

## **Pre-Application Process for FY 2016 School Improvement Grant (SIG) 1003(g) Applicants**

### **NEEDS ASSESSMENT**

The **FY 2016 School Improvement Grant (SIG) 1003(g) Needs Assessment** is the first step in the application process for the SIG. This Needs Assessment is designed to help pinpoint the areas in which a district needs to focus and prioritize its resources in order to significantly improve student achievement for each Priority school for which the district is seeking funding.

The Needs Assessment will help the LEA:

- Review and analyze school data relevant to academic performance, climate, and culture;
- Identify gaps between current programs and the desired results to help inform the selection of one of the four approved intervention models; and
- Examine policies, programs, practices, and contextual factors that either support or impede the presence of characteristics needed to support the development of a thriving teaching and learning community.
- School parent and community input into school needs and selection of the most appropriate intervention model.

Research and experience indicate that the *process* of choosing a school improvement intervention model rivals the strategy itself in importance for successful change. We encourage district teams to engage in the conversations and decisions about each school the district is seeking funding for in order to help the district leadership make better informed decisions, help ensure successful implementation of the model, and reduce resistance to dramatic changes.

To assist the district/school improvement teams with the process of completing the FY 2016 School Improvement Grant (SIG) 1003(g) Needs Assessment, please use the tools provided in Appendices A, B, and C.

### **Pre-Application Process**

- Develop a district/school improvement team that actively involves key stakeholders including, but not limited to, administrators, teachers, union representatives, school board members, parents, and community representatives. Use the “District/ School SIG 1003(g) Improvement Team Membership” form in Section I to identify the team. **Note:** Full representation of all stakeholder groups (LEA administration, school administration, teachers, the teacher’s union, Board of Education, parents community groups and optionally students.) is an evaluative criteria in the RFP.
- Complete Sections I, II, and III of the Needs Assessment for each Priority school for which the district is seeking funding.
- After completing Sections I, II, and III for each school, complete Section IV “District Level Capacity Analysis.”
- Attach Section IV and Section V to the LEA application and Section I, II and III to the individual school’s application.

**Note:** Maintain records of all meetings including date, times, names and titles of participants, and signatures verifying members’ participation, as well as a record of the discussions. Use the “LEA/School Stakeholders’ Consultation Confirmation” form in the Needs Assessment Packet and duplicate as necessary. The original signed forms are to be submitted after the appendices section of each school’s application.

### **Introduction**

#### **School Improvement Grant (SIG) under Section 1003(g)**

School Improvement Grants, authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act (ESEA) of 1965, are grants, through state educational agencies (SEAs), to local educational agencies (LEAs) for use in Title I schools identified for improvement, corrective action, or restructuring that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of their students so as to enable the schools to make adequate yearly progress (AYP) and exit improvement status. Under the final requirements as amended through the interim final requirements published in the Federal Register Federal Register, Vol. 80, No. 26 (February 9, 2015) at <http://www.gpo.gov/fdsys/pkg/FR-2015-02-09/pdf/2015-02570.pdf>, school improvement funds are to be focused on the State’s Priority schools.

**Intervention Model:**

In the Priority schools an LEA chooses to serve, the LEA must select and fully implement one of the four school intervention models approved by the U.S. Department of Education.

- Transformation model
- Turnaround model
- Restart model
- Whole-school reform model
- Early Learning model
- School Closure model

Detailed explanations of the intervention models are provided in the U.S. Department of Education's Federal Register Federal Register, Vol. 80, No. 26 (February 9, 2015) at <http://www.gpo.gov/fdsys/pkg/FR-2015-02-09/pdf/2015-02570.pdf>, school improvement funds are to be focused on the State's Priority schools.

**Lead Partner:**

The LEA must choose a Lead Partner from the Illinois Approved Provider List to assist with the implementation of the selected intervention model in the identified Priority school. LEAs and the Lead Partner are expected to share accountability for the successful implementation of the selected intervention model in substantially raising student achievement and enabling the participating school to make AYP and exit improvement status. Information on the ISBE-approved Lead Partners is available at <http://www.isbe.net/apl/default.htm>.

# **FY 2016 SCHOOL IMPROVEMENT GRANT (SIG) 1003(g) NEEDS ASSESSMENT COMPONENTS**

## **Cover Page and Checklist**

### **Section I: Team and Process**

- Developing a District/School Improvement Team
- Team Membership
- LEA/School Stakeholders' Consultation Confirmation form

### **Section II: School Performance - Data and Analysis**

- Demographics and Context
- Academic Performance

### **Section III: Parent and Community Input Protocol**

- Teachers and Leaders
- Instructional and Support Strategies
- Time and Support
- District Governance

### **Section IV: District-Level Capacity Analysis**

- SIG 1003(g) Required Key Components (see Appendix B)
- District-Level Policies, Procedures, and Practices Analysis
  - Teachers and Leaders
  - Instructional and Support Strategies
  - Time and Support
  - Governance

### **Section V: Determining the Intervention Model (Best-Fit) for the School**

- Characteristics of Performance and Capacity
- Intervention Models Analysis

### **Appendix A: Tools**

Tool 1: District Behavior Shifts to Enable Success in Previously Unsuccessful Schools Models

Tool 2: Selection of External Providers Model-Specific Requirements Checklist

Tool 3: Transformation Checklist

Tool 4: Turnaround Checklist

Tool 5: Restart Checklist

Tool 6: Evidence-based Whole School Reform Checklist

Tool 7: Early Learning Checklist

### **Appendix B: Required Key Components and Models**

SIG 1003(g) Required Key Components

SIG 1003(g) Intervention Models

### **Appendix C: SIG 1003(g) 2015-2020 ED Data Collection Requirements**

**ILLINOIS STATE BOARD OF EDUCATION**  
 System of Support and District Intervention Division  
 100 North First Street, N-242  
 Springfield, IL 62777-0001

**FY 2016 SCHOOL IMPROVEMENT GRANT (SIG) SECTION 1003(g)**  
**NEEDS ASSESSMENT**  
**Cover Page**

DISTRICT NAME AND NUMBER		REGION, COUNTY, DISTRICT, TYPE CODE	
NAME OF SUPERINTENDENT/AUTHORIZED OFFICIAL		NAME OF SCHOOL	NAME OF PRIMARY CONTACT
DISTRICT ADDRESS (Street, City, State, 9 Digit Zip Code)		SCHOOL ADDRESS (Street, City, State, 9 Digit Zip Code)	
SUPERINTENDENT/AUTHORIZED OFFICIAL E-MAIL ADDRESS		PRIMARY CONTACT'S E-MAIL ADDRESS	
TELEPHONE (Include Area Code)	FAX (Include Area Code)	TELEPHONE (Include Area Code)	FAX (Include Area Code)
<b>SCHOOL 2014: FEDERAL ACADEMIC STATUS</b>  <b>N/A ESEA Flexibility Waiver</b>		<b>SCHOOL 2014: STATE ACADEMIC STATUS</b>  <b>Priority</b>	



## Section I: Team and Process

### Developing a District/School Improvement Team

**Instructions:** Describe the overall process used to conduct this needs assessment, identifying which stakeholder and key district and school individuals contributed to which parts of the process.

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**FY 2016 School Improvement Grant (SIG) Section 1003(g)  
 Pre-Application Needs Assessment Process  
 LEA/School Stakeholders' Consultation Confirmation**

**Instructions:** To verify active stakeholders engagement in the FY 2016 SIG 1003(g) pre-application Needs Assessment, **complete an “LEA/School Stakeholders' Consultation Confirmation” form at each planning/preparation meeting with participants.** Attach the original signed copies with each submitted FY 2016 SIG 1003(g) Individual School Application.

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	NAME OF SCHOOL
DATE OF MEETING	LOCATION OF MEETING	
PURPOSE OF MEETING		

**PARTICIPANTS**

PARTICIPANTS				
NAME	TITLE/POSITION	REPRESENTING	SIGNATURE	DATE

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**Section II. School Performance - Data and Analysis**

Context			
	2011-2012	2012-2013	2013-2014
1. Grade levels currently served (e.g., 9-12)			
2. Total enrollment			
3. % Free/Reduced Lunch Students			
4. % Special Education Students			
5. % English Language Learners			
6. Home Languages of English Language Learners (list up to 3 most frequently represented).			
<ul style="list-style-type: none"> <li>• _____</li> <li>• _____</li> <li>• _____</li> </ul>			

7. Briefly describe the neighborhoods and communities served by the school.

8. Briefly describe any recent changes (within the last three years) in the community and school that have had a positive and/or negative impact on the enrollment, climate, and culture of the school.

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**Section II. School Performance - Data and Analysis (continued)**

**School Improvement Efforts – Previous and Current**

9. Briefly summarize previous and current school reform and improvement efforts that occurred within the last five (5) years, and identify which elements were **not successful**. If applicable, also identify any specific elements of the effort that were successful.

For example:

- Adopted a model and curriculum to raise reading scores but was not able to implement with fidelity.
- District provided instructional coach but coach was not able to have an impact due to only visiting the school twice per quarter.
- Adopted a block schedule for math and reading but inadequate professional development funds limited ability of teachers to change instructional approach and fully utilize longer instructional blocks.

Year (s)	Reform/School Improvement Effort	Not Successful and Reason	Successful and Reason

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## Section II. School Performance - Data and Analysis (continued)

### STUDENT ACADEMIC PERFORMANCE

**Note:** Use the school trend data that is posted at the Interactive Illinois Report Card <http://www.illinoisreportcard.com>. The school administration has the password to retrieve this data on behalf of the district/school improvement team.

### STUDENT ACADEMIC PERFORMANCE

10. Based on the grades served by the school, enter the percentage of all students who tested as proficient or better on the state assessment test for reading and mathematics.

