Pre-Application Process for FY 2013 SIG 1003(g) Applicants

NEEDS ASSESSMENT

The **FY 2013 SIG 1003(g) Needs Assessment** is the first step in the application process for the 1003(g) School Improvement Grant. 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 Tier I and Tier II 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.

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 2013 SIG 1003(g) Needs Assessment, please utilize the tools provided in Appendix 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 Part I to identify the team.

- Complete Parts I and II of the Needs Assessment for each Tier I and Tier II school for which the district is seeking funding.

- After completing Parts I and II for each school, complete one Part III "District Level Capacity Analysis."

- Attach Part III to the LEA application and Part I and Part II 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 in Part I of each school's application.

Introduction

School Improvement Grant under Section 1003(g)

School Improvement Grants, authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act 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 on October 28, 2010, school improvement funds are to be focused on the State's Tier I and Tier II schools.

Intervention Model:

In the Tier I and Tier II schools an LEA chooses to serve, the LEA must select and fully implement one of the U.S. Department of Education's approved four school intervention models:

- Turnaround model
- Restart model
- School closure
- Transformation model

Detailed explanations of the intervention models are provided in the U.S. Department of Education's *Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965 (March 1, 2012)*, pages 27 to 42, at http://www2.ed.gov/programs/sif/legislation.html#guidance.

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 Tier I or Tier II 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 2013 SIG 1003(g) Needs Assessment Components

Cover Page and Checklist

Part I: Team and Process
- Developing a District/School Improvement Team
- Team Membership
- LEA/School Stakeholders Consultation Confirmation form

Part II: School Performance - Data and Analysis
- Demographics and Context
- Academic Performance

Part III: 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

Part IV: Determining the Intervention Model (Best-Fit) for School
- Characteristics of Performance and Capacity
- Intervention Models Analysis

Appendix A: Tools
Tool 1: Roadmap
Tool 2: District Behavior Shifts to Enable Success in Previously Unsuccessful Schools SIG 1003(g) Intervention
        Models
Tool 3: Turnaround Checklist
Tool 4: Restart Checklist: Contracting with External Education Management Providers
Tool 5: Restart Checklist: Reopening as a Charter School
Tool 6: Transformation Checklist
Tool 7: Closure Checklist

Appendix B: Required Key Components and Models
SIG 1003(g) Required Key Components
SIG 1003(g) Intervention Models

Appendix C: SIG 1003(g) 2011-2015 ED Data Collection Requirements

Illinois State Board of Education
Innovation and Improvement Division
100 North First Street, N-242
Springfield, IL 62777-0001

FY 2013 School Improvement Grant – Section 1003(g)
NEEDS ASSESSMENT
Cover Page

DISTRICT NAME AND NUMBER		NAME OF SCHOOL	
REGION, COUNTY, DISTRICT, TYPE CODE		CHECK (✓) ONE ONLY ☐ Tier I School ☐ Tier II School	
SCHOOL 2011: FEDERAL ACADEMIC STATUS		SCHOOL 2011: STATE ACADEMIC STATUS	
DISTRICT ADDRESS (Street, City, State, 9 Digit Zip Code)		SCHOOL ADDRESS (Street, City, State, 9 Digit Zip Code)	
NAME OF SUPERINTENDENT/AUTHORIZED OFFICIAL		PRIMARY CONTACT	
TELEPHONE (Include Area Code)	FAX (Include Area Code)	TELEPHONE (Include Area Code)	FAX (Include Area Code)
SUPERINTENDENT/AUTHORIZED OFFICIAL E-MAIL ADDRESS		PRIMARY CONTACT'S E-MAIL ADDRESS	

Part I: Team and Process
Developing a District/School Improvement Team

The district/school improvement team is responsible for organizing and leading the Needs Assessment process. We recommend that the team is comprised of a cross section of district and school staff involved in district and school improvement, professional development, NCLB coordination, special education, student services, fiscal matters, union representation, testing and data analysis, curriculum and instruction, and the school board. Parents and other community stakeholders should also be represented on the team. Moreover, participation of the superintendent is essential.

The district/school improvement team should be large enough to get diverse perspectives on the district and the individual school's efforts, yet small enough to ensure the team can meet regularly to complete the analysis. Research and experience indicate that the *process* of choosing a school improvement model rivals the strategy itself in importance for successful change. Involving school teams—with the current school leader, staff, parents, and others who have a large stake in each school's success—in decisions about their own schools can help the district make better informed decisions and reduce resistance to dramatic changes. (see Appendix A: Tool 1 Roadmap)

District/School SIG 1003(g) Improvement Team Membership

NAME	TITLE/POSITION	REPRESENTING

Record Keeping Requirement:

Each time the team engages in an activity related to the Needs Assessment, <u>complete an LEA/School Stakeholders Consultation Confirmation form</u> as evidence of the session. Submit the signed completed forms in Part I of each school's FY 2013 SIG 1003(g) Individual School Application.

