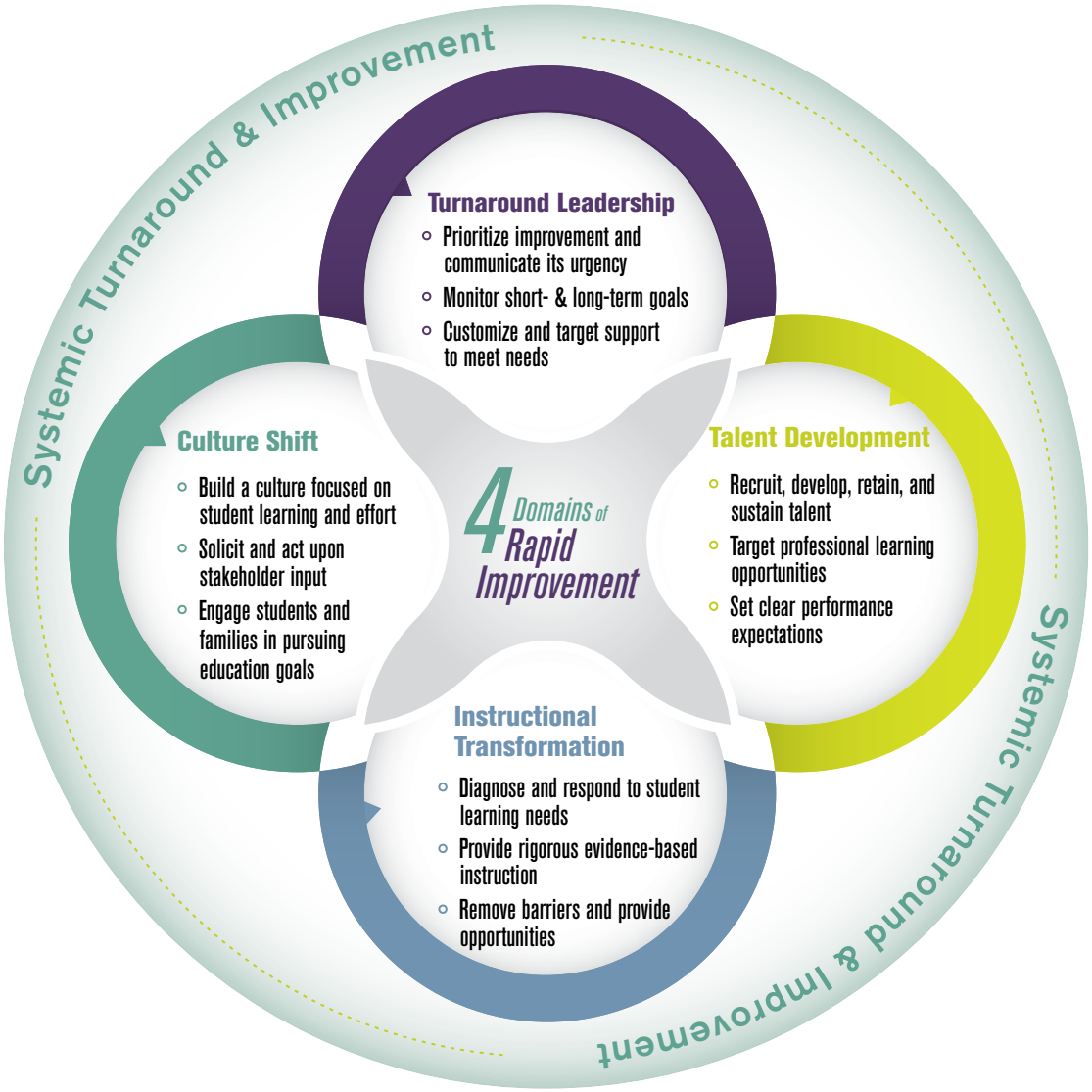
2 McLaughlin, M. W. (1987). Learning from experience: Lessons from policy implementation. *Educational Evaluation and Policy Analysis, 9*(2), 171–178.

3 School Improvement Grants (SIG) were grants to state education agencies that were awarded as competitive subgrants to local education agencies to improve the lowest performing schools. SIGs are authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act.

prioritization of the implementation of practices. Ideally, many practices will be implemented simultaneously, but it would be difficult and even counterproductive to focus on too many areas or practices at once.

Figure 1, below, provides an overview of the framework, serving as an introduction to the four domains and the practices within each one. Following it are the descriptions of the domains and their practices.

Figure 1. Four domains of rapid improvement



Domain 1: Turnaround Leadership

Domain Descriptor: Turnaround leaders at the state, local district, and school levels drive initiatives to facilitate rapid, significant improvement for low-performing schools. Because the state education agency, districts, and schools function collectively as a system, leaders' initiatives at any one level of the system affect other levels.[4] At all levels in the system, leaders make it a priority to elevate the performance of low-achieving schools, and they communicate the urgent need for turnaround so that all students receive the high-quality education they deserve.[5] The policies, structures, resources, and personnel leaders put in place to rapidly and significantly improve the schools reflect the leaders' strong commitment to this work.[6] Turnaround leaders catalyze and organize the coordinated work of the staff charged with implementing efforts to rapidly improve schools, harnessing their efforts and drawing them to a shared vision of success.[7] Leaders at all levels understand their role in ensuring turnaround; they develop and execute data-informed turnaround plans that are customized to local needs to guide and monitor turnaround initiatives; and they accept responsibility for results.[8]

4 Kowal, Hassel, & Hassel, 2009; Player, Hitt, & Robinson, 2014; Zavadsky, 2013

5 Leithwood, Harris, & Hopkins, 2008

6 Day, 2009; Hitt, 2015; Meyers & Hitt, 2017

7 Brady, 2003; Lane, Unger, & Souvanna, 2014

8 Strunk, Marsh, Bush-Mecenas, & Duque, 2015

Practice 1A: Prioritize improvement and communicate its urgency

Practice Description:

- Set the strategic direction for turnaround, and establish clear policies, structures, and expectations for constituents to work toward ambitious improvement goals.[9]
- Articulate a commitment to turning around the lowest-performing schools and advocate fiercely across audiences for these schools.[10]
- Closely monitor, discuss, report, and act upon the progress of schools undertaking rapid improvement.[11]

Examples of How Different Levels of the System Can Enact This Practice:[12]

State. Establish an office or core cadre of personnel responsible for supporting policy, programmatic, and implementation efforts to lead turnaround initiatives. State leaders advocate the social and moral imperative of school turnaround through multiple public forums, leveraging communication and other strategies to garner parent and community support.

District. Identify a senior district official to lead a team that oversees local turnaround initiatives, including overseeing principal support and development, policy development, districtwide data analysis, and overall strategy direction. The superintendent articulates the need for turnaround, connecting the state's championing of it to local contexts and inviting local community members to further inform implementation efforts, policy, and resource distribution.

School. Develop leadership teams and, within the school staff, build leadership capacity for turnaround. Increasingly distribute leadership among faculty and staff to solidify commitment, increase collaboration, and provide faculty and staff with new challenges to keep them meaningfully engaged in the turnaround effort. Share turnaround priorities with students, faculty, and the school community, leveraging local media outlets to announce the school's commitment to change and to enlist parent and community partners in the effort.

9 Lane et al., 2014; Murphy, 2010; Player & Katz, 2016; Stringfield, Reynolds, & Schaffer, 2008

10 Herman, Dawson, Dee, Greene, Maynard, Redding, & Darwin, 2008; Rhim & Redding, 2014

11 Matthews & Sammons, 2004; Player, Kight, & Robinson, 2014

12 The roles noted in this framework are examples and are not meant to be an exhaustive list of the role of the state, district, and school in any given domain or practice area.

Practice 1B: Monitor short- and long-term goals

Practice Description:

- Develop goals informed by assessments of recent performance trends, and identify practices aimed at realizing a clearly articulated turnaround vision of significantly improved student learning.[13]
- Establish milestones for gauging progress. Continually update timelines and tasks to maintain the pace needed to accomplish meaningful goals quickly.[14]
- Respond to regular feedback on progress toward goal-directed milestones, and make timely changes in policy, programs, and personnel to get on track in achieving desired results for students.[15]
- Capitalize on initial turnaround successes and momentum to shift the focus from change itself to incorporating and establishing effective organizational processes, structures, and interactions that contribute to continuous organizational improvement.[16]

Examples of How Different Levels of the System Can Enact This Practice:

State. Create overarching expectations for improved student outcomes that are clearly articulated and measurable and that can be adapted for local contexts. Share clear expectations for high-performing schools, along with aspirational examples of such schools that have made rapid improvement.

District. Provide intensive, tiered support to principals and school leadership teams to help them develop action items, timelines, and responsibilities aligned with their school's turnaround plan. Provide access to data to inform goal-directed milestones, including markers for implementation, changes in professional practice, and interim and annual student assessments. Provide schools with resources, time, and concrete feedback to support them in refining and advancing their turnaround plan.

School. Develop and update the turnaround plan to ensure that it has clear short- and long-term goals. Monitor the progress of strategy implementation and make changes in personnel, programs, and methods as needed to keep the effort on track. Intervene swiftly if waning progress is detected.

13 Duke, 2015; Knudson, Shambaugh, & O'Day, 2011
14 Hanushek & Raymond, 2004; Strunk et al., 2015
15 Johnson & Asera, 1999; Player et al., 2014
16 Herman et al., 2008; Public Impact, 2007

Practice 1C: Customize and target support to meet needs

Practice Description:

- Provide customized, targeted, and timely support for turnaround efforts.[17]
- Align support to ensure coherence and integration with other necessary initiatives; eliminate unnecessary initiatives.[18]
- Regularly monitor progress to identify support needs and then act quickly and competently to address those needs.[19]

Examples of How Different Levels of the System Can Enact This Practice:

State. Conduct site visits to monitor plan implementation, and target district support based on identified priorities and progress. As an incentive to drive change, allow earned autonomy for local leaders in making key decisions. Share templates and tools to enable local leaders to make the best decisions. Provide professional learning activities for district and school leaders to establish and strengthen organizational leadership.

District. Provide tailored support to each school based on deep root-cause analysis and needs assessment to inform the school's priorities. Customize each school's level of autonomy for personnel hiring, placement, and replacement and other key decisions based on school capacity.

School. Identify the priority needs of the school, focusing on three to five immediate priorities. Request flexibility from established policies and/or procedures as justified by the data, turnaround plan, and school capacity.

17 Baroody, 2011; Player et al., 2014; Salmonowicz, 2009

18 Newmann, Smith, Allensworth, & Bryk, 2001; Zavadsky, 2013

19 Herman et al., 2008; Hochbein, 2012; O'Day, 2002

Framework Self-Reflection for Domain 1: Turnaround Leadership

- What are your school turnaround goals?
- How do you define success regarding meeting school turnaround goals?
- What structure(s) or processes are in place to assess whether your efforts are successful? Who will be held accountable for creating timelines and updating the team regarding continuous progress?
- How will your progress on data-referenced goals be monitored, tracked, and communicated?
- What measures will be monitored to identify successes and challenges in student outcomes for school turnaround?
- Who will be held accountable at each level to monitor and report changes in student outcomes?
- Who will determine what interim assessments will be administered and analyzed?
- Who will be held accountable for analyzing and reporting the results of the interim assessments?
- How will the results of the interim assessments be reported to everyone involved?
- What tools, systems, and structures need to be established in order to give turnaround school leaders adequate decision-making authority and autonomy?
- How will you publicly advocate for your lowest-performing schools and your turnaround process? What steps need to be established for this advocacy process and who will be held accountable?
- What is your plan for engaging parents and other community stakeholders in your turnaround process?
- How do you define flexibility and how will you offer it to your turnaround leadership?
- What tools, systems, and structures are needed in order to provide flexibility to turnaround leadership?
- How will data be used to customize support for turnaround and improvement efforts?
- How will you consider the sustainability of improvement efforts from the start?

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Domain 2: Talent Development

Domain Descriptor: Turnaround requires competent and committed personnel at every level and in every position.[20] Policies and procedures to identify, select, place, retain, and sustain these personnel, especially teachers and school-level leaders, are a precursor to school turnaround,[21] and staffing of teachers and leaders for turnaround schools should be approached with equity in mind.[22] Turnaround competencies are identified and used to select and develop turnaround teachers, model teachers, and leaders.[23] At all levels, educators utilize and hone their instructional and transformational leadership to build capacity in those they supervise by continually balancing support with accountability.[24]

20 Berry, 2004; Crowther et al., 2009; Darling-Hammond et al., 2007

21 Herman et al., 2008; Guarino et al., 2006; Yatsko et al., 2015

22 Boyle et al., 2014; Trujillo & Renee, 2013

23 Steiner & Barrett, 2012; Steiner & Hassel, 2011

24 Grissom et al., 2013; Hallinger, 2003; Murphy, 2008; Orr et al., 2008; Yatsko et al., 2015

Practice 2A: Recruit, develop, retain, and sustain talent

Practice Descriptor:

- Proactively plan for recruiting and developing talent with turnaround-specific competencies to quickly fill the vacancies which will inevitably occur during the turnaround process.[25]
- Use multiple sources of data to match candidate skills and competencies to school needs, prioritizing the highest need schools.[26]
- Institute succession planning activities by creating in-house district preparation programs designed to foster and generate turnaround competencies to develop future turnaround leaders and teachers.[27]

Examples of How Different Levels of the System Can Enact This Practice:

State. Develop and disseminate human resources practices designed to identify, extend, and support turnaround competencies in leaders and teachers and train districts in the use of these practices. Offer turnaround preparation programs to support the development of aspiring school leaders.

District. Create a model for selection and placement of teachers and school leaders with turnaround competencies, ensuring that turnaround schools have preferential access to teaching candidates. Challenge and support human resources staff to design programs that identify and support the development of potential turnaround leaders and teachers. Develop multiple measures and data sources to closely analyze an individual's turnaround readiness and potential as a turnaround teacher or leader (e.g., observation of candidates over time in various settings).

School. Collaborate with the district to develop a school-specific competency model for turnaround teachers to discern which competencies should be prioritized in the teacher-selection process in this school. Utilize the district turnaround talent pool as the "go-to" source for hiring assistant principals and teachers. Encourage aspiring leaders to participate in turnaround preparation programs.

25 Berry, 2004; Crowther et al., 2009; Darling-Hammond et al., 2007; Guarino et al., 2006; Steiner & Barrett, 2012

26 Berry, 2004; Crowther et al., 2009; Steiner & Barrett, 2012; Steiner & Hassel, 2011

27 Berry, 2004; Darling-Hammond et al., 2007; Epstein et al., 2016; Parsley & Barton, 2015

Practice 2B: Target professional learning opportunities

Practice Description:

- Offer high-quality, individualized, and responsive professional learning opportunities designed to build the capacity needed for rapid school improvement.[28]
- Offer regular opportunities for job-embedded learning including coaching, mentoring, and observation (including peer observations).[29]
- Leverage and maximize the effectiveness of high-performing teachers, coaches, and leaders by using them as models and peer coaches.[30]

Examples of How Different Levels of the System Can Enact This Practice:

State. Provide training to districts on how to develop and implement a teacher professional learning model with individualization and job-embedded processes as the focus. Provide funding preference to professional learning opportunities that reflect these processes. Share examples of how districts and schools have implemented peer coaching, mentoring, and peer observation. Model a willingness to learn and grow. Ensure that development opportunities offered to districts model the formats and principles of effective professional learning.

District. Create timelines and other accountability systems that remind principals to regularly examine teacher performance and to rapidly adjust professional learning plans based on identified needs. Provide district staff with job-embedded professional learning and opportunities to learn side by side with school leaders. Ensure that district-offered professional learning experiences are differentiated, purposeful, targeted, and reflective of what is known about successful adult learning and the turnaround endeavor.

School. Create a cadre of instructional leaders (drawing from assistant principals, department coordinators, team leaders, and teachers with demonstrated instructional coaching capacity) who each respond to the professional learning needs of a manageable portion of the faculty and use data to identify those needs. Provide opportunities for leaders and teachers to learn side by side and share how their own ongoing growth impacts their individual practice as instructional and organizational leaders. Ensure that learning experiences are differentiated, purposeful, targeted, employed in rapid response to identified needs, reflective of what is known about effective adult learning, and clearly connected to the school's turnaround priorities.

28 Borko, 2004; Guskey, 1999; Huffman, 2003; Thompson et al., 2016

29 Aubuchon, 2013; Borko, 2004; Grissom et al., 2013; Huffman, 2003; Little, 1993

30 Darling-Hammond, 1999; Klem & Connell, 2004; Stronge et al., 2007; Wayne & Youngs, 2003

Practice 2C: Set clear performance expectations

Practice Description:

- Create and share expectations for a level of professional performance by every role in the system.[31]
- Develop and implement performance-management processes that include clear means for monitoring progress, flexibility to rapidly respond to professional learning needs, and opportunities to revise milestones as needed.[32]

Examples of How Different Levels of the System Can Enact This Practice:

State. Develop protocols to assist districts in analyzing role expectations and adapting those expectations to support school turnaround. Provide support and tools to help districts establish and monitor milestones.

District. Identify which district-level roles will contribute to school turnaround efforts; review and refine job expectations and descriptions to reflect realistic and high-leverage responsibilities to support rapid school improvement.

School. Define expectations for teachers, clearly and realistically considering how to effectively leverage teacher time and effort. Develop a daily and weekly schedule that reflects this priority of effective use of teacher time. When asking more of a teacher, consider removing another responsibility.

31 Anderson et al., 2014; Lynne Lane et al., 2013

32 Regan et al., 2015; Lynne Lane et al., 2013

Framework Self-Reflection for Domain 2: Talent Development

- Do you use turnaround competencies for the identification of teachers for low–performing schools? If so, what are the turnaround competencies for teachers in your context?
- Do you use turnaround competencies for the identification of principals for low-performing schools? If so, what are the turnaround competencies for leaders in your context?
- If you do not use competencies, how will you identify the skills and aptitudes needed for turnaround leaders and/or teachers? What resources are available?
- What tools, systems, and structures need to be established in order for leaders to maintain a balance of support with accountability at all levels? Do the tools, systems, and structures need to vary depending on the level (state, district, or school)?
- How will you develop a teacher and leader pipeline? What tools, systems, and structures need to be established in order to make this pipeline sustainable?
- Who will be responsible for identifying the hiring needs of turnaround schools?
- How will you create consensus and understanding of teacher placements and assignments? What will you use to match school needs with teacher and leader competencies?
- What are the professional learning needs of turnaround leadership and staff? What steps need to be accomplished to fulfill those needs?
- How will high-performing teachers be leveraged to expand their positive influence outside of just their own classrooms?
- Who will be responsible for providing and leading the professional learning opportunities and experiences for turnaround leadership and staff? How can you ensure that professional learning will be rapid, responsive, and customized?
- Who will be held accountable for setting clear performance expectations for staff? How will they determine those expectations? How will staff be assessed or held accountable for achieving those performance expectations?

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Domain 3: Instructional Transformation

Domain Descriptor: Improvement in student learning outcomes depends on system-wide support for change in the classroom instruction.[33] Effective instructional practice, including strong standards-based instruction,[34] data-based planning,[35] differentiation and individualization,[36] research-based pedagogical approaches,[37] and classroom management,[38] must be identified and supported at the school, district, and broader system level. Schools cultivate an environment of both high expectations and support for students' academic accomplishment.[39] While districts and schools strive to focus their organization's attention on the in-school factors impacting student performance, they also attempt to address factors that are traditionally non-school-based so that every student comes to the task of learning ready for the challenge.[40]

33 Herman et al., 2008; Masumoto & Brown-Welty, 2009
34 Browder et al., 2006; Drake, 2007
35 Anderson et al., 2010; Hamilton et al., 2009; Love et al., 2008
36 Browder et al., 2006
37 Reigeluth, 2013
38 Allen et al., 2013; Weinstein et al., 2004
39 Adelman, 2006; Masumoto & Brown-Welty, 2009; Moore & Emig, 2014
40 Walsh et al., 2014

Practice 3A: Diagnose and respond to student learning needs

Practice Description:

- Diagnose student learning needs and use identified needs to drive all instructional decisions.[41]
- Incorporate effective student supports and instructional interventions.[42]
- Use fluid, rapid assessment and adjustment of instructional grouping and delivery to adapt to student learning needs.[43]

Examples of How Different Levels of the System Can Enact This Practice:

State. Provide incentives around funding and support to LEAs and schools that target staffing improvements that ensure teachers have the time and capacity to diagnose and respond to each student's needs. Provide training on fluid instructional groupings.

District. Develop protocols to assist teachers in drilling down on individual student needs and creating instructional action plans aligned to those needs. Explore creative use of instructional time, which may include but not limited to, options for extended learning such as longer school days, weeks, or summer sessions to support each student's needs. In doing so, any additional instructional time should be structured and staffed to ensure high-quality learning will occur (rather than simply a perpetuation of ineffective practices). Ensure that data sources (e.g., benchmark assessments) exist for teachers to conduct frequent progress monitoring of student outcomes.

School. Regularly examine individual student data, carried out in team meetings, professional learning communities (PLCs), or in other planning sessions as part of teachers' regular work and expectations. Creatively use fluid instructional groupings rather than year-long assignments that may not meet students' (and teachers') needs. For example, when students struggle with a certain concept, they could be assigned temporarily to a teacher whose data demonstrate that he or she teaches it well or differently from the students' current teacher(s), placed in a small group for reteaching, or given individualized instruction. Teachers are given time within the school day to conduct such analysis and develop plans to address identified needs. Teachers are also held accountable for doing so and for carrying out the plans they develop for students.

41 Anderson et al., 2010; Lachat & Smith, 2006

42 Hamilton et al., 2009; Lachat & Smith, 2006; Love et al., 2008; Tomlinson et al., 2003

43 Hamilton et al., 2009; Klute et al., 2016; Love et al., 2008

Practice 3B: Provide rigorous evidence-based instruction

Practice Description:

- Set high academic standards and ensure access to rigorous standards-based curricula.[44]
- Provide supports to ensure evidence is used in instructional planning and facilitation of student learning.[45]
- As gaps are identified in the curriculum or instructional delivery, develop plans to strengthen these key components.[46]

Examples of How Different Levels of the System Can Enact This Practice:

State. Provide district-level leaders with professional learning on state standards that enables them, in turn, to plan and provide learning opportunities that bolster teacher content knowledge when needed. Provide guidance on using evidence to select curricular and instructional supports.

District. Work with schools' instructional leadership teams to refresh, update, and bolster teachers' content knowledge through ongoing professional learning opportunities on rigorous evidence-based instruction. Coordinate vertical alignment such that teachers have an understanding of what their students should have learned the prior year, before entering their classroom, and what their students will be expected to learn the following year. Examine curricular and instructional supports to ensure they are grounded in evidence, rigor, and the state standards.

School. Conduct a curriculum analysis and map lesson plans against standards to ensure the plans adequately represent the standards. Determine whether adjustments and supports are needed to ensure all students have access to the curricula. In each instructional mode utilized — whether whole class, small group, independent work, technology-based, or homework — teachers routinely utilize the best instructional practices for that mode and school leaders support their development of those practices.

44 Browder et al., 2006; Drake, 2007; Herman et al., 2008

45 Andrews & Goodson, 1980; Gustafson & Branch, 1997; Reigeluth, 2013

46 Drake, 2007; Herman et al., 2008

Practice 3C: Remove barriers and provide opportunities

Practice Description:

- Systematically identify barriers to student learning and opportunities to enhance learning opportunities for students who demonstrate early mastery.[47]
- Partner with community-based organizations, such as with health and wellness organizations, youth organizations, and other service providers, to support students in overcoming obstacles and developing the personal competencies that propel success in school and life.[48]

Examples of How Different Levels of the System Can Enact This Practice:

State. Support districts in developing early warning systems to identify students who may be falling behind, giving the school the opportunity for timely intervention. Identify and network with other state-level entities that could serve as partners for schools and districts. Create access to services that districts can tap into in order to meet students' needs that, if left unaddressed, can impede learning (e.g., health care, clothing, nutrition).

District. Identify and remove any artificial barriers (whether policies or practices) that stand in the way of every student having an opportunity to learn at higher levels. Identify the district's most prevalent non-academic barriers to student learning. Disseminate this information to principals, and during meetings with principal supervisors continually revisit how community resources can be leveraged creatively to meet students' basic needs.

School. Track student progress and help students regain lost ground through academic supports (e.g., tutoring, co-curricular activities, tiered interventions), extended learning opportunities (e.g., summer bridge programs, after-school and supplemental educational services, Saturday academies, enrichment programs), credit-recovery programs, and virtual courses. Give students demonstrating sufficient prior mastery access to higher-level assignments and courses. Network with nearby organizations in the community to identify available supports — or to generate new supports — for students. Consider having medical and dental services available on site on a regular basis. Provide on-site laundry service for families in need. Provide food for students during extend learning sessions and other periods when they are at school outside of regular school hours.

47 Cantor et al., 2010

48 Blank et al., 2009; Brownell & Walther-Thomas, 2001; Vita, 2001; Masumoto & Brown-Welty, 2009; Moore & Emig, 2014

Framework Self-Reflection for Domain 3: Instructional Transformation

- How will teachers diagnose each individual student's learning needs? What tools, systems, and structures need to be established?
- How could fluid grouping of students be implemented and supported?
- How will alignment of instruction with standards be facilitated?
- Identify possible barriers to student learning and how each level of the system can work to remove those academic and non-academic barriers in turnaround schools.
- How will teachers guide and track the progress of each student? What tools, systems, and structures need to be established?
- Who will establish these tools, systems, and structures?
- What learning benchmarks will teachers use in order to guide and track the progress of students?
- What types of early warning systems will identify students who may be falling behind? Who will be held accountable for establishing those early warning systems?
- What interventions are used to help students who are falling behind? How might those be adjusted or changed? Who will be included in the team to adjust or change those interventions?
- How can funds be leveraged by your schools to provide additional academic supports, extended learning opportunities, credit recovery programs, and virtual courses? Are there stakeholders who would be willing to financially support these programs?
- How do teachers challenge students that are exceeding their current level of schooling? What types of programs do your schools offer?
- What types of higher-level assessments and courses have your schools offered in the past and have they worked well to challenge gifted or advanced students? What can schools do differently to challenge gifted or advanced students?
- How do teachers give students authentic experiences, in order to connect their interests with real-world applications?
- How do your schools involve community members and stakeholders in offering internships, career exploration, and service learning opportunities? Who will be held accountable for helping make these connections for your students?

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Domain 4: Culture Shift

Domain Descriptor: A successful turnaround depends on many people working together to achieve extraordinary results.[49] Attaining the necessary level of commitment to achieve these results requires a dramatic culture shift toward both high academic expectations and concerted effort.[50] A turnaround culture fuses strong community cohesion with an academic press; one without the other is insufficient.[51] Leadership establishes the structures and opportunities for faculty and staff to work together around common goals, engendering a culture of mutual respect, shared responsibility, and focused attention on student learning.[52] State, district, and school leaders engage families to support their children's learning and the overall turnaround effort.[53] A strong school community attends to the culture both inside and outside the school,[54] gathering input from stakeholders and gauging perceptions about the school and the turnaround effort.[55] Students are challenged and supported to aim higher, work harder, and realize the satisfaction of accomplishment.[56] A positive school climate reflects a supportive and fulfilling environment, learning conditions that meet the needs of all students, people sure of their roles and relationships in student learning, and a culture that values trust, respect, and high expectations.[57]

49 Lambert, 2002; Louis, Leithwood, Wahlstrom, Anderson, Michlin, & Mascall, 2010; Saunders, Goldenberg, & Gallimore, 2009

50 Herman, Dawson, Dee, Greene, Maynard, Redding, & Darwin, 2008; Masumoto & Brown-Welty, 2009

51 Epstein, 2001; Mapp & Kuttner, 2013; McAlister, 2013

52 Herman et al., 2008; Masumoto & Brown-Welty, 2009

53 Epstein & Sanders, 2000; McAlister, 2013

54 Bryk & Schneider, 2002; Louis, 2007

55 Brazer & Keller, 2006; Redding, Murphy, & Sheley, 2011

56 Herman et al., 2008

57 Cohen, McCabe, Michelli, & Pickeral, 2009; Gottfredson, Gottfredson, Payne, & Gottfredson, 2005

Practice 4A: Build a strong community intensely focused on student learning

Practice Description:

- Celebrate successes — starting with quick wins early in the turnaround process — of students, family, teachers, and leaders. Early success promotes an expectation for further success and engenders confidence in the competence of colleagues.[58]
- Provide explicit expectations and support for each person's role (expected behaviors) both in the turnaround and in student progress.[59]
- Create opportunities for members of the school community to come together to discuss, explore, and reflect on student learning.[60]
- Champion high expectations (of self and others), embed them in everyday practice and language, and reinforce them through shared accountability and follow-through on strategies for dramatically improving student outcomes.[61]

Examples of How Different Levels of the System Can Enact This Practice:

State. Provide districts with tools for tracking, analyzing, and sharing data on school performance, professional practice, and student opportunities; share findings and exemplary practices across districts; set policies that require a demanding curriculum for all students.

District. Provide systems and structures to support collaborative district and school work such as dedicated time for reflection and collaboration. Align personnel evaluations with the role expectations for turnaround. Offer opportunities and avenues for sharing turnaround progress and successes.

School. Establish systems (i.e., structures, policies, procedures, and routines) for focused collaborative work; recognize student effort and academic mastery; recognize job satisfaction and camaraderie among staff as essential assets in a turnaround. Maintain a positive, encouraging classroom and school culture for students where students feel safe and supported to share their needs, struggles, and concerns. Recognize each incremental improvement but keep the focus on ultimate results at the student, teacher, and school levels. Celebrate team accomplishments and offer recognition for hard work and improvement. Frequently and openly review and discuss with stakeholders data on turnaround progress (including implementation and leading indicators).

58 Herman et al., 2008; Kowal, Hassel, & Hassel, 2009

59 Leithwood, Harris, & Strauss, 2010; Saunders, Goldenberg, & Gallimore, 2009

60 Louis et al., 2010; Osborne-Lampkin, Folsom, & Herrington, 2015

61 Lambert, 2002; Masumoto & Brown-Welty, 2009

Practice 4B: Solicit and act upon stakeholder input

Practice Description:

- Collective perceptions — held by school personnel, students, families, and the broader community — about the degree to which their school climate is or is not positive is gathered and used to gauge the climate-related work to be done by a school striving for turnaround.[62]
- Stakeholder perceptions are considered when identifying priorities and improving the underlying conditions that contribute to school climate issues.[63]
- Acknowledge and respond to constructive feedback, suggestions, and criticism.[64]

Examples of How Different Levels of the System Can Enact This Practice:

State. Provide instruments and protocols for conducting local perception surveys, forums, and focus groups to districts and schools; provide opportunities for parents and community members to provide feedback at state and local levels.

District. Administer a diagnostic instrument soliciting feedback from school personnel, families, students, and community members early in the turnaround process with periodic follow-up surveys to assess perceptions of the school and the turnaround effort; provide training for school leaders on assessing stakeholder perceptions and acting on what they learn.

School. Learn what constituents think by conducting surveys, forums, focus groups, and suggestion boxes. Share and act on what is learned. Take constituent input into account when making programmatic decisions. Consistently demonstrate that all voices are heard.

62 Redding et al., 2011; San Antonio & Gamage, 2007

63 Brazer & Keller, 2006; McAlister, 2013

64 Thapa, Cohen, Guffy, & Higgens-D'Alesandro, 2013; Smith, & Wohlstetter, 2001

Practice 4C: Engage students and families in pursuing education goals

Practice Description:

- Intentionally build students' personal competencies to pursue goals, persist with tasks, appraise their progress, hone learning strategies, and direct their own learning to further enhance their capacity to learn and succeed.[65]
- Provide students with opportunities to connect their learning in school with their interests and aspirations.[66]
- Meaningfully engage parents in their child's learning, progress, interests, and long-term goals.[67]

Examples of How Different Levels of the System Can Enact This Practice:

State. Require evidence of direct linkage between family and community engagement and student outcomes in turnaround and improvement plans and reports; provide training and resources on family and community engagement; provide professional learning on student goal setting, self-regulation of learning, and family engagement in the student's progress.

District. Provide resources for sharing assessments, interest inventories, and career and college information with students and families; provide planning templates for students to plan coursework and college and career pathways; provide line items in the school budget for resources related to family engagement for the specific purpose of supporting student learning; include information about the school's data-supported progress with family engagement in monthly board reports; set aside time and provide structures for parent groups focused on improved student learning.

School. Programmatically and systematically build students' skills in setting learning goals, managing their learning, and pursuing their goals by charting progress on coursework and towards their postsecondary goals; inform and engage families in planning and supporting their students' education goals; provide students and their families with a full explanation of assessment results and interest inventories to help them make the best decisions; tap community resources and expertise to expand students' understanding of potential careers and education options.

65 Kaplan & Midgley, 1997; Redding, 2014

66 Bryk, Sebring, Allensworth, Luppescu, & Easton, 2010; Masumoto & Brown-Welty, 2009

67 Epstein, 2001; Epstein & Sanders, 2000; Mapp & Kuttner, 2013; McAlister, 2013; Sanders, 2001

Framework Self-Reflection for Domain 4: Culture Shift

- How will you work with your turnaround school leaders and teachers to acknowledge and include their ideas in creating a culture that values effort, respect, and academic achievement?
- How will you invite parents and community members to engage in meaningful dialogue? How will you include their ideas in your process for creating a culture that values effort, respect, and academic achievement?
- How will you include members of the community in your turnaround efforts? How will you encourage them to participate in the turnaround process?
- How will you communicate the progress of your turnaround efforts? Who will be held accountable for this communication at each level? How will the path be made clear to everyone?
- How will you solicit input from stakeholders regarding their perceptions about your schools? What tools need to be created in order to solicit that input? Who will be held accountable in developing and distributing those tools?
- What will you need to do to adjust perceptions about your turnaround schools, if negative, from your stakeholders? How will you show them your turnaround school progress?
- How will you share assessment results explanations with your families? What will need to be in place to ensure that all families have access to this information? How will you assist families in educational planning?

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Conclusion

This framework acknowledges two important understandings about school turnaround — that local context and implementation influence the outcome of any improvement undertaking and that no single strategy alone can yield the scale and scope of improvement that is needed.

Grounded in turnaround and improvement research, and drawing from the experience of a wide range of contributors, the framework offers a set of practices, with related examples, in each of four domains, or areas of focus, that, together, describe a systemic approach to rapid, significant, and sustainable school improvement. The goal is to promote the use and routinization of effective practices so they become part of the culture at all levels of the endeavor to dramatically improve low-performing schools.

To the extent that educators at the state, district and school level are able to implement these practices in a contextualized fashion, a state's education ecosystem is strengthened, with the system bolstering rather than hindering school improvement efforts. In this increasingly supportive ecosystem, dramatic improvement is no longer manifested in "islands of excellence." Instead, these routinized practices positively affect low-performing schools across the board, making excellence the norm rather than the exception. Through these practices, systemic improvement becomes "the way we do business" at the state, district, and school levels.

The framework is not intended to provide an exhaustive list of activities within each practice or even of all practices. Instead, it offers examples, considerations, and practical applications of what it takes to successfully lead systemic efforts to achieve dramatic school turnaround. It is important to emphasize that none of the four domains identified in the framework — turnaround leadership, talent development, instructional transformation, and culture shift — should be considered in isolation. The domains outlined in the framework are designed to focus practices and policies that improve the quality of teaching and learning, improve and develop competent turnaround leadership, and engage schools' communities, students, teachers, parents, and other stakeholders in the implementation of strategic turnaround efforts. As such, each domain and its practices is an integral part of turnaround efforts, building on and from the others. Taken together, the domains provide a comprehensive view of the work needed for turnaround. Ultimately, systemic improvement efforts require a dramatic transformation in how the state, district, and school attend to each domain and implement its critical practices with the aim of achieving successful and sustainable turnaround.

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Domain 1: Turnaround Leadership

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Practice 1A: Prioritize improvement and communicate its urgency

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Practice 1C: Customize and target support to meet needs

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Domain 2: Talent Development

Domain 2 Descriptor

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Appendix: Project Methods

The seeds for this framework were planted in a discussion among members of the Center on School Turnaround (CST) Leadership Team that was focused on what they had learned from the field about rapid school improvement efforts in the years since CST's inception. But after initially focusing on promising efforts, the team decided that a more worthwhile endeavor would be to distill what is known about rapid school improvement from both research and practice, and to examine that knowledge through a systems lens. The aim was to develop a framework for how dramatic school improvement can be mutually fostered, supported, and extended by those at each level of the education system: school, district, and state.

This year-long process began with a five-person CST task force examining the literature about what works in systemic school improvement efforts and school turnaround. That initial review looked at available research on effective school leadership, turnaround leadership in education, sustained turnaround leadership in non-education sectors (e.g., the business sector), effective instruction in schools, professional development, and community/stakeholder engagement. The task force then discussed its findings with a larger CST team. Working from what the task force found in its initial broad research review, members of the two groups opted to narrow the focus of the research review, merging some of the closely aligned topic areas to come up with fewer topics worthy of further exploration.

Individual task force members were then responsible for conducting a deeper review of the research in what eventually became the four domains of the framework, looking at a finer level for both improvement-related practices and indicators of success. Task force members then shared their findings with each other. Given what they were learning about the commonalities within the language across the bodies of literature, the group began to frame the four domains to highlight how the domains and the practices within them would play out at each level of the education system — state, district, and school. The task force pulled from the collective field-based expertise within the larger CST team to further tease out each identified practice, seeking examples of what these practices would look like in action: If something needed to happen at one level of the education system, what supportive actions would be needed at the other levels?

To test the emerging framework of domains, practices, and examples, the CST task force then sought input from CST's leadership team, as well as from members of the Network of State Turnaround and Improvement Leaders (NSTIL) Advisory Council, which includes SEA personnel from 13 states across the country who have responsibility for school turnaround in their respective state. This feedback was used to further develop the level-specific examples of practice outlined in the framework.

FOUR DOMAINS FOR RAPID SCHOOL IMPROVEMENT: A SYSTEMS FRAMEWORK

FOUR DOMAINS FOR RAPID SCHOOL IMPROVEMENT

Indicators of Effective Practice

Sam Redding, Carlas McCauley, Kathleen Ryan Jackson, and Lenay Dunn

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The Center on School Turnaround at WestEd (CST) is one of seven national Content Centers in a federal network of 22 Comprehensive Centers. The U.S. Department of Education charges the centers with building the capacity of state education agencies (SEAs) to assist districts and schools in meeting student achievement goals. The goal of the CST is to provide technical assistance and to identify, synthesize, and disseminate research-based practices and emerging promising practices that will lead to the increased capacity of SEAs to support districts in turning around their lowest-performing schools. The CST is a partnership of WestEd and the Academic Development Institute, the Darden/Curry Partnership for Leaders in Education at the University of Virginia, and the National Implementation Research Network.

http://centeronschoolturnaround.org

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Contents

Introduction 1

Definition of Terms 3

Indicators by Domain and Practice 4

Domain 1: Turnaround Leadership 5
- Practice 1A: Prioritize improvement and communicate its urgency 5
- Practice 1B: Monitor short- and long-term goals 8
- Practice 1C: Customize and target support to meet needs 11

Domain 2: Talent Development 13
- Practice 2A: Recruit, develop, retain, and sustain talent 13
- Practice 2B: Target professional learning opportunities 15
- Practice 2C: Set clear performance expectations 17

Domain 3: Instructional Transformation 19
- Practice 3A: Diagnose and respond to student learning needs 19
- Practice 3B: Provide rigorous evidence-based instruction 21
- Practice 3C: Remove barriers and provide opportunities 23

Domain 4: Culture Shift 26
- Practice 4A: Build a strong community intensely focused on student learning 26
- Practice 4B: Solicit and act upon stakeholder input 28
- Practice 4C: Engage students and families in pursuing education goals 30

References 32

Appendix: Indicators and the Improvement Cycle 33
- Set direction 33
- Assess needs 34
- Create plan 34
- Monitor work and adjust course 37

List of Figures
- Figure 1: Improvement Cycle 33

Introduction

In recent years, rapid school improvement — known most commonly as school turnaround — has emerged as the chief focus of dramatic and systemic efforts aimed at giving students better schools. To assist states, districts, and schools in leading or managing these efforts, in 2017 the Center on School Turnaround at WestEd (CST) developed *Four Domains for Rapid School Improvement: A Systems Framework.* That framework identifies four areas of focus that research and experience point to as central to rapid and significant improvement: *turnaround leadership, talent development, instructional transformation,* and *culture shift*. Within each domain, the framework also identifies three critical practices for taking action. The intent was to organize and frame the field's learning about rapid school improvement efforts and how improvement decisions made at any one level could have a lasting impact across all levels of a system comprising the state education agency (SEA), the local education agency (LEA), and the individual school.

This subsequent document, which is intended to facilitate educators' ability to take and track action within each domain, provides the specificity of indicators for each practice identified in the framework. An indicator of effective practice is what Redding (2013) calls a concrete behavioral expression of a particular professional practice that research has shown to contribute to student learning. The indicators presented in this document are expressed in plain language so school, district, and state teams can identify with greater certainty whether a relevant practice from the four domains is standard and routinely operational or whether more work is needed.

The authors envision these indicators playing an important role in the continuous improvement cycle that should be integral to any education improvement effort. The cycle proposed by CST in its work with states and districts on rapid school improvement begins with set direction, followed by assess needs, create plan, implement plan, monitor work, and adjust course (Layland & Corbett, 2017). (For more on the cycle, see the appendix.)

Once educators have set the direction for rapid improvement of their school, LEA, or SEA, indicators of effective practice may be the clearest and most appropriate metrics to use — first, in determining the status quo across the four domains (i.e., the level of effective practice currently in use) and, then, in tracking progress. So, during **needs assessment,** indicators serve as the objectives against which to consider prevailing practice (Corbett & Redding, 2017). Results from this mapping in the needs assessment stage inform **the plan,** helping leaders decide, for example, where to focus initial versus subsequent efforts or whether to focus more tightly on one or two particular domains versus other domains.

When **implementation** is underway, the ability to specify, report, and understand progress at any given time is essential. Here, too, indicators play an important role. Used in **monitoring,** they allow for a more detailed understanding of the relative progress being made, with results possibly prompting leaders to **adjust** their plan (e.g., if progress is slower than expected or is slow in one domain but not another).

This document offers three to five implementation indicators for each effective practice within each of the four domains and at each level of the system: state, district, and school. It also suggests sources of evidence to use in determining the degree to which an indicator is implemented and, in turn, whether a practice has been fully implemented. Gathering such

evidence helps the entity implementing a practice — the SEA, the LEA, or the school — understand whether it has succeeded with this one indicator of the practice.*

The authoring team considered the following guidelines in developing the indicators presented herein:

- Is the indicator stated in plain language, that is, free of jargon?
- Is the indicator aligned with research that attests to the importance of the practice?
- Can the indicator be used across an improvement cycle (e.g., set direction, assess needs, create plan, implement plan, monitor work, and adjust course)?
- Does the indicator enhance an understanding of the practice being implemented?
- Is the indicator essential to the practice?
- Is the intent of the indicator clearly stated so that implementation can be easily determined?

As SEAs, LEAs, and schools implement the practices in the four domains, the use of specific indicators can guide their work to drive change. Based on its own context and assessment of need, each education entity will select indicators that best fit its situation. Rapid improvement will be more sure-footed as a result.

* Note that evidence related to an indicator demonstrates fidelity to the indicator's intent — that is, the degree to which it has or has not been carried out. An indicator's *effectiveness* is another matter. For instance, an indicator may call for communication of some sort, and a school or district may have examples of such communication, meaning it has succeeded in meeting the indicator. But finding out whether that communication has been effective might require evaluative measures, such as participant satisfaction surveys or an impact analysis. This particular document focuses on fidelity in implementing an indicator, but those leading improvement efforts will need to determine effectiveness as appropriate. To fully implement a practice requires implementing multiple indicators, and evidence of a *practice's* full implementation would typically include a measure of its effectiveness.

Definition of Terms

District Leadership Team: a district-level team given authority and charged with oversight of the district's improvement efforts, including school improvement and turnaround efforts

District staff: district personnel whose work is related to the nature of the indicator

District: the board, administration, and/or district staff as relevant to the nature of the indicator

Instructional Team: the teacher planning team, typically organized by grade level, subject area, or department

Leadership: applies generally to administrators and teams charged with responsibility for the actions described in the indicator; may be school, district, or state leadership

Leaders: personnel in a leadership role, which may include teacher leaders, principals, superintendents, team leaders, and various administrative and managerial staff

School Community Council: a team including the principal, teacher representatives, and parent representatives that oversees school-home relationships

School Leadership Team: a school-level team that is given authority and charged with oversight of the school's improvement or turnaround efforts and that is typically made up of the principal, select administrative and support staff, and lead teachers

School personnel, school staff: school employees whose work is related to the nature of the indicator

School Team: a school-specific team of school personnel of various kinds, such as the School Leadership Team, teacher instructional teams (organized by grade level, subject area, or department), and School Community Council (including parents)

State Leadership Team: a state-level team given authority for and charged with oversight of the state's improvement efforts, including oversight of district and school improvement and turnaround efforts

State: the state education agency (SEA)

Teacher: classroom teacher or related professional instructional personnel

Indicators by Domain and Practice

In the following domain-specific sections, each practice is introduced by a description of that practice and examples of how different levels of the education system can enact it. The description and examples are taken verbatim from the CST's *Four Domains for Rapid School Improvement: A Systems Framework* (2017). The indicators themselves, accompanied by sources of implementation evidence, are then presented for each level of the system: state, district, and school.

Domain 1: Turnaround Leadership

Practice 1A: Prioritize improvement and communicate its urgency

Practice 1A Description

1. Set the strategic direction for turnaround, and establish clear policies, structures, and expectations for constituents to work toward ambitious improvement goals.
2. Articulate a commitment to turning around the lowest-performing schools and advocate fiercely across audiences for these schools.
3. Closely monitor, discuss, report, and act upon the progress of schools undertaking rapid improvement.

Examples of How Different Levels of the System Can Enact This Practice

State. Establish an office or cadre of personnel responsible for supporting policy, programmatic, and implementation efforts to lead turnaround initiatives. State leaders advocate the social and moral imperative of school turnaround through multiple public forums, leveraging communication and other strategies to garner parent and community support.

District. Identify a senior district official to lead a team that oversees local turnaround initiatives, including overseeing principal support and development, policy development, districtwide data analysis, and overall strategy direction. The superintendent articulates the need for turnaround, connecting the state's championing of it to local contexts and inviting local community members to further inform implementation efforts, policy, and resource distribution.

School. Develop leadership teams and, within the school staff, build leadership capacity for turnaround. Increasingly distribute leadership among faculty and staff to solidify commitment, increase collaboration, and provide faculty and staff with new challenges to keep them meaningfully engaged in the turnaround effort. Share turnaround priorities with students, faculty, and the school community, leveraging local media outlets to announce the school's commitment to change and to enlist parent and community partners in the effort.

State-Level Indicators

Indicator St-1A.1: State leadership sets a clear direction for the state with a stated vision, theory of action, goals, and strategies for the state's continuous and sustained improvement.

Sources of Implementation Evidence St-1A.1: Direction document, agendas, and meeting minutes demonstrating where the vision has been shared

Indicator St-1A.2: State Leadership Team, designated and given authority by state leadership, directs state improvement efforts and supports policies, programs, and implementation of district and school improvement and turnaround efforts.

Sources of Implementation Evidence St-1A.2: Names and roles of state officials overseeing implementation efforts; integrated SEA-level support plan

Indicator St-1A.3: State communicates and advocates for public commitment to turning around low-achieving schools.

Sources of Implementation Evidence St-1A.3: Public communications (media articles; presentations, speeches; letters to stakeholders, including parents) advocating for the need for school turnaround and public commitment to it

Indicator St-1A.4: State develops and communicates a guiding framework (including roles, responsibilities, expectations) for districts and, also, for regional centers' oversight and support of school-level turnaround efforts.

Sources of Implementation Evidence St-1A.4: State's framework and its communication plan; examples of communications of the framework to districts and/or regional centers

District-Level Indicators

Indicator Di-1A.1: District leadership sets a clear direction for the district with a stated vision, a theory of action, goals, and strategies for the district's continuous and sustained improvement.

Sources of Implementation Evidence Di-1A.1: Direction document, agendas, and meeting minutes demonstrating where the vision has been shared

Indicator Di-1A.2: District Leadership Team (or other team appointed by leadership) oversees the district's improvement, including school improvement and turnaround initiatives.

Sources of Implementation Evidence Di-1A.2: Names and roles of team members, description of team's responsibilities, and meeting minutes or agendas

Indicator Di-1A.3: District leadership convenes public forums and invites stakeholders, including parents and neighborhood leaders, to inform context, policy, equitable resource distribution, and implementation of turnaround efforts.

Sources of Implementation Evidence Di-1A.3: Descriptions, schedules, and materials related to public forums, including list of participants and minutes of meetings

Indicator Di-1A.4: District and its schools follow a board-adopted improvement and turnaround process that, for each, includes a vision, theory of action, goals, strategies, and procedures for assessing need, creating a plan, and managing plan implementation.

Sources of Implementation Evidence Di-1A.4: Board-adopted process and board minutes approving it

Indicator Di-1A.5: District leadership monitors the creation and implementation of district and school improvement and turnaround plans, based on needs assessments, and reports progress to the district governing board.

Sources of Implementation Evidence Di-1A.5: District monitoring plan, identification of key data, monitoring schedule, district policies outlining school turnaround progress, and communications between district leadership and the district governing board

School-Level Indicators

Indicator Sc-1A.1: School leadership sets a clear direction for the school with a stated vision, theory of action, goals, and strategies for rapid and sustained improvement.

Sources of Implementation Evidence Sc-1A.1: Direction document, agendas, and meeting minutes demonstrating where the vision has been shared

Indicator Sc-1A.2: School Leadership Team itemizes and appropriately distributes leadership functions among faculty.

Sources of Implementation Evidence Sc-1A.2: Names and roles of School Leadership Team members and a description of leadership functions and how they are assigned to faculty

Indicator Sc-1A.3: Communication strategies, as outlined in a plan developed by school leadership, are used to routinely share improvement priorities across faculty and staff, with students and with the school's broader community.

Sources of Implementation Evidence Sc-1A.3: Communication plans; examples of communications to staff, faculty, and community articulating improvement priorities (e.g., emails, letters, staff/community meeting minutes)

Practice 1B: Monitor short- and long-term goals

Practice 1B Description

1. Develop goals informed by assessments of recent performance trends, and identify practices aimed at realizing a clearly articulated turnaround vision of significantly improved student learning.
2. Establish milestones for gauging progress. Continually update timelines and tasks to maintain the pace needed to accomplish meaningful goals quickly.
3. Respond to regular feedback on progress toward goal-directed milestones, and make timely changes in policy, programs, and personnel to get on track in achieving desired results for students.
4. Capitalize on initial turnaround successes and momentum to shift the focus from change itself to incorporating and establishing effective organizational processes, structures, and interactions that contribute to continuous organizational improvement.

Examples of How Different Levels of the System Can Enact This Practice

State. Create overarching expectations for improved student outcomes that are clearly articulated and measurable and that can be adapted for local contexts. Share clear expectations for high-performing schools, along with aspirational examples of such schools that have made rapid improvement.

District. Provide intensive, tiered support to principals and school leadership teams to help them develop action items, timelines, and responsibilities aligned with their school's turnaround plan. Provide access to data to inform goal-directed milestones, including markers for implementation, changes in professional practice, and interim and annual student assessments. Provide schools with resources, time, and concrete feedback to support them in refining and advancing their turnaround plan.

School. Develop and update the turnaround plan to ensure that it has clear short- and long-term goals. Monitor the progress of strategy implementation and make changes in personnel, programs, and methods as needed to keep the effort on track. Intervene swiftly if waning progress is detected.

State-Level Indicators

Indicator St-1B.1: State leadership sets state-level student-outcome goals with baseline and annual target measures informed by various forms of assessment.

Sources of Implementation Evidence St-1B.1: State student-outcome goals with baseline and annual target measures; needs assessments

Indicator St-1B.2: State assists districts in setting district-level student-outcome goals and developing and monitoring improvement and turnaround plans with goal-aligned implementation milestones and annual target measures.

Sources of Implementation Evidence St-1B.2: State training and technical assistance plans, schedules, agendas, and materials

Indicator St-1B.3: State Leadership Team establishes and monitors implementation of a state improvement plan that is aligned with the state's direction and includes implementation milestones and annual target measures.

Sources of Implementation Evidence St-1B.3: State improvement plan, monitoring process, and team minutes

Indicator St-1B.4: State provides policy, guidance, and support for each district and school to set student-outcome goals and implementation milestones and to manage processes for monitoring and responding to progress data.

Sources of Implementation Evidence St-1B.4: State guidance or policy, schedules, and descriptions related to support services to districts and schools

Indicator St-1B.5: State agency staff engage in support for district and school improvement, including conducting site visits to monitor plan implementation.

Sources of Implementation Evidence St-1B.5: Monitoring plan and protocols, including monitoring reports and schedules

District-Level Indicators

Indicator Di-1B.1: District leadership sets the district's student-outcome goals, with baseline and annual target measures informed by various forms of assessment.

Sources of Implementation Evidence Di-1B.1: District improvement plan identifying goals, including alignment of goals to assessments; examples of milestones or indicators of progress

Indicator Di-1B.2: District provides training and support to principals and school leadership to set student-outcome goals, with baseline and annual target measures informed by various forms of assessment.

Sources of Implementation Evidence Di-1B.2: District's principal professional learning plan, agendas of meetings demonstrating technical assistance, technical assistance reports or technical assistance guidance, and documents of professional learning

Indicator Di-1B.3: District Leadership Team establishes and monitors implementation of a district improvement plan, aligned with the district's direction and including implementation milestones and annual target measures.

Sources of Implementation Evidence Di-1B.3: District improvement plan, monitoring process, and team minutes

Indicator Di-1B.4: District provides policy, guidance, and support for each school to set student-outcome goals and implementation milestones, to monitor progress, and to respond to progress data.

Sources of Implementation Evidence Di-1B.4: Guidance/district policy and schedules and descriptions for support services to schools

Indicator Di-1B.5: District staff engage in support for school improvement, including conducting site visits to monitor plan implementation.

Sources of Implementation Evidence Di-1B.5: Monitoring plan and protocols, including monitoring reports and schedules

School-Level Indicators

Indicator Sc-1B.1: School leadership sets student-outcome goals with baseline and annual target measures informed by various forms of assessment.

Sources of Implementation Evidence Sc-1B.1: Needs assessment process, student-outcome goals, and baseline and annual target measures

Indicator Sc-1B.2: School Leadership Team establishes and monitors implementation of an improvement or turnaround plan that is aligned with the school's direction and includes implementation milestones and annual target measures.

Sources of Implementation Evidence Sc-1B.2: Improvement or turnaround plan, monitoring process, and minutes of team meetings

Indicator Sc-1B.3: Improvement or turnaround plan includes necessary changes in personnel, programs, and professional practice as determined by needs assessments.

Sources of Implementation Evidence Sc-1B.3: Plan template and actual plan, and needs assessment results

Indicator Sc-1B.4: School Leadership Team monitors and adjusts implementation of the improvement or turnaround plan through regular (typically monthly) review of progress toward goal-aligned milestones and target measures.

Sources of Implementation Evidence Sc-1B.4: Written protocols or procedures outlining the monitoring process; minutes of meetings

Indicator Sc-1B.5: School Leadership Team provides and responds to regular (typically quarterly) feedback on progress toward goal-aligned implementation milestones and annual target measures.

Sources of Implementation Evidence Sc-1B.5: School improvement or turnaround plan that outlines improvement process, including guidance around feedback on progress toward milestones and measures

Practice 1C: Customize and target support to meet needs

Practice 1C Description

1. Provide customized, targeted, and timely supports for turnaround efforts.
2. Align support to ensure coherence and integration with other necessary initiatives; eliminate unnecessary initiatives.
3. Regularly monitor progress to identify support needs and then act quickly and competently to address those needs.

Examples of How Different Levels of the System Can Enact This Practice

State. Conduct site visits to monitor plan implementation, and target district support based on identified priorities and progress. As an incentive to drive change, allow earned autonomy for local leaders in making key decisions. Share templates and tools to enable local leaders to make the best decisions. Provide professional learning activities for district and school leaders to establish and strengthen organizational leadership.

District. Provide tailored support to each school based on deep root-cause analysis and needs assessment to inform the school's priorities. Customize each school's level of autonomy for personnel hiring, placement, and replacement and other key decisions based on school capacity.

School. Identify the priority needs of the school, focusing on three to five immediate priorities. Request flexibility from established policies and/or procedures as justified by the data, turnaround plan, and school capacity.

State-Level Indicators

Indicator St-1C.1: State provides professional learning opportunities that convene district and school personnel to learn from each other about implementation of their school improvement and turnaround strategies.

Sources of Implementation Evidence St-1C.1: Schedule and documents for professional learning (e.g., agendas for convenings, examples of tools and resources to support learning)

Indicator St-1C.2: State uses monitoring reports and other strategies to identify deficits in student performance across districts and schools and provides districts and schools with templates and tools for analyzing and responding to the findings.

Sources of Implementation Evidence St-1C.2: State monitoring plan and protocols; monitoring reports; agendas and schedules for district meetings related to progress; communications between the SEA and districts participating in state-provided professional learning; SEA surveys of district needs; related communications, templates, and webpages (that provide related templates and/or tools)

Indicator St-1C.3: State's system of support is sufficiently differentiated in identifying and responding to improvement needs of districts and schools.

Sources of Implementation Evidence St-1C.3: Operations documents for the state system of support, including its theory of action, needs assessment processes, and methods for identifying and responding to each district and school's improvement needs

District-Level Indicators

Indicator Di-1C.1: District provides intensive and tailored support to identified school-level priorities that are informed by root-cause analysis and school-level needs assessments.

Sources of Implementation Evidence Di-1C.1: District policy and/or strategy for supporting schools, root-cause analysis, and needs assessments

Indicator Di-1C.2: District regularly monitors each school's implementation of improvement and turnaround plans and has procedures for responding in a timely manner to deviations from expected progress toward milestones.

Sources of Implementation Evidence Di-1C.2: Monitoring schedules, protocols, and reports

Indicator Di-1C.3: District provides information and opportunities for schools (e.g., principals, staff or leadership teams) to learn lessons derived from school improvement implementation across schools, including alongside and from one another.

Sources of Implementation Evidence Di-1C.3: Districtwide technical assistance plans and documents for professional learning

School-Level Indicators

Indicator Sc-1C.1: School leadership assesses needs at the school, grade, and individual level and identifies three to five key priorities as part of a school improvement or turnaround plan.

Sources of Implementation Evidence Sc-1C.1: Needs assessment and school improvement plan

Indicator Sc-1C.2: School leadership requests and receives flexibility from the district around identified areas (e.g., flexibility in hiring staff or use of funds) and offers data as rationale for the requests.

Sources of Implementation Evidence Sc-1C.2: Communication to district officials requesting flexibility around key areas; request for district policy waivers, with references to data

Indicator Sc-1C.3: School plans and implements improvement strategies that are focused on student learning needs and tailored to address the professional learning needs of individual teachers.

Sources of Implementation Evidence Sc-1C.3: School improvement plan and professional learning plans for staff

Domain 2: Talent Development

Practice 2A: Recruit, develop, retain, and sustain talent

Practice 2A Description

1. Proactively plan for recruiting and developing talent with turnaround-specific competencies to quickly fill the vacancies which will inevitably occur during the turnaround process.
2. Use multiple sources of data to match candidate skills and competencies to school needs, prioritizing the highest need schools.
3. Institute succession planning activities by creating in-house district preparation programs designed to foster and generate turnaround competencies to develop future turnaround leaders and teachers.

Examples of How Different Levels of the System Can Enact This Practice

State. Develop and disseminate human resources practices designed to identify, extend, and support turnaround competencies in leaders and teachers and train districts in the use of these practices. Offer turnaround preparation programs to support the development of aspiring school leaders.

District. Create a model for selection and placement of teachers and school leaders with turnaround competencies, ensuring that turnaround schools have preferential access to teaching candidates. Challenge and support human resources staff to design programs that identify and support the development of potential turnaround leaders and teachers. Develop multiple measures and data sources to closely analyze an individual's turnaround readiness and potential as a turnaround teacher or leader (e.g., observation of candidates over time in various settings).

School. Collaborate with the district to develop a school-specific competency model for turnaround teachers to discern which competencies should be prioritized in the teacher-selection process in this school. Utilize the district turnaround talent pool as the "go-to" source for hiring assistant principals and teachers. Encourage aspiring leaders to participate in turnaround preparation programs.

State-Level Indicators

Indicator St-2A.1: State produces and disseminates samples of exemplary district policy and district/school practice regarding talent recruitment and development related to turnaround competencies.

Sources of Implementation Evidence St-2A.1: Documents or webpages and dissemination schedule

Indicator St-2A.2: State provides professional learning opportunities for district personnel to understand turnaround competencies and how to develop them in teachers and leaders.

Sources of Implementation Evidence St-2A.2: Descriptions and schedules of professional learning activities

Indicator St-2A.3: State provides and/or supports programs to prepare and develop turnaround leaders.

Sources of Implementation Evidence St-2A.3: Program descriptions, schedules, agendas, and participation records

District-Level Indicators

Indicator Di-2A.1: District policy includes prioritization of turnaround schools in teacher selection and placement activities.

Sources of Implementation Evidence Di-2A.1: District policy on selection and placement

Indicator Di-2A.2: District policies, programs, and procedures include those for identifying and developing turnaround talent.

Sources of Implementation Evidence Di-2A.2: District policies and program descriptions related to turnaround talent development

Indicator Di-2A.3: District uses multiple measures and data sources to assess teacher and leader turnaround competencies, with special attention to readiness and potential, and uses these tools to identify and develop teachers and leaders to serve in turnaround contexts.

Sources of Implementation Evidence Di-2A.3: Assessment criteria and tools

Indicator Di-2A.4: District provides school leadership in the lowest-performing schools with defined, increased authority in appropriate talent-development areas (e.g., teacher hiring).

Sources of Implementation Evidence Di-2A.4: Guidance/district policy regarding flexibility around resources and time for turnaround schools

School-Level Indicators

Indicator Sc-2A.1: School leadership engages school personnel to identify the unique turnaround context of their school and uses this information to determine the priority competencies for teachers and leaders.

Sources of Implementation Evidence Sc-2A.1: School-specific turnaround competencies and models, agendas, minutes, and team meeting notes

Indicator Sc-2A.2: School leadership hires teachers and leaders from an identified talent pool for turnaround contexts developed by the district and conducts its own recruitment to ensure a staff of teachers and leaders well matched to school needs.

Sources of Implementation Evidence Sc-2A.2: Counts and documentation of hiring source for teacher, teacher leader, coach, and assistant principal positions

Indicator Sc-2A.3: Teachers and leaders are engaged in professional development opportunities that include strategies to succeed in the turnaround environment.

Sources of Implementation Evidence Sc-2A.3: Description of these activities and related procedures that are routine in the school

Practice 2B: Target professional learning opportunities

Practice 2B Description

1. Offer high-quality, individualized, and responsive professional learning opportunities designed to build the capacity needed for rapid school improvement.
2. Offer regular opportunities for job-embedded learning including coaching, mentoring, and observation (including peer observations).
3. Leverage and maximize the effectiveness of high-performing teachers, coaches, and leaders by using them as models and peer coaches.

Examples of How Different Levels of the System Can Enact This Practice

State. Provide training to districts on how to develop and implement a teacher professional learning model with individualization and job-embedded processes as the focus. Provide funding preference to professional learning opportunities that reflect these processes. Share examples of how districts and schools have implemented peer coaching, mentoring, and peer observation. Model a willingness to learn and grow. Ensure that development opportunities offered to districts model the formats and principles of effective professional learning.

District. Create timelines and other accountability systems that remind principals to regularly examine teacher performance and to rapidly adjust professional learning plans based on identified needs. Provide district staff with job-embedded professional learning and opportunities to learn side by side with school leaders. Ensure that district-offered professional learning experiences are differentiated, purposeful, targeted, and reflective of what is known about successful adult learning and the turnaround endeavor.

School. Create a cadre of instructional leaders (drawing from assistant principals, department coordinators, team leaders, and teachers with demonstrated instructional coaching capacity) who each respond to the professional learning needs of a manageable portion of the faculty and use data to identify those needs. Provide opportunities for leaders and teachers to learn side by side and share how their own ongoing growth impacts their individual practice as instructional and organizational leaders. Ensure that learning experiences are differentiated, purposeful, targeted, employed in rapid response to identified needs, reflective of what is known about effective adult learning, and clearly connected to the school's turnaround priorities.

State-Level Indicators

Indicator St-2B.1: State provides districts and schools with examples of how districts and schools have implemented effective professional learning opportunities.

Sources of Implementation Evidence St-2B.1: Examples and description of how they are disseminated

Indicator St-2B.2: State provides training for districts and schools in developing and implementing a professional learning approach that is 1) based on identified needs and 2) offers effective high-quality professional learning opportunities for teachers and leaders.

Sources of Implementation Evidence St-2B.2: Descriptions and schedules of professional learning

Indicator St-2B.3: State's trainings and learning opportunities embody the principles of effective professional learning, including reflective practice and structures to encourage individual and collective growth.

Sources of Implementation Evidence St-2B.3: Descriptions and schedules of professional learning

District-Level Indicators

Indicator Di-2B.1: District policy specifies that each school will regularly examine and annually report on how it is using data to identify professional learning needs of each teacher and using these data to rapidly respond with professional learning opportunities aligned with the school's turnaround priorities.

Sources of Implementation Evidence Di-2B.1: Policy and reporting timelines

Indicator Di-2B.2: District offers all district staff high-quality, relevant, and job-embedded professional learning opportunities, including some opportunities to engage in the professional learning with school leaders and teachers.

Sources of Implementation Evidence Di-2B.2: Schedules and documents related to professional learning

Indicator Di-2B.3: District provides or supports, evaluates, and continuously improves professional learning opportunities for district and school personnel that are differentiated, purposeful, effective, and high quality.

Sources of Implementation Evidence Di-2B.3: Schedules and documents related to professional learning

School-Level Indicators

Indicator Sc-2B.1: School Leadership Team meets at least quarterly to review data to inform professional learning opportunities for teachers and make recommendations in rapid response to identified needs, as aligned with the school's turnaround priorities.

Sources of Implementation Evidence Sc-2B.1: Agendas and notes of meetings that analyzed the data and reports of professional learning recommendations

Indicator Sc-2B.2: School Leadership Team engages in learning opportunities *with* teachers to learn together and reflects with them on professional practice (e.g., coaching, mentoring, observation).

Sources of Implementation Evidence Sc-2B.2: Schedules, rosters, and documents for professional learning

Indicator Sc-2B.3: School Leadership Team seeks out, and provides access to, professional learning opportunities that are differentiated, purposeful, effective, and high quality to benefit faculty both individually and collectively.

Sources of Implementation Evidence Sc-2B.3: Schedules and documents related to professional learning

Practice 2C: Set clear performance expectations

Practice 2C Description

1. Create and share expectations for a level of professional performance by every role in the system.
2. Develop and implement performance-management processes that include clear means for monitoring progress, flexibility to rapidly respond to professional learning needs, and opportunities to revise milestones as needed.

Examples of How Different Levels of the System Can Enact This Practice

State. Develop protocols to assist districts in analyzing role expectations and adapting those expectations to support school turnaround. Provide support and tools to help districts establish and monitor milestones.

District. Identify which district-level roles will contribute to school turnaround efforts; review and refine job expectations and descriptions to reflect realistic and high-leverage responsibilities to support rapid school improvement.

School. Define expectations for teachers, clearly and realistically considering how to effectively leverage teacher time and effort. Develop a daily and weekly schedule that reflects this priority of effective use of teacher time. When asking more of a teacher, consider removing another responsibility.

State-Level Indicators

Indicator St-2C.1: State develops and disseminates protocols to guide districts and schools in analyzing role expectations specific to improvement and turnaround efforts.

Sources of Implementation Evidence St-2C.1: Materials and description of dissemination efforts

Indicator St-2C.2: State provides training, information, and data tools to enable districts to establish and monitor goal-aligned implementation milestones related to role expectations.

Sources of Implementation Evidence St-2C.2: Materials, agendas from professional learning opportunities, schedules of events, and participant rosters

Indicator St-2C.3: State provides example job descriptions that reflect realistic and high-leverage responsibilities for district and school improvement and turnaround staff.

Sources of Implementation Evidence St-2C.3: Job and role descriptions

District-Level Indicators

Indicator Di-2C.1: District-level roles, designated by district leadership, contribute to and support school improvement and turnaround efforts, with an appropriate proportion of job responsibilities committed to these efforts.

Sources of Implementation Evidence Di-2C.1: Job and role descriptions

Indicator Di-2C.2: District human resources staff review and refine job expectations and descriptions for turnaround teacher and leader positions, ensuring that they reflect clear and realistic expectations aligned with turnaround priorities.

Sources of Implementation Evidence Di-2C.2: Documentation of job description reviews

Indicator Di-2C.3: District provides example calendars and schedules for schools that reflect effective use of teacher time, including time for teacher collaboration, professional learning, and review of student data.

Sources of Implementation Evidence Di-2C.3: Daily, weekly, and monthly school calendars

School-Level Indicators

Indicator Sc-2C.1: School Leadership Team provides clear written expectations for teachers and leaders in terms of roles, effort, and expected outcomes.

Sources of Implementation Evidence Sc-2C.1: Job and role descriptions

Indicator Sc-2C.2: School Leadership Team develops and implements schedules to reflect effective use of teacher time, including time for teacher collaboration, professional learning, and review of student data.

Sources of Implementation Evidence Sc-2C.2: Daily, weekly, and monthly school calendars

Indicator Sc-2C.3: School Leadership Team examines, at least once a semester, teacher and leader role descriptions and commitments so that responsibilities can be equitably distributed.

Sources of Implementation Evidence Sc-2C.3: Documentation of a commitment analysis and resulting recommendations for responsibility redistribution

Domain 3: Instructional Transformation

Practice 3A: Diagnose and respond to student learning needs

Practice 3A Description

1. Diagnose student learning needs and use identified needs to drive all instructional decisions.
2. Incorporate effective student supports and instructional interventions.
3. Use fluid, rapid assessment and adjustment of instructional grouping and delivery to adapt to student learning needs.

Examples of How Different Levels of the System Can Enact This Practice

State. Provide incentives around funding and support to local education agencies and schools that target staffing improvements that ensure teachers have the time and capacity to diagnose and respond to each student's needs. Provide training on fluid instructional groupings.

District. Develop protocols to assist teachers in drilling down on individual student needs and creating instructional action plans aligned to those needs. Explore creative use of instructional time, which may include, but is not limited to, options for extended learning such as longer school days, weeks, or summer sessions to support each student's needs. In doing so, any additional instructional time should be structured and staffed to ensure high-quality learning will occur (rather than simply a perpetuation of ineffective practices). Ensure that data sources (e.g., benchmark assessments) exist for teachers to conduct frequent progress monitoring of student outcomes.

School. Regularly examine individual student data, carried out in team meetings, professional learning communities (PLCs), or in other planning sessions as part of teachers' regular work and expectations. Creatively use fluid instructional groupings rather than year-long assignments that may not meet students' (and teachers') needs. For example, when students struggle with a certain concept, they could be assigned temporarily to a teacher whose data demonstrate that he or she teaches it well or differently from the students' current teacher(s), placed in a small group for reteaching, or given individualized instruction. Teachers are given time within the school day to conduct such analysis and develop plans to address identified needs. Teachers are also held accountable for doing so and for carrying out the plans they develop for students.

State-Level Indicators

Indicator St-3A.1: State provides incentives (e.g., mini-grants) for district personnel to be trained and coached on the use of a systematic approach to implementation of any practice to improve instruction (e.g., teaming structure; decision rules for training, coaching, and data systems; instructional strategies and practices).

Sources of Implementation Evidence St-3A.1: Grant applications with clearly defined and mutually agreed-upon selection criteria and deliverables

Indicator St-3A.2: State provides training and coaching to district and school leadership to develop a systematic approach to implementation and evaluation of instructional practices.

Sources of Implementation Evidence St-3A.2: Dates of training and coaching sessions, with documentation of content delivered and participant rosters

Indicator St-3A.3: State, in partnership with diverse stakeholders, provides and/or supports an easy-to-use data system for districts and schools to monitor implementation and outcome data relative to instructional practice.

Sources of Implementation Evidence St-3A.3: Description of data system and how it is used and improved based on practitioner feedback

District-Level Indicators

Indicator Di-3A.1: District policy includes protocols and decision rules for schools to use in the design of instructional groupings for students.

Sources of Implementation Evidence Di-3A.1: District protocols and decision rules

Indicator Di-3A.2: District provides and supports learning opportunities for school leaders and teachers to design and implement flexible schedules and extended instructional opportunities to meet student needs.

Sources of Implementation Evidence Di-3A.2: Agendas, materials, and participant lists from learning opportunities

Indicator Di-3A.3: District provides schools with an easy-to-use data system to monitor implementation data (e.g., on training, coaching, effective instructional practice) and student outcome data (e.g., benchmark data collected and used three times per year).

Sources of Implementation Evidence Di-3A.3: Description of the data system and how it is used in schools

School-Level Indicators

Indicator Sc-3A.1: School teams meet regularly (at least monthly) to review implementation data (e.g., documentation from walkthroughs, practice fidelity, training, coaching) and student data (academic and socio-behavioral) for all students and individual students.

Sources of Implementation Evidence Sc-3A.1: Each team's purpose, roles, responsibilities, and meeting schedules posted on school website

Indicator Sc-3A.2: Principal and a district liaison are active members of the School Leadership Team and provide support and advice to secure needed resources for instructional improvement.

Sources of Implementation Evidence Sc-3A.2: Team meeting notes indicating principal and district liaison attend monthly meetings

Indicator Sc-3A.3: School teams use student learning data and instructional strategy data to design fluid instructional groupings that respond to student need.

Sources of Implementation Evidence Sc-3A.3: Team meeting minutes and descriptions of instructional groupings

Practice 3B: Provide rigorous evidence-based instruction

Practice 3B Description

1. Set high academic standards and ensure access to rigorous standards-based curricula.
2. Provide supports to ensure evidence is used in instructional planning and facilitation of student learning.
3. As gaps are identified in the curriculum or instructional delivery, develop plans to strengthen these key components.

Examples of How Different Levels of the System Can Enact This Practice

State. Provide district-level leaders with professional learning on state standards that enables them, in turn, to plan and provide learning opportunities that bolster teacher content knowledge when needed. Provide guidance on using evidence to select curricular and instructional supports.

District. Work with schools' instructional leadership teams to refresh, update, and bolster teachers' content knowledge through ongoing professional learning opportunities on rigorous evidence-based instruction. Coordinate vertical alignment such that teachers have an understanding of what their students should have learned the prior year, before entering their classroom, and what their students will be expected to learn the following year. Examine curricular and instructional supports to ensure they are grounded in evidence, rigor, and the state standards.

School. Conduct a curriculum analysis and map lesson plans against standards to ensure the plans adequately represent the standards. Determine whether adjustments and supports are needed to ensure all students have access to the curricula. In each instructional mode utilized — whether whole class, small group, independent work, technology-based, or homework — teachers routinely utilize the best instructional practices for that mode and school leaders support their development of those practices.