10a.	ISAT	2012	2013	2014
All Grades Served:	Reading			
All Grades Served:	Mathematics			
10b.	PSAE	2012	2013	2014
Grade 11:	Reading			
Grade 11:	Mathematics			

11. Using the **2014 state assessment data**, what is the percentage of students in each subgroup who tested proficient or better on the state assessment test (PSAE) for reading and mathematics?

ISAT – ALL GRADES SERVED						
Subject	White, Non-Hispanic	Black, Non-Hispanic	Hispanic	Native American	English Language Learners	Special Education
Reading						
Mathematics						
PSAE – GRADE 11						
Subject	White, Non-Hispanic	Black, Non-Hispanic	Hispanic	Native American	English Language Learners	Special Education
Reading						
Mathematics						

12. Using the **2014 state assessment data**, what is the student participation rate on the state assessment in reading and mathematics by student subgroup?

12a. ISAT – ALL GRADES SERVED – PARTICIPATION RATE						
Subject	White, Non-Hispanic	Black, Non-Hispanic	Hispanic	Native American	English Language Learners	Special Education
Reading						
Mathematics						
12b. PSAE – GRADE 11– PARTICIPATION RATE						
Subject	White, Non-Hispanic	Black, Non-Hispanic	Hispanic	Native American	English Language Learners	Special Education
Reading						
Mathematics						

### 2014 GRADUATION RATE (HIGH SCHOOLS ONLY)

All Students	White, Non-Hispanic	Black, Non-Hispanic	Hispanic	Native American	English Language Learners	Special Education

### ENGLISH LANGUAGE PROFICIENCY

Enter the percentage of limited English proficient students who attained English language proficiency.	2012	2013	2014

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**Section II. School Performance - Data and Analysis (continued)**

<b>5-ESSENTIALS DATA</b>			
	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Overall</b>			
<b>Effective Leaders</b>			
Teacher Influence			
Principal Instructional Leadership			
Program Coherence			
Teacher-Principal Trust			
<b>Collaborative Teachers</b>			
Collective Responsibility			
Quality Professional Development			
School Commitment			
Teacher-Teacher Trust			
<b>Ambitious Instruction</b>			
Course Clarity			
English Instruction			
Math Instruction			
Quality of Student Discussion			
<b>Supportive Environment</b>			
Academic Personalism			
Safety			
School-wide Future Orientation			
Student-Teacher Trust			
Expectations for Post Secondary			
<b>Involved Families</b>			
Outreach to Parents			
Teacher-Parent Trust			
Parent Involvement in School			

**Summary and analysis of any other climate and culture data collected by the school or district:**

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**Section II. School Performance - Data and Analysis (continued)**

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Please respond to the following questions based on the analysis of the above school performance data.

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13. Which students are meeting or exceeding the district's achievement expectations and which are not?

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14. What patterns of achievement are evident over time?

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15. In which subjects are students experiencing the lowest achievement?

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16. What areas of climate and culture are strong and which are not?

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17. What characteristics of the student demographics should be taken into account in selecting an intervention model and Lead Partner (or other external agent)?

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18. What characteristics of the district's and school's climate and culture should be taken into account in selecting on intervention model and Lead Partner (or other external agent)?

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19. What characteristics of the district's and school's past experience with reform and school improvement efforts should be taken into account in selecting an intervention model and Lead Partner (or other external agent)?

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**Section III. Parent and Community Input Protocol**

Directions: Administer the following questions as a survey to parents, applicable community member and groups (and optionally students) for each of the schools the LEA is considering serving. This survey can be administered in paper format by copying these pages without the directions, header and footer information, or the questions can be converted into an online survey by the school or district. Leverage pre-existing parent and community outreach strategies and meetings, including board meetings or meetings scheduled to discuss SIG 1003(g), as well as any other strategies appropriate to elicit a strong response rate from key stakeholder groups.

Record response rates to the rating scale questions in the associated cells in this form. Provide a short thematic analysis of the open-ended question responses in the area below the open-ended questions. Retain original response data until the end of the grant

Question 1: Are you a:  Parent  Community Member  Student  Other: \_\_\_\_\_

Question 2: Please indicate the extent to which you agree or disagree with the following statements about your child or community's school.

<b>Teachers and Leaders</b>	<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>	<b>DON'T KNOW</b>
Our school has staff qualified to lead bold changes.					
Our school works with the district to assign professional and support staff based on school need and staff qualifications.					
The principal at our school has the authority to replace teachers based on performance.					
Our principal has authority over items like budgets, staffing, and calendar.					
Our school has a staff evaluation system that promoted the professional growth of all personnel.					
Our school has a strong plan for recruiting, placing, and retaining effective teachers and school leaders. Considerations: Is there a high degree of turnover in your school? Do all staff have the proper certifications? Are they highly qualified?					
Our school and district's relationship with the union is strong enough to ensure the placement of highly-effective teachers and the dismissal of low-performing teachers.					

Question 3: What elements do you believe must be examined, strengthened, and/or developed in order to support sustainable improvements in this area?

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Question 4: Please indicate the extent to which you agree or disagree with the following statements about your child or community's school.

<b>INSTRUCTIONAL AND SUPPORT STRATEGIES</b>	<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>	<b>DON'T KNOW</b>
Our school uses data to drive decisions and target resources to support struggling students.					
Our school has a strong system to collect and analyze student and performance data in order to drive continuous improvement.					
Our school ensures that its curriculum leads to equitable educational opportunities and outcomes for all students.					
Our school ensures that its assessment practices lead to equitable educational opportunities and outcomes for all students.					
Our school ensures that its teaching practices lead to equitable educational opportunities and outcomes for all students.					
Our school's teaching practices and assessment practices are well-aligned.					
Our school continuously monitors and revises curriculum to make certain it responds to student needs.					
Our school's teachers are competent in and use a variety of different teaching strategies that meet the needs of all students.					
Interventions, supports, and extended learning opportunities are in place for all students who struggle academically.					

Question 5: What elements do you believe must be examined, strengthened, and/or developed in order to support sustainable improvements in this area?



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Question 6: Please indicate the extent to which you agree or disagree with the following statements about your child or community's school.

<b>TIME AND SUPPORT</b>	<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>	<b>DON'T KNOW</b>
Our school has the authority to modify calendar activities and extend the length of the school day or year.					
Our school has a strategic professional development plan that meets the specific needs of the staff in our school.					
Our district is willing to give capable school leaders the freedom to make bold changes, even if this means our school is different from other schools in the district.					
Our school is willing to give capable teachers the freedom to make bold changes in their classrooms in order to meet the needs of all students.					
Our teachers have adequate time to meet and collaborate with each other to ensure quality and consistency in the curriculum.					
Our school has a communications plan in place that provides families, staff and community members with ongoing updates.					

Question 7: What elements do you believe must be examined, strengthened, and/or developed in order to support sustainable improvements in this area?

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Question 8: Please indicate the extent to which you agree or disagree with the following statements about your child or community's school.

<b>TIME AND SUPPORT</b>	<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>	<b>DON'T KNOW</b>
Our district is willing to take extreme action in failing schools.					
There are clear indications that the local Board will provide strong support for bold change.					
Our district is willing to bring in outside support, if needed, and grant these agents sufficient flexibility in order to improve student outcomes.					
There are clear indications of ongoing, organized support by the district Central Office to support improvement efforts in our school					

Question 9: What elements do you believe must be examined, strengthened, and/or developed in order to support sustainable improvements in this area?

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Question 10: Consider the following intervention models and their key requirements. Rank these intervention models in order from MOST APPROPRIATE (=6) to LEAST APPROPRIATE (=1). Give the largest number value to the MOST APPROPRIATE intervention model

INTERVENTION MODEL	RANK VALUE (6=MOST APPROPRIATE, 1=LEAST APPROPRIATE)
<p><b>TRANSFORMATION MODEL (K-12)</b> The district must:</p> <ul style="list-style-type: none"> <li>• Replace the current principal (if he/she has been at the school more than 2 year)</li> <li>• Give the new principal operational flexibility (over budgets, staffing, calendars, etc.)</li> <li>• Extended time for student learning and teacher collaboration and professional development</li> <li>• Appoint or hire a district liaison to support the implementation of the intervention model</li> <li>• Contract with a Lead Partner who will provide daily on-site support and expertise to teachers and school administrators in the following areas: <ul style="list-style-type: none"> <li>o Provide high-quality, job-embedded professional development to teachers</li> <li>o Use student data to drive instruction</li> <li>o Ensure comprehensive instructional reform</li> <li>o Monitor fidelity effectiveness of implementation</li> </ul> </li> <li>• Use a rigorous, state compliant, evaluation model to identify and reward teachers who are successful in improving student achievement (and/or graduation rate, if applicable) and remove those who, after ample opportunity to improve, do not do so.</li> <li>• Engage in regular communication and outreach to parents and the community to update them on reform progress and solicit their input on implementation.</li> </ul>	
<p><b>TURNAROUND MODEL (K-12)</b> The district must:</p> <ul style="list-style-type: none"> <li>• Replace the current principal (if he/she has been at the school more than 2 year)</li> <li>• Give the new principal operational flexibility (over budgets, staffing, calendars, etc.)</li> <li>• Fire all teachers and staff, and, using a locally developed, rigorous system, evaluate and rehire no more than 50%.</li> <li>• Put in place strong recruitment and retention policies to hire an additional 50% of staff that also meet the requirements of the locally developed, rigorous evaluation system.</li> <li>• Extended time for student learning and teacher collaboration and professional development</li> <li>• Appoint or hire a district liaison to support the implementation of the intervention model</li> <li>• Contract with a Lead Partner who will provide daily on-site support and expertise to teachers and school administrators in the following areas: <ul style="list-style-type: none"> <li>o Provide high-quality, job-embedded professional development to teachers</li> <li>o Use student data to drive instruction</li> <li>o Ensure comprehensive instructional reform</li> <li>o Monitor fidelity effectiveness of implementation</li> </ul> </li> <li>• Engage in regular communication and outreach to parents and the community to update them on reform progress and solicit their input on implementation.</li> </ul>	
<p><b>WHOLE-SCHOOL REFORM MODEL (K-12, as determined by the model developer)</b> The district must:</p> <ul style="list-style-type: none"> <li>• Conduct a rigorous review of federally approved Whole-School Reform Model Developers that are willing to enter into a contract with the school and district in order to implement their evidence-based model in the school. The district must determine: <ul style="list-style-type: none"> <li>o That the selected model has been shown to be effective in schools of similar size, demographic make-up and geography.</li> <li>o Will improve student academic achievement or attainment;</li> <li>o Be implemented for all students in a school; and</li> <li>o Address, at a minimum and in a comprehensive and coordinated manner, school leadership, teaching and learning in at least one full academic content area, student non-academic support, and family and community engagement.</li> </ul> </li> <li>• Have a strong plan to monitor the whole-school reform model developer.</li> </ul>	