ILLINOIS STATE BOARD OF EDUCATION
Innovation and Improvement Division
100 North First Street, N-242
Springfield, IL 62777-0001

FY 2013 School Improvement Grant – Section 1003(g)
Pre-Application Needs Assessment Process
LEA/School Stakeholders Consultation Confirmation

Instructions: To verify active stakeholders engagement in the FY 2012 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 2012 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				
NAME	TITLE/POSITION	REPRESENTING	SIGNATURE	DATE

ISBE 43-45 FY13 SIG ARRA Pre-Application Needs Assessment (4/12)

ILLINOIS STATE BOARD OF EDUCATION
Innovation and Improvement Division
100 North First Street, N-242
Springfield, IL 62777-0001

FY 2013 School Improvement Grant – Section 1003(g)
Pre-Application Needs Assessment Process
LEA/School Stakeholders Consultation Confirmation

Instructions: To verify active stakeholders engagement in the FY 2012 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 2012 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				
NAME	TITLE/POSITION	REPRESENTING	SIGNATURE	DATE

ISBE 43-45 FY13 SIG ARRA Pre-Application Needs Assessment (4/12)

ILLINOIS STATE BOARD OF EDUCATION
Innovation and Improvement Division
100 North First Street, N-242
Springfield, IL 62777-0001

FY 2013 School Improvement Grant – Section 1003(g)
Pre-Application Needs Assessment Process
LEA/School Stakeholders Consultation Confirmation

Instructions: To verify active stakeholders engagement in the FY 2012 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 2012 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				
NAME	TITLE/POSITION	REPRESENTING	SIGNATURE	DATE

ISBE 43-45 FY13 SIG ARRA Pre-Application Needs Assessment (4/12)

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

Part II. School Performance - Data and Analysis

Context			
	2008-2009	**2009-2010**	**2010-2011**
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).

-
-
-

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.

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

Part 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

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

Part 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://iirc.niu.edu/) in the 2011 School Improvement Plan – Section I-A Data & Analysis – Report Card Data. 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.

PSAE		2009	2010	2011
Grade 11	Reading			
Grade 11	Mathematics			

11. Using the **2011 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?

PSAE – Grade 11					
Subject	White, Non-Hispanic	Black, Non-Hispanic	Hispanic	Native American	English Language Learners	Special Education
Reading						
Mathematics						

12. Using the **2011 state assessment data**, what is the student participation rate on the state assessment in reading and mathematics by student subgroup?

PSAE – Grade 11- Participation Rate					
Subject	White, Non-Hispanic	Black, Non-Hispanic	Hispanic	Native American	English Language Learners	Special Education
Reading						
Mathematics						

2011 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.	2009	2010	2011

Part II. School Performance - Data and Analysis (continued)

SCHOOL INFORMATION			
	2009	**2010**	**2011**
Number of minutes within the school year			
Student attendance rate (%)			
Student mobility rate (%)			
Discipline Incidents			
Truancy rate (%)			
High School Dropout rate (%)			
High School Graduation rate (%)			

Note: **Responses for the following items will need to be provided by the district and/or school. It is possible that some of the requested data are not available. In this case, insert NA for "not available."**

Number and percentage of students completing advanced placement (AP) coursework			
Number and percentage of students who completed the International Baccalaureate (IB) classes			
Number and percentage of students who completed advance mathematics			
Number of high school students who completed both advanced coursework and dual enrollment classes			
College enrollment rate (%)			
Teacher attendance rate (%)			
Distribution of teachers by performance level on LEA's teacher evaluation system.			

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

Part II. School Performance - Data and Analysis (continued)

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

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

14. What patterns of achievement are evident over time?

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

16. What characteristics of the student demographics should be taken into account in selecting an intervention model and Lead Partner?

17. 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?

Note: Before moving on to Part III, please make sure that the team has completed Parts I & II for each school the district seeks to fund.