State-Level Indicators

Indicator St-3B.1: State provides guidance, including online modules, for district and school staff on how to use evidence to select curricular and instructional supports.

Sources of Implementation Evidence St-3B.1: Guidance document and related professional learning modules available on the state website

Indicator St-3B.2: State provides training for district and school staff on how to select evidence-based practices (chosen by a representative team) that are aligned with content areas and the state standards.

Sources of Implementation Evidence St-3B.2: Training schedule and attendance rosters; description of trainings and practice opportunities

Indicator St-3B.3: State provides training for district and school staff on content knowledge aligned with a state menu of evidence-based practices and state standards.

Sources of Implementation Evidence St-3B.3: Description of training and practice opportunities; training schedule and attendance rosters

District-Level Indicators

Indicator Di-3B.1: District provides school teams with the tools and coaching needed to select and operationalize evidence-based instructional practices that meet the needs of their school's students.

Sources of Implementation Evidence Di-3B.1: District menu of evidence-based instructional practices that are provided to schools; descriptions of tools and coaching provided by district

Indicator Di-3B.2: District provides training for district and school staff on the selection and use of evidence-based instructional practices.

Sources of Implementation Evidence Di-3B.2: Training descriptions, schedules, and attendance rosters

Indicator Di-3B.3: District facilitates ongoing updates by district/school teams to documents that are used by teachers in instructional planning and that vertically align standards and curriculum.

Sources of Implementation Evidence Di-3B.3: Training descriptions, schedules, and attendance rosters; alignment document

School-Level Indicators

Indicator Sc-3B.1: School Leadership Team constructs a credible menu of evidence-based instructional practices that adequately represent the state standards to recommend to teachers for meeting student needs.

Sources of Implementation Evidence Sc-3B.1: Menu of evidence-based instructional practices, minutes of School Leadership Team meetings, and documentation of communication with faculty

Indicator Sc-3B.2: To meet student needs, teachers use, with a high degree of fidelity, evidence-based instructional practices that adequately represent the state standards.

Sources of Implementation Evidence Sc-3B.2: Course syllabi, lesson plans, and classroom observation data

Indicator Sc-3B.3: School personnel receive initial and ongoing training in using evidence-based instructional practices, with opportunity to practice the skills in the training.

Sources of Implementation Evidence Sc-3B.3: Descriptions and schedules of trainings; participant lists

Indicator Sc-3B.4: School leadership ensures that all students are taught with evidence-based instructional practices that adequately represent the state standards and are differentiated to meet their individual needs.

Sources of Implementation Evidence Sc-3B.4: Differentiated lesson plans; student progress data; notes from school leaders who are reviewing and providing feedback on Instructional Team meeting minutes

Practice 3C: Remove barriers and provide opportunities

Practice 3C Description

1. Systematically identify barriers to student learning and opportunities to enhance learning opportunities for students who demonstrate early mastery.
2. Partner with community-based organizations, such as with health and wellness organizations, youth organizations, and other service providers, to support students in overcoming obstacles and developing the personal competencies that propel success in school and life.

Examples of How Different Levels of the System Can Enact This Practice

State. Support districts in developing early warning systems to identify students who may be falling behind, giving the school the opportunity for timely intervention. Identify and network with other state-level entities that could serve as partners for schools and districts. Create access to services that districts can tap into in order to meet students' needs that, if left unaddressed, can impede learning (e.g., health care, clothing, nutrition).

District. Identify and remove any artificial barriers (whether policies or practices) that stand in the way of every student having an opportunity to learn at higher levels. Identify the district's most prevalent non-academic barriers to student learning. Disseminate this information to principals, and during meetings with principal supervisors continually revisit how community resources can be leveraged creatively to meet students' basic needs.

School. Track student progress and help students regain lost ground through academic supports (e.g., tutoring, co-curricular activities, tiered interventions), extended learning opportunities (e.g., summer bridge programs, after-school and supplemental educational services, Saturday academies, enrichment programs), credit-recovery programs, and virtual courses. Give students demonstrating sufficient prior mastery access to higher-level assignments and courses. Network with nearby organizations in the community to identify available supports — or to generate new supports — for students. Consider having medical and dental services available on site on a regular basis. Provide on-site laundry service for families in need. Provide food for students during extended learning sessions and other periods when they are at school outside of regular school hours.

State-Level Indicators

Indicator St-3C.1: State provides an early warning data system (EWDS), developed with broad stakeholder participation, for use in all districts.

Sources of Implementation Evidence St-3C.1: Meeting notes that include a complete list of stakeholders and their attendance at each meeting; EWDS information that is posted on the state website

Indicator St-3C.2: State provides a state-level Menu of Community and Social Services (MCSS), developed with broad stakeholder participation, to be included in each district's local MCSS.

Sources of Implementation Evidence St-3C.2: Meeting notes that include a complete list of stakeholders and their attendance at each meeting; state-level MCSS posted on the state website

Indicator St-3C.3: State monitors the development of each district's local MCSS (which should include state-level services) and use of that MCSS by each district and its schools, and it surveys stakeholders about their satisfaction with the MCSS and its use.

Sources of Implementation Evidence St-3C.3: State report of monitoring results and results from stakeholder satisfaction surveys

District-Level Indicators

Indicator Di-3C.1: District provides initial and ongoing training and coaching to school personnel on the district-adopted EWDS and related protocol.

Sources of Implementation Evidence Di-3C.1: Survey disseminated to measure satisfaction of staff with training and effectiveness of EWDS unmet needs of identified students

Indicator Di-3C.2: District works with community groups to annually update its MCSS, which includes services that are accessible in the district's region, and the protocol for its use.

Sources of Implementation Evidence Di-3C.2: Survey disseminated to measure satisfaction of staff and effectiveness of the MCSS in fulfilling unmet needs of identified students

Indicator Di-3C.3: District provides initial and ongoing training and coaching of school personnel to use the MCSS.

Sources of Implementation Evidence Di-3C.3: Training agenda, schedules, materials, and participant lists

Indicator Di-3C.4: District uses data collected by schools that are using the EWSD and MCSS and stakeholder surveys to measure effectiveness (defined as fulfilling unmet needs and improving student outcomes) and satisfaction with use.

Sources of Implementation Evidence Di-3C.4: Minutes of meetings to review data and survey results and description of actions taken as a result

School-Level Indicators

Indicator Sc-3C.1: School team meets monthly to use an EWDS and protocol to identify specific students in need of support, remove barriers, and fulfill unmet needs of identified students.

Sources of Implementation Evidence Sc-3C.1: Team meeting notes that reflect names of students in need of support and how they will be supported (e.g., action plan for each student)

Indicator Sc-3C.2: School team meets periodically with representatives of community organizations and uses the district-developed MCSS to match students with appropriate services to fulfill their unmet needs

Sources of Implementation Evidence Sc-3C.2: Meeting minutes and work products, MCSS, and student action plans

Indicator Sc-3C.3: School team uses data (including stakeholder survey results) three times per year to measure effectiveness of integrating the EWDS and MCSS and satisfaction with their use.

Sources of Implementation Evidence Sc-3C.3: Minutes of school team meetings to review data on effectiveness/satisfaction and how the team responds to the data

Domain 4: Culture Shift

Practice 4A: Build a strong community intensely focused on student learning

Practice 4A Description

1. Celebrate successes — starting with quick wins early in the turnaround process — of students, family, teachers, and leaders. Early success promotes an expectation for further success and engenders confidence in the competence of colleagues.
2. Provide explicit expectations and support for each person's role (expected behaviors) both in the turnaround and in student progress.
3. Create opportunities for members of the school community to come together to discuss, explore, and reflect on student learning.
4. Champion high expectations (of self and others), embed them in everyday practice and language, and reinforce them through shared accountability and follow-through on strategies for dramatically improving student outcomes.

Examples of How Different Levels of the System Can Enact This Practice

State. Provide districts with tools for tracking, analyzing, and sharing data on school performance, professional practice, and student opportunities; share findings and exemplary practices across districts; set policies that require a demanding curriculum for all students.

District. Provide systems and structures to support collaborative district and school work such as dedicated time for reflection and collaboration. Align personnel evaluations with the role expectations for turnaround. Offer opportunities and avenues for sharing turnaround progress and successes.

School. Establish systems (i.e., structures, policies, procedures, and routines) for focused collaborative work; recognize student effort and academic mastery; recognize job satisfaction and camaraderie among staff as essential assets in a turnaround. Maintain a positive, encouraging classroom and school culture for students where students feel safe and supported to share their needs, struggles, and concerns. Recognize each incremental improvement but keep the focus on ultimate results at the student, teacher, and school levels. Celebrate team accomplishments and offer recognition for hard work and improvement. Frequently and openly review and discuss with stakeholders data on turnaround progress (including implementation and leading indicators).

State-Level Indicators

Indicator St-4A.1: State produces and disseminates samples of exemplary district policy and district/school practice regarding team structures, role expectations, and methods for recognizing academic achievement.

Sources of Implementation Evidence St-4A.1: Examples available on the state website

Indicator St-4A.2: State provides professional learning opportunities for district personnel to develop policies and products that promote student learning through effective teams, clear role expectations, position descriptions, and evaluation criteria.

Sources of Implementation Evidence St-4A.2: Descriptions and schedule of professional learning activities

Indicator St-4A.3: State produces and disseminates samples of exemplary district policy and district/school practice regarding building strong school communities and nurturing school cultures that enhance and celebrate student learning.

Sources of Implementation Evidence St-4A.3: Examples available on the state website

District-Level Indicators

Indicator Di-4A.1: District policy includes description of required structures, purposes, meeting times, and work products for both district and school teams that focus on improving practice to enhance student learning.

Sources of Implementation Evidence Di-4A.1: District policy accessible to district and school teams

Indicator Di-4A.2: District policy includes guidelines for each school's School Leadership Team to clearly define, document, and annually review roles, responsibilities, and expectations relative to students' learning for administrators, teachers, parents/caretakers, staff, volunteers, and students.

Sources of Implementation Evidence Di-4A.2: District policy

Indicator Di-4A.3: District expects each school to nurture a culture that recognizes and celebrates academic achievement by including the expectation in position descriptions and evaluation criteria for school personnel.

Sources of Implementation Evidence Di-4A.3: Position descriptions from district policy; evaluation criteria

School-Level Indicators

Indicator Sc-4A.1: All school personnel are organized into teams with clearly defined purposes (related to improving practice in order to enhance student learning), regular meeting times, and work products.

Sources of Implementation Evidence Sc-4A.1: Team descriptions, rosters, agendas, minutes, and team work products

Indicator Sc-4A.2: A team including teacher and parent representatives oversees school-home relationships that enhance student learning and operates with clearly defined purposes (related to improving practice in order to enhance student learning), regular meeting times, and work products.

Sources of Implementation Evidence Sc-4A.2: Team description, rosters, agendas, minutes, and team work products

Indicator Sc-4A.3: School Leadership Team clearly defines, documents, and annually reviews roles, responsibilities, and expectations relative to students' learning for administrators, teachers, parents/caretakers, staff, volunteers, and students.

Sources of Implementation Evidence Sc-4A.3: Document containing role descriptions accessible on school website; minutes of annual review by School Leadership Team

Indicator Sc-4A.4: School promotes, recognizes, and celebrates academic achievement in school rituals and routines, such as morning announcements, awards assemblies, hallway and classroom wall displays, and student competitions

Sources of Implementation Evidence Sc-4A.4: Description of these activities posted on the school website with related procedures that are routine in the school; wall displays

Indicator Sc-4A.5: School facilitates two-way communication and face-to-face association among school personnel, students, and students' families to work together to advance student learning.

Sources of Implementation Evidence Sc-4A.5: Description of these activities posted on the school website

Practice 4B: Solicit and act upon stakeholder input

Practice 4B Description

1. Collective perceptions — held by school personnel, students, families, and the broader community — about the degree to which their school climate is or is not positive is gathered and used to gauge the climate-related work to be done by a school striving for turnaround.
2. Stakeholder perceptions are considered when identifying priorities and improving the underlying conditions that contribute to school climate issues.
3. Acknowledge and respond to constructive feedback, suggestions, and criticism.

Examples of How Different Levels of the System Can Enact This Practice

State. Provide instruments and protocols for conducting local perception surveys, forums, and focus groups to districts and schools; provide opportunities for parents and community members to provide feedback at state and local levels.

District. Administer a diagnostic instrument soliciting feedback from school personnel, families, students, and community members early in the turnaround process with periodic follow-up surveys to assess perceptions of the school and the turnaround effort; provide training for school leaders on assessing stakeholder perceptions and acting on what they learn.

School. Learn what constituents think by conducting surveys, forums, focus groups, and suggestion boxes. Share and act on what is learned. Take constituent input into account when making programmatic decisions. Consistently demonstrate that all voices are heard.

State-Level Indicators

Indicator St-4B.1: State provides districts and schools with examples of climate surveys and protocol for their administration, analysis, and reporting, which districts may adopt or use to inform development of their own climate survey.

Sources of Implementation Evidence St-4B.1: Sample surveys and description of how they are accessed and used, available on state website

Indicator St-4B.2: State provides professional learning opportunities for district personnel to guide schools in selecting, administering, analyzing, and using data for action planning based on climate surveys.

Sources of Implementation Evidence St-4B.2: Descriptions and schedules of professional learning activities

Indicator St-4B.3: State provides examples of school climate survey results, schools' analyses of their data, and the actions they took to improve school climate.

Sources of Implementation Evidence St-4B.3: Examples of how schools used their climate survey data to develop action steps and how those action steps are changing school climate, available on state website

District-Level Indicators

Indicator Di-4B.1: District policy specifies that schools will administer an annual climate survey and states the procedures for its administration, analysis, action steps, and reporting.

Sources of Implementation Evidence Di-4B.1: District policy

Indicator Di-4B.2: District School Leadership Team annually compiles a consolidated report of results from individual school reports about the climate survey and presents it to the board with recommendations for districtwide changes in policy and practice.

Sources of Implementation Evidence Di-4B.2: District report, recommendations, and board minutes

Indicator Di-4B.3: District provides professional learning opportunities for school personnel on interpreting results of the annual climate survey, using it with stakeholder groups, and taking concrete action on the results.

Sources of Implementation Evidence Di-4B.3: Schedules and documents for professional learning, including evaluation of the learning

School-Level Indicators

Indicator Sc-4B.1: School Leadership Team annually conducts a survey of school personnel, families, and students to gauge perceptions about the school, its effectiveness, and their place in it.

Sources of Implementation Evidence Sc-4B.1: Survey and procedures for its administration and analysis

Indicator Sc-4B.2: School Leadership Team annually releases to the school community a report of its analysis of the climate survey, including concrete actions it plans in response to the analysis.

Sources of Implementation Evidence Sc-4B.2: Report and minutes from School Leadership Team meetings that analyze the survey results and communicate concrete actions

Indicator Sc-4B.3: School Leadership Team annually convenes meetings of school personnel and families to discuss results of the annual climate survey.

Sources of Implementation Evidence Sc-4B.3: Agendas of meetings and attendee rosters; team decision and concrete actions communicated

Practice 4C: Engage students and families in pursuing education goals

Practice 4C Description

1. Intentionally build students' personal competencies to pursue goals, persist with tasks, appraise their progress, hone learning strategies, and direct their own learning to further enhance their capacity to learn and succeed.
2. Provide students with opportunities to connect their learning in school with their interests and aspirations.
3. Meaningfully engage parents in their child's learning, progress, interests, and long-term goals.

Examples of How Different Levels of the System Can Enact This Practice

State. Require evidence of direct linkage between family and community engagement and student outcomes in turnaround and improvement plans and reports; provide training and resources on family and community engagement; provide professional learning on student goal setting, self-regulation of learning, and family engagement in the student's progress.

District. Provide resources for sharing assessments, interest inventories, and career and college information with students and families; provide planning templates for students to plan coursework and college and career pathways; provide line items in the school budget for resources related to family engagement for the specific purpose of supporting student learning; include information about the school's data-supported progress with family engagement in monthly board reports; set aside time and provide structures for parent groups focused on improved student learning.

School. Programmatically and systematically build students' skills in setting learning goals, managing their learning, and pursuing their goals by charting progress on coursework and towards their postsecondary goals; inform and engage families in planning and supporting their students' education goals; provide students and their families with a full explanation of assessment results and interest inventories to help them make the best decisions; tap community resources and expertise to expand students' understanding of potential careers and education options.

State-Level Indicators

Indicator St-4C.1: State develops and disseminates information to guide districts and schools on including, at each grade level, curriculum and instruction to build students' skills in setting learning goals, applying learning strategies, and tracking their mastery.

Sources of Implementation Evidence St-4C.1: Materials and description of dissemination efforts

Indicator St-4C.2: State provides training, information, and data tools to enable districts and schools to provide help for students and their families in formulating education goals and in understanding and using a variety of data sources about student progress and interests.

Sources of Implementation Evidence St-4C.2: Materials, agendas from professional learning opportunities, schedules of events, and participant rosters

Indicator St-4C.3: State provides suggested practices and supports for districts and schools to engage all students and their families in formulating education goals and understanding and using a variety of data sources about student progress and interests.

Sources of Implementation Evidence St-4C.3: Documents containing these items

District-Level Indicators

Indicator Di-4C.1: District curriculum guides include instruction at each grade level to build students' skills in setting learning goals, applying learning strategies, and tracking their mastery.

Sources of Implementation Evidence Di-4C.1: Curriculum guides

Indicator Di-4C.2: District provides professional learning opportunities for all school leaders and teachers to infuse instruction with activities that help students explore possibilities, articulate their personal aspirations, and connect their learning to the pursuit of these aspirations.

Sources of Implementation Evidence Di-4C.2: Materials from professional learning opportunities, schedules of events, and participant rosters

Indicator Di-4C.3: District provides training, information, and data tools to enable schools to provide help for students and their families in formulating education goals and in understanding and using a variety of data sources about student progress and interests.

Sources of Implementation Evidence Di-4C.3: Materials from training, copies of information, and descriptions of data tools

School-Level Indicators

Indicator Sc-4C.1: All teachers build students' skills in setting learning goals, applying learning strategies, and tracking their mastery.

Sources of Implementation Evidence Sc-4C.1: Documentation in curriculum guides, lesson plans, and classroom observations

Indicator Sc-4C.2: All teachers help students explore possibilities, articulate their personal aspirations, and connect their learning to the pursuit of these aspirations.

Sources of Implementation Evidence Sc-4C.2: Documentation in curriculum guides, lesson plans, student learning plans, and classroom observations

Indicator Sc-4C.3: School helps students and their families formulate education goals and understand and use a variety of data sources about student progress and interests.

Sources of Implementation Evidence Sc-4C.3: Documentation in curriculum guides, materials for families, and agendas and schedules for events that include families and students

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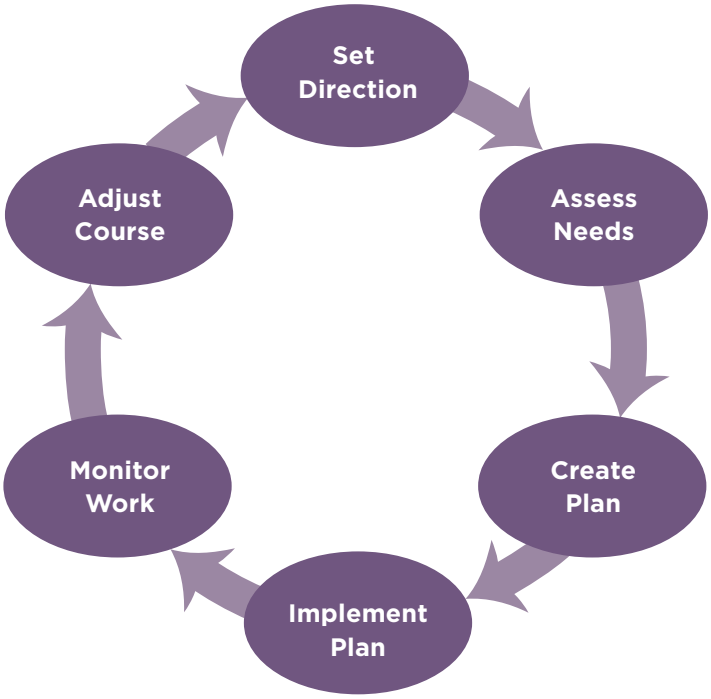
Appendix: Indicators and the Improvement Cycle

Indicators are an important component in understanding whether rapid improvement efforts are successful. Layland and Corbett (2017), writing for the Council of Chief State School Officers and drawing from multiple sources, provide a stepwise process for improvement by a state, district, or school that is managed by a leadership team. Layland and Corbett's continuous improvement process (p. 34), consists of the multi-step iterative cycle shown in figure 1. Individual steps are described below.

Figure 1: Improvement Cycle



Source: Layland and Corbett (2017). Adapted with permission.

Set direction

Ideally, members of the leadership team charged with managing an improvement process for their state education agency (SEA), local education agency (LEA), or school begin work with a clear direction in mind — an understanding of what their organization wants to be able to do for its students. This direction is reflected in the organization's vision, mission, goals for students, and performance measures for determining progress toward the goals. If that direction is not already clear, part of the team's job is to clarify it.

Assess needs

With the desired direction in mind, the leadership team undertakes a needs assessment intended to describe the organization's current condition and also track its improvement progress. That needs assessment should dig into the four domains that research has identified as key to education improvement (CST, 2017). Assessment results, coupled with an understanding of the organization's intended direction, help the team decide where to focus initial improvement efforts versus subsequent efforts. When conducting a needs assessment, the effective practices and related indicators presented in this document are ideal to use as objectives against which to consider current practice. Findings from the assessment, along with other types of data related to student and staff demographics, student outcomes, personnel policies, culture/climate, stakeholder engagement, among others, help create a clear picture of what's going on in the education organization now compared to where it wants to be, that is, its direction. For a practical guide on constructing and administering needs assessments, see *Using Needs Assessments for District and School Improvement: A Tactical Guide* (Corbett & Redding, 2017). The indicators are also suited for use in monitoring progress, whether by the leadership team itself or by external coaches.

Create plan

To develop the improvement plan most likely to enable the organization to reach its goals, the leadership team must be guided by information describing the organization's aspirations (e.g., vision, mission, goals for students) and its current condition (which may include progress already underway). With this context in mind, the team can identify the domain(s) in which it appears work is most urgently needed and can begin to select practices (i.e., strategies) for moving the organization forward. Inherent in the process of creating a plan is the need to prioritize and target and to decide where and when to focus efforts so as to identify what will change and by when.

Choosing effective practices

Over time, *all* effective practices will be important to an education organization; however, in an improvement plan, some will be more immediate priorities than others, depending on a leadership team's understanding of its organization's intended direction and current context. In selecting the practices and related indicators that will be prioritized in the plan, the team also needs to consider which data will best reflect how the organization is progressing in its specific improvement efforts.

The exercise below can be used by a leadership team as it selects the practices that it thinks might best address the areas most immediately in need of rapid improvement. In the exercise, the team constructs a theory of change for any practice being considered for inclusion in the improvement plan, that is, a theory of *how* the practice will yield the desired results. To do so, the team uses an *if-then-and* logic statement, in which

- the *if* phrase identifies the particular practice being considered;
- the *then* phrase articulates how the team expects the practice to be enacted in order to generate the desired results; and
- the *and* phrase reflects the team's intentions in using the practice (i.e., the goals it wants to achieve) and, in doing so, suggests which indicators might best serve as objectives in the plan. The *and* phrase also suggests some possible outcome measures.

In the following example of a logic statement, the practice being considered is that of *diagnosing and responding to student needs* from the Instructional Transformation domain:

> *If* our district diagnoses and responds to student learning needs, *then* teachers will apply targeted interventions in a timely fashion, *and* each student will meet or exceed readiness benchmarks indicating that the student will graduate prepared for college, career, and community engagement.

To develop a logic statement:

1. The team starts by articulating a student goal, which is the *and* phrase in the *if-then-and* statement: "Each student will meet or exceed readiness benchmarks indicating that the student will graduate prepared for college, career, and community engagement."
2. The team then identifies an outcome measure: the percentage of students meeting or exceeding readiness benchmarks in both reading and math.
3. The team then *identifies a data source:* the annual state standards assessment. In this example, the team identifies baseline passing rates of 64 percent for 2018 and sets target rates of 70 percent for year 2019 and 74 percent for year 2020.
4. Based on the organization's intended direction and what the team has learned about current practice from the needs assessment and other data, it then identifies a domain in which to focus its improvement efforts, in this case, Instructional Transformation.
5. Within that domain, it then picks a practice to consider, the *if* phrase of the *if-then-and* statement; in this case the practice is, "Diagnose and respond to student learning needs."
6. The team then thinks deeply about how it expects the practice to be enacted so it will lead to the desired results. That expectation becomes the *then* phrase of the *if-then-and* statement. In this example, the expectation is that "teachers will apply targeted interventions in a timely fashion."

Caution: While it's important for teams to consider how they will measure outcomes, it's equally important for them to design a system to support the effective implementation of a practice.

To reiterate, in this *if-then-and* exercise, the *if* phrase is the practice, the *and* phrase is the student goal, and the *then* phrase is the leadership team's understanding of how the practice must be enacted for the organization to reach its goal. Of course, no one practice, however well implemented, will catapult all students to the desired outcomes, but any practice included in an improvement plan should first be tested in this way so that the team is clear about how a particular practice, in combination with others, will help the organization move toward its student goal. This understanding is critical in choosing which indicators of effective practice to include in the improvement plan.

NOTE: In addition to identifying outcome measures, a leadership team may want to identify performance measures for how a practice is carried out. In the example, the team might query *whether more teachers more appropriately applied interventions* in a targeted fashion. Using performance measures tests the level of implementation for the particular practice, while the outcome measure (step 2, above) tracks the collective effectiveness of this and other practices.

Choosing indicators of effective practice

Although the practices in the *Four Domains* framework serve as strategies that provide general direction in a plan, they do not provide the specificity needed for implementation. That specificity is provided by the indicators (and, further, subsequent actions within each indicator). Rephrasing an indicator as an objective, by changing it to a future tense, makes it a key component of an improvement plan. More-specific actions, along with timelines, can then be planned in line with the objective. The actions and timelines can then be monitored to determine fidelity to the plan. The objective's full implementation can be verified with evidence, as suggested in the main body of this document.

Using the practice from the exercise above, the following example shows how a School Leadership Team uses an indicator as an objective in its school improvement plan.

The School Leadership Team has determined that its school needs to work on the practice "diagnose and respond to student learning needs," from the Instructional Transformation domain.

It has constructed a theory of action to clarify its thinking about the practice:

> *If* our school diagnoses and responds to student learning needs, *then* teachers will apply targeted interventions in a timely fashion, *and* each student will meet or exceed readiness benchmarks indicating that the student will graduate prepared for college, career, and community engagement.

After looking at the indicators associated with this practice, the team realizes that all of them point to weaknesses in the school's instructional system. So it decides to include them as objectives in its improvement plan. Here is how it addresses one of the indicators:

The team uses Indicator Sc-3A.3: School teams use student learning data and instructional strategy data to design fluid instructional groupings that respond to student need. Sources of implementation evidence for the indicator are team meeting minutes and descriptions of instructional groupings.

For inclusion in its improvement plan, the team rewrites the indicator as an objective, in the future tense: "School teams *will* use student learning data and instructional strategy data to design fluid instructional groupings that respond to student need."

For evidence of implementation, the plan says, "The leadership team will review the minutes of the teacher instructional teams and determine that the teams routinely use both student learning data and instructional strategy data to create student groups."

The team then gets more specific, identifying actions and target completion dates and assigning responsibility, for example:

> **Action 1:** Principal meets with teacher team leaders to develop a standard procedure for data review and student groups.
>
> **Target Completion Date:** November 15
>
> **Primary Responsibility:** Principal

The team then constructs additional actions for familiarizing teachers with the procedures and examining the documentation to make sure the change is being effectively made and to make course corrections as necessary.

Monitor work and adjust course

Each month, the team monitors implementation of its improvement plan by tracking progress in completing specific actions and in fully implementing the objectives. Annually, the team examines performance measures to determine progress toward goals, and it may apply similar performance measures to its chosen practices. As part of a continuous improvement process, the team revisits the organization's direction; conducts and examines the results of new needs assessments, along with student outcome data, to see what progress has been made; and, based on these steps, revises the improvement plan.

The leadership team — whether state, district, or school — uses the improvement process to set and pursue its goals and address the results of needs assessments. Pursuing goals is a matter of adopting practices, selecting indicators, and creating actions to fully implement the objectives (indicators rephrased in future tense). Establishing timelines, identifying who's responsible for what, and tracking evidence of success are all part of the improvement process and, thus, are the ongoing work of the leadership team.

FOUR DOMAINS FOR RAPID SCHOOL IMPROVEMENT: INDICATORS OF EFFECTIVE PRACTICE

PR/Award # S283B190059

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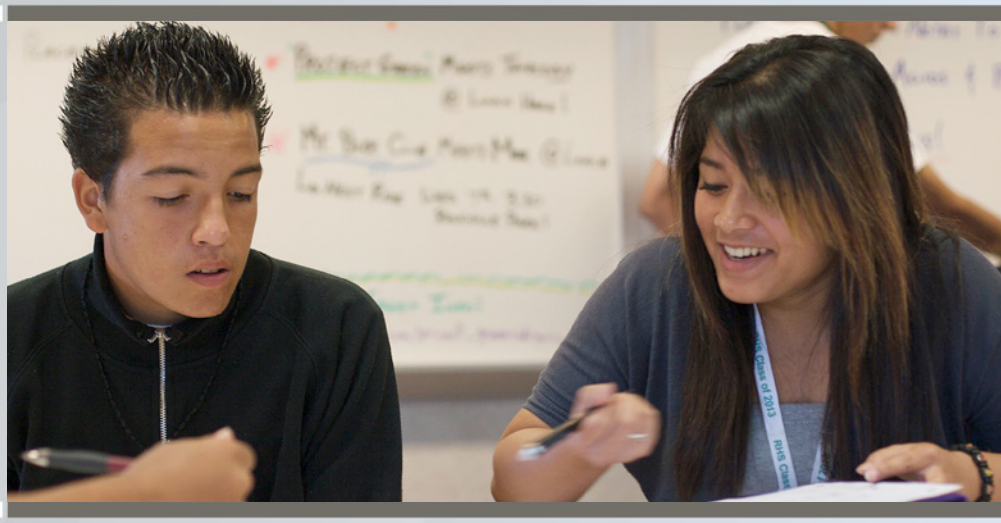

SHIFTING SCHOOL CULTURE TO SPARK RAPID IMPROVEMENT

A Quick Start Guide for Principals and Their Teams

Sam Redding and Julie Corbett

The Center on School Turnaround FOUR DOMAINS *Series*

PR/Award # S283B190059

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Contents

Getting a Handle on Culture **1**

What is school culture and why does it matter? 1

Multiple cultures affect us all 2

Shifting Culture: Three Key Practices **3**

Build a strong community intensely focused on student learning 3

Solicit and act upon stakeholder input 4

Engage students and families in pursuing education goals 5

Responding to Students' Cultures **6**

Prepare to teach with cultural responsiveness. 6

Reconceptualize the teacher–student relationship. 6

Bridge cultural referents 7

Exalt a community of learners 7

Use story 7

Shifting to the School Culture We Want **9**

Prepare for the shift 9

The Quick-Start Culture Shift Tool **13**

A. Prepare for culture shift 13

B. Build a strong community intensely focused on student learning (Community) 17

C. Solicit and act upon stakeholder input (Climate) 17

D. Engage students and families in pursuing education goals (Aspiration) 18

E. Build from the strengths of diverse cultures and individual students' potential (Responsiveness) 18

Summary for action planning 20

Glossary **21**

References **22**

Getting a Handle on Culture

The Center on School Turnaround (CST) has identified four levers, or domains, for dramatic change to rapidly improve schools: turnaround leadership; talent development; instructional transformation; and culture shift (CST, 2017). These levers are highly integrated — the only way for each to succeed is to ensure that all four are enacted and aligned. Yet each requires an understanding of the unique knowledge, skills, and tools required for its enactment. This paper focuses on Domain 4, culture shift — what it means, why it is essential for rapid improvement in a school, and — critically — how to move a school from a negative culture to a positive one that fosters student learning and success.

A school's culture is a powerful force that will work for or against improvement efforts. A school with persistent and chronic low achievement has, almost by definition, spiraled into a negative culture that contributes to and is worsened by its failures. Rapid improvement, then, requires culture shift, an enterprise that requires changes in mindsets, norms, and attitudes and is as difficult and uncertain as it is essential.

In this paper, we address the nature of that challenge. We define what we mean by school culture and differentiate between the school's culture and the variety of cultural influences students and teachers bring with them to the school. Throughout, we emphasize that the unrelenting focus of a successful school's culture is student instruction and learning. We address why, in particular, that means ensuring that everyday school and classroom practices substantively respond to, rather than ignore or simplistically acknowledge, students' home and family cultures. Finally, we offer steps schools can take to prepare for culture shift and a tool that can help launch and guide the change process.

What is school culture and why does it matter?

School culture is the "underground stream of values, beliefs, traditions, and rituals," built up over time, that influence daily behavior and actions of everyone at the school and set the context for student learning (Peterson & Deal, 1998). At any school, a positive environment of respect and trust is key to enabling the teamwork needed to solve problems and meet challenges. At a persistently low-achieving school, defeat and pessimism have likely become entrenched. Immediate concerted action to shift to a positive culture is crucial to fostering the community cohesion needed for student learning and academic improvement.

A negative culture "smothers" low achieving schools as an atmosphere of neglect, dysfunction, and disappointment takes the oxygen from efforts to improve (Peterson & Deal, 1998). The staff lacks a sense of community and common purpose. There is often a sense of "us versus them" and much blame shifting and finger pointing. Stakeholders don't feel listened to; responses to issues raised are slow and inconclusive. People assume a hidden agenda behind every decision. Fear of retribution for speaking up leads to self-protection rather than a focus on students. A compliance mindset robs staff of the ability to take ownership or responsibility for student learning or to hold each other accountable.

> ***Culture shift requires changes in mindsets, norms, and attitudes and is as difficult and uncertain as it is essential.***

By contrast, in a positive culture, trust, teamwork, and a common sense of mission, focused squarely on instruction and learning, prevail. A shared understanding of "how we do things around here" in the service of student success is matched by each individual's clarity about his or her role in achieving the mission. Core values driving actions and decisions are overt. Structures are in place to involve all stakeholders in decision making, and people feel safe to raise problems. Leaders openly and honestly admit mistakes, both to signal the "messiness" of change and to model the openness that builds trust and teamwork. High expectations are matched by support to achieve them. There is a sense of community where students are well known, feel safe, and can learn in a caring and supportive environment.

A turnaround culture has the additional dimension of urgency — of fusing strong community cohesion with an academic press. The task is to sustain an intensity that challenges and supports students to aim higher, work harder, and realize the satisfaction of accomplishment. Doing so requires that the school's community of people — staff and students and also the families of students — be engaged, collaboratively, in the turnaround work.

Multiple cultures affect us all

It's important that we recognize that within schools, a number of "cultures" come into play and have an impact on students. Beyond the school culture itself are the characteristics of the community the school is embedded in, the individual backgrounds of each student and teacher, the sensitivities of various constituencies, and the influence of mass culture in a world of mass media and the internet. Students and teachers live within these multiple and overlapping cultural spheres. Each culture exerts pressures, both positive and negative, on everyone within its field of influence.

No shift in school culture removes all the pressures from all the various cultures that affect any one child or teacher. But part of being educated is learning to filter the positives and negatives of our cultural influences rather than being imprisoned by them. We learn to make reasoned judgments about them and exert selectivity in how they influence us. How we understand that is, itself, culturally influenced.

To be clear, culture is not race, ethnicity, class, or socioeconomic status. It may run alongside these characteristics so closely that it seems their shadow at times, but it should not be conflated with them. Poverty, for example — endemic in many low-achieving schools — is a situation, not a culture. It's a situation shared by a multitude of groups of people from Appalachian whites to Somali immigrants, groups who likely don't share much in terms of values, dispositions, and behaviors that usually describe culture (Gorski, 2013). Yet too often, when teachers or other adults face a behavior such as apathy or aggression that they can't explain or identify with, "culture" becomes the catch-all culprit, "randomly and regularly used to explain everything" (Ladson-Billings, 2006).

Rather than using culture as a catch-all for blame, successful schools honor it and harness its power to reach and engage students.

Rather than using culture as a catch-all for blame, successful schools honor it and harness its power to reach and engage students. All school personnel receive training and support to understand their own and their students' cultural and linguistic backgrounds. Teachers, in particular, receive professional development and ongoing support to implement culturally responsive pedagogy, an instructional approach (discussed further, below) wherein teachers know their students well and integrate culturally relevant experiences and material into the classroom to help students make connections between ideas.

Shifting Culture: Three Key Practices

To move a school from a negative to a positive culture involves three key practices for rapid improvement: 1) build a strong community intensely focused on student learning; 2) solicit and act upon stakeholder input; and 3) engage students and families in pursuing education goals.

Build a strong community intensely focused on student learning

Building a positive culture starts at the top. The school's leaders, including those leading the culture shift, need to embody, model, and overtly talk about the values driving the enterprise (see "Name Your Values," below) and keep everyone focused on the pivotal urgency of improving student learning. They need to create structures, including multiple layers of teams, for exchange of information, common message building, and sharing of accomplishments and frustrations. Structures that foster open, transparent communication help strengthen relationships, infuse a sense that everyone is "in the loop," and allow all players a voice and sense of ownership of reforms. Above all, by explicitly signaling "we need your involvement, we need your support," they foster a sense of community, common purpose, and trust — the building blocks of culture shift.

> ***Members of the school community come together and ask, "How do I, whatever my role, help contribute to a culture where students work their hardest?"***

The point that bears repeating is this: the shift in the values and behaviors of the people attached to the school must be in the direction of greater intentionality about teaching and learning. In other words, for students, teachers, staff, and parents, the idea is not merely to shift to a more uplifting culture. It's to shift the culture in ways that matter to learning.

That means developing a vision for what an effective school culture looks like. Doing so means creating opportunities for members of the school community to come together to discuss, explore, and reflect on student learning. What will be different here when instruction is effective and students are highly engaged? Importantly, it means going beyond discussion to each person thinking about what he or she will *do* — in short, asking such questions as, "How do I, whatever my role, help contribute to a culture where students work their hardest?" Leaders compile and delineate the agreed upon roles, responsibilities, and expected behaviors of each person — whether administrator, teacher, parent, caretaker, volunteer, or student — regularly reiterating how each contributes to the turnaround process and student progress (CST, 2017).

Such specific defining of roles and expectations creates a sense of interdependency among members of the school community. People begin to trust each other, take responsibility for collective action, and become loyal to each other beyond immediate self-interest (Cobb,

1992). Over time, members of the group gain confidence that others in the group will fulfill the obligations of their spelled-out roles (Coleman, 1990).

Solicit and act upon stakeholder input

As the school community works to make a positive shift in school culture, it's important to collect data at regular intervals by way of stakeholder surveys, focus groups, and/or questionnaires. These data are important for helping focus and shape culture-change efforts and for gauging the effectiveness of those efforts. More than that, when schools collect input from stakeholders and then share findings as well as actions taken based on that input — a crucial feedback step — barriers of mistrust begin to break down and the us-versus-them mentality dissipates. When parents, for example, see that their opinions on such things as the school's schedule actually lead to schedule changes, they get a message of acceptance and empowerment. That builds trust and ownership.

Strictly speaking, surveys and focus groups are measuring school *climate* rather than culture, though these terms are often used interchangeably. As distinct from the more encompassing idea of culture, we define school climate as the perceptions of people in the school community about their school and each other. Climate, in short, mirrors culture. And we can much more readily assay people's perceptions — what students, parents, teachers, staff, and administrators think about the school, their role relative to the school, their satisfaction with their relationship with the school.

> ***When schools collect input from stakeholders and then share findings as well as actions taken based on that input, barriers of mistrust begin to break down.***

Climate indicators include such factors as a school's order, safety, and discipline; supports for teaching and learning; personal and social relationships; and school connectedness (Voight, Austin, & Hanson, 2013). Surveys and interviews can query people's thoughts about those factors. What they think at any point in time is important to know. Libraries of school climate items are readily available. Responses can be quantified, aggregated, disaggregated, indexed, and mapped over time to create a trend line.

It's Important to remember that defining and choosing indicators is dependent on articulating vision: How does the school describe the culture to which it aspires? When findings from climate research are shared with all stakeholders, that vision forms the basis for dialogue about the findings and provides direction for taking action. Teachers and administrators, for example, consider survey findings about classroom environments in light of their commonly understood vision of what effective classrooms look like. That allows them to collaboratively brainstorm actions that would change classroom practices and improve student learning.

Leaders can buoy these efforts by continually reminding everyone that school climate and culture are, indeed, malleable. Recent studies underscore that intentional interventions — for example, schoolwide adoption of a behavior management system; instructional approaches that teach students social skills that foster social and emotional learning; and classroom management approaches wherein students themselves establish rules and norms and, thus, are motivated to take responsibility — can create shifts toward rapid improvement in a school (Voight, Austin, & Hanson, 2013). Such interventions lead to improvements in student behavior and performance. In tandem, attitudes and perceptions about the school become more positive.

With all this in mind, our advice for gaining a data grip on culture is to: (1) adopt a climate survey that suits the context and aspirations of the school; (2) construct a list of descriptors for the desired, observable expressions of culture found in rituals, routines, customs, and attributes of the facility; and (3) use the indicators of practice (see the Quick-Start Culture Shift Tool, below) to calculate the degree of implementation at any point in time, basing this calculation on the percentage of indicators in effect. Out of this, a culture scale may be constructed that fits the school's vision and aspirations.

Engage students and families in pursuing education goals

Culture shift is as much about aspiration as custom and tradition. A successful school culture is clear about its north star, for the school and for each student and teacher in it. A cultural atmosphere of hope and high expectation encourages teachers, students, and families of students.

In an aspirational culture, teachers create classroom environments that emphasize learning goals and provide support. They help students build skills in setting learning goals, thus fostering intrinsic motivation and high-quality learning. Students who have opportunities to set goals, apply learning strategies, and track their own progress toward mastery become confident, independent learners. They develop aspirations, meaning that they are able to identify and select goals for the future, while being inspired in the present to work toward those goals (Quaglia & Cobb, 1996).

> ***In an aspirational culture, students have opportunities to set goals, apply learning strategies, and track their own progress toward mastery. They become confident, independent learners.***

Teachers help students explore possibilities, articulate their personal aspirations, and connect their learning to the pursuit of these aspirations. At the same time, the school helps students and their families formulate educational goals and understand and use a variety of data sources about student progress and interests. When parents guide their children to articulate aspirations and reinforce day-to-day behaviors in pursuit of those aspirations, student achievement improves (Jeynes, 2010; 2011).

In an aspirational culture, then, each student has access to personalized learning, supported by qualified, caring adults. Teachers purposefully form respectful, trusting relationships with students and parents. Teachers engage each student in identifying what will be learned and designing how it will be learned and intentionally building students' personal competencies that propel learning (Redding, 2016).

To help each student gain clarity over time about his or her interests and aims and the path toward personal life goals, a growing trend in schools is to have an individual plan of study for each student as part of a process to keep students on track throughout the grades. This process typically begins in middle school and carries through high school, prompting students to think about their college and career possibilities and align coursework and experiences accordingly. The process includes a learner profile; periodic meetings of the student with parents, teachers, and counselors; and the mapping of a learning pathway. On occasion, community members representing the student's interest areas are also brought into these meetings.

Responding to Students' Cultures

Effective educational environments and instructional practices go beyond *understanding* students' cultural contexts to embracing students' cultures and using their prior experiences, frames of reference, and cultural knowledge as resources for learning. At the heart of this approach is culturally responsive teaching, a pedagogy that recognizes the importance of including students' cultural references in all aspects of learning (Ladson-Billings, 2006, 2009).

Key steps schools and teachers can take to foster a culturally responsive teaching and learning environment include:

Prepare to teach with cultural responsiveness.

Effective instruction for any student requires that the teacher respects and leverages each student's cultural background, taking advantage of each culture's richness to help students make connections among ideas. This is a different instructional approach for many teachers, and making the shift is no small task. It requires that the school overall, as well as each teacher, undergo an intentional reorientation to the craft of teaching (Hammond, 2015).

Fostering and preparing for that reorientation calls for training and support to help all personnel understand their own and their students' cultural and linguistic backgrounds; to avoid stereotyping of students based on assumptions about their family and cultural backgrounds; to encourage a growth mindset that encourages academic growth and success for all students through effort, self-regulation, and persistence to mastery; and to help teachers integrate cultural and linguistic material into the curriculum.

Reconceptualize the teacher–student relationship.

Teachers need to have high expectations and be very demanding while also offering encouraging support, thus affirming their faith in students' ability to rise to the high standards. In a culturally responsive teacher-student relationship, the teacher's job is to "find a way to bring the student into the zone of proximal development while in a state of relaxed alertness so that he experiences the appropriate cognitive challenge" (Hammond, 2015). This requires what's been called "hard caring"(Antrop-Gonzalez & De Jesus, 2006) or being a "warm demander"(Kleinfeld, 1975). An important aspect of helping students do their best is for teachers to promote a growth mindset — an understanding that intelligence is not fixed; instead, effort will lead to increased competence. One way teachers promote a growth mindset is by insisting on, and rewarding, persistence to mastery for all students.

Bridge cultural referents

To impart knowledge, skills, and attitudes that empower students intellectually, socially, emotionally, and politically, culturally responsive teachers alter the cultural referents in the curriculum (Ladson-Billings, 2009). Appropriate cultural referents are a bridge to explain the dominant culture. They are also aspects of the curriculum that allow students to use their prior knowledge and experiences to make connections among ideas.

As an example of a culturally relevant style, Ladson-Billings (2009) notes that a fifth-grade teacher might begin a lesson on the U.S. Constitution by discussing bylaws and articles of incorporation used to organize a local church or African American civic association. "Thus the students learn the significance of such documents in forming institutions and shaping ideals while they also learn that their own people are institution-builders. This kind of moving between the two cultures lays the foundation for a skill that the students need in order to reach academic and cultural success" (Ladson-Billings, 2009).

Exalt a community of learners

Teachers must intentionally foster a sense of community among students in the classroom and with their families. Ladson-Billings (2009) describes traditional classrooms that tend to rely primarily on interactions between the teacher and each student. Such classrooms are often colored by the student's academic performance and behavior, she notes, and miss opportunities to take advantage of the diversity of student backgrounds and cultural crosscurrents to help students connect with and understand new ideas. By contrast, the culturally responsive teacher structures the classroom to develop a "community of learners" that provides students from varied backgrounds with a strong sense that each is seen, matters, and belongs.

The culturally responsive teacher develops a "community of learners" that provides students from varied backgrounds with a strong sense that each is seen, matters, and belongs.

The teacher not only works deeply to understand each student and personally connect with each but also establishes classroom structures and routines that allow students to get to know each other and that encourage collaborative learning. The teacher also explicitly teaches social-emotional skills such as self-regulation, communication, and cooperation as a foundation for academic learning. Using strategies such as cooperative learning groups, the teacher supports students in teaching each other, learning from each other, and assuming responsibility for each other's learning. In addition, the teacher forms connections with students and their families beyond the classroom and school. This community of learners incorporates "value, beliefs, traditions, and rituals" that constitute a culture — one that transcends the cultures the students bring to the classroom.

Use story

Culturally responsive teachers use specific instructional strategies that teach the commonalities and meritorious distinctions of different groups of people as well as the human qualities and experiences that are universal. Gay (2010) makes the case for one such method: the use of story. Stories, writes Gay, "are a powerful means for people to establish bridges across

other factors that separate them (such as race, culture, gender, and social class), penetrate barriers to understanding, and create feelings of kindredness" (Gay, 2010).

Stories can create links between home, family, and school and can be used to give deep meaning to many different kinds of lessons. They can be based on student interviews with family members. They can bring parents into the classroom to tell their family stories.

Gay notes that story-making — the art of creating and telling stories — is itself an important learning task, serving alongside story-listening, interpretation, and sharing. Students learn that stories convey intentionality; they help connect the causes behind the outcomes we see. Stories express values, beliefs, desires, and theories, communicate emotions, and describe the motivations of their characters. For all these reasons, stories shared and held in common among classmates contribute to their sense of community and attachment to the classroom and school.

Shifting to the School Culture We Want

Toeing up to the starting line for rapid school improvement and turnaround, the reform team must consider the school that is as well as the school desired. From the outset, it's critical to bear in mind that the fundamental reason for the culture shift is to significantly improve student learning. Decisions about courses of action must be guided by determination of each action's potential impact on learning, not just by the good that may be achieved in terms of warm feelings among members of the school community. The school environment must be a place that supports and encourages learning. It must be a safe space that allows children to grow.

Like any attempt to change people's behavior, shifting culture requires an understanding of what motivates behavior and what facilitates change. Telling people that everything they've been doing is wrong and has to change is unlikely to motivate cooperation. People require a rational explanation to help create a bridge from where they are to where they're expected to go. Teachers, parents, and administrators all deserve support and understanding, even as the best interests of students impels urgency to rapidly improve.

Like any attempt to change people's behavior, shifting culture requires an understanding of what motivates behavior and what facilitates change.

Below, we offer four ways to prepare for the culture shift followed by a tool to help engage the three key practices in shifting a school culture toward one more conducive to learning.

Prepare for the shift

Four sets of actions can help culture shift leaders prepare a school community for the shift: (1) Name your values, (2) Look around you, (3) Count your customs, and (4) Pluck up your courage.

Name your values

Culture reflects values, and shifting a culture begins with boldly stating the values the new culture is to reflect. Engaging a representative group of school community members in a process to arrive at consensus about a short list of value statements is a good starting place. The people who are already there have a wealth of knowledge, and engaging them honors that knowledge and helps to build ownership of the change process.

Early in the process of rapid improvement, facilitate sessions with this group to discuss what's going well versus what needs improvement and to brainstorm a set of values to guide that improvement. This begins to lay the groundwork for building a necessary environment of candor, which is likely in short supply in a school in need of significant improvement. An

honest assessment of current reality can help lead to a shared vision and to action steps to attain that vision (White, 2013).

Since the potential list of values is endless, and focus is important for results, it's important to whittle down the list to a manageable few core values. Focusing on just a few key values facilitates intentionally applying those few to behavior — of students, staff, and even parents, as models and guides for their children. Seeing values materialize in behavior is the ultimate goal, and articulating core values is the first step.

Stating values is, of course, a common practice in schools. A list of values is often posted alongside the school's mission statement in the main hallway, and value statements may be referenced in student handbooks, rules, and regulations. But explicitly using the value statements as concrete guideposts to steer all policies and practices — including, for example, hiring, promoting, and retention decisions — is less common.

To guide the work of articulating values, models can be brought into play. For example, the Circle of Courage model, based on Native American traditions and culture, focuses on four core values: belonging, mastery, independence, and generosity (Reclaiming Youth International, n.d.; Brendtro, Brokenleg, & Van Bockern, 2002). The model's central theme is that a set of shared values must exist in any community to create an environment that contributes to resiliency.

An honest assessment of current reality can help lead to a shared vision and to action steps to attain that vision.

At the CST we cite three interrelated values that we believe are inherent to a strong school culture: trust, respect, and high expectations. Trust and respect form the relational foundation for a community. Trust is a contributing variable to school performance and student learning, one that builds from social relationships in and around the school (Bryk & Schneider, 2002). Trust and respect grow from experiences involving cooperation and solidarity, experiences that encompass a sense of service and lending a helping hand so that others may achieve. As members of the group demand sacrifice from one another, powerful social bonds form (Douglas, 1986). These bonds help reinforce high expectations for self and others, as people embrace the idea that actual accomplishment matters here.

Look around you

To get a read on the school as it now exists, look for cues around the school. What do you notice? Three things tend to form our first impressions: the cleanliness and polish of the facility; the wall displays and signage in the hallways; and the interactions among students, teachers, administrators, support staff, and visitors. These are outward indicators of prevailing values; they represent the school's culture. Large art murals that feature the students, for example, spread messages of aspiration and high expectations. Appearances, in other words, matter. The cleanliness and functionality of bathrooms, the condition of water fountains and lockers offer vivid expressions of how students are valued. Such indicators can be noted, described, and discussed by the teams enacting the shift.

The cleanliness and functionality of bathrooms, the condition of water fountains and lockers offer vivid expressions of how students are valued.

As we spend more time in the school, we discover more cultural cues. We notice people's dress. We see waves of behavioral change when bells ring. We walk by classrooms and notice the deportment of students and the energy of teachers. We listen to conversations and detect the nature of the interactions, how teachers talk about students and students' families, how students talk about each other, how visitors are greeted and treated by office staff. Of course, there are great variations among the many different people, but patterns emerge — a group's value-laden, normative patterns of social behavior.

A staff developer writing about change in schools relays a telling professional development scenario. "The session is held in the auditorium, which has far more seats than there are faculty. As the teachers come in, many go straight to the back. The superintendent asks people to move to the front, but there is always a group, mostly male high school teachers, who stay back there. Before I've even been introduced or had a chance to bore them, some of them have their newspapers out, some are correcting papers, some are dozing" (Evans, 1996).

This scene says volumes about the school's professional relationships, the status of communication, and how people perceive and treat each other. It exemplifies value-laden social behaviors that we would want to shift away from in a rapidly improving school. Identifying and reversing behavioral patterns that reflect negative or counterproductive values is one part of the shift. The other part is everyone knowing and embracing what the school wants to shift toward.

Count your customs

Customs are predictable routines associated with events, and every enactment of a custom is an opportunity to amplify a value. Customs are typically rituals, traditions, or ceremonies associated with beginnings and endings — for example, the first day of school, last day of school; how students are greeted when they enter the building; the opening of school each morning and the end of each school day; graduations. Customary behaviors also mark many other events — such as the school team's introduction at a ballgame or the curtain call after a play — and situations, such as when a new teacher joins the staff. To greet the new teacher, maybe the principal emails an announcement, holds a special introduction in the gym, or presents the teacher with a sweatshirt emblazoned with the school mascot.

In preparing for cultural change, it can help to create a list of situations that call for customary behavior, then describe existing customs related to each situation. For example, "Each day the principal does morning announcements that emphasize the four P's: be prompt, be prepared, be professional, be productive." What values are evinced by this behavior?

Culture shift leaders can analyze the list with the aspirational values of the new culture in mind. Do the customs express and magnify the stated values? This exercise can help determine which customs deserve to be either extinguished or amplified.

Pluck up your courage

The decision to shift culture occurs at a point in time and is spearheaded by one person or a small core group of visionaries. It takes courage to be in the vanguard of change, since efforts will, without doubt, face resistance in some quarters. There will be community members who don't believe real change will happen because they are inured to thinking that people won't change their behavior, beliefs, or mindsets. At the same time, however, culture change leaders will attract an enthusiastic cohort of the like-minded, and over time those numbers will grow.

Culture change leaders can take several actions to bolster their chances of success. Importantly, they need to recognize that rapid improvement is best achieved not by lone stalwarts but through a coordinated, systemic course of action designed to have true collective impact (CST, 2017). That kind of action requires enlisting the support and involvement of school, district, and even state-level personnel. Additionally, given the challenges of the work, the partners leading it need to bolster each other as well as hold each other's feet to the fire. Said one veteran of a turnaround culture effort, "We are with each other so much, we share our lives with each other. We have to be able to say difficult things to each other. We talk, we meet, we work, we develop and implement action items."

Once a win occurs, "publicize the hell out it," said one reformer. "Once we could demonstrate some success, everyone wanted to be part of that winning team."

Finally, the partners need to deliberately and strategically use such tools as surveys and focus groups to identify and go after low-hanging fruit — areas where early wins are most likely. Once a win occurs, they should "publicize the hell out it," said one reformer. "Once we could demonstrate some success, everyone wanted to be part of that winning team."

The Quick-Start Culture Shift Tool

The Quick-Start Culture Shift Tool that follows provides guidance for a Culture Shift Team, most likely a principal with district support and a core group of teachers and parents. Designed to aid in planning and executing a culture shift, this tool is built from three sources:

- the four ways to prepare for the culture shift (Name Your Values, Look Around You, Count Your Customs, and Pluck Up Your Courage),
- the indicators of effective practice (CST, 2018), and
- a set of indicators for cultural responsiveness.

For a quick start for a culture shift, this tool will help a school's Culture Shift Team enact a quick start by getting a handle on both the current school culture and the culture they aspire to. For more complete guidance on incorporating indicators into a turnaround or improvement cycle, see *Four Domains for Rapid School Improvement: Indicators of Effective Practice* (CST, 2018) and *Utilizing Integrated Resources to Implement the School and District Improvement Cycle and Supports* (Layland & Corbett, 2017).

A. Prepare for culture shift

To complete the following tables on preparing for the culture shift, follow the prompts and fill in each respective column by:

- Summarizing your observations about the existing culture.
- Describing the culture you want.
- Describing how the shift will be executed; what are your levers for change?

1. Name three to five prevailing values of the school

Values	Existing culture	The culture you want	Shift levers
Name three to five prevailing values of the school			

2. Look around you

What to describe	Existing culture	The culture you want	Shift levers
Outside, classrooms, hallways, bathrooms, etc. *(brief description)*			
Describe the wall or door displays *(three words to describe)*			
Teacher attire *(three words to describe)*			
Student attire *(three words to describe)*			
Interactions between student and student *(three words to describe)*			
Interactions between teacher and student *(three words to describe)*			
Interactions between teacher and teacher *(three words to describe)*			
Interactions between staff and parent/family *(three words to describe)*			
Interactions between office staff and visitors *(three words to describe)*			

3. Count your customs

Routine	Existing culture *(if applicable)*	The culture you want	Shift levers
Morning routine *(three words to describe each)*			
End of day routine *(three words to describe each)*			
Meetings routine *(three words to describe each)*			
Rituals and ceremonies *(list)*			
Traditions *(list)*			

4. Pluck up your courage

Question to ask	Your Answers
Who leads the culture shift?	
Who are members of the culture shift team?	
Who are your allies within central office at the district?	
Who are your allies in the community?	

To conduct a quick assessment of the current status of indicators of effective practice in a culture shift:

- Meet with the Culture Shift Team to discuss each of the following indicators.
- By consensus, identify the level of implementation of each indicator.

  F = fully implemented; **L** = limited implementation; **N** = no implementation at all

B. Build a strong community intensely focused on student learning (Community)

1. All school personnel are organized into teams with clearly defined purposes (related to improving practice to enhance student learning), regular meeting times, and work products.
2. A team including teacher and parent representatives oversees school–home relationships that enhance student learning and operates with clearly defined purposes (related to improving practice to enhance student learning), regular meeting times, and work products.
3. The Leadership Team clearly defines, documents, and annually reviews roles, responsibilities, and expectations relative to students' learning for administrators, teachers, parents/caretakers, staff, volunteers, and students.
4. The school promotes, recognizes, and celebrates academic achievement in school rituals and routines, such as morning announcements, awards assemblies, hallway and classroom wall displays, and student competitions.
5. The school facilitates two-way communication and face-to-face association among school personnel, students, and families of students to work together to advance student learning.

C. Solicit and act upon stakeholder input (Climate)

6. The Leadership Team annually conducts a survey of school personnel, families, and students to gauge perceptions about the school, its effectiveness, and their place in it.
7. The Leadership Team annually releases to the school community a report of its analysis of the climate survey including concrete actions it plans in response to the analysis.
8. The Leadership Team annually convenes meetings of school personnel and families to discuss the results of the annual climate survey.

D. Engage students and families in pursuing education goals (Aspiration)

9. All teachers build students' skills in setting learning goals, applying learning strategies, and tracking their mastery.
10. All teachers help students explore possibilities, articulate their personal aspirations, and connect their learning to the pursuit of these aspirations.
11. The school helps students and their families formulate educational goals and understand and use a variety of data sources about student progress and interests.

If the Culture Shift Team determines to include cultural responsiveness as a pillar in its culture shift efforts, the following indicators will provide guidance.

E. Build from the strengths of diverse cultures and individual students' potential (Responsiveness)

12. The school provides all school personnel with training and support to understand their own and their students' cultural and linguistic backgrounds.
13. The school provides all school personnel with training and support to avoid stereotyping of students based on assumptions about their family and cultural backgrounds.
14. The school provides all school personnel with training and support on a growth mindset that encourages academic growth and success for all students through effort, self-regulation, and persistence to mastery.
15. The school provides professional development for teachers on how to integrate cultural and linguistic material into the curriculum.
16. The school promotes an understanding of the history and values of various cultures in school rituals and routines, such as morning announcements, awards assemblies, hallway and classroom wall displays, and student competitions.
17. The school includes community representatives from different cultural backgrounds in planning and providing school events that feature culture, customs, and values.
18. The school ensures that the promotion of the history, culture, customs, and values of culturally distinct groups is done in a way that engenders respect for the history, culture, customs, and values of other groups.

19. All teachers promote a growth mindset by attributing learning success to effort and self-regulation and insist upon (and reward) persistence to mastery for all students.
20. All teachers seek an understanding of each student's personal "story" and that of his or her family to appropriately engage the student and family and teach the student.
21. All teachers demonstrate in their lesson plans and materials that they have integrated cultural material into the taught curriculum.
22. All teachers promote an understanding and value for various cultures in their classroom displays, including cultures represented by students in the school and classroom.
23. All teachers employ classroom management and instructional methods that facilitate cooperative learning and mutual respect.

Summary for action planning

Reviewing the results of the Quick-Start Culture Shift Tool, have the Culture Shift Team list 10 priority actions that will initiate a dramatic and palpable shift in culture over the next three months. Identify:

Priority actions	Person responsible	Resources needed

Glossary

Culture — A group's value-laden, normative patterns of social behavior.

Custom — Situational (connected to time and place) behavior identified with a culture, such as rituals, traditions, and ceremonies.

> **Traditions** are customs that stand the test of time, being transmitted from one group in a culture to a group that arrives later to the culture.
>
> A **ceremony** is a customary way of celebrating or commemorating an event or accomplishment, and a **ritual** (often taking on religious coloring) is a precise, procedural activity that is typically part of a ceremony.
>
> **Customs as part of culture:** "Culture is the underground stream of norms, values, beliefs, traditions, and rituals that has built up over time as people work together, solve problems, and confront challenges" (Peterson & Deal, 1998).
>
> **Artifacts** are made objects with cultural significance.

Community — A group of people with common interests and shared values whose relationships with one another are based on communication and association.

Climate — The collective perceptions and attitudes of members of a group about the group, its aims, its effectiveness, and especially the relationships among its members.

Cultural competence — Skill in teaching in a multicultural or cross-cultural situation (teacher and students of different backgrounds).

School culture — The values, patterns of behavior, and customs that prevail among the community of the school — its students, teachers, staff, families of students, volunteers, and any others with an intimate association with the school.

Cultural responsiveness (or cultural relevance) — Culturally responsive teaching is a pedagogy that recognizes the importance of including students' cultural references in all aspects of learning (Ladson-Billings, 2009).

Teaching culturally — Adopting the teaching, childrearing, socialization, and acculturation practices of the students' cultures in teaching them.

Cross-cultural situation — One in which, for example, the teacher is of a distinctly different cultural background than the students.

Multicultural situation — One in which a variety of cultural backgrounds are represented, for example, among the students in a classroom or school.

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THE CENTER ON SCHOOL TURNAROUND WestEd

SHIFTING SCHOOL CULTURE TO SPARK RAPID SIMPROVEMENT: A QUICK START GUIDE FOR PRINCIPALS AND THEIR TEAMS

The Center on School Turnaround FOUR DOMAINS *Series*

PR/Award # S283B190059

THE CENTER ON SCHOOL TURNAROUND WestEd

JUMP-STARTING INSTRUCTIONAL TRANSFORMATION FOR RAPID SCHOOL IMPROVEMENT

A Guide for Principals

Sam Redding

The Center on School Turnaround FOUR DOMAINS *Series*

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Contents

Preface 1

Introduction 2
- Jump-Starting Instructional Transformation 2
- The Leadership Challenge for Transforming Instruction 3
- Four Early Actions in Planning Instructional Transformation 4

Early Action 1: Establish Practice-Focused Collaboration 6
- The Trust Needed for Change 6
- The Time Needed for Instructional Leadership 7
- The Focus Needed to Improve Practice 8
- A-Team Activities for Early Action 1: Establish Practice-Focused Collaboration 8
- Introduction and Early Action 1 References 8

Early Action 2: Map the Instructional System 9
- People and Systems 9
- Stages in the Instructional System 9
- The Principal and the Instructional System 11
- Metrics of the System 11
- Pace of Change 13
- Mapping the Instructional System 14
- A-Team Activities for Early Action 2: Map the Instructional System 22
- Early Action 2 References 22

Early Action 3: See Through Students' Eyes 23
- Students' Perspectives 23
- Removing Barriers and Providing Opportunities 23
- Students' Capabilities as Learners 25
- A-Team Activities for Early Action 3: See Through Students' Eyes 28
- Early Action 3 References 28

Early Action 4: Set the Course for Change 30
- Poised for Action 30
- A-Team Activities for Early Action 4: Set the Course for Change 31
- Early Action 4 Reference 31

Appendix A: Schedule of A-Team Meetings and Activities During 90-Day Jump-Start Period 32

Appendix B: A-Team Meeting Agendas and Minutes (Template) 34

Appendix C: The Time Needed for Instructional Leadership (With Daily Time Log) 36

Appendix D: The Focus Needed to Improve Practice 42

Appendix E: Ways Teachers Increase Students' Opportunity to Respond 44

Appendix F: Example of Basic Lesson Template 45

Appendix G: Example of Enhanced Lesson Template 47

Appendix H: Mapping the Instructional System (Tool) 51

Appendix I: Faculty Meeting Agenda 59

Appendix J: Prioritization of Transformation Strategies (Template) 61

Appendix K: See Through Students' Eyes Observation and Analysis (Tool) 63

Appendix L: Lesson Review/Observation for Personal Competencies (Tool) 68

Appendix M: Draft 90-Day Action Plan to Launch Transformation (Template) 70

Appendix N: Final 90-Day Action Plan to Launch Transformation (Template) 79

Appendix O: Progress Tracking for 90-Day Action Plan (Template) 82

List of Figures

Figure 1: Stages and Sub-Stages of the Instructional System 10

List of Tables

Table 1: Examples of Meta-Metrics for the Instructional Process 11

Table 2: Examples of Micro-Metrics for Sub-Stages of the Instructional System 12

Table 3: Minimum Expectation for Lesson Development, by School Improvement Phase 14

Preface

This guide grew out of material used in the Transformation Academy, a professional learning program for principals charged with achieving the rapid improvement of their school. The intent of that program is to help principals get started with transforming instruction — the change that is at the heart of school improvement. Transforming instruction is a big job, engaging administrators and teachers over multiple years. Because the challenge can seem so daunting, school leaders can profit from some guidance in knowing where and how to begin. This guide provides that starting point.

In the approach laid out in this guide, the principal starts down the road to instructional transformation by convening a select group of teachers as an action team (or A-team) that will look closely at how the principal makes time for instructional leadership and how teachers help each other improve their practice. The team, which includes the principal, will examine every aspect of the school's instructional system, a system that consists of planning, providing, adjusting, and enhancing instruction. The team considers learning obstacles their students might face and how well the school builds students' capabilities as learners. At key points, the team solicits input from the entire faculty.

Using the information drawn from this initial examination, the A-team sets a course for achieving instructional transformation. They identify and incorporate necessary actions into two types of plan: The more-ambitious and inherently long-term improvement strategies they identify (e.g., replacing a curriculum or adopting a new technology) are integrated into their school's continuous improvement plan. But the A-team pays particular attention to identifying strategies that can be implemented quickly (e.g., within about 90 days). It's these latter strategies, collected into a 90-day action plan, that are intended to generate quick results from targeted repairs and enhancements to aspects of instruction that the team has critiqued.

Like the Transformation Academy from which it is drawn, this guide rests on the research and practice base of *Four Domains for Rapid School Improvement: A Systems Framework* (Center on School Turnaround, 2017). That framework identifies four areas of focus, and key practices in each, that have been shown to be critical for achieving rapid and significant school improvement, including instructional transformation, the focus of this guide.

The Center on School Turnaround at WestEd presents this guide, *Jump-Starting Instructional Transformation,* to assist both those participating in the Transformation Academy and the many principals who are charged with significantly improving their schools, but are unable to attend the academy.

Introduction

Jump-Starting Instructional Transformation

Four Domains for Rapid School Improvement: A Systems Framework (Center on School Turnaround, 2017) identifies four critical areas of focus, and key practices within each one, that have been shown to be essential in efforts to achieve rapid and significant school improvement. Among these domains, *instructional transformation* can be seen as the star of the show, with the other three — *turnaround leadership, talent development,* and *culture shift* — serving primarily as stage-setters. The practices in these latter three domains are oriented to establishing the right conditions for what must transpire in the classroom between teacher, students, and content if students are to learn and outcomes are to improve. In short, they establish the conditions for effective instruction.

In addition to explaining the key areas in which school improvement efforts should focus, and the connections between those areas, the *Four Domains* framework describes the interrelated roles of the state, district, and school in effecting significant school-level improvement. The framework justifiably portrays rapid school improvement as taking place in a multilayered system with important roles for players at each level, but one thing remains clear throughout: When it comes to actually changing what happens at a school, the principal is the linchpin in the whole affair.

Role of the Principal

Although no one person alone can drive a school's transformation, it's the principal who establishes the site-level policies, structures, and routines necessary for significant change. And it's the principal who sets the tone for the school's relationships with the district office, the school board, its teachers and staff, its families, and its students. The principal is the connecting point among a community of people.

A school functions with its own internal systems, including its instructional system, in which instruction is planned, provided, and refined. Although teachers are the mainstay in each of the system's interconnected processes, it's the principal who manages the overall instructional system. The principal ensures that the work is coherent, process to process, and that it results in the best possible learning experience for students.

The principal may not be part of that magic pedagogical triangle of teacher-student-content, but when it comes to instructional transformation, the principal's role is front and center. He or she leads this transformation by astutely managing the instructional system, coordinating the work of the people in the system, and working with each person to improve or polish professional practice.

Any principal in a rapid improvement situation must understand students and the rudiments of effective teaching. But that leader must also know the school's individual teachers and understand how to engage them in practice-focused collaboration — that is, working together to examine and improve professional practice. This approach is premised on the assumption that everyone in a school's professional community has relevant expertise and experience to share and that everyone can benefit when sharing takes place.

It's easy for a principal, especially one charged with leading rapid change, to feel overwhelmed at the prospect of having to ramp up the performance of a host of teachers who are serving students of various ages, interests, and mastery levels in an array of subject areas. But in efforts to improve instruction, the principal need not stand alone. A principal can, and should, set up an environment in which he or she learns from the teachers and in which teachers are encouraged and given opportunities to share what they know with each other — in short, an environment in which practice-focused collaboration, between principal and teachers and among teachers, becomes the norm.

Role of an Action Team

To help lead instructional transformation, a principal needs well-intentioned and well-informed allies who work together in the form of an action team. A school's A-team should consist of the principal and 2 to 10 teachers who are selected by and will work closely with the principal over a three-month period to jump-start instructional transformation. Although the team *must* include teachers, it may also include people in other roles, an assistant principal or a district liaison, for example. The qualifications for A-team membership are general knowledge of teaching and learning in the school, candor, logical thinking, reliability, and optimism. The principal might also recruit teachers who are strong in areas of teaching about which the principal has limited expertise. Equally important is availability: A-team members must be able to meet with the principal as a team for about an hour each week over the course of three months, with that hour devoted exclusively to the jump-start agenda.

The purpose of having such a team is to give the principal active thought partners with varied perspectives and expertise so that, together, they can closely examine how instruction is planned, provided, adjusted, and enhanced in their school. Team members also serve as communication conduits to the rest of the faculty, sharing and explaining the progress of the team while gathering feedback and other information from their teaching colleagues. The team's collective wisdom and critical insight contribute to cogent analysis of the findings and apt targeting of specific change efforts.

The A-team sets agendas for its meeting to include the activities prescribed in this document, keeps minutes of its meetings, and establishes the norms by which it operates. (See appendix B for a template of meeting agendas and minutes.) Norms are agreed-upon behaviors for the team, typically including such actions and attitudes as *start on time, stay for full meeting, listen actively, collaborate enthusiastically, participate fully, engage completely, be prepared,* and *show respect*. A strong A-team conducts a brief process check at the end of each meeting to see if the norms are being observed.

The Leadership Challenge for Transforming Instruction

Instruction does not transform itself. Its transformation requires leadership that is catalytic, thoughtful, and persistent. That leadership resides largely with a school's principal — you. Although an effective principal wisely shares key decision-making functions with others, Walberg (2010) reminds us that, the importance of teamwork notwithstanding, "the school administration, chiefly the principal, is . . . responsible for leadership" (p. 47).

What obstacles do you and other principals face in your role as transformational leader? Principals charged with a school's rapid improvement are dealing with an instructional system in need of repair. Thus, your job includes a good dose of helping people

— predominantly teachers — do things *differently* in order to do them better. Getting people to change what they do or how they do it is no easy task.

Whether you're a new principal brought into a school needing substantial improvement or a current principal newly challenged to rapidly improve your school, as a leader you must "signal the need for dramatic change" and get "quick wins" (Herman et al., 2008). If change in general is always difficult, undertaking urgent change can be especially challenging. The success of the change efforts will depend on your astuteness in analyzing the situation, your focused attention, and your facility in dealing with the people whose practice must change.

For a principal charged with transforming instruction — or effecting any other major changes — the challenge is twofold: produce quick wins demonstrating that positive change can be a reality and garnering enthusiasm for it while also planning and moving teaching staff toward the kind of systemic transformation that requires a great deal of effort by many people over an extended period. Thus, the principal must navigate two improvement tracks at once: one to expeditiously shore up weak links in the instructional system, gaining quick wins, and the other to more deliberately plan and establish new and permanent structures and routines.

In doing this important work, many principals will encounter — and must find a way to deal with — a couple of difficult issues, one related to the circumstances of their overall job and the other related to self-doubt. The first issue is that, without any mitigating efforts, a principal's day can be fully consumed by managerial tasks that have little or nothing to do with the instructional system. The second is that many principals question whether their own instructional expertise suffices for leading instructional change across the full range of subject areas, grade levels, and student differences that are found in any school.

Faced with these issues, a principal may easily, unintentionally, and almost unknowingly stay away from instruction. When this happens, the relentless focus on instruction that is needed for rapid improvement (Herman et al., 2008) never materializes or is muted. In this guide, you'll find out how your fellow A-team members can help you deal with these two issues, in part through a collaborative consideration of how you currently spend your time and might reallocate it to focus more tightly on instruction and in part by sharing their own instructional expertise as, together, you examine and begin planning how to strengthen your school's instructional system, both in the short term and over the long haul.

Four Early Actions in Planning Instructional Transformation

This guide describes four Early Actions (with related activities) that the A-team will undertake during the three-month jump-start period for instructional transformation: (1) establish practice-focused collaboration; (2) map the instructional system; (3) see through students' eyes; and (4) set the course for change.

During this time, your A-team colleagues are your close, candid, reliable, and knowledgeable allies. Together, you first engage in practice-focused collaboration concentrated on how you spend your professional day and how to free up more time to carry out your most important role: instructional leader. Still using the same collaborative approach, the A-team then looks at one instructional practice and determines how to enhance its implementation across the teaching faculty. Once the team is comfortable with practice-focused collaboration, members begin looking for ways to establish it as a school norm.