**RESTART**

The district must:

- Convert or close and reopen a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO);
- Determine that the selected charter school operator, CMO, or EMO is likely to produce strong results for the school;
- Consider the extent to which schools currently operated or managed by the selected charter school operator, CMO, or EMO, if any, have produced strong results over the past three years, including:
  - Significant improvement in academic achievement for all student groups;
  - Success in closing achievement gaps, either within schools or relative to all public schools statewide, for all student groups;
  - High School graduation rates, where applicable, that are above state averages for all student groups, and
  - No significant compliance issues, including in the areas of civil rights financial management, and student safety.
- Enroll within the grades it serves, any former student who wishes to attend the school.

**CLOSURE**

The district must:

- Close a failing school and enroll the students who attended that school in other schools in the district that are higher achieving or to new schools for which achievement data are not yet available. These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools.

**EARLY LEARNING MODEL (Pre-K-1)**

The district must:

- Replace the current principal (if he/she has been at the school more than 2 year)
- Give the new principal operational flexibility (over budgets, staffing, calendars, etc.)
- Provide full-day kindergarten
- Provide a full-day, high quality preschool program for at least one year prior to kindergarten entry.
- Appoint or hire a district liaison to support the implementation of the intervention model
- Contract with a Lead Partner who will provide daily on-site support and expertise to teachers and school administrators in the following areas:
  - o Provide high-quality, job-embedded professional development to teachers
  - o Use student data to drive instruction
  - o Ensure comprehensive instructional reform
  - o Monitor fidelity effectiveness of implementation
- Use a rigorous, state compliant, evaluation model to identify and reward teachers who are successful in improving student achievement (and/or graduation rate, if applicable) and remove those who, after ample opportunity to improve, do not do so.
- Engage in regular communication and outreach to parents and the community to update them on reform progress and solicit their input on implementation.

Question 11: Is there anything else you would like the district and school to be aware of and take into consideration in the selection of a SIG intervention model or creation of a SIG proposal?

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Directions: Describe how the survey was administered the (online, paper, or both) and the strategies used to elicit strong response rates, especially for hard-to-reach groups (non-English speakers, homeless, etc.).

List the following data below:

- Total number of responses received: \_\_\_\_\_
- Number of responses from parents: \_\_\_\_\_
- Number of responses from community members: \_\_\_\_\_
- Number of responses from students (if applicable): \_\_\_\_\_
- Total number surveyed: \_\_\_\_\_
- Approximate number of parents in the school<sup>1</sup>: \_\_\_\_\_
- Approximate number of community members<sup>2</sup>: \_\_\_\_\_
- Number of students (if applicable): \_\_\_\_\_
- Total response rate (Number of responses ÷ number of people surveyed): \_\_\_\_\_
- Parent response rate: \_\_\_\_\_
- Community response rate: \_\_\_\_\_
- Student response rate (if applicable): \_\_\_\_\_

<sup>1</sup> Use the number of e-mails sent and/or letters mailed to homes as the approximate number of parents in the school.  
<sup>2</sup> Use the approximate population of the school enrollment area. It is common for community response rate to be low, despite outreach efforts.

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**Section IV – District-Level Capacity Analysis**

**District Level: Policies, Procedures and Practice Analysis**

**Directions:** This section is divided into four areas. The team will need to reach consensus on each item and determine the extent to which the team strongly agrees or strongly disagrees with the statement. The focus of this section is on district-level capacity.

**Teachers and Leaders**

	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE	DON'T KNOW
<b>Our district has staff qualified to lead bold changes in schools.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Our district establishes and implements a process to assign professional and support staff based on system needs and staff qualifications.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Central Office staff has the authority to replace principals and teachers based on performance.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Our district has the authority to grant principals operational flexibility over items like budgets, staffing, and calendar.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Our district implements a staff evaluation system that provides for the professional growth of all personnel.</b> <i>Considerations:</i> the evaluation process takes into consideration student data and other elements such as working in collaboration to support school improvement efforts, walk-throughs, observations, and is designed to reflect performance over a specified period.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>There is a staffing plan in place that reflects best practice for recruiting, placing, and retaining effective teachers and school leaders.</b> <i>Considerations:</i> Highly-Qualified Staff, Proper Certification, Environment Free of Nepotism, Trained Paraprofessionals, Support for Nationally Board Certified Teachers, Identified Opportunities for Career Growth, Flexible Work Environment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Our district's relationship with the union will support negotiations of contract terms that ensure the placement of highly-effective teachers and the dismissal of low-performing teachers.</b> <i>Considerations:</i> Communications, community support, indepth understanding of evaluation methods, legislation/statutes, collective bargaining agreements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**What key functions, systems, policies, and processes must be examined, strengthened, and/or developed to support sustainable improvement efforts in this area?**

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**Instructional and Support Strategies**

	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE	DON'T KNOW
<p><b>Our district uses data to drive decisions and target resources and ongoing support to low-performing students in the neediest schools.</b>  <u>Considerations:</u> Data exist to support the decision to allocate resources towards a particular service, material, equipment, etc.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>Our district has in place a well defined plan for supporting the ongoing need for data collection and analysis to support and drive instructional needs for continuous improvement and/or the need for interventions.</b>  <u>Considerations:</u> Personnel, school data teams, professional development, communication.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>Our district ensures that:</b></p> <ul style="list-style-type: none"> <li>• Curriculum,</li> <li>• Assessment, and</li> <li>• Instructional Practices</li> </ul> <p>lead to equitable educational opportunities and outcomes for all students in its neediest schools.  <u>Considerations:</u> There is evidence of a district curriculum and instruction framework that includes grade-level benchmarks. District conducts curriculum alignment studies.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>Our district ensures that instructional practices are aligned with assessment practices to measure student progress.</b>  <u>Considerations:</u> Grade-level benchmarks, progress monitoring, job-embedded professional development.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>Our district continuously monitors curriculum to make certain it supports instructional practices that are responsive to student needs.</b>  <u>Considerations:</u> There is evidence of a district curriculum and instruction framework that includes grade-level benchmarks. District conducts curriculum alignment studies.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>Teachers are competent in and use a variety of differentiated teaching strategies that meet the needs of all students.</b>  <u>Considerations:</u> The district ensures that research-based instructional strategies are implemented. Ongoing professional development is available and provided based on teacher input. Coaches are provided to assist teachers in utilizing instructional practices that best meet the needs of their students.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>Intervention strategies, supports, and extended learning opportunities are in place for all students who struggle academically.</b>  <u>Considerations:</u> Conducts extensive analysis of achievement gaps and develops strategies to address gaps.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**What key functions, systems, policies, and processes must be examined, strengthened, and/or developed to support sustainable improvement efforts in this area?**

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	NAME OF SCHOOL
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**Time and Support**

	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE	DON'T KNOW
Our district has the authority to modify calendar activities and extend learning time.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Our district has a process in place to assess the needs of staff to inform the planning of professional development offered by the district. <u>Considerations:</u> The district conducts a professional development needs assessment or uses other tools such as the National Staff Development Council standards to guide efforts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Our district is willing to give capable leaders unprecedented freedom to change, even if this creates inconsistency and inconvenience.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Our district has the authority to grant the flexibility to individual school leaders to ensure high-quality job-embedded professional development is provided, as needed, to support improvement. <u>Considerations:</u> Payment for extended days or additional days, adequate pool of substitutes, clearly defined job-embedded professional development.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Our district has a communications plan in place to provide families, staff, and community members with ongoing updates.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**What key functions, systems, policies, and processes must be examined, strengthened, and/or developed to support sustainable improvement efforts in this area?**



DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	NAME OF SCHOOL
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**Governance**

	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE	DON'T KNOW
<b>Our district is willing to take extreme action in failing schools.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>There are clear indications that the local Board will provide strong support for bold change.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Our district is willing to bring in outsiders, if needed, and grant them sufficient operational flexibility in order to improve student outcomes.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>There are clear indications of systemic support by the Central Office to support improvement efforts.</b> <u>Considerations:</u> Data Systems, Communication, Personnel, Accountability, Technical Assistance, Policies and Procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**What key functions, systems, policies, and processes must be examined, strengthened, and/or developed to support sustainable improvement efforts in this area?**

## Part V. Determining the (Best-Fit) Intervention Model for School

The chief question to answer in determining the most appropriate intervention model is: What improvement strategy will result in the most immediate and substantial improvement in learning and school success for the students now attending this school given the existing capacity in the school and the district? There is no “correct” or “formulaic” answer to this question. Rather, relative degrees of performance and capacity should guide decision-making. The following table outlines key areas and characteristics of performance and school, district, and community capacity that should be considered as part of your decision-making. In the first column, check the boxes that accurately describe the school. The checks in the right four columns indicate that if this characteristic is present, the respective intervention model could be an option. **Note:** Make sure to consider both parent and community input as well as the district’s capacity analysis.