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

Part III – 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
Our district has staff qualified to lead bold changes in schools.	☐	☐	☐	☐
Our district establishes and implements a process to assign professional and support staff based on system needs and staff qualifications.	☐	☐	☐	☐
Central Office staff has the authority to replace principals and teachers based on performance.	☐	☐	☐	☐
Our district has authority to grant principals operational flexibility over items like budgets, staffing, and calendar.	☐	☐	☐	☐
Our district implements a staff evaluation system that provides for the professional growth of all personnel. Considerations: 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.	☐	☐	☐	☐
There is a staffing plan in place that reflects best practice for recruiting, placing, and retaining effective teachers and school leaders. Considerations: 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.	☐	☐	☐	☐
Our district's relationship with the union will support negotiations of contract terms that ensure the placment of highly effective teachers and the dismissal of low performing teachers. Considerations: Communications, community support, indepth understanding of evaluation methods, legislation/statutes, collective bargaining agreements.	☐	☐	☐	☐

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

Instructional and Support Strategies

	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE
Our district uses data to drive decisions and targets resources and ongoing support to low-performing students in the neediest schools. Considerations: Data exist to support the decision to allocate resources towards a particular service, material, equipment, etc.	☐	☐	☐	☐
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. Considerations: Personnel, school data teams, professional development, communication.	☐	☐	☐	☐
District ensures that: ▫ **Curriculum** ▫ **Assessment** ▫ **Instructional Practices** **lead to equitable educational opportunities and outcomes for all students in its neediest schools.** Considerations: There is evidence of a district curriculum and instruction framework that includes grade-level benchmarks. District conducts curriculum alignment studies.	☐ ☐ ☐	☐ ☐ ☐	☐ ☐ ☐	☐ ☐ ☐
Our district ensures instructional practices are aligned with assessment practices to measure student progress. Considerations: Grade-level benchmarks, progress monitoring, job embedded professional development.	☐	☐	☐	☐
Our district continuously monitors curriculum to make certain it supports instructional practices that are responsive to student needs. Considerations: There is evidence of a district curriculum and instruction framework that includes grade-level benchmarks. District conducts curriculum alignment studies.	☐	☐	☐	☐
Teachers are competent in and use a variety of differentiated teaching strategies that meet the needs of all students. Considerations: 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.	☐	☐	☐	☐
Intervention strategies, supports, and extended learning opportunities are in place for all students who struggle academically. Considerations: Conducts extensive analysis of achievement gaps and develops strategies to address gaps.	☐	☐	☐	☐

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

Time and Support

	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE
Our district has the authority to modify calendar activities and extend learning time.	☐	☐	☐	☐
Our district has a process in place to assess the needs of staff to inform the planning of professional development offered by the district. Considerations: The district conducts a professional development needs assessment or uses other tools such as the National Staff Development Council standards to guide efforts.	☐	☐	☐	☐
Our district is willing to give capable leaders unprecedented freedom to change, even if this creates inconsistency and inconvenience.	☐	☐	☐	☐
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. Considerations: Payment for extended days or additional days, adequate pool of substitutes, clearly defined job-embedded professional development.	☐	☐	☐	☐
Our district has a communications plan in place to provide families, staff, and community members with ongoing updates.	☐	☐	☐	☐

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

Governance

	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE
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 outsiders if needed and grant them sufficient operational flexibility in order to improve student outcomes.	☐	☐	☐	☐
There are clear indications of systemic support by the Central Office to support improvement efforts. Considerations: Data Systems, Communication, Personnel, Accountability, Technical Assistance, Polices and Procedures.	☐	☐	☐	☐

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

Part IV. 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.

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

Intervention Model Analysis

Note: Detailed explanations of the intervention models are provided in the U.S. Department of Education's *Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965 (March 1, 2012)*, pages 27 to 42, at http://www2.ed.gov/programs/sif/legislation.html#guidance.

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 2013 SIG 1003(g) LEA Application (Attachment 2) and the Individual School's Application Cover Page (Attachment 7).**

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?

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?

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?

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 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 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. Does the statutory, policy, and collective bargaining context relevant to 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?

Transformation Model

1. 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?

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?

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?

Appendix A: Tools

Tool 1: Roadmap

	Step 1: Take Charge of Change— *Big* Change	Step 2: Choose the Right Changes	Step 3: Implement the Plan	Step 4: Evaluate, Improve, and Act on Failures
What it includes	• Organizing your district team • Assessing your district's capacity • Planning to manage stakeholders • Fine tuning your district team	• Analyzing school data • Planning the needs assessment, analysis, and decision process • Considering improvement models: turnarounds, restart, transformation or closure • Making final decisions across a district	After approval from school board: • Setting goals for implementation: How much improvement is expected, and how fast, in each school? • Removing implementation roadblocks • Using resources for implementation • Implementing your plan(s)	• Evaluating success—improved enough? • Improving schools ready for incremental change; replicating successes in future decisions • Acting on failures: Back to Step 1 for schools not improved enough
Who is involved	• District team	• District team • School teams • Other stakeholders	• District team • School teams • School leaders • Charters or contractors • Lead Partner • Stakeholders	• District team • School teams

Source: The Center for Comprehensive School Reform and Improvement. (2009). School Restructuring: What Works When? A Guide for Education Leaders. Washington, D.C: Learning Point Associates.