Next, the A-team closely examines and describes each stage in the instructional system and how it plays out at your school, essentially mapping the system. In the subsequent action,

the team looks at school and learning through the eyes of your students, trying to detect learning obstacles that need to be removed and identifying learning opportunities that should be extended or added. With the broader teaching faculty, the team explores ways to build students' capabilities as learners.

Finally, in the last action, the team draws from all that you and the team's other members have learned over the course of the first three Early Actions to establish and prioritize strategies for improving your school's instructional system. Those strategies that can be carried out relatively quickly — in about 90 days — become the meat of an action plan for rapid change. Other changes to your school's instructional system that will take longer to carry out are specified in the last action and integrated into your school's longer-term continuous improvement plan.

To get an overview of how you and fellow A-team members will be working over the three-month analysis and planning period, see appendix A, which provides a general schedule of A-team meetings and activities for the jump-start period. Appendix B provides a template for your meeting agendas and minutes.

Detail about each Early Action follows, with activities described for each one.

Early Action 1: Establish Practice-Focused Collaboration

(WEEKS 1–4 OF THREE-MONTH EXAMINATION-AND-PLANNING PERIOD)

The Trust Needed for Change

Colleagues working together to examine and improve professional practice — in this case, instruction — is what this guide refers to as *practice-focused collaboration,* and establishing this type of collaboration as a schoolwide norm is the first Early Action for a principal looking to jump-start rapid improvement. Essential to the success of this approach, especially when its aim is to improve teacher practice, is mutual trust — between principal and teachers and among teachers. For you as a principal, laying the ground for that trust is critical.

In a study of 400 elementary schools, Bryk and Schneider (2002) demonstrated the connection between high levels of trust among principals, teachers, students, and parents and the students' high performance on standardized tests. *Relational suasion* refers to someone's ability to positively influence another person through the strength of their relationship. For example, a student's respect for a teacher enhances the teacher's ability to positively influence the student. Likewise, the teacher's regard for the principal enhances the principal's ability to positively influence the teacher. Thus, the degree to which a principal is able to transform instruction depends, in part, on the quality of the principal-teacher relationship.

One way of building trust in that relationship or enhancing the existing trust level is for a principal to be sure — and to be able to demonstrate — that he or she really knows and understands both individual teachers and how the school's teachers operate as a faculty. Working as part of the A-team gives a principal a close-up view of individual teachers and a microcosm of teacher collaboration. Of course, the principal needs to understand all teachers and the workings of all teacher teams, but the A-team provides an especially close relationship with a few teachers in a very focused project and, therefore, is a particularly strong learning opportunity for the principal.

Because understanding each teacher is essential to how a principal might guide teachers individually and collectively, a principal might want to look at his or her faculty through the lens of four personal competencies that Carreker and Boulware-Gooden (2015) identify as undergirding a teacher's professional ability and propensity for growth. The researchers offer this explanation of the interplay between the teachers' personal competencies and the competencies of their students:

> Curiosity drives a teacher to seek new knowledge (cognitive competency), and a growth mindset sustains the teacher through the process of learning with resilience and persistence (motivational competency). The teacher's high expectations for success (social/emotional competency) improve the

> teacher's self-appraisal of what he or she knows and his or her self-management of selecting the most appropriate strategies to ensure students' academic success (metacognitive competency). The interplay of competencies that improves personal learning also augments professional learning, increasing the teacher's ability to enhance the same competencies in students. (p. 1)

Considering a school's individual teachers and its overall faculty through this lens of competencies helps a principal know how best to support their professional growth. And when teachers recognize that their principal understands and responds to both their professional strengths and their learning needs, trust is seeded.

This trust can be deepened when a principal demonstrates the recognition that many teachers are likely to possess greater knowledge than their principal about their subject, their students, and the most effective pedagogies for teaching that subject and those students. Through practice-focused collaboration with teachers, the principal can draw on the teachers' individual and collective experience and expertise — questioning, listening, encouraging along the way. The principal should also encourage and support practice-focused collaboration among teachers apart from the principal, whether one-to-one, in grade-level groups, or in any other configuration. Discussion of practice becomes the *lingua franca* of daily conversation.

Finally, a principal committed to developing mutual trust must show a willingness to put his or her own professional practice out on the table to be collaboratively examined, in this case specifically for the purpose of identifying how he or she can spend more time in support of instruction. This demonstration is the kickoff activity for Early Action 1: Establish Practice-Focused Collaboration.

The Time Needed for Instructional Leadership

To underscore for teachers and staff the critical dimension of instruction in school transformation, a principal must demonstrate his or her own commitment to serving as instructional leader by dedicating an adequate amount of time and energy to the role. This means establishing regular opportunities to work with your teachers — individually, on teams, and as a faculty, both in meetings and in the classroom. It also means carving out more of your in-office time for instruction-related tasks, such as reviewing and giving feedback on lesson plans.

Writing about leadership in a school seeking substantial improvement, Murphy (2007) puts it this way:

> Learning-focused leaders devote abundant time to supporting colleagues in their efforts to strengthen teaching and learning in and across classrooms. Foremost, they are aggressive in identifying and removing barriers that prevent colleagues from doing their work well. They provide intellectual stimulation and make certain that teachers have a high-quality stream of job-embedded opportunities to expand, enhance, and refine their repertoires of instructional skills. They also make sure that the materials that teachers require to perform their jobs are on hand in sufficient quantity and in a timely fashion. Consistent with the involvement and investment theme, effective leaders demonstrate personal interest in staff and make themselves available to them. (p. 74)

Principals have to cover a lot of ground each day, so the question is how much time to spend on instruction-related responsibilities. The time needed will vary depending on a school's

context and the manner in which leadership is distributed; but, as a rule of thumb, you should probably preserve half of each day for instruction-related work. That includes time for meeting with individual teachers about their teaching, meeting with instructional teams, and observing classrooms. Are you wondering how to carve out that time? In activity 1.1, below, the A-team will engage to help you do just that, through practice-focused collaboration, with the practice in this case being your own, as it relates to time management.

The Focus Needed to Improve Practice

After you set the example for practice-focused collaboration by inviting — indeed, challenging — your A-team colleagues to help you improve your own practice by making more time to serve as instructional leader, you then turn the team's attention to a specific *teaching* practice. In activity 1.2, below, the A-team selects one very specific instructional practice at the school and determines how it might be improved. The point of this activity is to set in motion a pattern of behavior — practice-focused collaboration — by which two or more colleagues closely examine how a particular practice is being enacted and consider how to improve it. The intent is not just to improve implementation of a given practice, but to begin to socialize a collegial, productive, and nonthreatening process of examining and continuously improving practice so that this process might become a norm at your school.

A-Team Activities for Early Action 1: Establish Practice-Focused Collaboration

Activity 1.1: Collaboratively analyze principal's use of time, with the aim of increasing the amount of time dedicated to instructional leadership. See Appendix C: The Time Needed for Instructional Leadership (With Daily Time Log).

Activity 1.2: Collaboratively analyze a specific instructional practice at your school and consider how it can be improved across the faculty. See Appendix D: The Focus Needed to Improve Practice.

Introduction and Early Action 1 References

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Early Action 2: Map the Instructional System

(WEEKS 5–10 OF THREE-MONTH EXAMINATION-AND-PLANNING PERIOD)

People and Systems

Early Action 1 focuses on people in the school, the principal and the teachers, and on seeding trust and collaborative relationships among them as a means for helping each other improve their professional practice. Now, Early Action 2 — Map the Instructional System — examines the system in which these people practice their profession. (Early Action 3 will shine a light on those who benefit from that practice, the students themselves.)

A smoothly running system of any type operates as a functioning whole, with coherence among its parts (Redding, 2006, p. iv). Because an instructional system is human-centric in nature, its *parts* are the functions that people perform within that system. An instructional system consists of the various stages of activity through which, first, a curriculum is organized as courses and units and, second, lessons are created, taught, and revised, then returned to the lesson library for future use.

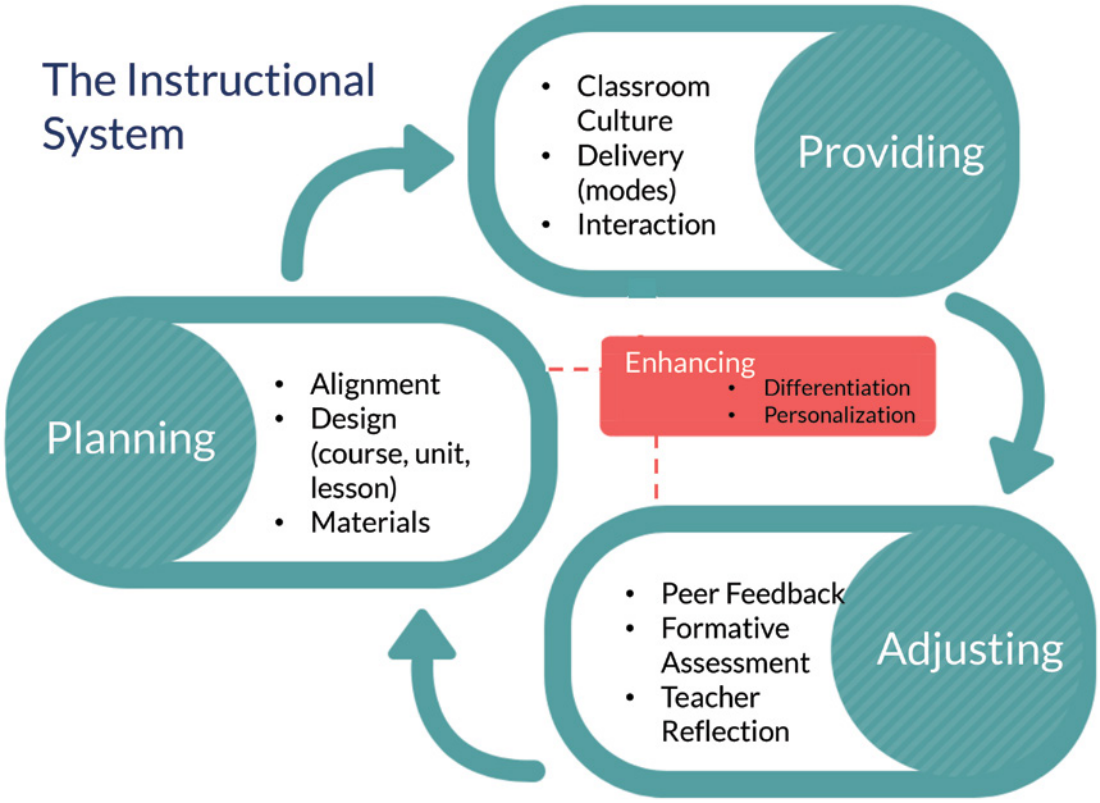
Why must a principal have a clear view of what's going on in the different stages of the instructional system at his or her school? Imagine a doctor setting a bone without an X-ray. Sure, it can be done, but only at great risk of error. Likewise, a principal who attempts to improve instruction without understanding the interrelated stages of the system that produce, deliver, and refine instruction at his or her school risks misdirected effort. Before initiating any repair to the instructional system, the principal needs to see inside that system, to understand how the "bones" are arranged, and to detect if any are cracked or broken.

The transformational leader understands and manages the system and the people in it, setting expectations and outlining routines that contribute to the coherence of what people do in each stage. W. Edwards Deming, an early guru of total quality management, as reported by John Hunter of The Deming Institute (n.d.), said that "a bad system will beat a good person every time." So, for a transformational leader, ensuring a good system is a challenge of the first order, with the qualifier "good" referring to a system that optimizes the performance, effectiveness, and satisfaction of the people who operate within it, teachers and students alike.

Stages in the Instructional System

A school's instructional system is the series of staged activities through which a lesson — that single instance of a class session in a subject — is created, taught, refined, and used again. The process is cyclical in that lessons are not discarded once taught, but are revised, improved, and, for some lessons, enhanced, then put into the mix again for future service. In any school, procedures and policies govern the instructional system, and teachers engage in professional learning to elevate their skill in each of the system's stages.

Figure 1: Stages and Sub-Stages of the Instructional System



Source: Redding, S. (2018). *Instructional design*. Philadelphia, PA: Center on Innovations in Learning at Temple University. Used with permission. (For this and many other resources, see http://www.centeril.org)

Figure 1 illustrates the stages and sub-stages (i.e., components of each stage) and the cyclical nature of the instructional system. The main instructional cycle consists of the three stages of planning, providing, and adjusting *lessons* that fit into a coherent scheme of aligned units and courses. The fourth stage, considering how to enhance a lesson, may be an aspect of initial planning or may come into the process later, after the basic lesson has been created and taught at least once. In the latter case, the basic flow of good instruction is established before the more labor-intensive, sophisticated differentiation and personalization subsequently done for some lessons. By enhancing a lesson, the teacher (or instructional team) creates variations in the learning activities in order to differentiate paths to a common objective (target) for students who differ in their: (a) prior knowledge and skill related to the objective (differentiation); and (b) interests, paces of learning, preferred learning strategies, and learning competencies (personalization). The subject, grade level, and nature of a basic lesson determine whether it will be differentiated and/or personalized. In some cases, the basic lesson suffices for meeting the needs of all students and may not need enhancement. Teachers' reflection on the lesson, a review of formative assessment results, and feed-back from peers enable teachers or an instructional team to contribute to a decision about whether and how to enhance.

The Principal and the Instructional System

The transformational leader understands the purpose of each stage of the instructional system and how all stages affect each other. In any rapid school improvement effort, over time the entire system must be brought to a consistently high level of effectiveness. But early in the improvement process, during the jump-start period, the transformational leader will identify the weakest stages (and sub-stages) of the system and plan how to engage staff in working to strengthen them.

Strengthening any aspect of the instructional system requires changes both in procedures and in professional practices, changes that likely require a hike in expectations, effort, and expertise for all involved. This is where a principal's knowledge of the school's current instructional system and understanding of optimally effective instructional systems must proceed in concert with his or her skill in moving people to a higher plane of performance. The leader supports staff in adapting their practice to the new procedures and expectations, then relies on both implementation and outcome data to gauge the success of the changes.

Metrics of the System

Educators working in schools are accustomed to gathering and analyzing a variety of data about students' learning and behavior, information that directly and indirectly impacts the creation and revision of lessons. Tracking student outcomes is one way to assess the ultimate effectiveness of the overall instructional system. But student data cannot help you determine the degree and quality of implementation for the stages (e.g., planning) and sub-stages (e.g., alignment) of the instructional system.

A few meta-metrics, such as those shown in table 1, can help you measure the degree and quality of implementation for the larger stages of the system. These meta-metrics are offered as examples of the kinds of measures a school might adopt to better understand its instructional system and to track change over time. Measures of this kind are especially useful in managing change.

Table 1: Examples of Meta-Metrics for the Instructional Process

Stage	Sub-Stage	Examples of Meta-Metrics
Planning	All	Total time per week for instructional team planning (all teacher instructional teams)
Providing	All	% of complete lessons taught per week (include definition and detail)
Adjusting	All	% of units with team-developed unit assessments
Enhancing	All	% of lessons per week that have been enhanced

Table 2 suggests some micro-metrics that can be useful for gauging the degree and quality of implementation for each sub-stage of the instructional system. These metrics track lessons prepared at three levels of complexity: At the most basic level, a lesson includes *definition* (i.e., grade level, course, unit, standard[s], and objective); at the next level of complexity,

it also includes *detail* (i.e., a description of the activities of the teacher and students); and at the highest level of complexity, a lesson includes *enhancement* for differentiation and/or personalization.

Table 2: Examples of Micro-Metrics for Sub-Stages of the Instructional System

Stage	Sub-Stage	Examples of Micro-Metrics
Planning		
	Alignment	% of units aligned; % of lessons aligned
	Design (course, unit, lesson)	% of lessons with definition (e.g., identifying objectives and related standards) % of lessons with detail (e.g., delivery modes and activities)
	Materials	% of lessons with materials shared among teachers
Providing		
	Classroom Culture	% of teachers with posted norms
	Delivery (mode)	% of lessons with more than one mode of delivery
	Interaction	% of lessons that allow two or more of nine student response methods (Marzano, 2017), in Appendix E: Ways Teachers Increase Students' Opportunities to Respond
Adjusting		
	Peer Feedback	% of lessons that receive written feedback from a colleague
	Formative Assessment	% of lessons that include an assessment to gauge students' mastery of the lesson objective, with the degree of mastery documented by teacher
	Teacher Reflection	% of lessons that include a teacher's reflections after having taught the lesson
Enhancing		
	Differentiation	% of lessons that have been enhanced for differentiation
	Personalization	% of lessons that have been enhanced for personalization

Both micro- and meta-metrics, which may be added to the school's repertoire of data collection and analysis at any time, are especially helpful for detecting the impact of changes in procedures and practices. An analysis of implementation data (what teachers do) is critical to understanding student outcome data (how students perform). To improve student *outcomes,* the *input* variable — that is, instruction — must be changed, and data are needed in order to know the degree to which intended changes are implemented and, also, are yielding the desired results.

Pace of Change

As a transformational principal, you must lead staff to take big, bold actions that quickly change some aspects of the school while moving them forward in smaller steps in other areas. In mapping the instructional system as part of the A-team, you get an overall view of each stage in the system, and it's likely you'll find some improvement needed in each one. Making all the needed changes could require years of work. But to jump-start the instructional transformation, the A-team will identify just a few (three or four) important changes that can be accomplished and begin to show results in a relatively short time (three months, perhaps). You will plan and aggressively pursue changes in these areas, making repairs and improvements to some aspects of the instructional system. At the same time, you'll note major changes, such as introduction of a new curriculum or adoption of new technology, that cannot be accomplished in a short time. You'll refer these longer-term changes for inclusion in the school's continuous improvement plan.

One example of a common weakness in an instructional system that might be addressed with some specific short-term action is having lessons that aren't adequately developed. Quick steps to improve this critical aspect of the instructional system might include: (1) adopting a lesson template; (2) training teachers to use the template; (3) monitoring its implementation by reviewing samples of lessons produced by teachers or teacher teams; and (4) reporting to the faculty on the level of implementation, using a few metrics. See appendices F and G for examples of a basic and enhanced lesson template, respectively.

The transformational leader who expects too much too soon risks confusion and disarray. Systematic and reasonably paced escalation of expectations ensures greater fidelity of implementation. Knowing what your school's lessons currently look like will help you know how to set the tempo for rollout of a new template and expectations related to it. If current lesson development is especially poor, you may want to raise expectations more gradually. You might, for example, initially have a template that included only a lesson's *definition* (e.g., grade level), then later, the template would be expanded to include lesson *detail* that describes the teachers' and students' activities, such as modes of instruction, assignments, modifications, accommodations, and resources.

Later still, you would want to raise expectations yet again by having a template that would include lesson enhancement. But timing is everything, and the transformational leader knows when it is time to up the ante by asking for more from staff in a specific stage or sub-stage of the instructional system. So, for example, you might want to hold off on the expectation for greater lesson enhancement until all teachers are working smoothly in well-disciplined teams — aligning, planning, reviewing, teaching, and reflecting — and until each teacher is confidently employing a few solid basic lessons each week in each subject.

Table 3 shows a gradual escalation in expectations for teachers (and their instructional teams, which are typically subject-matter or grade-level teams) to achieve various levels of

lesson development over phases of the improvement effort. The expectation is stated simply, in terms of numbers of lessons per week per course at each level of lesson sophistication: definition, detail, feedback from a colleague, and the lesson enhanced with differentiation and/or personalization.

Table 3: Minimum Expectation for Lesson Development, by School Improvement Phase

Target for Teacher	Phase 1	Phase 2	Phase 3
Lessons With Definition	1 lesson per week per course	3 lessons per week per course	5 lessons per week per course
Lessons With Detail	None expected	1 lesson per week per course	3 lessons per week per course
Lessons With Feedback	1 lesson per week	1 lesson per week per course	1 lesson per week per course
Enhanced Lessons	None expected	1 lesson per week per course	2 lessons per week per course

There are other ways to gradually escalate expectations for the performance of the instructional system, and the transformational leader must choose what fits best given the context and current need of the school. Some schools already have well-developed lesson plans for all classes, so in such schools the A-team might select a different stage of the system for gradually raised expectations. The appropriate expected rate of change is not subject to an exact formula; rather, it depends on what the leader knows about the teachers, on the leader's and teachers' proficiency in practice-focused collaboration, and on the leader's ability to manage systems.

Mapping the Instructional System

Understanding the instructional system at your school is a matter of seeing its stages and knowing the degree to which they do or don't complement each other to produce desired results, which, in this instance, refers to having lessons that meet the needs of teachers and their students. To understand the current state of the instructional system at your school, you and your A-team colleagues start by seeking answers, and taking notes about what you find, for 11 sets of questions related to the stages and sub-stages of instruction: instructional design, instructional materials, classroom culture, delivery of instruction, interactions, peer feedback, formative assessment, teacher reflection, differentiation, and personalization.

When this exploration is completed, the team reviews what you have found and draws some conclusions about major strengths and challenges within your instructional system. The conclusions drawn, along with team notes, will inform subsequent action planning, which takes place in Early Action 4.

The most efficient way of getting a first cut of the answers is to dedicate A-team meetings to considering the questions, one by one. The team may choose to broaden input for discussion by conducting minisurveys of faculty, conversations with individual teachers, document

reviews, and observations of teacher teams and classroom instruction. Whichever specific information-gathering steps you choose to take, you then use the data you have to candidly discuss each question, aiming to achieve consensus.

Together you are looking for *patterns of practice,* the prevalent procedures and practices that characterize each stage, and how one affects another. The search for patterns is not an exact science. Rather it's an informal means by which the A-team gains an understanding of how instruction works in your school at this given time.

Following is a brief description of each of the four stages and sub-stages of instruction, with the questions that will help you flesh out the patterns of practices throughout the system. By jotting down notes to capture the discussion and the consensus answer for each question, the team will compile a body of information (a map) to be used later in action planning. The group's collective assessment of the relative strength of each stage or sub-stage will also serve as a guide to prioritizing system changes during action planning.

Dedicating a single A-team meeting to address all the questions related to one instructional stage sets a reasonable pace, letting you map your entire instructional system in four meetings. See Appendix H: Mapping the Instructional System (Tool), which has documentation forms to record conclusions from discussions.

Planning Instruction

Alignment is the term commonly used to designate how the mass of potential content for learning is whittled down and shaped into manageable chunks that teachers then structure into subjects, courses, units, and lessons. At one time, this process was called curriculum building, and it coincided with creation of an instructional plan for a course. But today, learning standards are more commonly the starting point for alignment, with the curriculum formed around — or aligned to — those standards. And because instruction, in turn, is designed to cover the standards-aligned curriculum, instruction is also aligned.

Typically, the naming and arranging of courses into units is considered to be part of the alignment process, with descriptions of the courses and units included in curriculum guides. Individual lessons are then designed (see instructional design below) within the courses and units defined by the curriculum guide.

Alignment Discussion Questions

AL1 Who creates the aligned curriculum? District teams? School teams? Individual teachers? Other?

AL2 Where does the aligned curriculum reside? In district curriculum guides? School curriculum guides? Other? Online or hard copy or both?

AL3 When and how often is the aligned curriculum reexamined and revised? By whom?

AL4 How is the aligned curriculum organized? By subject? Grade level? Course?

AL5 Who names courses and organizes them into units? District teams? School teams? Individual teachers? Other?

AL6 How are student learning data used in the alignment process?

Instructional design is the process of organizing the aligned curriculum into courses, units, and individual lessons. Naming the courses and arranging them into units may be done as part of the alignment process (as indicated above), with descriptions of the courses and units included in the curriculum guides. In this case, instructional design consists of creating individual lessons and ordering them within the structure of courses and units. In other systems, instructional design would begin with a standards-aligned curriculum, but would include the creation of courses and units first and lessons within the units second.

The perfect lesson is considered by many to be the Holy Grail of teaching, and the transformational principal recognizes lesson design as a critical aspect of instructional planning. Each lesson should fulfill a purpose in a unit and be sequenced to account for its relationship with other lessons in the same unit. Each lesson should also stand alone, with its own objective, or learning target, that teacher and students pursue together (Moss & Brookhart, 2012). The design of a lesson outlines the path for reaching that target or, ideally, multiple paths for teaching the lesson because an effective lesson is enhanced for differentiation and personalization. Individual lessons are connected and mapped to a schedule, which becomes a teacher's lesson plan for a given course or unit. Although terminology about lesson development can vary, for the purpose of this guide, the terms *lesson* and *lesson design* are used interchangeably for the structure of a single session in a course. A lesson typically is implemented on one day, but can sometimes take more time; in contrast, a "lesson plan" comprises a sequence of individual lessons that may be delivered over a week, a unit, a grading period, or other schedule that encompasses multiple lessons.

Ideally, a lesson is designed according to a schoolwide lesson template used by all teachers. The template can help teachers structure the basic lesson, and it can also guide enhancement of the lesson. See appendix F for an example of a basic lesson template and appendix G for an example of a template that encourages enhancement through differentiation and personalization.

Instructional Design Discussion Questions

ID1 Is a standard template used by all teachers for their lesson designs? If yes, describe the template and how it is used.

ID2 Are lessons created by individual teachers or teacher teams? Explain.

ID3 Are lessons shared with all teachers so that good ideas spread? How?

ID4 Do teachers receive feedback on their lesson design? From other teachers? From administrators? Explain.

ID5 How are decisions made about situating individual lessons within a teacher's schedule to create a lesson plan? How is this plan made available for administration (e.g., principal, department head) to review?

ID6 How are student learning data used in designing lessons? *Materials* that teachers use to teach a lesson, or that students themselves use in the lesson, are typically created by the teachers, individually or in teams. Although some materials, such as textbooks or online materials, are provided to the teacher and need only be referenced in a lesson plan, many teachers are inclined to use supplemental materials for teaching or as resources for their students.

Instructional Materials Discussion Questions

IM1 How are funds for *supplemental* materials requested, approved, budgeted, allocated, and accounted for?

IM2 Where are materials stored? Centrally or by each teacher?

IM3 Who creates or otherwise selects and secures the materials? Teams? Individual teachers?

IM4 Are assembled materials marked according to purpose and stored where they can be circulated? By whom?

IM5 How are student learning data used in decisions about creating and adopting materials?

Providing Instruction

Classroom culture heavily influences the effectiveness of instruction and vice versa, with lessons designed both to form and to reinforce classroom norms. These norms include, for example, appropriate social interaction among peers and student routines for navigating the classroom, transitioning between settings (e.g., from whole class to groups), seeking help, and productively using unstructured time. Often such norms are initially established by each teacher, with students, through lessons created for that purpose in the first week or two of school; the norms are then reinforced daily throughout the school year. Within the boundaries of these classroom norms, each lesson plots the flow of activity during that class period, with the classroom arranged to accommodate the planned activity. Lessons might also include activities to further develop skills related to the norms or to reinforce expected behaviors.

Classroom Culture Discussion Questions

CC1 Are some classroom rules or norms officially adopted schoolwide? By whom? Explain.

CC2 Do teachers follow common procedures to establish the classroom rules or norms? Describe procedures briefly.

CC3 How are each teacher's *procedures for establishing* classroom rules or norms documented, and how are the final rules and norms made available to administration (e.g., principal, department head)? To students? To parents?

CC4 How are classroom rules and norms taught and reinforced? Included in lesson plans?

CC5 What determines when a student's behavior warrants attention by someone other than the teacher? Who is that someone? What is the process for referral?

CC6 How would you characterize the culture of most classrooms? What descriptors come to mind? Warm? Caring? Orderly? Formal? Active? Engaged? To what extent do your descriptors cover nearly all classrooms?

CC7 What data are tracked regarding student behaviors? By whom? For what purpose?

Delivery of instruction is when a planned lesson comes to life through the actual teacher-student interplay in the classroom. This sub-stage in the instructional cycle tends to get the most attention, as well it should. But the quality of lesson delivery depends on the quality of the lesson design, as well as on the teacher's knowledge of the topic and the quality of his or her interaction with the students. Although attention to the delivery practices of an individual teacher is necessary for purposes of coaching the teacher to improve practice, a broader perspective is needed in order to map the instructional system. You will need to home in on the overall patterns of practice in the school by generalizing from observation of multiple teachers, noting the ways that lessons first designed in the planning stage take life in the classroom.

Delivery of Instruction Discussion Questions

DI1 To what degree does the lesson template ask for sufficient information to guide how the lesson is conducted? Would a lesson created from the template adequately inform a substitute teacher?

DI2 What are the classroom observation practices in the school? Who observes? How frequently? How are observations documented? How is the resulting information used?

DI3 On average, how many instructional modes (whole-class, teacher-directed group; student-directed group; guided practice; independent practice; computer-assisted) are used by the school's teachers during a lesson? How many teachers exceed the average?

DI4 How are student learning data used when establishing student groupings? When developing individual assignments?

Interaction refers to a teacher's interaction both with the whole class and with individual students and, also, to students' interaction with each other. Here, too, you and fellow A-team members are considering patterns of practice *across* the faculty. What is common, or typical, from classroom to classroom? Opportunities for interaction are outlined in the lesson design and also in how teachers view best practices within each instructional mode. A teacher's questioning skills also come into play. As the questions below suggest, the type and quality of interaction in a classroom is largely determined by the instructional modes and activities included in the lesson design.

Interaction Discussion Questions

IN1 During whole-class instruction, do teachers display a good balance between direct teaching and questioning/interacting with students?

IN2 Do teachers use open-ended questioning and encourage students to elaborate in their responses?

IN3 Do teachers encourage on-topic peer interaction among students? How?

IN4 Do teachers provide appropriate verbal praise for specific student behaviors and responses?

IN5 How are data about student interaction and engagement collected? Used?

Adjusting Instruction

Lesson designs and the sequence of those lessons in a lesson plan can always be improved. Typically, when thinking about how to make adjustments to lessons, teachers consider three sources of information: (1) feedback from colleagues who critique the lesson design and/or observe the lesson as it's taught, (2) formative assessment of student performance to see whether the lesson is achieving its objective, and (3) the teacher's own reflections on teaching the lesson.

Peer feedback, from teacher to teacher, may come at any point in the instructional process, either as a routine quality assurance step within a school's instructional system or because a teacher has specifically requested such feedback. Collegial feedback is helpful throughout the process of developing and delivering lessons, starting as early as when courses are described. Feedback to inform refinement of course and unit descriptions is typically a routine step in lesson development. By nature, team-created lessons incorporate teacher feedback as they are developed, but they also benefit from feedback by colleagues outside the team. When lessons are designed or refined by an individual teacher rather than a team, that teacher may request peer feedback to strengthen the design and may also ask another teacher to observe the lesson when it is taught and to offer feedback afterward.

Peer Feedback Discussion Questions

PF1 At which stages of the instructional system is feedback a formal part of the school's quality assurance?

PF2 At which stages of the instructional system is feedback commonly requested by one teacher of another?

PF3 Is feedback *required* at any stages? Which stages? In what form?

PF4 Are common rubrics, critique forms, or similar templates used to record feedback? Describe.

PF5 How is feedback shared?

Formative assessment is built into lessons for multiple purposes. Gathering in-the-moment feedback as a lesson is being taught is a means for improving the lesson afterward so that it is stronger when next used. Receiving immediate feedback also gives the teacher important information that enables him or her to adjust instruction on the fly. And, finally, it provides information a teacher can use in modifying assignments for individual students. Formative assessment helps a teacher determine whether students are making the expected progress toward the desired end, whether that "end" is the lesson objective for the day or the desired level of mastery at the end of a unit. Therefore, the lesson objective itself, with its conditions and criteria for mastery, provides the elements for a short-term formative assessment (of the student's progress to that moment) and may, in the aggregate, inform the unit assessment (the student's level of mastery of all objectives in the unit).

Formative Assessment Discussion Questions

FA1 What are the lesson template's requirements for specifying the means by which student mastery of lesson objectives is determined?

FA2 Do formative assessment methods include unit pre- and post-tests or similar methods for determining change in student mastery as a result of instruction? Explain.

FA3 Do teacher teams or individual teachers develop formative assessments for lessons and units? What is the process?

FA4 How are formative assessments calibrated with standards? By whom?

FA5 Do teacher teams review formative assessment results to adjust lesson plans? Explain.

Teacher reflection on a lesson he or she has just taught also provides valuable information for improving that lesson and adjusting lessons that follow. Reflections can be especially helpful when a teacher documents them and can share them with other teachers and/or refer to them in subsequent lesson development.

Teacher Reflection Discussion Questions

TR1 Do teachers routinely record reflections of lessons taught? How? How frequently?

TR2 Are teachers' reflections shared with other teachers? With teams? How?

TR3 Do teacher reflections follow a template of key points or are they free-form?

TR4 Do teachers review formative assessment data from the lesson before recording reflections?

Enhancing Instruction

A lesson is enhanced when the basic lesson is differentiated and/or personalized to create variations suited to individual students or groups of students with similar readiness to achieve mastery. These variations on the basic lesson may be included in the original design of the lesson or may be added later to strengthen a basic lesson design. To enhance a lesson, the teacher (or instructional team) creates variations in the learning activities in order to

- differentiate paths to a common lesson objective, or target, for students who differ in their prior knowledge and skill related to the objective and/or
- personalize the lesson by individualizing the pace of learning and including greater student choice among topics and types of learning activities.

Distinguishing between the two ways to enhance a lesson — differentiation and personalization — is not critical. There is overlap between the two, and each brings its own emphasis, but in both cases the aim is to break apart a lesson designed for *all* students in order to better meet the needs of individual students.

Differentiation is how teachers vary aspects of a lesson design to provide "different avenues to acquiring content, to processing or making sense of ideas, and to developing products so that each student can learn effectively" (Tomlinson, 2001, p. 1). In effect, a lesson design

with differentiation built in includes alternatives to some components so that the teacher or the student can choose the options most likely to achieve results for that particular student. In the common flow of classroom instruction, after a teacher has presented new content or skills, students have independent practice or group work, which is often introduced by the transitional step of guided practice and then reinforced by homework. Differentiation is most easily accomplished in the independent practice and homework aspects of the lesson, such as when a teacher might provide alternative assignments to match different student readiness relative to the lesson's objectives. Universal Design for Learning (UDL) (Hall, Vue, Strangman, & Meyer, 2003) is a model for differentiating instruction by removing barriers to learning for individual students through a variety of means, including offering multiple methods of presentation, individual practice, group work, and demonstration of mastery.

Differentiation Discussion Questions

DF1 Does the school require a standard methodology, such as UDL or Tomlinson's Differentiated Instruction model (Tomlinson, 2003)? If so, what is required?

DF2 How are lessons enhanced to differentiate? By individual teachers? By teams?

DF3 Are lessons typically enhanced to differentiate when created or later when adjusted?

DF4 Do teachers provide alternative assignments to meet the learning needs of different students? In independent practice? In homework?

DF5 Is guided practice a common technique in the school?

DF6 How are student learning data used in planning differentiation?

Personalization is related to differentiation in its creation of various paths for learning and for achieving common objectives and standards. Whereas differentiation tends to focus on differences in student readiness for the lesson, personalization adapts lessons to an individual student by taking into account the student's interests, learning pace, and general learning skills. Personalization is also more likely to include student choice, allowing students to co-develop learning projects with the teacher or select among options in topics. The use of technology in personalized learning enables a teacher (and the student) to manage and document the learning process and access rich sources of information (Twyman & Redding, 2015).

Personalization Discussion Questions

PE1 How do lesson designs illustrate how the teacher will intentionally strengthen students' learning competencies (i.e., cognitive, metacognitive, motivational, and social/emotional)?

PE2 What does "personalization" mean in this school?

PE3 How are lessons enhanced to personalize? By individual teachers? By teams?

PE4 Are lessons typically enhanced to personalize when created or later when adjusted?

PE5 Does personalization include engaging students in the design of their learning paths?

PE6 Does personalization include giving students choice in topics or assignments?

PE7 Do teachers use technology to personalize? For what purposes?

PE8 How are student learning data used in planning personalization?

A-Team Activities for Early Action 2: Map the Instructional System

Activity 2.1: Create a clear description — the map — of your school's instructional system by discussing and addressing targeted questions for each stage and sub-stage in the system. See Appendix H: Mapping the Instructional System (Tool).

Activity 2.2: Share with the faculty both the map you have created and your notes from the discussion questions; gather their feedback to revise your map. See Appendix I: Faculty Meeting Agenda.

Activity 2.3: Review faculty input on the map of your instructional system; adjust the map if needed; summarize strengths and weakness for each stage; and prioritize strategies for transformation in each stage. See Appendix J: Prioritization of Transformation Strategies (Template).

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Early Action 3: See Through Students' Eyes

(WEEKS 11–12 OF THREE-MONTH EXAMINATION-AND-PLANNING PERIOD)

Students' Perspectives

In Early Action 1, you and fellow A-team members began to establish practice-focused collaboration as the normative mode of interaction among the adults in the school. In Early Action 2, you closely examined the system within which most of the adults in the school carry out their daily work — the instructional system. Now, in Early Action 3, you will generate a more complete picture of instruction in the school by adding in the students' perspectives.

Redding (2013) notes that, especially in rapid school improvement, understanding students' perspectives is invaluable:

> School improvement and school turnaround efforts rest largely on the shoulders of school leaders and teachers. That is fitting because these are the people who can most immediately effect change and the ones who create the culture of the school and engage directly with the students. Still, we will miss something important if we don't look at things through the eyes of a student and attempt to understand more about what motivates students to pursue and persist with learning and the skills they need to learn efficiently. (p. 6)

Removing Barriers and Providing Opportunities

In discussing the domain of instructional transformation, *Four Domains for Rapid School Improvement* (Center on School Turnaround, 2017) also pushes educators to look beyond the *teaching* side of the teaching-learning equation to consider the *learning* side as well. In fact, two of the three framework practices in this domain direct attention straight to the student: "diagnose and respond to student learning needs" (p. 19) and "remove barriers and provide opportunities" for learning (p. 21).

Yet, especially for a principal whose school is in need of rapid improvement, focused attention on students and their learning often takes a back seat to pressing issues that revolve around personnel, budgets, schedules, and improvement plans. As noted earlier, the principal — and the principal's time — can easily become fully absorbed by the managerial aspects of the job and by the necessary engagements with stakeholders, including teachers, parents, district administrators, the school board, and community leaders. It can be a shock to realize how little of a principal's time is reserved for focused attention on students and their learning.

Depending on the size and circumstances of a school, it may be difficult for a principal to get to know every student well, but the principal *can* purposefully try to take into account

students' perspectives. Specifically, the principal can make a practice of viewing every aspect of schooling through the eyes of students. Just what does that mean? Of course, a principal is constantly aware of students; they dominate the landscape of the classroom, the hallways, the cafeteria, the playground, and the athletic fields. But when it comes to instruction, it is easy for a principal to focus almost solely on what teachers and staff are doing and not pay attention to how students are experiencing the instructional action in the classroom. In seeing through students' eyes, the principal or other A-team members look at each instructional activity — whether when reviewing a lesson in advance or observing its delivery — as a student might view it. Of course, they look at what the lesson is intended to teach, but they also closely consider how a student might perceive it. Adding to the challenge for observers is that different students perceive the same lesson in different ways: One student might be nodding her head in comprehension of what the teacher is saying, whereas another is gazing into space or fidgeting, distracted, bored, or confused. What might each of these students be thinking?

So principals and others on the A-team will want to watch students in the classroom, both individual students and clusters of students. Are they curious, eager, bored, discouraged, scared, lonely, tired? How do different students react to rules, to announcements, to routines, to good grades, to bad grades, to the starting bell, to the ending bell? All of this is important, but does not suffice. Attention to student perspective should not be limited to the classroom. Pay attention in the hallways, the cafeteria, the gymnasium, the library. The principal and other A-team members may already see all students in all such contexts every day. But now is the time to observe with the intent to interpret, to take note. What do you see? How might you interpret what different students are thinking and feeling in the given situations?

Which teaching strategies are most successful in engaging students? It is worth identifying these instructional strategies and noting which teachers employ them. These teachers can be tapped as mentors in practice-focused collaboration, demonstrating for their colleagues successful engagement strategies.

In observing students, how do you think *they* are interpreting the behavior of their teachers? How do they appear to understand or respond to the actions of teachers, the teachers' words of familiarity, of reprimand, of encouragement? Hattie and Yates (2014) write that "at all levels of education, students actively rate and evaluate their teachers" (p.24). Speaking directly to teachers, the authors note that "these ratings relate not to your personality, but more to how your students feel they are treated. Your students need to define you as an acceptable, warm, and competent human being, even though they may be relatively uninterested in you as a person" (p. 26).

When this individual sense of being cared for by one's teacher is multiplied across the school — by each student and by each teacher — the product is a caring school culture. Research on resiliency clearly shows that when students perceive themselves as having caring teachers and caring schools, that perception positively affects students' resiliency, motivation to learn, and learning outcomes (Benard, 2004). Looking through the eyes of your students, do you and your fellow A-team members see this essential caring and fair treatment shining through in interactions between teachers and student?

What Carter and Darling-Hammond (2016) say about teachers is also true of transformational leaders: They "must know their students — who they are, what they care about, what languages they speak, what customs and traditions are valued in the home" (p. 622).

Students' Capabilities as Learners

In addition to trying to be more attuned to how the students at your school experience teaching and learning and the general culture, seeing through a student's eyes requires a deep consideration of how and why the typical student learns. When you and your staff have that understanding, it enables more-informed discussion of how to enhance learning for students, in general and individually.

A student's capacity to learn derives from the interplay of four personal competencies — cognitive, metacognitive, motivational, and social/emotional — that express themselves through a student's behavior when presented with a learning challenge (Redding, 2014, 2016).

These patterns of behavior, or learning habits, can be acquired almost by osmosis through schooling and through learning outside school. But the habits can also be built and strengthened through intentionally focused instruction of the competencies (Dean, Hubbell, Pitler, & Stone, 2012). Students' learning habits, which reflect their competencies, are observable, and consciously looking for these behaviors tells the principal or teacher a great deal about how and why students learn and how learning habits vary from student to student.

What Students Know — Cognitive Competency

Cognitive competency is the learner's reservoir of knowledge and his or her facility for accessing it to make connections that enhance new learning. University of Virginia cognitive psychologist Daniel Willingham (2009) explains the relative importance of cognitive content in learning compared with the importance of cognitive process:

> Data from the last 30 years lead to a conclusion that is not scientifically challengeable: thinking well requires knowing facts, and that's true not only because you need something to think about. The very processes that teachers care about most — critical thinking processes such as reasoning and problem solving — are intimately intertwined with factual knowledge that is stored in long-term memory (not just found in the environment). (p. 28)

Cognitive competency is built upon what is known, and the student who knows more is more able to learn. Background and foundational knowledge are critical to new learning, and students' knowledge comes from a variety of experiences. The transformational leader recognizes that some students, by virtue of the experiences their families provide them, start off with bigger stores of knowledge compared with other students.

The *Four Domains* (Center on School Turnaround, 2017) framework suggests ways to enhance students' cognitive competency by extending learning opportunities for those who need them, such as "summer bridge programs, after-school and supplemental educational services, Saturday academies, enrichment programs, credit-recovery programs, and virtual courses" (p. 21). The *Four Domains* framework also recommends that teachers "give students demonstrating sufficient prior mastery access to higher-level assignments and courses" (p. 21).

In their compilation for the National Research Council of research and theory on how students learn, Donovan and Bransford (2005, pp. 1–2) isolate three fundamental principles of learning:

1. Students come to the classroom with preconceptions about how the world works. If their initial understanding is not engaged, they may fail to grasp the new concepts and information or they may learn them for purposes of a test, but revert to their preconceptions outside the classroom.

2. To develop competence in an area of inquiry, students must (a) have a deep foundation of factual knowledge, (b) understand facts and ideas in the context of a conceptual framework, and (c) organize knowledge in ways that facilitate retrieval and application.

3. A "metacognitive" approach to instruction can help students learn to take control of their own learning by defining learning goals and monitoring their progress in achieving them.

These three principles underscore the significance of cognitive competency and its sister competency, metacognitive competency, discussed below.

How Students Learn — Metacognitive Competency

As psychologist Albert Bandura (1997) explains, "An integral part of effective instruction is teaching students how to regulate their own learning" (p. 223). Combine this self-regulatory capacity with related skills and habits for learning and you have "metacognitive competency." School learning requires competence in an array of skills, including task definition, goal-setting, active listening, note-taking, strategic reading, organization of content, research, questioning, memorization (mnemonics), outlining, practice, analytical thinking, self-monitoring, and test preparation, along with the self-regulatory habit of time management.

When learning strategies are actively taught and students are made aware of learning tasks to which the strategies can be applied, students simply learn better (Pressley, Gaskins, Solic, & Collins, 2006). Teaching and reinforcing self-regulatory and learning skills is most effective when embedded within the context of the subject lessons (Hattie, 2012).

In his synthesis of 800 meta-analyses of factors that influence achievement, Hattie (2009) found *reciprocal* teaching to be among the instructional strategies with the greatest effect. This method, when most effective, includes explicit instruction in metacognitive strategies (e.g., summarizing, questioning, clarifying, and predicting), followed by teacher-student dialogue regarding the application of these strategies to content (text) and by opportunities for students to practice.

Lesson plans and course descriptions reveal the extent to which metacognitive skills and habits are intentionally taught, modeled, and reinforced. The degree to which a teacher is intentionally helping students develop these skills and habits can also be seen in classroom observations, and the importance of doing so can be emphasized in your practice-focused collaborations with teachers.

Why Students Learn — Motivational Competency

Student motivation to learn may be viewed as a function of a teacher's instructional practices (Margolis & McCabe, 2006) and of a student's mindset (Dweck, 2000, 2006), with the latter strongly influenced by the former. Brophy (2004) suggests that students' motivation to learn — to master the knowledge and skills of the lesson before them — is typically seeded through the teacher's extrinsic rewards (e.g., recognition, good grades) and punishments (e.g., bad grades), but that, over time, mastery itself may become intrinsically rewarding to students. The ultimate goal of instruction is for students to become intrinsically motivated *toward* and *by* mastery in learning. However, for many students the extrinsic consequences (rewards and punishment) of their efforts serve as necessary initial prods in their learning.

A principal might best understand students' motivation to learn by considering what students — collectively and individually — value and how they perceive their own capabilities. Expectancy value theory suggests that a person's eagerness to engage in an activity and to persist with it depends both on how much the individual values the activity and on his or her expectation for success in the activity (Wigfield & Eccles, 2000). For an individual learner, this calculation is compared with how much he or she values and expects success in other activities that might compete for time and attention. For a student, spending two hours doing homework competes with all the other things the student could — and might want to — do with the same two hours.

Although it would be nice to think that students value learning in part because it pays off with a good career in their adult life, the degree to which many students value learning is related to their more immediate experience. Forty-seven percent of dropouts report that they left school because classes were uninteresting (Bridgeland, DiIulio, & Morison, 2006). Put another way, students forgo future benefits based on their priorities in the here and now (Smith & Wilhelm, 2002, 2006). These findings point to the importance of ensuring that instruction is engaging, but to do so requires *expanding* students' interests as much as tapping into them. Making learning interesting rather than merely relevant is especially important and is a worthy challenge for teachers.

How Students Relate — Social/Emotional Competency

It has become clear that a student's social/emotional competency not only affects school learning, but also is important in its own right. A meta-analysis by Durlak and colleagues (2011) of social and emotional learning (SEL) programs found that when well implemented, strong SEL programs yielded an 11-percentile-point gain in academic achievement for participants. The authors outlined four conditions that are foundational to successful social and emotional programs and approaches:

1. peer and adult norms for high expectations with academic support that enables students to meet those expectations;
2. caring teacher-student relationships;
3. student engagement through the teacher's classroom management practices and cooperative learning; and
4. safe and orderly environments in which positive behaviors are taught, encouraged, and reinforced.

Obviously, the teacher-student relationship is central to SEL, and that relationship has an impact on student learning when combined with programmatic efforts to build and reinforce students' social and emotional skills. A teacher's intentional efforts to develop students' social and emotional skills and knowledge should be documented in course descriptions and lesson plans, and the teacher-student relationship can be observed in the classroom. The transformational leader must promote and model an intentional emphasis on this competency (e.g., through practice-focused collaboration with teachers).

In the broadest interpretation of social and emotional competency, all students need to develop strong social skills and understand the connections between their own emotions and their behaviors in order to successfully manage their behavior in a variety of social contexts, both inside and outside school. A second interpretation of social and emotional competency relates to the needs of students who have experienced trauma and, as a result, are emotionally fragile. The supports and services needed for these students are of a different

nature from those that focus on skill development. The transformational leader is on the lookout for how the school addresses the two types of social and emotional need.

The Early Action of seeing through students' eyes, which, when adopted by all personnel, has a significant impact on instruction and school culture, can be facilitated by using two tools.

The first tool, See Through Students' Eyes Observation and Analysis, found in appendix K, is a structured journal in which the principal and fellow A-team members (or other teachers or staff) keep notes about what they learn from their efforts to see through students' eyes and what they think might be done to remove barriers and expand opportunities.

The second tool, Lesson Review/Observation for Personal Competencies, found in appendix L, suggests what to look for when reviewing lessons and observing in the classroom to determine if the lesson design attempts to build students' personal competencies. The tool may also be used by teachers themselves to review and critique their own lessons and class sessions, by peers (teachers observing and critiquing each other) and by the transformational leader in practice-focused collaboration to create and review lesson plans and in classroom observations.

A-Team Activities for Early Action 3: See Through Students' Eyes

Activity 3.1: Draw from your observations and interviews to develop a list of ways to remove barriers and expand opportunities for students at your school. See Appendix K: See Through Students' Eyes Observation and Analysis (Tool).

Activity 3.2: Introduce faculty to the strategies for building students' personal competencies and help them understand how to embed those strategies in lesson plans. See Appendix L: Lesson Review/Observation for Personal Competencies (Tool).

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Early Action 4: Set the Course for Change

(WEEKS 13–14 OF THREE-MONTH EXAMINATION-AND-PLANNING PERIOD)

Poised for Action

As the 90-day jump-start period is nearing its end, you will take into account what you have learned and plan for transformative action. In Early Actions 1 and 2 of *Jump-Starting Instructional Transformation,* you and your A-team colleagues worked closely in practice-focused collaboration to shine a light on every corner of the instructional system. In Early Action 3, you turned the spotlight from teachers and their lessons to students and their perceptions and capabilities as learners. The main outcome of all this examination and discussion is a comprehensive understanding of how instruction works in your school — an understanding that will guide subsequent action. In short, you and the other A-team members have in front of you the equivalent of the doctor's X-ray, and you now know what needs to be fixed. Next comes the transformation, and it *begins* with taking the conclusions the team has drawn over the past three months and translating them into concrete action planning.

In Early Action 4, you will consolidate what has been learned and move deliberately toward transformative action. Action will certainly include change in practice — how things are done in the school relative to instruction — and may also include changes in procedures, policy, and process to routinize, internalize, and sustain the changed practices. These changed practices will become part of the way your school operates. Some of the changes should take place very soon and will be included in a 90-day action plan. Other changes will take more time and will be incorporated into your school's continuous improvement plan. The A-team will closely guide implementation of the 90-day action plan, tracking progress and making course adjustments in order to get the job done. Among both the short-term and the long-term changes in instructional practice, some will require that teachers participate in professional learning if the changes are to be effectively implemented. Close communication with the faculty will be required for the effective implementation of any of the planned changes.

Of course, there is much more to the transformation of an instructional system than what is touched on in this jump-start guide. Danielson (2002), for example, points to aspects of the school's organization — the master schedule, how personnel are deployed, how students are grouped, how parents are engaged, the assessments that are available, progress reporting, and a variety of policy considerations — as matters closely tied to instruction. So, too, is the curriculum itself. In time, all such matters must be considered and, as needed, addressed by a transformational leader and the leader's collaborative partners, including, but not limited to, the A-team. But the immediate task is to consolidate the conclusions you've drawn during this three-month jump-start period and convert them into a draft of (1) a 90-day action plan whose proposed changes can be implemented in short order and (2) objectives for longer-term changes to incorporate into the school's continuous improvement plan.

A-Team Activities for Early Action 4: Set the Course for Change

Activity 4.1: Develop a draft 90-day action plan that recommends (a) specific changes in practice that can be implemented within the next 90 days to launch instructional transformation and (b) longer-term changes in the instructional system for possible inclusion in the school's continuous improvement plan. See Appendix M: Draft 90-Day Action Plan to Launch Transformation (Template).

Activity 4.2: Work with the whole faculty to modify the draft action plan, converting it to a final action plan that is fleshed out in greater detail. With the whole faculty, begin implementing the final plan. See Appendix N: Final 90-Day Action Plan to Launch Transformation (Template).

Activity 4.3: Each week, review progress in implementing the 90-day action plan and complete the entries for that week in the Progress Tracking Form. See Appendix O: Progress Tracking for 90-Day Action Plan (Template).

Early Action 4 Reference

Danielson, C. (2002). *Enhancing student achievement: A framework for school improvement.* Alexandria, VA: ASCD.

Appendix A: Schedule of A-Team Meetings and Activities During 90-Day Jump-Start Period

Early Action 1: Establish Practice-Focused Collaboration

A-Team Meeting Week 1 — Introduction to Instructional Transformation

A-Team Activity 1.1: Collaboratively analyze principal's use of time, with the aim of increasing the amount of time dedicated to the practice of instructional leadership. See Appendix C: The Time Needed for Instructional Leadership (With Daily Time Log).

A-Team Meeting Week 2 — The Time Needed for Instructional Leadership (Part 1)

A-Team Activity 1.1: Continued.

A-Team Meeting Week 3 — The Time Needed for Instructional Leadership (Part 2)

A-Team Activity 1.1: Continued.

A-Team Meeting Week 4 — The Focus Needed to Improve Practice

A-Team Activity 1.2: Collaboratively analyze a specific instructional practice at your school and consider how it can be improved across the faculty. See Appendix D: The Focus Needed to Improve Practice.

Early Action 2: Map the Instructional System

A-Team Meeting Week 5 — Introduction to the Instructional System

A-Team Activity 2.1: Create a clear description — the map — of your school's instructional system by discussing and addressing targeted questions for each stage and sub-stage in the system. See Appendix H: Mapping the Instructional System (Tool).

System — Planning

A-Team Meeting Week 6 — Map the Instructional System

A-Team Activity 2.1: Continued. See Appendix H: Mapping the Instructional System (Tool).

System — Providing

A-Team Meeting Week 7 — Map the Instructional System

A-Team Activity 2.1: Continued. See Appendix H: Mapping the Instructional System (Tool).

System — Adjusting

A-Team Meeting Week 8 — Map the Instructional System

A-Team Activity 2.1: Continued. See Appendix H: Mapping the Instructional System (Tool).

System — Enhancing

Faculty Meeting Week 9 — The State of the Instructional System

A-Team Activity 2.2: Share your notes from the discussion questions — the map — with the faculty and gather their feedback to revise your descriptions. See Appendix I: Faculty Meeting Agenda.

A-Team Meeting Week 10 — Prioritize Change in the Instructional System

A-Team Activity 2.3: With the A-team, review the faculty input to the map of instructional system, summarize strengths and weaknesses for each stage, and prioritize strategies for transformation in each stage. See Appendix J: Prioritization of Transformation Strategies (Template).

Early Action 3: See Through Students' Eyes

A-Team Meeting Week 11 — Removing Barriers and Providing Opportunities

A-Team Activity 3.1: Draw from your observations and interviews to develop a list of ways to remove barriers and expand opportunities for students at your school. See Appendix K: See Through Students' Eyes Observation and Analysis (Tool).

A-Team Meeting Week 12 — Building Students' Capabilities as Learners

A-Team Activity 3.2: Introduce the faculty to the strategies for building students' personal competencies and help them understand how to embed those strategies in lesson plans. See Appendix L: Lesson Review/Observation for Personal Competencies (Tool).

Early Action 4: Set the Course for Change

A-Team Meeting Week 13 — Planning for Action

A-Team Activity 4.1: Develop a draft 90-day action plan that recommends (a) specific changes in practice that can be implemented within the next 90 days to launch instructional transformation and (b) longer-term changes in the instructional system for possible inclusion in the school's continuous improvement plan. See Appendix M: Draft 90-Day Action Plan to Launch Transformation (Template).

Faculty Meeting Week 14 — Finalizing the Action Plan

A-Team Activity 4.2: Work with the whole faculty to modify the draft 90-day action plan, converting it to a final action plan that is fleshed out in greater detail. With the whole faculty, begin implementing the final plan. See Appendix N: Final 90-Day Action Plan to Launch Transformation (Template). Refer longer-term changes for inclusion in the school's continuous improvement plan.

A-Team Meetings Weekly for 90 Days to Implement the Action Plan

A-Team Activity 4.3: Each week, review progress in implementing the 90-day action plan and complete the entries for that week in the Progress Tracking Form. See Appendix O: Progress Tracking for 90-Day Action Plan (Template).

Appendix B: A-Team Meeting Agendas and Minutes (Template)

This example of an agenda template includes a place for taking minutes.

A-Team Meeting Agenda

Team Name Here:

Meeting Location Here:

Date: **Time:**

Assigned Roles

Facilitator: *(add team member name)*

Timekeeper: *(add team member name)*

Note Taker: *(add team member name)*

Process Observer: *(add team member name)*

A-Team Members

(first name of each person)	(last name of each person)	(position of each person)

Time *(in minutes)*	Person Responsible	Agenda Item	Minutes (Summary of Key Points)

Note Taker Action Items Review*

Time *(in minutes)*

Agenda Item	Completion Date	Person(s) Responsible

***Action Items Review:** Note taker reviews all action items, with dates of completion and person responsible. These items are added during the note-taking process during the meeting, then entered here and reviewed during this part of the agenda.

Process Observer

Time *(in minutes)*

Process Observation Report *(How well did the team comply with its norms? Stick to agenda?)*

Next Meeting Reminder

Date and Time:

Appendix C: The Time Needed for Instructional Leadership (With Daily Time Log)

A-Team Meeting 1 — Introduction to Instructional Transformation

A-Team Activity 1.1: Collaboratively analyze principal's use of time, with the aim of increasing the amount of time dedicated to the practice of instructional leadership.

Effective Practice: Focus your role as principal on building the leadership capacity of others, achieving learning goals, and improving instruction.

Indicator of Effective Practice: As principal, you spend at least 50 percent of your time working directly with teachers to improve instruction, including conducting classroom observations.

Step 1: At the A-team meeting, list your typical daily activities and, together with the rest of team, mark those directly related to instruction (e.g., classroom visits, meeting with instructional teams, meeting with individual teachers regarding instruction, in-office planning on instruction, review of lesson plans).

Step 2: For five consecutive days, complete a daily log to track how you spend your time (how much time on which tasks) over the course of the day.

A-Team Meeting 2 — Time for Instructional Transformation (Part 1)

Step 3: Meet with your A-team again to calculate the total time spent each day on each type of task, the totals for the week, and the percentage of time devoted to instruction-related work.

Step 4: With the A-team, plan ways to change how typical non-instruction-related tasks are handled so as to enable you to focus more time on instruction. Implement the planned changes.

Step 5: Each day for the following week, track your time again.

A-Team Meeting 3 — The Time Needed for Instructional Leadership (Part 2)

Step 6: With the A-team, again calculate the total time spent each day on each type of task, the totals for the week, and the percentage of time you devoted to instruction.

Step 7: With the A-team, compare the time usage in the first week's log with the time usage in the second week's log. Did you gain more time for instruction-related activities? If not, why not?

It is useful to repeat this time-usage activity periodically, maybe once every two months, in order to see that constructive changes in duties and schedules are perpetuated and to seek more ways to allocate time to improve instruction.

This activity can be eye-opening for both the principal and the A-team teachers. Many principals are so immersed in their established patterns of time allocation that they cannot see other options. But teachers, who often bring a fresh perspective to how the principal operates, are more likely to see alternatives, such as having the principal share duties with others or set aside blocks of time for meeting with teachers. In such discussions, solutions arise in response to the particular situation of the principal and the school. By engaging teachers to collaboratively focus on improving your own leadership practice as a principal, you take two critical steps toward improving your school's instructional system: You set a strong example of the importance of practice-focused collaboration for everyone, and you find a way to focus more of your own time on instruction.

Principal Daily Time Log

Principal's Name:

Day of Week: **Date:**

TASK CODES

CV: Classroom Visits
TM: Teacher(s) Meeting
IM: Instructional Team Meeting
FM: Faculty Meeting
IO: In-Office Instruction Work
SM: Meeting With Student(s)
PM: Meeting With Parent(s)
OM: Other Meetings
SS: Student Supervision
OT: Other

Time Start	Time Stop	Total Minutes	Code	Topic	Instruction-Related? Yes or No	Notes
					Yes No	
					Yes No	
					Yes No	
					Yes No	
					Yes No	
					Yes No	
					Yes No	
					Yes No	
					Yes No	

Principal Weekly Time Log

Principal Name:

Day	Date	*Instruction-Related* Classroom Visits	*Instruction-Related* Meetings With Teacher(s)	*Instruction-Related* Meetings With Instructional Teams	*Instruction-Related* Faculty Meetings	*Instruction-Related* In-Office Curriculum/ Lesson Work	*Non-Instruction-Related* Meetings With Students	*Non-Instruction-Related* Meetings With Parents	*Non-Instruction-Related* Other Meetings	*Non-Instruction-Related* Student Supervision	*Non-Instruction-Related* Other
Monday											
Tuesday											
Wednesday											
Thursday											
Friday											
Total Minutes:											

Total Minutes Instruction-Related for Week:

Total Minutes Non-Instruction-Related for Week:

Notes *(list other uses of time that aren't within the categories above and approximate hours and minutes devoted to them in the week)*

Principal Time Study Discussion Questions: List 1

What type of tasks did the principal spend the most amount of time doing?

What type of tasks did the principal spend the least amount of time doing?

What "other tasks" did the principal note that were not listed?

What % of time is the principal spending on instructional tasks?

How could more time be allocated for instruction, including collaboration with individual teachers and teacher teams, class observations, curriculum development, and lesson planning?

What specific steps can be taken now to start to make those allocations for next week's time study?

Principal Time Study Discussion Questions: List 2

What type of tasks did the principal spend the most amount of time doing?

What type of tasks did the principal spend the least amount of time doing?

What "other tasks" did the principal note that were not listed?

What % of time is the principal spending on instructional tasks?

Was there an increase in the % this week compared with last week?

How could more time be allocated for instruction, including collaboration with individual teachers and teacher teams, class observations, curriculum development, and lesson planning?

What specific steps can be taken now to start to make those allocations for next week's time study?

Appendix D: The Focus Needed to Improve Practice

A-Team Meeting 4 — The Focus Needed to Improve Practice

A-Team Activity 1.2: Collaboratively analyze a specific instructional practice at your school and consider how it can be improved across the faculty.

Step 1: Align each of the following *specific* practices within one of the three domain practices in the Instructional Transformation Domain as follows:

Domain Practice 1: Diagnose and respond to student learning needs.

Domain Practice 2: Provide rigorous evidence-based instruction.

Domain Practice 3: Remove barriers and provide opportunities.

Specific Practices to Align With Domain Practices

- Shift instructional modes at least once in each lesson.
- Reinforce classroom rules and procedures by positively teaching them.
- Use modeling, demonstration, and graphics to introduce lessons.
- Speak with expression and use a variety of vocal tones.
- Use prompting/cueing to engage students.
- Maintain a record of each student's mastery of specific learning objectives.
- Maintain a file of communication with parents.
- Develop weekly lesson plans based on aligned units of instruction.

[Feel free to add others]

Select a single, specific instructional practice to examine. Pick one that the team thinks will most resonate with the faculty as a practice they would want to improve because it is both important and currently not routinely utilized or not strongly implemented.

Step 2: Determine the status of the practice across the faculty. For example, you could determine that the practice is: (a) widely understood and practiced with high fidelity across the faculty; (b) acknowledged as important, but not practiced with high fidelity across the faculty; or (c) not well understood and only sporadically practiced. The team's consensus judgment is sufficient for purposes of this activity.

Step 3: List ways for each of you and then for the rest of the faculty to (a) better understand the practice and what it looks like when carried out with high quality, and (b) how specifically to both elevate the quality with which it is carried out at your school and extend its use across the faculty.

Step 4: Each A-team member pays close attention to this practice in his or her own individual work and looks for it when observing others' work, noting opportunities to elevate performance.

Step 5: At subsequent meetings of the A-team, members briefly describe what they each have observed relative to the practice they each have chosen for their focused attention and actions they have taken or recommended to improve the practice at the school.

Step 6: A-team members report to the faculty their experience with practice-focused collaboration and discuss ways to make practice-focused collaboration a normative mode of interaction among faculty members, both informally as experienced by the A-team in this activity and more formally as part of team and faculty meeting agendas.

The A-team and the broader faculty select different practices from time to time, giving collective focus to each one, helping each teacher improve his or her use of the practice.

The object of this activity is to model practice-focused collaboration around a specific instructional practice and, by so doing, to take the first step in establishing practice-focused collaboration as a routine manner of daily discourse — to subtly, but significantly begin to change the way people view their work and their relationships with each other. Once practice-focused collaboration has become established as a method of continuous improvement for instruction, it may be carried out very formally or informally. More formally, a team of teachers may employ it to carefully assess the level of need for improving a practice across the faculty, to detail a plan for that improvement, and to track progress. More informally, practice-focused collaboration may be the means by which two or more educators work with each other as colleagues to reflect on and perfect the exercise of their craft.

Appendix E: Ways Teachers Increase Students' Opportunity to Respond

When observing students in the classroom and noting the extent to which they are engaged in learning, the transformation leader should note which teacher strategies elicit the greatest degree of productive engagement. Another way of thinking about these strategies is as opportunities for students to respond. Those opportunities — and the actual rate of students' responses — are an important metric for understanding learning from the students' perspective. Instructional leaders should note which teacher strategies are most effective and which teachers are employing those strategies; those teachers can then be tapped to share the strategies with other teachers. Describing the specificity with which he and his associates deconstruct instructional strategies, Marzano (2017, p. 7) notes nine ways teachers increase students' response rates:

1. Random names
2. Hand signals
3. Response cards
4. Response chaining
5. Paired response
6. Choral response
7. Wait time
8. Elaborative interrogation
9. Multiple types of questions

Paying attention to the student side of the teaching-learning equation — in classroom observations, interviews with individual students, chats with groups of students, and keen awareness of the students and their lives — will lead the transformational principal to productive changes in policy and practice that might otherwise be overlooked.

Reference

Marzano, R. J. (2017). *The new art and science of teaching*. Bloomington, IN: Solution Tree.

Appendix F: Example of Basic Lesson Template

A. Lesson Definition

Course: *Class/Subject/Course Title*

Grade Level: *Period # or Grade Level*

Unit: *Name of Unit of Which Lesson Is a Part*

Lesson Name: *Name of Lesson*

Day: *Date*

Time: *Total Time of Lesson*

Standard(s): *List the **main standard** to which the lesson connects here. Enter the full text of the standard and the numerical representation for the standard.*

Learning Target(s) (or Objectives): *"Students will be able to . . ." or "I can . . ."; include the knowledge and/or skill the students will demonstrate within this learning target by the end of the lesson.*

Expectation(s) of Mastery of Learning Targets

Conditions: *List the conditions under which students will be asked to demonstrate their mastery of the lesson's learning target, for example, "on a worksheet with fraction problems" or "in a three-minute presentation to the class."*

Criteria (Formative Assessment): *By which criteria will the teacher and the student know that the student has mastered the lesson's objective? For example, 80 percent is used in this example: "On a worksheet with fraction problems, the student will correctly answer 80 percent." In this example, the criteria are the number of components: "In a three-minute presentation to the class, the student will utilize all four components of an expository presentation."*

B. Lesson Detail

Time: *List the Time Allotted for the Specific Mode of Instruction*

Instructional Mode: *List/Check the Type of Instructional Mode*

- ☐ **Teacher-Directed Whole Group**
- ☐ **Teacher-Directed Group(s)**
- ☐ **Student-Directed Group(s)**
- ☐ **Guided Practice**
- ☐ **Independent Practice**
- ☐ **Homework**

Instructional Activities: *Explain the activities that will occur during the instructional mode. Provide enough detail to guide the teacher through the lesson and explain to a colleague what occurs during the mode.*

Resources/Materials/Technology: *List the various resources and/or materials needed to complete this portion of the lesson and any technology that will be used.*

Accommodations: *List any accommodations for the lesson that do not change content or skills, only accessibility.*

Modifications: *List changes to skills and/or content based on student needs.*

Source: Redding, S. (2018). *Instructional design*. Philadelphia, PA: Center on Innovations in Learning at Temple University. Used and adapted with permission. (For this and many other resources, see http://www.centeril.org/)

Appendix G: Example of Enhanced Lesson Template

A. Enhanced Lesson Definition

Course: *Class/Subject/Course Title*

Grade Level: *Period # or Grade Level*

Unit: *Name of Unit of Which Lesson Is a Part*

Lesson Name: *Name of Lesson*

Day: *Date*

Time: *Total Time of Lesson*

Standard(s): *List the **main standard** to which the lesson connects here. Enter the full text of the standard and the numerical representation for the standard.*

Learning Target(s) (or Objectives): *"Students will be able to . . ." or "I can . . ."; include the knowledge and/or skill the students will demonstrate within this learning target by the end of the lesson.*

Expectation(s) of Mastery of Learning Targets

Conditions: *List the conditions under which students will be asked to demonstrate their mastery of the lesson's learning target, for example, "on a worksheet with fraction problems" or "in a three-minute presentation to the class."*

Criteria (Formative Assessment): *By which criteria will the teacher and the student know that the student has mastered the lesson's objective? For example, 80 percent is used in this example: "On a worksheet with fraction problems, the student will correctly answer 80 percent." In this example, the criteria are the number of components: "In a three-minute presentation to the class, the student will utilize all four components of an expository presentation."*

B. Enhanced Lesson Detail

Time: *List the Time Allotted for the Specific Mode of Instruction*

Instructional Mode: *List/Check the Type of Instructional Mode*

- ☐ **Teacher-Directed Whole Group**
- ☐ **Teacher-Directed Group(s)**
- ☐ **Student-Directed Group(s)**
- ☐ **Guided Practice**
- ☐ **Independent Practice**
- ☐ **Homework**

Instructional Activities: *Explain the activities that will occur during the instructional mode. Provide enough detail to guide the teacher through the lesson and explain to a colleague what occurs during the mode.*

Instructional Mode: Teacher-Directed Whole Group

Instructional Mode: Teacher-Directed Group(s) OR Student-Directed Group(s)

Enhanced Instructional Activities Group 1

Enhanced Instructional Activities Group 3

Enhanced Instructional Activities Group 2

Enhanced Instructional Activities Group 4

Instructional Mode: Guided or Independent Practice OR Homework

Enhanced Instructional Activities Prerequisite

Enhanced Instructional Activities Accelerated

Enhanced Instructional Activities Target

Personal Competencies

Cognitive	Metacognitive	Motivational	Social/Emotional
☐ connects to prior learning ☐ reinforces memorization ☐ builds vocabulary ☐ enhances core knowledge (e.g., common facts, ideas, phrases, quotations) ☐ includes rich reading, writing ☐ amplifies curiosity — exploration/ discovery ☐ **Big Strategy** Close Reading	☐ models thinking strategies ☐ requires logic ☐ enhances creativity (divergent thinking) ☐ includes problem-solving ☐ builds self-regulatory abilities ☐ includes goal setting ☐ requires self-monitoring ☐ requires self-appraisal ☐ builds self-efficacy ☐ reinforces self-management ☐ encourages seeking help ☐ includes student tracking of mastery ☐ **Big Strategy** Student Tracking of Mastery	☐ promotes a growth mindset ☐ stimulates interest in topic ☐ includes student choice ☐ connects with students' aspirations ☐ differentiates and/or personalizes ☐ celebrates accomplishments ☐ provides high levels of engagement ☐ includes clear indicators of progress (feedback) ☐ **Big Strategy** Active Student Responding	Includes enhancement of: ☐ self-awareness ☐ self-management ☐ social awareness ☐ relationship skills ☐ responsible decision-making ☐ **Big Strategy** Norming

Resources/Materials/Technology: *List the various resources and/or materials needed to complete this portion of the lesson and any technology that will be used.*

Accommodations: *List any accommodations for the lesson that do not change content or skills, only accessibility.*

Modifications: *List changes to skills and/or content based on student needs.*

Accelerated: *Specify the modified content and assignments to accelerate learning and keep engaged those students who have already demonstrated mastery of the learning objective.*

Prerequisite: *Specify the modified content and assignments that will provide students who have not yet mastered the prerequisite skills and/or the content needed for the new lesson objective, assignments and/or homework with the building blocks to achieve the skill and knowledge development that will enable them to ultimately meet the objective.*

Source: Redding, S. (2018). *Instructional design*. Philadelphia, PA: Center on Innovations in Learning at Temple University. Used and adapted with permission. (For this and many other resources, see http://www.centeril.org/)

Appendix H: Mapping the Instructional System (Tool)

A-Team Activity 2.1: Create a clear description — the map — of your school's instructional system by discussing and addressing targeted questions for each stage and sub-stage in the system. After addressing the question, check whether this item is a strength in the school's instructional system, a weakness, or not present at all.

In the mapping tool below, questions are organized by the sub-stages of each of the four stages in the instructional system — planning, providing, adjusting, and enhancing. Dedicating a single A-team meeting to addressing all the questions related to one stage is a reasonable pace, with four meetings needed to cover all four stages and, thus, to map the system and prioritize improvements.

Stage: Planning Instruction

Alignment Questions

AL1. Who creates the aligned curriculum? District teams? School teams? Individual teachers? Other?

Strong Area ☐ Weak Area ☐ Not Present ☐

AL2. Where does the aligned curriculum reside? In district curriculum guides? School curriculum guides? Other? Online or hard copy or both?

Strong Area ☐ Weak Area ☐ Not Present ☐

AL3. When and how often is the aligned curriculum reexamined and revised? By whom?

Strong Area ☐ Weak Area ☐ Not Present ☐

AL4. How is the aligned curriculum organized? By subject? Grade level? Course?

Strong Area ☐ Weak Area ☐ Not Present ☐

AL5. Who names courses and organizes them into units? District teams? School teams? Individual teachers? Other?

Strong Area ☐ Weak Area ☐ Not Present ☐

AL6. How are student learning data used in the alignment process?

Strong Area ☐ Weak Area ☐ Not Present ☐

Design Questions

ID1. Is a standard template used by all teachers for their lesson designs? If yes, describe the template and how it is used.

Strong Area ☐ Weak Area ☐ Not Present ☐

ID2. Are lessons created by individual teachers or teacher teams? Explain.

Strong Area ☐ Weak Area ☐ Not Present ☐

ID3. Are lessons shared with all teachers so that good ideas spread? How?

Strong Area ☐ Weak Area ☐ Not Present ☐

ID4. Do teachers receive feedback on their lesson design? From other teachers? From administrators? Explain.

Strong Area ☐ Weak Area ☐ Not Present ☐

ID5. How are decisions made about situating individual lessons within a teacher's schedule to create a lesson plan? How is this plan made available for administration (e.g., principal, department head) to review?

Strong Area ☐ Weak Area ☐ Not Present ☐

ID6. How are student learning data used in designing lessons?

Strong Area ☐ Weak Area ☐ Not Present ☐

Materials Questions

IM1. How are funds for *supplemental* materials requested, approved, allocated, budgeted, and accounted for?

Strong Area ☐ Weak Area ☐ Not Present ☐

IM2. Where are materials stored? Centrally or by each teacher?