### CHARACTERISTICS OF PERFORMANCE AND CAPACITY

CHARACTERISTIC	INTERVENTION MODEL					
	TRANSFORMATION	TURNAROUND	RESTART	WHOLE-SCHOOL REFORM	EARLY LEARNING	CLOSURE
School Performance						
<input type="checkbox"/> All students experience low-achievement/graduation rates	✓	✓	✓	✓		✓
<input type="checkbox"/> Select sub-groups of students experiencing low-performance	✓			✓	✓	
<input type="checkbox"/> Students experiencing low-achievement in all core subject areas	✓	✓	✓			✓
<input type="checkbox"/> Students experiencing low-achievement in only select subject areas	✓				✓	
School Capacity						
<input type="checkbox"/> Strong, current (2 yrs or less) or readily available turnaround leader	✓	✓	✓		✓	
<input type="checkbox"/> Evidence of pockets of strong instructional staff capacity	✓			✓	✓	
<input type="checkbox"/> Evidence of limited staff capacity		✓	✓			✓
<input type="checkbox"/> Evidence of negative school culture		✓	✓			✓
<input type="checkbox"/> History of chronic low achievement	✓	✓	✓			✓
<input type="checkbox"/> Physical plant deficiencies						✓
<input type="checkbox"/> Evidence of response to prior reform efforts	✓			✓		
District Capacity						
<input type="checkbox"/> Willing to negotiate for waivers of collective bargaining agreements related to staff transfers and removals	✓	✓	✓			✓
<input type="checkbox"/> Capacity to negotiate with external partners/providers	✓	✓	✓	✓	✓	
<input type="checkbox"/> Ability to extend operational autonomy to school	✓	✓			✓	
<input type="checkbox"/> Strong charter school law			✓			
<input type="checkbox"/> Experience authorizing charter schools			✓			
<input type="checkbox"/> Capacity to conduct rigorous charter/EMO/Whole-school reform developer selection process		✓	✓	✓		
<input type="checkbox"/> Capacity to exercise strong accountability for performance	✓	✓	✓	✓	✓	
Community Capacity						
<input type="checkbox"/> Strong community commitment to school	✓			✓	✓	
<input type="checkbox"/> Supply of external partners/providers		✓	✓	✓		
<input type="checkbox"/> Other higher performing schools in district			✓			✓

**Section V: Determining the (Best Fit) Intervention Model for School (continued)**

**Intervention Model Analysis**

**Note:** Detailed explanations of the intervention models are provided in the U. S. Department of Education's Federal Register Federal Register, Vol. 80, No. 26 (February 9, 2015) at <http://www.gpo.gov/fdsys/pkg/FR-2015-02-09/pdf/2015-02570.pdf>, school improvement funds are to be focused on the State's Priority schools.

1. Based on the Characteristics of Performance and Capacity tables, rank order the intervention models that seem the best fit for this school. This is only a crude estimation of the best possible model, but it is a place to start.

Best fit ranking of Intervention Models:

A. Best Fit: \_\_\_\_\_

B. Second Best Fit: \_\_\_\_\_

C. Third Best Fit: \_\_\_\_\_

D. Fourth Best Fit: \_\_\_\_\_

2. Now answer the questions on the following pages for the intervention model the team considers the best fit and the model the team considers the second best fit.
3. Review the questions for the other two intervention models. Change the rankings if answering and reviewing the questions raises doubts about the original ranking.
4. Once the intervention model has been selected for this school, enter the LEA's decision on the FY 2016 SIG 1003(g) LEA Application (Attachment 2) and the Individual School's Application Cover Page (Attachment 15).
5. Provide a strong rationale, based on the data reviewed in Section II, Parent and Community input from Section III, district capacity analysis in Section IV, and the questions on the following pages, for why the selected intervention was chosen and how it aligns to the needs identified in Sections II-IV. (Do not go beyond space provided.)

6. Provide a strong explanation for why the other intervention models were not selected. (Do not go beyond space provided.)

## Transformation Model

1. How will the LEA conduct a rigorous application and selection process to select a new leader for the school, and what research-based experience, training, and competencies will the new leader be expected to possess?
2. How will the LEA enable the new leader to make and sustain strategic staff replacements?
3. What is the LEA's own capacity to support the transformation, including the implementation of required, recommended, and diagnostically determined strategies? What is the LEA's capacity to monitor implementation?
4. What changes in decision-making policies and mechanisms (including greater school-level flexibility in budgeting, staffing, and scheduling) must accompany the transformation?
5. How will the district support the new leader in determining the changes in operational practice (including classroom instruction) that must accompany the transformation, and how will these changes be brought about and sustained?
6. How will the language in the collective bargaining agreement be negotiated to ensure that there is a substantial?
7. Increase in learning time for all students and adequate time for teachers to collaborate?
8. How will the LEA support the new leader in removing those teachers who are unsatisfactory, even after opportunities to improve?
9. How will the LEA monitor and hold accountable the Lead Partner organization? What outcomes should the Lead Partner be responsible for?

## Turnaround Model

1. How will the LEA begin to develop a pipeline of effective teachers and leaders to work in turnaround schools?
2. How will the LEA select a new leader for the school, and what experience, training, and competencies will the new leader be expected to possess?
3. How will the LEA support the school leader in recruiting and retaining highly-effective teachers to the lowest achieving schools?
4. How will staff replacement be executed? What is the process for determining which staff remains in the school? Which staff are assigned to another school, and which staff should leave the profession (or at least the district)?
5. How will the language in collective bargaining agreements be negotiated to ensure the most talented teachers and leaders remain in the school and underperformers leave?
6. What supports will be provided to staff selected for re-assignment to other schools?
7. What are the budgetary implications of retaining surplus staff within the LEA if that is necessary?
8. What is the LEA's own capacity to execute and support a turnaround? What organizations are available to assist with the implementation of the turnaround model?
9. What changes in decision-making policies and mechanisms (including greater school-level flexibility in budgeting, staffing, and scheduling) must accompany the infusion of human capital?
10. How will the district support the new leader in determining the changes in operational practice (including classroom instruction) that must accompany the turnaround, and how will these changes be brought about and sustained?
11. How will the language in the collective bargaining agreement be negotiated to ensure that there is a substantial increase in learning time for all students and adequate time for teachers to collaborate?

## Restart Model

1. Are there qualified (track record of success with similar schools) charter management organizations (CMOs) or education management organizations (EMOs) interested in a performance contract with the LEA to start a new school (or convert an existing school) in this location?
2. Are there strong, established community groups interested in initiating a homegrown charter school? The LEA is best served by cultivating relationships with community groups to prepare them for operating charter schools.
3. Based on supply and capacity, which option is most likely to result in dramatic student growth for the student population to be served—homegrown charter school, CMO, or EMO? What evidence supports that determination?
4. How can statutory, policy, and collective bargaining language relevant to the school be negotiated to allow for closure of the school and restart?
5. How will support be provided to staff that are selected for re-assignment to other schools as a result of the restart?
6. What are the budgetary implications of retaining surplus staff within the LEA if that is necessary?
7. What role will the LEA play to support the restart and potentially provide some centralized services (e.g., human resources, transportation, special education, and related services)?
8. How will the LEA assist with the restart?
9. How will the LEA hold the charter governing board, CMO, or EMO accountable for specified performance benchmarks?
10. Is the LEA (or other authorizer) prepared to terminate the contract if performance expectations are not met and are the specifics for dissolution of the charter school outlined in the charter or management contract?
11. How will the language in the collective bargaining agreement be negotiated to ensure that there is a substantial increase in learning time for all students and adequate time for teachers to collaborate?

## **Evidence-based Whole School Reform Model**

1. Are there qualified (track record of success with similar schools) evidence-based whole-school reform model developers (on the federal approved list) interested in a contract with the LEA to transform one or more schools?
2. Based on supply and capacity, which evidence-based whole school reform model option is most likely to result in dramatic student growth for the student population to be served?
3. What policies and collective bargaining language relevant to the school will need to be negotiated to allow for the whole-school reform model developer implement the model with fidelity?
4. How will support be provided to staff that are selected for or request re-assignment to other schools as a result of the intervention?
5. What are the budgetary implications of retaining surplus staff within the LEA if that is necessary?
6. What role will the LEA play to support the restart and potentially provide some centralized services (e.g., human resources, transportation, special education, and related services)?
7. How will the LEA assist with the implementation?
8. How will the LEA hold the whole-school reform model developer accountable for specified performance benchmarks?
9. Is the LEA (or other authorizer) prepared to terminate the contract if performance expectations are not met and are the specifics for dissolution of the agreement outlined in the contract?

## Early Learning Model

1. How will the LEA select a new principal for the school, and what experience, training, and competencies will the new leader be expected to possess?
2. How will the LEA enable the new principal to make the sustain strategic staff replacements?
3. What is the LEA's own capacity to support the transformation, including the implementation of required, recommended, and diagnostically determined strategies?
4. What changes in decision-making policies and mechanisms (including greater school-level flexibility in budgeting, staffing, and scheduling) must accompany the transformation?
5. How will the district support the new principal in determining the changes in operational practice (including classroom instruction) that must accompany the transformation, and how will these changes be brought about and sustained?
6. How will the language in the collective bargaining agreement be negotiated to ensure that there is a full-day kindergarten and full-day preschool program for a least one year prior to kindergarten entry, as well as adequate time for teachers to collaborate?
7. How will the LEA ensure that preschool instructional staff salaries are comparable to local K-12 instruction staff salaries?