Tool 2:
District Behavior Shifts to Enable Success in Previously Unsuccessful Schools

Old District Behaviors	Behaviors for Successful Improvement of Failing Schools
• District staff focuses on compliance with current policies (since they work for most schools and students).	• District staff focuses on measuring learning results of failing schools.
• Administrators chosen for complying with rules, getting along personally.	• Administrators chosen for getting results, influencing others to change.
• District departments stick to previous practices, even if misaligned with changes elsewhere in the district.	• District departments work together to make changes schools need for student learning.
• School goals are set to be achievable by more students—to maintain public support for public schools.	• Goals are set based on what students need to know, think and do for personal, economic, and civic success; these goals increase and change.
• Willing to try a change to improve—if teachers, parents, community agree.	• Willing to make dramatic changes to help more children learn—even if teachers, parents or others disagree.
• New research about what works for learning used *if* not offensive to interest groups or difficult to organize; practices that do not work discarded only after careful study.	• New research about what works adopted regularly, with bias toward well-conducted studies; practices discarded quickly if do not show measurable learning results.
• Provides help and support to schools upon request; or district provides the same help to all schools regardless of schools' particular needs.	• Help and support always given, always targeted at improvement needs of individual schools.
• Student achievement goals are too hard or too easy; so, rewards, recognition and consequences for schools are unfair (or not used).	• Goals are challenging but achievable; rewards, recognition and consequences flow from goals.
• Poor measurement of student learning is used to excuse failing students and schools; measurement is limited to legally required content.	• 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.
• Extra money for failing schools used to do even more of what is already being done.	• Extra money for failing schools is used to introduce change; strategies that work well and fast are given more funding.

Source: The Center for Comprehensive School Reform and Improvement. (2009). School Restructuring: What Works When? A Guide for Education Leaders. Washington, D.C: Learning Point Associates.

Tool 3:
Turnaround Checklist

Successful Turnarounds Require…*

The District to:
- ☐ Choose a leader with turnaround capabilities for the school.
- ☐ Provide timely support and aligned systems to the school, including at least:
  - Management and communication support.
  - Student learning progress data.
  - Correct funding allocation according to school's population.
  - Help removing school staff members who are ineffective in turnaround.
- ☐ Allow leaders freedom to change school practices, even when inconsistent with district wide practices.
- ☐ Establish clear goals for school performance.
- ☐ Establish a clear, short timeframe for initial large improvements (e.g., one school year).
- ☐ Monitor school performance closely.
- ☐ Include stakeholders such as parents and community groups while pressing forward with change.
- ☐ Provide planning time before turnaround attempt (more than one summer).
- ☐ Allow at least three years to improve and sustain successful Year 1 turnarounds.
- ☐ Restructure again when a turnaround is not successful.

The School Leader to:
- ☐ Take proven turnaround actions, including at least:
  - Concentrating first on a few, very important change goals with big, fast payoffs.
  - Acting to implement practices proven to work with previously low-performing students, even when they require deviations from district policies.
- ☐ Demonstrate combined behavioral competencies of entrepreneurs, middle managers, and change leaders: driving for results; solving problems; showing confidence; influence; conceptual thinking; teamwork and cooperation; team leadership; organizational commitment; and communicating a compelling vision.
- ☐ Understand effective school practices and apply to students in the school.
- ☐ Influence stakeholders to support change:
  - Communicate current problems, why current learning is unacceptable.
  - Communicate a positive vision of future school success.
  - Silence naysayers with speedy success.
- ☐ Identify school staff members who contribute to turnaround success; ask others to leave school.
- ☐ Sustain initial successes with longer term culture change.

School Staff Members to:
- ☐ Contribute to turnaround success or leave the school.

Parents and Community Groups to:
- ☐ Understand that current school performance is not good enough.
- ☐ Believe that all children in the school can learn with the right changes.
- ☐ Support change, even when a new school leader is needed.

Teachers Union to:
- ☐ Allow school turnaround leaders who achieve large Year 1 learning improvements to remove from the school teachers and other staff who have not made needed changes.
- ☐ Support contract waivers allowing changes needed for learning by previously unsuccessful students.

Source: The Center for Comprehensive School Reform and Improvement. (2009). School Restructuring: What Works When? A Guide for Education Leaders. Washington, D.C: Learning Point Associates.