Strong Area ☐ Weak Area ☐ Not Present ☐

IM3. Who creates or otherwise selects and secures the materials? Teams? Individual teachers?

Strong Area ☐ Weak Area ☐ Not Present ☐

	Strong Area	Weak Area	Not Present
IM4. Are assembled materials marked according to purpose and stored where they can be circulated? By whom?	☐	☐	☐
IM5. How are student learning data used in decisions about creating and adopting materials?	☐	☐	☐

Stage: Providing Instruction

Classroom Culture Questions

	Strong Area	Weak Area	Not Present
CC1. Are some classroom rules or norms officially adopted schoolwide? By whom? Explain.	☐	☐	☐
CC2. Do teachers follow common procedures to establish the classroom rules or norms? Describe procedures briefly.	☐	☐	☐
CC3. How are each teacher's *procedures for establishing* classroom rules or norms documented, and how are the final rules and norms made available to administration (e.g., principal, department head)? To students? To parents?	☐	☐	☐
CC4. How are classroom rules and norms taught and reinforced? Included in lesson plans?	☐	☐	☐
CC5. What determines when a student's behavior warrants attention by someone other than the teacher? Who is that someone? What is the process for referral?	☐	☐	☐
CC6. How would you characterize the culture of most classrooms? What descriptors come to mind? Warm? Caring? Orderly? Formal? Active? Engaged? To what extent do your descriptors cover nearly all classrooms?	☐	☐	☐
CC7. What data are tracked regarding student behaviors? By whom? For what purpose?	☐	☐	☐

Delivery Questions

DI1. To what degree does the lesson template ask for sufficient information to guide how the lesson is conducted? Would a lesson created from the template adequately inform a substitute teacher?

Strong Area ☐ Weak Area ☐ Not Present ☐

DI2. What are the classroom observation practices in the school? Who observes? How frequently? How are observations documented? How is the resulting information used?

Strong Area ☐ Weak Area ☐ Not Present ☐

DI3. On average, how many instructional modes (whole class, teacher-directed group; student-directed group; guided practice; independent practice; computer assisted) are used by the school's teachers during a lesson? How many teachers exceed the average?

Strong Area ☐ Weak Area ☐ Not Present ☐

DI4. How are student learning data used when establishing student groupings? When developing individual assignments?

Strong Area ☐ Weak Area ☐ Not Present ☐

Interactions Questions

IN1. During whole-class instruction, do teachers display a good balance between direct teaching and questioning/ interacting with students?

Strong Area ☐ Weak Area ☐ Not Present ☐

IN2. Do teachers use open-ended questioning and encourage students to elaborate in their responses?

Strong Area ☐ Weak Area ☐ Not Present ☐

IN3. Do teachers encourage on-topic peer interaction among students? How?

Strong Area ☐ Weak Area ☐ Not Present ☐

IN4. Do teachers provide appropriate verbal praise for specific student behaviors and responses?

Strong Area ☐ Weak Area ☐ Not Present ☐

IN5. How are data about student interaction and engagement collected? Used?

Strong Area ☐ Weak Area ☐ Not Present ☐

Stage: Adjusting Instruction

Peer Feedback Questions

PF1. At which stages of the instructional system is feedback a formal part of the school's quality assurance?

Strong Area ☐ Weak Area ☐ Not Present ☐

PF2. At which stages of the instructional system is feedback commonly requested by one teacher of another?

Strong Area ☐ Weak Area ☐ Not Present ☐

PF3. Is feedback *required* at any stages? Which stages? In what form?

Strong Area ☐ Weak Area ☐ Not Present ☐

PF4. Are common rubrics, critique forms, or similar templates used to record feedback? Describe.

Strong Area ☐ Weak Area ☐ Not Present ☐

PF5. How is feedback shared?

Strong Area ☐ Weak Area ☐ Not Present ☐

Formative Assessment Questions

FA1. What are the lesson template's requirements for specifying means by which student mastery of lesson objectives is determined?

Strong Area ☐ Weak Area ☐ Not Present ☐

FA2. Do formative assessment methods include unit pre- and post-tests or similar methods for determining change in student mastery as a result of instruction? Explain.

Strong Area ☐ Weak Area ☐ Not Present ☐

	Strong Area	Weak Area	Not Present
FA3. Do teacher teams or individual teachers develop formative assessments for lessons and units? What is the process?	☐	☐	☐
FA4. How are formative assessments calibrated with standards? By whom?	☐	☐	☐
FA5. Do teacher teams review formative assessment results to adjust lesson plans? Explain.	☐	☐	☐

Teacher Reflection Questions

	Strong Area	Weak Area	Not Present
TR1. Do teachers routinely record reflections of lessons taught? How? How frequently?	☐	☐	☐
TR2. Are teachers' reflections shared with other teachers? With teams? How?	☐	☐	☐
TR3. Do teacher reflections follow a template of key points or are they free-form?	☐	☐	☐
TR4. Do teachers review formative assessment data from the lesson before recording reflections?	☐	☐	☐

Stage: Enhancing Instruction

Differentiation

	Strong Area	Weak Area	Not Present
DF1. Does the school require a standard methodology, such as UDL or Tomlinson's Differentiated Instruction model (Tomlinson, 2003)? If so, what is required?	☐	☐	☐
DF2. How are lessons enhanced to differentiate? By individual teachers? By teams?	☐	☐	☐

DF3. Are lessons typically enhanced to differentiate when created or later when adjusted?

Strong Area ☐ Weak Area ☐ Not Present ☐

DF4. Do teachers provide alternative assignments to meet the learning needs of different students? In independent practice? In homework?

Strong Area ☐ Weak Area ☐ Not Present ☐

DF5. Is guided practice a common technique in the school?

Strong Area ☐ Weak Area ☐ Not Present ☐

DF6. How are student learning data used in planning differentiation?

Strong Area ☐ Weak Area ☐ Not Present ☐

Personalization Questions

PE1. How do lesson designs illustrate how the teacher will intentionally strengthen students' learning competencies (i.e., cognitive, metacognitive, motivational, and social/emotional)?

Strong Area ☐ Weak Area ☐ Not Present ☐

PE2. What does "personalization" mean in this school?

Strong Area ☐ Weak Area ☐ Not Present ☐

PE3. How are lessons enhanced to personalize? By individual teachers? By teams?

Strong Area ☐ Weak Area ☐ Not Present ☐

PE4. Are lessons typically enhanced to personalize when created or later when adjusted?

Strong Area ☐ Weak Area ☐ Not Present ☐

PE5. Does personalization include engaging students in the design of their learning paths?

Strong Area ☐ Weak Area ☐ Not Present ☐

	Strong Area	Weak Area	Not Present
PE6. Does personalization include giving students choice in topics or assignments?	☐	☐	☐
PE7. Do teachers use technology to personalize? For what purposes?	☐	☐	☐
PE8. How are student learning data used in planning personalization?	☐	☐	☐

Appendix I: Faculty Meeting Agenda

A-Team Activity 2.2: Share your notes from the discussion questions (the map) with the faculty and gather their feedback to revise your descriptions.

The map of the instructional system reflects the considered impressions of the principal and fellow members of the A-team. The same questions that have guided the A-team's discussion can be used as agendas for subsequent faculty meetings. Engaging the whole faculty in such discussion helps to develop a shared understanding of the system among the faculty and also leads to a more complete map of the system, which can guide next steps.

Faculty Meeting Agenda

School Name Here:

Meeting Location Here:

Date: **Time:**

Assigned Roles

Facilitator: *(add team member name)*

Timekeeper: *(add team member name)*

Note Taker: *(add team member name)*

Process Observer: *(add team member name)*

Faculty Meeting Agenda continues on next page

Time	Person Responsible	Agenda Item	Minutes (Summary of Key Points)
10 minutes	Principal	**Meeting Purpose:** To provide a review of the A-team's conclusions from mapping the instructional system	
20 minutes	Faculty	**Four Stages, Part A:** Group the faculty by the four stages of the instructional system; each group reviews A-team conclusions and confirms or changes rating and adds notes.	
10 minutes	Faculty	**Four Stages, Part B:** Each group summarizes stage notes at their table.	
15 minutes	Faculty	**Table Share:** Each group shares its notes on the stage it reviewed.	
5 minutes	Process Observer	**Report:** Process observer shares observations of meeting proceedings.	

Appendix J: Prioritization of Transformation Strategies (Template)

A-Team Activity 2.3: Review faculty input to map of instructional system, summarize strengths and weakness for each stage, and prioritize strategies for transformation in each stage.

Once analyzed, the information you have gathered about your school's instructional system will inform action planning in Early Action 4. In activity 2.3, the A-team will summarize the conclusions drawn from discussion of the stages and sub-stages of the instructional system. Which stand out as the school's greatest strengths? Which stages and sub-stages cry out for improvement? Use the template below to document your conclusions.

Big Conclusions for Planning Instruction

Our greatest strengths

Our greatest weaknesses

Possible strategies to address weaknesses

Big Conclusions for Providing Instruction

Our greatest strengths

Our greatest weaknesses

Possible strategies to address weaknesses

Big Conclusions for Adjusting Instruction

Our greatest strengths

Our greatest weaknesses

Possible strategies to address weaknesses

Big Conclusions for Enhancing Instruction

Our greatest strengths

Our greatest weaknesses

Possible strategies to address weaknesses

Along with these big conclusions, keep the notes from the team's discussions about each set of questions so the team can refer to them while moving into Early Actions 3 and 4.

Appendix K: See Through Students' Eyes Observation and Analysis (Tool)

A-Team Activity 3.1: Draw from your observations and interviews to develop a list of ways to remove barriers and expand opportunities for students at your school.

In this activity, the A-team will look through students' eyes to try to understand the barriers that may be in the way of students' learning and success in school. In doing so, team members will consider each learning activity they see in a lesson not only as a demonstration of the teacher's intentions, but also as it relates to each student's readiness for the activity, that is, as it relates to the student's personal competencies for learning.

Based on these observations, the A-team will consider ways to remove barriers and open opportunities for students. The team will also introduce the faculty to methods for intentionally building students' personal competencies to produce stronger learners.

In the activity, the A-team members, individually, spend a week observing students in a variety of situations — in classrooms, in hallways, on the playground; individually and in groups — and note their observations in the tool See Through Students' Eyes Observation and Analysis (Template). They come back together to compare notes and consider steps the school could take to remove barriers to students' learning and/or to create new opportunities for learning. These notes will be useful when you develop your action plan in Early Action 4: Set the Course for Change.

See Through Students' Eyes Observation and Analysis (Template)

Seeing through students' eyes can be an enlightening experience. Applying it to transformational change takes some analytical thought and planning. The template below offers both a journal to record observations (section A) and a "next steps" tool (section B) to draw conclusions and identify how to remove barriers and provide more opportunities for students.

A. Observing

Date	Type of Observation *For example: Individual student, group of students, classroom*	Observation

Date	Type of Observation *For example: Individual student, group of students, classroom*	Observation

B. Drawing Conclusions and Considering Next Steps

General Conclusions From Observations	Possible Actions and Next Steps	Remove Barrier or Provide Opportunity? (RB or PO)

The *Four Domains* framework offers a variety of suggestions for removing barriers and providing opportunity. These suggestions might prime your thinking.

1. When students struggle with a certain concept, they could be assigned temporarily to a teacher whose data demonstrate that he or she teaches it well or differently from the students' current teacher(s), placed in a small group for reteaching, or given individualized instruction.
2. Teachers are given time within the school day to conduct analysis and develop plans to address identified student needs. Teachers are also held accountable for doing so and for carrying out the plans they develop for students.
3. Determine whether adjustments and supports are needed to ensure all students have access to the curricula.
4. Track student progress and help students regain lost ground through
   a. academic supports (e.g., tutoring, co-curricular activities, tiered interventions) and
   b. extended learning opportunities (e.g., summer bridge programs, after-school and supplemental educational services, Saturday academies, enrichment programs), credit-recovery programs, and virtual courses.
5. Give students demonstrating sufficient prior mastery access to higher-level assignments and courses.
6. Network with nearby organizations in the community to identify available supports — or to generate new supports — for students.
7. Consider having medical and dental services available on-site on a regular basis.
8. Provide on-site laundry service for families in need.
9. Provide food for students during extended learning sessions and other periods when they are at school outside regular school hours.
10. Recognize student effort and academic mastery.
11. Maintain a positive, encouraging classroom and school culture for students in which students feel safe and supported to share their needs, struggles, and concerns.
12. Programmatically and systematically build students' skills in setting learning goals, managing their learning, and pursuing their goals by charting progress on coursework and toward their postsecondary goals.
13. Inform and engage families in planning and supporting their students' education goals.
14. Provide students and their families with a full explanation of assessment results and interest inventories to help them make the best decisions.
15. Tap community resources and expertise to expand students' understanding of potential careers and education options.

Appendix L: Lesson Review/ Observation for Personal Competencies (Tool)

A-Team Activity 3.2: Introduce the faculty to the strategies for building students' personal competencies and help them understand how to embed those strategies in lesson plans.

When observing students closely in an attempt to see school and, specifically, instruction as the students see it, the A-team members will record their impressions. They will also note behaviors that give clues to students' personal competencies. The Lesson Review/ Observation for Personal Competencies tool provides a more formal way to look at how teachers are building students' personal competencies. The tool can be used in reviewing a lesson design or in observing a class. The tool gives the reviewer or observer "look fors" to call out the teacher's techniques and strategies for enhancing students' personal learning competencies.

Then, in a faculty meeting, the A-team will present a brief introduction to the four personal competencies (explanations of personal competencies in Early Action 3 that can be copied and used with faculty). The A-team will then explain the Lesson Review/Observation tool below. Teachers can use the tool to prepare and critique their own lessons. The tool can also be used when providing peer feedback for lesson designs and in peer observations of classroom teaching.

Lesson Review/Observation for Personal Competencies

The lesson design (or the observed lesson) supports these personal competencies (check):

☐ **Cognitive**	☐ **Metacognitive**	☐ **Motivational**	☐ **Social/Emotional**
prior learning that provides organization, associations, and understanding to facilitate new learning	self-regulation of learning and use of learning strategies	engagement and persistence in pursuit of learning goals	sense of self-worth, regard for others, and the emotional ability to set positive goals and make responsible decisions

The lesson design (or the observed lesson) specifically includes these teaching techniques or strategies (check):

Cognitive	Metacognitive	Motivational	Social/Emotional
☐ connects to prior learning ☐ reinforces memorization ☐ builds vocabulary ☐ enhances core knowledge (e.g., common facts, ideas, phrases, quotations) ☐ includes rich reading, writing ☐ amplifies curiosity — exploration/ discovery ☐ **Big Strategy** Close Reading	☐ models thinking strategies ☐ requires logic ☐ enhances creativity (divergent thinking) ☐ includes problem-solving ☐ builds self-regulatory abilities ☐ includes goal setting ☐ requires self-monitoring ☐ requires self-appraisal ☐ builds self-efficacy ☐ reinforces self-management ☐ encourages seeking help ☐ **Big Strategy** Student Tracking of Mastery	☐ promotes a growth mindset ☐ stimulates interest in topic ☐ includes student choice ☐ connects with students' aspirations ☐ differentiates and/or personalizes ☐ celebrates accomplishments ☐ provides high levels of engagement ☐ includes clear indicators of progress (feedback) ☐ **Big Strategy** Active Student Responding	Includes enhancement of: ☐ self-awareness ☐ self-management ☐ social awareness ☐ relationship skills ☐ responsible decision-making ☐ **Big Strategy** Norming

Personal competencies are addressed in the lesson by (briefly describe):

Cognitive	Metacognitive	Motivational	Social/Emotional

Comments:

Source: Twyman, J., & Redding, S. (2015). *Personal competencies/personalized learning: Learning plan reflection guide.* Washington, DC: Council of Chief State School Officers. Used and adapted with permission.

Appendix M: Draft 90-Day Action Plan to Launch Transformation (Template)

A-Team Activity 4.1: **Develop a draft 90-day action plan that recommends (a) specific changes in practice that can be implemented within the next 90 days to launch instructional transformation and (b) longer-term changes in the instructional system for possible inclusion in the school's continuous improvement plan.**

Over the past several months, the A-team has examined the school's instructional system to identify how that system is performing and the changes in practice that might strengthen it, enabling more efficient management of the system and helping to ensure that it provides an optimal learning experience for all students. Reviewing what has been learned during this instruction-focused examination, A-team members now identify and use the template in this appendix to document two kinds of actions, or changes in practice: (a) high-priority changes that can be implemented and begin to yield results within the next 90 days and (b) important changes to the instructional system that will take longer to implement (e.g., adoption of a new curriculum or technology). The longer-term recommendations are referred to the school leadership team or the school improvement team for possible inclusion in a continuous improvement plan. The proposed 90-day actions are presented as a draft plan to the full faculty, which weighs in, fleshes out as needed, and ultimately approves a final 90-day action plan.

Before the whole A-team starts generating the draft action plan, the principal needs to consider the following seven questions about managing implementation of the final 90-day action plan.

Implementation Management

1. Will another team collaborate with the A-team to manage implementation of the 90-day action plan?	☐ Yes ☐ No
2. If yes, which other team will collaborate with the A-team to manage the implementation?	☐ Leadership Team ☐ School Improvement Team ☐ Other — Name of Team:
3. How frequently will the A-team meet for this purpose?	☐ At Least Once a Week ☐ Twice a Month ☐ Monthly
4. Will the A-team prepare agendas and minutes for its meetings?	☐ Yes ☐ No
5. Will the A-team include a note taker for these meetings?	☐ Yes ☐ No
6. Will the A-team include a timekeeper for these meetings?	☐ Yes ☐ No
7. Will the A-team include a process observer for these meetings?	☐ Yes ☐ No

By now, the A-team has compiled several documents and has consolidated what it learned about the instructional system using the template in Appendix J: Prioritization of Transformation Strategies. All this information and analysis now comes to the fore as the A-team considers each of seven key topic areas represented in the template below and drafts a 90-day action plan to present to the faculty for discussion, revision, and final approval (see appendix N). The topic areas are derived from the Early Actions addressed by the A-team during the jump-start period. One of the key topics — practice-focused collaboration — encourages the A-team to establish structures, routines, and opportunities for faculty and staff to help each other get better at what they do. Four of the topic areas represent the four stages in the instructional system: planning, delivering, adjusting, and enhancing. Finally, two key topics are derived from the A-team's thoughtful consideration of learning and schooling as seen through the eyes of the students.

The draft 90-day action plan should propose quick changes in practice within only two to four topic areas, so there will not be an action for each of the seven. It is also possible that the team will propose more than one change in practice within the same topic area. Ideally, the action plan will include no more than four to six quick changes in different aspects of the instructional system; however, given the goal of accomplishing all action plan changes within 90 days and the varying time requirements associated with different types of changes, a team could also opt to recommend fewer than four changes in its draft action plan.

The template also includes a place to identify longer-term recommendations for changes to the instructional system within each topic area. These latter recommendations (in the form of proposed actions and/or objectives) should not be included in the draft 90-day action plan that will be shared with the full faculty. Instead, once the template has been completed, these longer-term recommendations should be pulled out, put into a separate document, and shared with the appropriate team for consideration as part of the school's continuous improvement plan.

Draft 90-Day Action Plan Template

Topic 1: Practice-Focused Collaboration

Information sources for determining highest-priority actions:

- A-Team Minutes
- Principal Time Study Results From Early Action 1

1.A — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

1.B — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

Recommended changes to the instructional system that will take more than 90 days. Can also be stated as objectives. Refer for inclusion in school's continuous improvement plan.

Topic 2: Instructional System — Planning

Information sources for determining highest-priority actions:

- A-Team Minutes
- Alignment Discussion Notes
- Design Discussion Notes
- Materials Discussion Notes
- Faculty Meeting Minutes
- Prioritized Transformation Strategies

2.A — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

2.B — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

Recommended changes to the instructional system that will take more than 90 days. Can also be stated as objectives. Refer for inclusion in school's continuous improvement plan.

Topic 3: Instructional System — Providing

Information sources for determining highest-priority actions:

- A-Team Minutes
- Classroom Culture Discussion Notes
- Delivery Discussion Notes
- Interaction Discussion Notes
- Faculty Meeting Minutes
- Prioritized Transformation Strategies

3.A — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

3.B — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

Recommended changes to the instructional system that will take more than 90 days. Can also be stated as objectives. Refer for inclusion in school's continuous improvement plan.

Topic 4: Instructional System — Adjusting

Information sources for determining highest-priority actions:

- A-Team Minutes
- Peer Feedback Discussion Notes
- Formative Assessment Discussion Notes
- Teacher Reflection Discussion Notes
- Faculty Meeting Minutes
- Prioritized Transformation Strategies

4.A — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

4.B — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

Recommended changes to the instructional system that will take more than 90 days. Can also be stated as objectives. Refer for inclusion in school's continuous improvement plan.

Topic 5: Instructional System — Enhancing

Information sources for determining highest-priority actions:

- A-Team Minutes
- Differentiation Discussion Notes
- Personalization Discussion Notes
- Faculty Meeting Minutes
- Prioritized Transformation Strategies

5.A — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

5.B — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

Recommended changes to the instructional system that will take more than 90 days. Can also be stated as objectives. Refer for inclusion in school's continuous improvement plan.

Topic 6: See Through Students' Eyes, Build Students' Capabilities as Learners

Information sources for determining highest-priority actions:

- A-Team Minutes
- Personalization Discussion Notes
- Faculty Meeting Minutes

6.A — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

6.B — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

Recommended changes to the instructional system that will take more than 90 days. Can also be stated as objectives. Refer for inclusion in school's continuous improvement plan.

Topic 7: See Through Students' Eyes, Remove Barriers and Provide Opportunities

Information sources for determining highest-priority actions:

- A-Team Minutes
- See Through Students' Eyes Observation and Analysis
- Faculty Meeting Minutes

7.A — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

7.B — Quick change in practice to achieve instructional improvement

Target Date to Be Fully Implemented:

Primary Person Responsible for Leading the Change:

Next Step:

Recommended changes to the instructional system that will take more than 90 days. Can also be stated as objectives. Refer for inclusion in school's continuous improvement plan.

Appendix N: Final 90-Day Action Plan to Launch Transformation (Template)

A-Team Activity 4.2: Work with the whole faculty to modify the draft 90-day action plan, converting it to a final action plan that is fleshed out in greater detail. With the whole faculty, begin implementing the final plan.

Final 90-Day Action Plan Template

(may have fewer or more than five changes in practices; add or delete rows as needed)

Name of School:

District:

Change in Practice 1:

Step #	Target Date	Person Responsible	Resources Needed	Notes
Step 1:				
Step 2:				
Step 3:				
Step 4:				
Step 5:				

Change in Practice 2:

Step #	Target Date	Person Responsible	Resources Needed	Notes
Step 1:				
Step 2:				
Step 3:				
Step 4:				
Step 5:				

Change in Practice 3:

Step #	Target Date	Person Responsible	Resources Needed	Notes
Step 1:				
Step 2:				
Step 3:				
Step 4:				
Step 5:				

Change in Practice 4:

Step #	Target Date	Person Responsible	Resources Needed	Notes
Step 1:				
Step 2:				
Step 3:				
Step 4:				
Step 5:				

Change in Practice 5:

Step #	Target Date	Person Responsible	Resources Needed	Notes
Step 1:				
Step 2:				
Step 3:				
Step 4:				
Step 5:				

Appendix O: Progress Tracking for 90-Day Action Plan (Template)

A-Team Activity 4.3: Each week, review progress in implementing the final 90-day action plan and complete the entries for that week in the Progress Tracking Form.

Progress Tracking Form

(add or delete rows as needed to map to final action plan)

Name of School:

District:

Last Date of This Report:

Change in Practice 1:

Step #	Target Date	Completed Yes or No	Notes
Step 1:		Yes No	
Step 2:		Yes No	
Step 3:		Yes No	
Step 4:		Yes No	
Step 5:		Yes No	

Practice has been fully implemented and is routinely employed in the school. ☐ **Yes**

Date fully implemented:

Change in Practice 2:

Step #	Target Date	Completed Yes or No	Notes
Step 1:		Yes No	
Step 2:		Yes No	
Step 3:		Yes No	
Step 4:		Yes No	
Step 5:		Yes No	

Practice has been fully implemented and is routinely employed in the school. ☐ Yes

Date fully implemented:

Change in Practice 3:

Step #	Target Date	Completed Yes or No	Notes
Step 1:		Yes No	
Step 2:		Yes No	
Step 3:		Yes No	
Step 4:		Yes No	
Step 5:		Yes No	

Practice has been fully implemented and is routinely employed in the school. ☐ Yes

Date fully implemented:

Change in Practice 4:

Step #	Target Date	Completed Yes or No	Notes
Step 1:		Yes No	
Step 2:		Yes No	
Step 3:		Yes No	
Step 4:		Yes No	
Step 5:		Yes No	

Practice has been fully implemented and is routinely employed in the school. ☐ Yes

Date fully implemented:

Change in Practice 5:

Step #	Target Date	Completed Yes or No	Notes
Step 1:		Yes No	
Step 2:		Yes No	
Step 3:		Yes No	
Step 4:		Yes No	
Step 5:		Yes No	

Practice has been fully implemented and is routinely employed in the school. ☐ Yes

Date fully implemented:

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CONTENTS

Preface 1

Project CREATE Staff 2

Overview 3

Acknowledgements 4

Cultural Standards Map..... 5

Cultural Standards 6

Cultural Standard A Overview 7

Cultural Standard A Indicators and Rating Scale 8

Cultural Standard B Overview 14

Cultural Standard B Indicators and Rating Scale 15

Cultural Standard C Overview 20

Cultural Standard D Overview 21

Cultural Standard D Indicators and Rating Scale 22

Cultural Standard E Overview 24

Cultural Standard E Indicators and Rating Scale 25

PREFACE

In December 2012, the Alaska State Board of Education adopted four (4) of the five (5) Alaska Cultural Standards for teacher evaluation. "Four (4) cultural standards are identified in regulations and must be considered when evaluating educators: 4 AAC04.200(f) and 4 AAC19.010(b)(c)(d)."

At the time of adoption, processes and tools to evaluate teachers on the cultural standards did not exist. The Guide to Implementing the Alaska Cultural Standards for Educators, had been prepared and published in collaboration with the Alaska Department of Education & Early Development, the Alaska Comprehensive Center, Alaska Native Educators, and Education Northwest in May 2012. This document, however, by its own declaration, was never meant for evaluation or comparison of teachers.

Therefore, Alaska Cultural Standards for Educators: Indicators and Evidences for Evaluating Culturally Proficient Teaching was created for the purpose of evaluation and comparison of teachers.

This document was developed as part of SERRC's Project CREATE (Culturally Responsive Evidences for Alaska Teacher Effectiveness) to develop and support a teacher evaluation framework based on Alaska Teacher Standards and Alaska Cultural Standards for Educators.

The Alaska Cultural Standards for Educators complement other state standards by orienting the school community to its role in helping students become responsible, capable, and whole human beings. The Cultural Standards emphasize a strong connection between what students experience in school, and their lives out of school, by providing in-depth, experiential learning in real-world contexts.

School Districts and personnel will find this document useful in assisting educators in the teacher evaluation process. It defines what culturally responsive instruction and practice could look like. Teachers will also find it helpful in planning for meaningful, effective lessons, activities, and strategies that meet the Alaska Cultural Standards for Educators.

This document applies to all evaluation and instructional frameworks, and is inclusive of all cultures. Evidences and indicators are broad enough to allow for each teaching site to localize activities, lessons, and practices to fit their specific and unique needs.

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OVERVIEW

Research has established the importance of cultural proficiency in improving students' academic and behavioral outcomes. Effective educators recognize that culture influences their actions as well as the thoughts and behaviors of their students (Nuri-Robins, Lindsey, Lindsey & Terrell, 2012). To ignore the impact of one's culture is to ignore the opportunities and challenges within the instructional teaching and learning environment. Culturally responsive teaching practices can assist educators in bridging differences in language, heritage, race, socio-economic status, trauma history, and ability. As a result, educators are realizing the need to intentionally focus on identifying effective methods for developing culturally responsive practices.

Cultural proficiency is a mindset. When considered this way, it becomes an active, evolving journey that school leaders and educators undertake to cross philosophical barriers toward thoughtful and reflective school change. Systematic change has the best chance of creating and sustaining learning environments where students achieve and realize their full educational potential, and educators can self-reflect to ensure their beliefs and attitudes are free of bias.

From 2012 to 2015, SERRC partnered with Bering Strait School District (BSSD) to develop tools, protocols, and training to evaluate teachers on culturally-responsive skills and practices. This work was conducted through an Alaska Native Education Program (ANEP) grant, Project CREATE.

Project CREATE has elaborated on the Alaska Cultural Standards for Educators to develop indicators and evidences upon which teachers can be evaluated for culturally-responsive instruction.

To develop the description, focus statement, desired effect, and indicators for each of the cultural standards, Project CREATE staff met face-to-face and via teleconference with consultants over the course of several years. These consultants included individuals who also helped to develop the original publication, Cultural Standards for Educators, published in 1998. By bringing in authors from the original publication and body of knowledge, Project CREATE has ensured intent and content continuity between the works, and upheld the integrity of the Standards.

In the final year of the grant, more consultants joined Project CREATE and together the group crafted the teacher and students evidences listed for each standard indicator. All of the work was vetted for reliability and validity at each stage of development. This effort culminated with the publication of Alaska Cultural Standards for Educators: Indicators and Evidences for Evaluating Culturally Proficient Teaching.

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Alaska Cultural Standards and Indicators for Teacher Evaluation

Cultural Standard A **Culturally responsive educators incorporate local ways of knowing and teaching in their work.**	Cultural Standard B **Culturally responsive educators use the local environment and community resources on a regular basis to link what they are teaching to the everyday lives of the students.**	Cultural Standard D **Culturally responsive educators work closely with parents to achieve a high level of complementary educational expectations between home and school.**	Cultural Standard E **Culturally responsive educators recognize the full educational potential of each student and provide the challenges necessary for them to achieve that potential.**
CA1 The educator plans lessons that incorporate knowledge of students' cultural background/practices into the teaching of content.	**CB1** The educator has a planning process that incorporates the linking of the local environment, community resources, and issues to instructional content.	**CD1** The educator plans culturally sensitive ways to build relationships with parents/guardians to achieve complementary expectations of students.	**CE1** The educator plans for academic rigor that will challenge each student regardless of cultural background.
CA2 The educator integrates and connects traditions, customs, values, and practices of the students when interacting with new content.	**CB2** The educator engages students in learning experiences that integrate the local environment, community resources, and issues when interacting with content.	**CD2** The educator communicates with homes to better understand the student's educational needs, concerns, and strengths.	**CE2** The educator provides rigorous learning opportunities for students that combines higher order thinking skills and student autonomy (from teacher-directed to student-directed).
CA3 The educator's uses the students' cultural traditions, customs, values and practices when designing the classroom environment.	**CB3** The educator reflects on the effectiveness of using the local environment, community resources, and issues to help students connect content to their daily lives.		**CE3** The educator demonstrates value and respect for all students of all cultures and challenges them to strive for educational excellence.
CA4 The educator uses students' traditions, customs, values, and practices to engage them in their learning.	**CB4** The educator seeks guidance regarding the local environment, community resources, and issues and how it connects to the everyday lives of the students		**CE4** The educator reflects on student performance based assessments, both formative and summative to identify areas for academic rigor.
CA5 The educator reflects on the effectiveness of applying their knowledge of students' traditions, customs, values, and practices when teaching.			
CA6 The educator seeks guidance regarding knowledge about and use of students' traditions, customs, values, and practices when teaching.			

Standard A: Culturally-responsive educators incorporate local ways of knowing and teaching in their work.

Standard B: Culturally-responsive educators use the local environment and community resources on a regular basis to link what they are teaching to the everyday lives of the students.

Standard C: Culturally-responsive educators participate in community events and activities in appropriate and supportive ways.

Standard D: Culturally-responsive educators work closely with parents to achieve a high level of complementary educational expectations between home and school.

Standard E: Culturally-responsive educators recognize the full educational potential of each student and provide the challenges necessary for them to achieve that potential.

Alaska Cultural Standard A

Cultural Connections

A. Culturally-responsive educators incorporate local ways of knowing and teaching in their work.

Description of the Standard:

Cultural Standard A addresses incorporating knowledge of students' culture into an educator's pedagogical practice. Educators should strive to know about the cultural background and heritage of the students they teach. The educator uses this knowledge in their teaching practice to engage and anchor students in their learning. Knowledge of students' background and heritage should guide the choices educators make about strategies and practices they use with their students.

Focus Statement	Desired Outcome
The educator uses students' cultural traditions, customs, values, and practices in their teaching.	Educators are guided by their knowledge of students' background and heritage when making decisions about strategies and practices they will use in their teaching.

Indicator #	Cultural Indicator	Reflection Question
CA1	The educator plans lessons that incorporate knowledge of students' cultural background/practices into the teaching of content.	How will I include more cultural traditions, customs, values and practices of the students in my classroom when I plan?
★CA2	The educator integrates and connects traditions, customs, values, and practices of the students when interacting with new content.	How will I incorporate the local traditions, customs, values and practices when teaching new content?
★CA3	The educator's uses the students' cultural traditions, customs, values and practices when designing the classroom environment.	What can I do to make my classroom environment more representative of the culture(s) of my students?
★CA4	The educator uses students' traditions, customs, values, and practices to engage them in their learning.	What more can I do to use the cultural traditions, customs, values, and practices of my students to effectively engage them?
CA5	The educator reflects on the effectiveness of applying their knowledge of students' traditions, customs, values, and practices when teaching.	What evidence do I have that incorporating the students' culture into my lessons is effective?
CA6	The educator seeks guidance regarding knowledge about and use of students' traditions, customs, values, and practices when teaching.	How and from whom will I seek advice for the appropriate use of students' traditions, customs, values, and practices in my teaching?

★ ***Denotes indicators that can be observed in the classroom.***

Indicator #	
CA1	The educator plans lessons that incorporate knowledge of students' cultural background/practices into the teaching of content.

Desired Outcome

Educators' plans include references and/or activities and assignments that connect to students' backgrounds and heritage for the purpose of improving student achievement and increasing student engagement.

Example Evidences of Planning

- ❑ Educator's unit plans include specific activities and assignments that connect students' backgrounds and heritage to the content.
- ❑ Educator can show evidence of data collection, related to students' backgrounds and heritage. (i.e. parent surveys, student bios, etc.)
- ❑ Educator analyzes data collected about students' backgrounds and heritage and uses it for planning.
- ❑ Educator planning includes scheduling of community members to support connecting students' backgrounds and heritage to the content.
- ❑ Educator can explain the process used to gather information about students' cultural heritage and backgrounds.
- ❑ Educators incorporate information gathered about students' cultural backgrounds into written lesson plans.

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator's plans do not incorporate knowledge of students' cultural background(s)/practices into the teaching of their content.	The educator incorporates knowledge of students' background into the planning process, however there isn't a statement of how the activity, lesson, or reference will connect to the content.	The educator incorporates knowledge of students' background into the planning process, and there is a statement of how the activity, lesson, or reference will connect to the content.	The educator's plans use the students' cultural background(s) in unique and creative ways to make connections to the content.

Indicator #	
★CA2	The educator integrates and connects traditions, customs, values, and practices of the students when interacting with new content.

Desired Outcome
Students make connections between their cultural backgrounds and new content.

Example Student Behaviors	Example Educator Behaviors
❑ Students discuss their traditions, customs, values, and practices and how it relates to new content. ❑ Students are highly engaged. ❑ Student artifacts demonstrate cultural connections to the content being taught. ❑ Students can explain how the content connects to their cultural background and heritage.	❑ Educator uses previewing activities and or relevant "hooks" to help students make connections between content and their traditions, customs, values, and practices. ❑ Educator involves community guests to illuminate connections between content and the students' traditions, customs, values, and practices. ❑ Educator can describe how cultural connections within the unit contribute toward understanding of the content. ❑ Educator integrates cross-curricular cultural connections to content. ❑ Educator asks questions of students that require students to make inferences between their cultural background and content.

Rating Scale			
Unsatisfactory	***Basic***	***Proficient***	***Exemplary***
The educator's use of cultural traditions, customs, values, and practices was not appropriately connected to the introduction of new content.	The educator makes cultural connection(s) to the content but the majority of the students cannot state how the connection relates to their cultural traditions, customs, values, and practices.	The educator makes cultural connection(s) to the content and the majority of the students can state how the connection relates to their cultural traditions, customs, values, and practices.	The educator makes cultural connections to the content in unique and creative ways so that all students were able to state how the content connects to their cultural backgrounds.

Indicator #	
★CA3	The educator's uses the students' cultural traditions, customs, values and practices when designing the classroom environment.

Desired Outcome
Students can recognize representation of their culture in the physical environment of the classroom

Example Student Behavior	Example Educator Behaviors
❑ Students can describe how their traditions, customs, values, and/or practices are represented in the classroom, i.e. work products, posters, routines, etc. ❑ Students can explain how the classroom environment makes them feel comfortable, safe, included, valued, and respected.	❑ Educator involves members of community to participate in classroom design. ❑ Educator displays interpretations and/or cultural products of student work that reflect the students' traditions, customs, values, and practices. (student work) ❑ Educator incorporates the traditions, customs, values, and practices of students represented in the classroom in their visual displays and decor. (i.e. posters) ❑ Educator includes the traditions, customs, values, and practices of students into the development of classroom routines and rules. ❑ Educator provides cultural resources on a regular basis, i.e., books, web sites, brochures, speakers, that students can access.

Rating Scale			
Unsatisfactory	***Basic***	***Proficient***	***Exemplary***
The educator's use of students' cultural traditions, customs, values and practices in the design of the classroom environment was not used appropriately.	The educator uses cultural knowledge of students' cultural traditions, customs, values and practices in the design of the classroom, but the majority of students cannot recognize representation of their culture in the physical environment of the classroom.	The educator uses cultural knowledge of students' cultural traditions, customs, values and practices in the design of the classroom, and the majority of students can recognize representation of their culture in the physical environment of the classroom	The educator uses knowledge of students' cultural traditions, customs, values and practices in unique and creative ways in the design of the classroom, and all students recognize representation of their culture in the physical environment of the classroom.

Indicator #	
★CA4	The educator uses students' traditions, customs, values, and practices to engage them in their learning.

Desired Outcome
Students are highly engaged and motivated to learn as a result of connections to their traditions, customs, values, and practices.

Example Student Behavior	Example Educator Behaviors
❑ Students participate in activities that incorporate their traditions, customs, values, and practices with learning content. ❑ Students can tell how making cultural connections to content is engaging. ❑ Students' non-verbal body language expresses engagement.	❑ Educator uses activities related to traditions, customs, values, and practices of the students in their class, i.e. music, language, foods, etc. ❑ Educator demonstrates awareness of the nonverbal communication appropriate to the customs of the students in their classroom. ❑ Educator has discussions with students about topics in which they are interested. ❑ Educator builds student interests into lessons.

Rating Scale			
Unsatisfactory	***Basic***	***Proficient***	***Exemplary***
The educator does not use students' traditions, customs, values, and practices to engage students with the content.	The educator uses the students' traditions, customs, values, and practices, but the majority of students do not display engagement and/or motivation to learn.	The educator makes connections between the students' traditions, customs, values, and practices, and the majority of the students are engaged and motivated to learn.	The educator uses cultural connections to students' traditions, customs, values, and practices in unique and creative ways so that all students are engaged and motivated to learn.

Indicator #	
CA5	The educator reflects on the effectiveness of applying their knowledge of students' traditions, customs, values, and practices when teaching.

Desired Outcome

Through reflection, educators can identify ways to become more culturally responsive in their teaching.

Example Evidences

- ❑ Educator identifies this indicator as an area for personal growth.
- ❑ Educator documents the steps they have taken toward personal growth in this indicator. i.e.. logs, journals, actions plans, etc.
- ❑ Educator identifies observable measures that would demonstrate growth in this indicator. i.e. benchmarks, timelines, student data.
- ❑ Educator identifies a goal(s) for this indicator.

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator lacks reflection on his/her teaching and therefore does not identify ways to become more culturally responsive in their teaching.	The educator reflects on how to use students' traditions, customs, values, and practices but does not identify specific ways to become more culturally responsive.	The educator reflects on how to use students' traditions, customs, values, and practices and identifies specific ways to become more culturally responsive.	The educator reflects on how to use students' traditions, customs, values, and practices and how to adapt culturally responsive practices in order to reach all students in the classroom.

Indicator #	
CA6	The educator seeks guidance regarding knowledge about and use of students' traditions, customs, values, and practices when teaching.

Desired Outcome

The cultural content is accurate and credible, and the delivery correctly follows cultural protocols.

Example Evidences

- ❑ The educator understands that they need to seek out protocols for guidance in cultural knowledge.
- ❑ The educator adheres to the cultural and intellectual property rights that pertain to all aspects of the local knowledge by citing and documenting resources.
- ❑ The educator keeps a record of specific instances when and from whom they sought mentorship.
- ❑ Educator consults with community members to guide and support planning that incorporates students' cultural backgrounds and heritage with the content.
- ❑ Educator collaborates with staff when planning to incorporate students' cultural backgrounds in their teaching.

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator does not seek guidance in the use of or the knowledge of students' cultural traditions, customs, values, and practices.	The educator seeks guidance in the use of cultural information relating to students' traditions, customs, values, and practices but the information used is not accurate or the delivery of the lesson does not follow cultural protocols.	The educator seeks guidance in the use of cultural information relating to students' traditions, customs, values, and practices and the information used is accurate and the delivery of the lesson does follow cultural protocols.	The educator seeks guidance and collaborates with peers and community members to ensure accurate information of cultural content in their teaching.

Alaska Cultural Standard B

Authentic Local Resources

B. Culturally responsive educators use the local environment and community resources on a regular basis to link what they are teaching to the everyday lives of the students.

Description of the Standard:

Cultural Standard B addresses the educator using the authentic environment on regular basis as a bridge to new learning. The authentic environment is the local community that all students are members of regardless of their cultural heritage. The resources available for an educator may include people, environment, businesses, and organizations (hospitals, clinics, corporations, etc.). Educators that successfully link the authentic environment with the curriculum help students develop connections between content and their everyday lives.

Focus Statement	Desired Outcome
The educator regularly uses local resources helping students make connections between the content and their everyday lives.	Students connect classroom learning to their daily lives.

Indicator #	Cultural Indicator	Reflection Question
CB1	The educator has a planning process that incorporates the linking of the local environment, community resources, and issues to instructional content.	How can I improve my planning process to be more inclusive of the local environment, community resources, and issues with instructional content?
★CB2	The educator engages students in learning experiences that integrate the local environment, community resources, and issues when interacting with content.	What can I do to broaden my understanding of the local environment and community resources so that I can help my students interact with knowledge/content more effectively?
CB3	The educator reflects on the effectiveness of using the local environment, community resources, and issues to help students connect content to their daily lives.	What evidence do I have that incorporating the local environment, community resources, and issues are helping my students connect content with their everyday lives?
CB4	The educator seeks guidance regarding the local environment, community resources, and issues and how it connects to the everyday lives of the students.	How and from whom will I seek guidance about the appropriate use of local resources?

★*Denotes indicators that can be observed in the classroom.*

Indicator #	
CB1	The educator has a planning process that incorporates the linking of the local environment, community resources, and issues to instructional content.

Desired Outcome

Educator's plans include references and activities connecting content to the local environment.

Example Evidences

- ❑ Educator's plans reflect using the local environmental resources on a regular basis; i.e. speakers, field
- ❑ Educator's plans integrate the content standards with cultural standards utilizing local resources.
- ❑ Educator's plans reflect the use of the local environment's seasonal activities; i.e. traditional uses of resources for different seasons.
- ❑ Educator's plans includes elements to make connections between the students and the local environment, i.e. field trips, guest speakers, out of doors, activities, etc.

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator's plans do not incorporate knowledge of the students' local environment, community resources, and issues in the teaching of their content.	The educator incorporates knowledge of students' local environment, community resources, and issues into the planning process, however there isn't a statement of how the activity, lesson, or reference will connect to the content.	The educator incorporates knowledge of students' local environment, community resources, and issues into the planning process, and there is a statement of how the activity, lesson, or reference will connect to the content.	The educator's plans use the students' local environment, community resources, and issues in unique and creative ways to make connections to the content.

Indicator #	
★CB2	The educator engages students in learning experiences that integrate the local environment, community resources, and issues when interacting with content.

Desired Outcome

Students make connection between their local environment, community resources, community issues and the content.

Example Student Behaviors	Example Educator Behaviors
❑ Student artifacts reflect the knowledge of the local environment. ❑ Students demonstrate interest and engagement when using the local environment and or resources. ❑ Students' attitudes and or behaviors demonstrate respect for the local community resources; i.e. respecting land area, personal property, other persons, etc.	❑ Educators' activities/ assignments facilitate making connections to the local environment and culture. ❑ Educator uses the local environment, i.e. out-of-doors lessons, field trips, place based investigations, etc. ❑ Educator organizes students to interact with the local resources being presented; i.e. groups, prepared questions, graphic organizers, etc.

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator's use of the local environment, community resources, and/or issues was not appropriately connected to the introduction of content.	The educator makes cultural connection(s) to the content but the majority of the students cannot state how the connection relates to the local environment, community resources, and/or issues.	The educator makes cultural connection(s) to the content and the majority of the students can state how the connection relates to the local environment, community resources, and/or issues.	The educator makes cultural connections to the content in unique and creative ways so that all students are able to state how the content connects to the local environment, community resources, and/or issues.

Indicator #	
CB3	The educator reflects on the effectiveness of using the local environment, community resources, and issues to help students connect content to their daily lives.

Desired Outcome

Educator monitors effectiveness of using authentic local resources as a result of student learning.

Example Evidences

- ❑ Educator can explain the effectiveness of strategies used to make cultural connections.
- ❑ Educator maintains records on how the local environment, community resources, and issues are being incorporated into lessons.
- ❑ Educator uses informal student assessments to evaluate the effectiveness of incorporating the local cultural environment and/or resources.
- ❑ Educator debriefs with peers, presenter, students, etc. to gain feedback on successes, challenges, or changes.

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator lacks reflection on his/her teaching and therefore does not identify ways to become more effective in using the local environment, community resources, and/or issues to connect content to students' daily lives.	The educator reflects on how to use the local environment, community resources, and/or issues but does not identify specific ways connect content to students' daily lives.	The educator reflects on how to use the local environment, community resources, and/or issues and identifies specific ways to connect content to students' daily lives.	The educator reflects on how to use the local environment, community resources, and/or issues and how to adapt them to connect content to students' daily lives.in order to reach all students in the classroom.

Indicator #	
CB4	The educator seeks guidance regarding the local environment, community resources, and issues and how it connects to the everyday lives of the students.

Desired Outcome
Educator accurately uses authentic community resources and cites sources used.

Example Evidences
❑ Educator maintains records of their efforts to seek guidance on using authentic local resources. ❑ Teacher participates in continuing education courses and/or workshops that help them learn about local resources and issues. ❑ Educator has a mentor that shows or tells them what is the correct use of local areas and/or resources. ❑ Educator meets with the guest presenters in advance of their visits to preview content and/or to clarify expectations.

Rating Scale			
Unsatisfactory	***Basic***	***Proficient***	***Exemplary***
The educator does not seek guidance in the use of or the knowledge of the local environment, community resources, and/or issues.	The educator seeks guidance in the use of cultural information relating to the local environment, community resources, and/or issues but the information used is not accurate.	The educator seeks guidance in the use of cultural information relating to the local environment, community resources, and/or issues and the information used is accurate.	The educator seeks guidance and collaborates with peers and community members to ensure accurate information of the local environment, community resources, and/or issues in their teaching.

Standard C is not mandated for evaluation since it cannot be observed in the classroom. Nevertheless, many school districts have adapted Standard C to make it a part of their teacher evaluation.

Alaska Cultural Standard C

Community Connections

C. Culturally-responsive educators participate in community events and activities in appropriate and supportive ways.

Description of the Standard:

Cultural Standard C addresses the importance of educators being connected to their students' environments, and developing relationships with the people who interact with them in those environments. Although this standard isn't part of an educator's evaluation because it isn't observable in the classroom, it is the cornerstone standard. All four of the other cultural standards depend upon the educator building a knowledge base about their students and developing meaningful relationships within the community so the educator is perceived as a contributing member who respectfully gleans knowledge about the students' "place".

Indicator #	Cultural Indicator
CC1	Become active members of the community in which they teach and make positive and culturally appropriate contributions to the well being of that community.
CC2	Exercise professional responsibilities in the context of local cultural traditions and expectations.
CC3	Maintain a close working relationship with and make appropriate use of the cultural and professional expertise of their co-workers from the local community.

Alaska Cultural Standard D

Home Connections

D. Culturally responsive educators work closely with parents to achieve a high level of complementary educational expectations between home and school.

Description of the Standard:

Cultural Standard D addresses the collaboration between home and school so there is mutual support for the expectations of the student. The word complementary in the standard is defined as, combining in such a way as to enhance the qualities of each other. Based on this definition, both the educator and the parent share a responsibility in communication and support of the student's educational expectations. The educator seeks parent/guardian input and acts upon their concerns so that the student's educational needs are met and supported. Educators should maintain open communication with parents regarding educational expectations for students and feedback on student progress. It is the educator's responsibility to persistently work with all parents, including those who are less involved with the educational process, to provide suggestions/resources to parents, which help promote student success.

Focus Statement	Desired Outcome
The educator works collaboratively with parents in coordinating efforts to support student expectations.	Parents and the educators cooperate to support the child's education.

Indicator #	Cultural Indicator	Reflection Question
CD1	The educator plans culturally sensitive ways to build relationships with parents/guardians to achieve complementary expectations of students.	What will I do to strengthen my relationship with parents/guardians to ensure that expectations set for students are mutually supported and understood?
CD2	The educator communicates with homes to better understand the student's educational needs, concerns, and strengths.	How will I collaborate with parents/guardians to learn about student strengths and discover areas of need or concern?

Indicator #	
CD1	The educator plans culturally sensitive ways to build relationships with parents/guardians to achieve complementary expectations of students.

Desired Outcome
Educator learns and uses culturally sensitive ways to develop relationships with all parents.

Example Evidences

- ❑ Educator communicates with parents in ways that are culturally responsive. (i.e. translators, web based translation of newsletters)
- ❑ During teacher/parent interactions, parents are informed of upcoming plans, and are invited to participate.
- ❑ Parents visit the classroom.
- ❑ Classroom physical environment reflects an attitude that parents are welcome.
- ❑ Parents contribute as classroom helpers, etc.
- ❑ The educator demonstrates integrity, confidentiality, respect, flexibility, fairness, and trust when building relationships with parents.
- ❑ Educator responds to parent requests for support, assistance and/or clarification regarding their child in a timely manner.
- ❑ The educator uses technology to build collaborative relationships between home and school.
- ❑ Educator can produce evidence of furthering their understanding of the culture, ie. reading material, classes, professional learning groups, etc.

Rating Scale			
Unsatisfactory	***Basic***	***Proficient***	***Exemplary***
The educator's plans do not reflect culturally sensitive ways to build relationships with parents/guardians.	The educator plans culturally sensitive ways to interact with parents/guardians, but does not work toward building complementary expectations with the parent for the student.	The educator plans culturally sensitive ways to interact with the majority of parents/guardians, and builds complementary expectations with the parent for the student.	The educator plans ways to interact with ***all*** parents/guardians and adapts culturally sensitive strategies that support and respect families in achieving educational outcomes for students.

Indicator #	
CD2	The educator communicates with homes to better understand the student's educational needs, concerns, and strengths.

Desired Outcome
The educator uses information about students' backgrounds to meet student needs.

Example Evidences

- ❑ Educator's plans show multiple ways to get input from families. (family night, emails, web site, conferencing, phone calls, surveys, etc.).
- ❑ Educator seeks to continuously learn about and build upon the cultural knowledge that students bring with them from their homes and community.
- ❑ Educator plans for the needs of students who come from home environments that offer little support for schooling.
- ❑ When assigning homework, the educator takes into consideration the students' family resources.
- ❑ Educator can describe instances when he or she interacted positively with students and parents.
- ❑ Students and parents can describe positive interactions they have had with that educator.
- ❑ When communicating with the home, the educator takes into consideration family and language resources.
- ❑ Educator maintains an web-based site where assignments, upcoming events, etc are posted for student-home access.
- ❑ Educator is culturally sensitive and consistent in communicating with the home regarding expectations, progress, and/or concerns.

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator communicates with homes but does not gather information about the home environment.	The educator communicates with homes and gathers information about the home environment, and uses that knowledge to meet some students' educational needs.	The educator communicates with homes and gathers information about the home environment, and uses that knowledge to meet the majority of the students' educational needs.	The educator communicates with ***all*** home environments, and uses that information to meet the educational needs of ***all*** students.

Alaska Cultural Standard E

High-Unbiased Expectations

E. Culturally responsive educators recognize the full educational potential of each student and provide the challenges necessary for them to achieve that potential.

Description of the Standard:

Cultural Standard E addresses the belief by the educator that all children can learn. Educators support high expectations for all students by recognizing the cultural integrity and identity students bring with them into the classroom, and by reflecting on their own practices and beliefs. The educator engages students with respect, cultural sensitivity, and confidence in each student's ability to learn. Educators maintain high expectations for all students by: resisting making judgments based on stereotypes; using strategies that support all learners; and monitoring all students for achievement of the learning goals.

Focus Statement	Desired Outcome
The educator recognizes all students of all cultures can achieve and will provide rigorous academic challenges for them.	All students believe they can achieve and will strive to meet the challenges of academic rigor.

Indicator #	Cultural Indicator	Reflection Question
CE1	The educator plans for academic rigor that will challenge each student regardless of cultural background.	What will I do to better understand the full potential of each of my students in order to challenge their learning?
★CE2	The educator provides rigorous learning opportunities for students that combines higher order thinking skills and student autonomy (from teacher-directed to student-directed).	How can I guide and support all students of all cultures to demonstrate higher order thinking skills and develop student autonomy?
★CE3	The educator demonstrates value and respect for all students of all cultures and challenges them to strive for educational excellence.	How can I cultivate a classroom environment that encourages all students to strive for academic excellence and show pride in their culture?
CE4	The educator reflects on student performance based assessments, both formative and summative to identify areas for academic rigor.	How do I differentiate my instruction to support diverse student learning needs?

★*Denotes indicators that can be observed in the classroom*

Indicator #	
CE1	The educator plans for academic rigor that will challenge each student regardless of cultural background.

Desired Outcome

The educator delivers instruction that is scaffolded and differentiated to challenge and meet the needs of all students.

Example Evidences

- ❑ Educator's plans have differentiation strategies that reflect cultural sensitivity. (i.e. wait time, grouping, environment, learning styles)
- ❑ Educator's plans regularly include cultural connections to students in the classroom.
- ❑ Educator's plans include assessment strategies to measure student progress that accommodate cultural diversities.
- ❑ Educator's plans build on student background knowledge to address cognitive complexity.
- ❑ Educator designs strategies/activities that explicitly use the verbs associated with complexity. ie., Bloom's Taxonomy.

Rating Scale			
Unsatisfactory	***Basic***	***Proficient***	***Exemplary***
The educator's plans do not reflect strategies and activities that are rigorous and/or culturally sensitive to challenge and meet the needs of all students.	The educator 's plans reflect strategies and activities that are culturally sensitive but lack rigor in order to challenge and meet the needs of students.	The educator 's plans reflect strategies and activities that are rigorous and culturally sensitive to challenge and meet the needs of the majority of students.	The educator 's plans reflect strategies and activities that are rigorous and culturally sensitive to challenge and meet the needs of ***all*** students.

Indicator #	
★CE2	The educator provides rigorous learning opportunities for students that combines higher order thinking skills and student autonomy (from teacher-directed to student-directed).

Desired Outcome	
Students exhibit higher order thinking and increased student autonomy.	
Example Student Behaviors	**Example Educator Behaviors**
❑ Students participate in large and small groups and in various roles within those groups. ❑ Students are engaged in higher order activities (i.e.problem based learning or project based learning) ❑ Students engage in critical thinking discussions that connect various cultural perspectives to the topic.	❑ Educator organizes students in various ways to interact with content. ❑ Educator uses strategies that challenge students to apply their knowledge in creative ways, ie. problem solving, examining similarities and differences, etc. ❑ Educator facilitates culturally responsive discussions allowing students to apply critical thinking skills.

Rating Scale			
Unsatisfactory	***Basic***	***Proficient***	***Exemplary***
The educator does not structure learning opportunities for students to demonstrate higher order thinking skills and/or student autonomy.	The educator structures learning opportunities for some students to demonstrate higher order thinking skills and develop student autonomy.	The educator structures learning opportunities for the majority students in order for them to demonstrate higher order thinking skills and develop student autonomy.	The educator structures unique and creative learning opportunities for ***all*** students in order for them to demonstrate higher order thinking skills and develop student autonomy.

Indicator #	
★CE3	The educator demonstrates value and respect for all students of all cultures and challenges them to strive for educational excellence.

Desired Outcome

All students feel capable, worthy, and accepted by the educator.

Example Student Behaviors	Example Educator Behaviors
❑ Students take risks. (i.e. ask questions, participate in discussion, volunteer) ❑ Students state the teacher cares about them. ❑ Students exhibit a willingness to learn. ❑ Students avoid negative thinking about their abilities, attitudes, and actions. ❑ Students are willing to accept challenges. ❑ Students persevere with higher order learning activities. ❑ Students demonstrate respect toward others and property. ❑ Students display positive attitudes and actions in the classroom.	❑ Educator treats all students fairly. ❑ Educator interacts with students in culturally responsive ways, ie. smiles, makes appropriate physical contact, understands nonverbal signs, etc. ❑ Educator promotes inclusion of diverse cultures. ❑ Educator models respect for all students. ❑ Educator encourages students to achieve their full potential through scaffolding and/or differentiation. ❑ Educator addresses students in a manner they perceive as culturally respectful, i.e. using their Native name (if appropriate), not talking too loudly, not demanding eye contact, playful dialogue, etc. ❑ Educator maintains an environment that is safe. ❑ Educator does not allow negative comments about students' abilities and provides strategies for students to use to avoid negative thoughts and actions.

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator encourages some of the students to persist in difficult and challenging learning experiences and interacts with them fairly and equitably.	The educator encourages the majority of the students of ***all*** cultures to persist in difficult and challenging learning experiences and interacts with them fairly and equitably.	The educator encourages ***all*** students of ***all*** cultures to persist in difficult and challenging learning experiences and interacts with them fairly and equitably.	The educator uses unique and creative ways to encourage ***all*** students of ***all*** cultures to develop leadership skills while collaborating with peers to solve real world problems.

Indicator #	
CE4	The educator reflects on student performance based assessments, both formative and summative to identify areas for academic rigor.

Desired Outcome

Educator analyzes formative and summative assessments and differentiates instruction to challenge and meet the needs of all students.

Example Evidences

- ❑ Educator reflection journals.
- ❑ Educator pulls from multiple sources of data to create an Individual Learning Plan that includes the student's culture.
- ❑ Student growth goals.
- ❑ Educator tracks student progress toward specific goals.
- ❑ Educator engages in purposeful conversations about the students to identify areas of need and possible solutions/interventions. (i.e. former teachers, parents, paraprofessionals, cooks, janitors, other school staff as appropriate, RTI process.)

Rating Scale

Unsatisfactory	*Basic*	*Proficient*	*Exemplary*
The educator reflects on students' assessments but lacks follow through to develop strategies that consider the student's culture when identifying strategies for increasing academic rigor and identifying areas of need.	The educator reflects on student's assessments to determine the effectiveness of instruction, but does not develop strategies that consider the student's culture when identifying strategies for increasing academic rigor and identifying areas of need.	The educator reflects on students' assessments and determines the effectiveness of specific strategies and considers the student's culture when identifying strategies for increasing academic rigor and identifying areas of need.	The educator is creative and innovating in developing an Individual Learning Plan for each student based upon assessments and the student's culture.

ATTACHMENT G: LEAD PARTNERS

Oregon Association of Educational Service Districts (OAESD)

Association of Educational Service Districts (AESD) Washington

South East Regional Resource Center (SERRC) Alaska's Educational Resource Center

Oregon
Association of
Educational Service Districts
(OAESD)

OAESD

OREGON
ASSOCIATION
of
EDUCATION
SERVICE
DISTRICTS

2019 OVERVIEW

Great Service. Even Greater Together.

Working together for the nearly 600,000 students of our state, Oregon's 19 Education Service Districts are instrumental in building a powerful and equitable system that serves students from birth to age 21.

WE ARE

- A network of ESDs that together serve 197 school districts across the state of Oregon
- Nimble and responsive! We develop and deliver the services and training districts need.

OAESD provides leadership and often fills voids in the service continuum.

Oregon's ESDs are conveners, collaborators, visionaries and leaders. The OAESD Network, in partnership with the Oregon Department of Education, ensures that every student in Oregon has access to dynamic education programs – no matter where they live.

The OAESD Network is flourishing as an innovative, responsive system that builds and delivers cost-effective programs to every corner of the state. The network provides leadership in implementing statewide initiatives and supporting regional ESDs as they respond to local school district needs. OAESD is known for excellence and efficiency.

ESDs respond to the unique and pressing needs of local school districts and communities.

Each school district has different needs, and Oregon's ESDs offer a broad spectrum of solutions. By fostering collaboration and providing economy of scale in service delivery, ESDs:

1. Ensure an equitable and excellent education for all children in the state.
2. Implement the Oregon Educational Act for the 21st Century.
3. Support the attainment of high standards of performance by Oregon students.
4. Facilitate inter-organizational coordination among education, social service, health care and employment training agencies.

Since the Oregon Legislature established ESDs, hundreds of unique ESD services have helped students and teachers excel.

United in our goal, the OAESD Network ensures that services are available to all schools and all students.

ESDs are ***essential leaders*** in implementing critical P-20 programs.

"Without ESDs, it would be extremely challenging to meet the needs of our most vulnerable student population—those with disabilities. All it takes is a phone call to my ESD when I need something. I don't even think twice about asking, because they are always willing to put their energy into helping our district."

Kathleen Rodden-Nord, Superintendent, Junction City School District

OUR ROLE

From preschool to college and/or career, ESDs are partners in students' educational journeys every step of the way.

Statewide services supported, implemented and led by ESDs include:

- **EARLY INTERVENTION** (birth–3) and **EARLY CHILDHOOD SPECIAL EDUCATION** (ages 3–5) services for young children with developmental delays and disabilities. Eight ESDs contract with the Oregon Department of Education to offer children and their families support.
- **REGIONAL SERVICES**. ESDs provide direct services to students aged birth to 21 with low-incidence disabilities such as Hearing, Vision or Orthopedic Impairment, or Autism.
- **CHRONIC ABSENTEEISM.** ESDs provide a network of regional coordinators and work directly with school districts on efforts to address chronic absenteeism. ESDs also provide statewide coverage providing professional development and collaborative support to improve student attendance.
- **SPECIAL EDUCATION SERVICES**. ESDs provide direct instruction and related services to children and students with special needs, their families and school districts.
- **COLLEGE/CAREER READINESS.** ESDs provide programs offering college credit for students completing approved high school courses, and provide opportunities to explore career paths while still in high school. ESDs are collaborating with school districts to assure career technical education and college prep opportunities.
- **EDUCATOR NETWORKS.** ESDs provide a collaborative network of resources to assist school districts in the recruitment and retention of quality education professionals. Mentorship and support are also provided to foster career development for these educators.

What school districts *love* about their ESDs:

DIRECT TEACHER SUPPORT

ESD professional development, instructional coaching and mentorship programs help teachers be more effective.

LOCAL SERVICE PLAN FLEXIBILITY

ESDs work with their partner school districts to tailor a Local Service Plan addressing individual district needs.

COLLEGE & CAREER PROGRAMS

Through College Promise, CTE and STEM/STEAM programs students are prepared for higher education and real-world jobs.

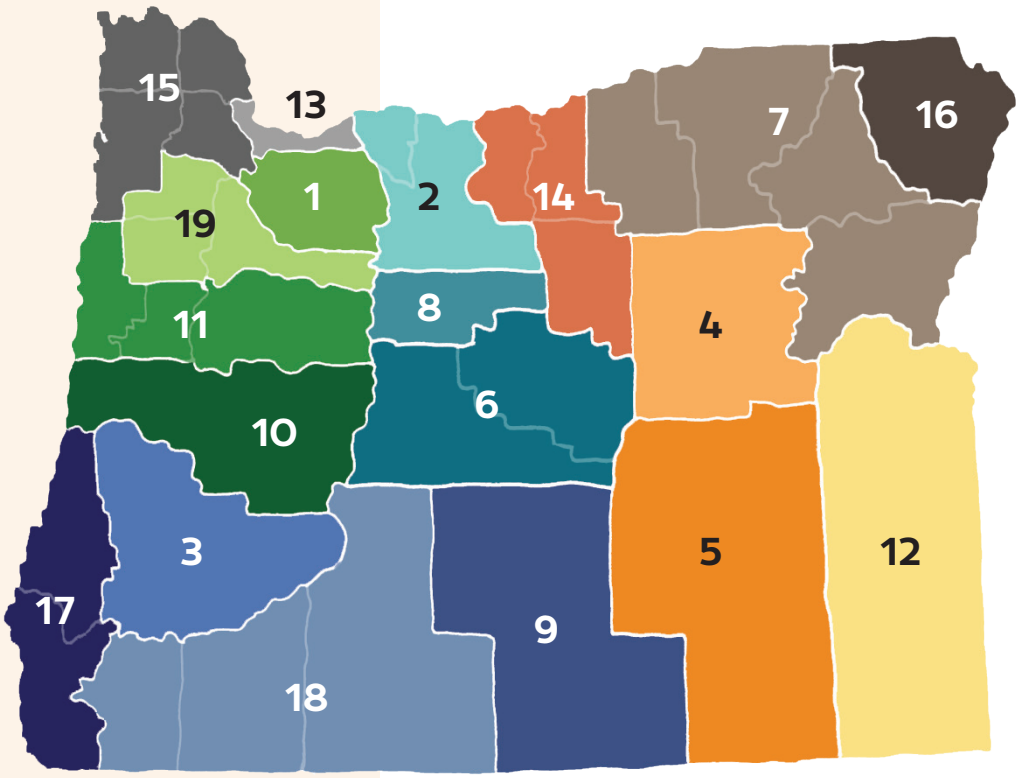
DIRECT OPERATIONAL SUPPORT

ESDs support schools by providing access to technology, legal services, human resources and business/administrative expertise.

ESD FUNDING MODEL

The state school fund (SSF) provides the majority of ESD funding, but ESDs also bring millions of additional dollars to Oregon's education system through state and federal grants and entrepreneurial efforts.

19 ESDs



1. **CLACKAMAS ESD**
   Jada Rupley,
   Superintendent
   clackesd.org
2. **COLUMBIA GORGE ESD**
   Pat Sublette,
   Superintendent
   cgesd.k12.or.us
3. **DOUGLAS ESD**
   Michael Lasher,
   Superintendent
   douglasesd.k12.or.us
4. **GRANT COUNTY ESD**
   Robert Waltenburg,
   Superintendent
   grantesd.k12.or.us
5. **HARNEY ESD**
   Charlie Beck,
   Superintendent
   harneyesd.k12.or.us
6. **HIGH DESERT ESD**
   Paul Andrews,
   Superintendent
   hdesd.org
7. **INTERMOUNTAIN ESD**
   Mark Mulvihill,
   Superintendent
   imesd.k12.or.us
8. **JEFFERSON COUNTY ESD**
   Ken Parshall,
   Superintendent
   jcesd.k12.or.us
9. **LAKE ESD**
   Jack Thompson,
   Superintendent
   lakeesd.schooldesk.net
10. **LANE ESD**
    Tony Scurto,
    Superintendent
    lesd.k12.or.us
11. **LINN-BENTON-LINCOLN ESD**
    Tonja Everest,
    Superintendent
    lblesd.k12.or.us
12. **MALHEUR ESD**
    Mark Redmond,
    Superintendent
    malesd.k12.or.us
13. **MULTNOMAH ESD**
    Sam Breyer,
    Superintendent
    mesd.k12.or.us
14. **NORTH CENTRAL ESD**
    Penny Grotting,
    Superintendent
    ncesd.k12.or.us
15. **NW REGIONAL ESD**
    Rob Saxton,
    Superintendent
    nwresd.org
16. **REGION 18 - WALLOWA ESD**
    Karen Patton,
    Superintendent
    wallowaesd.k12.or.us
17. **SOUTH COAST ESD**
    Tenneal Wetherell,
    Superintendent
    scesd.k12.or.us
18. **SOUTHERN OREGON ESD**
    Scott Beveridge,
    Superintendent
    soesd.k12.or.us
19. **WILLAMETTE ESD**
    Dave Novotney,
    Superintendent
    wesd.org

"ESDs save constituent districts money by managing functions like payroll and business services. This allows districts to direct their resources to the classroom, where it benefits Oregon's students most."

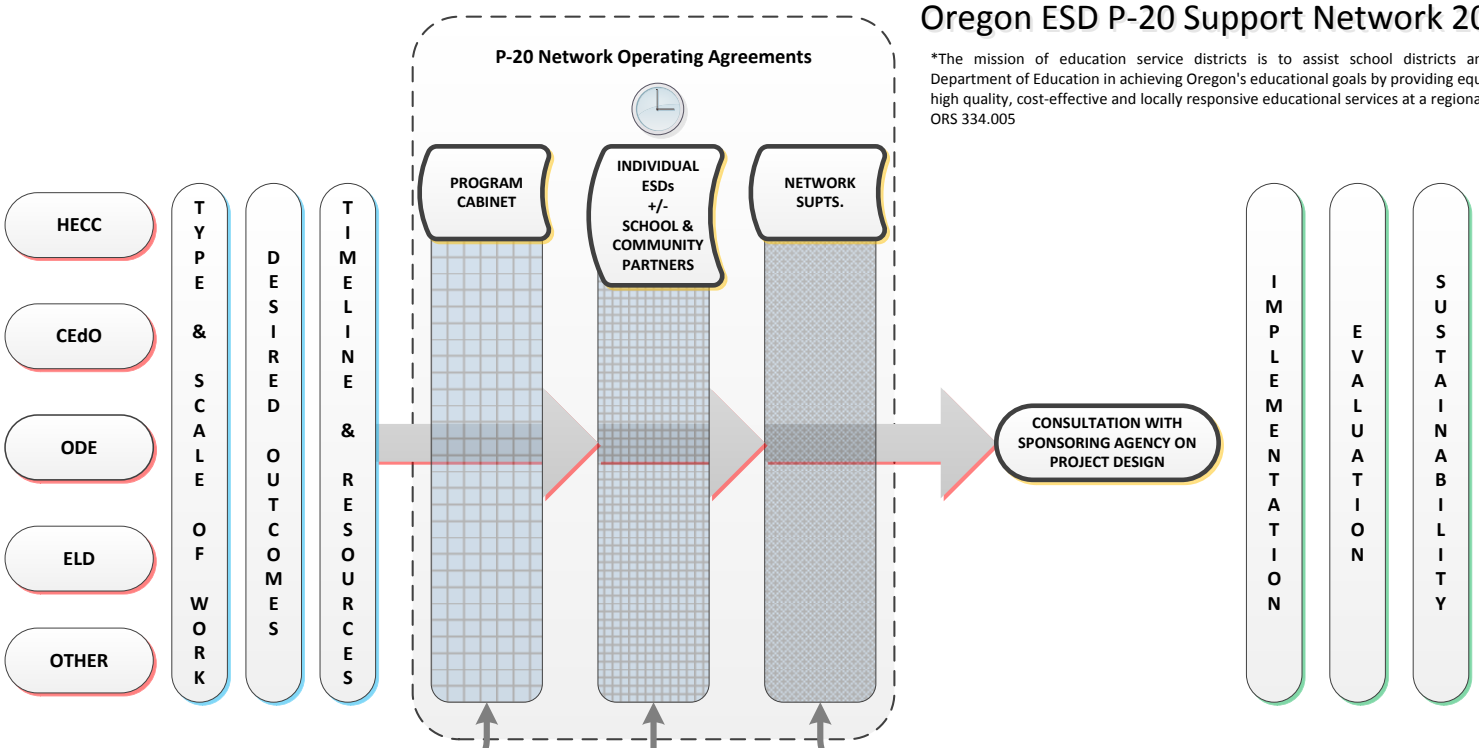
Jim Green, Executive Director, Oregon School Boards Association

OAESD
OREGON ASSOCIATION OF EDUCATION SERVICE DISTRICTS

Gary Peterson, OAESD Executive Director oaesd.org

Oregon ESD P-20 Support Network 2017

*The mission of education service districts is to assist school districts and the Department of Education in achieving Oregon's educational goals by providing equitable, high quality, cost-effective and locally responsive educational services at a regional level. ORS 334.005



GUIDING QUESTIONS:

1)Do the type, scale, outcomes, timelines & resources match the *ESD statutory mission?

2) Is the proposal best delivered through a statewide network across multiple regions, and are there modifications recommended for the proposal?

3)Is the proposal consistent with the operating principles and agreements of the network?

4) Would Network involvement ensure quality, effective practices and efficiency?

GUIDING QUESTIONS:

1) Does the Education Service District have an interest in the work proposed, and does the work align with the mission and priorities of the ESD?

2) Does the Education Service District have the capacity necessary to perform the work required? *(or can it secure the necessary personnel or support from other partners)*

3) What role does the ESD envision as a participant in the project? *(i.e. lead, secondary, tertiary)*

4) What are the roles of school districts and other community partners?

GUIDING QUESTIONS:

1) Which ESDs have the interest and capacity to lead the initiative or provide secondary and tertiary support?

2) Can (or do) the interested ESDs provide the necessary scope and scale to achieve the project outcomes?

3) What ESD's will play the roles of lead, secondary and tertiary , and has the Network ensured they align with the operating agreements?

4) Would the Network plan ensure quality, effective practices and efficiency?

Oregon Education Service District (ESD) P-20 Support Network Agreement

7/01/17

I. Overview and Purpose:

Oregon's ESDs have been asking each other for years about what it would look like if we worked together in a systematic and intentional way to serve the students and districts in the state of Oregon more efficiently and effectively. With the success of partnerships such as Regional and Early Intervention/Early Childhood Special Education ESD partnerships, the Cascade Technology Alliance and Promise replication grants, ESDs have developed great models of working together to meet the needs of the State by working in concert with each other and with ODE.

More recently, state legislation formed Early Learning Hubs, Regional Achievement Collaboratives, STEM Hubs and Promise replication programs to increase partnerships among community groups. These initiatives have created an impetus for ESDs to take another look at how we can better partner with each other and with other entities including the Oregon Department of Education, local school districts, the Chief Education Office, the Higher Education Coordinating Council, the Early Learning Division, the Educator Advancement Council and nonprofit entities. In addition, members of the Oregon Association of Education Service Districts have developed stronger relationships and have increased trust and transparency between ESDs and within the operations of the OAESD consortium.

The Oregon ESD P-20 Support Network was initiated in response to these changing factors. The Network design intends to:

- Ensure the equity of, and access to, educational opportunity for all of Oregon's Children.
- Utilize all Oregon ESDs in a coordinated and integrated approach to focus on statewide implementation of targeted initiatives.
- Build capacity at each ESD.
- Build upon existing networks and partnerships to ensure and maximize efficiency for school districts and their students across the state of Oregon.
- Support ODE and other state entities in the effective and efficient design and implementation of initiatives requiring statewide or multi-ESD coordination and collaboration.
- Provide a single point of contact for ODE and other entities with interest in working with Oregon ESDs functioning as a Network.