## School Closure Model

1. What are the criteria to identify schools to be closed?
2. What steps are in place to make certain closure decisions are based on tangible data and are readily transparent to the local community?
3. How will the students and their families be supported by the LEA through the re-enrollment process?
4. Which higher-achieving schools have the capacity to receive students from the school being considered for closure?
5. How will the receiving schools be staffed with high-quality staff to accommodate the increase in students?
6. How will current staff be reassigned? What is the process for determining which staff members are dismissed and which staff members are reassigned?
7. Do relevant statutes, policies, and collective bargaining agreements affecting the school allow for removal of current staff?
8. What supports will be provided to recipient schools if current staff members are reassigned?
9. What safety and security considerations might be anticipated for students of the school to be closed and the receiving school(s)?
10. What are the budgetary implications of retaining surplus staff within the LEA if that is necessary?
11. How will the LEA track student progress in the recipient schools?
12. What is the impact of school closure to the school's neighborhood, enrollment area, or community?
13. How does school closure fit within the LEA's overall reform efforts?

**TOOL 1:  
DISTRICT BEHAVIOR SHIFTS TO ENABLE SUCCESS IN PREVIOUSLY UNSUCCESSFUL SCHOOLS**

Old District Behaviors	Behaviors for Successful Improvement of Failing Schools
<ul style="list-style-type: none"> <li>District staff focuses on compliance with current policies (since they work for most schools and students).</li> </ul>	<ul style="list-style-type: none"> <li>District staff focuses on measuring learning results of failing schools.</li> </ul>
<ul style="list-style-type: none"> <li>Administrators chosen for complying with rules, getting along personally.</li> </ul>	<ul style="list-style-type: none"> <li>Administrators chosen for getting results, influencing others to change.</li> </ul>
<ul style="list-style-type: none"> <li>District departments stick to previous practices, even if misaligned with changes elsewhere in the district.</li> </ul>	<ul style="list-style-type: none"> <li>District departments work together to make changes schools need for student learning.</li> </ul>
<ul style="list-style-type: none"> <li>School goals are set to be achievable by more students—to maintain public support for public schools.</li> </ul>	<ul style="list-style-type: none"> <li>Goals are set based on what students need to know, think and do for personal, economic, and civic success; these goals increase and change.</li> </ul>
<ul style="list-style-type: none"> <li>Willing to try a change to improve—if teachers, parents, community agree.</li> </ul>	<ul style="list-style-type: none"> <li>Willing to make dramatic changes to help more children learn—even if teachers, parents or others disagree.</li> </ul>
<ul style="list-style-type: none"> <li>New research about what works for learning ED <i>if</i> not offensive to interest groups or difficult to organize; practices that do not work discarded only after careful study.</li> </ul>	<ul style="list-style-type: none"> <li>New research about what works adopted regularly, with bias toward well-conducted studies; practices discarded quickly if do not show measurable learning results.</li> </ul>
<ul style="list-style-type: none"> <li>Provides help and support to schools upon request; or district provides the same help to all schools regardless of schools' particular needs.</li> </ul>	<ul style="list-style-type: none"> <li>Help and support always given, always targeted at improvement needs of individual schools.</li> </ul>
<ul style="list-style-type: none"> <li>Student achievement goals are too hard or too easy; so, rewards, recognition and consequences for schools are unfair (or not ED).</li> </ul>	<ul style="list-style-type: none"> <li>Goals are challenging but achievable; rewards, recognition and consequences flow from goals.</li> </ul>
<ul style="list-style-type: none"> <li>Poor measurement of student learning is ED to excuse failing students and schools; measurement is limited to legally required content.</li> </ul>	<ul style="list-style-type: none"> <li>Improving learning measurement continuously is part of the core work of the district and schools; measurement includes all content valued by the district and schools.</li> </ul>
<ul style="list-style-type: none"> <li>Extra money for failing schools ED to do even more of what is already being done.</li> </ul>	<ul style="list-style-type: none"> <li>Extra money for failing schools is ED to introduce change; strategies that work well and fast are given more funding.</li> </ul>

Source: The Center for Comprehensive School Reform and Improvement. (2010). *School Restructuring: What Works When? A Guide for Education Leaders*. Washington, D.C: Learning Point Associates.

**TOOL 2:**

**SELECTION OF EXTERNAL PROVIDERS MODEL-SPECIFIC REQUIREMENTS CHECKLIST**

**Instructions:** Identify the model(s) selected by the school(s) being served by the LEA. Indicate in the column on the right whether or not the LEA has taken the steps required to be in compliance with the requirement. Then, describe those steps in the narrative.

**TRANSFORMATION, TURNAROUND, OR EARLY LEARNING**

**PLAN IS IN COMPLIANCE**

**Requirement**

- 1. The Lead Partner will provide weekly site contact during the planning year.
- 2. The Lead Partner will provide a daily, on-site presence during implementation years.

**RESTART**

**PLAN IS IN COMPLIANCE**

**Requirement**

- 1. The LEA must determine that the selected charter school operator, CMO, or EMO is likely to produce strong results for the school.
- 2. The LEA must consider the extent to which the schools currently operated or managed by the selected charter school operator, CMO, or EMO, if any, have produced strong results over the past three years (or over the life of the school, if the school has been open for fewer than three years), including:
  - a. Significant improvement in academic achievement for all of the groups of students described in section 1111(b)(2)(C)(v) of the ESEA;
  - b. Success in closing achievement gaps, either within schools or relative to all public elementary school and secondary school students statewide, for all of the groups of students described in section 1111(b)(2)(C)(v)(II) of the ESEA;
  - c. High school graduation rates, where applicable, that are above the average rates in the State for the groups of students described in section 1111(b)(2)(C)(v) of the ESEA; and  
No significant compliance issues, including in the areas of civil rights, financial management, and student safety;

**EVIDENCE-BASED WHOLE SCHOOL REFORM**

**PLAN IS IN COMPLIANCE**

**Requirement**

- 1. The LEA must determine that the selected evidence-based whole school reform model is supported by evidence of effectiveness, which must include at least one study of the model that:
  - a. Meets What Works Clearinghouse evidence standards
  - b. Without, or
  - c. With reservations;
  - d. If meeting What Works Clearinghouse evidence standards with reservations, includes a large sample and a multi-site sample as defined in 34 CFR 77.1 (Note: multiple studies can cumulatively meet the large and multi-site sample requirements so long as each study meets the other requirements in this section)
  - e. Found a statistically significant favorable impact on a student academic achievement or attainment outcome, with no statistically significant and overriding unfavorable impacts on that outcome for relevant populations in the study or in other studies of the intervention reviewed by and reported on by the What Works Clearinghouse; and
- 2. The LEA must implement in partnership with a whole-school reform model developer, who is an entity or individual that:
  - a. Maintains proprietary rights for the model; or
  - b. If no entity or individual maintains proprietary rights for the model, has a demonstrated record of success in implementing a whole-school reform model (as defined in these requirements) and is selected through a rigorous review process that includes a determination that the entity or individual is likely to produce strong results for the school.

**TOOL 3:  
TRANSFORMATION MODEL-SPECIFIC REQUIREMENTS CHECKLIST**

**Instructions:** Indicate in the column on the right whether or not the school's plan includes elements required to be in compliance with the requirement, or that are permissible activities. Then, describe those steps in the narrative. All requirements must be met.

**A. SCHOOL LEADERSHIP**

**PLAN IS IN  
COMPLIANCE**

**Requirement**

- |   |                          |
|---|--------------------------|
| 1. The LEA must replace the principal who led the school prior to commencement of the transformation model, or have replaced the principal within the two years prior to the first day of school of the first year of full implementation.  | <input type="checkbox"/> |
| 2. The LEA must implement rigorous, transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement, that:   | <input type="checkbox"/> |
| a. Will be used for continual improvement of instruction;   | <input type="checkbox"/> |
| b. Meaningfully differentiate performance using at least three performance levels;  | <input type="checkbox"/> |
| c. Use multiple valid measures in determining performance levels, including as a significant factor data on student growth (as defined in these requirements) for all students (including English learners and students with disabilities), and other measures of professional practice (which may be gathered through multiple formats and sources), such as observations based on rigorous teacher performance standards, teacher portfolios, and student and parent surveys; | <input type="checkbox"/> |
| d. Evaluate teachers and principals on a regular basis;   | <input type="checkbox"/> |
| e. Provide clear, timely, and useful feedback, including feedback that identifies needs and guides professional development; and  | <input type="checkbox"/> |
| f. Will be used to inform personnel decisions.  | <input type="checkbox"/> |
| 3. The LEA must use the teacher and principal evaluation and support system described in above to identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so.   | <input type="checkbox"/> |
| 4. The LEA must implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of students in the school, taking into consideration the results from the teacher and principal evaluation and support system, if applicable.   | <input type="checkbox"/> |
| 5. The LEA must give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully each element of the transformation model to substantially improve student achievement outcomes and increase high school graduation rates  | <input type="checkbox"/> |

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**Plan Includes**

- |   |                          |
|---|--------------------------|
| 1. Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school;        | <input type="checkbox"/> |
| 2. Instituting a system for measuring changes in instructional practices resulting from professional development;   | <input type="checkbox"/> |
| 3. Ensuring that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority; | <input type="checkbox"/> |
| 4. Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or                                    | <input type="checkbox"/> |
| 5. Implementing a per-pupil, school-based budget formula that is weighted based on student needs.   | <input type="checkbox"/> |

**B. TEACHING AND LEARNING**

**PLAN IS IN COMPLIANCE**

**Requirement**

- 1. The LEA must ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, and a designated external lead partner organization (such as a school turnaround organization or an EMO).
- 2. The LEA must ensure the school uses data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;
- 3. The LEA must ensure the school promotes the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students; and
- 4. The LEA must provide staff ongoing, high quality, job-embedded professional development (e.g., regarding subject specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is:
  - a. Aligned with the school's comprehensive instructional program, and
  - b. Designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to implement successfully school reform strategies.
- 5. Establish schedules and strategies that provide increased learning time using a longer school day, week, or year schedule to significantly increase the total number of school hours to include additional time for,
  - a. Instruction in one or more core academic subjects, including English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography;
  - b. Instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations; and
  - c. Teachers to collaborate, plan, and engage in professional development within and across grades and subjects.