Tool 4:
Restart Checklist -
Contracting with External Education Management Providers

Successful Contracting for Education Management Requires…*

The District to:
☐ Use a rigorous selection process to choose contract school providers, including:
  - A clear, fair, well-organized selection process that is open to the public.
  - Rigorous assessment of applicant providers' knowledge, skill, and track record for action.
  - Thorough applicant review from the educational, organizational, legal, and financial perspectives.
☐ Include stakeholders such as parents and community groups while pressing forward with change.
☐ Devote staff and other resources exclusively to the management contracting function.
☐ Establish freedom of contract schools to veer from district practices.
☐ Clarify roles of the school provider and district in the contract.
☐ Clarify the contract support the district will provide, including facilities, funding, and services.
☐ Ensure that district central office staff support the contract school as intended and contracted.
☐ Ensure that providers know how to choose and manage school leaders with entrepreneurial capabilities.
☐ Obtain union contract waivers allowing changes needed for learning by previously unsuccessful students and allowing removal of ineffective staff.
☐ Establish clear goals for school performance and monitor school performance closely.
☐ Establish a clear timeframe for large student learning improvements.
☐ Provide planning time before contract school opening (more than one summer; up to one year).
☐ Cancel the contract and restructure again when a contract provider is not successful.

The School Management Provider or EMO to:
☐ Adapt its program as required to the needs of the student population.
☐ Choose a capable school leader and manage that person well.

The School Leader to:
☐ Demonstrate behavioral competencies of entrepreneurs and school leaders: driving for results; solving problems; showing confidence; influencing others; conceptual thinking; team leadership; and organizational commitment.
☐ Understand effective school practices and apply to students in the school.
☐ Hire staff who will best ensure student learning success, whether new or from previous school.

School Staff to:
☐ Commit to and act on the school's mission.
☐ Contribute to start-up and sustained school success or leave the school.

Parents and Community Groups to:
☐ Understand that current school performance is not good enough.
☐ Believe that all children in the school can learn.
☐ Support closing and reopening the school despite possible loss of relationships with staff and leader.

Teachers Union to:
☐ If contract includes maintenance of union contract:
  - Allow contractors who achieve large learning improvements to remove ineffective teachers and staff.
  - Support waivers allowing changes needed for learning by previously unsuccessful students.
☐ No action required if contract does not require school management provider to hire union staff.

Source: The Center for Comprehensive School Reform and Improvement. (2009). School Restructuring: What Works When? A Guide for Education Leaders. Washington, D.C: Learning Point Associates.

Tool 5:
Restart Checklist - Reopening as a Charter School

Successful District-Authorized Charter Schools Require…*

The District to:
- ☐ Use a rigorous selection process to choose charter school providers, including:
  - A clear, fair, well-organized selection process.
  - Rigorous assessment of applicant providers' knowledge, skill, and track record for action.
  - Thorough applicant review from the educational, organizational, legal, and financial perspectives.
- ☐ Devote staff and other resources exclusively to the charter authorizing function.
- ☐ Include stakeholders such as parents and community groups while pressing forward with change.
- ☐ Maintain freedom of charter schools to veer from district practices.
- ☐ Provide adequate funding aligned with district schools' funding.
- ☐ Ensure that providers know how to choose and manage school leaders with entrepreneurial capabilities.
- ☐ Establish clear goals for school performance and monitor school performance closely.
- ☐ Establish a clear timeframe for large student learning improvements.
- ☐ Provide planning time before charter school opening (more than one summer; up to one year).
- ☐ Revoke the charter and restructure again when a charter school is not successful.

The School Governance Board to:
- ☐ Commit to a school mission and goals, including strong learning results by all children.
- ☐ Measure school performance against goals.
- ☐ Clarify roles on the governance board.
- ☐ Practice effective governance: appropriate structure, size, committees, officers, and board composition.
- ☐ Focus on strategy, not day-to-day school management.
- ☐ Choose an entrepreneurial school leader and manage that person well.

The School Leader to:
- ☐ Demonstrate behavioral competencies of entrepreneurs and school leaders: driving for results; solving problems; showing confidence; influencing others; conceptual thinking; team leadership; and organizational commitment.
- ☐ Understand effective school practices and apply to students in the school.
- ☐ Hire staff who will best ensure student learning success, whether new or from previous school.

School Staff Members to:
- ☐ Commit to and act on the school's mission.
- ☐ Contribute to start-up and sustained school success or leave the school.

Parents and Community Groups to:
- ☐ Understand that current school performance is not good enough.
- ☐ Believe that all children in the school can learn.
- ☐ Support closing and reopening the school despite loss of relationships with school staff and leader.

Teachers Union to:
- ☐ If state law or charter contract require maintenance of union contract:
  - Allow charter school leaders who achieve large learning improvements to remove from the school teachers and other staff who have not made needed changes.
  - Support waivers allowing changes needed for learning by previously unsuccessful students.
- ☐ No action required if charter schools are not required to follow union contract.

Source: The Center for Comprehensive School Reform and Improvement. (2009). School Restructuring: What Works When? A Guide for Education Leaders. Washington, D.C: Learning Point Associates.