The effective date for the Agreements and Protocols described herein shall be July 1, 2017 with annual membership renewal. Members of the Network may initiate discussions to renew or amend this agreement at any time. Should a participating ESD discontinue participation in the Network, any Network contracts or grants in which the ESD participated shall continue in accordance with the contractual agreements until such time as the current contract ends. In addition, any contracts or grants awarded to individual member ESDs with state or non-profit entities and signed prior to July 1, 2017 shall remain in effect accordance with pre-existing arrangements and not subject to the Agreements and Protocols of the P-20 Support Network.

II. Membership

Membership in the Oregon ESD P-20 Support Network is open to all Oregon ESDs whose Boards have approved membership, signed the Network Operating Agreements, and act in a manner that is congruent with those agreements.

III. Definitions

CEdO – The Oregon Chief Education Office

HECC – The Oregon Higher Education Coordinating Council

ODE – The Oregon Department of Education

EAC – Educator Advancement Council

ELD - Early Learning Division

Lead ESDs – Those ESDs designated by the Network Superintendents to be the primary contact with the proposing entity in the development, implementation and evaluation of the project. This will include provisions for funding and, potentially, contractual agreements in accordance with the Network Operating Agreements. Project resources will be made available through the contract to enhance the capacity of Lead ESDs in order to achieve the outcomes of the project.

Governance Council – The governance arm of OAESD in which each member ESD has one vote on any matters requiring such action.

OAESD – Oregon Association of Education Service Districts

Network – All ESDs who have publicly declared membership and agreed in writing to the Network Operating Agreements.

Network Design – The schematic for the operation of the network entitled "Oregon ESD P-20 Support Network 2017".

Network Operating Agreements – The agreements for the operation of the Network which have been developed collaboratively, reduced to writing and signed by ESDs who wish to participate in the Network and agree to abide by the defined protocols and norms.

Network Projects and Activities – Network projects and activities shall be those priorities and initiatives which, as determined by the sponsoring entity, require a coordinated statewide or multi-ESD focus in order to accomplish project objectives, or which, following a pilot, may be considered for replication and/or scalable throughout the state at some future time.

Network Superintendents – The Superintendents of the Network member ESDs.

OAESD – The Oregon Association of Education Service Districts.

Program Cabinet – The Program Cabinet of the OAESD Superintendent Council which serves to coordinate and support ODE in the implementation of regional/state initiatives by ESDs. The Program Cabinet is made up of four representatives from OAESD members selected by the Superintendent Council based on the ADMw of their ESD; four representatives selected by the Superintendent Council based on the expertise of individuals in the statutory service areas for Oregon ESDs (special education, technology, school improvement, administrative services); one at-large representative; and, two representatives from ODE selected by the Deputy Superintendent of Public Instruction. Program Cabinet members, other than ODE representatives, serve staggered two-year terms and are eligible for re-appointment.

Secondary ESD Partners – Those ESDs designated by the Network Superintendents to formally work under the direction of the Lead ESDs in the implementation and evaluation of the project in accordance with the Network Operating Agreements. Project resources will be made available to enhance the capacity of Secondary ESD Partners in order to achieve the outcomes of the project.

Sponsoring Entity – The sponsoring entity shall be a state agency (CEdO, HECC, ODE, EAC, e.g.) or non-profit with well-defined outcomes for a specific, funded project requiring statewide or multi-ESD coordination and collaboration.

Superintendent Council – The superintendents of each member of OAESD.

Tertiary ESD Partners – Those ESDs designated by the Network Superintendents to informally, support, as interest and resources allow, implementation and evaluation of the project in accordance with the Network Operating Agreements. Project resources will be made available to build the capacity of Tertiary ESD Partners in order to achieve the outcomes of the project.

IV. Core Principles and Operating Agreements

A. <u>The Core Principles of the Oregon ESD Support Network are…</u>

a. A clear and consistent focus on supporting school districts, student outcomes/success.
b. Equity of opportunity and access for all students.
c. Opportunity for all ESDs to participate in Network projects as desired and appropriate.
d. Flexible collaborations which respect the geography, capacity, and expertise of participating ESDs.
e. Focus on innovative strategies to address the ever changing needs of districts and state initiatives including student achievement, technology services, administrative supports and instruction.
f. A belief that we are stronger together when we are collaborating and trusting each other.

g. High quality implementation of project.
h. Maintaining the integrity of the local service plans of participating ESDs while providing support for local school districts in the implementation of specific statewide initiatives.
i. Establishing relationships among members which are built upon trust.

B. Professionalism

a. Network members are dedicated to working together to support the successful implementation of all network activities.
b. Network members will exhibit behaviors of trustworthiness, honesty, respectful and ethical treatment of others.
c. In order to ensure the success of the network members will attend meetings, actively participate, and, hold themselves, and be held, accountable for assigned tasks and timelines.
d. Network members agree to be transparent with other members regarding their motivations and intentions.
e. Network members agree to keep students and a focus on student success at the center of all network projects and decisions.
f. Network members agree to regular and timely communication and updates.

C. Communication

Network members agree to communicate with and inform other members as they would wish to receive communication and information. Such communication shall be timely, well-organized, proactive, frequent, clear and consistent using a combination of electronic, written, verbal and face-to-face approaches. It shall be the responsibility of all Network members to engage in such communication and to ensure that communication occurs within the structure of individual Network members. Network members also agree to intentional communication with partners and stakeholders alike, to seek clarification without assigning intent and to give grace to others throughout the collaborative process with the ultimate objective to increase the likelihood of project success. A flow chart for communication shall be developed to include, but not be limited to, the designated point of contact for the Network; how sponsoring entities may engage the Network in conversations about potential projects; the role of Network members in communication; and, the role of the sponsoring entity in communication both within and outside of the Network, i.e., non-Network members and local school districts.

Network members recognize that unintentional lapses in communication may occur and agree to work to resolve any confusion or misunderstandings resulting from such instances as soon as they are recognized.

D. Scope

Network members agree that the appropriateness of any proposed project for application to Network procedures will consider the scope of the proposal. The scope of the work will be determined appropriate by the degree to which the project benefits students in all parts of the state or regions thereof; the extent of support and buy in from individual and/or network ESDs, school district and community partners; the degree to which the project utilizes the Network to build capacity for all member ESDs; the extent to which the project has clearly defined and measurable goals and outcomes; and, the degree to which the available funding for the project matches the scope of initiative.

Sponsoring entities may elect to work with individual ESDs outside of the Network in activities and projects which do not have statewide or multi-ESD implications; however, individual ESDs shall refer specific proposals to the Network at such time as it becomes apparent that the work will be within the boundaries of another ESD, will require the coordination and support of another ESD, or may be considered for scalability and/or replication throughout the state at some future time.

Collaborative initiatives and programs designed and implemented locally by multiple ESDs with the intent to serve a specific geographic area, but not the entire state, shall not be considered Network activities even if outside project funding is utilized. Similarly, an individual ESD may submit proposal(s) for consideration within their geographic or normal service area without the intent that it becomes a Network activity.

Occasionally, a sponsoring entity may approach the Program Cabinet with a project which has predetermined Lead ESDs. In such instance, the Program Cabinet shall engage in discussion with the sponsoring entity to determine the extent to which the project fits within the Network framework purpose and design. Should the sponsoring entity agree that the project may be considered for scalability and/or replication throughout the state at some future time, the Program Cabinet shall encourage the entity to submit the project in accordance with Network protocols.

E. School Districts

Members of the Network shall strive at all times to include local school districts, partners and other stakeholders in the design, implementation and communication of Network activities and projects. It is the responsibility of each ESD, in concert with the sponsoring entity, to ensure local school board members, superintendents, principals, teachers and support staff understands the rationale for the ESDs participation in Network activities. In the event that a local district is involved in a project with an ESD outside of their statutory service area, it shall be the responsibility of the ESD conducting the project to maintain communication with the local district. Individual ESDs are also expected to solicit, formulate and bring forward the concerns of its member districts regarding Network activities, recognizing and valuing the unique culture and reputation of individual districts. The Network will represent these concerns to the sponsoring entity.

F. Governance

1. Network members agree that the governance of the Network shall include the OAESD Program Cabinet and the Superintendents of Network members. The role of the Program Cabinet will be to act as a "filter", reviewing the proposal and, to the extent necessary, engaging in clarifying conversation with the sponsoring entity regarding the type and scope of the work, the desired outcomes, the timeline and available resources, and, the extent to which the proposal will build capacity across the Network. The Program Cabinet will determine if the work as proposed and described aligns with the mission of ESDs in general and the purposes of the Network. Should a proposal be determined as appropriate for Network application, the rationale for such involvement shall be communicated to Network members in a coordinated and transparent manner.

2. Member ESDs interested in being involved in a specific Network initiative shall engage in internal discussion relative to the proposal. Such discussions shall include: understanding what will be expected should the ESD elect to participate; the opportunity to have questions clarified by the sponsoring entity; the interest of the individual ESD in further involvement; the capacity of the ESD to perform the prescribed work or portions thereof; the extent to which the prescribed work aligns with the ESD's mission, priorities and regional focus; the role of local school districts and other community partners; and, the role in which the ESD desires to participate in the proposed project.

3. The Network Superintendents will review the type and scope of the initiative, the desired outcomes, the timeline and available resources of the project. The Network Superintendents will review the interest of individual ESDs in participating in the work including the results of the internal conversations regarding their participation. Using this information and in accordance with the Network Operating Agreements, the Network Superintendents shall identify potential Lead ESDs for the project, secondary partner and contributing ESDs, and tertiary partner ESDs. The Network Superintendents will also, to the extent possible, suggest a project design based on their understanding of the type and scope of the work, the desired outcomes, the timeline and available resources of the project. In doing so, the Network Superintendents shall place a priority on quality; the inclusion of effective practices and efficiencies enhanced or created through involvement in the project; and, the equitable distribution of opportunities for member ESDs to participate and build capacity to provide services within their region.

   It is understood that, to the extent possible, decisions made by the Network Superintendents shall be consensus with consensus being defined as agreement of all members on a course of action, even though some members may have reservations or prefer other options. In the event that the Network superintendents cannot reach consensus, the Network will use the dispute resolution process.

   Decisions made by the Network Superintendents shall be made in a transparent manner following communication agreements, including the notice of meetings to all Network members, the development and distribution of meeting agendas which clearly state the purpose and anticipated outcomes of the meeting and a record of the meeting which can be

made available to all Network members and partners.

G. Evaluation

Program Evaluation: The P-20 Network will advocate that program evaluation be included as part of any regional or statewide initiative which goes through the Network. Evaluations will be conducted by a neutral third-party evaluation professional utilizing measurable outcomes established prior to the implementation of project activities. Evaluation criteria will include the specific outcomes of the project as defined by the funding entity; the impact on student achievement; program sustainability, scalability, quality and affordability; and, relevance of the project in relation to the mission of the Network. Program evaluation may also assess the roles and contributions of participating ESDs in achieving project outcomes.

Network Evaluation: The P-20 Network will collaborate with state agencies and other organizations (i.e., ODE, CEDO, School Districts, etc.) that partner with the Network to implement regional or statewide initiatives to assess the overall effectiveness of the P-20 Network. Evaluation criteria will include: the overall quality and fidelity of work including the extent to which the activities of the Network are making a difference for students; the extent to which the Network has been innovative and/or unique in response to project design; the extent to which the Network has been flexible and nimble in its operation; the extent to which the Network has enhanced the capacity of individual ESDs in performing projects; and, the extent to which the Network has been efficient in its operations.

H. Sustainability

Network members agree to establish, evaluate and continuously update a long-term vision of a successful Network, which is supported by the board of each ESD. Such vision may be updated periodically to ensure that it aligns with the priorities and focus of the Legislature, Oregon Department of Education, the Chief Education Office, local school districts and other partners. Such vision shall be consistently communicated to partners and stakeholders to ensure that such partners and stakeholders have a clear and focused understanding of the Network and it advantages for use in the implementation of various initiatives across the state.

I. Dispute Resolution

Network members agree to allow individual, or a group of, ESDs who question process and decision results made by the Network to express such concerns. . The processing of such concerns shall focus on resolution at the earliest point and lowest level with a priority on intervention and

support for solutions rather than reactive responses. All disputes shall be resolved in accordance with the Core Operating Principles described above.

In the event that the Network superintendents are unable to come to consensus on a course of action, a vote shall be taken with each member ESD getting one vote. A motion will carry with 80% of the vote in the affirmative.

Concerns regarding decisions made by the Program Cabinet or Network Superintendents may be expressed informally and/or formally. In the informal phase, the concerned ESD shall engage in conversation with the Chair of the Program Cabinet regarding the concern and the nature of the conversation held by the Program Cabinet in evaluation of the proposed project as a Network activity. This informal phase may also include conversation with the President of the OAESD Superintendent Council.

Should the concerns of the aggrieved ESD remain unresolved, they shall be reduced to writing and forwarded to the President and Chair of the OAESD Governance Council. A meeting of the Governance Council* shall be convened expressly for the purpose of hearing the dispute as soon as a quorum of Council members is available. Following the hearing of the dispute and the evaluation of any applicable evidence which has been presented, the Governance Council may elect to do one or more of the following:

1) Postpone action pending the receipt of additional information.
2) Vote, following discussion, on the merits of the disputed decision in accordance with OAESD Bylaws for such matters. Such vote shall be the final decision resolving the matter.
3) Refer the matter to an outside mediator, the cost of which shall be borne equally by OAESD and the aggrieved ESD. When mediation is used, any agreements by the parties shall be understood to be the final decision in the matter.

*In the event that the dispute involves a non-member of OAESD, the President and Chair of the OAESD Governance Council shall, in consultation with the aggrieved ESD, appoint an independent review board to process the grievance in a manner consistent with the options available to the Governance Council.

V. Operational Protocols (See Accompanying Network Design):

Step 1: Initiatives identified for statewide coordination and implementation by the Higher Education Coordinating Council, the Chief Education Office, the Oregon Department of Education, the Early Learning Division, the Educator Advancement Council or other entities will be brought forward to the Program Cabinet. The entity proposing work to the Network shall define the type and scale of the work, the desired outcomes, the timeline and available resources.

In the event that a sponsoring entity approaches a Network member with a specific proposal with the intent that the work will extend across member ESD boundaries, the Network member shall direct the sponsoring entity to contact the Program Cabinet for consideration as a Network activity.

Step 2: The Program Cabinet will review the proposal and, to the extent necessary, engage in

clarifying conversation with the sponsoring entity regarding the type and scope of the work, the desired outcomes, the timeline and available resources, and, the extent to which the proposal will build capacity across the Network. The Program Cabinet will determine if the work as proposed and described aligns with the mission of ESDs in general and the purposes of the Network. Non-OAESD member ESDs may be included in this discussion as appropriate in clarifying the intent, type and scope of the work and desired outcomes with the proposing entity.

Step 3: A meeting of all member ESDs interested in being involved in the specific initiative with representatives from the proposing entity to further understand, discuss, and exchange information about the project shall be held.

Step 4: All member ESDs interested in being involved in the specific initiative shall engage in internal discussion relative to the proposal. Such discussions shall include: understanding what will be expected should the ESD elect to participate; the opportunity to have questions clarified by the sponsoring entity; the interest of the individual ESD in further involvement; the capacity of the ESD to perform the prescribed work or portions thereof; the extent to which the prescribed work aligns with the ESD's mission, priorities and regional focus; the role of local school districts and other community partners; and, the role in which the ESD desires to participate in the proposed project. Such information shall be communicated to the Network Superintendents.

Step 5: The Network Superintendents will convene to review the type and scale of the work, the desired outcomes, the timeline and available resources of the project. The Network Superintendents will review the interest of individual ESDs in participating in the work including the results of the internal conversations regarding their participation. Using this information and in accordance with the Network Operating Agreements, the Network Superintendents shall identify the Lead ESDs for the project, secondary partner and contributing ESDs, tertiary partner ESDs and the potential roles of local school districts and other partners. The Network Superintendents may invite representatives from the proposing entity to participate in this discussion as deemed appropriate and/or necessary for input and clarity.

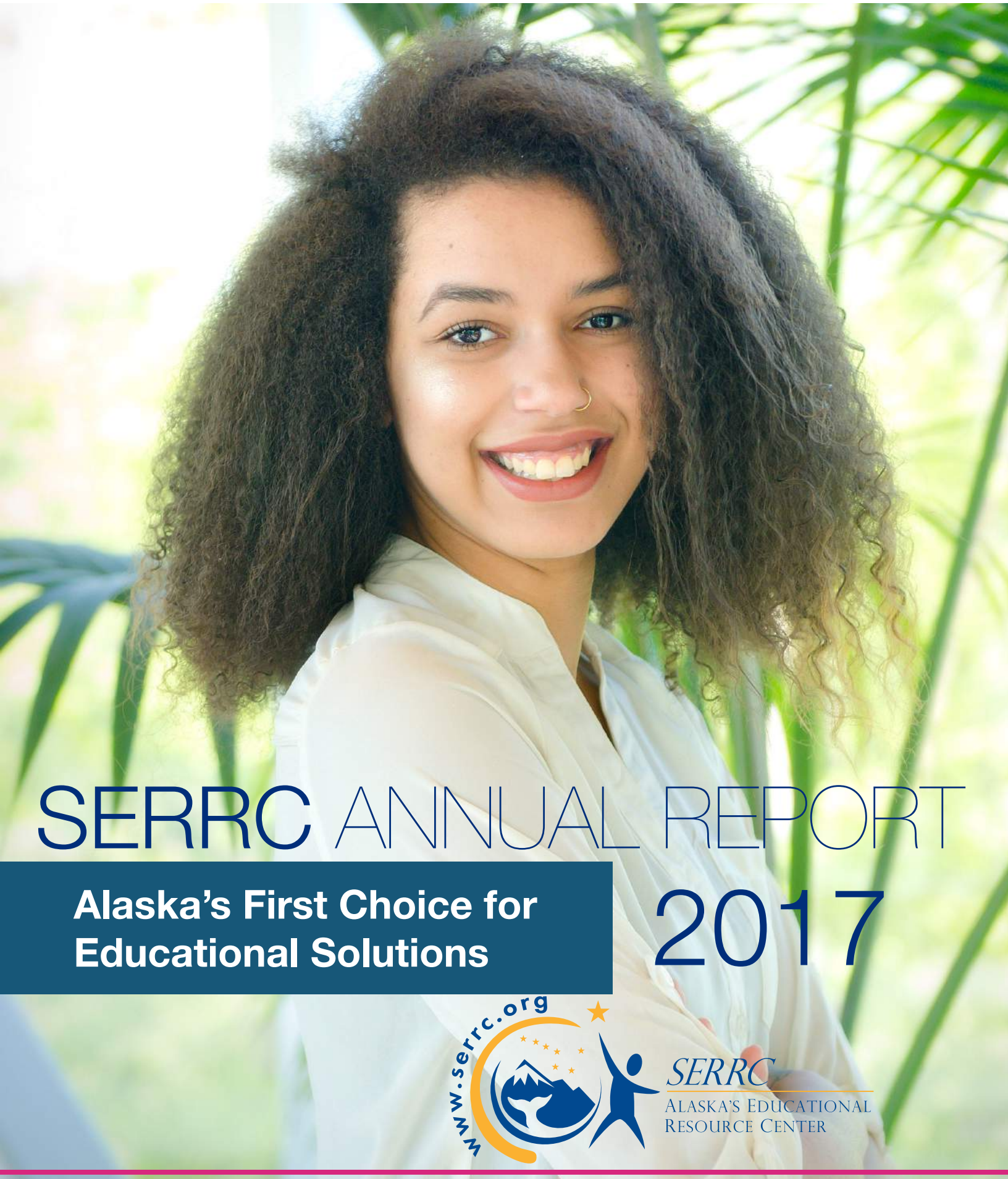
Step 6: The designee of the Network Superintendents shall report the results of the conversation to the proposing entity with the opportunity for further and detailed discussion regarding the project. Such conversation will formalize the Network's work on the initiative including, but not limited to, the designation the Lead ESDs for the project, secondary partner and contributing ESDs, tertiary partner ESDs and the potential roles of local school districts and other partners, type and scale of work, timeline, anticipated outcomes, assessment of success in meeting outcomes, and financial and geographic considerations.

Alaska

Southeast Regional Resource Center

(SERRC)

Alaska's Educational Resource Center



SERRC ANNUAL REPORT 2017

Alaska's First Choice for Educational Solutions

www.serrc.org

SERRC
ALASKA'S EDUCATIONAL RESOURCE CENTER

ALASKA'S FIRST CHOICE FOR EDUCATIONAL SOLUTIONS

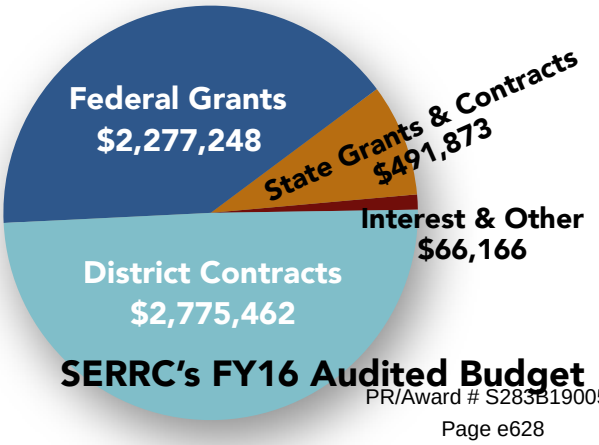
A Message from Executive Director Sheryl Weinberg

I am honored to report that SERRC remains Alaska's go-to choice for education solutions. All of SERRC's programs are poised to provide realistic, effective, cost-efficient ways to improve student achievement across our far-flung state. Whether SERRC is helping students directly, schools to reduce costs, or teachers to learn new skills, our programs remain top-of-the-line. SERRC's clients come back year after year because we offer:

- Innovative, creative, and highly customizable education services;
- An extensive network of partnerships that helps create and implement lasting solutions;
- Long-lasting knowledge of Alaska's unique educational challenges;
- A deep commitment to improving student achievement;
- Nimble responsiveness to changes in the education landscape; and
- Personalized on-call service and site visits.

Together with students of all ages, educators, schools, districts, and agencies, SERRC is succeeding in helping Alaskans build a better life through education. Our results are tangible and evident in the eager faces of students around Alaska. Thank you for your support, partnerships, and ideas. We look forward to another year of collaboration and success stories.

Sheryl Weinberg
Executive Director



SERRC's FY16 Audited Budget

Board of Directors
2017 - 2018

Mr. Tim Bauer
Annette Island School District

Mr. Robert Boyle
Ketchikan Gateway Borough School District

Mr. Lauren Burch
Southeast Island School District

Dr. Joshua Coughran
Skagway School District

Mr. Ralph Crosslin
Yakutat City School District

Mr. Ralph Watkins
Hoonah City School District

Ms. Susan Sciabbarrasi
Chatham School District

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Ms. Erica Kludt-Painter
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Dr. Mark Miller
Juneau School District

Mr. Richard Catahay
Kake City School District

Ms. Janelle Vanasse
Mount Edgecumbe High School

Mr. Jack Walsh
Craig City School District

Dr. Mary Wegner
Sitka School District

Mr. Larry "Woody" Wilson and Ms. Betty Walters
Pelican City School District

Mr. Bart Mwarey
Hydaburg City School District

Advisory Board Members

Ms. Thérèse Ashton
Tanana City School District

Mr. Jim Nygaard
Valdez City School District

PR/Award # S283B190059

TRANSITIONCAMPS

TRANSITION SERVICES

SERRC provided secondary transition services to districts, oversaw the Alaska Transition Outcome Project grant, and trained educators at the Alaska Statewide Special Education Conference. SERRC partnered with the State of Alaska to offer expanded transition services to youth in juvenile justice facilities.

164 kids and 30+ teachers served in 16 school districts in FY17

A Success Story

"We want kids to have a vision for their future, and that's exactly what Transition Camp is."

Transition Camps were developed for students with disabilities from rural school districts, students in juvenile justice facilities, and those in state foster care. "Transition Camps," as the name suggests, provide support for students who are beginning the process of transitioning from school to community life. These three-to five-day camps connect youth to resources that will help them get a job, continue with postsecondary education or vocational training, or simply learn more life skills, such as financial literacy. SERRC has been conducting transition camps for more than a decade, but recently they have significantly expanded due to a growing partnership with the Division of Vocational Rehabilitation (DVR) and their Youth Transition Coordinator Jim Kreatschman, a long-time fan of the program. "I really thought wow, this program is really fantastic, I wish I could be part of it, so I proposed to SERRC that my program could fund half, which would allow us to have 12 Transition Camps per year, instead of six," Kreatschman remembers. He couldn't be happier with the result."We want kids to have a vision for their future, and that's exactly what Transition Camp is. We bring businesses, education providers, programming, and activities to kids in predominately rural school districts to help kids make a plan for their future. More than 100 businesses participated in transitions camps last year. We are bringing those resources to kids, oftentimes in areas where there are limited resources."

Incarcerated Youth

Part of the expansion process included incarcerated kids. Mr. Kreatschman continues, "We approached the Alaska Mental Health Trust to propose going into Department of Juvenile Justice youth facilities. It took a couple of months to talk Juvenile Justice into letting our team come in to do a camp, but when it finally did happen, everyone was so impressed. The kids were captivated and totally engaged. These kids all have suffered trauma in their lives, and we are trying to give them a future." Last year Transition Camps were put on for incarcerated youth in Bethel, Fairbanks, Juneau, and Anchorage. "This program has allowed incredible bridges to be built between these centers and the community," Mr. Kreatschman explains.

The Power of Partnerships

The Transition Camps also highlight the importance of partnerships. Camps are funded through the Divisions of Vocational Rehabilitation and Employment and Training Services, the Department of Education and Early Development, and the Mental Health Trust, along with many groups outside the public sector. "Among others, the Alaska Process Industry Careers Consortium and Wells Fargo are big supporters," says Mr. Kreatschman.

Reaching out to Rural Alaska

"The other cool thing about it," Mr. Kreatschman adds, "is that anyone can have a Transition Camp. It doesn't matter how big or how small. The work that we are doing with Transition Camps gives us a mechanism to reach out to more rural places and to start a conversation regarding what else we can do. The camps have been able to change the way that people think about DVR and lead to more opportunities to additional services."

Photos: Top left: SERRC staffer Emily Horrocks out in the field. Middle left: Mr. Stewart McDonald, Superintendent of Kodiak Island Borough School District and Dr. Mary Wegner, Superintendent for Sitka School District at a professional development session. Bottom left: Gail Greenhalgh receiving the nomination for the Alaska Governor's Council on Disabilities and Special Education award. Center: client uses SERRC's Pre-Employment Transition Services. Far right center: This high school senior is passionate about music and has his own radio show. Bottom right and top right: 21st Century Afterschool Program students in Kotzebue celebrate 30 days of attendance.

ALL-ALASKA ACADEMY

Growing Alaska's Future Leaders

The All-Alaska Academy teaches youth from across the state about Alaska government and prepares them for the workforce. Aligned with state standards and taught by highly effective teachers, the Academy creates Alaska's future leaders by providing enhanced week-long residential learning opportunities for junior and senior high school students. Programs are based in Juneau and allow students to explore how the state legislative, judicial, and executive branches operate, while providing job-shadow and career exploration opportunities in a wide variety of fields.

This year students met and worked with their legislators on local community projects, studied actual bills being discussed, observed legislative sessions, and practiced government in committee simulation and a mock legislative session.

Academy participants in the Capitol Building

Above, students report on their project relating to a community problem. This project is a requirement for students before they can attend Alaska Close-Up.

ALL-ALASKA ACADEMY

Alaska Close-Up (9th-12th grade)

Junior Alaska Close-Up (7th-8th grade)

Government Internships (11th-12th grade alumni)

Career Connections

JOB SHADOWING

EXPLORE STATE GOVERNMENT

CAREER EXPLORATION

LEADERSHIP

73 kids and 21 chaperones from 12 School districts participated in All-Alaska Academy

SERVICES and Schools

Special Education

SERRC is the largest provider of contractual special education services in Alaska. From determining eligibility and working one-on-one with students, to assisting with compliance reporting, SERRC's staff of certified therapists, education specialists, and administrative professionals offer essential special education services. Last year **959 students were served in 148 communities and 27 districts.**

Student Loan Forgiveness

Last year SERRC helped **19** clients reduce their student debt by **$1.1 million**. The Public Service Loan Forgiveness Program is for any employee working full-time in a nonprofit. SERRC partners with Innovative Student Loan Solutions to provide loan forgiveness to full-time public sector or government employees with federal student loan debt.

FOR STUDENTS

Out-of-School-Time Programs

21st Century Community Learning Center

Nearly 100 students participated in one or more days of after-school or summer camp programming. After-school and summer camp programming offered extended learning opportunities to K-2 children in a safe, structured environment. It gave parents peace of mind knowing their child's learning continued to be enriched after the regular school day and enabled them to continue work to be able to support their family. Family events provided opportunities for families to positively interact with one another and to strengthen bonds with their children. Nearly all students who attended 30 or more after-school sessions also attended a family event with an adult in their life. Student Measures of Academic Progress (MAP) reading scores from the fall to spring showed that **69%** of students who attended **45** or more after-school sessions demonstrated a statistically significant gain of **10 or more points**, an increase of **2%** over last year.

"The diversity of the program and the fun activities all contribute to a child's learning and sense of worth and confidence."
Jean Bibber, 21st CCLC parent

Gruening Park Programs

There were several programs offered at Gruening Park Family Learning Center: adult education, a K-5 after-school homework club, in-school literacy support, summer camp, and pre-school activities for children of participating adults. Regular family nights promoted literacy and healthy lifestyle choices.
43 youth and 27 adults were served in Juneau.

TECHNOLOGY OPERATIONS

More than **2,000** youth served from **20** districts and organizations

OFFERING CUSTOMIZED, COST-EFFICIENT TECHNOLOGY SERVICES TO ALASKA'S SCHOOL DISTRICTS.

While the technology sands continually shift, so do the techniques and tools for managing and making sure that technology works for teachers and students. In order for Macs, Google Suite, Chromebooks, and iPads to not become a burden, the underlying systems must be designed and maintained appropriately. Remote and on-site IT services provided by TechOps leverages decades of experience with technology in Alaskan schools and are designed to free school staff from repetitious maintenance and technical labor so that they may gain greater control over herds of devices and spend more time doing what's important: building face-to-face relationships with students, staff, and teachers.

"The TechOps team makes sure our technology supports teachers and learning, through on-site and remote support, software updates, management of user names and access codes, and more."
Dr. Dave Herbert, Saint Mary's City School District Superintendent

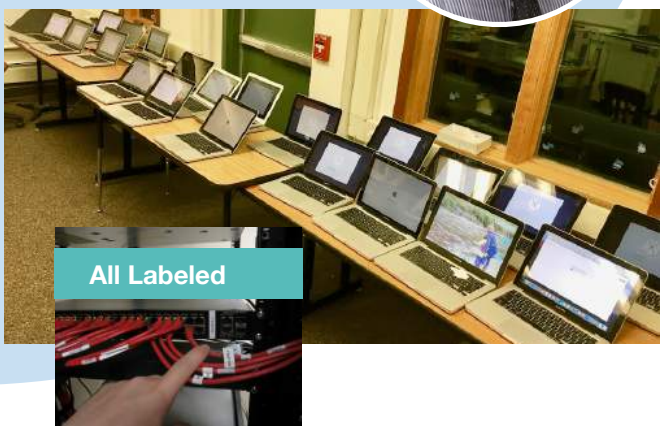
A **Haines** Success Story

"Hey Ryan, Just to let you know...

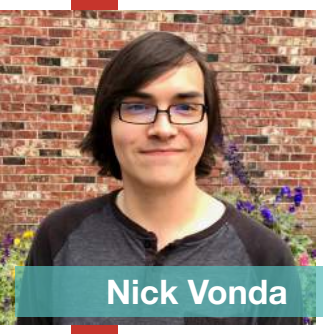
Last year, it took myself and the Minions three weeks (15 days) to update 40 new laptops, all the laptops for grades 3-8, all the high school 1 to 1 machines, teacher machines, and 75 iPads. All told, over 300 devices. This year... 4 days. I need to go back for a few days of clean up and putting away, but holy cow! The Munki server is an amazing tool. It is my new best friend. I'm writing this email from my lazy boy at home... not at school. Computers are put away for the summer. Yeah!

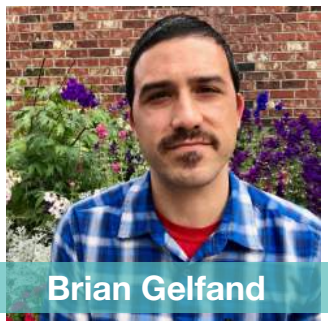
Thank you!"

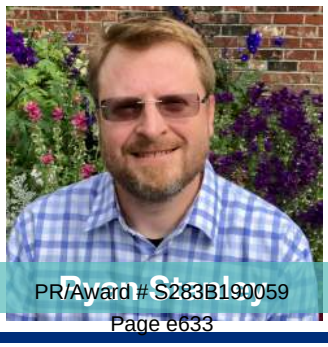
Sam McPhetres
Technology Coordinator
in Haines



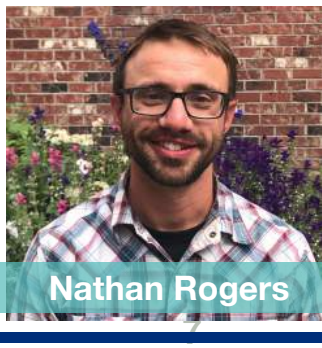
Meet the Team: SERRC's Technology team is comprised of expert educational technology professionals who engineer, implement, and maintain a myriad of customized services to improve student achievement and district efficiencies.


Nick Vonda


Brian Gelfand


Ryan Stanley

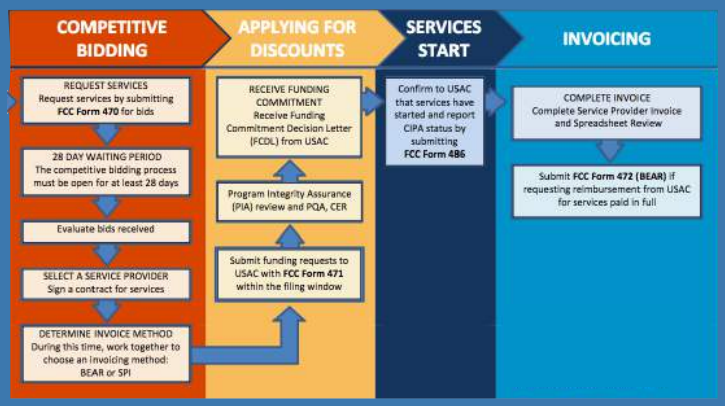
Michaela Guyot


Nathan Rogers

E-RATE CONSULTING

SERRC's E-Rate staff provide specialized consulting and complete E-Rate management to school districts and libraries to maximize E-Rate funding, meet critical deadlines, and comply with regulatory requirements, including EPC portal management. SERRC provides support through close coordination with district technology initiatives. By increasing E-rate management services in FY17, SERRC helped schools and libraries gain funding for telecommunication and internet services and for technology infrastructure upgrades.

SERRC E-Rate Services for School Districts



Kela Halfmann
Attending E-rate and Fiber Workshop of Schools, Health & Libraries Broadband Coalition Washington, D.C. June 2017.

"I'm happy to have more E-Rate services provided by SERRC. The ease that I expect with integrated SERRC services, that have previously been done by different agencies, makes sense. It is the customer service though that keeps me coming back. Thanks to you and your staff."

Thérèse Ashton Superintendent/Principal
Tanana City School District Maudrey Sommer

"I have worked with and problems-solved with SERRC for 20 years. Their staff are professionals, always. Kela Halfman is our E-Rate contact, and Hoonah City School is grateful for her knowledge, professionalism, tenacity, and always caring about small school districts and their children. Hoonah will have better connectivity this year because of SERRC. Guanlche'esh!"

Dr. PJ Ford Slack
Hoonah City School District
Superintendent

For the FY17 E-Rate funding year, SERRC served **14** school districts and consortia throughout Alaska with **74** requests submitted for service, resulting in **$16 million** in total funding requests.

PR/Award # S283B190059
Page e634

Professional Learning

SERRC is a leader in providing customized distance learning and face-to-face professional development programs. Trainings that aided educators and administrators in improving student achievement in FY17 included:

- Instructional Strategies
- Cultural Proficiency
- Educator Evaluation
- Assessment Strategies
- Technology Integration
- Special Education
- Secondary Transition

Trained 1,241 educators in 36 communities impacting 18,576 students

"We are proud SERRC has become expert in providing culturally responsive instruction in the state of Alaska. Understanding our culture is important so that we understand how we interact with individuals from cultures that are different from ours. This understanding helps us see our students and their families more clearly, and shapes our policies and practice to help our students to succeed."

Gerald Briscoe, SERRC Director of Professional Learning

Business Services

SERRC provided business services to three Alaska School Districts and one nonprofit organization in FY17. Contracted business services provided by SERRC are performed from the office in Juneau with assistance from local on-site staff at the district. SERRC is the business manager of record for grants, retirement and benefits, and all other financial duties of the districts. Annual budgets are prepared in collaboration with the district superintendent and local board of education. Shared business services create substantial savings to districts who choose this option.

"Over the past three years that I have been Superintendent of Chatham School District, it has been my pleasure to work with SERRC in regards to the Business Services that they have provided. Teri Dierick has always been a huge asset to the District and to me personally as I grew in my role as Superintendent. As always, I have the highest regard for the services that SERRC provides."

Bernie Grieve, Superintendent, Chatham School District

Federal Programs

SERRC's Federal Programs staff submitted Formula Grants to the Alaska Department of Education and Early Development, Bureau of Indian Affairs, and the Office of Indian Education. They also produced a monthly newsletter, assisted with school-wide planning, and completed pre-compliance monitoring for school districts to help ensure compliant program implementation.

Submitted 18 grants for 6 school districts totaling $1 million impacting 1,872 students

HEALTHCARE TRAINING

(Back row, from left) Kristina Arnold, Sarah Bertram, MacKenna Elran, Jordan Neal, Geneva Cox and (front row) Mary Captain, and June Lee became good friends while attending the Healthcare Careers training in Anchorage.

A Success Story

Six learners from SERRC's Learning Connection in Juneau completed the Healthcare Pre-Apprenticeship Program in Anchorage in FY17, sponsored by the Alaska Area Health Education Center at Providence Health and Services. The Pre-Apprenticeship Program is designed for adult participants to prepare for the healthcare workforce and to explore potential career pathways in the healthcare field. Certification was included as part of the training.

SARAH BERTRAM

"It was very insightful and helpful in the areas of job shadowing and apprenticeship programs," said **Sarah Bertram**. "They stepped us through the steps to take to get into one of those positions, and they gave us many resources." Bertram plans to attend a seven-week phlebotomy course in Ohio and get a job to get her foot in the door. "Hopefully then I can get more training."

JORDAN NEAL

"One of the days that really stood out for me was the mental health day," said **Jordan Neal**. "I learned about a Behavioral Health Tech Certificate Program available next fall that's interesting to me." Neal said the best part of the training was the people. "I went up there not knowing a single person. We met at the bus stop on Monday morning to go to class, and by the time we got there we were all friends."

MACKENNA ELRAN

MacKenna Elran, who started a Certified Nursing Assistant course in Juneau on June 5th, said the training was "an awesome experience." She explained that most of the people who attended had an idea they wanted to get into healthcare, and all 30 participants who started the training finished it. "We got to talk to superior people at the hospital and learn about their jobs. [Providence] hospital is so pretty. I would love to work there some day."

JUNE LEE

June Lee said the program opened her eyes to many different types of jobs in healthcare. She said she would be interested in medical assisting. Lee said highlights of the class were getting to know the other students and feeling supported as she learned about the many opportunities available in healthcare. "I met a young woman who reminded me of myself when I was her age." Lee said the group encouraged each other as they worked through the many hours of classes and activities.

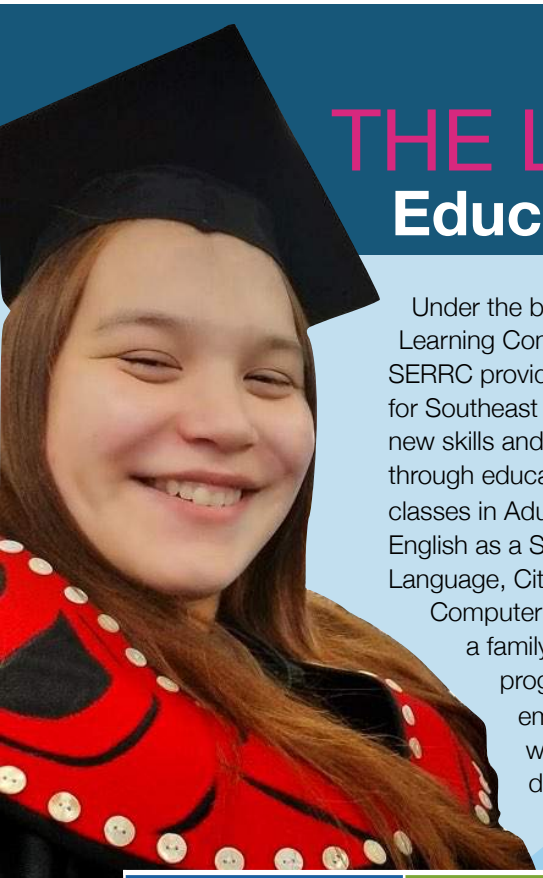
KRISTINA ARNOLD

"I would do it again in a heartbeat," said **Kristina Arnold**. "I really appreciated the opportunity to go and participate. It helped me focus on what I want my career goals to be."

GENEVA COX

PR/Award # S283B190059
Page e636

THE LEARNING CONNECTION
Education and Workforce Development



Under the banner of The Learning Connection (TLC), SERRC provides opportunities for Southeast Alaskans to learn new skills and build a better life through education. TLC offers classes in Adult Education, English as a Second Language, Citizenship, and Computer Skills, as well as a family literacy program, youth employment, and workforce development services.

"The staff helped me in many ways. They know when you need help before you do. Just knowing that they care makes me want to study harder. Thank you TLC."

– June Lee, preparing to take the GED

Madelina Akuei arrived in Juneau from South Sudan in September 2016. She improved English, computer, and math skills while also making friends in her new home.

JOB ASSISTANCE FOR YOUTH AGED 16-21 (JOBX)	JUNEAU CONSTRUCTION ACADEMY (JCA)	DRIVER'S TRAINING (AK DRIVE)	ENGLISH AS A SECOND LANGUAGE (ESL)	JOBS FOR ADULTS AGED 55+ (MASST)
JobX helps youth aged 16-24 get and keep jobs. Counselors provide introduction to high-growth careers, work maturity and skills, career counseling, job training, and paid work experience. JobX offers resource referrals and limited assistance for basic work needs.	**The Academy** is designed to prepare adults for careers in the construction trades. The Juneau Construction Academy provides free training and job placement assistance in FY17.	**AK Drive** helps Southeast Alaskans obtain drivers licenses through classroom, simulator instruction and behind-the-wheel-training. Instruction emphasizes safe driving techniques on challenging roadways.	The Learning Connection provides free **English as a Second Language** and free Citizenship Classes in Juneau.	**Mature Alaskans Seeking Skills Training (MASST)** provides employment training and places mature Southeast residents (55 and older) in subsidized positions to expand their job skills and gain more employment opportunities.
Trained 37 youth	**32 people completed construction training**	**Taught 53 people how to drive**	**Provided language training to 59 adults**	**Worked with 23 older Southeast Alaskans**

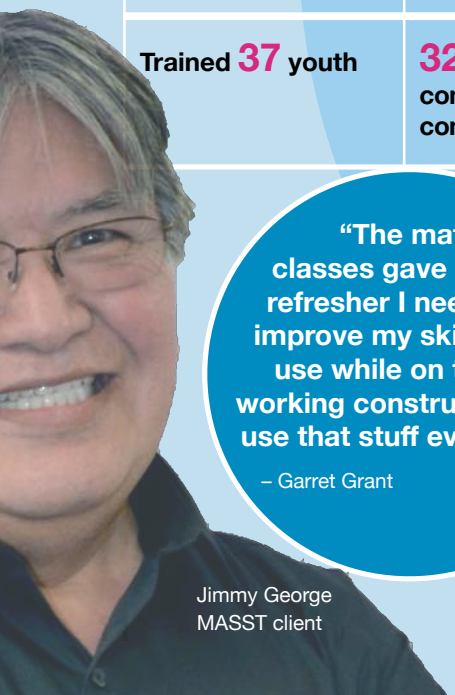
"The math classes gave me the refresher I needed to improve my skills that I use while on the job working construction. We use that stuff every day."

– Garret Grant

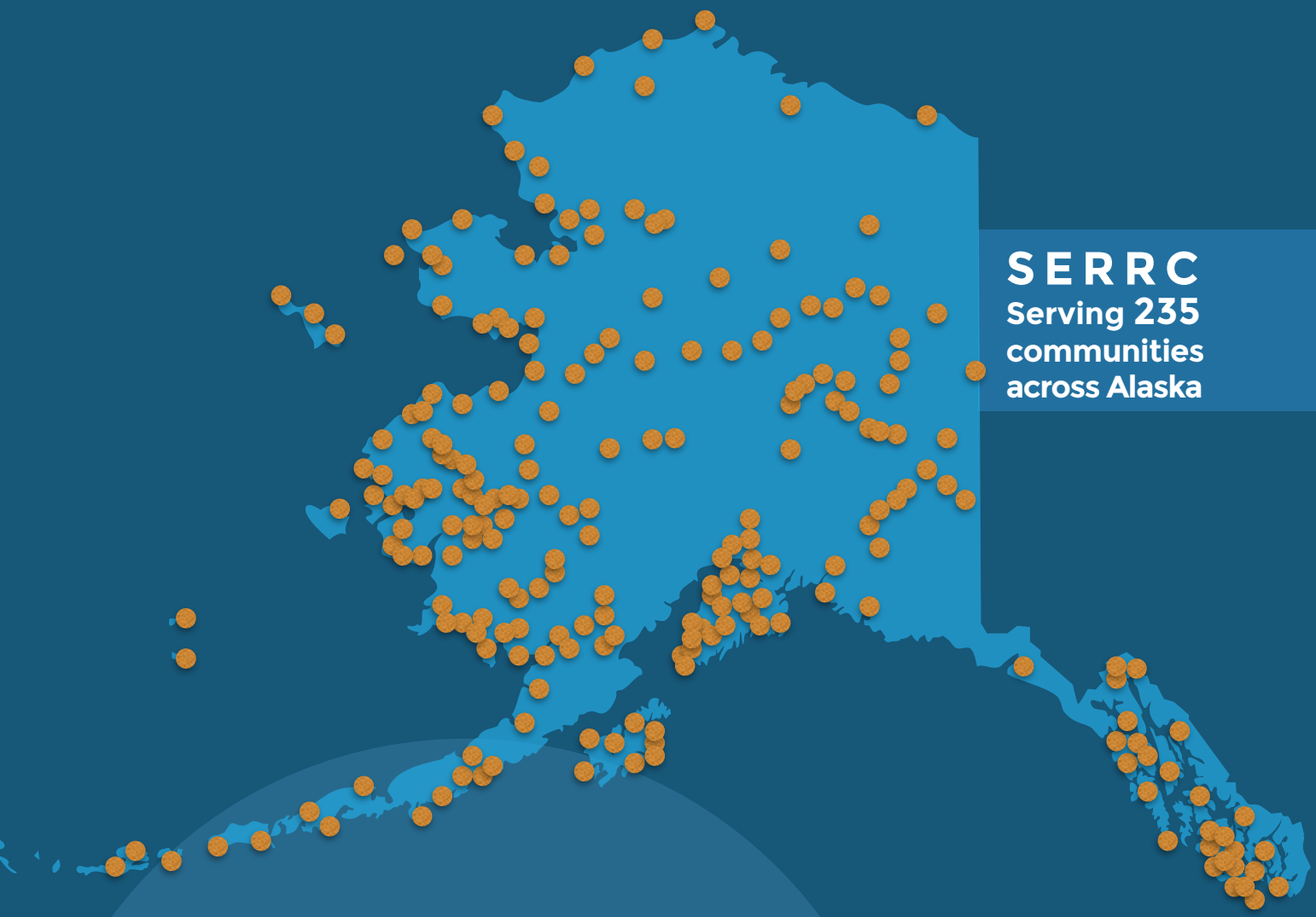
"I want to let you know that I passed my driving test! Thank you for teaching me and helping me improve my driving skills. I really appreciate all your help"

– Camille Gomez

COMPUTER TRAINING
FAMILY LITERACY
ADULT EDUCATION
GED TUTORING



Jimmy George
MASST client



SERRC
Serving 235 communities across Alaska

SERRC – Alaska's Educational Resource Center is a nonprofit agency that provides educational services to every school district in the state and adult education/family programs in Southeast Alaska. SERRC maintains an extensive network of partnerships with other educational agencies, the State of Alaska, Native organizations, schools and school districts, businesses, and other educational entities throughout the country. With 41 years of providing educational services, SERRC has the personnel, infrastructure, and experience to create, deliver, and sustain programs that improve student achievement in Alaska.

Alaska's First Choice for Educational Solutions

www.serrc.org

SERRC
Alaska's Educationa
Resource Center

Juneau Office: 210 Ferry Way Juneau, AK 99801 (907) 586-6806
Anchorage Office: 805 W. 3rd Ave. Anchorage, AK 99501 (907) 349-0651

Publication developed by Rain Coast Data

Mission: SERRC advances high quality educational services and solutions throughout Alaska by anticipating, meeting, and surpassing learner, educator, and customer needs.

How will SERRC be the agent of change that leads equitable access for all learning opportunities?

How can SERRC create efficiencies and address unmet needs through shared services and collaboration?

How does SERRC attract and retain the right people on the bus to foster growth and innovation?

Vision: Alaska's learners, leaders, and teachers prepared to meet the future.

www.serrc.org SERRC Alaska's Educational Resource Center

www.serrc.org SERRC Alaska's Educational Resource Center

BOLD STEPS

Investigate ways SERRC might resturcture programmicatically and/or organizationally.

Identify and pursue areas of specialization. Include inter-ESA partnerships,if applicable.

Devise a process to identify client needs.

Develop strategies that encourage an internal environmentof growth, innovation and trust.

CORE VALUES

Excellence. We know that educators, students, and our customers deserve the best support and resources.
Relationships. We recognize that deep partnerships and collaboration yield lasting results.
Growth Mindset. We understand that excellence depends on continuous improvement.
Integrity. We believe that service to education merits the highest level of honesty, competence, and quality.
Results. We make a difference to Alaska's educators, students, and our customers.

SERRC
ALASKA'S EDUCATIONAL RESOURCE CENTER

Education services offered by SERRC meeting Alaska's Education Challenge

INCREASE STUDENT SUCCESS

Success will be identified using multiple measures as part of a rich and varied curriculum.

- Transition services for students who experience disabilities
- GED preparation
- Career awareness
- Career guidance
- Careers -resource linking
- Careers- soft skills curriculum
- Job shadowing
- Paid work experiences
- Pre-apprenticeship programs
- ESL instruction
- Citizenship preparation
- Driver education
- Specific industry training (e.g.;)
  - *Bank teller*
  - *Construction*
  - *Office skills*
- After-school and out-of-school time programming
- Family Nights
- Statewide, regional, and district-based camps and academies (e.g.;)
  - *Alaska Close-Up*
  - *Transition Camp*
  - *Career Connections*
  - *ANSWER Camp*
  - *Healthcare Careers*

SUPPORT RESPONSIBLE AND REFLECTIVE LEARNERS

Students, families, tribes, educators and communities will participate in educational opportunities.

- Communications consultation, planning and administration
- Report Card to the public
- School-based Language and Cultural Liaisons
- Program development
- Training
- Support
- Equity Audits
- Instructional Audits
- Parent Information and Resources
- Family-Friendly Schools Survey and technical assistance
- Strategic Design facilitation
- Targeted technical assistance
- Educator mentoring
- Educator coaching
- Pre-compliance monitoring
- Federal and state grant writing
- Federal and state grant management
- Individual, school-based, district-based, regional and statewide professional learning opportunities
  - *Cultural proficiency*
  - *Culturally responsive instructional practices*
  - *Educator evaluation*
  - *Inter-rater reliability*
  - *Understanding and using data to make instructional decisions*
  - *Academic best practices*
  - *Paraprofessional training*
  - *Citizenship / civic engagement*
  - *Business office training*
  - *Customer service*
  - *Technology in the classroom*
  - *Technology skills development*
  - *Project-based learning*
  - *Backwards design*
  - *Secondary transition*
  - *Special Education law and regulations – content and application*
  - *Special Education instructional best practices*
  - *Surrogate Parent training*
  - *Confidentiality*
  - *Seclusion and restraint*

CULTIVATE SAFETY AND WELL-BEING

All schools will be safe and nourish student well-being.

- Wrap-around services for students who experience ACES or barriers
- Case management
- Behavior improvement planning
- Classroom engagement planning
- Classroom management technical assistance, support, and modeling/ mentoring
- Mental Health First Aid training
- Major Maintenance Management Cooperative
- Facilities grant and construction management
- Facilities safety inspections
- Facilities planning
  - *Education specificatio*
  - *Conditions surveys*
  - *Capital improvement planning and grant writing*
- Crisis Communication planning
- Social media campaigns
- Internet Safety planning

Alaska Dept of Education: ESSA alignment with SERRC services January, 2018

A. Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies 7
1. Challenging State Academic Standards and Assessments 7
-SERRC can facilitate Science Standards Review process for EED.
2. Eighth Grade Math Exceptions 7
-SERRC can provide professional learning for MS teachers on math standards and Algebra 1
3. Native Language Assessments 9
--SERRC can facilitate discussion among stakeholders to determine language assessments
4. Statewide Accountability System and School Support & Improvement 10
i. Subgroups 10
ii. Minimum N-Size 11
iii. Establishment of Long-Term Goals 15
iv. Indicators 23
--SERRC can support districts with planning strategies for reducing chronic absenteeism through the lens of cultural proficiency
v. Annual Meaningful Differentiation of Schools 30
vi. Identification of Schools 34
vii. Annual Measurement of Achievement (95% participation) 36
viii. Continued Support for School and LEA Improvement 37
--SERRC can facilitate discussions between stakeholders to determine rigorous interventions
--SERRC can provide support to districts in developing the Continuous Improvement Planning Cycle and self-monitoring
--SERRC can help facilitate the School Improvement Plan writing process and assess, monitor, and assist EED to evaluate the progress.
--SERRC can provide wrap around Professional Learning opportunities from districts' SIP
--SERRC can help districts in end of year evaluations of programs for effectiveness and reporting to EED
--SERRC can provide complete assistance, resources, facilitation, and technical support to all items listed under section "e." (pg. 39-42) This section screams SERRC!!!!!
5. Disproportionate Rates of Access to Educators 43
--SERRC can facilitate discussions with districts around root cause analysis and help provide strategies to address those causes of inequitable staffing of teachers
--SERRC can work with University system to develop course work around cultural standards for teacher evaluation in pre-service programs and in specialized programs like PITAAS
--SERRC could house micro credentialing and help to develop an endorsement in cultural proficiency for Alaska's teachers and leaders
--SERRC can provide inter-rater reliability training to evaluators to help with validity and reliability of teacher evaluation
--SERRC could reestablish, organize, facilitate and manage an alternative licensure program (similar to AKT2) to recruit and retrain teachers in science, technology, engineering, and math fields as well as special education for districts who are lacking these teachers.
--SERRC could provide coordination and training support for the ASMP and SSOS programs and manage and facilitate their implementation for schools and districts
--SERRC can provide training and support to educators around children of poverty and trauma and other marginalized subgroups of children in districts where this is necessary
6. School Conditions 54
--SERRC can facilitate school districts in writing disciplinary programs and safety programs; help them analyze their discipline data for root causes of disparities among subgroups of students in suspension and expulsion
--SERRC can support districts in reviewing policies that are inequitable to subgroups of students and help to provide strategies that will reverse the trends.
--SERRC can act as a liaison between statewide agencies to bring training and support to districts around restorative justice, suicide prevention, mental health support.
--SERRC can provide professional learning to districts on race and gender equity, ACEs, and trauma awareness
--SERRC can administer student surveys and help to analyze results to provide training around bullying and harassment for districts.
--SERRC can provide equity audits and instructional audits to help districts evaluate policies, practices, and strategies
--SERRC can provide de-escalation, restraint, and other trainings to provide safety for staff and students

7. School Transitions 56
--SERRC provides transition services for SWD; GED preparation, career awareness, career guidance, careers-resource linking, careers-soft skills curriculum, job shadowing, paid work experiences, pre-

apprenticeship programs, Transition Camp, Alaska Close-Up, Career Connections, ANSWER Camp, Healthcare Leadership.

B. Title I, Part C: Education of Migratory Children 58

--SERRC can assist DEED in collecting survey data from parents who children receive migrant education.

C. Title I, Part D: Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk 62

--SERRC could provide assistance to districts in managing the transition of children and youth between correctional facilities and their local school/district. SERRC could also provide supports/services to those students in personal, career, technical, and academic counseling and help them get placed in a program and receive assistance in obtaining financial aid, counseling, and/or job placement.

D. Title II, Part A: Supporting Effective Instruction 64

--SERRC can provide a menu of choice for districts and schools starting with conducting needs assessments for professional learning based on analysis of district data and can deliver multiple venues of delivery with an ala carte choice OR can provide comprehensive wrap around professional learning for an entire district.

--SERRC can survey districts in Alaska for successful induction programs to share with EED.

--SERRC can provide mentoring/coaching to teacher leaders in the DEED to-be-established teacher leader program using the Teacher Leader Standards. We have some experience with this in the current Passages grant.

--SERRC is developing the Cultural Standards for Leaders that can be used in the academies and SERRC can collaborate on the design and implementation of these teacher/leader academies.

--SERRC can provide professional learning in cultural proficiency; culturally responsive instruction and leadership, educator evaluation, inter-rater reliability; data analysis for make instructional decisions, academic best practices in math and ELA, technology in the classroom, technology skills development, project-based learning, backwards design, secondary transition, special education law and regulations, college and career-ready standards, school climate and culture, special populations, and school planning and support, family friendly schools survey , Strategic Design facilitation, and other customized needs for districts and schools.

--SERRC can collaborate with University system to prepare programs for implementing cultural standards for educators

--SERRC can provide training and ongoing support to teachers and principals through online virtual coaching platform.

--SERRC could reestablish, organize, facilitate and manage an alternative licensure program (similar to AKT2)

--SERRC provides ongoing consultation and advisement in a variety of capacities on statewide committees and councils to support professional learning activities.

--SERRC can provide communications consultation, planning, and administration assistance

E. Title III, Part A: English Language Acquisition, Language Enhancement, and Academic Achievement 71

--SERRC can provide CLIMBS training for WIDA to teachers and districts to support needs of ELLs

--SERRC can provide training and support for strategies for family involvement to meet needs of EL student through information portals and other resources

--SERRC can provide School-based Language and Cultural Liaisons between home and school

--SERRC can help districts in a strategic process in analyzing data and creating improvement plans

--SERRC can provide on-site instructional audits

--SERRC can facilitate online webinars to deliver information from DEED to districts

F. Title IV, Part A: Student Support and Academic Enrichment Grants 75

--SERRC can coordinate and facilitate statewide convening of existing agencies to deliver health and safety trainings.

--SERRC could assist DEED in producing eLearning modules around student health topics and provide follow up support and ongoing learning associated with the modules and even provide them as recertification credit courses.

--SERRC could help DEED to produce eLearning modules and other supports to districts around understanding and implementing ESSA.

--SERRC can provide federal and state grant management

G. Title IV, Part B: 21st Century Community Learning Centers 77

--SERRC is a vendor to deliver afterschool community learning centers.

--SERRC could provide a statewide mentor for these programs and conduct site-level visits to report to the state

--SERRC could assist DEED in facilitating a statewide conference on afterschool programs

--SERRC could conduct evaluations and report that lead to continuous improvement cycles for afterschool programs

H. Title V, Part B, Subpart 2: Rural and Low-Income School Program 80

I. Title VII, Subpart B of the McKinney-Vento Homeless Assistance Act: Education for Homeless Children and Youth Program (McKinney-Vento Act) 81

--SERRC could provide training support and resources to district homeless liaisons and updated information as it becomes available through webinars, newsletters, etc.

--SERRC could provide district homeless liaisons to districts who don't have the human resources necessary

--SERRC could provide opportunities to homeless youth to make sure they receive credit for full or partial coursework

Five Strategic Priorities:

- Amplify student learning
- Inspire community and tribal ownership of educational excellence
- Modernize the education system
- Ensure excellent educators
- Promote safety and well-being

Washington Association of Educational Service Districts (AESD)

2018-21 AESD Network Strategic Plan

Equity, Opportunity, Results

Mission

To ensure equity and excellence in education through effective services delivered statewide.

Vision

To inspire and foster equity, opportunity, and results through meaningful support of all school districts.

AESD ASSOCIATION OF EDUCATIONAL SERVICE DISTRICTS

Nine ESDs. One Network.
Supporting Washington's Schools and Communities.

Our Values

WWW.WAESD.ORG

AESD

Equity, Opportunity, Results

AESD Network – Why We Exist

Equity and Opportunity

Assure delivery of relevant, high-quality services delivered statewide.

Ensure access and opportunity for all students.

Create opportunities for partnerships, statewide marketing and entrepreneurism.

Strong Service – Strong Network

Assure strong individual ESDs through a strong statewide Network – success of each ESD through success of all ESDs.

Leverage and focus the resources, expertise, and capacity of an individual ESD for the benefit of the entire Network.

Enhance the impact and increase the influence of all ESDs through a vital AESD Network – being an indispensable partner.

Operate effectively and strategically in a changing market and service environment.

Information and Advocacy

Communicate regarding public policy, issues, and emerging trends.

Interpret, inform and influence public policy, its development and implementation.

Reflect the needs of the school districts we serve.

Advocate for the needs of traditionally underrepresented/underserved students, districts and schools.

Goal 1

Develop strategic relationships

Vision

To grow a sustainable future through strategic relationships

AESD Goal 1

- ✓ Establish a timeline, and agreed upon process, with OSPI and other key legislative stakeholders to determine AESD 2019-20 legislative priorities, to include active engagement from the AESD Executive Committee, and ESD superintendents.

  Performance measure: Timeline and priorities established

  Timeline: Fall 2019.

- ✓ Increase the number of new AESD Network strategic partnerships/coalitions (local school boards, higher education institutions, foundations, business sector organizations, private investors, legislators, etc).

  Performance measure: Number of new partnerships established

  Timeline: June, 2019-20.

- ✓ Administer needs assessment to local school districts, within each ESD region, to identify needed products, programs, and services that can be provided by either individual ESDs or through the AESD Network of services.

  Performance measure: Survey completion/analysis of needs

  Timeline: Fall 2019

Goal 2

Enhance the Network and provide needed services with a focus on quality and impact.

Vision

To provide seamless and nimble services

AESD Goal 2

- ✓ Implement new, individual ESD and AESD Network programs, as a result of the Fall 2019 local school district needs assessment analysis.

  Performance measure: Number of new ESD and Network programs

  Timeline: 2019-20

- ✓ Increase AESD revenue as measured by number of grants obtained, new legislative funding, contract revenue, and service oriented funding sources.

  Performance measure: New grants, legislative funding, contract revenue, service funding

  Timeline: 2019-20.

- ✓ Increased funding from legislature, and overall scope of work performed by ESDs and/or the AESD Network focused on the quality and impact of services.

  Performance measure: Amount of new legislative funding in 19-20

  Timeline: April 2020.

Goal 3

Tell our story

Vision

ESDs are an integral and valuable part of the education eco system in Washington State

AESD Goal 3

- ✓ Increase traffic to the AESD Website

  Use data analytics to identify current use

  Utilize current data to respond to specific target markets

  Establish performance goals for social media and other vehicles to increase traffic to website.

  Performance measure: Increase traffic by 20%

  Timeline: 2019-20

- ✓ Increase and enhance social media to Tell Our Story

  Review social media traffic to establish opportunities to get to "top of feed" and complement reader access and interest.

  Performance measure: Increase traffic by 20%

  Timeline: 2019-20.

- ✓ Develop 1 year Communications Plan in connection to the AESD Network Strategic Plan. Plan will include identification of communication outcomes, target audiences, messages, and methods.

  Performance measure: Completed Fall 2019

  Timeline: Fall 2019

AESD Guiding Business Principles

Since the creation of the AESD Network, collaboration and strategic partnerships have been essential to the way ESDs support business opportunities. ESDs have forged various relationships with one other, the AESD Network, and other partners to deliver relevant, high quality, cost effective educational and administrative services to educational entities throughout Washington.

The primary purpose of these Guiding Business Principles is to direct our work as we create opportunities for partnerships, statewide marketing, and entrepreneurism. Recognizing the value of cooperation and collaboration, the AESD Guiding Business Principles have been developed to fulfill this mission:

Equity, Opportunity, Results

AESD will:

- Promote the strength of each ESD's capacity to deliver equitable products, services, and programs to educational entities.
- Provide a forum whereby an ESD may present products, services, and programs for other ESDs to consider for purchase, partnership, or marketing.
- Increase and improve service to educational entities by expanding equitable offerings and opportunities.
- Eliminate barriers that impede the development and delivery of quality products, services, and programs.
- Offer equitable high quality products, services, and programs to educational entities in a cost-savings model.
- Encourage partnerships whereby business protocols, cost determinations, product**s**, services, program delivery, and revenue sharing are clearly articulated.

Equity, Opportunity, Results

AESD will:

- Ensure high-quality customer service and quality control.
- Encourage entrepreneurial activity that promotes innovative products, services, and programs.
- Develop and implement reporting and accounting systems that create trust and encourage cooperation.
- Support collaboration among ESDs in the development of business/revenue plans that ensure equity, opportunity and results.
- Engage in periodic review of our “Guiding Business Principles,” making course adjustments and revisions when necessary.

2017-18

OSPI-AESD Network Professional Development Program Evaluation & Operations Manual

Version Submitted August 21, 2017

AESD ASSOCIATION OF EDUCATIONAL SERVICE DISTRICTS

Nine ESDs. One Network.
Supporting Washington's Schools and Communities.

Kauffman & Associates INCORPORATED

Kauffman & Associates, Inc.

Kauffman & Associates, Inc. (KAI), is a small, American Indian owned management firm dedicated to serving educators and youth throughout the state of Washington. At KAI, we do work that matters.

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Contents

Introduction 5
Theory of Action and Logic Model 6
Theory of Action 6
Logic Model 6
Evaluation Plan 7
Evaluation Plan 8
Evaluation Questions for Outputs 8
Evaluation Questions for Short-term Outcomes 8
Evaluation Questions for Longer-term Outcomes 9
Evaluation Instruments 9
I. Project Outputs – Delivery of PL and Support Services 9
II. Short-Term Outcomes – Effective Experiences, Enhanced Teacher Knowledge, Effective Support 10
III. Longer-Term Outcomes – Application to Practice and Leadership, Support for Instructional Improvement, Network Development 11
IV. Influence – Student Learning and Non-Academic Behaviors 12
Course Identification System 14
Steps to Implement a Common Course Identification System 14
Assigning Course Titles 14
Assigning Course Identifications 15
Building the Course Content 16
Maintenance 16
Timeline for Updating the Course Identification System 18
Course Identification System Next Steps 18
Evaluation Database 19
Database Design 19
System Overview 19
System Users 20
Data Entry Forms 23
Coordinator Intake Records 23

Fellows' Profile 26
Participant Satisfaction Surveys 26
Participants' Changes in Understanding & Application Retrospective Survey 28
Fellows' Action Plans 28
Course identification 30
Search 30
Reporting 30
Data Archive Plan 32
Data Transition Plan 33
Data Governance 33
Description of Data Governance Model 34
Data Quality Management 35
Data Quality Strategy 37
Calendar of Professional Development Activities 39
Appendix A: Theory of Action 40
Appendix B: Logic Model 41
Appendix C: Evaluation Plan 42
Appendix D: Evaluation Survey Instruments 51
Appendix D.1: Participants' Satisfaction with Professional Learning Survey 51
Appendix D.2: Interviews/Focus Group Guide with the Regional Coordinators 54
Appendix D.3: Participant Changes in Understanding and Application Retrospective Survey 55
Appendix D.4: Fellows' Interview/Focus Group Guide 60
Appendix D.5: Fellows' Assessment of School or District Level Support Survey 62
Appendix D.6: Interview/Focus Group with District/School Administrators 64
Appendix E. 2017-2018 Meetings and Calendar of Activities 66

Introduction

In February 2017, the Office of Superintendent of Public Instruction and the Washington Association of Educational Service Districts (OSPI-AESD) acted on the goal of developing an evaluation plan for AESD professional development activities. The evaluation plan looks at the impacts of changes in school staff, early educator practices, and student performance indicators for the nine educational service districts (ESDs) serving Washington state for the 2017-18 school year. The OSPI-AESD Network of Professional Development, under supervision of the Puget Sound ESD, contracted with Kauffman & Associates, Inc., (KAI) to conduct an external evaluation and develop this document, the *OSPI-AESD Network Professional Development Program Evaluation & Operations Manual.* KAI has a combined experience of 60 years of evaluating educational programs at the federal and state levels. The effort to develop this document included the state's key stakeholders, such as key leadership at OSPI and AESD, state Assistant Superintendents, Regional Coordinators, and Fellows across all nine ESDs.

During March 2017, KAI conducted four focus groups with the AESD Regional Coordinators in each of the content areas. The Regional Coordinators described their activities, ideal short- and long-term outcomes, and the types of information that would be useful for ongoing planning and evaluation. These discussions facilitated the development of an OSPI-AESD Theory of Action (TOA) and Logic Model. Two representatives from each content area met with KAI staff to review initial drafts of the TOA and Logic Model. A Fellows Evaluation Advisory Committee, consisting of a representative of each of the content areas, served as the final review panel for the proposed TOA and Logic Model. The committee also discussed strategies that could be used to collect evaluation data.

In April 2017, building on this input from Regional Coordinators and ESD leadership, KAI developed the evaluation plan and data gathering instruments. The evaluation plan and instruments align to meet the needs identified by Regional Coordinators. Concurrently, KAI developed a database design for use by ESDs to collect data. The database will streamline information and progress related to professional development activities for evaluation and planning, as identified in the evaluation plan. In early June 2017, KAI surveyed the Regional Coordinators to identify user needs, wants, and wishes about useful evaluation and data. KAI incorporated this feedback into the database design.

Through this process, the Puget Sound Educational Service District led the coordination and communication with Regional Coordinators and Assistant Superintendents across the ESDs. They have acted on behalf and for the benefit of OSPI, AESD and each ESD to ensure evaluation program planning quality and that this evaluation program plan meets the needs of the AESD.

This program evaluation and operations manual is the direct result of a collaborative effort to reflect the evaluation goals of OSPI-AESD. The document includes a theory of action, logic model, evaluation plan, evaluation instruments, professional development course numbering system, evaluation database design, and calendar of professional development activities for the

2017-18 school year. Implementation of the program evaluation will require continued collaboration across all the state OSPI-AESD stakeholders. This document outlines and describes the evaluation planning and system changes based on essential activities for the ESDs to fulfill their efforts to enhance educational opportunities for students across the state of Washington.

Theory of Action and Logic Model

Two models of AESD Professional Learning illustrate the program's TOA and the relationship between the resources, activities, outputs, and outcomes. The models explain the underlying theory of change in how the program will result in desired outcomes and what the logical flow of resources is to reach the desired outcomes. The models explain underlying assumptions that can be tested through evaluation.

Theory of Action

In evaluation practice, TOAs (or theories of change) model the assumptions underlying a program's design that will lead to desired outcomes. In a simple diagram, the OSPI-AESD Professional Development TOA (see Appendix A) illustrates how a statewide, coordinated professional learning program will result in an increased number of education personnel using pedagogical content best practices. The key assumption underlying the TOA is that value is added to professional learning in the four content areas of Early Learning, Science, Mathematics, and English Language Arts when the content experts at the ESDs form content specific professional learning communities. Each Coordinator for the content areas collaborate as a group with the OSPI to provide support within the content group, identify current research and best practices, and promote educational improvements system wide. Their coordination allows for an annual, statewide focus and professional learning activities that engage educators in a statewide leadership development program developing a cadre of Fellows and contributes to the development of learning networks. In addition, the Content Area Regional Coordinators deliver courses and sessions for educators and administrators. The desired short-term outcomes of the professional learning include changes in teaching or administrative practices, influence on colleagues' educational practice, and building networks for educational improvement. The long-term change in this theory is an increased number of educators use best practices, which then influence student learning.

Logic Model

Like a road map, a logic model shows the route traveled (or steps taken) to reach a certain destination. A detailed model indicates precisely how each activity will lead to desired changes. The OSPI-AESD Logic Model (see Appendix B) builds on the TOA by providing more descriptions of the activities and outcomes. The Logic Model illustrates the relationships in ASED's Professional Learning program by describing the major resources that support key activities

that result in outputs and short- and longer-term outcomes. The major resources for the AESD model are the Content Area Regional Coordinators in each of the ESDs and their partners, such as OSPI and others within the ESDs and AESD. These resources support two major sets of activities. The first is the development of professional learning teams within each content area. These teams are their own learning communities, and they work together to build statewide educational capacity by conducting training for educators and district administrators and by supporting the Fellows in the leadership development program.

Outputs are the tangible results of the Content Area Coordinator teams' work. Outputs include the creation of resources for educators within each of the content areas, courses and sessions offered across AESD, and the numbers of educators and administrators who participate in professional learning activities. Outcomes are the impacts of the professional learning, or the desired changes predicted by the TOA. Outcomes are more immediately realized after professional learning sessions or supportive services to school districts. In the Logic Model, the short-term outcomes are: (1) effective training, (2) the participants' view the professional learning as effectively delivered and useful, and (3) the demonstrated understanding of the content or skills taught in a course or session. The Logic Model includes these outcomes for educators' professional learning and for district support.

Longer-term outcomes are the changes that result from professional learning activities. Once educators report shorter-term outcomes, including mastery of the knowledge and skills learned, they should demonstrate the application of these in classrooms or within their spheres of influence. The longer-term outcomes include observable changes in instructional practice at the classroom level and support for educational improvements at the district level. Another longer-term outcome is an increased number of educational networks dedicated to instructional improvement through active communities of practice and collaboration. Although improved instructional practice influences student academic and non-academic behaviors, such as mastery of content, improved attendance, and engagement in learning, the Logic Model does not claim that professional learning, alone, can cause these outcomes. Many variables influence an individual student's leaning; however, AESD's investment in coordinated delivery of professional learning and support to districts is an important contributor to student engagement and subject mastery.

Evaluation Plan

The Evaluation Plan (see Appendix C) builds on the Logic Model. It describes the evaluation activities that address the outputs and outcomes and the data that is needed to conduct the evaluation. Much of the data is collected through survey instruments or focus groups. This section describes the draft evaluation and data collection instruments.

Evaluation Plan

Evaluation is guided by questions, the answers to which will allow OSPI, AESD and the Regional Coordinators and their constituents to know how well outputs and outcomes are being achieved. This section describes the draft evaluation questions, proposed data sources, and timeline for an evaluation of the OSPI-AESD professional learning services. The evaluation plan follows the TOA and Logic Model for professional learning. Data will be collected through new instruments, as well as through modifications of existing instruments. Each table in the plan corresponds to the outputs, short-term outcomes, the longer-term outcomes, and influences on student behavior, as described in the Logic Model. The tables list the key questions and a series of sub-questions or topics that further examine the information to be analyzed for the key evaluation question.