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**PLAN INCLUDES**

- 1. Conducting periodic monitoring reviews to ensure that the instruction is implemented with fidelity to the selected curriculum, is having the intended impact on student achievement, and is modified if ineffective;
- 2. Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that English learners acquire language skills to master academic content;
- 3. Using and integrating technology based supports and interventions as part of the instructional program.
- 4. Expanding the school program to offer full-day kindergarten or prekindergarten.

In secondary schools:

- 1. Increasing rigor by offering opportunities for students to enroll in advanced coursework (such as Advanced Placement; International Baccalaureate; or science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities), early-college high schools, dual enrollment programs, or thematic learning academies that prepare students for college and careers, including by providing appropriate supports designed to ensure that low achieving students can take advantage of these programs and coursework;
- 2. Improving student transition from middle to high school through summer transition programs or freshman academies;
- 3. Increasing graduation rates through, for example, credit-recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills; or
- 4. Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate.

**C. STUDENT NON-ACADEMIC SUPPORT**

**PLAN IS IN COMPLIANCE**

**REQUIREMENT**

None Required

N/A

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**PLAN  
INCLUDES**

- 1. Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;
- 2. Extending or restructuring the school day so as to add time for such strategies as advisory periods that build relationships between students, faculty, and other school staff;
- 3. Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment; or

**D. FAMILY & COMMUNITY ENGAGEMENT**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

- 1. Provide ongoing mechanisms for family and community engagement.

**TOOL 4:  
TURNAROUND MODEL-SPECIFIC REQUIREMENTS CHECKLIST**

**Instructions:** Indicate in the column on the right whether or not the school’s plan includes elements required to be in compliance with the requirement, or that are permissible activities. Then, describe those steps in the narrative. All requirements must be met.

**A. SCHOOL LEADERSHIP**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

- |  |                          |
|--|--------------------------|
| 1. The LEA must replace the principal who led the school prior to commencement of the transformation model, or have replaced the principal within the two years prior to the first day of school of the first year of full implementation.   | <input type="checkbox"/> |
| 2. The LEA must grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates.  | <input type="checkbox"/> |
| 3. Use locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students:  | <input type="checkbox"/> |
| a. Screen all existing staff and rehire no more than 50 percent  | <input type="checkbox"/> |
| b. Select new staff.   | <input type="checkbox"/> |
| 4. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that is compliant with state law and:   | <input type="checkbox"/> |
| a. Takes into account data on student growth as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduation rates, and   | <input type="checkbox"/> |
| b. Are designed and developed with teacher and principal involvement.  | <input type="checkbox"/> |
| 5. Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school.   | <input type="checkbox"/> |
| 6. Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new “turnaround office” in the LEA or SEA, hire a “turnaround leader” who reports directly to the superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability. | <input type="checkbox"/> |
| 7. Have a strong plan for monitoring the Lead Partner.   | <input type="checkbox"/> |

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**PLAN  
INCLUDES**

- |   |                          |
|---|--------------------------|
| 1. The LEA may adopt a new school model (e.g., themed, dual language academy).  | <input type="checkbox"/> |
| 2. The LEA must use the teacher and principal evaluation and support system described in above to identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so. | <input type="checkbox"/> |
| 3. Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school.  | <input type="checkbox"/> |
| 4. Instituting a system for measuring changes in instructional practices resulting from professional development.   | <input type="checkbox"/> |
| 5. Ensuring that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher’s seniority.   | <input type="checkbox"/> |
| 6. Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or  | <input type="checkbox"/> |
| 7. Implementing a per-pupil, school-based budget formula that is weighted based on student needs.   | <input type="checkbox"/> |

## B. TEACHING AND LEARNING

PLAN IS IN  
COMPLIANCE

### REQUIREMENTS

1. Provide staff with ongoing, high-quality, job-embedded professional development that is:
  - a. Aligned with the school's comprehensive instructional program; and
  - b. Designed with school staff to ensure that they are equipped to facilitate effective teaching and learning, and have the capacity to successfully implement school reform strategies.
2. The LEA must ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, and a designated external lead partner organization (such as a school turnaround organization or an EMO).
3. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;
4. Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;
5. Establish schedules and strategies that provide increased learning time using a longer school day, week, or year schedule to significantly increase the total number of school hours to include additional time for,
  - a. Instruction in one or more core academic subjects, including English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography;
  - b. Instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations

  
  
  
  
  
  
  

### ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES

PLAN  
INCLUDES

1. Conducting periodic monitoring reviews to ensure that the instruction is implemented with fidelity to the selected curriculum, is having the intended impact on student achievement, and is modified if ineffective;
2. Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that English learners acquire language skills to master academic content;
3. Using and integrating technology based supports and interventions as part of the instructional program.
4. Expanding the school program to offer full-day kindergarten or prekindergarten.

  
  
  

In secondary schools:

1. Increasing rigor by offering opportunities for students to enroll in advanced coursework (such as Advanced Placement; International Baccalaureate; or science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities), early-college high schools, dual enrollment programs, or thematic learning academies that prepare students for college and careers, including by providing appropriate supports designed to ensure that low achieving students can take advantage of these programs and coursework;
2. Improving student transition from middle to high school through summer transition programs or freshman academies;
3. Increasing graduation rates through, for example, credit-recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills; or
4. Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate.

  
  
  

## C. STUDENT NON-ACADEMIC SUPPORT

PLAN IS IN  
COMPLIANCE

### REQUIREMENTS

1. Provide appropriate social-emotional and community-oriented services and supports for students.

### ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES

PLAN  
INCLUDES

1. Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;
2. Extending or restructuring the school day so as to add time for such strategies as advisory periods that build relationships between students, faculty, and other school staff;
3. Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment; or



**D. FAMILY AND COMMUNITY ENGAGEMENT**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

N/A

None Required

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**PLAN  
INCLUDES**

1. Provide ongoing mechanisms for family and community engagement.

**TOOL 5:  
RESTART MODEL-SPECIFIC REQUIREMENTS CHECKLIST**

**A. SCHOOL LEADERSHIP**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

1. The LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO).
2. A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**PLAN  
INCLUDES**

1. Any required or permissible activity in the Turnaround or Transformation models

**B. TEACHING AND LEARNING**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

1. A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**PLAN  
INCLUDES**

1. Any required or permissible activity in the Turnaround or Transformation models

**C. STUDENT NON-ACADEMIC SUPPORT**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

None

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**PLAN  
INCLUDES**

1. Any required or permissible activity in the Turnaround or Transformation models

**D. FAMILY & COMMUNITY ENGAGEMENT**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

None

**ADDITIONAL MODEL-SPECIFIC PERMISSIBLE ACTIVITIES**

**PLAN  
INCLUDES**

Any required or permissible activity in the Turnaround or Transformation models

**TOOL 6:  
EVIDENCE-BASED WHOLE SCHOOL REFORM MODEL-SPECIFIC REQUIREMENTS CHECKLIST**

**A. SCHOOL LEADERSHIP**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

1. The model provided by, and implemented in partnership with the whole-school reform model developer is designed to improve student academic achievement or attainment, will be implemented for all students in a school; and address, in a comprehensive and coordinated manner, school leadership.

**B. TEACHING AND LEARNING**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

1. The model provided by, and implemented in partnership with the whole-school reform model developer is designed to improve student academic achievement or attainment, will be implemented for all students in a school; and address, in a comprehensive and coordinated manner, teaching and learning.

**C. STUDENT NON-ACADEMIC SUPPORT**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

1. The model provided by, and implemented in partnership with the whole-school reform model developer is designed to improve student academic achievement or attainment, will be implemented for all students in a school; and address, in a comprehensive and coordinated manner, student non-academic support.

**D. FAMILY & COMMUNITY ENGAGEMENT**

**PLAN IS IN  
COMPLIANCE**

1. The model provided by, and implemented in partnership with the whole-school reform model developer is designed to improve student academic achievement or attainment, will be implemented for all students in a school; and address, in a comprehensive and coordinated manner, family & community engagement.

**TOOL 7:  
EARLY LEARNING MODEL-SPECIFIC REQUIREMENTS CHECKLIST**

**A. SCHOOL LEADERSHIP**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

1. The LEA must replace the principal who led the school prior to commencement of the early learning model.
2. The LEA must implement rigorous, transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement, that:
  - a. Will be used for continual improvement of instruction;
  - b. Meaningfully differentiate performance using at least three performance levels;
  - c. Use multiple valid measures in determining performance levels, including as a significant factor data on student growth (as defined in these requirements) for all students (including English learners and students with disabilities), and other measures of professional practice (which may be gathered through multiple formats and sources), such as observations based on rigorous teacher performance standards, teacher portfolios, and student and parent surveys;
  - d. Evaluate teachers and principals on a regular basis;
  - e. Provide clear, timely, and useful feedback, including feedback that identifies needs and guides professional development; and
  - f. Will be used to inform personnel decisions.
3. The LEA must use the teacher and principal evaluation and support system described in above to identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so.
4. The LEA must implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of students in the school, taking into consideration the results from the teacher and principal evaluation and support system, if applicable.