Tool 6:

Transformation Checklist

Successful Transformations Require…*

The District to:
- ☐ Select a new leader for the school, and determine what experience, training, and skills the new leader must be expected to possess.
- ☐ Decide how it will enable the new leader to make strategic staff replacements.
- ☐ Decipher its own capacity to support the transformation, including the implementation of required, recommended, and diagnostically determined strategies.
- ☐ Allow changes in decision-making policies and mechanisms (including greater school-level flexibility in budgeting, staffing, and scheduling) that must accompany the transformation.
- ☐ Determine what changes in operational practice must accompany the transformation, and how these changes are brought about and sustained.
- ☐ 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.
- ☐ Establish schedules and strategies that provide increased learning time.
- ☐ Ensure that the school receives ongoing, intensive technical assistance and related support from the district or a designated external lead partner organization.

The School Leader to:
- ☐ Understand effective school practices and apply to students in the school.
- ☐ Use rigorous, transparent, and equitable evaluation systems for teachers and principals.
- ☐ 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.
- ☐ Provide staff ongoing, high-quality, job-embedded professional development that reflects a deeper understanding of the community served by the school.
- ☐ Promote the continuous use of student data to inform and differentiate instruction in order to meet the academic needs of individual students.
- ☐ Influence stakeholder to support change:
    - • Communicate current problems, why current situation is unacceptable.
    - • Communicate positive vision of future school success.
    - • Silence naysayers with speedy success.
- ☐ Provide ongoing mechanisms for family and community engagement.

School Staff Member to:
- ☐ Use student data to inform and differentiate instruction in order to meet the academic needs of individual students.
- ☐ Increase rigor by offering opportunities for students to enroll in advanced coursework.
- ☐ Establish early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate.

Source: Perlman, C. & Redding, S. (2009). Handbook on Effective Implementation of School Improvement Grants. Lincoln, IL: Academic Development Institute.

Tool 7:
Closure Checklist - Successful Closures Require…*

The District to:

- ☐ Assess the district's capacity to manage the closing of schools, including all of the steps involved in closing schools. Address capacity issues prior to closing schools.
- ☐ Consider school closure in context of a larger reform effort.
    - • Determine the metrics and establish objective and specific criteria for closing schools.
    - • Engage community and business leaders in the development of criteria.
    - • Access external and credible experts in the development of criteria.
- ☐ Ensure steps are in place to make certain closure decisions are based on tangible data and readily transparent to the local community.
- ☐ Work closely with the school board or school committee members to minimize challenges.
- ☐ Work out how the students and their families will be supported by the district through the re-enrollment process.
- ☐ Determine which higher-achieving schools have the capacity to receive students from the schools being considered for closure.
- ☐ Develop systems that provide ongoing support and oversight to receiving schools.
- ☐ Identify how the receiving schools will be staffed with quality staff to accommodate the increase in students.
- ☐ Determine how current staff will be reassigned—and the process for determining which staff members are dismissed and which staff members are reassigned.
- ☐ Examine statutory, policy, and collective bargaining context relevant to the school in order to prepare for removal of current staff.
- ☐ Determine what supports will be provided to recipient schools if current staff members are reassigned.
- ☐ Consider what safety and security considerations might be anticipated for students of the school to be closed and the receiving school(s).
- ☐ Identify the budgetary implications of retaining surplus staff within the LEA if that is necessary.
- ☐ Decide how it will track student progress in the recipient schools.
- ☐ Develop a communications strategy that provides concrete information about how students will benefit from the proposed closures.
- ☐ Determine what is the impact of school closure to the school's neighborhood, enrollment area, or community.
- ☐ Provide families timely and accurate information about their options.

Receiving School Staff to:

- ☐ Establish performance benchmarks for incoming students.
- ☐ Build and increase staff capacity to make the transition successful.
- ☐ Initiate personal contact with parents and students, plan social opportunities for new families, invite new parents to participate on school-wide committees.

Source: Perlman, C. & Redding, S. (2009). Handbook on Effective Implementation of School Improvement Grants. Lincoln, IL: Academic Development Institute. Steirner, L. (2009). Tough decisions. Lincoln, IL: Academic Development Institute.

APPENDIX B: Required Key Components and Models

SIG 1003(g) Required Key Components

The following are the required key components for the SIG 1003(g) projects that must be considered during the Needs Assessment process and addressed within the district and school FY 2013 SIG 1003(g) application.

When completing **Part III: District Level Capacity Analysis**, consider the SIG 1003(g) required key components and how the district will meet these requirements.

1. **Extended Time:**

   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. **Transitions:**

   The LEA establishes strategies that improve student transition from middle to high school through summer transition programs or freshman academies. *(Does not apply to the turnaround or closure models).*

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:**

   The LEA ensures that the school receives ongoing, intensive technical assistance and related support from a designated lead partner organization.

   The Lead Partner 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:**

   The LEA screens all existing staff and selects staff that demonstrates 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 students.

7. **Teacher/Principal Evaluation:**

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

1) 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
2) Are designed and developed with teacher and principal involvement.

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 provides staff 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 has a detailed communication strategy for parent and community outreach and multiple opportunities for stakeholder input.

10. **Monitoring Implementation:**

The LEA indicates through its timeline that it has the ability to get the basic elements of its selected model up and running by the beginning of the 2012-2013 school year.

The LEA will monitor the school to determine it is:
1) Meeting the annual SMART goals 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 nine leading indicators and ED metrics.

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

11. **Budget:**

The LEA must ensure that the use of SIG funds are:
1) Directly related to the full and effective implementation of the intervention model selected by the LEA for the Tier I or Tier II school;
2) Address the particular needs of the students in the school as identified by the LEA's needs assessment;
3) Advance the overall goal of improving student achievement in this persistently lowest-achieving school; and
4) Are reasonable and necessary expenditures.

The LEA district and school budget and reporting procedures must be in compliance with Title I and ARRA and the State and Federal Grant Administration Policy and Fiscal Requirements and Procedures (October 2011).

12. **Overall SIG 1003(g) Plan:**

There is coherence and cohesion to the LEA's SIG 1003(g) 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.

<h1 style="text-align:center">SIG 1003(g) Intervention Models</h1>

Detailed explanations of the intervention models are provided in the U.S. Department of Education's *Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965*, pages 27 to 42, at http:// http://www2.ed.gov/programs/sif/legislation.html#guidance.

Please note the information pertaining to the specific elements of each model comes from the United States Department of Education. Some aspects, such as use of funds for Response to Intervention, may not be applicable for Illinois grantees.

Turnaround Model:

(1) A turnaround model is one in which an LEA must:

    (i) 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;

    (ii) Using locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students,

        A. Screen all existing staff and rehire no more than 50 percent; and

        B. Select new staff.

    (iii) 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;

    (iv) Provide staff 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;

    (v) 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;

    (vi) 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;

    (vii) 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;

    (viii) Establish schedules and implement strategies that provide increased learning time (as defined in this notice); and

    (ix) Provide appropriate social-emotional and community-oriented services and supports for students.

(2) A turnaround model may also implement other strategies such as:

    (i) Any of the required and permissible activities under the transformation model; or

    (ii) A new school model (e.g., themed, dual language academy).

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

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. These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available.

Transformation Model:

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

(1) Developing and increasing teacher and school leader effectiveness.

   (i) Required activities. The LEA must:

   A. Replace the principal who led the school prior to commencement of the transformation model;

   B. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that—

      (1) Take into account data on student growth (as defined in this notice) 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

      (2) Are designed and developed with teacher and principal involvement;

   C. 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;

   D. 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 successfully implement school reform strategies; and

   E. 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 a transformation school.

   (ii) Permissible activities. An LEA may also implement other strategies to develop teachers' and school leaders' effectiveness, such as--

   A. Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school;

   B. Instituting a system for measuring changes in instructional practices resulting from professional development; or

   C. 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) <u>Comprehensive instructional reform strategies</u>.

    (i) <u>Required activities</u>. The LEA must–

        A.   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; and

        B.   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.

    (ii)   <u>Permissible activities</u>. An LEA may also implement comprehensive instructional reform strategies, such as–

        A. Conducting periodic reviews to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if ineffective;

        B. Implementing a schoolwide "response-to-intervention" model;

        C. 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 limited English proficient students acquire language skills to master academic content;

        D. Using and integrating technology-based supports and interventions as part of the instructional program; and

        E. 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) <u>Increasing learning time and creating community-oriented schools</u>.

   (i)   <u>Required activities</u>. The LEA must–

        A. Establish schedules and strategies that provide increased learning time (as defined in this notice); and

        B. Provide ongoing mechanisms for family and community engagement.

   (ii)   <u>Permissible activities</u>. An LEA may also implement other strategies that extend learning time and create community-oriented schools, such as–

        A. 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;

B. 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;

C. 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. Expanding the school program to offer full-day kindergarten or pre-kindergarten.

(4) <u>Providing operational flexibility and sustained support</u>.

(i) <u>Required activities</u>. The LEA must–

A. Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates; and

B. 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).

(ii) <u>Permissible activities</u>. The LEA may also implement other strategies for providing operational flexibility and intensive support, such as–

A. Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or

B. Implementing a per-pupil school-based budget formula that is weighted based on student needs.

Appendix C: SIG 1003 (g) 2011-2015 ED Data Collection Requirements
Leading Indicators and Metrics

The LEA will be required to report these data annually for each of the individual school's SIG 1003(g) funded year.

It is also expected that the district and school are monitoring these data on a regular basis, including individual student progress monitoring and the implementation of the intervention model.

Metric #	Data Group Name	Definition
School Data		
1	Intervention Used	ED Required: Turnaround, Restart, Closure, Transformation (If Closure is the selected intervention – this is the only metric which must be provided for Year 1.)
2	AYP status	Met/Did Not Meet
3	Which AYP targets the school met and missed	
4	School improvement status	Federal Improvement Status

*5	Number of minutes	The number of minutes that all students were required to be at school and any additional learning time (e.g., before or after school, weekend school, summer school) for which all students had the opportunity to participate. <u>Example:</u>
		➢ The regular school year for the school included 176 full school days and four half school days that all students were required to attend.
		➢ The school is in an LEA where a full day is 380 minutes and a half day is 195 minutes.
		➢ The school also provided 80 days of additional learning time for which all students had the opportunity to participate.
		➢ The additional learning time lasted 90 minutes per day.
		➢ The total minutes would be 76,620, calculated as follows:
		  - 176 days multiplied by 390 minutes = 68,640 minutes;
		  - 4 days multiplied by 195 minutes = 780 minutes;
		  - 80 days multiplied by 90 minutes = 7,200 minutes;
		  - Total = 76,620 minutes (68,640 + 780 + 7,200)

5b	The types of increased learning time provided	(Only for those implementing restart, transformation, or turn-around) • Longer school year • Longer school day • Before or after school • Summer school • Weekend school • Other
Student Outcome/Academic Progress Data		
6	Percentage of students at or above each proficiency level on state assessments in reading/language arts and mathematics (e.g., Basic, Proficient, Advanced) by grade and by student group	
7	Student participation rate on state assessments in reading/language arts and in mathematics, by student subgroup	
8	Average scale scores on state assessments in reading/language arts and in mathematics by grade, for the "all students" group, for each achievement quartile, and for each subgroup	
9	Percentage of limited English proficient students who attain English language proficiency	Percentage of limited English proficiency students who attain English Language proficiency on the annual state English language proficiency assessment (ACCESS).
10	Graduation rate	
*11	Dropout rate	

*Metrics that have been starred are leading indicators

*12	Student attendance rate	The number of school days during the regular school year (plus summer, if applicable, if part of implementing the restart, transformation or turnaround model) students attended school divided by the maximum number of days students could have attended during the regular school year.
*13	Number and percentage of students completing advanced coursework (e.g., AP/IB and/or dual enrollment classes (*Includes three new data groups*)	• The number of students who completed advanced coursework (such as Advanced Placement, International Baccalaureate classes, or advanced mathematics). (ID732) *[Percentage completing advanced coursework with numerator = # of students who completed advanced coursework and denominator = # of students in membership on October 1 in high school grades.]* • The number of high school students who completed at least one class in a postsecondary institution. (ID:733) *[Percentage completing dual enrollment coursework with numerator = # of students who completed dual coursework and denominator = # of students in membership on October 1 in high school grades.]* • The number of students who completed advance coursework AND complete at least one class in a postsecondary institution. (ID:734) *[Percentage completing advanced coursework and dual enrollment coursework with numerator = # of students who completed advanced coursework and dual coursework and denominator = # of students in membership on October 1 in high school grades.]* **Definitions** **Advanced coursework** … student receives credit in accordance with state and local requirements. • **Advanced Mathematics**: trigonometry, analytic geometry, math analysis, probability and statistics, pre-calculus, calculus. • **Advanced Placement (AP)**: sponsored by the College Board and high school students earn college credit and advanced college placement. • **International Baccalaureate**: Sponsored by the International Baccalaureate Organization. IB Diploma Programme includes prescribed coursework and is normally taught over two years. **Dual Enrollment** … Coursework counts for high school and college credit.
14	College enrollment rates	
Student Connection and School Climate		
*15	Discipline incidents	
*16	Truants	
Talent		
*17	Distribution of teachers by performance level on LEA's teacher evaluation system	
*18	Teacher attendance rate	The number of FTE days teachers worked divided by the maximum number of FTE-teacher working days. A teacher is absent if he or she is not in attendance on a day in the regular school year when the teacher would otherwise be expected to be teaching students in an assigned class. This includes both days taken for sick leave and days taken for personal leave. Personal leave includes voluntary absences for reasons other than sick leave. Do not include administratively approved leave for professional development, field trips or other off-campus activities with students.

*Metrics that have been starred are leading indicators