Evaluation Questions for Outputs

Two major questions evaluate outputs. The first is: What is the frequency of OSPI-ASED professional learning across the state, and what are the characteristics of the participants? The second question is: How have the Regional Coordinators offered support to district leadership? The sources of data to address these questions will be the Coordinator Intake Record and the Fellows Intake Record, which Regional Coordinators will complete prior to any course or session. These records show the numbers and types of courses or sessions offered and the demographic information of the participants.

The final key evaluation question related to outputs is: What does an examination of OSPI-AESD professional learning and district support reveal in terms of services rendered? Evaluators will augment intake information by conducting focus groups with the Regional Coordinators. Analysis of the focus groups and data in the intake records will identify the patterns in enrollment data and gaps in services to geographic areas or to specific populations, which will help assess statewide needs for professional learning opportunities.

Evaluation Questions for Short-term Outcomes

The first evaluation question examining short-term outcomes is: How satisfied are participants with OSPI-AESD professional learning and district support? The data source to address this question will be a participant satisfaction survey. This survey will be administered immediately after each course and session. The second question is: In what ways do participants demonstrate a deeper understanding of the knowledge, skills, and abilities aligned with the learning objectives of the OSPI-AESD course series or sessions? The third question is: What is the role of the OSPI-AESD professional learning in supporting district instructional leadership? All participants in professional learning sessions or courses will be given a Participant Changes in Understanding and Application Retrospective Survey. The survey will be administered after the course or session and again at a time yet to be determined. The survey will allow participants to assess changes in knowledge, skills, or behaviors. Fellows' growth will be measured by an instrument co-developed by KAI, Puget Sound Educational Service District, and

the Evaluation Advisory Committee in September 2017. Survey information will be augmented through focus groups with Fellows. Perceptions of district administrators will be gathered through focus groups to better understand their views on the value and role of OSPI-AESD evaluation for administrators. The final question focuses on the Fellows' perceptions of the efficacy of the leadership program. Data for this question will be collected through focus groups.

Evaluation Questions for Longer-term Outcomes

Three major questions address the longer-term outcomes. The first looks for evidence that participants in courses and sessions have applied their learning. The second examines the support given by school and district administrators to Fellows and other participants to use their knowledge and leadership skills. The final question explores sustainability of the changes in educational performance owing to OSPI-AESD professional learning activities. The Online Participant Changes in Understanding and Application Retrospective Survey (to be administered at two points in time each year) and Fellows' Assessment of School- or District-Level Support Survey (to be administered annually) will be used to collect data for these questions. The surveys will be complemented by data collected through interview and focus group guides for a representative sample of Fellows. The interviews and focus groups will be conducted annually. Data will be sourced from school- or district-level administrators for these questions.

The student learning component of the evaluation plan will be a pilot in the 2017-18 school year. This approach will ensure flexibility across content areas as well as adaptation to different contexts and communities. The Evaluation Advisory Group and other groups will provide input and feedback to find the best approaches and constructs to measure improved student learning. Whenever it is appropriate, student performance on Student Growth Proficiency Measures, Content Assessments, or Student Concept Maps, examples of student work, classroom videos, and student non-academic measures can be used to assess student learning.

Evaluation Instruments

This section describes each of the data gathering instruments listed in the Evaluation Plan. The title of each instrument is listed below followed by a description. Next, the role of the Regional Coordinator and Evaluator are described to assist in administration of the instruments. Survey instruments will be designed to be completed by Fellows and other professional learning participants online. The interview and focus group guides will be used by the external evaluators.

I. Project Outputs – Delivery of PL and Support Services

a) The **Participants' Satisfaction Survey:** This survey should be completed by every participant in a course or session conducted by a Regional Coordinator. The survey contains 12 items that are rated on a five-point scale, ranging from "very

poor" to "very good." A "does not apply" choice is included for those items that do not pertain to the course or session.

b) The **Interview/Focus Group Guide for Regional Coordinators** has seven questions, many with subsections, and is designed to learn more about Regional Coordinators' views regarding their work. It can be administered annually as a survey or in a focus group with Content Area Regional Coordinators.

REGIONAL COORDINATORS' ROLE

This **participant survey** will be sent to each participant to be completed at the end of a course or session. The survey is built into the database and sent automatically to any participant who was registered through the Coordinator Intake Record. Regional Coordinators should allow time at the end of the course or session to complete this survey or remind participants to complete it immediately afterwards.

EVALUATORS' ROLE

The **Interview/Focus Group Guide for Regional Coordinators** will be used by the OSPI-AESD external evaluators. The Regional Coordinators will meet as a group, or they will be interviewed separately by the evaluators.

II. Short-Term Outcomes – Effective Experiences, Enhanced Teacher Knowledge, Effective Support

a) The **Participant Changes in Understanding and Application Retrospective Survey** will be a key source of data for Fellows and other participants in all courses and sessions. The survey includes 40 items. Survey respondents will be asked to rate their degree of change using a 7-point scale where 1 equals "no change," 4 is "some change," and 7 is "significant change." It is a retrospective survey in which respondents assess their own changes in understanding and knowledge, as well as how much they applied their learning.

The survey has 16 items related to "Leadership of Self" where participants will rate their own changes resulting from the course or session. The "Leadership of Others" section contains 10 items relating to Fellows' (or other participants') work in building professional learning networks or improving the practice of their colleagues. The "Cultural Competency Leadership" section contains eight items covering the ways in which professional learning participants develop diversity and equity skills and approaches. The final section, Networking and Advocacy, includes six items related to leadership in advocating for system changes.

The survey is designed to be taken soon after a course or session and again some months later (the time of the second administration is yet to be determined.) A number of the items on this survey were adapted from the Center for Strengthening the Teaching Profession Working with Adult Learners survey.

b) The **Fellows' Interview/Focus Group Guide** has 15 questions designed to learn how the Fellows view the professional learning and leadership development they experienced during the year. These interviews or set of focus groups will be annual. A representative sample of Fellows will be interviewed. The sample will include a Fellow from each ESD and each of the content areas and a mix of grade-level teachers, coaches, and other educational personnel.

REGIONAL COORDINATORS' ROLE

The **Participant Changes in Understanding and Application Retrospective Survey** offers a menu of items and Regional Coordinators will need to choose the items on this survey that are appropriate for the specific course or session. It is to be taken after the professional learning session and again at a time yet to be determined. The survey will be tagged to the specific course or session so the same survey will be given again at the time to be determined.

EVALUATORS' ROLE

The external evaluators will be responsible for choosing the sample of Fellows to interview or invite to a focus group. The sample should change each year.

III. Longer-Term Outcomes – Application to Practice and Leadership, Support for Instructional Improvement, Network Development

a) **The Participant Changes in Understanding and Application Retrospective Survey** is used to address the questions in this section of the Evaluation Plan related to the application of professional learning.

b) **Fellows Assessment of School- or District-Level Support Survey** is to be administered to Fellows annually at the end of each year. This survey has 18 items on which Fellows use a 5-point rating scale from "very poor" to "very good." The items cover a number of areas in which school- or district-level administrators can support teacher-led leadership.

c) **District or School Administrators Interview/Focus Group Guide** includes seven questions to assess their experience with OSPI-AESD professional learning and the Fellows' Program. The guide is to be used with a sample of district or school administrators from each ESD. The sample should include school- and district-level leadership who have Fellows, as well as other educators participating in professional learning courses or sessions.

REGIONAL COORDINATORS' ROLE

Instructions for Regional Coordinators in the short-term section above apply to the use of the **participant changes** survey. It is designed to capture information to assess short-term and longer-term outcomes.

EVALUATORS' ROLE

External evaluators are responsible for the annual interviews or focus groups with school- and district-level administrators. They are to determine the number and types of administrators to be included in the purposeful sample with representation from each ESD and each content area.

IV. Influence – Student Learning and Non-Academic Behaviors

STUDENT LEARNING

The student learning component of the evaluation plan will be a pilot in the 2017-18 school year. This approach will ensure flexibility across content areas as well as adaptation to different contexts and communities. The Evaluation Advisory Group and other groups will provide input and feedback as we collaborate together to find the best approaches and constructs to measure improved student learning.

a) Student Growth Proficiency Measure (SGPM) is an annual, student-level measure available on the OSPI website. The SGPM will be a measure recorded for select students (to be determined) in a sample of teachers' (Fellows' and possibly non-Fellows') classrooms and compared annually to the following cohort's SPGMs.

b) Content assessments include assessments that measure Depth of Knowledge,[1] such as concept maps, etc. These instruments will be administered twice (to be determined) and compared on factors of interest (disaggregated by student demographics, proficiency, migrant, etc.)

c) In September, the Fellow will choose the criteria they will use to track changes in their student academic learning. They will also choose the measures to use to track improvements in their students' non-academic improvements such as social/emotional learning. These criteria will be identified in their Action Plan. The Coordinator (and potentially the external evaluator) will guide the Fellow in choosing valid and reliable ways to measure change in students' learning, paying particular attention to patterns or correlations in disaggregated measures. Measures will be repeated in January and May.

d) Fellows' Interviews and Focus Groups

REGIONAL COORDINATORS' ROLE

Based on Coordinator feedback, Regional Coordinators may be able to assist with periodic reviews of the Fellows' Action Plan. They may also assist in obtaining content assessment measures.

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[1] Webb, N. (2006). *Webb's Depth of Knowledge Guide.* Retrieved from http://www.aps.edu/re/documents/resources/Webbs_DOK_Guide.pdf on July 14, 2017.

EVALUATORS' ROLE

External evaluators are responsible for collaborating with school districts to obtain the Student Growth Proficiency Measure for a sample of students. They will also conduct the annual interviews or focus groups with a purposeful sample of Fellows from each ESD and content area.

NON-ACADEMIC MEASURES

a) Interviews and focus groups with Fellows.
b) Attendance and discipline measures will be recorded in a longitudinal method for at least 2 years.
c) The Measures of Adolescent Connectedness is a survey designed to measure social/emotional learning and adolescents' level of connectedness to family, school, teachers, friends and self.[2] The instrument will be administered b b bin a pre/post or time series.
d) Classroom observations will be conducted with a sample of Fellows using a rubric that measures social or emotional skills, such as engagement, collaboration, etc.

REGIONAL COORDINATORS' ROLE

Regional Coordinators may assist in choosing a purposeful sample of Fellows for the external evaluators to conduct a classroom observation. Regional Coordinators may assist when Fellows volunteer to create a video record to illustrate improvements in students' behavior, such as classroom engagement, collaboration, etc.

EVALUATORS' ROLE

External evaluators are responsible for conducting the annual interviews, focus groups, and observations with the Fellows. They will determine the number of Fellows in the purposeful sample with representation from each ESD and content area. Evaluators will coordinate with the school districts to obtain student attendance and discipline measures for specific students (to be determined), as well as facilitate the implementation of Measures of Adolescent Connectedness when needed.

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[2] Karcher, M. J. (2003). The Hemingway: Measure of Adolescent Connectedness – Validation Studies. *ERIC no. ED477969; ERIC/CASS no. CG032433*

Course Identification System

As part of the OSPI-AESD Professional Development Evaluation, KAI has undertaken the task of creating a common course identification system. The purpose of this system is to provide consistency on naming professional development content courses among the ESDs. Currently, the ESDs offer teachers and other educational professionals a wide variety of professional development and training opportunities. While the courses may contain similar content, the names of the courses and how they are described often vary. To that end, Washington State needs a common course identification system to help provide consistency and transferability of professional learning delivered across the nine ESDs.

The proposed common course identification system is for the Early Learning, Science, Mathematics, and English Language Arts professional development classes offered across Washington State from the nine ESDs. The goal for this numbering system is to develop the functionality to make informed decisions to better meet professional learning needs across the state. KAI sought input and expertise from Regional Coordinators who deliver the courses to better understand the course content. KAI launched a data collection of all ESD course offerings, descriptions, and goals and downloaded data from the current system to perform an extensive analysis. Additionally, KAI spoke with Joyce Hammer, Director of Transfer Education at the Washington State Board for Community and Technical Colleges. Dr. Hammer was instrumental in developing a common course identification system for the community and technical colleges. She shared insights and learnings based on this work. Grounded in this knowledge, KAI developed the proposed process to create a common course identification system.

Steps to Implement a Common Course Identification System

The sections below are organized into the major steps that need to be completed to implement a common course identification system. These steps include the assignment of a course title, number, and description; building the course content; and conducting ongoing maintenance activities that require new governance processes.

Assigning Course Titles

Currently, course titles are not standardized across the ESDs. A collaborative effort between the Regional Coordinators and Assistant Superintendent champions of each content area is required to develop a common course title for all professional development offerings. Unlike college or university courses, the professional development courses are rarely sequential, e.g. Introduction to Reading I, II, and III. Yet, some of the courses do share overarching goals. These overarching goals can serve as the initial guiding factor for sorting courses. It is recommended that courses with at least 80% overlap of content be considered common and unified under one course title.

Assigning Course Identifications

The course identification system first needs to distinguish among course content areas: Early Learning, Science, Mathematics, and English Language Arts. In developing a standardized course identification system, KAI recommends it be built on the rubric: course content area, category, topic, and goal. A course identification would look like: [ContentArea:Category:Topic:GoalNumber].

- The content areas will serve as the initial identifiers and sorters of the courses.
- The major categories of the courses, based upon a review of all the courses offered, are: Pedagogy, Content, Standards, and Leadership.
- Cross-cutting topics, those included in each of the four content areas, include: Content Literacy, Special Populations, Instructional Strategies, Assessment, and Content workshops (Table 1 provides a more complete list of cross cutting topics).
- Subject area goals of each content area is the final item of the rubric. For example, the English Language Arts goals are: (1) increase evidence-based practices, (2) increase educators' knowledge and align knowledge with student learning needs, and (3) increase leadership capacity of Fellows.

As noted above, there are four groups of content areas offered for professional development. The courses are: Math (M), Science (SCI), EnglishLanguage Arts (ELA), and Early Learning (EL). The categories are: Pedagogy (Ped), Content (Cont), Standards (Stan), and Leadership (Lead). A sample of topic areas are: Content Literacy (TContLit), Special Populations (TSPop), Instructional Strategies (TInstrucStrats), Assessment (TAssess), Content Workshops (TContWksp). Table I lists these content areas and categories.

Table 1. Proposed course identification by content area and category

Content Areas	Category
Math (M)	Pedagogy (Ped)
Science (SCI)	Content (Cont)
English Language Arts (ELA)	Standards (Stan)
Early Learning (EL)	Leadership (Lead)

A proposed numbering system would follow from the categories: Pedagogy 100-199; Content 200-299; Standards 300-399; and Leadership 400-499. This proposed numbering system ensures each category can grow and respond to ESD needs. The numbering system should end with an ampersand (&) so ESD personnel have flexibility to add or assign characters to the specific course identification system that are meaningful to the ESDs.

An example of a course number would be: M:Ped:100:TSPop:G1-Course name. Based upon existing content, a course number might be: M:Cont:200:TAssess:G2-OSPI Early Numeracy Series. Another example for an existing course would be: ELA: Stan: 101: Common Course State Standards. An example for Science would be: SCI: Cont: Science: G2. Following are the proposed course topics that cut across four content areas:

- Instructional Strategies (TInstrucStrats),
- Special Populations (TSPop),
- Fellows (TFell),
- Assessment (TAssess),
- Content Literacy (TContLit),
- Regional Leadership (TRLead),
- Open Educational Resources (TOEdRes), and
- Instructional Practices/Routines (TInstrucPracs/Routs).

Table 2 lists the proposed course identification by content area.

Table 2. Proposed course identification by content area

Math Goals	Science Goals	Early Learning Goals	ELA Goals
G1: Deepening mathematical content knowledge	G1: Expand existing knowledge	G1: Successfully transition to K-12 for all students	G1: Increase evidence-based literacy practices and implement ELA standards
G2: Shifting pedagogy and practice	G2: Make meaning of core ideas	G2: Create an early learning model for Fellows	G2: Increase educators' knowledge and align with students' learning needs
G3: Shifting dispositions in mathematics	G3: Participate and contribute to adult learning statewide	G3: Embed racial equity and family engagement	G3: Increase leadership capacity of Fellows

Building the Course Content

The Regional Coordinators and Assistant Superintendent content area champions shall come together to standardize the training content. To that end, they need to meet to jointly develop course content and agree upon common norms for the courses. Each common course taught by Regional Coordinators across the state must include at least 80% common content.

Maintenance

Table 3 lists the course identification system maintenance and description.

Table 3. Course identification system maintenance and description

Area	Description
Course identification Advisory Committee, role, purpose and mission	KAI recommends establishing a Course Identification Advisory Committee to manage and update the common course identification system. The committee should have a clear purpose "to manage, maintain, and update the common course identification system." The committee's mission should be "to ensure consistency in the content of professional development opportunities to the teachers and education professionals within the Washington state ESDs."
Committee membership and terms	Membership on the Course Identification Advisory Committee should be representative of the various stakeholders in AESD and the ESDs. It is suggested that the committee have five or six representatives. The ESDs may decide that some stakeholder roles must be regular members of the committee; the other stakeholder roles can cycle on and off the committee in alternative 2- or 3-year cycles. Members should be appointed for 2 to 3 years; they may be re-appointed for consecutive terms.
Committee support	Administrative support for the Course Identification Advisory Committee should be considered to ensure record keeping, track the process, provide meeting minutes, and follow up on assignments. The committee's duties, meetings (duration and frequency), and staffing must be developed and agreed upon. The committee should report to the AESD.
Committee process	The Course Identification Advisory Committee should set up a process to accept new ideas for professional development courses. Recommendations should be submitted to the committee in writing and the process should include completing forms that include the content area, category, topic, goals, and course content description.
Maintaining the Course Identification System	Establishing standards to maintain and track the course identification system will be important. It will create institutional memory and norms across the ESDs. The Course Identification Advisory Committee can be tasked with this responsibility. Once the process has been identified, it will be important to disseminate the information and make it available on the AESD website. Transparency will aid in the implementation, understanding, and institutionalization of the process.
Adding new course numbers	Managing and updating the common course identification system will be critical for the system's success. To this end, a clear system with a

Area	Description
	delineated process and steps are needed. A small group of stakeholders would facilitate the process and be responsible for tracking updates to the system.

Timeline for Updating the Course Identification System

The common course identification system should be updated annually. This timeline will allow time for submissions to come in and for the Course Identification Advisory Committee to go through its process. The Course Identification Advisory Committee will be comprised of members from ESDs. PSESD will act as the central point for collecting input from all nine ESDs. Table 4 outlines the timeline for updating the course identification system.

Table 4. Timeline for updating the course identification system during the 2017-18 school year

Activity	Timeline	Tasks
Collect the recommendations in a central system for the course identification system	June to December	PSESD will be the central point to collect ideas and requests from all nine ESDs to add courses to the common course system.
Review the recommendations for the course identification system	January to March	Review requests.
Share the results of review process	January to March	Make their determinations.
Recommend changes and updates	April and May	Recommend changes to the common course identification system.
Approve changes and updates	June	Approve updates to the course identification system
Implement changes and updates	July	Implement updates so they are in place in August when the school year begins again.

Course Identification System Next Steps

This section identifies areas for the ESDs and their teams to consider going forward.

1. Given the complexity of establishing a common course identification system, implementation will need to be phased in over time. The ESD should expect some early adopters, while others will need more time to accept the new system. A phased in approach over 3 or 4 years may be prudent;
2. The common course identification system will need an advocate. This role can be filled by someone from the Course Identification Advisory Committee or the AESD. This person will champion the new numbering system. The role can be a standing member on the committee or part of the implementation process plan.
3. The ESDs should consider how to define the Special Populations, Content Area Literacy, and Other categories and then integrate these categories into the course identification system.
4. The ESDs should sort the categories of the most basic courses to clearly differentiate the courses and better understand the breadth of courses currently being offered.
5. The ESD should seek descriptions for all courses to better understand their content and ensure better integration into the course identification system.
6. Once the course identification system is implemented, analytical work can be undertaken to better understand the impact of the courses, course enrollment, and course satisfaction. These analyses can inform the ESDs' decision making on which courses to continue, revise, expand, and discontinue.

Evaluation Database

Database Design

The online database management system will serve as a mechanism for AESD Regional Coordinators and Fellows to enter evaluation information about their professional development courses. The online system will be built using the latest web technologies, and it will be accessible from a wide range of devices with access to the internet. This document covers the input forms and processes for developing the OSPI-AESD database system. Details about the database in this document include: user management, data entry forms, reporting, and outputs.

System Overview

The system will be web based and accessible through modern desktop browsers, including Internet Explorer, Firefox, and Chrome. Users will also have the ability to take surveys and review reports using web browsers on mobile devices. The system will be developed using a variety of languages including HTML, CSS, Javascript, PhP, and MySQL. The database will be hosted at Amazon Web Services and maintained by KAI.

DATABASE SYSTEM

The database will be an online tool for users that will allow for data collection through multiple intake forms and surveys. A fully featured login system will require all users to access it with an

account provided to them by system administrators. Users' access to forms and surveys will be dependent on their levels of access. The database system has five different user levels and seven intake forms and surveys targeted at a wide audience of participants.

System Users

Users are divided into six types: OSPI-AESD leadership, ESD Superintendents and Assistant Superintendents, Regional Coordinators, Fellows, and System Administrators. Each user will be required to fill out a profile with the basic information included in Table 5. Table 6 lists the users by types and their need. Table 7 lists additional account profile form fields for Fellows.

Table 5. Required profile information for each database user

Field	Type	Notes	Required
Name	Text		Y
Title	Text	Optional	N
Email Address	Text		Y
ESD	Dropdown	Pre-defined list	Y
School District*	Dropdown	Pre-defined list	Y
Race/Ethnicity*	Dropdown	Pre-defined list	Y

**Fellows and participants only*

Table 6. Database user types and needs

User Types	User Needs
OSPI-AESD leadership	• Access to reports on Regional Coordinators and Fellows statewide • Access to reports on courses statewide
ESD Superintendents and ESD Assistant Superintendents	• Access to reports on Regional Coordinators and Fellows from their ESD • Add and edit Regional Coordinators and Fellows they oversee in the system and make changes to their accounts • Report on surveys and intake records filled out across their ESD
Regional Coordinators for each content area	• Access to report on surveys and intake records across all ESDs only in their content area • Are associated with their ESD only in their content area

User Types	User Needs
	• Oversee the Fellows under their ESD • Create new professional development sessions and conduct participant surveys • Generate reports on Fellows and participants from their professional learning sessions
Fellows	• Access to data they have entered • Are associated with their ESD and school • Can enter data into forms specified for Fellows • Must complete an online profile that includes the fields in Table V • Complete professional development participant surveys
System administrators	• Have full control over the database system • Create new users • Update user accounts • Recover passwords for users • Generate reports across all information

Table 7. Additional account profile form fields for Fellows

Field	Type	Notes	Required
ESD	Automatically entered when a school is selected	Pre-defined list	Y
School	Dropdown	Pre-defined list	Y
What grade level(s) have you worked with?	Checkbox	Pre-defined list	Y
What is your role?	Checkbox	Pre-defined list	Y
National Board Certification	Checkbox	Pre-defined list	Y
Start date as a Fellow	Date picker		Y
Content area	Dropdown	Pre-defined list	Y
Race and Ethnicity	Dropdown	Pre-defined list	Y

Field	Type	Notes	Required
Number of years teaching	Checkbox	Pre-defined list	Y

USER MANAGEMENT

New users can be created by System Administrators and are entered by going to the user management section of the website. A list of current users and roles will be available to system administrators. When a new user is created, an invitation will be sent to the user asking them to fill out a new user form with the fields required for their account type.

USER ACCOUNT INFORMATION

All user accounts will be required to fill out the basic account information listed below. New users will be sent an invitation email by the system administrator asking them to fill out a new user profile. New accounts will be pre-filled out with name, account type, and email address before the user sets up their account. Table 8 lists the basic user account information form fields.

Table 8. Basic user account information form fields

Field	Type	Notes	Required
User ID	Not applicable (NA)	Automatic	Y
Account type	NA	Automatic	Y
Name	Text		Y
Email address	Text	Automatic	Y
Password	Text		Y

USER REGISTRATION

New users will be sent an email from the system administrator or administrator with instructions and a link for registering. Users will fill out information according to the account type they have been assigned. Once the user has registered, they are automatically approved with access to the system.

Login System

A login page will be the starting point for all users. Users will be identified by their email address and password that they select. Once a user is logged in, they will be taken directly to a dashboard screen based on their permission level. If a user cannot remember their password, a password recovery system will be available. Users will submit their email addresses to the recovery system, and a recover password email will be sent with instructions on how to reset

their password. Invalid login attempts will be logged in the system. Users will have up to five attempts at logging into the system before they are denied access for 1 hour. System administrators can remove access denials for users by request.

Data Entry Forms

Users will be entering a variety of intake forms and surveys throughout the year. Intake forms can be entered at any time through the database; however, Participant Satisfaction Surveys expire 24 hours after the professional learning session. Table 9 lists all input forms and surveys that can be entered.

Table 9. List of input forms

Form	User	Frequency/Timeline
Coordinator Intake Record	Regional Coordinators	• Entered before professional learning session • Completed after professional learning session
Fellows Profile	Fellows	• Entered when registering for an account with the system
Participant Satisfaction Survey	Participants	• Completed within 24 hours after professional learning session
Participant's Changes in Understanding & Application Retrospective Survey	Participants	• Completed after professional learning session • Completed 3–9 months after professional learning session • Annual survey completed at end of year
Fellows Action Plan	Fellows	• Updated 3 times a year

Coordinator Intake Records

Regional Coordinators generate new intake records (see Figure 1) through the database system and include the fields listed in Table 10. Intake records start the process of recording a new professional development session. If a professional development opportunity has multiple sessions, users can enter additional sessions beyond the first session created automatically by the system, with field outlined in Table 11. Every time a new session for a professional development opportunity is created, the system will generate a new participant survey. Regional Coordinators will have access to unique URLs (links) to the survey in the database system, which they can share with their participants after the professional development

session. All participant surveys will have an expiration date of 24 hours after a session has concluded.

Figure 1. Intake record flow

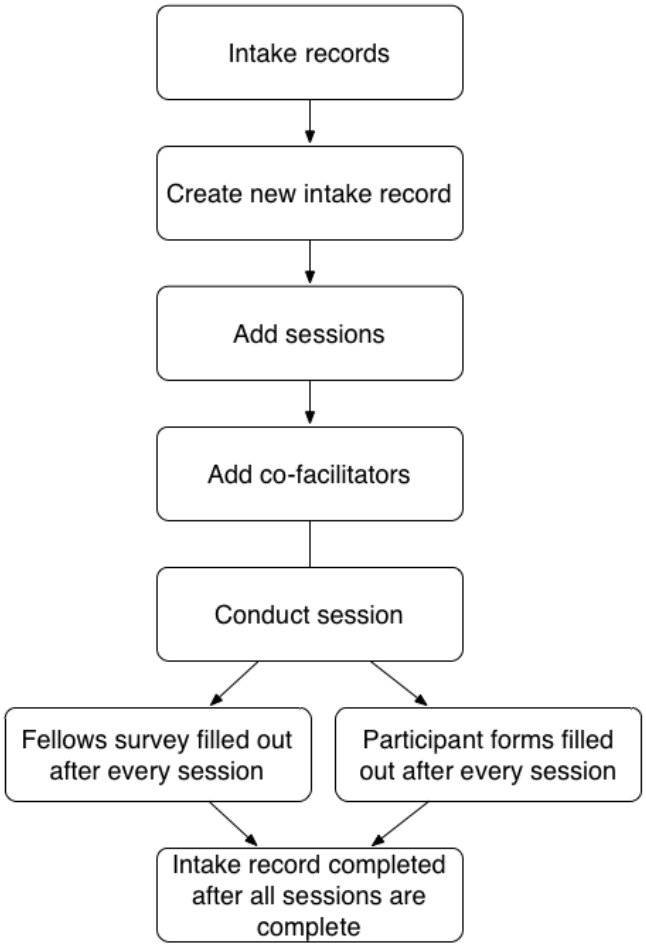


Table 10. Intake record form fields

Field	Type	Notes	Required
Regional Coordinator	NA	Automatic based on user making the entry	Y
Number of sessions	Numeric		Y

Field	Type	Notes	Required
Goal of the professional development	Checkbox	Pre-defined list	Y
Content area	Checkbox	Pre-defined list	Y
Topic area	Checkbox	Pre-defined list	Y
Course title	Text		Y
Course number	Search box	Pre-defined list from common course identification system	Y
School	Dropdown	Pre-defined list	Y

Table 11. Session form fields

Field	Type	Notes	Required
Intake record ID	Numeric	Automatic	Y
Delivery method	Dropdown	Pre-defined list	Y
Number of professional development hours	Numeric		Y
Total number of participants	Numeric		Y
Number of participants by grade level and role	Table	A table of data to be filled out	Y
Comments	Text area		N
Date of session	Date picker		Y
Session number in series	Numeric		Y
Professional development topic	Dropdown	Pre-defined list	Y
Notes	Text	User defined	N
Video upload	Upload box		N

Fellows' Profile

Fellows are required to fill out a profile with all information from Table 12. The profile information will be filled out at the beginning of their Fellowship and can be updated at any time.

Table 12. Fellows' Intake Record form fields

Field	Type	Notes	Required
Name	Text input		Y
ESD	Dropdown		Y
School	Dropdown	Based on the ESD they select	Y
Content area	Checkbox	Pre-defined list	Y
Race/ethnicity	Dropdown	Pre-defined list	N
Number of years teaching	Numeric		Y

Participant Satisfaction Surveys

Participant satisfaction surveys are distributed after a professional development session to all participants (non-Fellows, teaching staff, and instructional leadership). Once a session is created for an intake record, a new participant survey is automatically generated. Participant surveys will collect the same basic information, and Regional Coordinators will be able to add custom questions to the survey. A new URL will be generated for every participant survey that will be unique to the session it is associated with. Regional Coordinators will deliver the survey URL to participants at the end of each professional development session, and participants will have 24 hours to complete the online survey. Regional Coordinators will have the option to extend the time limit by accessing the professional development session in the database system and editing the survey information. Table 13 outlines the participant survey form fields.

Table 13. Participant survey form fields

Field	Type	Notes	Required
Session ID	NA	Automatically generated	Y
Date entered	NA	Automatically generated	Y
Name	Text		N
ESD	Dropdown	Pre-defined list	Y

Field	Type	Notes	Required
District	Dropdown	Pre-defined list	Y
School	Dropdown	Pre-defined list	Y
Grade level(s) currently teaching/current role	Checkbox	Pre-defined list	Y
Years working as a teacher	Numeric	Pre-defined checkbox	Y
Subject(s) currently teaching	Checkbox	Pre-defined list	N
How many professional development hours do you usually complete annually?	Numeric	Pre-defined ranges	Y
I have broadened/deepened my existing knowledge of __.	Matrix of options	Likert scale	N
Participating in this professional development learning experience prepared me with the necessary skills to try something new in my professional practice.	Radio button	Likert scale	N
What new things will you try in your professional practice in the coming months as a result of this professional learning?	Text area		N
As an instructional coach/TOSA, how did the professional learning experience help you fulfill that role?	Text area		N
My greatest learning related to the content of this professional learning experience was __.	Text area		N
What suggestions do you have to make this professional development better?	Text area		N

Field	Type	Notes	Required
Do you have individual feedback for one or more of the facilitators?	Text area		N
Comments	Text area		N
If you would like a Coordinator to contact you for additional follow-up information, please provide your email address.	Text area		N
Custom survey questions 1–10	Text area		N

Participants' Changes in Understanding & Application Retrospective Survey

Participants (Fellows and non-Fellows where appropriate) will fill out this survey and base their answers on how they believe they have changed as a result of their engagement in professional learning sessions. Question topics are dependent upon the focus of the professional learning; however, some topics include:

- Leadership of self
  - Content and standards
  - Instructional strategies (pedagogy)
  - Formative assessment
- Leadership of others
  - Facilitating learning of colleagues
  - Facilitating colleagues' use of data
- Cultural competency leadership
  - Communication skills
  - Culturally competent learning strategies
- Networking and advocacy
  - Professional learning communities
  - Delivering messages to stakeholders

Fellows' Action Plans

Fellows' Action Plans follow an ongoing and annual process. Action plans are broken into three sections.

- Section A is filled out at the beginning of the school year and includes goals for the year (Table 14).
- Section B includes self-reflection and is filled out on a regular basis (Table 15).
- Section C includes the Fellows' self-reflection tool (Table 16).

Table 14. Section A: Initial plan form fields

Field	Type	Notes	Required
Fellow ID	NA	Automatic	Y
Year	Numeric		Y
Where are we now?	Text area		Y
Where do we want to be?	Text area		Y
What steps can we take?	Text area		Y

Table 15. Section B: Ongoing reflections & plans form fields

Field	Type	Notes	Required
Fellow ID	NA	Automatic	Y
Year	Numeric		Y
Action items and strategies	Text area		Y
Timeline	Text area		Y
Responsibilities	Text area		Y
Equity	Text area		Y
Resources	Text area		Y
How will we monitor and evaluate?	Text area		Y

Table 16. Section C: Fellows' self-reflection tool question areas

Field	Type	Notes	Required
Fellow ID	NA	Automatic	Y
Year	Numeric		Y

Field	Type	Notes	Required
Working with my colleagues	Scale		Y
Collaborative work	Scale		Y
Communication	Scale		Y
Knowledge of content and pedagogy	Scale		Y
Systems thinking	Scale		Y

Course identification

The common course identification system is for the Early Learning, Science, Mathematics, and English Language Arts professional development classes offered from the nine ESDs across Washington state. The goal for this numbering system is to develop the functionality to make informed decisions to better meet professional learning needs across the state. The numbering system would follow the following categories: Pedagogy 100-199; Content 200-299; Standards 300-399; and Leadership 400-499. This numbering system ensures each category can grow and respond to ESD needs. The numbering system should end with an ampersand (&) to allow ESD personnel the flexibility of adding or assigning characters to the specific course identification system that is meaningful to the ESDs. An example of a course number would be: M:Ped:100-199:TSPop:G1-Course name&. Based upon existing content a course number might be: M:Cont:200-299:TAssess:G2-OSPI Early Numeracy Series&.

Search

Users will have access to a search feature that will search across ESDs, content areas, courses, school districts, and schools. Searches will be restricted based on the users' permission levels.

Reporting

In the reporting section, users will be able to see a variety of data that has been entered in the system. A menu will be available for users to generate specific, predefined queries. Once a query has been run, the user will have the option to filter the results based on specific criteria. Queries will be restricted based on the user's permission level. Table 17 outlines reporting filters, queries, and outputs. Table 18 lists the types of queries capable within the database.

Table 17. Reporting filters, queries, and outputs

Filters	Queries	Output
The following filters will be available on reports and	Users will have access to reports in the database	The database system will include a variety of outputs

Filters	Queries	Output
subjects, as they are applicable: • Date range • ESD • District • School • Topic • Course • Grade-level band • Content area • Participant demographics	system, which will consist of a predefined list of queries. Each query will be filterable using the predefined filters listed in the previous column.	made available to the users. Outputs will include: • Charts and graphs • Tabular data (to be used for end of year reports and reports to legislature) • Microsoft Excel

Table 18. Types of queries capable within the database

Number	Database Queries
Query 1	What is the frequency of OSPI-AESD professional learning across the state, and what are the characteristics of the participants? • How many participants attended by: ESD, Fellow vs. other participants, content area, topic, grade level, category, type of session (series, stand-alone)? • How many Fellows attended sessions by: ESD, content area, major topic, grade level, district role?
Query 2	How have the Regional Coordinators offered support to district leadership? • What was the focus of the support? • How many sessions were held? • How many district staff attended by ESD, job role?
Query 3	How satisfied are participants with the OSPI-AESD professional learning and district support sessions? • How do participants rate the logistics and formats of the sessions?
Query 4	In what ways do participants demonstrate a deeper understanding of the knowledge, skills, and abilities aligned to the learning objectives of the OSPI-AESD professional learning series of sessions?

Number	Database Queries
	• Excluding Fellows, how do professional learning participants assess their own changes in knowledge, skills, and abilities based on the targeted learning objectives of the professional learning series? • How do Fellows assess their own changes in knowledge, skills, and understanding based on the targeted learning objectives of the Fellows' sessions? • How do Fellows assess their leadership development?
Query 5	What are Fellows' perceptions of the efficacy of the Fellows' Leadership Program? • How well do aspects of the program support Fellows' learning needs? • In what ways have the leadership trainings improved Fellows' leadership of self, others, and the extended community?

Data Archive Plan

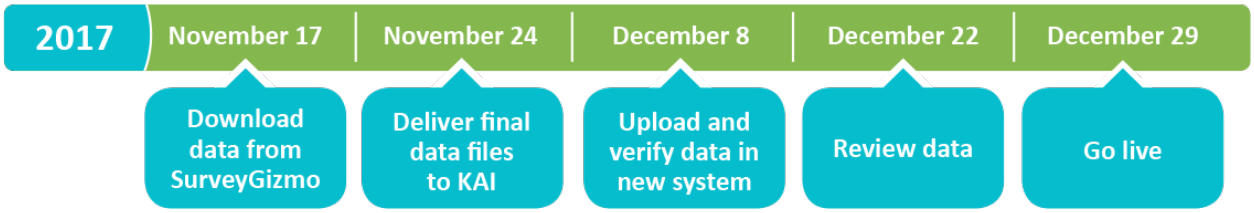
All data collected in the fall of 2017 will be downloaded from SurveyGizmo and archived in the new evaluation system. The archived data will be made available to the nine ESDs for download only, and it will not be available to be updated once it is in the new system. Raw data files preceding fall 2017 will be downloaded from SurveyGizmo, categorized, catalogued, and uploaded to the new evaluation system. The process for archiving the data in SurveyGizmo will begin in November once the new evaluation system has been made available to the Regional Coordinators. Table 19 lists the archive plan roles, tasks, and task leads. Figure 2 shows the timeline of activities related to the data archive plan.

Table 19. Archive plan roles, tasks, and task leads

Roles	Task	Task Lead
AESD will provide a technical support person for downloading and organizing the data from SurveyGizmo. KAI will provide technical support staff to build the evaluation system that will house the downloaded data.	Download data from SurveyGizmo.	AESD technical support
	Organize data based on the ESD.	AESD technical support
	Upload data to the new system.	KAI technical support
	Download Fellows' Action Plans from SurveyGizmo.	KAI technical support
	Upload Fellows' Action Plans to the new system.	KAI technical support

Roles	Task	Task Lead
	Review Action Plan data in the new system.	Fellows

Figure 2. Targets for timeline of activities for the data archive plan



Data Transition Plan

Transitioning from SurveyGizmo to the new evaluation system will require a temporary collection system. The AESD technical support person will take the new instruments developed by KAI and create temporary forms in SurveyGizmo to collect information. Once the new evaluation system is online and available, all data will be moved from SurveyGizmo and into the new system. Table 20 outlines the data transition plan's tasks required to complete the transition, task leads, and due dates. Rollout activities will be facilitated by PSESD acting as a central communication point to the nine EDS.

Table 20. Data transition plan tasks, task leads, and due dates

Task	Task Lead	Due Date
Deliver new instruments to AESD technical support staff.	KAI	August 4
Develop temporary collection forms in SurveyGizmo.	AESD technical support	August 18
Review, test, and approve temporary collection forms.	KAI	August 25
Launch new temporary collection forms.	KAI and AESD technical support	September 1

Data Governance

The OSPI-AESD database system is designed to collect and manage data; therefore, it includes a plan for ensuring accuracy of the data to achieve the system's goals. Data governance is not a

one-size-fits-all endeavor, and it requires a tailored approach.[3] The purpose of this section is to outline the customized policies and procedures for data governance of the new statewide OSPI-AESD Professional Development Online System. Developing a data governance strategy from the beginning ensures a higher quality of data going forward.

Data governance is the process through which roles are defined and decision-making and activities related to governance are assigned to those roles. Data governance includes determining which personnel in an organization are responsible for determining standards for data quality.[4]

The online database management system will serve as a mechanism for Regional Coordinators and Fellows to enter data in support of the evaluation plan. The system will also have the ability to report summarized data at the ESD level and statewide level. The system will consist of five types of input records: Coordinator and Fellow intake records, participant surveys, Fellows' surveys, and Fellow Action Plans.

Description of Data Governance Model

The proposed data governance model for the new statewide OSPI-AESD Professional Development Online System is composed of four key components: data quality management, a data quality strategy, data management processes and data architecture. Data quality management includes actual daily decision-making. Therefore, this section describes the identified stakeholders and the necessary roles and responsibilities needed to carry out daily data decisions for the OSPI-AESD system. This section of the report covers data quality management and strategy. Processes for entering and managing existing data need to be defined and controlled. The section on data quality management defines processes and procedures for entering and managing data, conducting a data audit[5], and conducting an improvement-defect analysis[6] and suggests prevention tools. A data quality strategy is necessary to manage data quality and ensure that data quality remains aligned with project goals. The data quality strategy section describes a strategic approach to different components of data quality management, including data entry and validation and data approval and reports.

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[3] Weber, K., Otto, B., & Osterle, H. (2009). One Size Does Not Fit All – A Contingency Approach to Data Governance. *ACM Journal of Data and Information Quality*, 1(1), 1-27.

[4] Khatri, V. & Brown, C. (2010). Designing Data Governance. *Communications of the ACM*, 53 (1), 148-152.

[5] A data audit is the review of information entered into a database system to ensure data integrity.

[6] Improvement-defect analysis looks for possibilities for improvements or defects within the system that may exist.

Included in this strategy is data architecture, which "encompasses creating a business data repository and defining the information systems in line with data quality requirements."[7]

Data Quality Management

STAKEHOLDERS

Table 21 lists identified stakeholders and their roles for this data management system.

Table 21. Stakeholders and their roles for data management

Stakeholder	Role
Fellows	Fellows will be classified as data users with the ability to enter data regarding their surveys and Action Plans. Fellows will be able to run reports on data they entered into the system and data entered by their participants. Fellows' surveys and Action Plans can be updated any time during the year and submitted for review when needed.
Regional Coordinators	Regional Coordinators will be classified as data users, and they will have access to the data they enter into the system. They will have read-only access to the surveys entered by their participants. Regional Coordinators will have the ability to add questions to standard surveys, but they cannot remove questions that are required in standard surveys. Regional Coordinators will be able to run reports specific to their ESD and content area.
Participants	Participants will be classified as anonymous data users and will have the ability to complete surveys submitted by their Regional Coordinators or Fellows. Participants will not have reporting access and or the ability to edit their survey data once it has been submitted.
ESD Assistant Superintendents	ESD Assistant Superintendents will be classified as data reporters, and they will have access to reports on data entered into the system regarding their specific ESDs. Administrators will not have the ability to manipulate data, but they may contact the data quality lead for questions or updates.
AESD	AESD will have the ability to make decisions on what data is collected and conduct final reports. Individuals that make these determinations will be selected by ESD Superintendents. They will make future decisions based on the data collected in the system and are considered a top priority.

[7] Wende, K. (2007). *A Model for Data Governance-Organising Accountabilities for Data Quality Management*. In: 18th Australasian Conference on Information Systems, Toowoomba, Australia.

Stakeholder	Role
	AESD will have full ownership of the data and decision rights to all data collected in the online data management system. They will also have full access to data reports statewide across ESDs.
OSPI	OSPI will provide expert counsel and strategic direction for the OSPI-AESD database, processes, and procedures. They will have the ability to run statewide reports summarizing participation in professional development offerings, participant satisfaction, changes in Fellows and participants, and student-level data reports.
KAI project staff	Two KAI project staff will fill the roles of data architect and data quality lead. Project staff do not have any ownership of the data, and they will provide feedback on the data collected with some decision rights, based on the collected data.

ROLES AND RESPONSIBILITIES

Table 22 outlines the identified roles and responsibilities to carry out daily data decisions for the OSPI-AESD system. Currently, only the roles are defined. Through collaborative discussions, OSPI, AESD and PSESD will need to further define the membership of these roles.

Table 22. Daily data system roles and responsibilities

Role	Responsibility
Anonymous Data User	This user type will have write-only access to the data. They will complete surveys in the system anonymously with no tracking information. Anonymous users will not have the ability to return to their surveys to make updates, and they have no reporting capabilities.
Data reporter	This user type will have read-only access to data entered into the system. They have the ability to run reports on the data they are assigned to.
Data user	This user type has a login credential to track the data they enter. All data entered by this user can be edited by the user at any time unless otherwise specified. They will only have reporting capabilities on their own data and the data entered by anonymous users who enter data pertaining to surveys they have created.
Data architect	This user type will be integral in designing and developing the data structures used in the database management system. This person has full access to the online system, as well as the database backend. The data

Role	Responsibility
	architect will have access to monthly analytics reports and will review the analytics reports with the data quality lead.
Data quality lead	This user type will be responsible for checking the database management system for data integrity and validity. They will have the ability see all data entered into the system. The data quality lead will serve as support for issues regarding the website, reporting, and data issues. The data quality lead will review monthly analytics, work with the data architect to identify potential data integrity issues within the system, and report any issues to OSPI-AESD.

ACCESS TO DATA

All data will be stored on servers owned by KAI. The only users with access to the raw data will be the data architects. All requests to manipulate the raw data must be submitted to the data quality lead and approved before the data architect updates the data. A back-up of the manipulated data will be stored on the KAI server.

Data Quality Strategy

DATA ENTRY AND VALIDATION

Users will enter data into the system using various online forms. These forms will have limited abilities to validate data based on pre-defined parameters. In the event of invalid data entry, users will be notified of the errors and will not have the ability to proceed until the data errors are corrected. Data entry that requires approval will be reviewed, and, if any errors are discovered, the reviewer will notify the user of the error and reject the data entry. Validation of data may also occur during regularly scheduled audits and be reported when discovered.

DATA REPORTS

Information on data reporting is listed in Table 23.

Table 23. Data approval and reports

Report	Process
Reports	Users will have data reporting capabilities commensurate with their job role. Capabilities are dispersed and assigned at the state-level and ESD-level, by specific content area.

Report	Process
Standard data entry workflow	Users will enter data through online forms in the system. The data will be entered in the database and made available to the users to update at any time. Data can be reviewed by administrators and updated by request.
Data backup	All data stored in the online system will be included in the nightly server backups. Data is backed up once per night.
Data restore	In the event of data corruption, data loss, or invalid data in the system, the data architect will be notified of such events. If it is determined that data restoration is necessary, the data architect will work with the data quality lead on identifying the data that needs to be restored and perform the necessary tasks to restore and validate the data.
Threat reporting	For all issues relating to data integrity, a full process will be identified and documented. The process will consist of an online form that will be developed for users to submit issues. All issues will be reviewed by the data quality lead and dispersed to the appropriate person for action.
Analytics	The data architect and data quality lead will review the database analytics monthly. Analytics will include database usage, traffic to the website, and data integrity. All issues will be reviewed by the database architect and data quality lead and reported to OSPI-AESD for review.

DATA MANAGEMENT PROCESSES

Information on the data management process is listed in Table 24.

Table 24. Data management processes

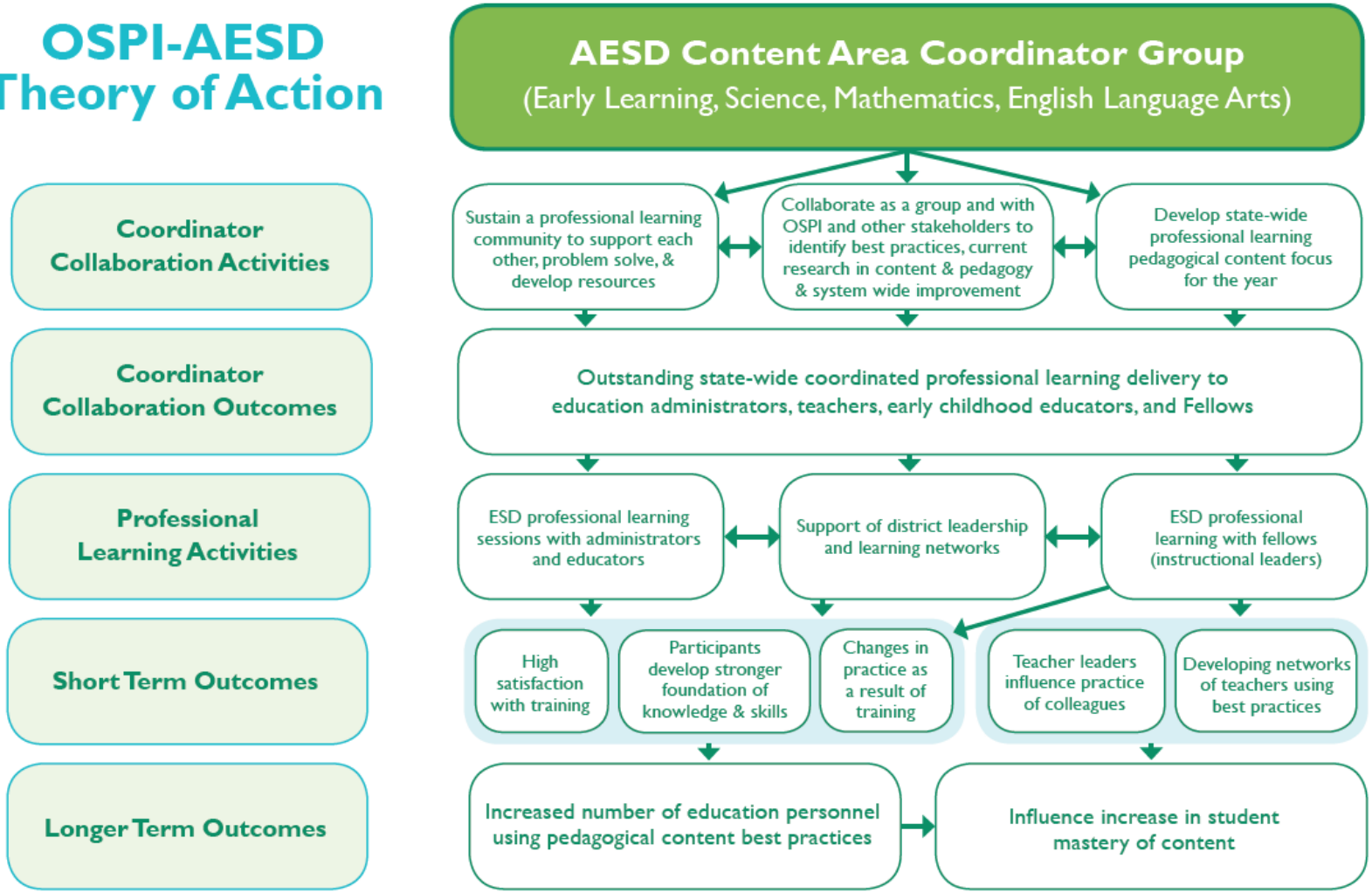
Step	Process
Processes & procedures	Data will be entered using an online system that will be custom developed by the project staff. Participant surveys need to be entered within 24 hours of the completion of the professional learning session(s). Data can be manipulated by specific users. Project staff will use data tools to migrate data that was collected in the old system into the new system.
Data audit	KAI staff will work with OSPI-AESD and other ESD staff on establishing a regular schedule of data audits. Audits should include a full review of the data entered by users, and any discrepancies will be reported to the appropriate parties.

Step	Process
Improvement-defect analysis & prevention tools	Any requests for improvement of the system will be submitted through the data quality lead. A log will be kept of the improvement requests, which will be reviewed regularly. The data quality lead and data architect will submit improvement requests to OSPI-AESD for review.
Data architecture	For a full description of the database architecture, please see the Database Design section.

Calendar of Professional Development Activities

Appendix E provides a full draft calendar of professional development activities for the 2017-18 school year. The calendar is grouped by columns that represent the different Coordinator and Fellow professional development activities for each content area. Monthly professional development activities are reflected in the rows, each row represents key content areas and key stakeholder meetings. The calendar will also include a column to reflect regular OSPI-AESD data collection tasks.

Appendix A: Theory of Action



Appendix B: Logic Model

OSPI-AESD Logic Model for Professional Learning

Resources

Content area coordinator teams
- Science
- Mathematics
- English language arts
- Early learning

Statewide partners
- OSPI
- ESDs
- AESD

Activities

Develop content area professional learning team
- Coordinator support
- Problem solve
- Develop resources
- Action research in content area and pedagogy
- Develop annual state-wide professional learning pedagogical content focus

Build statewide capacity
- Conduct training in ESD for educational personnel
- Train and coordinate fellows program (teacher and/instructional leaders) in each content area
- Work with district leadership and learning networks

Project outputs

Quality resources
Professional learning resources for content areas

Professional learning sessions within content areas
- State-wide content area focus

Educators attending professional learning sessions
- Instructional leadership development (i.e. coaches, teachers, early childhood educators)
- School and district leadership Development (i.e., principals, district leaders, administrators)

Fellows' sessions
- Increasing number and quality of instructional leaders and facilitators
- Networks of teachers/educators

District-wide and central office sessions
- District & central office leadership sessions
- Training in system change

Short term outcomes

Effective learning experiences
- Participants engaged in learning sessions
- Participants highly satisfied with session content, structure, etc.

Enhanced teacher professional knowledge
Educators develop a strong foundation of usable knowledge and skills by demonstrating growth in the following areas:
- deep content knowledge in area of assignment
- know how students learn
- know relevant standards
- know how to use curriculum materials to provide effective learning experiences
- know content specific pedagogy
- understand assessment practices for formative and summative purposes
- leadership and network building

Effective support to district leadership
- Engaged participants
- Participants satisfied with support
- Participants use information and suggestions

Participants apply learning
- Demonstrated changes in instructional practice
- Demonstrated improvements in support for changes in instructional practice

Long term outcomes

Increased school-based and district professional learning networks
- School and district leaders implement policies and practices that support research-based instruction
- Professional learning networks create more collaborative cultures that show increased measures in shared responsibility for student learning

Increased student mastery of content
- Improved student performance on assessments related to content area
- Increased percentage of students who meet or exceed the standards on state assessments

Increased student mastery non-academic measures
- Social emotional learning
- Engagement
- Collaboration
- Attendance

Appendix C: Evaluation Plan

The following are evaluation questions, proposed data sources, and timeline for an evaluation of the OSPI-AESD professional learning services. The evaluation plan follows the logic model for professional learning offered by the Regional Coordinators across the state. This encompasses both the OSPI-AESD Fellows Program and trainings delivered by Regional Coordinators. Data will be collected using new instruments (Appendix D) as well as modifications of existing instruments. The measurement of student academic and non-academic measures will be a pilot study in 2017-18 to maintain flexibility to adjust the plan as needed.

I. Project Outputs – Delivery of Professional Learning and Support Services		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
1. What is the frequency of OSPI-AESD Professional Learning across the state and what are the characteristics of the participants?		
a) Excluding Fellows, how many participants attended trainings (disaggregated when available) by: • Education Service District (ESD) • Fellows vs. other participants • Content area (Early Learning, Science, Mathematics, English Language Arts) • Category (pedagogy, content, etc.) • Grade level or district role? • Type of session (series, stand-alone)	Coordinator Intake Record	• Intake record entered before professional learning session; frequency analysis of trainings • On demand queries in OSPI-AESD database
b) How many Fellows attended sessions by:	Coordinator Intake Record	• Intake record entered before professional

I. Project Outputs – Delivery of Professional Learning and Support Services		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
• ESD • Content area (Early learning, Science, Mathematics, English Language Arts) • Major Topic (pedagogy, content, etc.) • Grade level • District role	Fellow Intake Record	learning session; frequency analysis • On demand queries in OSPI-AESD database
2. How have the Regional Coordinators offered support to district leadership?		
a) What was the focus of the support (state standards, state assessments, etc.) b) How many sessions were held? a) How many district staff attended by ESD, job role, etc.?	Coordinator Intake Record	• Frequency analysis of trainings • On demand queries in OSPI-AESD database
3. What does an examination of OSPI-AESD professional learning and district support activities reveal in terms of services delivered?		
a) What have we learned about needs for services across the state? b) Where are there gaps in services? c) What patterns are observed?	Review of information entered in the OSPI-AESD database. Interviews/Focus Groups with Regional Coordinators	• Frequency analysis • Longitudinal analysis • Annual Interview/Focus Group; Qualitative Narrative Analysis

II. Short-term Outcomes – Effective Experiences, Enhanced Teacher Knowledge, Effective Support		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
1. How satisfied are participants with the OSPI-AESD PL and district support sessions?		
a) How do participants rate the logistics and format of the sessions (presentation, organization, content/activities, resources, etc.)?	Participant Satisfaction Survey	• Survey administered after professional learning; Frequency analysis, Qualitative Narrative Analysis for open-ended items
2. In what ways do participants demonstrate a deeper understanding of the knowledge, skills and abilities aligned to the learning objectives of the OSPI-AESD PL series of sessions?		
a) Excluding Fellows, how do PL participants assess their own changes in knowledge, skills and abilities based on the targeted learning objectives of PL series? (Examples of targeted areas include content, pedagogy, equity, standards, assessment, use of curriculum materials, and leadership.)	Participants' Changes in Understanding & Application Retrospective Survey	• Survey administered after professional learning; Qualitative Narrative Analysis for open-ended items • On demand queries in OSPI-AESD database
b) How do Fellows assess their own changes in knowledge, skills and understanding based on the targeted learning objectives of the Fellows' sessions? (examples of targeted areas include leadership, content, pedagogy, equity, assessment, use of curriculum materials and network development)	Participants' Changes in Understanding & Application Retrospective Survey	Survey administered Time 1 after professional learning and Time 2 To Be Determined; Qualitative Narrative Analysis • Self-assessment and reflection bi-annually; comparison of baseline Year 1-Time 1) to post (Year 1-Time 2) using statistical test of significance, then bi-

II. Short-term Outcomes – Effective Experiences, Enhanced Teacher Knowledge, Effective Support		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
c) How do Fellows assess their leadership development?	Interviews/Focus Groups with sample of Fellows	annual review each year on criteria of interest • Annual Interview/Focus Group; Qualitative Narrative Analysis
3. What is the role of OSPI-AESD professional learning in supporting district instructional leadership?		
a) How do district leaders rate the value of OSPI-AESD support for instructional professional learning? b) How have district leaders used the information from ASED professional learning Coordinators?	District Instructional Leadership Self Reflection Tool	• Survey administered after professional learning; Non-Parametric Techniques (NPT)
4. What are Fellows' perceptions of the efficacy of the Fellows' Leadership Program?		
a) How well do aspects of the program (such as cohesiveness, sequential development, etc.) support Fellows' learning needs?	Interview/Focus Group with sample of Fellows	• Annual Interview/Focus Group; Qualitative Narrative Analysis
b) What program elements are viewed as essential for building capacity over time?	Interview/Focus Group with sample of Fellows	Annual Interview/Focus Group; Qualitative Narrative Analysis
c) In what ways have the leadership trainings improved Fellows' leadership of self, others and the extended community? 1. Working with adult learners (self-	Interview/Focus Group with sample of Fellows	• Annual Interview/Focus Group; Qualitative Narrative Analysis

II. Short-term Outcomes – Effective Experiences, Enhanced Teacher Knowledge, Effective Support		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
direction, life experiences, etc.) 2. Communication (consensus building, negotiation, etc.) 3. Collaboration 4. Systems thinking (advocacy, etc.)		

III. Longer Term Outcomes – Application to Practice and Leadership, Support for Instructional Improvement, Network Development		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
1. What evidence is there that participants have applied their professional learning?		
a) Excluding Fellows, how do participants describe their application of new knowledge learned in the sessions (single or a coherent series)? b) What benefits do participants perceive of the professional learning to their day-to-day work in varying roles: 1. Teacher (planning lessons, developing content, aligning curriculum, etc.); 2. Coach (working with adult learners, etc.) 3. Instructional Administrator (updated knowledge,	Participants' Changes in Understanding & Application Retrospective Survey Interview/Focus Group with sample of participants	• Survey administered 3-9 months after professional learning; frequency analysis, open-ended items; Qualitative Narrative Analysis • Annual Interview/Focus Group; Qualitative Narrative Analysis

III. Longer Term Outcomes – Application to Practice and Leadership, Support for Instructional Improvement, Network Development		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
implementation guidance for standards, etc.) c) What classroom evidence is there that participants applied their new learning?	Student work or teacher videos of classroom application	• Videos and artifacts collected on a rolling basis/reviewed annually
a) How do Fellows describe their application of new knowledge based on Fellows sessions? b) What evidence is there that Fellows applied their new learning?	Participants' Changes in Understanding & Application Retrospective Survey Interview/Focus Group with sample of Fellows Student work or teacher videos of classroom application	Survey administered 3-9 months after professional learning; frequency analysis, open-ended items; Qualitative Narrative Analysis • Annual Interview/Focus Group; Qualitative Narrative Analysis • Videos and artifacts collected on a rolling basis/reviewed annually
2. What evidence is there that schools or districts support Fellows' expanded capacity in leadership?		
a) How do Fellows describe the support they have received from their school/district administration? 1. In what ways are teachers offered shared leadership opportunities to make decisions about professional learning? 2. In what ways do teachers provide input to	Participant's Changes in Understanding & Application Retrospective Survey Interview/Focus Group with sample of Fellows Interview/Focus Group with sample of Fellows	• Annual survey administered at end of year; frequency analysis • Annual Interview/Focus Group; Qualitative Narrative Analysis • Annual Interview/Focus Group; Qualitative Narrative Analysis

III. Longer Term Outcomes – Application to Practice and Leadership, Support for Instructional Improvement, Network Development		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
administrators about the supports they need? b) How do school or district administrators describe their experience collaborating with Fellows? 1. How flexible is the school and district in utilizing teacher leaders according to their talents and school needs? 2. How do school and district activities encourage changes in teachers' practice? 3. How responsive are administrators to suggested supports and professional learning needs? 4. In what ways are teacher instructional changes aligned with school improvement efforts?	Interview/Focus Group with sample of school principals, and district administrators	• Annual Interview/Focus Group; Qualitative Narrative Analysis
3. What evidence is there that OSPI-AESD professional learning and the Fellows' Program have contributed to the development and sustainability of professional learning networks among schools, districts and partners?		
a) How have Fellows' leadership activities contributed to building	Participants' Changes in Understanding & Application Retrospective Survey Fellows' Self Reflection Tool	• Survey and reflection administered at end of year

III. Longer Term Outcomes – Application to Practice and Leadership, Support for Instructional Improvement, Network Development		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
professional learning networks? b) In what ways do stakeholders and Fellows collaborate in the network with a shared responsibility for student learning? c) How do district administrators describe any increases in professional learning networks and membership of networks as a result of Fellows' involvement?	Interview/Focus Group with sample of Fellows, school principals, and district administrators	• Annual Interview/Focus Group; Qualitative Narrative Analysis

IV. Influence – Student Learning and Non-Academic Behaviors		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
1. What influence do participants' professional learning and the Fellows' Program have on student academic performance? ***This will be a pilot in 2017-18 in order to allow flexibility across content areas and adaptability to different contexts and communities. In addition, validity and reliability of ways to measure improved student learning will be explored.***		
a) What relationships or associations are emerging between participants' engagement in professional learning and student academic performance?	Student Growth Proficiency Measure (SGPM) Content assessments (Depth of Knowledge, etc.) Student Concept Maps Fellows' Action Plan document analysis	Measures to explore include: • Annual SGPM; rate of progression compared annually • Student work at Time 1 and Time 2; compared on factors of interest (disaggregated by proficiency, migrant, teacher characteristics such as National Board

IV. Influence – Student Learning and Non-Academic Behaviors		
Evaluation Question	**Data Sources**	**Timing/Methods of Analysis**
	Focus Groups	Certified Teacher, longevity, etc.)
b) How do participants and Fellows describe the influence of their professional learning on their students?	Interview/Focus Group with sample of participants and Fellows' Participant's Changes in Understanding & Application Retrospective Survey	• Interview/Focus Group at end of year; Qualitative Narrative Analysis • Survey administered at end of year; non-parametric techniques
c) What evidence is there that student learning is being influenced?	Examples of student work Classroom observation or videos of application	• Student data at Time 1 (pre) and Time 2 (post); • Video TBD with narrative and rubric
d) What evidence is there that student behavior is being influenced?	Measures of Adolescent Connectedness (MAC) Student discipline, attendance Classroom observation or video	• Student data at Time 1 (baseline) and end of year; ANOVA • Video TBD with rubric

Appendix D: Evaluation Survey Instruments

Appendix D.1: Participants' Satisfaction with Professional Learning Survey

The following demographic questions will appear in the online survey:

Teacher Participants Only:

What is your name?

What grade levels are you currently teaching?

What subjects are you currently teaching? (Early Childhood, ELA, Social Studies, Math, Science, ELL, CTE, PE, Health, Art, Music, World Languages, Other)

What is the number of professional development hours that you attended with the ESD facilitator as a part of the professional learning experience? Please enter a number between 1 and 48. If you are answering for a professional learning experience series, please enter the total number of hours you have attended for the entire series.

(Fellows only) As a Fellow, how many teachers are you working with?

All Participants (Teaching Staff and District Instructional Leadership Staff):

What is your current role? (Fellow, Regional Leadership Cadre, Instructional Coach/TOSA, School Administrator, District Administrator, Librarian, Other)

What is your ESD? District? School?

What is the host ESD?

Did more than 1 facilitator lead the professional learning experience?

Thinking about your professional learning session, how would you rate it for the following?

Survey Items	Very poor	Poor	Fair	Good	Very good	Does not apply
Meeting the stated learning objectives of the session.	1	2	3	4	5	9
Providing information on the content you expected to be covered in the session.	1	2	3	4	5	9
Providing information on pedagogical and instructional practices.	1	2	3	4	5	9

Survey Items	Very poor	Poor	Fair	Good	Very good	Does not apply
Organization of the session to keep your interest.	1	2	3	4	5	9
Use of engaging and useful activities to facilitate your learning.	1	2	3	4	5	9
Introducing you to useful resources such as curriculum materials, research articles, and professional practice information?	1	2	3	4	5	9
Providing timely, relevant information that you will be able to apply in your work setting.	1	2	3	4	5	9
Convenient day/time of session to easily fit into your schedule.	1	2	3	4	5	9
Ability to cover the learning objectives within the timeframe of the session.	1	2	3	4	5	9
Engaging you in discussion with other participants in ways to facilitate your learning.	1	2	3	4	5	9
Sparking your interest to attend additional sessions offered by the Regional Coordinator.	1	2	3	4	5	9
Providing sufficient time for you to process the information collaboratively with colleagues.	1	2	3	4	5	9
Motivating you to recommend these types of sessions to your work colleagues.	1	2	3	4	5	9
Broadening or deepening your existing knowledge of the content area.	1	2	3	4	5	9
Broadening or deepening your existing knowledge of how to share this session's information with others (teachers, administrators, parents).	1	2	3	4	5	9
Broadening or deepening your existing knowledge of instructional practices to make learning experiences more inclusive for diverse student populations (ex. ELL, special education, highly capable, etc.)	1	2	3	4	5	9

Survey Items	Very poor	Poor	Fair	Good	Very good	Does not apply
Preparing me with the necessary skills to try something new in my professional practice.	1	2	3	4	5	9

What new thing(s) will you try in your professional practice in the coming months as a result of attending this professional learning experience?

(Teaching Staff Only) As an instructional coach/TOSA, how did the professional learning experience help you fulfill that role?

My greatest learning related to the content of this professional learning experience was: (please be specific):

What suggestions do you have to make the professional learning experience better? (please be specific)

Do you have individual feedback for one or more of the facilitators?

Any additional comments?

Appendix D.2: Interviews/Focus Group Guide with the Regional Coordinators

Background: The following interview/focus group will guide discussions with the Regional Coordinators to learn their views regarding the professional learning delivered across the state. The protocol provides data for evaluation question #3: What does an examination of OSPI-AESD professional learning and district support reveal in terms of services delivered? The interview will be conducted annually.

(For each content area) How would you describe your experiences in delivering professional learning this year in terms of:

a) Your content area's goals for professional learning this year?
b) The number and type of courses/classes offered?
c) Level of participation – your estimates of numbers and types of participants (non-Fellows)?
d) Level of participation – your estimates of numbers and types of participants (Fellows)?

What, if any, were challenges you faced this year in any of the following areas:

a) Your content area's goals for professional learning this year?
b) The number and type of courses/classes offered?
c) Level of participation – your estimates of numbers and types of participants (non-Fellows)?
d) Level of participation – your estimates of numbers and types of participants (Fellows)?

What worked well this year? What did not work well? Why?

How well did the online participant surveys measure session quality and impact for your professional learning sessions?

Did you query the OSPI-AESD database during the year? If so, what type of information did you seek, and overall, how satisfied were you with the database?

The following is a summary of the type of courses offered and the demographics of participants and Fellows from the database. What comments do you have regarding the following?

a) Are there any gaps in services in the ESD region?
b) Are there any patterns or significant levels of participation in the courses offered?

Do you have any comments regarding your experience offering professional learning this year?

Appendix D.3: Participant Changes in Understanding and Application Retrospective Survey

Please circle the degree to which you believe you have changed over the past year as a result of your engagement in professional learning sessions.

Leadership of Self

Areas of change	No change 1	2	3	Moderate Amount of Change 4	5	6	A Great Deal of Change 7
Knowledge of grade appropriate content and concepts.	1	2	3	4	5	6	7
Understanding of how curriculum standards build on what comes before and contributes to what students will experience next.	1	2	3	4	5	6	7
Understanding the use of grade appropriate instructional strategies.	1	2	3	4	5	6	7
Application of grade appropriate instructional strategies.	1	2	3	4	5	6	7
Understanding my role as an instructional leader.	1	2	3	4	5	6	7
Actively studying professional literature focused on improving my leadership or teaching skills.	1	2	3	4	5	6	7
Understanding the ways to use formative assessment for student learning.	1	2	3	4	5	6	7
Application of formative assessment in my classroom.	1	2	3	4	5	6	7
Understanding of the differing roles of formative and summative assessment.	1	2	3	4	5	6	7

Areas of change	No change 1	2	3	Moderate Amount of Change 4	5	6	A Great Deal of Change 7
Taking time to notice and appreciate the work of my colleagues.	1	2	3	4	5	6	7
Demonstrating the courage to take risks in order to support my peers' learning.	1	2	3	4	5	6	7
Accepting and acting on constructive feedback in order to model an open mind and improve my practice.	1	2	3	4	5	6	7
Presenting at professional conferences.	1	2	3	4	5	6	7

Leadership of Others

Areas of change	No change 1	2	3	Moderate Amount of Change 4	5	6	A Great Deal of Change 7
My ability to support the growth of my teacher peers.	1	2	3	4	5	6	7
Promoting among colleagues the understanding and use of formative assessment techniques.	1	2	3	4	5	6	7
Ability to lead data-driven dialogue to inform decisions and appropriate actions.	1	2	3	4	5	6	7
Facilitating colleagues' use of data to make data-driven classroom decisions.	1	2	3	4	5	6	7
Fostering a professional learning community network.	1	2	3	4	5	6	7

Areas of change	No change 1	2	3	Moderate Amount of Change 4	5	6	A Great Deal of Change 7
Successfully facilitating meetings that actively engage my teacher peers.	1	2	3	4	5	6	7
Ability to intentionally structure dialogue and discussion when leading my educational peers.	1	2	3	4	5	6	7
Ability to create environments and activities that encourage my colleagues to question their assumptions.	1	2	3	4	5	6	7
Fostering a feeling of mutual responsibility for all group members' learning.	1	2	3	4	5	6	7
Ability to delegate responsibility to a group to complete action items.	1	2	3	4	5	6	7

Cultural Competency Leadership

Areas of change	No change 1	2	3	Moderate Amount of Change 4	5	6	A Great Deal of Change 7
Awareness of the cultural needs and interests of my teacher peers.	1	2	3	4	5	6	7
Awareness of the cultural needs and interests of the students in my community.	1	2	3	4	5	6	7
Adapting my communication skills to meet the unique needs of students and their parents and caregivers.	1	2	3	4	5	6	7

Areas of change	No change 1	2	3	Moderate Amount of Change 4	5	6	A Great Deal of Change 7
Showing that I value diverse opinions as an important element of problem solving.	1	2	3	4	5	6	7
Using conflict and mediation skills to ensure that groups collaborate to achieve common outcomes.	1	2	3	4	5	6	7
Using diversity of the groups as a strength to promote cultural competency.	1	2	3	4	5	6	7
Adapting my communication skills for the unique needs of my peers.	1	2	3	4	5	6	7
My comfort level with inviting and honoring diverse views.	1	2	3	4	5	6	7
Sharing my knowledge of using culturally competent strategies to engage all students.	1	2	3	4	5	6	7

Networking and Advocacy

Areas of change	No change 1	2	3	Moderate Amount of Change 4	5	6	A Great Deal of Change 7
Developing professional learning network(s) of teachers in my school.	1	2	3	4	5	6	7
Developing professional learning networks in my district or community.	1	2	3	4	5	6	7
Ability to advocate for educational change.	1	2	3	4	5	6	7

Areas of change	No change 1	2	3	Moderate Amount of Change 4	5	6	A Great Deal of Change 7
Creating and delivering effective messages to stakeholders.	1	2	3	4	5	6	7
Understanding and managing resistance as a legitimate element of working within a system.	1	2	3	4	5	6	7
Understanding the larger picture of how decisions impact a system.	1	2	3	4	5	6	7

Appendix D.4: Fellows' Interview/Focus Group Guide

Background: This guide will be used for discussions with a purposeful sample of Fellows within each content area (sample will be representative of ESDs, positions (teacher, coaches, etc.), and year in the program). The interviews or focus group will be held with Fellows within the specific content area and be conducted once a year.

The protocol provides data for evaluation questions II.2, II.4, III.1, III.2 and IV.1.b:

- In what ways do Fellows demonstrate a deeper understanding of the knowledge, skills and abilities aligned to the learning objectives of the OSPI-AESD PL series of sessions?
- What are Fellows' perceptions of the efficacy of the Fellows' Leadership Program?
- What evidence is there that Fellows have applied their professional learning?
- What evidence is there that schools or districts support Fellows' to expand their leadership capacity?
- How would you describe the influence of professional learning on your students?

Questions:

How would you describe the goals or focus of the four training sessions you participated in this year?

As you look at this list of topics, which would say were covered during your sessions this year?

Show a card that lists the following:

a) State standards
b) Content knowledge for your grade level
c) Pedagogical strategies
d) Use of curriculum materials
e) Formative assessment
f) Summative assessment
g) Equity issues
h) Leadership
i) Other areas

Thinking about the last year, and the list of topics, describe what you believe were your more significant learnings. In what areas did you experience changes in knowledge or pedagogical practice?

What aspects of the training influenced these changes?

How did you apply the knowledge and skills in content and pedagogical practice? Please share some examples of lessons or approaches you used.

How did your students respond to these? Do you have examples of ways in which you saw improved learning or mastery of content or development of student skills? (*probe for student artifacts).*

An important goal of the Fellows' program is leadership development. Please describe the ways your participation has helped you understand any of the following:

a) Providing learning experiences for your colleagues
b) Building your communication skills
c) Building your collaboration skills
d) Establishing learning networks (inside and outside the education system)
e) Learning about systems thinking – how to influence larger systems
f) Other aspects of leadership

As you think about your training, what do you believe had the most influence in building your capacity for leadership? What key supports were provided?

How would you describe your leadership activities to promote professional learning and instructional collaboration as a result of being in the Fellows' program? (*probe for both professional learning and the building of collaborative networks)*

a) In your school?
b) In your district?
c) In other venues?

If you have facilitated the development of educational networks, please describe how the networks operate, are they formal with prescribed meetings, or more informal sharing opportunities, or something different? Who participates, how does the network evidence a shared responsibility for student learning?

How have your school principal and district administrators supported your leadership activities over the past year(s)?

How would you describe getting this support -- how much did you drive it by requesting support, how much did school/district leadership suggest ways to facilitate your work?

Do you have any recommendations regarding any aspect of your experience in the Fellows' program this year?

Do you have any recommendations for your own district leadership regarding supporting the Fellows' program?

How would you describe the influence of your PL on your students?

Please share a story that demonstrates the influence of PL on your students. Do you have any artifacts that you can share?

Do you have any more comments or observations you would like to share?

Appendix D.5: Fellows' Assessment of School or District Level Support Survey

How would you rate your school or district on the following regarding support to teacher leaders?

Survey Items	Very poor	Poor	Fair	Good	Very good	Don't Know
School or district leaders provide a clear vision, rationale, and moral purpose for teacher leadership.	1	2	3	4	5	9
School or district leaders develop a culture of adult learning that supports teacher leaders' growth.	1	2	3	4	5	9
School or district leaders identify criteria for success for teacher leadership using multiple measures and performance indicators.	1	2	3	4	5	9
School or district leaders provide credibility, public recognition, and authority for teacher leaders.	1	2	3	4	5	9
School or district leaders facilitate recruitment of new leaders.	1	2	3	4	5	9
School and district leaders provide opportunities for skill development in communications	1	2	3	4	5	9
School and district leaders provide opportunities for skill development in collaboration.	1	2	3	4	5	9
School and district leaders provide opportunities for skill development in content, pedagogy and assessment.	1	2	3	4	5	9
School or district leaders emphasize collaborative team learning practices in the school/district culture.	1	2	3	4	5	9
School or district leaders develop a culture of adult learning that supports teacher leaders' growth	1	2	3	4	5	9

Survey Items	Very poor	Poor	Fair	Good	Very good	Don't Know
School or district leaders maintain focus on teaching and learning through data driven decisions.	1	2	3	4	5	9
School or district leaders provide teacher leaders with regular feedback on instructional practice.	1	2	3	4	5	9
School or district leaders safeguard the teacher leaders' relationships with peers.	1	2	3	4	5	9
School or district leaders provide opportunities to lead that advance both personal expertise and systems goals.	1	2	3	4	5	9
School or district leaders examine evidence of teacher leader impact and collect data on performance measures in order to plan next steps.	1	2	3	4	5	9
School or district leaders regularly convene teacher leaders to share successes, challenges, and best practices.	1	2	3	4	5	9
School or district leaders develop a culture of adult learning that supports teacher leaders' growth.	1	2	3	4	5	9
School or district leaders support the utilization of teacher leaders.	1	2	3	4	5	9

Appendix D.6: Interview/Focus Group with District/School Administrators

The following questions will guide interviews or focus groups with district or school level administrators. A purposeful sample of administrators will be interviewed annually to learn their views of the OSPI-AESD professional learning, the Fellows Program and their support for Fellows' leadership in their school and district. The sample will represent the diversity of districts, schools, and enrollment in professional learning courses and the Fellows Program.

This protocol provides data for evaluation question II.3 and III.2:

- What evidence is there that schools or districts support Fellows' expanded capacity in leadership?
- What is the role of OSPI-AESD PL in supporting district instructional leadership?

Interview/Focus Group Questions

How many Fellows did you have in your building/district?

What grade bands have your Fellow(s) worked?

How would you describe your school's/district's participation in professional learning opportunities offered by the ESD in terms of: (*the interviewer should be familiar with the number of educators and Fellows who participated in OSPI-AESD courses over the year*).

a) The number of educators who participate and the number of Fellows who participate,
b) The ESD's promotion of courses,
c) The content of courses offered over the past year to educators and Fellows.

What changes in instructional practices and student performance did you observe in classrooms as a result of Fellows' work?

Are there other benefits that you observed regarding the benefits of the ESD Fellows' program for your school/district?

What positive outcomes did you see as a result of the work of your Fellow(s) with your faculty and what examples could you provide to show this progress?

In what ways do the Fellow(s) undertake leadership activities in your school/district?

How did you support your Fellow in implementing their Action Plan?

In what ways are Fellow supported to undertake leadership activities?

In your view, what are the main challenges to Fellows' opportunities to undertake leadership activities in the school/district?

Do you have any recommendations for the ASED regarding the Fellows' Program and their professional learning offerings?

How have you as a school/district leader participated in meetings or programs lead by the ESD?

a) How has the school/district benefited from this participation?
b) Do you have any recommendations to improve the support from the ESD?

Appendix E. 2017-2018 Meetings and Calendar of Activities

	Online Data System	State-Level Meetings			Regional Subject Matter Coordinators					
Month	OSPI-AESD Data Collection	Assistant Superintendents	Fellows Advisory	Evaluation Advisory	Science	Statewide Intervention Leadership Team	Math	Math Fellows Window	English Language Arts	Early Learning
August 2017	Training on new online data collection system	Aug. 22-23 Retreat -Yakima			Aug..29-31 Yakima					
September 2017	Use updated SurveyGizmo forms; Develop new online data collection system	Sept. 6 ESD 121					Sept. 11- 12 ESD 121 Math Fellows Window Sept. 25-29	Mtg. 1 Sept. 25-29 OR	WRC Institute Great Wolf Lodge/April 18-20 ESD 113	Sept. 11-12 Renton
October 2017		Oct. 4 ESD 121 SILT-Oct.18 (ESD 121?)			Oct. 19-20 State Science Fellows' Convening	Oct. 18	Virtual Oct. 11 Math Fellows Window Oct. 2-6	Mtg. 1 Oct. 2 -6	Oct. 11-12 ESD 113	E Meeting: Oct. 11 Go to Meeting
November 2017		Nov. 1 ESD 121			Nov. 15 ESD 121		Nov. 14-15 ESD 121		Nov. 8-9 ESD 123	Nov. 14-15 Renton

	Online Data System	State-Level Meetings			Regional Subject Matter Coordinators					
Month	OSPI-AESD Data Collection	Assistant Superintendents	Fellows Advisory	Evaluation Advisory	Science	Statewide Intervention Leadership Team	Math	Math Fellows Window	English Language Arts	Early Learning
December 2017		Dec.6 Zoom			Meeting: Dec.13-14 ZOOM Fellows' Window Dec. 4-8		Virtual Dec. 18 Math Fellows Window Dec. 4-8	Mtg. 2 Dec. 4 -8	Dec. 13 ESD 121	
January 2018	New online system live; ESDs validate data ported from old system to new system; new online system training	Jan. 3 ESD 121			Jan. 10-11 ESD 121		Jan.22-23 ESD 121		E Meeting: Jan. 10 ZOOM Jan. 31 ZOOM	E Meeting: Jan. 24 Go to Meeting
February 2018	Database system update	Feb. 7 Zoom			E-Meeting: Feb.14-15 ZOOM Fellows' Window Mid-Feb.- Mar.	Feb. 21	Virtual Feb 21 Math Fellows Window Feb. 5-9	Mtg. 3 Feb 5-9	Feb. 14 ESD 121	E Meeting: Feb. 21 Go to Meeting
March 2018	Database system update	Mar. 7 ESD 121			Mar. 7-8 ESD 121		Mar. 19-20 ESD 121		Mar. 14-15 ESD 105	Mar. 19-20 Renton

	Online Data System	State-Level Meetings			Regional Subject Matter Coordinators					
Month	OSPI-AESD Data Collection	Assistant Superintendents	Fellows Advisory	Evaluation Advisory	Science	Statewide Intervention Leadership Team	Math	Math Fellows Window	English Language Arts	Early Learning
April 2018	Database system update	Apr. 4 ESD 121			Apr.1-8 ESD 121 Fellows' Window Mid-Mar.- May		Virtual Apr. 25* Might have a conflict Math Fellows Window Apr. 16-20	Mtg. 4 Apr.16-20	E Meeting: Apr. 11 ZOOM Apr. 25 ZOOM	E Meeting: Apr. 25 Go to Meeting
May 2018	Database system update	May 2 ESD 121			May 23-24 ESD 121		May 7-8 ESD 121		May 9-10 ESD 112	May 7-8 ESD 121
June 2018	Database system update	June 6 ESD 121			E-Meeting: June 12 ZOOM	June 7			E Meeting: June 13 ZOOM	
July 2018	Database system update									Retreat TBD

Appendix H: Other Supporting Documents

Every Student Succeeds Act (ESSA)

Tribal Consultation Overview for School Districts

WHAT: Tribal consultation, required by the Every Student Succeeds Act (ESSA), is a formal process between tribal leaders and school districts that serve Alaska Native or American Indian students.

WHO: This consultation process is required of any district that received a Federal Title VI grant (subpart 1 of Part A) that exceeds $40,000 in the previous fiscal year, or with a school or district with an enrollment of Alaska Native or American Indian student population of at least 50 percent.

WHY: This consultation process creates opportunities for school districts and tribal leaders to work together to meet the needs of Alaska's Native students. Consultation allows affected school districts to gather input from tribal organizations, fostering collaboration that is a critical part of improving academic outcomes for Alaska Native students. Please refer to the Dear Colleague letter from the United States Department of Education for additional information on tribal consultation.

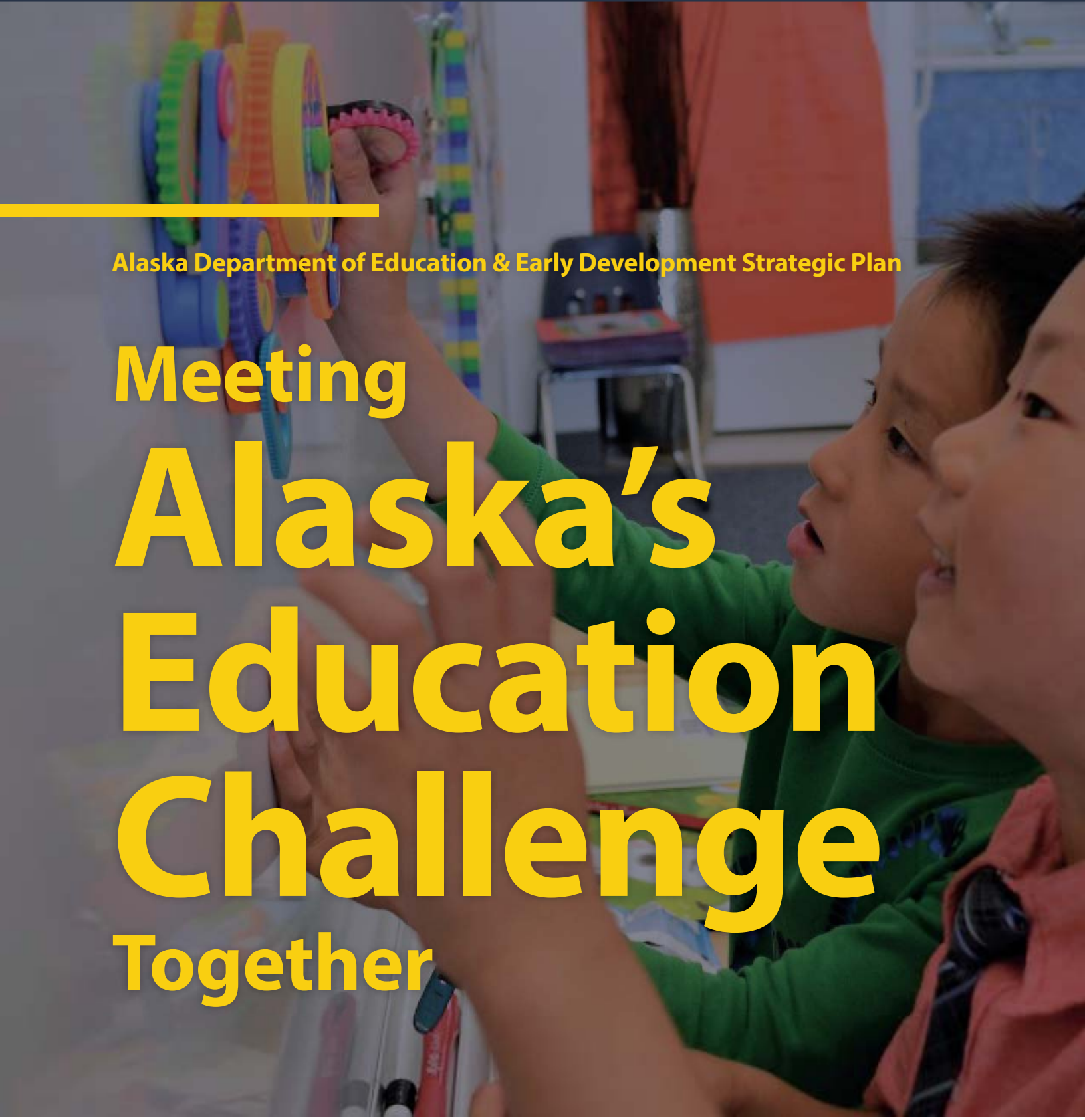
HOW: Affected school districts must ensure meaningful consultation with tribes before submitting plans or applications on the following:

- Title I, Part A (Improving Basic Programs Operated by State and Local Educational Agencies)
- Title I, Part C (Education of Migratory Children)
- Title I, Part D (Prevention and Intervention Programs for Children and Youth who are Neglected, Delinquent, or At-Risk)
- Title II, Part A (Supporting Effective Instruction)
- Title III, Part A (English Language Acquisition, Language Enhancement, and Academic Achievement Act)
- Title IV, Part A (Student Support and Academic Enrichment Grants)
- Title IV, Part B (21st Century Community Learning Centers)
- Title V, Part B, subpart 2 (Rural and Low-Income School Program)
- Title VI, Part A, subpart 1 (Indian Education Formula Grants to Local Educational Agencies)

Meaningful consultation is defined as an opportunity to provide input and feedback to the school district on plans for any covered program. Consultation must be done "in a manner and in such time that provides an opportunity for such appropriate officials from Indian tribes or tribal organizations to meaningfully and substantively contribute" (Sec 8538(a)).

WHEN: A school district should consider providing a list of issues or questions on which the school district seeks input, or provide draft plans for this purpose, in advance of the consultation and before it makes a final decision on significant and substantive issues related to the content of the plans. School districts should consider providing written responses to explain how input was considered. Consultation required under Section 8538 shall not interfere with timely submission of the plans or applications.

Photo courtesy of Anchorage School District. Used with permission.



Alaska Department of Education & Early Development Strategic Plan

Meeting Alaska's Education Challenge Together

Together, we will meet Alaska's education challenge by honoring our heritage, innovating for the future, and prioritizing for today's fiscal challenges

ALASKA DEPARTMENT OF EDUCATION & EARLY DEVELOPMENT

OUR MISSION

An excellent education for every student every day.

OUR VISION

All students will succeed in their education and work, shape worthwhile and satisfying lives for themselves, exemplify the best values of society, and be effective in improving the character and quality of the world about them.

Alaska Statute 14.03.015

Photo courtesy of Anchorage School District. Used with permission.

POSITIVE TRAJECTORIES

Support ALL students to read at grade level by the end of third grade

Increase career, technical, and culturally relevant education to meet student and workforce needs

Close the achievement gap by ensuring equitable educational rigor and resources

Prepare, attract, and retain effective education professionals

Improve the safety and well-being of students through school partnerships with families, communities, and tribes

A Shared Commitment

Alaska, in many ways, is still a frontier. We have opportunities that no other state in our country can claim. Our uniqueness is a strength, as it has been for many generations. This is not just true with resource development, natural beauty, and culture, but also with the opportunity to transform our education system into a relevant, high-achieving, and family-friendly network of learning opportunities.

A quality education system was not an afterthought in Alaska, it has always been foundational. Centuries before Alaska became a state, Alaska's indigenous people taught culture, science, language, and other elements of rich traditional knowledge. The framers of the Alaska Constitution were also clear that education was a cornerstone of statehood.

Whether it be a 1,000-mile trek on a dogsled or a 20,000-foot climb up one of the world's tallest mountains, Alaskans have a long history of facing even the most ardent challenges with determination. Clearly, educating our students is a challenge we must face. The fact is, even though many of our students are getting a good education, historically Alaska has some of the largest achievement gaps in the country. Compared to other states in America, Alaska ranks at or near the bottom in reading and math scores. We must be dissatisfied with these numbers.

This document is a call to action. Thousands of Alaskans have stepped up to answer this call and have demonstrated through Alaska's Education Challenge that they are unwilling to accept our current results. Parents, students, educators, policymakers, tribal leaders, partner organizations, and local school boards have worked together to create a shared plan for improving our system of public education. This document outlines the three primary components of that plan.

1. **Public Commitments - An invitation to all Alaskans to support a thriving and successful public education system**
2. **Positive Trajectories - Measurable targets that will hold us accountable to our students**
3. **Prioritized Strategies - A menu of options for districts, schools, and families to drive improvement**

With this document we are calling on all Alaskans to meet the educational challenges of our state together. A better education system built on our values and successes will not be possible without the involvement of all Alaskans. Each community must want a great school enough to invest the hard work and take the action necessary to make it happen. We will never legislate, regulate, spend, cut, blame, promise, excuse, or wish our way to great schools. We must have the character and commitment needed to share a vision and work together to support it. I am confident The Last Frontier has what it takes to pioneer a new kind of public education system for the 21st century.

Alaskans should only be satisfied when every student has the opportunity to receive an excellent education every day.

Dr. Michael Johnson
Commissioner

Public Commitments

Children who read well at an early age are more likely than their peers to experience later academic success.

Photo courtesy of the Department of Education & Early Development.

Support ALL students to read at grade level by the end of third grade

Research suggests that school readiness at an early age is one critical strategy for improving future student outcomes and closing racial/ethnic and socioeconomic achievement gaps. Children with an early basic knowledge of reading are more likely than their peers to experience later academic success, attain higher levels of education, and secure employment. When reading ability is lacking, it is an early indicator that the student will be at risk of not making yearly progress toward successful graduation. Reading well in the early grades is particularly important for students with high levels of socioeconomic risk, such as poverty and high mobility.

37%

of third-graders read at or above grade level

Source: 2018 PEAKS grade 3 ELA statewide results (https://education.alaska.gov/assessment-results/Statewide/StatewideResults?schoolYear=2017-2018&isScience=False)

Prioritized Strategies

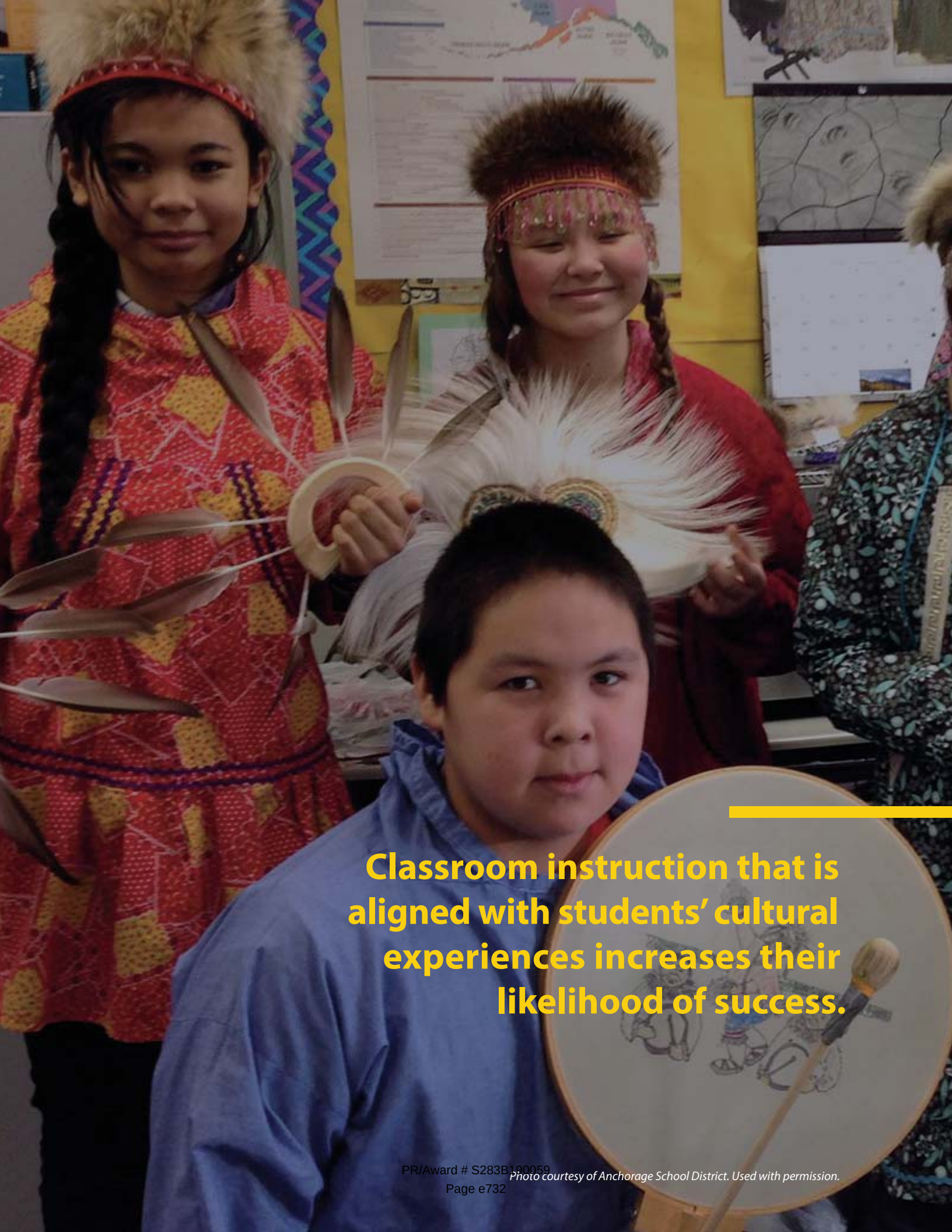
These are examples of strategies that DEED, school districts, and individuals will use to meet the trajectories.

How can we achieve the goal of supporting all students to read at grade level by the end of third grade?

- Prioritize early reading in all elementary schools, including K–12 schools
- Adopt and implement effective reading programs and materials
- Incentivize districts to adopt and implement effective curriculum and teaching strategies
- Adopt 60- or 90-minute reading blocks in grades K–3 in all districts
- Encourage district review of different K–3 models, including movement through individual grades
- Create and disseminate materials for parents and community members on how they can support the development of their children's reading skills
- Provide consistent, ongoing professional development for educators and community members on the effective use of adopted reading curricula
- Implement effective early screeners in K-3
- Train teachers on state standards and on how to align instruction to these standards
- Assist school leaders in using data and classroom walkthroughs to ensure implementation of aligned curricula
- Use valid and reliable formative assessments to monitor students' progress
- Identify and implement effective interventions for struggling readers
- Inform and train educators, parents, and community members on how to understand reading data and on how it can be used to support students in their reading skills attainment
- Establish voluntary district reporting to the state on K–3 reading measures

What Progress Looks Like By 2025

- ✓ **K–3 reading measures submitted to the department will show positive trends**
- ✓ **The number of students in grades 3–5 who are proficient on the statewide English language arts assessment will double**
- ✓ **The number of students in grades 3–5 who are proficient on the statewide math assessment will double, since research suggests that reading ability is one of the best predictors of strong math skills**
- ✓ **Student absenteeism rates will be reduced by at least 20 percent**



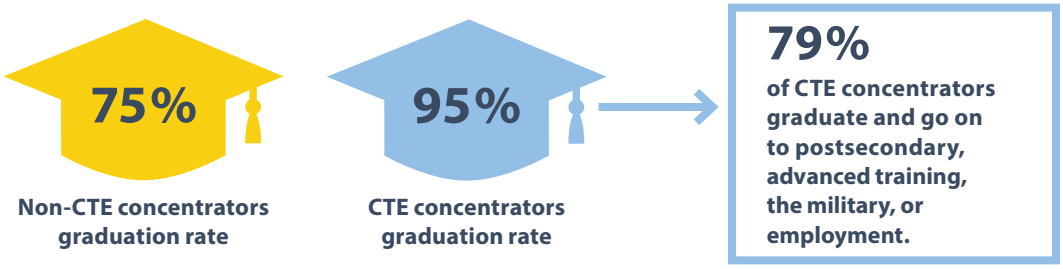
Classroom instruction that is aligned with students' cultural experiences increases their likelihood of success.

Photo courtesy of Anchorage School District. Used with permission.

Increase career, technical, and culturally relevant education to meet student and workforce needs

Many Alaska superintendents have a success story to share about a student who benefitted from a career and technical education (CTE) program. CTE offers an opportunity to provide students of all ages with career choices that meet local business needs and a chance to lead a productive life in one's own community.

There is evidence that classroom instruction that is aligned with students' cultural experiences increases their likelihood of success. Finding ways to engage students, with place-based learning, CTE, or STEM (science, technology, engineering, and math) courses that incorporate local culture and industry, is critical in making learning more relevant for students, teachers, and the community.



Source: 2016-17 graduation data compiled by the Department of Education & Early Development. A CTE concentrator is defined as a student who has completed at least two high school credits of CTE study, including at least one credit of content-specific, progressively rigorous study. The non-CTE graduation rate is a subset of the overall four-year state graduation rate minus CTE concentrator graduates; therefore, this number will differ from the overall statewide graduation rate for the same time period.

Prioritized Strategies

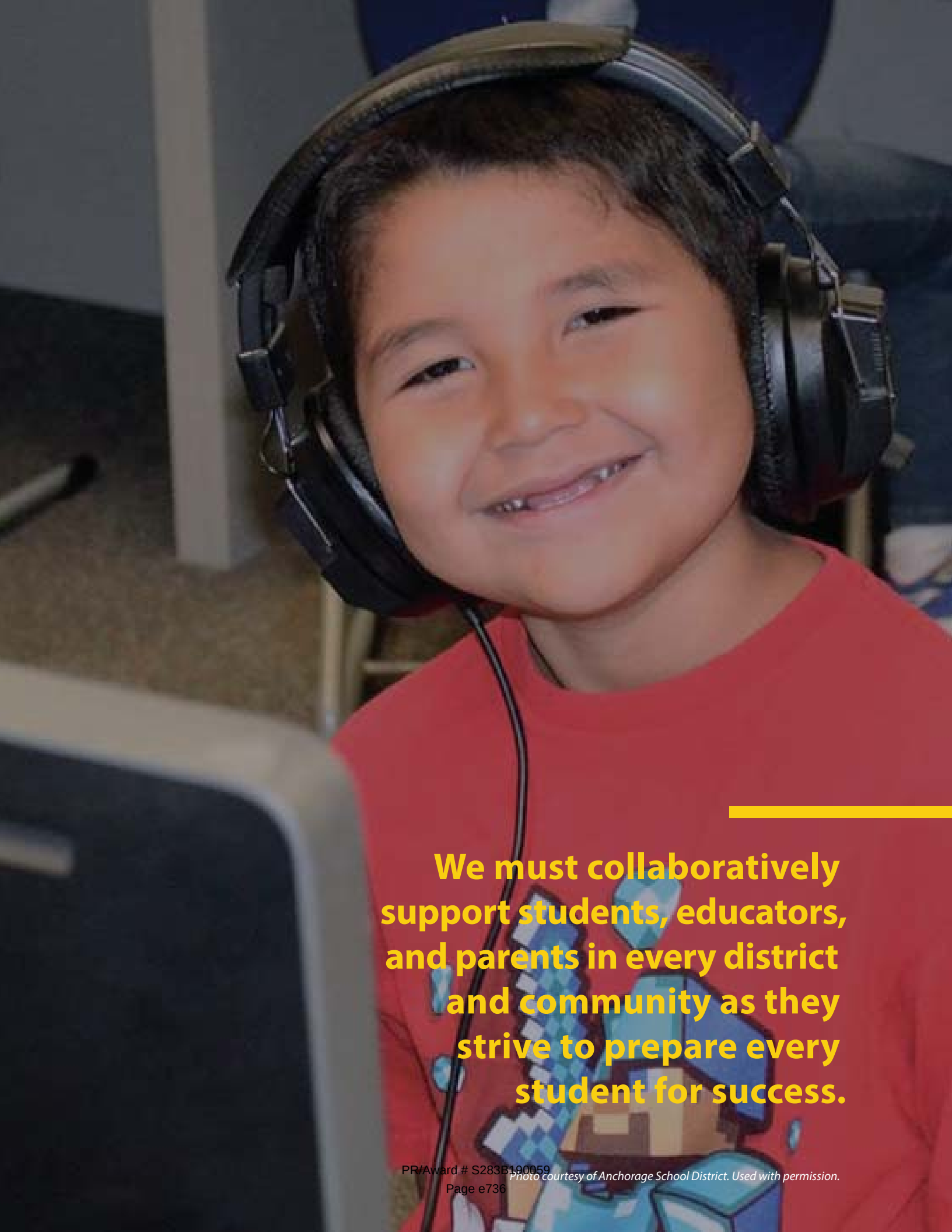
These are examples of strategies that DEED, school districts, and individuals will use to meet the trajectories.

How can we achieve the goal of increasing career, technical, and culturally relevant education to meet student and workforce needs?

- Expand high-quality CTE courses and programs of study
- Foster collaboration between districts to create innovative and relevant experiences for students
- Establish partnerships among local industry, districts, and the state
- Increase awareness of the positive benefits of CTE for student engagement and academic success
- Create opportunities for local talent to engage with students
- Promote dialogue among local and state partners to increase opportunities for students
- Advance CTE educator professional development through partnerships and collaboration
- Encourage community involvement in CTE program development
- Support district exploration of diverse high school models such as distance delivery education in high school and access to off-site opportunities such as regional high schools, career and technical schools, and supported intern programs
- Provide industry more opportunities for input in career pathway curriculum

What Progress Looks Like By 2025

- ✓ **The number of students who, upon graduation, have earned dual credit, obtained an industry certification, or completed Advanced Placement coursework will increase by at least15 percent**
- ✓ **The overall four-year graduation rate will increase to at least 90 percent**
- ✓ **The overall five-year graduation rate will increase to at least 93 percent**
- ✓ **The number of students participating in CTE programs of study will increase by at least 20 percent**



We must collaboratively support students, educators, and parents in every district and community as they strive to prepare every student for success.

Photo courtesy of Anchorage School District. Used with permission.

Close the achievement gap by ensuring equitable educational rigor and resources

All means all. Our mission is to provide an excellent education for every student every day. This means that we refuse to accept the achievement gaps that currently exist. An equitable education system means every Alaska family has access to high-quality, rigorous, culturally relevant learning experiences and the resources needed for an excellent education, regardless of inequities in the system. Using a variety of culturally appropriate methods and multiple measures to track progress and identify needs, we will close the achievement gaps. This will require the commitment of all Alaskans. Tribal compacting and/or chartering are examples of the kind of commitment and family ownership of education that will help ensure that all Alaska students receive an excellent education every day.

Alaska has achievement gaps between student groups, such as a 54 point gap in average grade 4 reading scores.

Source: 2017 Alaska NAEP grade 4 reading results by race/ethnicity (https://education.alaska.gov/tls/assessments/naep/NAEP2017GR4RD_snapshot.pdf)

Prioritized Strategies

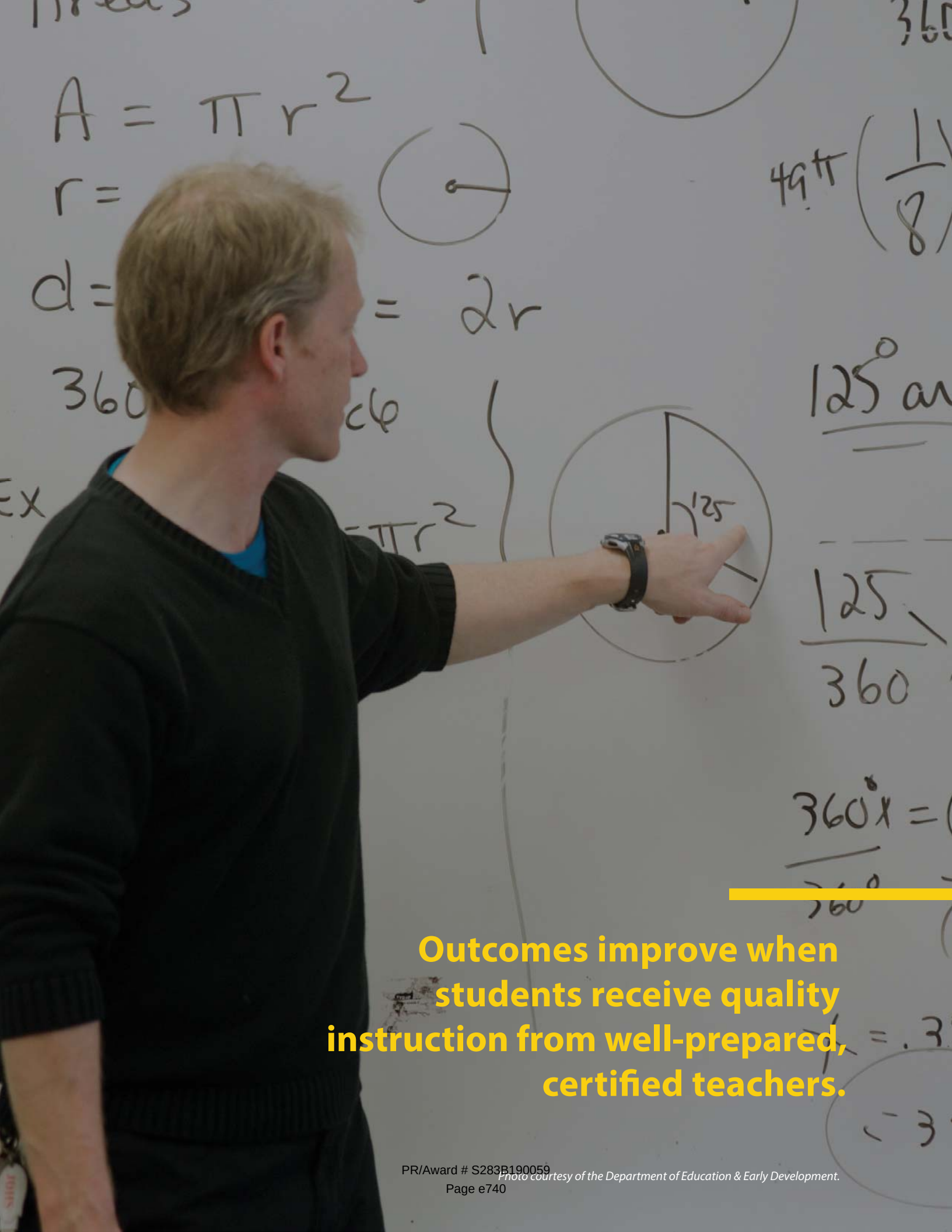
These are examples of strategies that DEED, school districts, and individuals will use to meet the trajectories.

How can we close the achievement gap by ensuring equitable educational rigor and resources for all students?

- Provide evidence-based strategies and resources for teachers on implementing standards-aligned and student-centered instruction and curricula for preschool through grade 12
- Institute instructional models that promote deeper hands-on learning (for example, CTE/STEM)
- Implement supportive strategies that boost attendance for all students
- Provide flexibility in school calendars, the traditional school structure, and the length of the school year
- Facilitate access to high-quality instructional materials and learning experiences for all students, preschool through postsecondary
- Expand the use of culturally appropriate methods, technologies, and measures for identifying success, mitigating underperformance, and accelerating student learning
- Engage in regular consultation with stakeholders who represent the full range of cultures, languages, geographical locations, resources, abilities, interests, and goals of our students
- Establish legislation for a tribal compacting and/or charting compact that outlines the authority, accountability, and fiscal responsibility of the tribal entities and the State of Alaska to carry out agreed-upon educational services for K–12 students
- Align school improvement, accountability, and standards
- Align instruction, curriculum, standards, student success expectations, and assessments
- Reconsider current education funding connected to seat time; redefine instruction and hour
- Promote cross-district partnerships and sharing of resources, such as courses, materials, professional development, guidance documents, and forms
- Fund correspondence students at the same level as non-correspondence students

What Progress Looks Like By 2025

- ✓ **The current performance gaps in English language arts and math for all student subgroups will be reduced by at least 45 percent**
- ✓ **The current gaps in graduation rates for all student subgroups will be reduced by at least 50 percent**
- ✓ **The proficiency rate for English learner students will increase to at least 65 percent**
- ✓ **The number of students in each subgroup who are required to take remedial classes upon entering college will be reduced by at least 50 percent**



Outcomes improve when students receive quality instruction from well-prepared, certified teachers.

Photo courtesy of the Department of Education & Early Development.

Prepare, attract, and retain effective education professionals

National research suggests that outcomes improve when students receive quality instruction from well-prepared teachers. and that teacher turnover negatively affects student outcomes. Therefore, well-prepared and committed teachers are key to improving education outcomes. In Alaska, rural districts with high teacher turnover rates often graduate fewer than half of their students, and their students have significantly lower reading proficiency.

With fewer individuals entering Alaska teacher preparation programs and applying for teaching jobs, most of our teachers still come from out of state. Our state can learn from the workforce development approaches of public and private industries that focus on developing local talent and intentionally recruiting, training, supporting, and retaining their workforce. By adopting effective human capital development strategies, we can ensure that every student has access to effective educators.

Nearly two-thirds of all new teachers hired in Alaska each year come from out of state

Source: Data provided by the Department of Education & Early Development.

Prioritized Strategies

These are examples of strategies that DEED, school districts, and individuals will use to meet the trajectories.

How can we better prepare, attract, and retain effective education professionals?

- Increase the number of districts offering an Educators Rising program
- Support Alaska's educator preparation programs through accreditation and partnerships
- Provide induction programs for educators new to Alaska and/or the profession
- Reimagine Alaska studies and multicultural curriculum requirements through the lens of cultural literacy
- Add supports for new and veteran administrators
- Develop micro-credentialing opportunities for educators in high-impact areas such as cultural literacy, trauma-informed instruction, STEM, Alaska's English language arts and math standards, and text analysis
- Emphasize support and professional growth through district educator evaluation systems
- Continue to recognize and utilize Alaska's master educators (for example: National Board-Certified Educators)
- Create an Educator Preparation Standards Board for licensing

What Progress Looks Like By 2025

- ✓ **90 percent of new teachers in Alaska will have completed their teacher preparation program through an Alaska university**
- ✓ **90 percent of educators new to Alaska or the profession will be actively engaged in a cohort-based induction program that includes training around culturally responsive and trauma-informed instruction and the regular support of a mentor, teacher leader, or master teacher**
- ✓ **All Alaska school districts will experience less than 15 percent turnover of educators each year**

  Note: Turnover rates include teachers who have moved to another school within their district or to another district.

Children who come to school healthy and safe are better able to learn.

Photo courtesy of Anchorage School District. Used with permission.

Improve the safety and well-being of students through school partnerships with families, communities, and tribes

Alaskans have no greater shared responsibility than to create the conditions that enable our children to be happy and healthy and to achieve their fullest potential. We know that student safety and well-being are essential for success in learning.

Research and practical experience both suggest that children who are safe and well are better able to learn, make friends, and set ambitious goals for their future. Research also indicates that schools that are warm and inviting, build meaningful relationships with every student, address students' physical and mental health needs, and enjoy broad community support see more student success than schools without these assets. Together, through partnerships with families, communities, and tribes, we can all improve the safety and well-being of Alaska's students and create a brighter future.

Source: 2016-17 school year K–12 student suspension data compiled by the Department of Education & Early Development. A review of the data suggests that most of these suspensions and expulsions were for nonviolent and non-safety-related incidents.

Prioritized Strategies

These are examples of strategies that DEED, school districts, and individuals will use to meet the trajectories.

How can we improve the safety and well-being of students?

- Create sustainable and positive school climates that are safe, supportive, and engaging for all students, staff, and communities
- Provide supports for schools, communities, and families that are responsive to the needs of children who have experienced serious hardships in their lives
- Increase health- and safety-focused partnerships between schools and their communities
- Increase access to nursing and counseling services
- Increase awareness of, and provide supports for, the mental and physical health needs of children in our schools
- Provide and encourage training for schools on best practices to improve school climate
- Provide supports for all public schools to keep students and staff members safe
- Increase and promote partnerships between schools and community and tribal nursing/health and counseling services
- Increase and support partnerships between schools and law enforcement agencies

What Progress Looks Like By 2025

- ✓ **The number of students who report on the 2025 Alaska Youth Risk Behavior Survey that they did not go to school on one or more of the last 30 days because they felt unsafe will decrease by 35 percent**
- ✓ **The number of students suspended from school for nonviolent and non-safety-related incidents in a given school year will decrease by at least 15 percent**

Partner With Us

Thousands of Alaskans have provided input, worked collaboratively, and shared their support for meeting Alaska's Education Challenge.

We will achieve success for our students by working together and focusing our efforts on meeting their needs.

You can make a difference for Alaska's students by supporting Alaska's Education Challenge.

Get involved! To learn more, visit education.alaska.gov/akedchallenge

All students read at grade level by the end of 3rd grade

Increase career, technical, and culturally relevant education to meet student and workforce needs

Close the achievement gap by ensuring equitable access to educational rigor and resources

Prepare, attract, and retain effective education professionals

Improve the safety & well-being of students through school partnerships with families, communities, and tribes

Alaska's Education Challenge

by

OREGON
DEPARTMENT OF
EDUCATION

The OREGON Plan

The Every Student Succeeds Act

4 KEY COMMITMENTS

These commitments serve as the levers to strengthen our educational system to improve how we serve each student.

Advancing Equity

Prioritizing and advancing equity in Oregon means:

- Actively initiating and leading conversations about equity;
- Collecting and analyzing state and local data and facilitating engagement with stakeholders to drive improvement efforts;
- Targeting local, state and federal resources to better serve students;
- Proactively seeking partnerships.

Promoting a Well-Rounded Education

A well-rounded education:

- Moves beyond the courses students take, into the essential knowledge and skills to be successful in life;
- Focuses on the whole student.

Strengthening District Systems

Building capacity of local education agencies and school leaders is a top priority. The Oregon Department of Education is committed to:

- Shared responsibility and accountability for the success of students in Oregon's schools;
- Focusing resources equitability;
- Differentiating supports.

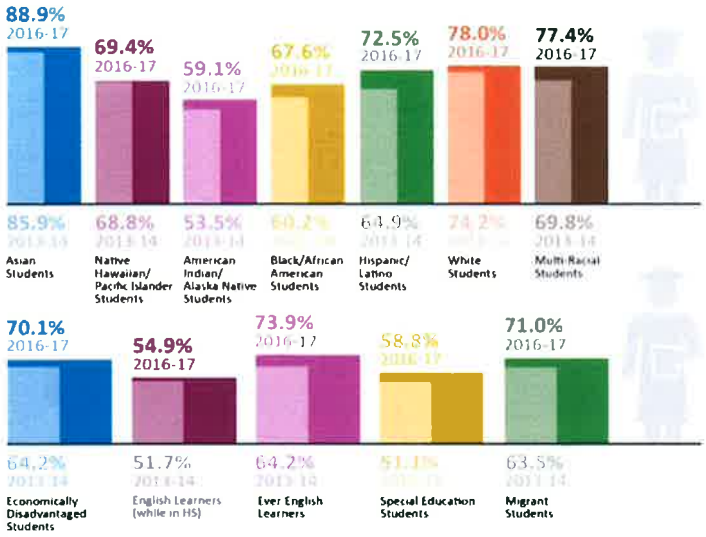
Fostering Ongoing Engagement

Oregon's 197 school districts have unique challenges and opportunities.

- Ongoing, meaningful engagement strengthens our ability to support students and schools.

A CALL TO ACTION

The State of Oregon, its communities, school districts, and schools all share a responsibility for the success of each student. Improving outcomes for students will require a collective commitment, *from all of us*, to share responsibility and work together to create a more equitable, well-rounded, and engaging education that can sustain change within each local community's unique context across our state.



WHAT IS THE EVERY STUDENT SUCCEEDS ACT (ESSA)?

The Every Student Succeeds Act (ESSA) replaces No Child Left Behind (NCLB). The law is deeply rooted in advancing educational equity and building systems that eliminate systemic and historical barriers to student success. As a part of the law, all states were required to develop and submit a state plan.

WHAT IS OREGON'S PLAN?

Oregon's Plan is our state's response to ESSA and represents the hopes, dreams, and values for Oregon's students and schools. While the plan itself addresses specific federal requirements, it serves as a renewed commitment for Oregonians to work together to ensure all students in our state have the opportunity to learn and thrive.

School & District *CONTINUOUS* IMPROVEMENT PROCESS

CONTINUOUS IMPROVEMENT FOR ALL

All districts and schools in Oregon are called upon to engage in continuous improvement to improve outcomes for students. Oregon's Plan emphasizes the importance of engaging in a continuous improvement process by which districts and schools develop an ambitious, priority-driven plan where routine collaboration, engagement with stakeholder, and a review of local of state data is reflected throughout implementation.

A TOOL TO IMPROVE SYSTEMS

Oregon's Integrated Systems Framework consists of five domains for all school districts to assess and address the health of their systems. The domains include:

- Leadership
- Talent Development
- Stakeholder Engagement & Partnerships
- Inclusive Policies, Structures & Practices
- Well-Rounded, Coordinated Learning Principles

OREGON'S INTEGRATED SYSTEMS FRAMEWORK

Leadership

A shared vision, mission, and culture are cultivated across the educational community (e.g., students, staff, families, community, school board) that emphasizes the belief that all students are capable of success.

Talent Development

Supports the growth and success of ALL staff members in order to fulfill the vision created by the school community.

Stakeholder Engagement and Partnerships

Brings ALL voices into the conversation and ensures that educational community members have the necessary background information and support to engage in meaningful decision- making.

Inclusive Policies, Structures, & Practices

Ensures that ALL district and school settings are safe and welcoming. All barriers to participation, opportunity or learning are addressed.

Well-Rounded, Coordinated Learning Principles

Intentional coordination between assessment, standards-based curriculum, and instruction creates a continuum of supports for ALL students.

For more information, visit www.oregon.gov/ode/rules-and-policies/ESSA.

PR/Award # S283B190059

WHAT'S NEW?

No Overall Rating for Oregon Schools

Oregon is taking a more holistic approach to evaluating and measuring a school's impact on students. We have added three new indicators, rated on a 1 to 5 scale, to identify areas of strength and areas for improvement and growth.

Measuring Success of a School Beyond Test Scores

No one data point can capture a school's effort to improve student outcomes. Oregon has expanded the data used for its accountability system to include Chronic Absenteeism, 9th Grade On-Track, and the 5-Year Completion Rate.

Indicator	Elem/ Middle	High Schools
Chronic Absenteeism	X	X
ELA Achievement	X	X
Math Achievement	X	X
ELA Growth	X	
Math Growth	X	
English Learner Progress	X	X
9th Grade On-Track		X
4-year Graduation		X
5-year Completion		X

Recognizing Individual Schools as a Part of a District System

Districts will serve as the hub for schools where students need new and different kinds of support to succeed. Districts, with support from ODE, will lead, support and monitor their efforts to improve student outcomes in schools.

A Spirit of Partnership

A collective vision to improve educational opportunities relies on the partnerships between the state and local districts. This partnership starts by co-creating an approach that works for you (school districts) and helps us (ODE staff) better support your efforts.

CONTACT INFORMATION FOR QUESTIONS

District Improvement, Tim Boyd
tim.boyd@state.or.us

Federal Programs, Deb Lange
deb.lange@state.or.us

Accountability & Reporting, Jon Wiens
jon.wiens@state.or.us

APPENDIX E: LETTERS OF SUPPORT

STATE CAPITOL
P.O. Box 110001
Juneau, AK 99811-0001
907-465-3500

550 West Seventh Avenue, Suite 1700
Anchorage, AK 99501
907-269-7450

Governor Michael J. Dunleavy
STATE OF ALASKA

May 23, 2019

The Honorable Betsy DeVos
Secretary
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Secretary DeVos,

On behalf of the State of Alaska, I write to support SERRC and its partners (all similar education agencies in the states of Washington and Oregon, the Academic Development Institute, the Center for Reinventing Public Education, and the Tribal Education Departments National Assembly) in the Region 16 Comprehensive Center grant application to the U.S. Department of Education Comprehensive Centers Program.

My first experience with SERRC was while serving as superintendent of the Northwest Arctic Borough School District, operating schools in 11 villages in a sprawling rural district covering 38,000 square miles in a remote part of the state. During my tenure there, I was able to serve as a member of SERRC's Advisory Board. In later years, I witnessed SERRC's role in the education landscape through my various positions with the University of Alaska and as a member of the Matanuska-Susitna Borough School District Board of Education, including their facilitation of the Alaska Comprehensive Center.

As governor of a state facing significant economic challenges, I must seek ways for our state to operate efficiently, including our schools.

SERRC has a reputation for providing high-quality, cost-efficient services to districts across the state, making the agency a trusted partner in fulfilling the commitments of Alaska's Education Challenge. The staff are known for their passion, expertise and commitment to providing excellent programs and services. They are also known for their creativity, collaborative nature, and integrity. These traits have led to SERRC's valuable contributions to education in the State of Alaska. They have and continue to make a difference in the lives of students, families, school and district staff, as well as adult learners.

With Alaska's unique challenges, it would be most beneficial to have SERRC as the leader in our region's comprehensive center.

Sincerely,

Michael J. Dunleavy
Governor

THE STATE of ALASKA
GOVERNOR MICHAEL J. DUNLEAVY

Department of Education & Early Development
OFFICE OF THE COMMISSIONER

801 West Tenth Street, Suite 200
P.O. Box 110500
Juneau, Alaska 99811-0500
Main: 907.465.2800
TTY/TDD: 907.465.2815
Fax: 907.465.4156

The Honorable Betsy DeVos
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

May 8, 2019

Dear Secretary DeVos,

It is with great enthusiasm that I express support on behalf of the Alaska Department of Education and Early Development for SERRC, Alaska's Educational Resource Center's Region 16 Comprehensive Center grant application. SERRC is joining with all of the northwest Education Service Districts (9 in Washington state and 19 in Oregon), the Academic Development Institute, the Center for Reinventing Public Education, and the Tribal Education Departments National Assembly to provide research-based, highly effective resources to SEAs and LEAs to improve educational outcomes for students who are in greatest need in our respective states. This comprehensive center will serve Alaska, Washington and Oregon, impacting 1.8 million rural and high needs students. This collaborative effort, combining the assets and resources of 29 of the most highly regarded education service agencies in the country along with highly regarded national partners, Alaska's students, families, and staff will receive the help they need to realize our vision for education, "an excellent education for every student every day". Through SERRC and my membership with the Council of Chief State School Officers, I have come to appreciate the critical role of service agencies nationwide and all of the direct and indirect shared services they provide to help students succeed.

Alaska is in the midst of a major education system reform process — Alaska's Education Challenge. The challenge was initiated by former Governor Bill Walker and continues under the administration of Governor Michael Dunleavy. It was developed through a public process with 100 people across multiple sectors forming five working groups to develop solutions to the greatest education challenges facing Alaska. Thirteen big ideas were distilled to three overarching commitments:

- Increase Student Success: Success will be identified using multiple measures as part of a rich and varied curriculum
- Support Responsible & Reflective Learners: Families, tribes, educators, and communities will provide relevant learning opportunities
- Cultivate Safety & Well-Being: All schools will be safe and nourish student well-being

Beyond the original working groups, a seven-member Education Leadership Council was formed to develop goals and strategies to meet these commitments.
The five goals developed by this council are:

- All students read at grade level by the end of third grade
- Increase career, technical and culturally relevant education to meet student and workforce needs
- Close the achievement gap by ensuring equitable access to educational rigor and resources
- Prepare, attract and retain effective education professionals
- Improve the safety and wellbeing of students through school partnerships with families, communities and tribes

Among these education leaders is SERRC's executive director, Sheryl Weinberg. SERRC has been involved in the process from the start and has demonstrated an unwavering commitment to supporting the commitments in their service to Alaska's schools. Also, SERRC staff helped to inform and facilitate the development of Alaska's ESSA plan. The convergence of the now-approved ESSA plan and the goals developed by the Education Leadership Council set the stage for the annual planning process for the Region 16 Comprehensive Center.

In my tenure as Commissioner, I have come to value and rely on SERRC as a forward thinking, trusted, effective partner in education. SERRC is reliable in its service to Alaska's schools and nimble, always able to respond to shifting needs.

SERRC's collaborative, multi-state service agencies partnership, Region 16 Comprehensive Center: Better Together, will harness the resources and expertise of each partner and leverage them to effectively support our schools to overcome the education challenges we face in Alaska, and provide a model for the nation.

Sincerely,

Dr. Michael Johnson
Commissioner
Alaska Department of Education and Early Development

The Honorable Betsy DeVos
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Secretary DeVos,

SERRC, Alaska's Educational Resource Center and its partners (all Education Service Districts in the states of Washington and Oregon, the Academic Development Institute, the Center for Reinventing Public Education and the Tribal Education Departments National Assembly) have my full support of their Region 16 Comprehensive Center grant application to the U.S. Department of Education's Comprehensive Centers Program.

SERRC is a critical, trusted partner for schools, districts and the Alaska Department of Education and Early Development. Noteworthy are SERRC's highly effective and passionate staff and the services they provide — and have provided since 1976.

SERRC was created by the Alaska Legislature in 1976 to play a critical role in provision of shared services. It was one of six regional resource centers approved and has been the only surviving agency since 1981. In 1983 SERRC was approved by the Alaska State Board of Education to provide services across the state. SERRC's survival, expansion and continued importance in Alaska's education landscape is testament to the exceptional leadership demonstrated over the years and relationships built with districts and partners.

As chair of the Alaska State Board of Education, I am impressed with the quality of SERRC's work in providing educational services that benefit our schools. My background, growing up and to this day, is in business and, through this lens, I also admire that SERRC has demonstrated effectiveness in providing value to Alaska's schools and responding to evolving challenges and needs.

I have no doubt that SERRC and its partners will provide Region 16 with service and support that exceeds expectations and contributes to greater student outcomes in Alaska, Washington and my home state of Oregon.

Sincerely,

James Fields, Chair
Alaska State Board of Education and Early Development

May 13, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington DC 20202

Dear Secretary DeVos,

As SERRC's Board of Directors, and also as clients, SERRC and its partners have our unqualified support in the Region 16 Comprehensive Center grant application to the U.S. Department of Education's Comprehensive Centers Program.

In our role as board members, we understand better than anyone the role SERRC plays in supporting education in Alaska. While each of our districts may have varying levels of reliance on SERRC's services, depending on our needs, we all count on SERRC. Additionally, we know, if the need arises, we can count on SERRC – Alaska's ***only*** educational resource center, for more — even if it requires SERRC staff to develop something brand new.

Since its inception in 1976, SERRC has provided countless resources and services, evolving with our education system. As the only surviving regional resource center after 1981, SERRC was able to expand from serving Southeast Alaska to the entire state in 1983. Since then it has served every district in the state, providing shared services, professional learning, direct student services and more. Your staff are experts in education and in the needs of Alaska schools and students. SERRC has more staff out in the schools on any given day than any other education organization in the state, making the organization to "go to" partner for assistance with serving students, families, and staff.

At each SERRC Board of Directors meeting and in every report, we learn about SERRC's successes and the innovative ways the needs of clients and students are met. In recent years, SERRC has become a leader in Cultural Proficiency in schools, addressing some of the greatest challenges facing educators and students today. SERRC has become the IT Services department or the business office or grants administrator for many districts. SERRC deploys itinerant special education and related services specialists to the most rural of districts. SERRC's Transition Camps have helped students of all abilities to plan where they're headed after high school, covering training, education and career readiness, but also independent life skills. There are professional learning opportunities, camps for youth and after school programs. And beyond the programs and services, we know we can call on SERRC for guidance and support in general.

SERRC's partnership at every level, from schools to districts to the Department of Education and Early Development, allows our state — especially our most remote districts — to do more than would be imaginable on our own. Washington and Oregon would be lucky to have access to the same services and commitment. And we'll be lucky to have access to the additional resources and expertise from Educational Service Agency partners in in the region, as well as the national organizations signing on.

Sincerely,

Dr. Joshua B. Coughran, Chairman- Board of Directors
Superintendent, Skagway City School District

Mr. Tim Bauer, Superintendent
Annette Island School District

Mrs. Ann Hilburn, Superintendent
Chatham School District

Mr. Chris Reitan, Superintendent
Craig City School District

Mr. Roy Getchell, Superintendent
Haines Borough School District

Mr. Ralph Watkins, Superintendent
Hoonah City School District

Mr. Bart Mwarey, Superintendent
Hydaburg City School District

Dr. Bridget Weiss, Superintendent
Juneau School District

Mr. Richard Catahay, Superintendent
Kake City School District

Ms. Beth Lougee, Superintendent
Ketchikan Gateway Borough District

Mr. Jim Holien, Superintendent
Klawock City School District

Ms. Janelle Vanasse, Superintendent
Mt. Edgecumbe High School

Ms. Norma Holmgaard, Superintendent
Pelican City School District

Ms. Erica Kludt-Painter, Superintendent
Petersburg City School District

Dr. Mary Wegner, Superintendent
Sitka School District

Mr. Lauren Burch, Superintendent
Southeast Island School District

Dr. Deborah Lancaster, Superintendent
Wrangell School District

Mr. Patrick Mayer, Superintendent
Yakutat City School District

Mr. Stewart McDonald, Superintendent
North Slope Borough Schools

Ms. Thérèse Ashton, Superintendent
Tanana School District

Mr. Shawn Arnold, Superintendent
Valdez City Schools

NEA-ALASKA

Reach. Teach. Inspire.

May 9, 2019

Sheryl Weinberg
Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way
Juneau, AK 99801

Dear Sheryl,

I'm happy to support SERRC and its partners in the Region 16 West Coast Comprehensive Center grant application to the U.S. Department of Education's Education Comprehensive Centers Program on behalf of NEA-Alaska.

With the interests of the educators represented by NEA-Alaska in mind — as well as our collective goal of providing the best education to Alaska's students — having a comprehensive center with SERRC's leadership and involvement, coupled with the expertise and resources of all of SERRC's sister agencies in Washington and Oregon, the Academic Development Institute, the Center for Reinventing Public Education, and the Tribal Education Departments National Assembly will be a boon to educators in Alaska and the state as a whole.

Working with you on the seven-member Education Leadership Council assembled by Alaska Department of Education and Early Development Commissioner Michael Johnson has further bolstered my confidence in SERRC's commitment to improving education outcomes, as well as the capability of its leadership and staff. I look forward to working with this council and the commissioner to help shape annual Alaska Comprehensive Center Work Plan.

In my view, the partnership SERRC cultivates with educational service agencies in Oregon and Washington to provide services as the regional comprehensive center will provide us with access to the best programs and practices available. Our educators — and our students — will benefit incalculably from this access.

I look forward to working together in this capacity to improve education outcomes in Alaska.

Sincerely,

Tim Parker, President
NEA-Alaska

ANCHORAGE OFFICE • 4100 Spenard Road • Anchorage, Alaska 99517 • (907) 274-0536 • FAX: (907) 274-0551
JUNEAU OFFICE • 201 Main Street, Suite 300 • Juneau, Alaska 99801 • (907) 586-3090 • FAX: (907) 586-2744
FAIRBANKS OFFICE • 2118 S. Cushman Street • Fairbanks, Alaska 99701 • (907) 456-4435 • FAX: (907) 456-2159

May 13, 2019

The Honorable Betsy DeVos
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Secretary DeVos,

the Association of Alaska School Boards (AASB) has a longstanding relationship with SERRC and I have a great deal of respect for the work they do across the state. As agencies that both serve districts across the state, our collaboration is not uncommon. On behalf of AASB I'm pleased to support SERRC and its partners in the Region 16 Comprehensive Center grant application to the U.S. Department of Education Comprehensive Centers Program. I trust that SERRC leadership in the Region 16 Comprehensive Center will lead to many more fruitful collaborations for the benefit of students in Alaska and across the Northwest region.

SERRC consistently participates in AASB's annual conference. Recently SERRC staff presented a workshop on cultural proficiency at an AASB workshop, a topic of great importance to our state.

SERRC is a guest contributor to our monthly newsletter, *Commentary*, sharing information and insights on a variety of relevant issues. Recently we sought columns from education leaders in the state on tenets of Alaska's Education Challenge. SERRC's contribution on educator training and retention addressed cultural proficiency, teacher turnover and the importance of partnerships to better address our state's challenges.

We count on SERRC as a collaborative partner. SERRC provides time at its Board of Directors meetings for AASB staff to report out or gather information on important issues. SERRC has participated regularly in meetings for the STEPS grant, a collective impact effort led by our team, and hosted a STEPS meeting following a board meeting, helping to bring together representatives from rural school districts in the southeast region of the state.

SERRC was also a collaborator on a federal Family Engagement proposal.

In short, SERRC has long been a valued partner for AASB and Alaska's schools, and I know I could count on a Comprehensive Center led by SERRC and its partners to truly understand and meet the needs of rural and underserved students in Alaska, as well as Washington and Oregon, making sure our schools can prepare students for the next steps in life, regardless of obstacles they may face.

Sincerely,

Norman D. Wooten

Norman D. Wooten, Executive Director
Association of Alaska School Boards

SEALASKA HERITAGE

May 14, 2015

Sheryl Weinberg
Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way, Juneau, AK 99801

Dear Sheryl,

Sealaska Heritage Institute offers our support for SERRC and its partners in the Region 16 Comprehensive Center grant application to the U.S. Department of Education Comprehensive Centers Program.

As you are aware, Sealaska Heritage Institute is a private nonprofit founded in 1980 to perpetuate and enhance Tlingit, Haida and Tsimshian cultures of Southeast Alaska. Our goal is to promote cultural diversity and cross-cultural understanding through public services and events. Sealaska Heritage also conducts social, scientific and public policy research that promotes Alaska Native arts, cultures, history and education statewide. We offer numerous programs promoting Southeast Alaskan Native culture, including language and art. We partner with local schools and partners, like SERRC, to promote academics and cultural education.

SERRC has been a valued partner in our quest to improve education outcomes for students by infusing our schools and education system with our region's indigenous cultural heritage, as well as other cultures represented in the schools and communities. SHI believes firmly that students who are respected for and feel connected with their culture are more likely to succeed in school and into the future. With its extensive experience in providing educational resources and services, SERRC has been an important collaborator. SERRC and SHI have collaborated to develop language resources, develop and deliver a cultural awareness webinar series, and provide professional learning opportunities for educators focused on applying Alaska's Cultural Standards, has realized positive outcomes for students and school staff.

105 S. Seward St. Suite 201 | Juneau AK, 99801 | 907-463-4844 | sealaskaheritage.org

The professional learning staff at SERRC have been named senior associates with the Center for Culturally Proficient Educational Practice, demonstrating a commitment to learn and teach these critical practices in Alaska's districts and schools. Whether presenting at a conference – like our own Culturally Responsive Education conferences – or providing in-person or distance training, SERRC has assisted educators across the state to better engage students of all backgrounds.

Having SERRC play a significant role in our region's comprehensive center would give me great confidence that Native youth will be seen and supported in our schools, increasing equity and improving outcomes for all.

Sincerely,

Lee Kadinger, Chief of Operations
Sealaska Heritage Institute

THE STATE of ALASKA
GOVERNOR MICHAEL J. DUNLEAVY

Department of Health and Social Services
OFFICE OF THE COMMISSIONER

Juneau
PO Box 110601
350 Main Street, Suite 404
Juneau, Alaska 99811-0601
(Main) 907.465.3030
Fax: 907.465.3068

May 20, 2019

Sheryl Weinberg
Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way, Juneau, AK 99801

Dear Ms. Weinberg,

I offer my enthusiastic support for SERRC and its partners in the Region 16 West Coast Comprehensive Center grant application to the U.S. Department of Education's Education Comprehensive Centers Program on behalf of the Alaska Department of Health and Social Services. The correlation between the health and wellbeing of Alaska's students and a successful education outcome is undeniably linked. A healthy student is a focused student able to learn and achieve their potential. This directly impacts the health and wellbeing of our citizens through every stage of life.

Some of our goals are explicitly tied to education, like increasing the percentage of 18 to 24-year-olds with a high school diploma or equivalent — we've made progress and have seen SERRC's direct and indirect contributions to this goal. Higher levels of education and training are linked with higher wages and lower rates of poverty, another of our goals.

There are many more goals, outlined in our Healthy Alaskans 2020 project, which are not explicit, but quite obviously linked. Our children spend much of their young lives in school and learn much more than the core subjects. They learn about health and wellness and how their choices affect those outcomes. These lessons may lessen the chance of students abusing substances or increase their understanding of healthy relationships and relationship decisions.

We have a goal of increasing the percentage of adolescents with three or more adults besides their parents from whom they feel comfortable seeking help — often, those adults are teachers or staff at their schools. Teachers and staff can be the front line for recognizing maltreatment of children or identifying when a child may be at risk of suicide.

We count on our schools for all this and more, and we rely on so many partnerships to support educators in these responsibilities they hold. SERRC has proven itself as an important partner in Alaska's educational landscape. I have great confidence that Alaska — as well as Oregon and Washington — would be in good hands with SERRC managing our regional Comprehensive Center. We can look forward to support rooted in decades of expertise and an undeniable passion for the wellbeing of our youth and future generations.

Sincerely,

Sana Efird

Sana Efird, Assistant Commissioner

THE STATE of ALASKA
GOVERNOR MICHAEL J. DUNLEAVY

Department of Labor and Workforce Development

Office of the Commissioner

Post Office Box 111149
Juneau, Alaska 99811
Main: 907.465.2700

May 21, 2019

Sheryl Weinberg
Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way, Juneau, AK 99801

Dear Sheryl,

On behalf of the Alaska Department of Labor and Workforce Development, SERRC and its partners have my full support in their Region 16 Comprehensive Center grant application to the U.S. Department of Education Comprehensive Centers.

SERRC's partnership with the Department of Labor dates back to the late 1970s. Today, the partnership helps students and adult learners to become valued members of Alaska's workforce.

SERRC's many programs and services have, and continue to significantly contribute to Alaska's Pre-K – 21 educational landscape, from its shared services supporting districts and schools to its direct work with Alaska's students. Conducting Transition Camps to assist students with planning their life post-graduation or residential camps like Career Connections, Health Career Connections and Behavioral Health Career Connections, or The Construction Academy, English as a Second Language classes, or Family Literacy Centers - SERRC programs make a positive difference for Alaskans.

SERRC's work to ready students of all ages for careers, college or post-secondary training is valued in the communities served. As Alaska's economy and labor market grows and evolves, we look forward to seeing its needs met by an able, home-grown workforce, nurtured by a well-supported education system.

Having SERRC play a substantial role in the region's Comprehensive Center gives me confidence that Alaska's needs will be understood and met. The partnership SERRC has developed with other ESAs and organizations in Washington and Oregon will provide our state with greater access to expertise and resources, all for the benefit of Alaska's students — our future.

It is my hope that the Region 16 Comprehensive Center will be led by the dedicated SERRC team. I look forward to our continued collaboration.

Sincerely,

Cathy Muñoz
Deputy Commissioner

ALASKA PACIFIC UNIVERSITY

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www.alaskapacific.edu • presteam@alaskapacific.edu

Dr. Robert Onders, President

Sheryl Weinberg
Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way, Juneau, AK 99801

May 20, 2019

Dear Ms. Weinberg,

I'm pleased to offer support for SERRC and its partners in the Region 16 West Coast Comprehensive Center grant application to the U.S. Department of Education's Education Comprehensive Centers Program on behalf of Alaska Pacific University.

Alaska Pacific University is a private, non-profit university, founded as Alaska Methodist University under the direction of Peter Gordon Gould, Unangax, from the village of Unga in the Aleutian Islands. Gould recognized a strong need "for indigenous leadership reared, educated and trained in Alaska for Alaska."

Our name changed in 1978 but we retain our original commitment to our heritage of Alaska Native education while emphasizing rigorous academics and challenging field work in the arts and sciences. Today we pride ourselves on offering a world-class, hands-on, culturally responsive educational experience in collaboration with our students, communities and Tribal partners.
SERRC's reputation in the field of education in Alaska is impressive and we look forward to the opportunity to building a stronger relationship with the agency and its partners. We can see the impact of SERRC's services in support of equity and college readiness, especially impacting rural and Alaska Native students. We're especially interested in their work in cultural proficiency, which is central to our mission at APU.

SERRC's work and the work it would do through the Comprehensive Center aligns with our strategic vision. We seek to cultivate APU as a multicultural community where people love to learn and work and, in service to our peoples and communities, assist our students to achieve the best expressions of their potential — sometimes as educators themselves — and collaborate with partners to provide the highest level of collective impact.

With SERRC in a leadership role with the region's Comprehensive Center, we'd feel confident that our future students will have had the highest quality support as they make their way through Alaska's schools. We also see the benefit to a regional partnership with national partners, bringing together more expertise and resources than might otherwise be easily accessible in our state.

Sincerely,

Dr. Robert Onders

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May 17, 2019

Sheryl Weinberg
Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way, Juneau, AK 99801

Dear Ms. Weinberg:

On behalf of the University of Alaska Southeast (UAS), I support the application of SERRC and its partners for a Region 16 Comprehensive Center grant through the U.S. Department of Education's Comprehensive Centers Program.

In my time as UAS Chancellor, I've had the opportunity to develop a more robust relationship with SERRC. Much of our work together is centered around out-of-school youth and adult learners as they prepare for college or post-secondary training, or as they participate in our vocational technology or other career track training. That said, I would be remiss if I didn't acknowledge the direct impact SERRC has through its K-12 services. Here at UAS, I see those impacts when we matriculate students who have benefitted from SERRC's services to districts or direct student services.

SERRC's work in cultural proficiency better prepares educators to engage its students in the classroom, contributing to greater educational outcomes. The shared services SERRC provides to rural districts allows those districts and schools to direct limited resources to the classroom. For example, the itinerant specialists SERRC deploys to rural schools around the state provide students with the services they need to be successful in districts that can't dedicate funds to have a full-time psychologist or occupational therapist. The residential camps SERRC hosts, introducing students to career and training options, foster an interest in education and training beyond what they may have imagined possible previously. We have had students with SERRC Career Connections programs tour our facilities and learn about our offerings.

I also know that our graduates of the Alaska College of Education, housed at the University of Alaska Southeast, will benefit from SERRC's professional learning opportunities and services throughout their careers as educators in Alaska. With this in mind, I heartily support SERRC and its partners in this competition to offer comprehensive services to Alaska, Oregon and Washington education systems. This team of educational service agencies and additional partners, combining resources, experience and passion, will serve Alaska's students well.

Sincerely,

Richard A. Caulfield, PhD
Chancellor, University of Alaska Southeast

Alaska PTA
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To make every child's potential a reality by engaging and empowering families and communities to advocate for all children.

Sheryl Weinberg
Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way, Juneau, AK 99801

May 17, 2019

Dear Ms. Weinberg,

I'm happy to offer support for SERRC and its partners in the Region 16 West Coast Comprehensive Center grant application to the U.S. Department of Education's Education Comprehensive Centers Program on behalf of the Alaska PTA Board of Managers.

Alaska PTA is a collection of valued individuals across the state who serve as volunteers on the Board of Managers and on Standing and Special Committees to support local PTA units, advocate for improved education in Alaska and the U.S., and who speak together with one voice for the children and youth of Alaska. PTA's mission is to make every child's potential a reality by engaging and empowering families and communities to advocate for all children.

We know SERRC shares our values and works hard every day to see that our students receive the best education we can provide by providing necessary services for districts and schools across the state. We know better than anyone that working together is the only way we will improve the outcomes for our children, so we're heartened to see SERRC bringing together regional Educational Service Agencies and national partners to most effectively serve our schools. This partnership model is not surprising, since the agency has a long history of working collaboratively with the Department of Education and Early Development, districts, schools and other organizations.

We're also enthusiastic about SERRC's proposal because we feel confident that our unique needs will be understood and met. SERRC has been serving Alaskans in the Southeast region since 1976 and statewide since the early 1980's. They have boots on the ground in the smallest schools in the most rural villages, which so few people ever experience — not just Alaska's urban hubs.

We wish you success in this endeavor, as that success will be shared by all of us.

Sincerely,

Candy Jo Bracken

Candy Jo Bracken, President
Alaska PTA Board of Managers

Professional and
Continuing Education
UNIVERSITY of ALASKA ANCHORAGE

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Anchorage, Alaska 99508-4614
F 907.786.1931
http://pace.uaa.alaska.edu

Sheryl Weinberg, Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way
Juneau, AK 99801

May 17, 2019

Director Weinberg:

As the Professional and Continuing Education (PACE) Office of the University of Alaska Anchorage, we offer our full support for SERRC and its partners in the Region 16 West Coast Comprehensive Center grant application to the U.S. Department of Education's Education Comprehensive Centers Program.

PACE works collaboratively with UAA academic units and partner organizations to provide responsive service and support for 500-level courses, workshops, conferences, institutes, and academies. Committed to addressing the community's immediate and changing professional development needs, PACE works closely with school districts, professional societies, and private and government agencies, including SERRC.

Each year PACE supports the professional learning of over 3400 educators in Anchorage and across the state, reaching over 40% of Alaska's public school teachers. The enrollments generated through our partnerships equate to approximately 292 full-time equivalent students in each semester and summer session.

As part of these efforts, I have had the privilege of personally working with SERRC's professional learning team on numerous continuing education courses for educators and as a collaborative partner in the leadership of the Alaska Affiliate of Learning Forward, an international organization dedicated to professional learning. I have also

worked with SERRC's staff on an ECET² (Elevating and Celebrating Effective Teaching and Teachers) project, sponsored by Bill and Melinda Gates.

In these collaborations, the outstanding caliber and effectiveness of the exceptional SERRC team have been consistently evident. We clearly share goals for providing substantive and sustained learning opportunities for educators, helping them to provide the highest quality education to the students of our state and beyond.

We look forward to expanding our professional learning opportunities and support of educators in collaboration with SERRC and its partners as part of the Region 16 Comprehensive Center.

Sincerely,

Jennifer Harty

Jennifer Harty
Coordinator of Professional Programs
Professional and Continuing Education
University of Alaska Anchorage

SOUTHERN CALIFORNIA
PROFESSIONAL DEVELOPMENT FEDERATION

May 19, 2019

Sheryl Weinberg
Executive Director
SERRC - Alaska's Educational Resource Center
210 Ferry Way, Juneau, AK 99801

Dear Ms. Weinberg,

SERRC and its partners have our enthusiastic support in the Region 16 West Coast Comprehensive Center grant application to the U.S. Department of Education's Education Comprehensive Centers Program.

The Center for Culturally Proficient Educational Practice is dedicated to educating all students to high levels through knowing, valuing and using as assets their cultural backgrounds, languages and learning styles within the context of our teaching. We've directly trained educators across the country to increase cultural proficiency and named SERRC staff Gerry Briscoe and Martha Gould-Lehe as senior associates, preparing them to train others and further this work. This honor demonstrates our trust in SERRC and its staff.

SERRC's attention to research-based practices, cultural experts, Alaska's Cultural Standards for Educators, parent and community engagement, an assessment-feedback process, and committed school districts knits together the systemic processes that impact our children and youth on a daily basis.

In focusing on students' culture as assets, SERRC's cultural proficiency training provides schools, school districts, their educators and leadership the tools to deliver educational services that lead to increased academic opportunities and outcomes.
SERRC has developed an impressive body of work focused on cultural proficiency and with this as a key tenet, integrated into the services and support, we can foresee this comprehensive center serving as a model for other regions.

Sincerely,

Delores B. Lindsey
Cultural Proficiency Author,
Retired Associate Professor CSU San Marco

Randall B. Lindsey
Cultural Proficiency Author
Professor Emeritus, California State University, Los Angeles

AESD ASSOCIATION OF EDUCATIONAL SERVICE DISTRICTS
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May 6, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington, DC 20202

Re: Region 16 Comprehensive Center (R16CC) Proposal

Dear Secretary DeVos:

As the nine Educational Service District superintendents from Washington state, we are pleased to offer our strong support for the proposal from Southeast Regional Resource Center-Alaska's Education Resource Center (SERRC), that will bring together a regional consortium of three state level associations of Educational Service Agencies (ESA) in Washington, Oregon, and Alaska to form the collaborative leadership of a new and impressive model for the Region 16 Comprehensive Center (R16CC).

Together, the nine Washington Educational Service Districts, in collaboration with our 295 school districts and the Office of Superintendent of Public Instruction, provide services to just over 1,127,493 students. Our state student demographics consist of 46% non-white, and just over 48% of our students eligible for free or reduced lunch. Our on-time, four year state average graduation rate is just over 81%, with our American Indian and Alaska Native student populations graduating at the lowest rate, 60.4%. We fully support the intent of this grant to: 1) provide high-quality intensive capacity-building services to state clients and recipients, 2) promote effective instruction in classrooms and schools, and 3) provide families and students with access and opportunities for a high-quality education that meets their unique needs.

We look forward to working with this new and unique model for the R16CC providing high-quality intensive capacity-building services to the State Educational Agencies (SEAs), Tribal Education Agencies (TEAs), Regional Educational Agencies (REAs), Local Educational Agencies (LEAs), and rural schools. Washington, Oregon, and Alaska ESAs have decades of experience in successfully providing high-quality intensive capacity-building services to their respective SEAs, TEAs, REAs, LEAs, and schools to identify, implement, and sustain effective evidence-based programs, practices, and interventions that promote improved educator and student outcomes.

Please accept this letter as our acknowledgement and sincere interest in supporting this Region 16 Comprehensive Center (R16CC) project.

Respectfully,

Dana Anderson, President
Washington State ESD Superintendents, ESD #113

Michael Dunn, Superintendent NWESD #101

Tim Merlino, Superintendent, ESD #112

Michelle Price, Superintendent, NCESD #171

Darcy Weisner, ESD #123

Larry Francois, NWESD #189

Kevin Chase, Superintendent ESD #105

John Welch, Superintendent PSESD #121

Greg Lynch, Superintendent, OESD #114

wasa

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May 10, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington DC 20202

Re: Region 16 Comprehensive Center (R16CC) Proposal

Dear Secretary DeVos:

The Washington Association of School Administrators (WASA) membership includes a wide variety of leadership positions. Our membership of 1,816, includes school superintendents, deputy, associate and assistant superintendents, fiscal officers, curriculum, assessment, special education, personnel, facilities, operations, transportation, and federal program directors and coordinators, to name a few of the membership responsibilities. We serve over 1 million students in Washington and continue to rank at the top of one of our country's most culturally diverse states.

As an organization, we work hand-in-hand with AESD (Association of Educational Service Districts) in leadership training, teacher professional learning, school operations and specific programs related to continuous improvements in student learning. Our collaboration is complemented by our alignment of core leadership and instructional values. These include equity, inclusivity, evidence-based performance standards and cultural proficiency. The OSPI/AESD Network is a valuable partner in our collaborative efforts to (1) provide high quality intensive capacity-building services to our 295 school districts, (2) promote effective instruction in classrooms and schools, and (3) provide families and students with access and opportunities for high-quality education that meets their unique needs.

As such, the Washington Association of School Administrators is pleased to offer our strong support for the proposal from Southeast Regional Resource Center-Alaska's Education Resource Center (SERRC), that will bring together a regional consortium of three state-level associations of Educational Service Agencies (ESA) in Washington, Oregon, and Alaska to form the collaborative leadership of a new and impressive model for the Region 16 Comprehensive Center (R16CC).

Please accept this letter as our unconditional support for the Region 16 Comprehensive Center (R16CC) project.

Respectfully,

G. Joel Aune

Joel Aune
Executive Director

WASHINGTON ASSOCIATION OF SCHOOL ADMINISTRATORS
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WSSDA
Washington State
School Directors' Association

May 10, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington DC 20202

Re: Region 16 Comprehensive Center (R16CC) Proposal

Dear Secretary DeVos:

The Washington State School Directors Association represents close to 1500 school board members in Washington. Our 295 school districts are served by nine regional educational service districts. The education service district network (AESD) provides cost-effective services to our local schools. These include: technical support, curriculum, instructional and assessment guidance, operations and fiscal counsel, and families and community engagement strategies. The nine educational service districts enjoy a reputation for evidence-based staff and student learning improvements. WSSDA and AESD are engaged in numerous effective educational partnerships that complement the Region 16 grant goals.

The Washington State School Directors fully support the three goals of the Region 16 Comprehensive Center goals: (1) provide high-quality intensive capacity-building services to state clients and recipients, (2) promote effective instruction in classrooms and schools, and (3) provide families and students with access and opportunities for a high-quality education that meets their unique needs. These goals parallel our work with the Washington Association of Educational Service Districts.

We look forward to working with this new and unique model for the R16CC providing high-quality intensive capacity-building services to the State Educational Agencies (SEAs), Tribal Education Agencies (TEAs), Regional Educational Agencies (REAs), Local Educational Agencies (LEAs), and rural schools. Washington, Oregon, and Alaska ESAs have decades of experience in successfully providing high-quality intensive capacity-building services to their respective SEAs, TEAs, REAs, LEAs, and schools to identify, implement, and sustain effective evidence-based programs, practices, and interventions that promote improved educator and student outcomes.

Please accept this letter as our full support of this Region 16 Comprehensive Center (R16CC) project. We look forward to working with the Association of Educational Service Districts on the implementation of this exciting grant.

Respectfully,

Tim Garchow

Tim Garchow, Executive Director
Washington State School Directors Association

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May 10, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington DC 20202

Re: Region 16 Comprehensive Center (R16CC) Proposal

Dear Secretary DeVos:

The Association of Washington School Principals (AWSP) represents school principals and assistant principals in Washington. One of our trusted and valued educational partners include AESD (Association of Educational Service Districts). These nine educational service districts collaborate with AWSP on school building leadership, new leadership mentorship, and implementing and scaling up evidence-based programs, practices, and interventions to address educational obstacles faced by rural populations living in poverty.

We strongly support the three goals: (1) provide high-quality intensive capacity –building services to state clients and recipients, (2) promote effective instruction in classrooms and schools, and (3) provide families and students with access and opportunities for a high-quality education that meets their unique needs, identified in the Region 16 Comprehensive Center (R16CC) grant. This consortium grant comprises 29 individual area Education Service Districts, and along with national, regional, Tribal, and state partners will be providing high-quality intensive capacity-building services to the rural schools in the states of Washington, Oregon, and Alaska. This grant will support over 1.8 million PK-12 students.

We would like to add our voice and strong support for the R16CC grant. This new and unique model of technical assistance will result in system change and improvements because it fully leverages long-term relationships with state and local school systems to identify, implement, and sustain effective evidence-based programs, practices, and interventions that promote improved educator and student outcomes.

Respectfully,

Dr. Scott Seaman, Executive Director
Association of Washington School Principals

STATE COMPONENTS

Elementary School Principals of Washington (ESPAW)
Association of Washington Middle Level Principals (AWMLP)
Washington Association of Secondary School Principals (WASSP)

NATIONAL COMPONENTS

National Association of Elementary School Principals (ESPAW)
National Association of Secondary School Principals (NASSP)

Oregon
Kate Brown, Governor

OREGON DEPARTMENT OF EDUCATION
Oregon achieves . . . together!
Colt Gill
Director

May 20, 2019

Gary Peterson
Executive Director
Oregon Association of Education Service Districts
C/O Linn Benton Lincoln ESD
905 4th Avenue SE
Albany, OR 97321

Dear Mr. Peterson,

I am writing to express support on behalf of the Oregon Department of Education for SERRC, Alaska's Educational Resource Center's Region 16 Comprehensive Center grant application. SERRC is joining with the 19 Education Service Districts (ESDs) in Oregon, the 9 ESDs in Washington state, the Academic Development Institute, the Center for Reinventing Public Education, and the Tribal Education Departments National Assembly to provide research-based, highly effective resources to SEAs and LEAs to guarantee equitable student outcomes in our respective states. This collaborative effort will enable Oregon's students, families, and staff to receive the help they need to realize our vision for education, "equity and excellence for every learner." Through my work with the Oregon Association of Education Service Districts and my membership with the Council of Chief State School Officers, I have come to appreciate the critical role of service agencies nationwide and the direct and indirect shared services they provide to help students succeed.

More recently, the Oregon Legislature's Joint Committee on Student Success completed a comprehensive, community-based statewide tour to explore the best practices employed in Oregon's most successful schools and to better understand the factors limiting student success in other schools. The results of this research resulted in proposed legislation in the following areas: increased access to early childhood learning opportunities for children, particularly those without access to such programs; funding to increase student achievement and reduce academic disparities for economically disadvantaged students; students from racial or ethnic groups that have historically experienced disparities; students with disabilities and students who are English language learners; and the formation of student success teams to support and provide assistance to districts who have been identified and selected by the Department for participation in programs of intensive support. We look to Oregon's publicly funded system of ESDs to assist our 197 school districts and our Department in achieving the goals of this legislation for our nearly 600,000 students.

We believe that the proposed model for the Region 16 Comprehensive Center, hosted by Alaska's Educational Resource Center in partnership with the education service agencies in Oregon and Washington, has potential for implementing and scaling evidence-based programs, practices, and interventions that directly benefit a wide range of recipients aligned with the needs and goals of Oregon's children and schools. The delivery of intensive services to Washington, Oregon, and Alaska recipients through this partnership will enhance all phases of planning and implementation in the development of

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logic models, conducting needs assessments, selecting and utilizing appropriate evidence-based practices, and evaluating the effectiveness of the implementation of such practices. In addition, we look forward to the Region 16 Comprehensive Center working closely with the National Center to identify trends and best practices and develop cost-effective strategies to make their work available to SEAs, REAs, LEAs, and schools.

The Oregon Department of Education appreciates the opportunity to engage in intensive capacity-building work with OAESD and its partners in an effort to support and sustain effective evidence-based programs and practices. I support OAESD and its partners' efforts to secure funding for this endeavor, as we work collectively to address education equity issues and improve outcomes for educators and students in Oregon.

Sincerely,

Colt Gill
Director
Oregon Department of Education

Oregon Department of Education
255 Capitol St NE, Salem, OR 97310 | Voice: 503-947-5600 | Fax: 503-378-5156 | www.oregon.gov/ode

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May 16, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington DC 20202

Re: Region 16 Comprehensive Center (R16CC) Proposal

Dear Secretary DeVos:

As the Education Service District (ESD) superintendents from Oregon, we are pleased to offer our strong support for the proposal from Southeast Regional Resource Center-Alaska's Education Resource Center (SERRC), that will bring together a regional consortium of three state level associations of Education Service Agencies (ESA) in Washington, Oregon, and Alaska to form the collaborative leadership of a new and impressive model for the Region 16 Comprehensive Center (R16CC).

Together, the 19 Oregon Education Service Districts, in collaboration with our 197 school districts and the Oregon Department of Education, provide services to nearly 600,000 students. Our state student demographics are 62 percent white and 23 percent Hispanic or Latino. Just over 49% of our students eligible for free or reduced lunch. Our on-time, four-year state average graduation rate is just under 79%, with our American Indian and Alaska Native student populations graduating at the lowest rate, 65.3%. Approximately 10% of Oregon's students attend schools which are considered rural. We fully support the intent of this grant to: (1) provide high-quality intensive capacity-building services to state clients and recipients, 2) promote effective instruction in classrooms and schools, and 3) provide families and students with access and opportunities for a high-quality education that meets their unique needs.

We look forward to working with this new and unique model for the R16CC providing high-quality intensive capacity-building services to the State Educational Agencies (SEAs), Tribal Education Agencies (TEAs), Regional Educational Agencies (REAs), Local Educational Agencies (LEAs), and rural schools. Washington, Oregon, and Alaska ESAs have decades of experience in successfully providing high-quality intensive capacity-building services to their respective SEAs, TEAs, REAs, LEAs, and schools to identify, implement, and sustain effective evidence-based programs, practices, and interventions that promote improved educator and student outcomes.

Please accept this letter as our acknowledgement and sincere interest of supporting this Region 16 Comprehensive Center (R16CC) project.

Respectfully,

Gary Peterson

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Jada Rupley, Superintendent, Clackamas ESD

Pat Sublette, Superintendent, Columbia Gorge ESD

Michael Lasher, Superintendent, Douglas ESD

Charlie Beck, Superintendent, Harney ESD

Paul Andrews, Superintendent, High Desert ESD

Mark Mulvihill, Superintendent, InterMountain ESD

Ken Parshall, Superintendent, Jefferson ESD

Jack Thompson, Superintendent, Lake ESD

Tony Scurto, Superintendent, Lane ESD

Tonja Everest, Superintendent, Linn Benton Lincoln ESD

Mark Redmond, Superintendent, Malheur ESD

Sam Breyer, Superintendent, Multnomah ESD

Rob Saxton, Superintendent, NW Regional ESD

Tenneal Wetherell, Superintendent, South Coast ESD

Scott Beveridge, Superintendent, Southern Oregon ESD

Dave Novotney, Superintendent, Willamette ESD

Penny Grotting, Superintendent, North Central ESD

Gary Peterson, Executive Director, OAESD

OREGON SCHOOL BOARDS ASSOCIATION

1201 Court Street NE, Suite 400, Salem, OR 97301
503-588-2800 | 800-578-6722 | Fax 503-588-2813 | www.osba.org

May 22, 2019

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Liz Hartman
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State Board of Education
Anthony Veliz

EXECUTIVE DIRECTOR
Jim Green

DEPUTY EXECUTIVE DIRECTOR
Mary Paulson

The Honorable Betsy DeVos
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Secretary DeVos:

The Oregon School Boards Association (OSBA) has a longstanding relationship with the Oregon Association of Education Service Districts (OAESD) as the publicly elected board members who serve on the local education service district (ESD) boards are also members of OSBA. We also work closely with Oregon's ESDs in a variety of ways as they support local districts and the Oregon Department of Education (ODE). On behalf of OSBA I am pleased to support SERRC, Alaska's Educational Resource Center's Region 16 Comprehensive Center grant application in partnership with the Oregon and Washington ESDs in the Region 16 Comprehensive Center grant application to the U.S. Department of Education Comprehensive Centers Program. I am confident that this partnership of SERRC leadership in collaboration with OAESD and the Washington Association of Education Service Districts in Region 16 will lead to expanded opportunities for continued collaborations for the benefit of students in Oregon and across the Northwest region.

Of importance to both our Associations and ODE is the recent successful passage in the Oregon Legislature of a significant school improvement funding bill. This legislation, the product of a year-long conversation with communities throughout Oregon, is designed to: increase access to early childhood learning opportunities for children, particularly those without access to such programs; increase student achievement and reduce academic disparities for economically disadvantaged students, students from racial or ethnic groups that have historically experienced disparities, students with disabilities and students who are English language learners; and, support and provide assistance to districts who have been identified and selected by the Department for participation in programs of intensive support. We look to Oregon's publicly funded system of ESDs to assist our 197 school districts and our Department in achieving the goals of this legislation for our nearly 600,000 students. The incorporation of the Region 16 Comprehensive Center goals with OAESD's work with ODE in the successful implementation of this legislation provides a powerful way to enhance the opportunities for both projects.

OAESD has long been a valued partner for OSBA and in service to Oregon's schools. I believe that a Comprehensive Center led by SERRC and its Oregon

and Washington ESD partners is well-positioned to understand and meet the needs of rural and underserved students in Oregon, Alaska and Washington making sure our schools can prepare students for the next steps in life, regardless of challenges they may face.

Sincerely,

Jim Green
Executive Director
Oregon School Boards Association

JEG/jl

Academic Development Institute

ADI

Est 1984

Ingenuity and Service

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington DC 20202

May 22, 2019

Dear Honorable DeVos,

It is with pleasure that I write to commit Academic Development Institute (ADI) as a partner with Southeast Regional Resource Center (SERRC—Alaska's Education Resource Center) the lead applicant for the regional consortium of three state level associations of Educational Service Agencies (ESA) in Washington, Oregon, and Alaska. Each agency of the consortium has a strong record of providing high-quality technical assistance and knows the political and cultural context of their respective states.

As the lead in a national content center from 2005 to 2012, and a partner in three national content centers since 2012, ADI has had many opportunities to work in Alaska, Washington, and Oregon. The partners in this proposal have provided timely, relevant, and valuable technical assistance to their respective states.

ADI has a long history of providing services to schools, districts, regions, and SEAs in instructional transformation, continuous school improvement, enhancement of student's learning habits, and strategic performance management, as well as a 35-year history of working in family engagement to support children's learning. ADI has provided technical assistance in Alaska supporting the SEA's efforts to create a system of support as well as providing an online technical assistance for school improvement through ADI's online platform, Indistar. ADI has also supported both Oregon and Washington in their school improvement efforts with technical assistance and providing Indistar for schools and districts. ADI also worked with Oregon's District and School Effectiveness Team to apply strategic performance management to their improvement process.

We will bring the full resources of ADI to bear as the region works to close the achievement gap and support the highest level of learning for all.

Sincerely,

Pam Sheley

Pam Sheley, Executive Director
Academic Development Institute

121 N. Kickapoo Street | Lincoln, IL 62656 | www.adi.org | T 217-732-6462 | F 217-732-3696

CRPE
REINVENTING
PUBLIC EDUCATION

May 17, 2019

Sheryl Weinberg
Executive Director, SERRC
210 Ferry Way
Juneau, AK 99801
(907) 586-6806
(907) 463-3811 (fax)

Dear Ms. Weinberg,

We are pleased to submit these documents and this letter of support for SERRC's grant application to the Department of Education's solicitation for the "Comprehensive Centers Program – Region 16," ED-GRANTS-040419-001, CFDA #84.283B. Details with regard to this submission as subrecipient follow:

Applicant Name: University of Washington
Principal Investigator: Betheny Gross, Associate Director
Department Contact: Sara Hausermann, Grants and Operations Manager
Authorized Official: Carol Rhodes, Director, Office of Sponsored Programs

Address: 4333 Brooklyn Ave NE, Box 359472
Seattle, WA 98195-9472
Phone Number: (206) 543-4043
Fax: (206) 685-1732
Email: osp@uw.edu with a copy to sahauser@uw.edu

TIN Number: 91-6001537
DUNS Number: 042803536
F&A Agreement Date: July 21, 2017

Dates: October 1, 2019 – September 30, 2024
Amount Requested: Year 1: $130,039 / Total: $688,222

We have attached the following supporting documentation for your consideration and review:

- CVs of Betheny Gross and Robin Lake
- Budget request
- Budget justification
- Scope of Work

We thank you for advance for allowing us to participate in this solicitation with you!

Sincerely,

Carol Rhodes, Director OSP

Kauffman & Associates INCORPORATED

May 24, 2019

Sheryl Weinberg, SERRC Executive Director
Southeast Alaska Education Resource Center (SERRC)
210 Ferry Way
Juneau, AK 99801

Dear Sheryl Weinberg:

Kauffman & Associates, Inc. (KAI) is pleased to submit our letter of support to the Southeast Alaska Education Resource Center (SERRC) in its application to the U.S. Department of Education, Office of Elementary and Secondary Education, for CFDA 84.283B for *Application for New Grants Under the Comprehensive Centers Program*, for Region 16 Comprehensive Center (R16CC). A 100% minority and woman owned small business with offices in Spokane, WA; Seattle, WA; and Washington, DC; KAI has been providing research and evaluation, training and technical assistance, communications, meeting and event planning, and management and grants support to federal, state, and tribal governments for more than 29 years. Our clients include the U.S. Departments of Education, the National Science Foundation (NSF), National Aeronautics and Space Administration (NASA), state of Washington, University of Washington, Association of Washington School Principals (AWSP), and Washington Association of Educational Services Districts (AESD). We value the trust and excellent reputation we have earned working with these agencies.

KAI is committed to l supporting SERRC by providing the evaluation for the development of R16CC. We acknowledge that the development of R16CC will meet a critical need to: 1) provide high quality intensive capacity building services to state clients and recipients, 2) promote effective instruction in classrooms and school and 3) provide families and students with access and opportunities for a high-quality education that meets their unique needs. KAI brings substantial expertise and experience in conducting evaluations of educational leadership and professional development initiatives at all levels, from federal and state to district and classroom. We use participatory evaluation approaches that involve communities in the design, implementation, and interpretation of findings.

KAI looks forward to working with SERRC and the U.S. Department of Education.

Sincerely,

Jo Ann Kauffman, MPH
President

165 S. Howard St., Suite 200
Spokane, WA 99201
Phone: (509) 747-4994

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AESA
ASSOCIATION OF
EDUCATIONAL SERVICE AGENCIES

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Suite 40-282
Katy, TX 77494
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www.aesa.us

May 8, 2019

The Honorable Betsy DeVos
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Secretary DeVos,

On behalf of the Association of Educational Service Agencies (AESA), I'm pleased to offer enthusiastic support of the impressive group of educational service agencies from Alaska, Washington, and Oregon and their partners in SERRC's Region 16 Comprehensive Center grant application.

As the Executive Director of AESA, the national organization for educational service agencies located in 45 states, I've worked closely with each of these agencies. They are trusted partners in their respective states, helping schools and districts to provide the best educational opportunities for students, including many in rural and underserved districts where they play an especially critical role. These ESAs provide a diverse suite of shared services, which are both effective and cost-efficient, allowing more school and district resources to be used directly with students in classrooms.

Oregon's Education Service Districts (ESDs) are currently involved in statewide initiatives to provide support to the State Education Agency (SEA) to better serve English language learners, implement multi-tiered systems of support and reduce incidents of chronic absenteeism. Oregon's ESDs also provide backbone structure and support for other statewide programs including the system of early learning hubs and preschool "promise" initiatives, regional achievement collaboratives, dual credit for high school students moving to higher education and a variety of career technical consortiums.

In the state of Washington, the OSPI/Association of Education Service Districts (AESD) Network of Professional Learning works closely with all nine educational service districts to coordinate all professional learning for educators around the content areas of mathematics, science, early learning, and English language arts. Additionally, AESD established a Statewide Initiatives Learning Team (SILT) to focus on improvements in special education student learning. During the 2018-19 school year, the OSPI/AESD Network provided intensive professional learning for "regular" education and special education teachers, that lead to continuous improvement in special education student learning in Washington. The AESD network serves all 65,000 teachers and just over 1,150,000 students and is subject to ongoing, rigorous program evaluation, both formative and summative. The results demonstrate that improvement in teacher instructional practice leads to improvements in student learning.

SERRC, an educational service agency in Alaska, and Puget Sound ESD #121, located in the state of Washington, have shown exceptional leadership regarding cultural proficiency and equity for all students. Educational leaders of both agencies serve as charter members of one of AESA's Affinity Groups focused on "Equity, Inclusion, and Social Justice." Both SERRC and Puget Sound ESD #121 have presented numerous times at our national conference. SERRC recently facilitated the breakout session for the very first AESA Virtual Conference on Poverty and Trauma-Informed Care. Sheryl Weinberg, Executive Director of SERRC, served for four years on the AESA

Executive Council and played a significant role in organizing the 2017 National AESA Annual Conference with the theme "Hope to Change: Equity, Inclusion and Social Justice."

AESA supports regional partnerships to significantly impact outcomes for students. Joining forces, ESAs can leverage resources and tap into the expertise of staff across agencies to provide the highest quality of service for schools, districts and state departments of education in Region 16. What's most exciting to me at the national level is the potential for this partnership to serve as a model for other regions.

This Region 16 Comprehensive Center network of agencies will have the support of AESA and access to AESA's platforms to share its work at national conferences and through national publications. We have in place and will provide access to our conferences, and online forums for dissemination all educators and educational leaders in the region, and throughout the country.

Together we can do more to provide the education our students deserve, and this proposal is an outstanding example of collective impact. I look forward to seeing the successes ahead.

Sincerely,

Joan H Wade

Joan Wade, Executive Director
Association of Educational Service Agencies

Tribal Education Departments
National Assembly

May 21, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington DC 20202

Re: Region 16 Comprehensive Center (R16CC) Proposal

Dear Secretary DeVos:

The Tribal Education Departments National Assembly (TEDNA) is a national Native nonprofit whose mission is to support and create resources for Tribal Education Agencies and Departments that represent Tribal nations in all educational matters. It is my pleasure to write this letter of support for the Region 16 Comprehensive Center proposal that includes TEDNA. We are prepared to provide high-quality intensive capacity-building services and technical assistance to the State Educational Agencies (SEAs), Tribal Education Agencies (TEAs), Regional Educational Agencies (REAs), Local Educational Agencies (LEAs), and rural schools in the states of Washington, Oregon, and Alaska. The Region 16 Comprehensive Center is well-situated to help Tribal nations become a valuable partner with all education agencies in promoting the success of our American Indian and Alaska Native students, and TEDNA looks forward to being of service to support this process.

Sincerely,

Quinton Roman Nose, Executive Director
Tribal Education Departments National Assembly

Native American Rights Fund

1506 Broadway, Boulder, Colorado 80302-6296
(303) 447-8760 FAX (303) 443-7776
www.narf.org

EXECUTIVE DIRECTOR
John E. Echohawk

LITIGATION MANAGEMENT COMMITTEE
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David L. Gover
Matthew L. Campbell

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K. Jerome Gottschalk
David L. Gover
Melody L. McCoy
Steven C. Moore
Susan Y. Noe
Brett Lee Shelton
Joe M. Tenorio
Don R. Wharton
Heather D. Whiteman Runs Him

CHIEF FINANCIAL OFFICER
Michael Kennedy

DIRECTOR OF DEVELOPMENT
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Erin C. Dougherty Lynch
Matthew N. Newman
Wesley J. Furlong

May 23, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington, D.C. 20202

Re: In Support of Region 16 Comprehensive Center Proposal

Dear Secretary DeVos:

The Native American Rights Fund (NARF) was founded in 1970 and is the premier nonprofit law firm defending and advancing the rights of American Indian and Alaska Native tribes, organizations, and people nationwide. NARF is headquartered in Boulder, Colorado, with branch offices in Washington, D.C. and Anchorage, Alaska.

NARF is pleased to learn of the proposal for a Region 16 Center Comprehensive Center (R16CC). The proposal, which includes the Tribal Education Departments National Assembly (TEDNA), if accepted, will provide high-quality intensive capacity-building services and technical assistance to the State Educational Agencies (SEAs), Tribal Education Agencies (TEAs), Regional Educational Agencies (REAs), Local Educational Agencies (LEAs), and rural schools serving PK-12 students in the states of Washington, Oregon, and Alaska.

Almost fifteen years ago, under the direction of then-President George W. Bush, your Department provided contract funding to NARF to help found TEDNA, the first, and only, national membership organization for TEAs (also known as Tribal Education Departments or TEDs). With NARF's assistance, TEDNA has become a leading Native education organization that focuses on tribal governance over PK-12 education provided by state, federal, and tribal schools.

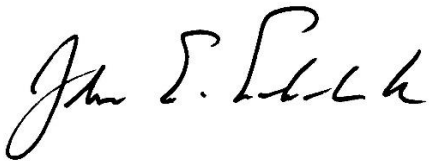
NARF would be willing and able to provide training or support to American Indian and Alaska Native Tribes and others touched through the R16CC proposal. NARF already provides training and professional development nationwide to TEDNA, the National Indian Education Association, and individual tribes regarding tribal education codes and intergovernmental education agreements to identify areas for increased tribal

governance and intergovernmental relationships in education to help Native and non-Native students.

NARF is particularly suited to assisting the 227 federally-recognized tribes in Alaska. NARF opened its Alaska office in 1984 specifically to address the unique rights and need of these tribes. At present NARF's Alaska office has five attorneys, the most ever in its thirty-five-year history. NARF Alaska's current and past work includes direct representation of tribes on issues of education, as well as child welfare, custody and support issues. NARF Alaska also has worked directly with the State of Alaska to establish and implement state rules and policies and agreements with tribes in these areas that benefit all Alaska citizens. In addition, NARF historically has had two of its thirteen Board of Directors' members be from Alaska. Past NARF Board members from Alaska include Willie Kasayulie (*Akiachak*) and Mike Williams, Sr. (*Akiak*), both of whom are prominent Alaska Native leaders in tribal governance and education.

NARF firmly believes in educational opportunities and what they can offer American Indian and Alaska Native children and their families. Please accept this letter as our unconditional support for the R16CC proposal which will help further these opportunities.

Respectfully yours,



John E. Echohawk
Executive Director

SoundOut
PO Box 6185 Olympia, WA 98507-6185
soundout.org

Adam Fletcher, Founding Director
(360) 489-9680 | adam@soundout.org

May 15, 2019

The Honorable Betsy DeVos
Secretary of Education
U.S. Department of Education
400 Maryland Avenue SW
LBJ Education Building
Washington, DC 20202

RE: Region 16 Comprehensive Center (R16CC) Proposal

Dear Secretary DeVos:

Since 2002, SoundOut has supported more than 500 primary, middle and secondary schools in more 50 school districts in 22 states across the country as they engage the voices of students, parents, educators and others. Serving 250,000 students directly, our staff have also worked directly with educators, para-professionals, school leaders, elected officials, parents, community partners and other school stakeholders to examine, build the capacity, and promote meaningful involvement in all grade levels for all learners. Our services include professional development, program operations, evaluations of classroom practice, and technical assistance at the building, district and state levels.

In addition to our services, SoundOut provides tools for educators including original research, white papers, classroom curricula, evaluations, planning guides and more. In the 17 years we have been in operation, our materials have been cited thousands of times in education journals, academic analyses, doctoral dissertations and other highly rigorous sources, including the U.S. Department of Education.

Through all of this activity, SoundOut enjoys an unparalleled reputation as an international leader in the movement for student voices throughout education.

SoundOut is actively engaged in numerous effective educational partnerships that complement the Region 16 grant goals. The three goals of the Region 16 Comprehensive Center align directly with our operating practices: 1, provide high-quality intensive capacity-building services to state clients and recipients; 2, promote effective instruction in classrooms and schools, and; 3, provide families and students with access and opportunities for a high-quality education that meets their unique needs. These goals mirror our approach to serving with our K-12 clients across the country, and specifically in Washington, Oregon and Alaska.

Please accept this letter as SoundOut's full support of this Region 16 Comprehensive Center (R16CC) project. We look forward to working with the Association of Educational Service Districts on this exciting endeavor.

Sincerely,

Adam Fletcher
Founding Director, SoundOut

Budget Narrative File(s)

*** Mandatory Budget Narrative Filename:** 1242-Region 16 Comprehensive Center - Better Togeth

Add Mandatory Budget Narrative | Delete Mandatory Budget Narrative | View Mandatory Budget Narrative

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

Add Optional Budget Narrative | Delete Optional Budget Narrative | View Optional Budget Narrative

Tracking Number:GRANT12862514 Funding Opportunity Number:ED-GRANTS-040419-001 Received Date:May 24, 2019 09:15:29 PM EDT

Southeast Regional Resource Center
Budget Narrative - Region 16 Comprehensive Center: Better Together
CFDA 84.283B

FIVE YEAR TOTALS						
	Year 1 Federal Funding	**Year 2 Federal Funding**	**Year 3 Federal Funding**	**Year 4 Federal Funding**	**Year 5 Federal Funding**	**FIVE YEAR TOTAL COSTS**
Total Personnel	$328,890	$308,494	$314,665	$320,959	$327,378	$1,600,386
Total Fringe Benefits	$191,872	$180,282	$183,888	$187,566	$191,318	$934,926
Total Travel	$58,384	$58,384	$60,966	$61,035	$45,966	$284,735
Total Equipment	$0	$0	$0	$0	$0	$0
Total Supplies	$35,000	$35,000	$35,000	$35,000	$35,000	$175,000
Total Contractual	$2,209,610	$2,213,263	$2,217,063	$2,221,015	$2,225,125	$11,086,076
Construction	$0	$0	$0	$0	$0	$0
Total Other	$0	$0	$0	$0	$0	$0
Total Direct Cost	**$2,823,756**	**$2,795,423**	**$2,811,582**	**$2,825,575**	**$2,824,787**	**$14,081,123**
Total Indirect Cost	**$491,512**	**$484,475**	**$487,194**	**$489,403**	**$488,326**	**$2,440,910**
Training Stipends	$0	$0	$0	$0	$0	$0
Total Cost of Project	**$3,315,268**	**$3,279,898**	**$3,298,776**	**$3,314,978**	**$3,313,113**	**$16,522,033**

Southeast Regional Resource Center
Budget Narrative - Region 16 Comprehensive Center: Better Together
CFDA 84.283B

1. Personnel	**Description**	**Details**
		Salaries and fringe benefits are based on current agreements and employee contracts. A salary inc 2% per year is applied to this budget.
Project Director, Gerry Briscoe; WA Co- Project Director Todd Johnson; Oregon Co-Project Director TBH.	These positions will **collaboratively** be responsible for providing leadership and daily management direction related to the coordination, implementation, monitoring and, as necessary, revision of project goals and objectives for R16CC.	
Project Director (Briscoe) - Annual salary est. @ $370/day x 234 days = .90 FTE *NOTE: SERRC is a non-profit. Salaries are not necessarily commensurate with agencies with union negotiated agreements.*	Oversee implementation of effective personnel management system; oversee implementation of communication system; Project liaison with grant evaluator and National Center; facilitate MOUs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Washington; identify partners for implementation and scaling up of evidence based programs, practices, andinterventions; ensure assistance to AK SEA on state initiatives	90% FTE - Program cost annually
Co-Project Director - WA (Todd Johnson) - Annual salary est. @ $576/day x 130 days = .50 FTE	Liaison with Washington ESDs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Washington; identify partners for implementation and scaling up of evidence based programs, practices, and interventions; ensure assistance to WA SEA on state initiatives	50% FTE - Program cost annually
Co-Project Director - OR (TBD) - Annual salary est. @ $576/day x 130 days = .50 FTE	Liaison with Oregon ESDs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Oregon; identify partners for implementation and scaling up of evidence based programs, practices, and interventions; ensure assistance to OR SEA on state initiatives	50% FTE - Program cost annually
Program/Administrative Assistant (Desiree Forbes) - @ $165/day for 117 days = .45 FTE	Support Project Director by completion of administrative tasks,(i.e. organizing and scheduling meetings, organizing travel, generate reports, transcribe minutes from meetings, direct communication through email and phone, preparing correspondence, processing documents)	45% FTE - Program cost annually
Communications Director (ESD 113 - WA)- Annual salary @ $300/day x 130 days (.50 FTE yr 1; .30 FT yrs 2 -5)	Implement and oversee the communications plan for the region and WA to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	50% FTE - Program cost for YR 1
Communications Director (SERRC)- Annual salary @ $300/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Implement and oversee the communications plan for AK to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	15% FTE - Program cost for YR 1

Communications Director (OR)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Implement and oversee the communications plan for OR to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	15% FTE - Program cost for YR 1
Web Accessibility Specialist (WA)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Review, monitor, and ensure all communication activities in the project are in compliance with ADA requirements for equitable access to all persons with a disability. Consult with such persons to determine what aid or service is necessary to be effective when communicating project services.	15% FTE - Program cost for YR 1
TOTAL PERSONNEL		
2. Fringe Benefits		
Project Director - AK	90% FTE	Fringe benefits for salary. Includes retirement an insurance - 64.15%
Co- Project Director - WA	50% FTE	Fringe benefits for salary. Includes retirement an insurance - 55%
Co- Project Director - OR	50% FTE	Fringe benefits for salary. Includes retirement an insurance - 55%
Program/Admin Assistant - AK	45% FTE	Fringe benefits for salary. Includes retirement an insurance - 64.15%
Communications Director - WA	50% FTE	Fringe benefits for salary. Includes retirement an insurance - 55%
Communications Director - AK	15% FTE	Fringe benefits for salary. Includes retirement an insurance - 64.15%
Communications Director - OR	15% FTE	Fringe benefits for salary. Includes retirement an insurance - 55%
Web Accessibility Specialist - WA	15% FTE	Fringe benefits for salary. Includes retirement an insurance - 55%
TOTAL FRINGE BENEFITS		
3. Travel		
Project Directors meeting in Washington, DC	Annual meeting of all Project Directors of all 20 regions and National Comprehensive Center to meet with USDOE to monitor progress of Centers and to be updated on requirements and notification of any changes and their impact on Center services to SEAs.	Staff to travel to Washington, DC for annual 2 da Airfare - 4 staff - 1 - ANC-DCA - $954.00; 1 staff - $846.00; 1 staff - SEA-DCA- $888.00; 1 staff - PDX lodging 4 nights @ $300.00/each - for 4 staff ; pe $91/day for 4 staff ; incidentals each (taxi, parkin transportation)
Project Director and Co-Directors travel to schools and districts each year	Director and Co-Directors will provide on-site services at the intensity, duration, and modality appropriate to achieve milestones, outputs, and outcomes described in Region 16 state service plans and in the R16CC grant proposal.	3 Staff members will travel to 4 schools and distr Travel will originate in Alaska, Washington and O costs for travel in Alaska is $2880 per trip; estima travel in Washington is $800 per trip; estimated c Oregon is $800 per trip
Annual Advisory Board meeting	Required under Program Statute. Annually, the Advisory Board shall advise the R16CC leadership on strategies for monitoring and addressing the educational needs of the region; on maintaining a high standards of quality in the performance of the center's activities; and carrying out the center's duties in a manner that promotes rogress toward improving student academic achievement.	Advisory Board members will meet fact to face o for 1 day.There are 18 advisory board members p total number of travelers is 21. Travel will origina Washington State, Oregon, Illinois, and Oklahoma Advisory Board (AB) will meet in WA; Yr 2 the AB Yr 3 the AB will meet in OR; Yr 4 the AB will meet AB will meeting OR. Costs are estimated from all AB members. 2 nights hotel, 3 days per diem

Project Director and Co-Directors - Professional Development	Program requirement: Collaborate with National Center and other national partners to support client and recipient participation in learning opportunities (e.g., multi-state and cross-regional peer-to-peer exchanges on high-leverage problems) by participating in learning opportunities with the goal of reaching as many REAS, LEAS, and schools in need of services as possible.	Travel expenses for project directors to attend na professional development conferences, seminars training opportunities. Estimated expenses are f to travel from Alaska, 1 staff person from Washgi and another from Oregon. This includes confere fees
TOTAL TRAVEL		
TOTAL EQUIPMENT		
5. Supplies		
Program supplies	Supplies related to project management and delivery of technical assistance, facilitation of professional learning, and capacity-building services. Supplies related to the implementation of activities within the Management Plan goals/obj/measures.	
Communications/Media Marketing - supplies	Supplies for development, branding and promotion of professional learning or technical assistance events, trainings, or conferences related to activities associated with goals, obj. in R16CC Management Plan. Materials related to dissemination of guides for instruction, curriclum, or assessment.	
TOTAL SUPPLIES		
6. Contractual		
Subrecipient - Center On Reinventing Public Education (CRPE)	National partner in the grant. Participate in Advisory Board meetings; participate in SEA needs assessments meetings annually; assist in developing annual state plans; consulting to SEAs and REAs around educational choice, rural education, school leadership, capacity building; oversee and facilitate 18 month cycles of network learning around problems of practice. There will be three, 18 month cycles of network learning with SEAs, TEAs, and AESDs per year. Start mid way in year 1 and third will conclude in year 5. Each cycle will include four in-person meetings and monthly virtual meetings.	3 personnel @ 5%, 4%, and 30% effort over five fringe benefits, travel, IT/data support
Subrecipient - Academic Development Institute (ADI)	National partner in the grant. ADI will provide expertise in leadership using Strategic Performance Management and will use a train the trainer approach to help build capacity. Establish a network of the 3 state region to focus on the Four Domains framework of systems of support. Provide deep and intensive capacity-building services for each state. Provide professional development in SPM for the ESAs in a train the trainer model.	3 personnel @ 10%, 20%, and 15% effort over fiv fringe benefits, travel, consultants as appropriate supplies, indirect costs 10%
Subrecipient - Tribal Education Departments National Assembly (TEDNA)	National partner in the grant. TEDNA will consult with state Tribal Eduation Agencies and Departments to align work with SEA vision, mission, goals, and strategies with implementation science evidence-based practices. TEDNA will provide Strategic Performance Management capacity building to the tribes in building leadership. Culture Shift Institute capacity building will be provided to school improvement leads in Educational Service Agencies. Cultural Proficiency capacity building will be provided by TEDNA to SEAs, TEAs, and REAs and school improvement leads in ESAs.	Employees and consultants over a five year perio personnel and travel costs

Subrecipient - Kauffman Evaluation Services	External Evaluator. Attend monthly meetings, work with all partners, develop briefs, infographics, annual summative report, enter continuous cycles of improvement to modify coneptual model, implementation of activities and processes, monitor GPRA measures with six overarching evaluation questions. Conduct interviews and focus groups on a semi-annual basis; review state implementation plans for clarity and alignment to goals and obj. of R16CC. Conduct training and consultation surveys.	1 evaluator and 1 consulant over a 5 year period; support services and travel
Communications/Media Marketing: branding, recruitment, engagement and dissemination	Contracts with retail printing companies, website domain fees and website maintenance, subscriptions to video-conferencing software, publications, website development, promotion of community and stakeholder engagement activities, distribution of communications around dissemination of evidence-based research and guides, reports to stakeholders, compilation of resources, tools, and best practice guides that incorporate specific contexts; create branding, logo, etc.	
Professional Development - provided by ESA staff and selected experts	Staff from the 29 ESA consortium and selected experts will be trained and deliver professional development in the areas of Strategic Performance Management, Cultural Proficiency, Implementation Science, Coaching model to implement Transformation Academy and Culture Shift Institutes, and Cycles of Learning.	
Technical Assistance - provided by ESA Staff and selected experts	Staff from the 29 ESA consortium and selected experts will provide technical assistance in tiered levels of support using six phases of implementation to SEAs, TEAs, REAs, LEAs, and schools to increase their capacity to select and implement evidence-based practices that support ESEA.	
State Conferences	Director and Co-Directors shall determine the number and location of annual convenings each year of the grant. These shall be for the purposes of developing, improving, and implementing systems of support for district and school improvement with State teams of school improvement and equity leadership; developing plans for focused and aligned service to districts that address instruction, students' capabilities, and needs, and well-being through personal and social capabilities instruction	
TOTAL CONTRACTUAL		
9. TOTAL DIRECT COSTS		
10. Indirect Costs @ 22.0% Indirect Cost Rate agreement # 2019-054 - MTDC - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each sub award (subcontract or subgrant) above $25,000 (each award; each year)		
11. Training Stipends		
12. TOTAL COSTS		
Grant Total: Funding Request		
This budget only includes costs that are allowable, reasonable, and necessary to carry out the objectives of the Comprehensive Centers program as set out in 2 CFR Part 200(2), as adopted by the Department at 2 CFR Part 3474(3). Procedures for procurement have been followed under 2 CFR 200.317 - 200.326.		

Southeast Regional Resource Center
Budget Narrative - Region 16 Comprehensive Center: Better Together
CFDA 84.283B

1. Personnel	**Description**	**Details**
		Salaries and fringe benefits are based on curr agreements and employee contracts. A salary 2% per year is applied to this budget.
Project Director, Gerry Briscoe; WA Co- Project Director Todd Johnson; Oregon Co-Project Director TBH.	These positions will **collaboratively** be responsible for providing leadership and daily management direction related to the coordination, implementation, monitoring and, as necessary, revision of project goals and objectives for R16CC.	
Project Director (Briscoe) - Annual salary est. @ $370/day x 234 days = .90 FTE *NOTE: SERRC is a non-profit. Salaries are not necessarily commensurate with agencies with union negotiated agreements.*	Oversee implementation of effective personnel management system; oversee implementation of communication system; Project liaison with grant evaluator and National Center; facilitate MOUs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Washington; identify partners for implementation and scaling up of evidence based programs, practices, andinterventions; ensure assistance to AK SEA on state initiatives	90% FTE - Program cost annually
Co-Project Director - WA (Todd Johnson) - Annual salary est. @ $576/day x 130 days = .50 FTE	Liaison with Washington ESDs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Washington; identify partners for implementation and scaling up of evidence based programs, practices, and interventions; ensure assistance to WA SEA on state initiatives	50% FTE - Program cost annually
Co-Project Director - OR (TBD) - Annual salary est. @ $576/day x 130 days = .50 FTE	Liaison with Oregon ESDs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Oregon; identify partners for implementation and scaling up of evidence based programs, practices, and interventions; ensure assistance to OR SEA on state initiatives	50% FTE - Program cost annually
Program/Administrative Assistant (Desiree Forbes) - @ $165/day for 117 days = .45 FTE	Support Project Director by completion of administrative tasks,(i.e. organizing and scheduling meetings, organizing travel, generate reports, transcribe minutes from meetings, direct communication through email and phone, preparing correspondence, processing documents)	45% FTE - Program cost annually
Communications Director (ESD 113 - WA)- Annual salary @ $300/day x 130 days (.50 FTE yr 1; .30 FT yrs 2 -5)	Implement and oversee the communications plan for the region and WA to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	30% FTE - Program cost for YR 2
Communications Director (SERRC)- Annual salary @ $300/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Implement and oversee the communications plan for AK to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	10% FTE - Program cost for YR 2

Communications Director (OR)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Implement and oversee the communications plan for OR to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	10% FTE - Program cost for YR 2
Web Accessibility Specialist (WA)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Review, monitor, and ensure all communication activities in the project are in compliance with ADA requirements for equitable access to all persons with a disability. Consult with such persons to determine what aid or service is necessary to be effective when communicating project services.	10% FTE - Program cost for YR 2
TOTAL PERSONNEL		
2. Fringe Benefits		
Project Director - AK	90% FTE	Fringe benefits for salary. Includes retiremen insurance - 64.15%
Co- Project Director - WA	50% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
Co- Project Director - OR	50% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
Program/Admin Assistant - AK	45% FTE	Fringe benefits for salary. Includes retiremen insurance - 64.15%
Communications Director - WA	30% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
Communications Director - AK	10% FTE	Fringe benefits for salary. Includes retiremen insurance - 64.15%
Communications Director - OR	10% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
Web Accessibility Specialist - WA	10% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
TOTAL FRINGE BENEFITS		
3. Travel		
Project Directors meeting in Washington, DC	Annual meeting of all Project Directors of all 20 regions and National Comprehensive Center to meet with USDOE to monitor progress of Centers and to be updated on requirements and notification of any changes and their impact on Center services to SEAs.	Staff to travel to Washington, DC for annual 2 Airfare - 4 staff - 1 - ANC-DCA - $954.00; 1 sta $846.00; 1 staff - SEA-DCA- $888.00; 1 staff - F lodging 4 nights @ $300.00/each - for 4 staff ; $91/day for 4 staff ; incidentals each (taxi, par transportation)
Project Director and Co-Directors travel to schools and districts each year	Director and Co-Directors will provide on-site services at the intensity, duration, and modality appropriate to achieve milestones, outputs, and outcomes described in Region 16 state service plans and in the R16CC grant proposal.	3 Staff members will travel to 4 schools and d Travel will originate in Alaska, Washington an costs for travel in Alaska is $2880 per trip; est travel in Washington is $800 per trip; estimate Oregon is $800 per trip
Annual Advisory Board meeting	Required under Program Statute. Annually, the Advisory Board shall advise the R16CC leadership on strategies for monitoring and addressing the educational needs of the region; on maintaining a high standards of quality in the performance of the center's activities; and carrying out the center's duties in a manner that promotes rogress toward improving student academic achievement.	Advisory Board members will meet fact to fac for 1 day.There are 18 advisory board membe total number of travelers is 21. Travel will ori Washington State, Oregon, Illinois, and Oklah Advisory Board (AB) will meet in WA; Yr 2 the Yr 3 the AB will meet in OR; Yr 4 the AB will m will meeting OR. Costs are estimated from all members. 2 nights hotel, 3 days per diem

Project Director and Co-Directors - Professional Development	Program requirement: Collaborate with National Center and other national partners to support client and recipient participation in learning opportunities (e.g., multi-state and cross-regional peer-to-peer exchanges on high-leverage problems) by participating in learning opportunities with the goal of reaching as many REAS, LEAS, and schools in need of services as possible.	Travel expenses for project directors to attend professional development conferences, semin training opportunities. Estimated expenses ar to travel from Alaska, 1 staff person from Was and another from Oregon. This includes confe fees
TOTAL TRAVEL		
TOTAL EQUIPMENT		
5. Supplies		
Program Supplies	Supplies related to project management and delivery of technical assistance, facilitation of professional learning, and capacity-building services. Supplies related to the implementation of activities within the Management Plan goals/obj/measures.	
Communications/Media Marketing - supplies	Supplies for development, branding and promotion of professional learning or technical assistance events, trainings, or conferences related to activities associated with goals, obj. in R16CC Management Plan. Materials related to dissemination of guides for instruction, curriclum, or assessment.	
TOTAL SUPPLIES		
6. Contractual		
Subrecipient - Center On Reinventing Public Education (CRPE)	National partner in the grant. Participate in Advisory Board meetings; participate in SEA needs assessments meetings annually; assist in developing annual state plans; consulting to SEAs and REAs around educational choice, rural education, school leadership, capacity building; oversee and facilitate 18 month cycles of network learning around problems of practice. There will be three, 18 month cycles of network learning with SEAs, TEAs, and AESDs per year. Start mid way in year 1 and third will conclude in year 5. Each cycle will include four in-person meetings and monthly virtual meetings.	3 personnel @ 5%, 4%, and 30% effort over f fringe benefits, travel, IT/data support
Subrecipient - Academic Development Institute (ADI)	National partner in the grant. ADI will provide expertise in leadership using Strategic Performance Management and will use a train the trainer approach to help build capacity. Establish a network of the 3 state region to focus on the Four Domains framework of systems of support. Provide deep and intensive capacity-building services for each state. Provide professional development in SPM for the ESAs in a train the trainer model.	3 personnel @ 10%, 20%, and 15% effort over fringe benefits, travel, consultants as appropri supplies
Subrecipient - Tribal Education Departments National Assembly (TEDNA)	National partner in the grant. TEDNA will consult with state Tribal Eduation Agencies and Departments to align work with SEA vision, mission, goals, and strategies with implementation science evidence-based practices. TEDNA will provide Strategic Performance Management capacity building to the tribes in building leadership. Culture Shift Institute capacity building will be provided to school improvement leads in Educational Service Agencies. Cultural Proficiency capacity building will be provided by TEDNA to SEAs, TEAs, and REAs and school improvement leads in ESAs.	Employees and consultants over a five year pe personnel and travel costs

Subrecipient - Kauffman Evaluation Services	External Evaluator. Attend monthly meetings, work with all partners, develop briefs, infographics, annual summative report, enter continuous cycles of improvement to modify coneptual model, implementation of activities and processes, monitor GPRA measures with six overarching evaluation questions. Conduct interviews and focus groups on a semi-annual basis; review state implementation plans for clarity and alignment to goals and obj. of R16CC. Conduct training and consultation surveys.	1 evaluator and 1 consulant over a 5 year peri support services and travel
Communications/Media Marketing: branding, recruitment, engagement and dissemination	Contracts with retail printing companies, website domain fees and website maintenance, subscriptions to video-conferencing software, publications, website development, promotion of community and stakeholder engagement activities, distribution of communications around dissemination of evidence-based research and guides, reports to stakeholders, compilation of resources, tools, and best practice guides that incorporate specific contexts; create branding, logo, etc.	
Professional Development - provided by ESA staff and selected experts	Staff from the 29 ESA consortium and selected experts will be trained and deliver professional development in the areas of Strategic Performance Management, Cultural Proficiency, Implementation Science, Coaching model to implement Transformation Academy and Culture Shift Institutes, and Cycles of Learning.	
Technical Assistance - provided by ESA Staff and selected experts	Staff from the 29 ESA consortium and selected experts will provide technical assistance in tiered levels of support using six phases of implementation to SEAs, TEAs, REAs, LEAs, and schools to increase their capacity to select and implement evidence-based practices that support ESEA.	
State Conferences	Director and Co-Directors shall determine the number and location of annual convenings each year of the grant. These shall be for the purposes of developing, improving, and implementing systems of support for district and school improvement with State teams of school improvement and equity leadership; developing plans for focused and aligned service to districts that address instruction, students' capabilities, and needs, and well-being through personal and social capabilities instruction	
TOTAL CONTRACTUAL		
9. TOTAL DIRECT COSTS		
10. Indirect Costs @ 22.0% Indirect Cost Rate agreement # 2019-054 - MTDC - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each sub award (subcontract or subgrant) above $25,000 (each award; each year)		
11. Training Stipends		
12. TOTAL COSTS		
Grant Total: Funding Request		
This budget only includes costs that are allowable, reasonable, and necessary to carry out the objectives of the Comprehensive Centers program as set out in 2 CFR Part 200(2), as adopted by the Department at 2 CFR Part 3474(3). Procedures for procurement have been followed under 2 CFR 200.317 - 200.326.		

Southeast Regional Resource Center
Budget Narrative - Region 16 Comprehensive Center: Better Together
CFDA 84.283B

1. Personnel	**Description**	**Details**
		Salaries and fringe benefits are based on current salary scl agreements and employee contracts. A salary increase est 2% per year is applied to this budget.
Project Director, Gerry Briscoe; WA Co- Project Director Todd Johnson; Oregon Co-Project Director TBH.	These positions will **collaboratively** be responsible for providing leadership and daily management direction related to the coordination, implementation, monitoring and, as necessary, revision of project goals and objectives for R16CC.	
Project Director (Briscoe) - Annual salary est. @ $370/day x 234 days = .90 FTE *NOTE: SERRC is a non-profit. Salaries are not necessarily commensurate with agencies with union negotiated agreements.*	Oversee implementation of effective personnel management system; oversee implementation of communication system; Project liaison with grant evaluator and National Center; facilitate MOUs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Washington; identify partners for implementation and scaling up of evidence based programs, practices, andinterventions; ensure assistance to AK SEA on state initiatives	90% FTE - Program cost annually
Co-Project Director - WA (Todd Johnson) - Annual salary est. @ $576/day x 130 days = .50 FTE	Liaison with Washington ESDs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Washington; identify partners for implementation and scaling up of evidence based programs, practices, and interventions; ensure assistance to WA SEA on state initiatives	50% FTE - Program cost annually
Co-Project Director - OR (TBD) - Annual salary est. @ $576/day x 130 days = .50 FTE	Liaison with Oregon ESDs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Oregon; identify partners for implementation and scaling up of evidence based programs, practices, and interventions; ensure assistance to OR SEA on state initiatives	50% FTE - Program cost annually
Program/Administrative Assistant (Desiree Forbes) - @ $165/day for 117 days = .45 FTE	Support Project Director by completion of administrative tasks,(i.e. organizing and scheduling meetings, organizing travel, generate reports, transcribe minutes from meetings, direct communication through email and phone, preparing correspondence, processing documents)	45% FTE - Program cost annually
Communications Director (ESD 113 - WA)- Annual salary @ $300/day x 130 days (.50 FTE yr 1; .30 FT yrs 2 -5)	Implement and oversee the communications plan for the region and WA to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	30% FTE - Program cost for YR 3
Communications Director (SERRC)- Annual salary @ $300/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Implement and oversee the communications plan for AK to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	10% FTE - Program cost for YR 3

Communications Director (OR)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Implement and oversee the communications plan for OR to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	10% FTE - Program cost for YR 3
Web Accessibility Specialist (WA)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Review, monitor, and ensure all communication activities in the project are in compliance with ADA requirements for equitable access to all persons with a disability. Consult with such persons to determine what aid or service is necessary to be effective when communicating project services.	10% FTE - Program cost for YR 3
TOTAL PERSONNEL		
2. Fringe Benefits		
Project Director - AK	90% FTE	Fringe benefits for salary. Includes retirement and health, insurance - 64.15%
Co- Project Director - WA	50% FTE	Fringe benefits for salary. Includes retirement and health, insurance - 55%
Co- Project Director - OR	50% FTE	Fringe benefits for salary. Includes retirement and health, insurance - 55%
Program/Admin Assistant - AK	45% FTE	Fringe benefits for salary. Includes retirement and health, insurance - 64.15%
Communications Director - WA	30% FTE	Fringe benefits for salary. Includes retirement and health, insurance - 55%
Communications Director - AK	10% FTE	Fringe benefits for salary. Includes retirement and health, insurance - 64.15%
Communications Director - OR	10% FTE	Fringe benefits for salary. Includes retirement and health, insurance - 55%
Web Accessibility Specialist - WA	10% FTE	Fringe benefits for salary. Includes retirement and health, insurance - 55%
TOTAL FRINGE BENEFITS		
3. Travel		
Project Directors meeting in Washington, DC	Annual meeting of all Project Directors of all 20 regions and National Comprehensive Center to meet with USDOE to monitor progress of Centers and to be updated on requirements and notification of any changes and their impact on Center services to SEAs.	Staff to travel to Washington, DC for annual 2 day meetin 4 staff - 1 - ANC-DCA - $954.00; 1 staff - JNU-DCA - $846.0 SEA-DCA- $888.00; 1 staff - PDX -DCA - $818.00; lodging 4 $300.00/each - for 4 staff ; per diem - 5 days @ $91/day f incidentals each (taxi, parking, ground transportation)
Project Director and Co-Directors travel to schools and districts each year	Director and Co-Directors will provide on-site services at the intensity, duration, and modality appropriate to achieve milestones, outputs, and outcomes described in Region 16 state service plans and in the R16CC grant proposal.	3 Staff members will travel to 4 schools and districts each Travel will originate in Alaska, Washington and Oregon. E costs for travel in Alaska is $2880 per trip; estimated costs in Washington is $800 per trip; estimated costs for travel i is $800 per trip
Annual Advisory Board meeting	Required under Program Statute. Annually, the Advisory Board shall advise the R16CC leadership on strategies for monitoring and addressing the educational needs of the region; on maintaining a high standards of quality in the performance of the center's activities; and carrying out the center's duties in a manner that promotes rogress toward improving student academic achievement.	Advisory Board members will meet fact to face one time e for 1 day.There are 18 advisory board members plus 3 dir total number of travelers is 21. Travel will originate from Washington State, Oregon, Illinois, and Oklahoma. In year Advisory Board (AB) will meet in WA; Yr 2 the AB will mee Yr 3 the AB will meet in OR; Yr 4 the AB will meet in AK; Yr will meeting OR. Costs are estimated from all home states members. 2 nights hotel, 3 days per diem

Project Director and Co-Directors - Professional Development	Program requirement: Collaborate with National Center and other national partners to support client and recipient participation in learning opportunities (e.g., multi-state and cross-regional peer-to-peer exchanges on high-leverage problems) by participating in learning opportunities with the goal of reaching as many REAS, LEAS, and schools in need of services as possible.	Travel expenses for project directors to attend national professional development conferences, seminars and oth opportunities. Estimated expenses are for 1 staff person t from Alaska, 1 staff person from Washginton State and an from Oregon. This includes conference registration fees
TOTAL TRAVEL		
TOTAL EQUIPMENT		
5. Supplies		
Program Supplies	Supplies related to project management and delivery of technical assistance, facilitation of professional learning, and capacity-building services. Supplies related to the implementation of activities within the Management Plan goals/obj/measures.	
Communications/Media Marketing - supplies	Supplies for development, branding and promotion of professional learning or technical assistance events, trainings, or conferences related to activities associated with goals, obj. in R16CC Management Plan. Materials related to dissemination of guides for instruction, curriclum, or assessment.	
TOTAL SUPPLIES		
6. Contractual		
Subrecipient - Center On Reinventing Public Education (CRPE)	National partner in the grant. Participate in Advisory Board meetings; participate in SEA needs assessments meetings annually; assist in developing annual state plans; consulting to SEAs and REAs around educational choice, rural education, school leadership, capacity building; oversee and facilitate 18 month cycles of network learning around problems of practice. There will be three, 18 month cycles of network learning with SEAs, TEAs, and AESDs per year. Start mid way in year 1 and third will conclude in year 5. Each cycle will include four in-person meetings and monthly virtual meetings.	3 personnel @ 5%, 4%, and 30% effort over five year per fringe benefits, travel, IT/data support
Subrecipient - Academic Development Institute (ADI)	National partner in the grant. ADI will provide expertise in leadership using Strategic Performance Management and will use a train the trainer approach to help build capacity. Establish a network of the 3 state region to focus on the Four Domains framework of systems of support. Provide deep and intensive capacity-building services for each state. Provide professional development in SPM for the ESAs in a train the trainer model.	3 personnel @ 10%, 20%, and 15% effort over five year pe fringe benefits, travel, consultants as appropriate- 65 days
Subrecipient - Tribal Education Departments National Assembly (TEDNA)	National partner in the grant. TEDNA will consult with state Tribal Eduation Agencies and Departments to align work with SEA vision, mission, goals, and strategies with implementation science evidence-based practices. TEDNA will provide Strategic Performance Management capacity building to the tribes in building leadership. Culture Shift Institute capacity building will be provided to school improvement leads in Educational Service Agencies. Cultural Proficiency capacity building will be provided by TEDNA to SEAs, TEAs, and REAs and school improvement leads in ESAs.	Employees and consultants over a five year period inclusiv personnel and travel costs

Subrecipient - Kauffman Evaluation Services	External Evaluator. Attend monthly meetings, work with all partners, develop briefs, infographics, annual summative report, enter continuous cycles of improvement to modify coneptual model, implementation of activities and processes, monitor GPRA measures with six overarching evaluation questions. Conduct interviews and focus groups on a semi-annual basis; review state implementation plans for clarity and alignment to goals and obj. of R16CC. Conduct training and consultation surveys.	1 evaluator and 1 consulant over a 5 year period; fringe be support services and travel
Communications/Media Marketing: branding, recruitment, engagement and dissemination	Contracts with retail printing companies, website domain fees and website maintenance, subscriptions to video-conferencing software, publications, website development, promotion of community and stakeholder engagement activities, distribution of communications around dissemination of evidence-based research and guides, reports to stakeholders, compilation of resources, tools, and best practice guides that incorporate specific contexts; create branding, logo, etc.	
Professional Development - provided by ESA staff and selected experts	Staff from the 29 ESA consortium and selected experts will be trained and deliver professional development in the areas of Strategic Performance Management, Cultural Proficiency, Implementation Science, Coaching model to implement Transformation Academy and Culture Shift Institutes, and Cycles of Learning.	
Technical Assistance - provided by ESA Staff and selected experts	Staff from the 29 ESA consortium and selected experts will provide technical assistance in tiered levels of support using six phases of implementation to SEAs, TEAs, REAs, LEAs, and schools to increase their capacity to select and implement evidence-based practices that support ESEA.	
State Conferences	Director and Co-Directors shall determine the number and location of annual convenings each year of the grant. These shall be for the purposes of developing, improving, and implementing systems of support for district and school improvement with State teams of school improvement and equity leadership; developing plans for focused and aligned service to districts that address instruction, students' capabilities, and needs, and well-being through personal and social capabilities instruction	
TOTAL CONTRACTUAL		
9. TOTAL DIRECT COSTS		
10. Indirect Costs @ 22.0% Indirect Cost Rate agreement # 2019-054 - MTDC - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each sub award (subcontract or subgrant) above $25,000 (each award; each year)		
11. Training Stipends		
12. TOTAL COSTS		
Grant Total: Funding Request		
This budget only includes costs that are allowable, reasonable, and necessary to carry out the objectives of the Comprehensive Centers program as set out in 2 CFR Part 200(2), as adopted by the Department at 2 CFR Part 3474(3). Procedures for procurement have been followed under 2 CFR 200.317 - 200.326.		

Southeast Regional Resource Center
Budget Narrative - Region 16 Comprehensive Center: Better Together
CFDA 84.283B

1. Personnel	**Description**	**Details**
		Salaries and fringe benefits are based on curr agreements and employee contracts. A salary 2% per year is applied to this budget.
Project Director, Gerry Briscoe; WA Co- Project Director Todd Johnson; Oregon Co-Project Director TBH.	These positions will **collaboratively** be responsible for providing leadership and daily management direction related to the coordination, implementation, monitoring and, as necessary, revision of project goals and objectives for R16CC.	
Project Director (Briscoe) - Annual salary est. @ $370/day x 234 days = .90 FTE NOTE: SERRC is a non-profit. Salaries are not necessarily commensurate with agencies with union negotiated agreements.	Oversee implementation of effective personnel management system; oversee implementation of communication system; Project liaison with grant evaluator and National Center; facilitate MOUs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Washington; identify partners for implementation and scaling up of evidence based programs, practices, andinterventions; ensure assistance to AK SEA on state initiatives	90% FTE - Program cost annually
Co-Project Director - WA (Todd Johnson) - Annual salary est. @ $576/day x 130 days = .50 FTE	Liaison with Washington ESDs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Washington; identify partners for implementation and scaling up of evidence based programs, practices, and interventions; ensure assistance to WA SEA on state initiatives	50% FTE - Program cost annually
Co-Project Director - OR (TBD) - Annual salary est. @ $576/day x 130 days = .50 FTE	Liaison with Oregon ESDs; participate in annual development of state plan; provide on-site services according to state plan; monitor technical assistance done in Oregon; identify partners for implementation and scaling up of evidence based programs, practices, and interventions; ensure assistance to OR SEA on state initiatives	50% FTE - Program cost annually
Program/Administrative Assistant (Desiree Forbes) - @ $165/day for 117 days = .45 FTE	Support Project Director by completion of administrative tasks,(i.e. organizing and scheduling meetings, organizing travel, generate reports, transcribe minutes from meetings, direct communication through email and phone, preparing correspondence, processing documents)	45% FTE - Program cost annually
Communications Director (ESD 113 - WA)- Annual salary @ $300/day x 130 days (.50 FTE yr 1; .30 FT yrs 2 -5)	Implement and oversee the communications plan for the region and WA to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	30% FTE - Program cost for YR 4
Communications Director (SERRC)- Annual salary @ $300/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Implement and oversee the communications plan for AK to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	10% FTE - Program cost for YR 4

Communications Director (OR)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Implement and oversee the communications plan for OR to enable routine and ongoing exploration of client and recipient needs as well as feedback on services provided; periodically assess client satisfaction; coordinate outreach activites such as promotion of services and products to clients and recipients; engage with National Center and partners; use feedback loops across Federal, State, and local organizations; engage stakeholders involved in or impacted by proposed services.	10% FTE - Program cost for YR 4
Web Accessibility Specialist (WA)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Review, monitor, and ensure all communication activities in the project are in compliance with ADA requirements for equitable access to all persons with a disability. Consult with such persons to determine what aid or service is necessary to be effective when communicating project services.	10% FTE - Program cost for YR 4
TOTAL PERSONNEL		
2. Fringe Benefits		
Project Director - AK	90% FTE	Fringe benefits for salary. Includes retiremen insurance - 64.15%
Co- Project Director - WA	50% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
Co- Project Director - OR	50% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
Program/Admin Assistant - AK	45% FTE	Fringe benefits for salary. Includes retiremen insurance - 64.15%
Communications Director - WA	30% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
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Communications Director - OR	10% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
Web Accessibility Specialist - WA	10% FTE	Fringe benefits for salary. Includes retiremen insurance - 55%
TOTAL FRINGE BENEFITS		
3. Travel		
Project Directors meeting in Washington, DC	Annual meeting of all Project Directors of all 20 regions and National Comprehensive Center to meet with USDOE to monitor progress of Centers and to be updated on requirements and notification of any changes and their impact on Center services to SEAs.	Staff to travel to Washington, DC for annual 2 Airfare - 4 staff - 1 - ANC-DCA - $954.00; 1 sta $846.00; 1 staff - SEA-DCA- $888.00; 1 staff - F lodging 4 nights @ $300.00/each - for 4 staff ; $91/day for 4 staff ; incidentals each (taxi, par transportation)
Project Director and Co-Directors travel to schools and districts each year	Director and Co-Directors will provide on-site services at the intensity, duration, and modality appropriate to achieve milestones, outputs, and outcomes described in Region 16 state service plans and in the R16CC grant proposal.	3 Staff members will travel to 4 schools and d Travel will originate in Alaska, Washington an costs for travel in Alaska is $2880 per trip; est travel in Washington is $800 per trip; estimate Oregon is $800 per trip
Annual Advisory Board meeting	Required under Program Statute. Annually, the Advisory Board shall advise the R16CC leadership on strategies for monitoring and addressing the educational needs of the region; on maintaining a high standards of quality in the performance of the center's activities; and carrying out the center's duties in a manner that promotes rogress toward improving student academic achievement.	Advisory Board members will meet fact to fac for 1 day.There are 18 advisory board membe total number of travelers is 21. Travel will ori Washington State, Oregon, Illinois, and Oklah Advisory Board (AB) will meet in WA; Yr 2 the Yr 3 the AB will meet in OR; Yr 4 the AB will m will meeting OR. Costs are estimated from all members. 2 nights hotel, 3 days per diem

Project Director and Co-Directors - Professional Development	Program requirement: Collaborate with National Center and other national partners to support client and recipient participation in learning opportunities (e.g., multi-state and cross-regional peer-to-peer exchanges on high-leverage problems) by participating in learning opportunities with the goal of reaching as many REAS, LEAS, and schools in need of services as possible.	Travel expenses for project directors to attend professional development conferences, semin training opportunities. Estimated expenses ar to travel from Alaska, 1 staff person from Was and another from Oregon. This includes confe fees
TOTAL TRAVEL		
TOTAL EQUIPMENT		
5. Supplies		
Program Supplies	Supplies related to project management and delivery of technical assistance, facilitation of professional learning, and capacity-building services. Supplies related to the implementation of activities within the Management Plan goals/obj/measures.	
Communications/Media Marketing - supplies	Supplies for development, branding and promotion of professional learning or technical assistance events, trainings, or conferences related to activities associated with goals, obj. in R16CC Management Plan. Materials related to dissemination of guides for instruction, curriclum, or assessment.	
TOTAL SUPPLIES		
6. Contractual		
Subrecipient - Center On Reinventing Public Education (CRPE)	National partner in the grant. Participate in Advisory Board meetings; participate in SEA needs assessments meetings annually; assist in developing annual state plans; consulting to SEAs and REAs around educational choice, rural education, school leadership, capacity building; oversee and facilitate 18 month cycles of network learning around problems of practice. There will be three, 18 month cycles of network learning with SEAs, TEAs, and AESDs per year. Start mid way in year 1 and third will conclude in year 5. Each cycle will include four in-person meetings and monthly virtual meetings.	3 personnel @ 5%, 4%, and 30% effort over f fringe benefits, travel, IT/data support
Subrecipient - Academic Development Institute (ADI)	National partner in the grant. ADI will provide expertise in leadership using Strategic Performance Management and will use a train the trainer approach to help build capacity. Establish a network of the 3 state region to focus on the Four Domains framework of systems of support. Provide deep and intensive capacity-building services for each state. Provide professional development in SPM for the ESAs in a train the trainer model.	3 personnel @ 10%, 20%, and 15% effort over fringe benefits, travel, consultants as appropri supplies
Subrecipient - Tribal Education Departments National Assembly (TEDNA)	National partner in the grant. TEDNA will consult with state Tribal Eduation Agencies and Departments to align work with SEA vision, mission, goals, and strategies with implementation science evidence-based practices. TEDNA will provide Strategic Performance Management capacity building to the tribes in building leadership. Culture Shift Institute capacity building will be provided to school improvement leads in Educational Service Agencies. Cultural Proficiency capacity building will be provided by TEDNA to SEAs, TEAs, and REAs and school improvement leads in ESAs.	Employees and consultants over a five year pe personnel and travel costs

Subrecipient - Kauffman Evaluation Services	External Evaluator. Attend monthly meetings, work with all partners, develop briefs, infographics, annual summative report, enter continuous cycles of improvement to modify coneptual model, implementation of activities and processes, monitor GPRA measures with six overarching evaluation questions. Conduct interviews and focus groups on a semi-annual basis; review state implementation plans for clarity and alignment to goals and obj. of R16CC. Conduct training and consultation surveys.	1 evaluator and 1 consulant over a 5 year peri support services and travel
Communications/Media Marketing: branding, recruitment, engagement and dissemination	Contracts with retail printing companies, website domain fees and website maintenance, subscriptions to video-conferencing software, publications, website development, promotion of community and stakeholder engagement activities, distribution of communications around dissemination of evidence-based research and guides, reports to stakeholders, compilation of resources, tools, and best practice guides that incorporate specific contexts; create branding, logo, etc.	
Professional Development - provided by ESA staff and selected experts	Staff from the 29 ESA consortium and selected experts will be trained and deliver professional development in the areas of Strategic Performance Management, Cultural Proficiency, Implementation Science, Coaching model to implement Transformation Academy and Culture Shift Institutes, and Cycles of Learning.	
Technical Assistance - provided by ESA Staff and selected experts	Staff from the 29 ESA consortium and selected experts will provide technical assistance in tiered levels of support using six phases of implementation to SEAs, TEAs, REAs, LEAs, and schools to increase their capacity to select and implement evidence-based practices that support ESEA.	
State Conferences	Director and Co-Directors shall determine the number and location of annual convenings each year of the grant. These shall be for the purposes of developing, improving, and implementing systems of support for district and school improvement with State teams of school improvement and equity leadership; developing plans for focused and aligned service to districts that address instruction, students' capabilities, and needs, and well-being through personal and social capabilities instruction	
TOTAL CONTRACTUAL		
9. TOTAL DIRECT COSTS		
10. Indirect Costs @ 22.0% Indirect Cost Rate agreement # 2019-054 - MTDC - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each sub award (subcontract or subgrant) above $25,000 (each award; each year)		
11. Training Stipends		
12. TOTAL COSTS		
Grant Total: Funding Request		
This budget only includes costs that are allowable, reasonable, and necessary to carry out the objectives of the Comprehensive Centers program as set out in 2 CFR Part 200(2), as adopted by the Department at 2 CFR Part 3474(3). Procedures for procurement have been followed under 2 CFR 200.317 - 200.326.		

Southeast Regional Resource Center
Budget Narrative - Region 16 Comprehensive Center: Better Together
CFDA 84.283B

1. Personnel	**Description**	**Details**
		Salaries and fringe benefits are based on c agreements and employee contracts. A sa 2% per year is applied to this budget.
Project Director, Gerry Briscoe; WA Co- Project Director Todd Johnson; Oregon Co-Project Director TBH.	These positions will **collaboratively** be responsible for providing leadership and daily management direction related to the coordination, implementation, monitoring and, as necessary, revision of project goals and objectives for R16CC.	
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Web Accessibility Specialist (WA)- Annual salary @ $270/day x 40 days (.15 FTE yr 1; .10 FTE yrs 2 - 5)	Review, monitor, and ensure all communication activities in the project are in compliance with ADA requirements for equitable access to all persons with a disability. Consult with such persons to determine what aid or service is necessary to be effective when communicating project services.	10% FTE - Program cost for YR 5
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