**B. TEACHING AND LEARNING**

**PLAN IS IN  
COMPLIANCE**

**REQUIREMENTS**

1. The LEA must provide full-day kindergarten.
2. Establish or expand a high-quality preschool program which has, at minimum;
  - a. High staff qualifications, including a teacher with a bachelor's degree in early childhood education or a bachelor's degree in any field with a State-approved alternate pathway, which may include coursework, clinical practice, and evidence of knowledge of content and pedagogy relating to early childhood, and teaching assistants with appropriate credentials;
  - b. A child-to-instructional staff ratio of no more than 10 to 1;
  - c. A class size of no more than 20 with, at a minimum, one teacher with high staff qualifications as outlined in paragraph (a) of this definition;
  - d. A full-day program;
  - e. Inclusion of children with disabilities to ensure access to and full participation in all opportunities;
  - f. Developmentally appropriate, culturally and linguistically responsive instruction and evidence-based curricula, and learning environments that are aligned with the State early learning and development standards, for at least the year prior to kindergarten entry;
  - g. Individualized accommodations and supports so that all children can access and participate fully in learning activities;
  - h. Instructional staff salaries that are comparable to the salaries of local K-12 instructional staff;
  - i. Program evaluation to ensure continuous improvement;
  - j. On-site or accessible comprehensive services for children and community partnerships that promote families' access to services that support their children's learning and development; and
  - k. Evidence-based health and safety standards.

- 3. Provide educators, including preschool teachers, with time for joint planning across grades to facilitate effective teaching and learning and positive teacher-student interactions;
- 4. The LEA must ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, and a designated external lead partner organization (such as a school turnaround organization or an EMO).
- 5. The LEA must ensure the school uses data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.
- 6. The LEA must ensure the school promotes the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.
- 7. The LEA must provide staff ongoing, high quality, job-embedded professional development (e.g., regarding subject specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is: 
  - a. Aligned with the school's comprehensive instructional program, and
  - b. Designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to implement successfully school reform strategies.

**C. STUDENT NON-ACADEMIC SUPPORT**

**PLAN IS IN COMPLIANCE**  
N/A

**REQUIREMENTS**  
**NONE**

**D. FAMILY & COMMUNITY ENGAGEMENT**

**PLAN IS IN COMPLIANCE**  
N/A

**REQUIREMENTS**  
**NONE**

## APPENDIX B: REQUIRED KEY COMPONENTS AND MODELS

### SCHOOL IMPROVEMENT GRANT (SIG) 1003(g) REQUIRED KEY COMPONENTS

The following are the required key components for the SIG projects that must be considered during the Needs Assessment process and addressed within the district and school FY 2016 SIG application.

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When completing **Sections IV and V**: consider the SIG required key components and how the district will meet these requirements.

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#### 1. **Extended Time Transformation, Turnaround, Restart, Early Learning):**

LEA establishes strategies that provide increased learning time by lengthening the school day, week and/or year to significantly increase the total number of school hours to include additional time for:

- a) Instruction in core academic subjects;
- b) Instruction in other subjects and enrichment activities that contribute to a well-rounded education; and
- c) Teachers to collaborate, plan, and engage in professional development within and across grades and subjects.

#### 2. **Comprehensive Instructional Reform:**

The LEA must use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with the State academic standards; and

The LEA must promote the continuous use of student data (such as from formative, interim, and summative assessments) in order to inform and differentiate instruction to meet the academic needs of individual students.

#### 3. **Operational Flexibility:**

The LEA grants the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates.

#### 4. **Governance:**

The LEA adopts a new governance structure, which may include, but is not limited to, requiring the school to report to a new “turnaround office” in the LEA or hiring a “turnaround leader” who reports directly to the superintendent or chief academic officer.

- There is one entity managing the intervention plan (the principal or the LEA turnaround office or the Lead Partner).
- There is an internal LEA unit or LEA staff person assigned to managing and supporting the SIG school(s).
- The plan includes specific structural and programmatic changes at the LEA level to support the work.

#### 5. **Lead Partner Charter School Operator, CMO, EMO, or Whole-School Reform Model Developers:**

The LEA ensures that the school receives ongoing, intensive technical assistance and related support from a designated Lead Partner (or other external agent) organization.

The Lead Partner (or other external agent) has specific and significant responsibilities within the school and district in addition to providing technical assistance and professional development. There is shared accountability for staffing decisions, school budget, school programs, and school calendars.

#### 6. **Hiring/Incentives:**

The LEA screens all existing staff and selects staff that demonstrate the greatest potential to fully implement the intervention model.

The LEA implements such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the student.

**Transformation and Early Learning Models.** Identify, using the teacher/principal evaluation system described below as one factor of identification, and reward school leaders, teachers, and other staff, who in implementing this model have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have provided for them to improve their professional practice, have not done so.

## 7. Teacher/Principal Evaluation:

The LEA uses rigorous, transparent, and equitable evaluation systems for teachers and principals that:

- 1) Are in compliance with State PERA law and time lines for implementation.
- 2) Are designed and developed with teacher and principal involvement.
- 3) Take into account data on student growth as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduation rates.

The LEA conducts periodic reviews of teachers to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if ineffective.

As a result of staff evaluation, the LEA commits to: replace staff, transfer staff, and institute hiring practices that ensure the neediest schools have access to the most effective staff first.

## 8. Professional Development:

The LEA ensures staff receives ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies.

The LEA and school commits to a regular (i.e., daily or weekly) structured schedule that protects/creates time for grade-level and subject-area teacher meetings to support collaboration and job-embedded professional development.

## 9. Family and Community Outreach:

The LEA and school has a detailed communication strategy for parent and community outreach and multiple opportunities for stakeholder input.

## 10. Planning

The LEA must plan and conduct all necessary activities that will ensure the full implementation of the selected model prior to the beginning of the first school day of the first year of full implementation. Activities are well aligned to the school's needs and may include, but are not limited to, five to six or the following:

- 1) Costs related to staff recruiting and selection;
- 2) Costs related to recruiting and assembling the principal and leadership team(s);
- 3) Compensation for staff for instructional planning;
- 4) Negotiation costs associated with changes/amendments to the Collective Bargaining Agreement potentially regarding extended day, staff removal/transfer, procedures, etc.;
- 5) Training costs for staff in order to implement the model;
- 6) Costs to develop the program monitoring system and/or operationalize the new governance/schedule in response to the grant proposal; and
- 7) Other costs as necessary.

The LEA should also redirect significant local, state, and/or federal dollars to maximize the funding impact of SIG.

## 11. Monitoring and Implementation:

The LEA indicates through its timeline that it has the ability to get all the elements of its selected model fully up and running by the beginning of the 2017-2018 school year, and implement it fully for a minimum of 3 full school years.

The LEA must have a strong plan to monitor and hold accountable for specific outcome measures the school leader, Lead Partner, charter school operator, CMO, EMO, or whole-school reform model developer, relating to:

- 1) Meeting the annual SMART goals and objectives established by the LEA for student achievement on the state's assessments in both reading/language arts and mathematics; and
- 2) Making progress on the leading indicators and ED metrics.

The LEA must comply with its obligation to submit quarterly accountability/progress monitoring reports to the SEA.

## **12. Sustainability Planning**

The LEA must engage in annual sustainability planning that includes some or all of the following activities:

- 1) Cost-benefit analysis and return on (academic) investment,
- 2) Building staff capacity,
- 3) Repurposing staff,
- 4) Resource reallocation,
- 5) Re-evaluating Partner agreements, and
- 6) Incorporating meaningful stakeholder engagement (policy makers, service providers, community partners, parents, families).

The LEA must direct significant local, state and/or federal dollars to sustain the reform strategies for three years after the grant period.

## **13. Budget:**

The LEA must ensure that the use of SIG funds are:

- 7) Directly related to the full and effective implementation of the intervention model selected by the LEA for the Priority school;
- 8) Addressing particular needs of the students in the school as identified by the LEA's needs assessment;
- 9) Advancing the overall goal of improving student achievement in this persistently lowest-achieving school; and
- 10) Reasonable and necessary expenditures.

The LEA district and school budget and reporting procedures must be in compliance with Title I and the State and Federal Grant Administration Policy, Fiscal Requirements and Procedures (June 2013).

## **14. Overall SIG Plan:**

There is coherence and cohesion to the LEA's SIG plan that clearly demonstrates how the parts/interventions work together.

The LEA has plans to remove previous reporting/curricular/programmatic requirements that do not align with the selected intervention.



## INTERVENTION MODELS

Applicants are advised to review the information pertaining to the specific elements of each model from the U.S. Department of Education (ED). Some aspects, such as use of funds for Response to Intervention, may not be applicable for Illinois grantees. Additionally, the requirement for the use of a rigorous evaluation system is required by Illinois law for both the Turnaround and Transformation models.

### **Transformation model:**

Transformation model: A transformation model is one in which an LEA implements each of the following elements:

- 1) Developing and increasing teacher and school leader effectiveness.
  - a) Required activities. The LEA must:
    - i) Replace the principal who led the school prior to commencement of the transformation model;
    - ii) Implement rigorous, transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement, that:
      - (1) Will be used for continual improvement of instruction;
      - (2) Meaningfully differentiate performance using at least three performance levels;
      - (3) Use multiple valid measures in determining performance levels, including as a significant factor data on student growth (as defined in these requirements) for all students (including English learners and students with disabilities), and other measures of professional practice (which may be gathered through multiple formats and sources), such as observations based on rigorous teacher performance standards, teacher portfolios, and student and parent surveys;
      - (4) Evaluate teachers and principals on a regular basis;
      - (5) Provide clear, timely, and useful feedback, including feedback that identifies needs and guides professional development; and
      - (6) Will be used to inform personnel decisions.
    - iii) Use the teacher and principal evaluation and support system described in above to identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so; and
    - iv) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of students in the school, taking into consideration the results from the teacher and principal evaluation and support system, if applicable.
  - b) Permissible activities. An LEA may also implement other strategies to develop teachers' and school leaders' effectiveness, such as:
    - i) Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school;
    - ii) Instituting a system for measuring changes in instructional practices resulting from professional development; or
    - iii) Ensuring that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority.
- 2) Comprehensive instructional reform strategies.
  - a) Required activities. The LEA must:
    - i) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;

- ii) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students; and
  - iii) Provide staff ongoing, high quality, job-embedded professional development (e.g., regarding subject specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to implement successfully school reform strategies.
- b) Permissible activities. An LEA may also implement comprehensive instructional reform strategies, such as:
- i) Conducting periodic reviews to ensure that the instruction is implemented with fidelity to the selected curriculum, is having the intended impact on student achievement, and is modified if ineffective;
  - ii) Implementing a school wide "response-to-intervention" model<sup>1</sup>;
  - iii) Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that English learners acquire language skills to master academic content;
  - iv) Using and integrating technology based supports and interventions as part of the instructional program; and
  - v) In secondary schools:
    - (1) Increasing rigor by offering opportunities for students to enroll in advanced coursework (such as Advanced Placement; International Baccalaureate; or science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities), early-college high schools, dual enrollment programs, or thematic learning academies that prepare students for college and careers, including by providing appropriate supports designed to ensure that low achieving students can take advantage of these programs and coursework;
    - (2) Improving student transition from middle to high school through summer transition programs or freshman academies;
    - (3) Increasing graduation rates through, for example, credit-recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills; or
    - (4) Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate.
- 3) Increasing learning time and creating community-oriented schools.
- a) Required activities. The LEA must:
- i) Establish schedules and strategies that provide increased learning time (as defined in these requirements); and
  - ii) Provide ongoing mechanisms for family and community engagement.
- b) Permissible activities. An LEA may also implement other strategies that extend learning time and create community-oriented schools, such as:
- i) Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;
  - ii) Extending or restructuring the school day so as to add time for such strategies as advisory periods that build relationships between students, faculty, and other school staff;
  - iii) Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment; or
  - iv) Expanding the school program to offer full-day kindergarten or prekindergarten.
- 4) Providing operational flexibility and sustained support.

<sup>1</sup> Not applicable in Illinois as response to intervention programs are already a requirement under state law.

- a) Required activities. The LEA must:
  - i) Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully each element of the transformation model to substantially improve student achievement outcomes and increase high school graduation rates; and
  - ii) Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).
- b) Permissible activities. The LEA may also implement other strategies for providing operational flexibility and intensive support, such as:
  - i) Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or
  - ii) Implementing a per-pupil, school-based budget formula that is weighted based on student needs.

The LEA must also have a strong plan to monitor the implementation of this model.

**Turnaround model:**

- 1) A turnaround model is one in which an LEA must:
  - a) Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates;
  - b) Use locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students:
    - i) Screen all existing staff and rehire no more than 50 percent, and
    - ii) Select new staff;
  - c) Use rigorous, transparent, and equitable evaluation systems for teachers and principals that:
    - i) Take into account data on student growth as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduation rates, and
    - ii) Are designed and developed with teacher and principal involvement;
  - d) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school;
  - e) Provide staff with ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning, and have the capacity to successfully implement school reform strategies;
  - f) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA or SEA, hire a "turnaround leader" who reports directly to the superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;
  - g) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;
  - h) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;
  - i) Establish schedules and implement strategies that provide increased learning time; and
  - j) Provide appropriate social-emotional and community-oriented services and supports for students.

- k) Have a strong plan for monitoring the Lead Partner.
- 2) A turnaround model may also implement other strategies such as:
- a) Any of the required and permissible activities under the transformation model; or
  - b) A new school model (e.g., themed, dual language academy).

The LEA must also have a strong plan to monitor the implementation of this model.

**Restart model:**

A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process. (A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing certain functions and resources among schools. An EMO is a for-profit or non-profit organization that provides “whole-school operation” services to an LEA.)

- 1) The rigorous review process must include a determination by the LEA that the selected charter school operator, CMO, or EMO is likely to produce strong results for the school. In making this determination, the LEA must consider the extent to which the schools currently operated or managed by the selected charter school operator, CMO, or EMO, if any, have produced strong results over the past three years (or over the life of the school, if the school has been open for fewer than three years), including:
  - a) Significant improvement in academic achievement for all of the groups of students described in section 1111(b)(2)(C)(v) of the ESEA;
  - b) Success in closing achievement gaps, either within schools or relative to all public elementary school and secondary school students statewide, for all of the groups of students described in section 1111(b)(2)(C)(v)(II) of the ESEA;
  - c) High school graduation rates, where applicable, that are above the average rates in the State for the groups of students described in section 1111(b)(2)(C)(v) of the ESEA; and
  - d) No significant compliance issues, including in the areas of civil rights, financial management, and student safety;
- 2) A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.

The LEA must also have a strong plan to monitor the charter school operator, CMO or EMO it selects.

**Evidence-based Whole School Reform model:**

An evidence-based, whole-school reform model is:

- 1) Supported by evidence of effectiveness, which must include at least one study of the model that:
  - a) Meets What Works Clearinghouse evidence standards with or without reservations;
  - b) Found a statistically significant favorable impact on a student academic achievement or attainment outcome, with no statistically significant and overriding unfavorable impacts on that outcome for relevant populations in the study or in other studies of the intervention reviewed by and reported on by the What Works Clearinghouse; and
  - c) If meeting What Works Clearinghouse evidence standards with reservations, includes a large sample and a multi-site sample as defined in 34 CFR 77.1 (**Note**: multiple studies can cumulatively meet the large and multi-site sample requirements so long as each study meets the other requirements in this section);
- 2) Is a whole-school reform model, that is designed to:
  - a) Improve student academic achievement or attainment;
  - b) Be implemented for all students in a school; and
  - c) Address, at a minimum and in a comprehensive and coordinated manner, each of the following:
    - i) School leadership.
    - ii) Teaching and learning in at least one full academic content area (including professional learning for educators).
    - iii) Student non-academic support.
    - iv) Family and community engagement.
- 3) Is implemented by the LEA in partnership with a whole-school reform model developer, who is an entity or individual that:
  - a) Maintains proprietary rights for the model; or
  - b) If no entity or individual maintains proprietary rights for the model, has a demonstrated record of success in implementing a whole-school reform model (as defined in these requirements) and is selected through a rigorous review process that includes a determination that the entity or individual is likely to produce strong results for the school.

### **Early Learning model:**

An LEA implementing the early learning model in an elementary school must:

- 1) Implement each of the following early learning strategies:
  - a) Offer full-day kindergarten;
  - b) Establish or expand a high-quality preschool program which has, at minimum;
    - i) High staff qualifications, including a teacher with a bachelor's degree in early childhood education or a bachelor's degree in any field with a State-approved alternate pathway, which may include coursework, clinical practice, and evidence of knowledge of content and pedagogy relating to early childhood, and teaching assistants with appropriate credentials;
    - ii) High-quality professional development for all staff;
    - iii) A child-to-instructional staff ratio of no more than 10 to 1;
    - iv) A class size of no more than 20 with, at a minimum, one teacher with high staff qualifications as outlined in paragraph (a) of this definition;
    - v) A full-day program;
    - vi) Inclusion of children with disabilities to ensure access to and full participation in all opportunities;
    - vii) Developmentally appropriate, culturally and linguistically responsive instruction and evidence-based curricula, and learning environments that are aligned with the State early learning and development standards, for at least the year prior to kindergarten entry;
    - viii) Individualized accommodations and supports so that all children can access and participate fully in learning activities;
    - ix) Instructional staff salaries that are comparable to the salaries of local K-12 instructional staff;
    - x) Program evaluation to ensure continuous improvement;
    - xi) On-site or accessible comprehensive services for children and community partnerships that promote families' access to services that support their children's learning and development; and
    - xii) Evidence-based health and safety standards.
  - c) Provide educators, including preschool teachers, with time for joint planning across grades to facilitate effective teaching and learning and positive teacher-student interactions;
  - d) Replace the principal who led the school prior to commencement of the early learning model;
  - e) Implement rigorous, transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement that meet the requirements described in the transformation model.
  - f) Use the teacher and principal evaluation and support system described in the transformation model to identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so;
  - g) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of students in the school, taking into consideration the results from the teacher and principal evaluation and support system described in the transformation model;
  - h) Use data to identify and implement an instructional program that:
    - i) Is research-based, developmentally appropriate, and vertically aligned from one grade to the next as well as aligned with State early learning and development standards and State academic standards; and

- ii) In the early grades, promotes the full range of academic content across domains of development, including math and science, language and literacy, socio-emotional skills, self-regulation, and executive functions;
- iii) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the educational and developmental needs of individual students; and
- i) Provide staff ongoing, high-quality, job-embedded professional development such as coaching and mentoring (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to implement successfully school reform strategies.

**School closure:**

School closure occurs when an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving or to new schools for which achievement data are not yet available. These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools.