



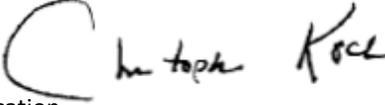
# Illinois State Board of Education

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Christopher A. Koch, Ed.D.  
State Superintendent of Education

**TO:** Eligible Applicants

**FROM:** Christopher A. Koch, Ed.D.  
State Superintendent of Education 

**DATE:** April 1, 2013

**SUBJECT:** **REQUEST FOR PROPOSALS (RFP):** School Improvement Grants

## General Information

**Eligible Applicants:** Local education agencies (LEA) with one or more Tier I and/or Tier II schools as described below are eligible to apply. An eligible LEA may apply for a School Improvement Grant (SIG) on behalf of one or more qualifying schools.

While Tier III schools are eligible for participation in SIG under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (ESEA), they are not eligible at this time, under this RFP.

### A Tier I School:

- Is a Title I school in federal improvement, corrective action, or restructuring that:
  - Is within the lowest achieving 5% of Title I schools in the state in improvement, corrective action, or restructuring based on a three (3) year average (i.e., from 2010-2012) performance of the *all student groups* category for the percent meeting/exceeding standards in reading and math combined (i.e., 28.4% or less); and
  - Demonstrates lack of progress; **or**
- Is a Title I secondary school that:
  - Has an average graduation rate as reported in the Illinois Interactive Report Card, of less than 60% over the last three (3) years (i.e., from 2010-2012).

### A Tier II School:

- Is a secondary school that is eligible for, but does not receive, Title I, Part A funds that:
  - Is within the lowest achieving 5% of secondary schools in the state that are eligible for, but do not receive Title I funds, based on the three (3) year average (i.e., from 2010-2012) performance of the *all student groups* category for the percent meeting/exceeding standards in reading and math combined (i.e., 35.8% or less); and
  - Demonstrates lack of progress; **or**
  -
- Is a secondary school that is eligible for, but does not receive, Title I, Part A funds that:
  - Has an average graduation rate, as reported in the Illinois Interactive Report Card, of less than 60% over each of the last three (3) years (i.e., from 2010-2012).
- Is a Title I secondary school in federal improvement, corrective action, or restructuring that does not qualify as Tier I that:

- Is no higher achieving than other Tier II schools (i.e., 35.8% or less), based on the three (3) year average (i.e., from 2010-2012) performance of the *all student groups* category for the percent meeting/exceeding standards in reading and math combined; and
- Demonstrates lack of progress; **or**
- Is a Title I secondary school in federal improvement, corrective action, or restructuring that does not qualify as Tier I that:
  - Has an average graduation rate, as reported in the Illinois Interactive Report Card, of less than 60% over the last three (3) years (i.e., from 2010-2012).

**Definitions:** The following definitions are provided to assist with the understanding of eligibility criteria and related terms.

**Persistently lowest achieving schools:** describes the lowest achieving 5% of schools in the state based on the three (3) year average of the *all student groups* category for the percent meeting/exceeding standards in reading and math combined and that demonstrate a lack of progress.

**Lack of Progress:** is demonstrated by a school when there:

- Has been a decrease in the percentage of the *all students group* meeting/exceeding on the State assessments from any one year to the next; **or**
- Has been less than a 10% increase in the *all students group* meeting/exceeding on the State assessments for the most recent school year when compared to the immediate preceding school year and less than a 20% cumulative increase for the *all students group* when compared to the previous two years.

**Secondary School:** is defined in Section 22-22 of the School Code (105 ILCS 5/22-22) as an attendance center serving students in any combination of grades 9 through 12 (although it may also have students enrolled in grades below grade 9).

Pursuant to the *Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965 (ESEA)*, located at <http://www2.ed.gov/programs/sif/sigguidance03012012.doc>, the Illinois State Board of Education (ISBE) has generated eligibility lists to include the districts and their schools that meet at least one of the Tier I or Tier II School criteria strands described above. These eligibility lists are posted at [http://www.isbe.state.il.us/sos/htmls/sip\\_1003.htm](http://www.isbe.state.il.us/sos/htmls/sip_1003.htm).

If school district officials believe they qualify with one or more Tier I and/or Tier II Schools, and are not included on the eligibility lists, they may contact ISBE in writing at the e-mail addresses provided in the *Contact Persons* section of this RFP and request a review of their eligibility status.

**Grant Award:** ISBE has the authority, pursuant to Section 1003(g) of the Elementary and Secondary Education Act of 1965 (ESEA SIG) to distribute funds to eligible applicants for the purpose of implementing School Improvement Grants. The total amount of funding available for this grant competition is \$22 million. For purposes of compliance with Section 511 of P.L. 101-166 (the “Stevens Amendment”), applicants are advised that 100 percent of the funds for this program are derived from federal sources.

Annual grant awards to LEAs will range from not less than \$50,000 to \$2 million per participating Tier I and/or Tier II School, subject to available funds. Actual allocations will be based on the intervention model chosen and ISBE guidelines as outlined in this RFP. It is anticipated that grant funds will be available to successful applicants for two additional one-year continuation periods, except in the case of school closure.

Payment under this grant is subject to receipt of funds from the U.S. Department of Education (ED) to ISBE. Furthermore, payment under this grant is subject to passage of a sufficient appropriation by the Illinois General Assembly for the program. Obligations of ISBE will cease immediately without further obligation should the agency fail to receive sufficient federal funds for this program.

**Grant Periods:** The grant period will begin no sooner than July 1, 2013 and will extend from the execution date of the grant agreement until June 30, 2014 (FY 2014). Two continuation periods are anticipated—July 1, 2014 to June 30, 2015 (FY

2015) and July 1, 2015 to June 30, 2016 (FY 2016). Funding in the subsequent two continuation periods will be contingent upon a sufficient appropriation for the program and satisfactory progress in the preceding grant period.

**Application Deadline:** Mail the original proposal, five paper copies, and one compact disc (CD) containing an electronic copy in PDF or Microsoft® Word files to the address below to ensure receipt no later than **4:00 p.m. on April 30, 2013.**

Janice Hibbert  
Illinois State Board of Education  
Division of System of Support & District Intervention, N-242  
100 North First Street  
Springfield, Illinois 62777-0001

Proposals may also be hand-delivered to the following locations:

Springfield Office  
Information Center  
1st Floor  
100 North First Street

Chicago Office  
Reception Area  
Suite 14-300  
100 West Randolph Street

**Webinars:** The following webinars are offered to support applicants with the completion of their proposals.

1. **Webinars:** Applicants may access past webinars as listed below for assistance with the completion of their proposals. The webinars are located on the Innovation and Improvement website available at [http://www.isbe.net/sos/htmls/sip\\_1003.htm](http://www.isbe.net/sos/htmls/sip_1003.htm). A description of each webinar follows.
  - A. **Needs Assessment Webinar:** Details the needs assessment as the first step in the application process for the 1003(g) School Improvement Grant. The webinar explains how the needs assessment is designed to help applicants pinpoint the areas in which their district needs to focus and prioritize its resources in order to significantly improve student achievement. This webinar reviews each section of the needs assessment that is a required component of the application.
  - B. **FY2012 SIG 1003(g) Budget Development Webinar:** Provides detailed budget guidance for how to complete both the LEA and the individual school budget components of the grant applications.
  - C. **Bidders' Conference:** During this webinar, participants learn how the Needs Assessment and SIG 1003(g) FY2014 Application will be analyzed by reviewers. Applicants are given specific guidance on developing the three-year budget and how district capacity and school readiness are measured.

**Additional Information and Changes to the RFP:** Should additional information become available or changes to the RFP be made prior to the deadline, ISBE will post those changes to [http://www.isbe.net/sos/htmls/sip\\_1003.htm](http://www.isbe.net/sos/htmls/sip_1003.htm). Applicants are advised to check the site before submitting a proposal.

**Contact Persons:** For more information on school improvement grants, contact Kurt Miller at [kumiller@isbe.net](mailto:kumiller@isbe.net), Lisa Murray at [lmurray@isbe.net](mailto:lmurray@isbe.net), or Robin Staudenmeier at [estauden@isbe.net](mailto:estauden@isbe.net) or by phone at 217-524-4832.

### **Background and Program Specifications**

School Improvement Grants (SIG), as authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (ESEA) are made available from ED to state education agencies (SEAs) to provide subgrants to local education agencies (LEAs) for use in Title I schools and Title I eligible secondary schools. In awarding such grants, ISBE will give priority consideration to those LEAs that demonstrate the greatest need for school improvement 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 and exit improvement status. Under the final requirements, as published in the [Federal Register](#) in October 2010 and in accordance with recent waiver provisions of the

ESEA, School Improvement Grant funds must be focused on Tier I and Tier II Schools as defined in the *Eligible Applicants* section of this RFP.

The School Improvement Grant 1003(g) CFDA number for the ESEA SIG is 84.377A, and the Award number is S377A090014. The purpose of the grant is to assist the state's lowest performing schools 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 and exit improvement status. Selected grantees will be required to implement one of four approved school intervention models as listed below for each participating Tier I and Tier II School. Further explanation and details about each model are provided in Appendix A, and webinars detailing each model are available at the Center on Innovation and Improvement website <http://www.centerii.org/webinars/>.

### **Intervention Models**

1. Turnaround Model
2. Restart Model
3. School Closure
4. Transformation Model

### **Lead Partner**

LEAs that are awarded SIGs are required to work with a Lead Partner to implement their selected intervention model. The State Superintendent has approved, through the procurement process, a number of organizations with demonstrated records of success in supporting academically underperforming schools. In effect, these selected organizations are referred to as *Lead Partners* and are ISBE-approved to subcontract and work with LEAs and schools receiving SIGs.

Lead Partners are organizations that have served as national and state leaders in school improvement efforts and have been selected to lead and oversee the implementation of the school intervention models. Both the LEA and Lead Partner will share accountability for the successful implementation of the selected intervention model, with the ultimate goal to substantially raise student achievement. Lead Partners are responsible for working with the LEA to implement a coherent, whole-school reform effort that integrates structural and programmatic interventions. A Lead Partner must be prepared to provide daily on-site support, leadership, and assistance in the served school and LEA. An overview of each approved provider is located at <http://www.isbe.state.il.us/apl/default.htm>. A district must identify a Lead Partner for each school submitted in the application. The same Lead Partner is not required for each school in a district's application. In other words, the district may elect to contract with a separate and unique Lead Partner for each eligible school included in the application.

LEAs are highly encouraged to identify a Lead Partner for each school prior to submitting their proposal and include pertinent information about the identified Lead Partner in the proposal. However, final selection of Lead Partners is not a requirement for submission of a proposal. The LEA may select Lead Partners after award notifications are made by ISBE. However, a detailed memorandum of understanding (MOU) outlining services, deliverables, and associated costs between an awarded LEA and approved Lead Partner must be submitted to ISBE prior to the execution of a final grant agreement. The initial contract period for Lead Partners must coincide with and may not exceed the grant period established for SIG recipients by ISBE. The MOU must include terms of performance including, at a minimum, measurable and time-specific services to be provided, and it must include financial terms that establish, at a minimum, the amounts to be paid for services rendered. LEAs are directly responsible for paying the selected Lead Partners pursuant to their executed contracts. In all cases, the agreement must maintain the contractual authority for the LEA to terminate contracts with Lead Partners when identified benchmarks are not achieved, and/or specific outcomes are not accomplished. All contractual terms must align with the SIG 1003(g) requirements, and all Lead Partners must implement their services in accordance with the LEA's approved grant agreements. All LEAs and Lead Partners will be required to participate in data collection, evaluation, and reporting activities specified by ISBE so that successful strategies can be determined and shared throughout the State.

LEAs are encouraged to partner with an organization listed on the Illinois Approved Provider List found at <http://www.isbe.net/apl/default.htm>. For those LEAs, however, desiring to use a provider not included on the Illinois

Approved Provider List, pre-approval must be obtained from ISBE. The LEA must follow its procurement policies and once an entity is identified, a request for approval must be submitted to ISBE prior to the execution of a subcontract funded with SIG funds and must describe how the LEA recruited, screened, and selected the provider. The proposed provider will be required to submit an application to ISBE in which they will be asked to detail their experiences and record of success in supporting academically underperforming schools.

### **Waivers**

ISBE has been approved by ED to extend the following waivers to SIG recipients (see Attachment 2).

- Waive section 1116(b) (12) of the ESEA to permit LEAs to allow their Tier I and Tier II Title I participating schools that will fully implement a turnaround or restart model beginning in the 2013-2014 school year to “start over” in the school improvement timeline.
- Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.

### **Reporting and Evaluation**

LEAs awarded a SIG must participate in all evaluation and reporting activities conducted by ED and ISBE which include, but are not limited to:

- Participating in on-site reviews conducted by ISBE;
- Participating in designated school improvement activities and technical assistance offered by ISBE;
- Updating annual improvement goals;
- Submitting a revised budget and annual budget summary;
- Submitting quarterly expenditure reports;
- Reporting progress on the ED-identified nine (9) leading indicators included within eighteen (18) metrics (further information on the indicators and metrics can be found in Appendix C of the Pre-Application Needs Assessment Packet: SIG 1003(g) 2011-2015 USDE Data Collection Requirements – Leading Indicators and Metrics; and
- Submitting an annual continuation application.

### **Monitoring**

ISBE will monitor each grantee to ensure effective implementation of the proposed activities in the selected school intervention models. The student achievement goals (see Attachment 4) identified under the Improvement Goals section of this RFP as well as the (18) eighteen metrics (identified in Part II of the Pre-Application Needs Assessment Packet) as identified by ED will serve as the basis for all monitoring activities.

## Fiscal Information

Funding for SIG is made available from Section 1003(g) of Title I of the ESEA. The total amount of SIG funding available to LEAs under this RFP is approximately \$22 million. Individual grant awards to LEAs will range from not less than \$50,000 to not more than \$2 million annually, per participating school. The amount of funding requested by the LEA must be commensurate to its capacity to use SIG funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA's application in order to implement fully and effectively the selected intervention in each of those schools. Annual funding requests must be of sufficient size and scope to implement the selected school intervention models. The total annual LEA funding request, however, may not exceed the number of participating Tier I and Tier II schools multiplied by \$2 million.

ISBE will determine if the amount requested by the LEA is appropriate based on information provided in the proposal evidencing the LEA's capacity to serve participating schools, selected school intervention models, and other criteria identified in this RFP. Further information about the criteria for review and approval of proposals is included in the *Criteria for Review and Approval of Proposal* section of this document.

Grant funds are projected to be available for three (3) grant periods including FYs 2014, 2015, and 2016. After the initial award in FY 2014, selected grantees may apply for two additional, one-year periods of funding subject to sufficient federal funding for the program, progress toward meeting defined school goals, progress toward leading indicators, and effective implementation of selected intervention models.

As part of this application, the LEA must propose budgets for district-level activities as well as school-level activities. Further, LEAs must propose a separate budget for each participating Tier I and Tier II school for each year of the grant (i.e., FYs 2014, 2015, and 2016) (see Attachment 5). Applicants must use the budget forms provided (Attachments 6 and 9) to submit proposed budgets. Budget forms are titled according to these criteria. Applicants are advised to identify appropriate budget forms and prepare accordingly. Budgets must indicate the amount of SIG funds the LEA will use to:

1. Conduct district-level activities designed to support implementation of the selected school intervention models in the LEA's Tier I and Tier II schools; and
2. Implement the selected model in each Tier I and Tier II school it commits to serve.

The LEA may use up to 5% of the total grant award for LEA administrative costs associated with the oversight and administration of the grant. Expenditures should be in accordance with Office of Management and Budget's reasonable and necessary guidelines available at [http://www.whitehouse.gov/omb/circulars\\_a087\\_2004](http://www.whitehouse.gov/omb/circulars_a087_2004). Indirect costs are not permissible.

### Use of Funds

If awarded the grant, the LEA must use ESEA SIG funds only for approved school improvement activities. Funds must be used to supplement the amount of non-federal funds that, in the absence of the Title I monies, would otherwise be made available to participating Tier I and Tier II schools. Therefore, SIG funds **cannot supplant non-federal funds or be used to replace existing services**. The LEA must also ensure that all of its Title I schools are comparable to its non-Title I schools in accordance with section [1120A\(c\) of the ESEA](#).

SIG funds **may not** be used for the following activities:

- Proposal preparation and or planning costs;
- Out-of-state travel;
- Food purchases;
- Incentives of non-educational value (e.g., trinkets, cash, etc. for students; see Appendix A, Intervention Models, for specific information about incentives and awards);
- Field trips that are recreational in nature (field trips without academic support will be considered entertainment and will not be funded);
- Motivational speakers;
- Capital improvements such as facility construction, remodeling, or renovations;

- Any expenditure that occurred prior to the execution of a grant agreement under this RFP.

SIG 1003(g) funds must be tracked and reported separately from the Title I, Part A funds. Local fiscal agents are to place improvement funds in a Title I account assigned for school improvement. These funding numbers must not be the same as those used for the Title I Basic grant award or Section 1003(a) School Improvement Grant.

Since these are school improvement funds, districts may not combine funds into one account, and the amount awarded to each school must be spent specifically on implementation of one of the intervention models.

### **Overview of Application Process**

- Step 1:** Pre-Application Process – Assemble Team
- Step 2:** Pre-Application Process – Needs Assessment Packet
- Step 3:** LEA Application
- Step 4:** Individual School(s) Application
- Step 5:** ISBE Program-Specific Terms of the Grant, Certifications, and Assurances
- Step 6:** Post -Application Process – Interviews with Finalists

### **Proposal Requirements**

#### **Step 1: Pre-Application Process – Assemble Team**

**Stakeholder Engagement:** The LEA must consult with critical stakeholders including local school board members, teachers’ union representatives, school staff, parents, and community representatives as well as its identified Lead Partner regarding the proposal and the implementation of a school intervention model in each of the participating Tier I and Tier II schools. Applicants must complete an *LEA Stakeholders Consultation Confirmation* form for **each** meeting that involves stakeholders (see Attachment 10 for the form) and submit the completed forms with the proposal.

#### **Step 2: Pre Application Process – Needs Assessment Packet**

**FY 2014 SIG 1003(g) Needs Assessment:** The LEA must complete the prescribed needs assessment as the next step in creating a comprehensive school improvement reform strategy to support the LEA’s FY 2014 School Improvement Grant application. For each Tier I and Tier II school the LEA commits to serve, it must demonstrate that it has analyzed the needs of each school and, based on the analysis, selected one of the four approved intervention models for each school. In general, the needs assessment is intended to help the LEA pinpoint the areas in which it needs to focus and prioritize its resources in order to significantly improve student achievement.

The FY 2014 SIG 1003(g) 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 encourage or impede the presence of characteristics needed to support the development of a thriving teaching and learning community.

In an effort to assist the LEA with its analysis, the pre-application FY 2014 SIG 1003(g) Needs Assessment packet is available at [http://www.isbe.state.il.us/sos/htmls/sip\\_1003.htm](http://www.isbe.state.il.us/sos/htmls/sip_1003.htm). The packet must be completed and submitted with the proposal.

#### **Step 3: LEA Application**

**Attachment 1 – Application Cover Page**

**Attachment 2 – Tier I and Tier II Intervention Model Selection for Schools:** The LEA must identify each Tier I and Tier II school that it has the capacity to serve and identify the school intervention model it commits to use in each school. An LEA that has nine (9) or more Tier I and/or Tier II schools may not implement the transformation model in more than 50 percent of those schools. Applicants are required to provide an identification number for each participating school. School NCES ID numbers can be accessed at the National Center for Education Statistics website at <http://nces.ed.gov/ccd/schoolsearch>. The School NCES ID numbers are also listed on ISBE’s Division of Innovation and Improvement’s School Improvement Grant website at [http://www.isbe.net/sos/htmls/sip\\_1003.htm](http://www.isbe.net/sos/htmls/sip_1003.htm).

In addition, ISBE has been approved by ED to extend the waivers listed below to SIG grantees. Applicants are required to indicate on Attachment 2 if the LEA is requesting one, both, or neither of the waivers.

- Waive section 1116(b) (12) of the ESEA to permit LEAs to allow their Tier I and Tier II Title I participating schools that will fully implement a turnaround or restart model beginning in the 2013-2014 school year to “start over” in the school improvement status timeline.
- Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a school-wide program in a Tier I or Tier II Title I participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.

Finally, applicants are required to indicate on Attachment 2 the selected Lead Partner and its ISBE approval status for each proposed Tier I and/or Tier II school.

**Attachment 3 – Eligible but Not Served Tier I and II Schools:** The LEA must identify all schools that are eligible to be served with the SIG but for which the district has chosen not to make application. Where applicable, the LEA must explain, using Attachment 3, the reasons for not serving each eligible school and/or why it lacks the capacity to serve all eligible Tier I schools.

**Attachment 4 – Annual Improvement Goals and Objectives:** The LEA must hold participating Tier I and Tier II schools accountable for improving student achievement. Toward that end, the LEA must identify specific, measurable, attainable, realistic, and time-bound (SMART) goals and objectives relevant to student achievement on the Illinois Standards Achievement Test (ISAT) and/or the Prairie State Achievement Examination (PSAE) in both reading/language arts and mathematics. LEA goals and objectives must be included for each year of the grant. Applicants must complete the *LEA Goals and Objectives* forms and submit them with the proposal.

**Attachment 5 – Three-Year Budget Summary:** The LEA must submit a three-year budget summary that covers both LEA and school expenses. The budget should be of sufficient size and scope to implement the selected school intervention model in each Tier I and Tier II school the LEA commits to serve.

**Attachment 6 – LEA Comprehensive Budget - Year 1 Implementation:** The LEA Comprehensive Budget for Year 1 must reflect the **combined** project costs for both the Year 1 LEA Budget and the Year 1 Individual School Budget(s).

**Attachment 6A – LEA Budget – Year 1 Implementation:** The LEA Budget for Year 1 must reflect district-level anticipated project costs.

**Attachment 6B – LEA Detailed Budget Summary Breakdown Year 1 Implementation:** The Detailed Budget Summary Breakdown includes expenditure descriptions, itemization, and associated costs for just the district-level anticipated project costs.

**LEA Proposal Abstract:** Applicants must briefly describe the district and school(s) context and then explain the overarching tenets of the proposed reform strategy, highlighting the structural and programmatic changes that will occur and how the LEA will build on existing practices to ensure successful implementation of each selected intervention model. The LEA Proposal Abstract must not exceed four (4) pages.

**LEA Narrative:** Applicants must provide narrative responses to each of the prompts listed below as part of their proposals. The LEA Narrative must not exceed 35 pages. Responses included as part of the LEA Narrative must be organized and sequenced according to the outline denoted below (i.e., by section, letter, and number). The required

components of the LEA Narrative correspond to the criteria and respective point values that will be used to evaluate grant proposals (see *Criteria for Review and Approval of Proposals* section of this RFP). Applicants are advised to review the criteria before completing proposal narratives.

The proposal must include separate narratives for the LEA and for each school for which the LEA is requesting funding. Instructions for completing Individual School Narratives are provided later in this RFP.

### **Section I: Overview and Rationale**

For each Tier I and Tier II school that the LEA commits to serve, the LEA must:

- A. Demonstrate that it has analyzed the unique needs of each school and selected an intervention model respectively by providing a completed Needs Assessment Packet. In addition, applicants must respond to each prompt listed below:
  1. Describe the process the LEA used to complete the Needs Assessment Packet and explain how the analysis informed the selection of an intervention model for each school.
  2. Describe the actions the LEA has taken or will take to modify its practices or policies, if necessary, to enable its schools to implement fully and effectively the selected intervention model(s). Detail how the LEA will work with the local school board and its teachers' union to accomplish necessary changes, specifically related to:
    - a. Teachers and Leaders;
    - b. Instructional and Support Strategies;
    - c. Time and Support; and
    - d. Governance.
  3. Describe the LEA's capacity to use school improvement funds to provide adequate resources and related support to *each* Tier I and Tier II school identified in the LEA's application in order to implement, fully and effectively, the required activities of the school intervention model it has selected (e.g., if the LEA has selected the turnaround and transformation models, explain how the LEA will help schools fulfill the required activities for each model).
- B. List the annual goals for student achievement on the ISAT and/or the PSAE in both reading/language arts and mathematics that the LEA has established for each of its Tier I and Tier II schools proposed to receive school improvement funds (must align with information submitted in Attachment 4). Goals must be specific, measurable, attainable, realistic, and time-bound (SMART). Explain how the LEA arrived at these goals and how the LEA plans to monitor its Tier I and Tier II schools that receive school improvement funds to help ensure timely progression towards identified goals and the (18) eighteen metrics designated by ED, which are identified in Part II of the Needs Assessment.

### **Section II: Proposed Activities**

The following resources are provided to assist applicants with this section:

- *Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965 (ESEA)*. Available at <http://www2.ed.gov/programs/sif/sigguidance03012012.doc>.
- Federal Register. Vol. 75, No. 208/Thursday, October 28, 2010. Available at <http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>.
- Appendix A of this RFP for an explanation and details of each intervention model.

Applicants must describe, according to the prompts listed below, the actions the LEA has taken, or will take, to implement a school intervention model for each participating Tier I and Tier II school. Activities must be consistent with the final requirements outlined by ED and ISBE.

- A. Describe actions the LEA has taken, or will take, to design and implement interventions consistent with the SIG 1003(g) final requirements. In the description, applicants must be specific about what items the district will address versus the Lead Partner.
1. Identify if the LEA is replacing the principal. If the principal is new or returning, detail how the LEA evaluated the principal's knowledge, skills, and abilities to successfully lead the selected intervention model.
  2. Outline the type of operational flexibility (i.e. staffing, calendars/time, and budgeting) the LEA will grant to the principal to fully implement the selected intervention model.
  3. Describe how the LEA plans to evaluate all existing staff in the targeted school(s) in order to identify and place only the individuals that demonstrate the greatest potential to successfully implement the intervention model(s). If the selected intervention model is turnaround, also describe the process the LEA will use to replace 50% of the staff.
  4. Discuss the LEA's plans to develop, in cooperation with its teachers and, if applicable, the bargaining representatives of its teachers, a rigorous, transparent, and equitable evaluation system for teachers and principals that incorporates student growth as a significant factor along with other factors as described in Public Act 096-0861, Section 24A-7 found at <http://www.ilga.gov/legislation/publicacts/96/096-0861.htm>. In addition, describe how this evaluation system will be used to identify and reward school leaders, teachers, and other staff who improve student outcomes and to remove those who do not.
  5. Describe how the LEA plans to utilize strategies such as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions to recruit, place, and retain effective staff.
  6. Detail how the LEA will increase learning time for all students 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.
  7. Explain how the LEA will use data to identify and implement comprehensive, research-based, instructional programs that are vertically aligned from one grade to the next as well as aligned with State academic standards.
  8. Outline how the LEA will establish strategies that improve student transition from middle to high school (*does not apply to the turnaround or closure models*).
  9. Describe how the LEA will 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.
  10. Detail the governance structure that will be put in place to oversee the successful implementation of the selected intervention model. Address any district reconfiguration that will occur to support grant implementation (e.g., transformation office/officer, turnaround office/officer). In an appendix to the proposal, provide detailed job descriptions, with duties and required qualifications, for newly created positions. List the names and positions of key staff involved at both the district level and school level that will help ensure successful implementation of the reform model (i.e., central office turnaround manager, principal, reading coach, intervention specialist, and school improvement coordinator) and any other positions that would be paid with SIG funds. In addition, applicants must include an organizational chart that
-

depicts the chain of command between the Lead Partner, district, and transformation/turnaround office.

11. Describe how the LEA screened and selected the Lead Partner and include, where applicable, letter(s) of intent from the partnering organization. Describe the measurable outcomes and time-specific services the LEA will receive from the selected partner.
  12. Explain how the LEA will align other resources with the grant funds to leverage the intervention.
- B. Describe how the LEA plans to monitor progress on implementation of the intervention strategies and student achievement related to the LEA goals and the objectives and school's strategies, including leading indicators and the 18 metrics described in the Needs Assessment.

### **Section III: Level of Commitment**

The LEA must:

- A. Explain the process it used to consult with stakeholders regarding the LEA's application and implementation of school improvement models in its Tier I and Tier II schools. Applicants must provide completed LEA/School Stakeholders' Consultation and Confirmation forms as part of the required Needs Assessment Packet which is part of the proposal. This information will be used to gauge the level of commitment from key stakeholders, and as such, applicants are advised to ensure alignment between their response to this prompt and information provided in the Needs Assessment Packet.
- B. Describe the level of support from key stakeholders for the LEA's SIG proposal. The LEA may include letters of support, as applicable. Letters of support from the local school board, teachers' union, school staff, partnering organizations, parents, community members, and other stakeholder groups should describe the nature and level of support and will be considered in the evaluation of proposals.
- C. Provide a detailed explanation of how parents and the community were given notice of intent to submit a SIG application. Describe the LEA's plan to support ongoing collaboration efforts and communication with staff, families, and the community.

### **Section IV: Timeline and Budget**

The LEA must:

- A. Identify and describe the LEA activities that will be conducted using SIG funding to implement the selected intervention model(s) in proposed schools. Activities must align to the funding requests included in Budget Attachments 5, 6, 6A, and 6B as well as the individual schools' needs as identified in the Needs Assessment Packet. The amount of funding requested in the Budget Attachments must be sufficient in amount to implement fully and effectively the activities related to the selected intervention model(s).
- B. Include a timeline delineating the steps the LEA will take to implement the selected school intervention model in each Tier I and Tier II school identified in the application. The timeline must span the entire term of the grant (i.e., through June 30, 2016) and focus on district-level activities that will support the implementation of the intervention models. The timeline must identify activities related to pre-implementation, implementation, and monitoring. See Appendix B: SIG 1003(g) LEA Scoring Rubric for examples of activities which may be performed during the pre-implementation phase.
- C. Explain how the LEA plans to sustain the reform efforts after the grant funding ends. Provide a sustainability plan with a corresponding timeline that forecasts at least three years beyond the completion of the grant (i.e., from July 1, 2016 to June 30, 2019).

## **Step 4: Individual School(s) Application**

### **Attachment 7 – Applicant Cover Page for Individual School**

**Attachment 8 – Individual School Strategies:** For each school application, the applicant must describe the school-level strategies that will be put in place to support the attainment of each LEA goal. Strategies must align to information submitted on Attachment 4 – Annual Improvement Goals and Objectives.

**Attachment 9 – Individual School Budget – Year 1 Implementation:** The Individual School Budget for Year 1 reflects the school-level anticipated project costs associated with implementation.

**Attachment 9A – Individual School Detailed Budget Summary Breakdown – Year 1 Implementation:** The Detailed Budget Summary Breakdown includes expenditure descriptions, itemization, and associated costs.

**Individual School Proposal Abstract:** The applicant must briefly describe the school demographics and current performance trends, pinpointing the overarching needs of the school, and explain the type of change in leadership that stakeholders envision for the school. The Individual School Proposal Abstract must not exceed five (5) pages.

**Individual School Narrative:** Applicants must provide narrative responses to each of the prompts listed below for each school seeking funding. The Individual School Narrative must not exceed 20 pages per school. Responses included as part of the Individual School Narrative must be organized and sequenced according to the outlined denoted below (i.e., by section, letter, and number). The required components of the Individual School Narrative correspond to the criteria and respective point values that will be used to evaluate grant proposals (see *Criteria for Review and Approval of Proposals* section of this RFP). Applicants are advised to review those criteria before completing proposal narratives.

The information below must be provided for each school for which the LEA is seeking SIG funding.

### **Section I: Rationale**

- A. Describe how the school’s performance data and information gleaned from the Needs Assessment Packet was used to inform the selection of the intervention model for this school and provide the rationale for selecting the identified model.
- B. Describe the role the selected Lead Partner will take in the school and delineate specific services that will be provided to implement the selected school intervention model.
- C. List all positions including professional titles and names of individuals (when known) who either will be paid with grant funds and/or oversee grant activities at the school level. Indicate specifically any newly created positions necessary to implement the intervention models (e.g., reading coach, intervention specialist, school improvement coordinator, etc.). Indicate the full-time equivalency (FTE) or the percentage of time that each position will dedicate to the oversight of the intervention model at the school. Provide the name of the person who will monitor and evaluate the progress of this initiative. As an appendix to the proposal, provide a job description for each position identified in this section and include required qualifications, certifications, and duties.

### **Section II: Proposed Activities**

- A. Describe the proposed activities to implement the intervention model chosen for this school. Refer to Appendix A for information on the required activities for each model.
- B. Describe the specific tactics and activities that will support attainment of a school culture and climate conducive to high expectations for student learning.
- C. Describe how the school will collect, analyze, and share data among school staff and the LEA. Include how the school will ensure that all administrators and teachers in the school are able to access and monitor each student’s progress. Describe when and how school staff will analyze data to make necessary instructional modifications, enhance support services, or identify interventions.
- D. Describe the proposed curriculum and assessment program, detailing clear expectations for student learning. This description should address how the applicant will ensure equity and access for all students including but not limited to students with disabilities, English language learners, and students in at-risk situations, including but not limited to, low achievement, poverty, behavioral issues, truancy, drugs, pregnancy, and emotional issues.
- E. Describe how instructional practices will be aligned with assessment practices to measure student progress. Provide details about how the school will adjust instruction based on progress monitoring and

collected data results. Discuss the process that will be used to make curriculum modifications when necessary. Include an outline of assessments used by grade level. A chart that summarizes this information may be included as an appendix to the proposal.

- F. Describe any support service(s) or interventions that will be put in place at the school to ensure full implementation of the selected model. Discuss the process that will be put in place to identify school-level needs and to ensure that high-quality support and interventions are present.
- G. Describe the school-level, job-embedded professional development that will occur to support the implementation of the selected model. Discuss how the approach will support all staff and how individual staff needs will be identified and addressed. Describe how the school will initiate and support collaborative efforts among staff such as grade-level meetings, and learning communities.
- H. Describe how the school communicated its vision and professional goals, as they pertain to the implementation of this grant, to the school staff, families, and the community. Provide details of ongoing, continuous communication with the staff, families, and the community regarding status and progress of school improvement efforts.

### **Section III: Timeline and Budget**

- A. Complete budget attachments 9 and 9A. All of the school budget pages should identify activities that align to the school's needs and be sufficient to implement the activities related to the selected intervention(s) model fully and effectively.
- B. Include a timeline delineating the steps the school will take to implement the selected school intervention model. The timeline must span the entire term of the grant (i.e., through June 30, 2016) and focus on school-level activities that will support the implementation of the intervention models. The timeline must identify activities related to pre-implementation, implementation, and monitoring.

### **Step 5: ISBE Program-Specific Terms of the Grant, Certifications, and Assurances**

**Attachments 11 – 16C:** The applicant must assure and certify to the grant terms outlined in the attachments by affixing the signatures of authorized officials.

### **Step 6: Post-Application Process**

ISBE staff will conduct face-to-face interviews with those applicants selected as SIG 1003(g) finalists from the initial proposal review process. The times and dates of interviews will be announced to those applicants selected as competition finalists. Applicants should refer to the *Criteria for Review and Approval of Proposals* section of this RFP for specific information about how competition finalists will be determined.

### **Proposal Submission Specifications**

Each proposal must be submitted according to the specifications for format and sequence as outlined below. **Substantively incomplete proposals will not be considered for funding.** Each proposal must include an LEA Proposal Abstract with Narrative and an Individual School Abstract with Narrative for **each** participating Tier I and Tier II school.

### **Specifications for Formatting the SIG Proposal**

- Proposals must not be submitted with spiral binding or any other type of exterior binding other than staples or removable clips;
- Pages must be 8.5" x 11" with print on one side only and 1" margins at the top, bottom, and both sides of the page;
- All text in the proposal abstracts, narratives, and appendices must be typed and double spaced;
- Font must be 11 points or larger;
- Pages must be consecutively numbered;

- Page headers that identify the applicant (i.e., Region-County-District-Type Code, district name, and school name respectively) on the proposal abstract, narratives, and appendices must be included;
- Text in the attachments must be typed on the interactive forms provided;
- Length of the *LEA Proposal Abstract* must not exceed four (4) pages;
- Length of the *LEA Narrative* must not exceed 35 pages;
- Length of each *Individual School Abstract* must not exceed five (5) pages; and
- Length of each *Individual School Narrative* must not exceed 20 pages.

## Sequence for Assembling the SIG Proposal

### *LEA Application*

1. **Attachment 1 - Application Cover Page:** Complete all information included on the cover page. Each form must be signed by the district superintendent or official authorized to submit the proposal on behalf of the LEA and the president of the local school board.
2. **Attachment 2 - Tier I and Tier II Intervention Model Selection for Schools:** Identify each school for which the LEA is seeking funding in the application, provide the NCES identification number, and indicate the intervention model selected for each school. Complete the waiver option as needed. Identify the Lead Partner for each school and indicate the ISBE approval status of the selected partners respectively.
3. **Attachment 3 - Eligible but Not Served Tier I and Tier II Schools:** Identify each school that is eligible to participate in the SIG grant, but the LEA is not applying to serve. Provide the NCES identification number for each school and indicate the appropriate classification tier. Give the reason why the LEA has decided not to serve each school listed.
4. **Attachment 4 - Annual Improvement Goals and Objectives:** Identify specific, measurable, attainable, realistic, and time-bound (SMART) goals relevant to student achievement on the Illinois Standards Achievement Test (ISAT) and/or the Prairie State Achievement Examination (PSAE) in both reading/language arts and mathematics. LEA goals and objectives must be included for each year of the grant.
5. **LEA Abstract:** Prepare as directed above.
6. **Completed Needs Assessment Packet:** Prepare as directed in the packet.
7. **LEA Narrative:** Prepare as directed above.
8. **Attachment 5 - Three-Year Budget Summary:** Provide a snapshot of the total funding requests for the LEA and the participating schools for Year 1, Year 2, and Year 3.
9. **Attachment 6 - LEA Comprehensive Budget - Year 1 Implementation:** Present combined budget costs from the LEA budget and all proposed school budgets for FY 2014. If awarded the grant, proposed budgets must also be submitted for each continuation year of the grant (i.e., FY 2015 and FY 2016) prior to the execution of a grant agreement. Budget information must be submitted on the forms provided, and they must be signed by the district superintendent or official authorized to submit the proposal on behalf of the LEA.
10. **Attachment 6A - LEA Budget – Year 1 Implementation:** Provide an LEA Budget for Year 1 which reflects only the district-level anticipated project costs.
11. **Attachment 6B - LEA Detailed Budget Summary Breakdown – Year 1 Implementation:** Provide a detailed budget breakdown for the LEA for FY 2014 only. Totals must correspond with the information provided in the LEA Narrative, Attachment 5 – Three-Year Budget Summary, as well as on the LEA Budget – Year 1 Implementation form. If awarded the grant, proposed budgets must also be submitted for each continuation year of the grant (i.e., FY 2015 and FY 2016) prior to the execution of a grant agreement. Budget information must be submitted on the forms provided, and they must be signed by the district superintendent or official authorized to submit the proposal on behalf of the LEA.

***Individual School(s) Application:*** Items 12-18 must be completed for each school seeking participation in the grant.

12. **Attachment 7 - Applicant Cover Page for Individual School:** Complete all information included in the cover page for each school for which the LEA is seeking funding.
13. **Attachment 8 - Individual School Strategies:** Use the identified LEA goals identified in Attachment 4 and describe the strategies the school-level team will implement to help the LEA reach the identified goals.
14. **Individual School Abstract(s):** Prepare as directed above.
15. **Individual School (s) Needs Assessment:** Attach for each school's application.
16. **Individual School Narrative(s):** Prepare as directed above.
17. **Attachment 9 - Individual School Budget – Year 1 Implementation:** Prepare a separate budget to propose expenditures for school-level activities for each participating Tier I and Tier II school for FY 2014. If awarded the grant, proposed school budgets must also be submitted for each continuation year of the grant (i.e., FY 2015 and FY 2016) prior to the execution of a grant agreement. Budget information must be submitted on the interactive forms provided.
18. **Attachment 9A - Individual School Detailed Budget Summary Breakdown – Year 1 Implementation:** Provide a detailed budget breakdown for each participating school for FY 2014 only. Totals must correspond with the information provided in the Individual School Narrative respectively as well as Attachment 5 – Three-Year Budget Summary. If awarded the grant, proposed budgets must also be submitted for each continuation year of the grant (i.e., FY 2015 and FY 2016) prior to the execution of a grant agreement. Budget information must be submitted on the forms provided, and they must be signed by the district superintendent or official authorized to submit the proposal on behalf of the LEA.
19. **LEA/Individual School(s) Letters of Support:** Provide letters of support from local school board members, teachers' union representatives, school staff, partnering organizations, and other stakeholder groups.
20. **Attachment 10 - LEA/School Stakeholders' Consultation Confirmation:** Provide this information as part of the completed Needs Assessment Packet. This attachment is provided for additional copies.
21. **LEA Certifications and Assurances:** Each LEA applicant is required to submit one set of the following certifications and assurances. These must be signed by the official legally authorized to submit the proposal and to bind the applicant to its contents.
  - Attachment 11:** Program-Specific Terms of the Grant.
  - Attachment 12:** Certifications and Assurances and Standard Terms of the Grant.
  - Attachment 13:** General Education Provisions Act (GEPA).
  - Attachment 14:** Certifications Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion.
  - Attachment 15:** Certificate Regarding Lobbying.
  - Attachment 15A, B, C:** Disclosure of Lobbying Activities.
22. **Appendices:** Include any pertinent appendices based on information requested in the narratives.

## Criteria for Review and Approval of Proposals

All applications will be read, reviewed, and scored by impartial readers who have been selected for their expertise and experience with school improvement efforts. For a detailed overview of the proposal scoring criteria, see the scoring rubrics in Appendices B and C. Items identified by three asterisks (\*\*\*) in the LEA Scoring Rubric (Appendix B) indicate capacity questions. Items identified by two asterisks (\*\*) in the School Scoring Rubric (Appendix C) indicate readiness questions. The proposal scoring process will occur in two steps. In the first step, ISBE will add the *LEA Capacity Score* to the *School Readiness Score* to generate a *Capacity/Readiness Composite Score*.

Only those proposals with a *Capacity/Readiness Composite Score* of 154 or higher will be considered for funding. For those proposals with a *Capacity/Readiness Composite Score* of 154 or higher, ISBE will then add the *Capacity/Readiness Composite Score* to the *General Composite Score*, which is comprised of the *LEA General Score* and the *School General Score*. In cases where an applicant proposes to serve multiple schools, the *LEA General Score* will be added to each *School General Score*. The *Capacity/Readiness Composite Score* and the *General Composite Score* will be added together to generate a *Total Score* for each proposed school. ISBE will then rank each school, based on the *Total Score*, from highest to lowest. In order to identify finalists, ISBE will review the funding request of each proposal and identify the total number of schools that can be funded based on the amount of funding available.

In order to determine the applicants who will ultimately be recommended for funding, ISBE staff will conduct face-to-face interviews with those applicants selected as SIG 1003(g) finalists from the initial proposal review process as described above. Finalists will be asked to discuss the level of district capacity and school readiness necessary to successfully implement the requirements of the SIG 1003(g) grant. Applicants selected as finalists will be notified after the initial review process to schedule an interview.

Following the notification of grant awards, applicants may request copies of reviewer comments by contacting **Kurt Miller** or **Robin Staudenmeier**. See the *Contact Persons* section of this RFP for information.

### LEA Narrative Scoring Criteria

#### Section I: Overview and Rationale (70 Points)

There is a thorough and detailed response to the requested information. Sufficient evidence is provided to give an in-depth understanding of the current status of the district and its ability to guide, lead, and provide high-quality support to all of the schools applying for funding. It is evident that systemic change is underway and rapid improvement is expected. All required activities specific to the model selected should be directly addressed. Appendix A includes the intervention model information.

#### Section II: Proposed Activities (140 Points)

The proposed activities include details in response to the requested information. The narrative information fully explains or addresses each element listed in the proposal requirements. Explanations of any processes are fully described to ensure reviewers have a clear picture of the district operations. Capacity issues are thoroughly discussed and any steps to meet capacity challenges are fully and directly addressed. All required activities specific to the model selected should be directly addressed. Appendix A includes the intervention model information.

#### Section III: Level of Commitment (30 Points)

The descriptions provide clear evidence of partner engagement and stakeholder collaboration to ensure full implementation of the selected model. Specific steps to ensure communication and collaboration are taking place with school staff, families, community members, the local school board, and the teachers' union to support the district's vision for improvement and systemic change are included in the narrative. All required activities specific to the model selected are directly addressed. Appendix A includes the intervention model information.

#### Section IV: Timeline & Budget (30 Points)

The timeline sufficiently describes initiatives and activities for the next three years, reflects implementation of the model selected, and addresses sustainability after grant funding ends. The timeline clearly includes progress monitoring or benchmarking. The budget reflects a reasonable allocation of funds for district-level activities. The

*Budget Summary Breakdown* addresses each specific item deemed necessary to fully implement the selected model and support the improvement efforts.

## **Individual School Narrative Scoring Criteria**

### **Section I: Overview and Rationale (30 Points)**

The information provides a thorough explanation of the need in the school. A detailed description of the process and selection of the model chosen and how the intervention will impact identified student groups is provided. There is a comprehensive analysis of the school's performance and what will need to be in place to support the efforts of the selected model. Clear evidence of support for the selected school improvement effort is provided. Appendix A includes the intervention model information.

### **Section II: Proposed Activities (70 Points)**

There is a thorough description of strategies that will result in measurable outcomes for each individual school with a thorough description of the proposed school-level activities. The individual school's strategies align with the district's goals. There is evidence of a strong commitment to work with Lead Partners to implement rapid improvement. A detailed description of the school's efforts to improve academic achievement is provided, and evidence of the data-driven decision making processes that will be used to change the instructional practices in the school are explained. A clear description of how the school will align the instructional practices to the assessment practice to measure student progress is provided. There is evidence of the supports currently in place, and the need for additional services or interventions is clearly established. A detailed description of the school's professional development plan, how it will align to the model chosen, and the process for monitoring the implementation is included. There is a thorough description of the school's communication outreach plans with parents, staff, and the community. All required activities specific to the model selected should be directly addressed.

### **Section III: Timeline and Budget (20 Points)**

The timeline sufficiently describes initiatives and activities for the next three years, reflects implementation of the model selected, and addresses sustainability after grant funding ends. The timeline clearly includes progress monitoring or benchmarking. The budget reflects a reasonable allocation of funds needed, both for school-level activities and support of the school's SMART goals. The *Budget Summary Breakdown* addresses each specific item deemed necessary to fully implement the selected model and support the improvement efforts.

## Appendix A

### Intervention Models

Applicants are advised to review the information pertaining to the specific elements of each model 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:
  - 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. Using locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students,
    1. Screen all existing staff and rehire no more than 50 percent; and
    2. Select new staff;
  - C. 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;
  - D. 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;
  - E. 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;
  - F. 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;
  - G. 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;
  - H. Establish schedules and implement strategies that provide increased learning time (as defined in this notice); and
  - I. Provide appropriate social-emotional and community-oriented services and supports for students.
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).

#### **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 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.

**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.
  - A. Required activities. The LEA must:
    1. Replace the principal who led the school prior to commencement of the transformation model;
    2. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that:
      - a. 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
      - b. Are designed and developed with teacher and principal involvement;
    3. 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;
    4. Provide staff with 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
    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 a transformation school.
  - B. Permissible activities. An LEA may also implement other strategies to develop teachers’ and school leaders’ effectiveness, such as:
    1. Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school;
    2. Instituting a system for measuring changes in instructional practices resulting from professional development; or
    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.
2. Comprehensive instructional reform strategies.
  - A. Required activities. The LEA must:
    1. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards; and

2. 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.
- B. Permissible activities. An LEA may also implement comprehensive instructional reform strategies, such as:
1. 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;
  2. Implementing a schoolwide *response-to-intervention* model;
  3. 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;
  4. Using and integrating technology-based supports and interventions as part of the instructional program; and
  5. In secondary schools:
    - a. 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, by providing appropriate supports designed to ensure that low-achieving students can take advantage of these programs and coursework;
    - b. Improving student transition from middle to high school through summer transition programs or freshman academies;
    - c. 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
    - d. 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:
1. Establish schedules and strategies that provide increased learning time (as defined in this notice); and
  2. 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:
1. Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, 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
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4. Expanding the school program to offer full-day kindergarten or pre-kindergarten.
4. Providing operational flexibility and sustained support.
    - A. Required activities. The LEA must:
      1. 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
      2. 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:
      1. Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or
      2. Implementing a per-pupil school-based budget formula that is weighted based on student needs.

**Appendix B**  
**SIG 1003(g) LEA SCORING RUBRIC**

**SECTION I: OVERVIEW AND RATIONALE**

*DEVELOPMENT OF NEEDS ASSESSMENT*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>LEA has conducted a needs assessment and included the district-level capacity analysis with the proposal. The narrative describes a multi-step process involving community members, parents, board and union member(s), school leaders, and staff to analyze the needs of each school.</p> <p>LEA has provided a sufficient rationale that explains why the selected intervention model was chosen and how it aligns with the school's needs.</p> <p>The LEA sufficiently explains why the other three intervention models were not selected.</p> <p>It is evident through the analysis of the LEA's capacity that the LEA either has the capacity to use the SIG funds to provide adequate resources to fully implement the selected intervention model(s) or has identified a way to increase its capacity.</p>	<p>LEA has conducted a needs assessment and included the district-level capacity analysis with the proposal. The narrative describes a multi-step process involving community members, parents, board and union member(s), school leaders, and staff to analyze the needs of each school.</p> <p>LEA has provided a sufficient rationale that explains why the selected intervention model was chosen and how it aligns with the school's needs.</p> <p>The LEA does not sufficiently explain why the other three intervention models were not selected.</p>	<p>LEA has conducted a needs assessment and included the district-level capacity analysis with the proposal. The narrative describes a multi-step process involving community members, parents, board and union member(s), school leaders, and staff to analyze the needs of each school.</p> <p>LEA has not provided a sufficient rationale that explains why the selected intervention model was chosen and how it aligns with the school's needs.</p> <p>The LEA does not sufficiently explain why the other three intervention models were not selected.</p>	<p>LEA has not conducted a needs assessment</p> <p>LEA has not provided a sufficient rationale that explains why the selected intervention model was chosen and how it aligns with the school's needs.</p> <p>The LEA does not sufficiently explain why the other three intervention models were not selected.</p>
<p><b>Number of Points Criteria #1:</b>     <u>  /10  </u></p>			

**NEEDS ANALYSIS: TEACHERS AND LEADERS\*\*\***

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes clearly and with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Teachers and Leaders and addresses these issues <i>directly</i> with specific and bold plans.</p> <p>Collaboration with teachers' union and school board are included in plan to address issues regarding Teachers and Leaders.</p>	<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Teachers and Leaders and addresses these issues <i>directly</i> with specific and bold plans.</p> <p>There is evidence of collaboration with the teachers' union and the school board. However the groups are not included in the plan to address issues regarding Teachers and Leaders.</p>	<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates an understanding of key issues facing the LEA regarding Teachers and Leaders and addresses these issues <i>directly</i> with specific plans.</p> <p>There is evidence of collaboration with either the teachers' union or the school board but neither group is included in the plan to address issues regarding Teachers and Leaders.</p>	<p>The response demonstrates an insufficient understanding of key issues facing the LEA regarding Teachers and Leaders and/or does not address these issues <i>directly</i> with specific plans.</p> <p>There is no evidence of collaboration with the teachers' union or the school board.</p>
<p><b>Number of Points Criteria #2:</b>     <u>  /10  </u></p>			

**NEEDS ANALYSIS: INSTRUCTIONAL SUPPORT\*\*\***

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes clearly and with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Instructional Support and addresses these issues <i>directly</i> with specific, bold plans.</p> <p>Collaboration with teachers' union and school board are included in plan to</p>	<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Instructional Support and addresses these issues <i>directly</i> with specific, bold plans.</p> <p>There is evidence of collaboration with the teachers' union and the school</p>	<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Instructional Support and addresses these issues <i>directly</i> with specific plans.</p> <p>There is evidence of collaboration with either the teachers' union or the school board but neither group is included in</p>	<p>The response demonstrates an insufficient understanding of key issues facing the LEA regarding Instructional Support and/or does not address these issues <i>directly</i> with specific plans.</p> <p>There is no evidence of collaboration with the teachers' union or the school board.</p>

address issues regarding Instructional Support.	board. However the groups are not included in the plan to address issues regarding Instructional Support.	the plan to address issues regarding Instructional Support.	
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**Number of Points Criteria #3:**       /10  

**NEEDS ANALYSIS: TIME AND SUPPORT\*\*\***

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Time and Support and addresses these issues <i>directly</i> with specific bold plans. Collaboration with teachers' union and school board included in plan to address issues regarding Time and Support.</p>	<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Time and Support and addresses these issues <i>directly</i> with specific, bold plans.</p> <p>There is evidence of collaboration with the teachers' union and the school board. However the groups are not included in the plan to address issues regarding Time and Support.</p>	<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Time and Support and addresses these issues <i>directly</i> with specific plans.</p> <p>There is evidence of collaboration with either the teachers' union or the school board but neither group is included in the plan to address issues regarding Time and Support.</p>	<p>The response demonstrates an insufficient understanding of key issues facing the LEA regarding Time and Support and/or does not address these issues <i>directly</i> with specific plans.</p> <p>There is no evidence of collaboration with the teachers' union or the school board.</p>

**Number of Points Criteria #4:**       /10

NEEDS ANALYSIS: GOVERNANCE\*\*\*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Governance and addresses these issues <i>directly</i> with specific, bold plans.</p> <p>Collaboration with teachers' union and school board are included in the plan to address issues regarding Governance.</p>	<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Governance and addresses these issues <i>directly</i> with specific, bold plans.</p> <p>There is evidence of collaboration with the teachers' union and the school board. However, the groups are not included in the plan to address issues regarding Governance.</p>	<p>The LEA describes clearly, with detail, the actions the LEA has taken or will take to modify its practices or policies to enable its schools to implement the selected intervention(s), fully and effectively. The response demonstrates a thorough understanding of key issues facing the LEA regarding Governance and addresses these issues <i>directly</i> with specific plans.</p> <p>There is evidence of collaboration with either the teachers' union or the school board but neither group is included in the plan to address issues regarding Governance.</p>	<p>The response demonstrates an insufficient understanding of key issues facing the LEA regarding Governance and/or does not address these issues <i>directly</i> with specific plans.</p> <p>There is no evidence of collaboration with the teachers' union or the school board.</p>
<p><b>Number of Points Criteria #5:</b>     <u>    /10    </u></p>			

CAPACITY\*\*\*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>LEA plans to provide sufficient staffing and/or other resources to the school to ensure full and effective implementation of the intervention model. Plan includes specific details on how this will be accomplished.</p> <p>The response demonstrates a thorough understanding of key issues related to dramatic school intervention and demonstrates capacity to successfully intervene in the school(s) identified.</p> <p>There is strong evidence of collaboration with teachers' union and the school board.</p>	<p>LEA plans to provide sufficient staffing and/or other resources to the school to ensure full and effective implementation of the intervention model. Plan includes specific details on how this will be accomplished.</p> <p>The response demonstrates an understanding of the key issues related to dramatic school intervention and demonstrates capacity to successfully intervene in the school(s) identified.</p> <p>There is evidence of collaboration with the teachers' union and the school board.</p>	<p>LEA plans to provide sufficient staffing and/or other resources to the school to ensure full and effective implementation of the intervention model.</p> <p>The response demonstrates an understanding of the key issues related to school intervention.</p> <p>There is collaboration with either the teachers' union or the school board.</p>	<p>The response lacks meaningful detail regarding how the LEA will provide staffing and/or other resources to the school to ensure full and effective implementation of the intervention model, or LEA's plan to provide support and/or resources is insufficient.</p> <p>There is no collaboration with the teachers' union and the school board</p>

<b>Number of Points Criteria #6:</b> <u>  /10  </u>	
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*ATTACHMENT 4: GOALS*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes ambitious but achievable annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics.</p> <p>A small number of strategic, measureable, realistic, and time-bound goals are included. LEA plans to measure and address areas that, if improved, will have the greatest impact on student achievement. LEA includes measurement and improvement on leading indicators including school climate and culture.</p>	<p>The LEA describes ambitious but achievable annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics.</p> <p>A small number of strategic, measureable, realistic, and time-bound goals are included. LEA plans to measure and address areas that, if improved, will have the greatest impact on student achievement.</p>	<p>The LEA describes ambitious but achievable annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics.</p> <p>There are additional goals but they are not strategic, measurable or time-bound.</p>	<p>The LEA does not provide annual achievement goals; or student achievement goals on the state’s assessments in language arts and math are unrealistic or low.</p>
<b>Number of Points Criteria #7:</b> <u>  /10  </u>			

**SECTION II: PROPOSED ACTIVITIES**

*IDENTIFYING PRINCIPAL\*\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>If principal will be new: 1) an extensive recruiting strategy describes how LEA will specifically recruit prospective principals who have been successful at dramatic school intervention with similar populations of students, 2) a rigorous selection process is planned for, and 3) role of Lead Partner and LEA in this process clearly described.</p> <p>If principal in place, principal’s</p>	<p>If principal will be new: 1) a sufficient recruiting strategy describes how LEA will specifically recruit prospective principals who have been successful at dramatic school intervention with similar populations of students, 2) a rigorous selection process is planned for, and 3) role of Lead Partner and LEA in this process clearly described.</p> <p>If principal in place, principal’s</p>	<p>If principal will be new: 1) a sufficient recruiting strategy describes how LEA will specifically recruit prospective principals who have been successful at dramatic school intervention with similar populations of students, 2) a rigorous selection process is planned for.</p> <p>If principal in place, principal’s</p>	<p>If principal will be new, either a sufficient recruiting strategy is not provided or a rigorous selection process is not planned for.</p> <p>If principal in place, principal’s knowledge, skills, and abilities, that are related to successfully leading the selected intervention model are not described.</p>

knowledge, skills, and abilities, that are related to successfully leading the selected intervention model are described in detail.	knowledge, skills, and abilities, that are related to successfully leading the selected intervention model are described generally.	knowledge, skills, and abilities, that are related to successfully leading the selected intervention model are described generally.	
<b>Number of Points Criteria #1:</b> <u>  /10  </u>			

*OPERATIONAL FLEXIBILITY\*\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes its commitment and plan to grant the principal sufficient operational flexibility to implement a comprehensive approach to instruction and learning supports in order to substantially improve student achievement outcomes and increase high school graduation rates. Plan demonstrates commitment (such as through changes to LEA policy and/or collective bargaining agreements) to grant significant additional flexibility over the three listed, and other additional, factors:</p> <ul style="list-style-type: none"> <li>• Staffing</li> <li>• Calendars/time</li> <li>• Budgeting</li> <li>• Other</li> </ul> <p>LEA's plan includes either a substantial increase in budget that Principal has discretion over and/or lump sum budgeting.</p> <p>LEA provides evidence that it plans to implement school-based budget formula that is weighted based on student needs.</p>	<p>The LEA describes its commitment and plan to grant the principal sufficient operational flexibility to implement a comprehensive approach to instruction and learning supports in order to substantially improve student achievement outcomes and increase high school graduation rates. Plan demonstrates commitment (such as through changes to LEA policy and/or collective bargaining agreements) to grant significant additional flexibility over three listed factors:</p> <ul style="list-style-type: none"> <li>• Staffing</li> <li>• Calendars/time</li> <li>• Budgeting</li> <li>• Other</li> </ul>	<p>The LEA describes its commitment and plan to grant the principal sufficient operational flexibility to implement a comprehensive approach to instruction and learning supports in order to substantially improve student achievement outcomes and increase high school graduation rates. Plan demonstrates commitment (such as through changes to LEA policy and/or collective bargaining agreements) to grant significant additional flexibility over one to two listed factors:</p> <ul style="list-style-type: none"> <li>• Staffing</li> <li>• Calendars/time</li> <li>• Budgeting</li> <li>• Other</li> </ul>	<p>The LEA does not describe its commitment and plan to grant the principal sufficient operational flexibility to implement a comprehensive approach to instruction and learning supports in order to substantially improve student achievement outcomes and increase high school graduation rates. Plan demonstrates lack of commitment (such as through changes to LEA policy and/or collective bargaining agreements) to grant significant additional flexibility over none or more of the following listed factors:</p> <ul style="list-style-type: none"> <li>• Staffing</li> <li>• Calendars/time</li> <li>• Budgeting</li> <li>• Other</li> </ul>

<b>Number of Points Criteria #2:</b> <u>  /10  </u>	
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*EVALUATION AND PLACEMENT OF TEACHERS\*\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>(Turnaround) The LEA describes a plan to meaningfully evaluate all existing staff to inform decisions about which teachers (no more than 50 %) will be rehired.</p> <p>Principals trained to interview with Turnaround competencies in mind.</p> <p>The LEA provides a specific plan to support teachers', support staff's, and school leaders' effectiveness using the following strategies: Ensuring the school is not required to accept a teacher or other staff member without the mutual consent of the teacher/staff member and principal; Establishing systems and providing flexibility to remove those teachers who, after receiving ample support and opportunity to improve, have not done so.</p> <p>Application includes specific plans for amending Collective Bargaining Agreement (if staff in the LEA are represented by a union), and application describes specific language in Collective Bargaining Agreement (if staff in the LEA are represented by a union) that will be modified or amended to allow LEA to evaluate existing staff in order to identify and place only the individuals that demonstrate the greatest potential to successfully implement the intervention</p>	<p>(Turnaround) The LEA describes a plan to meaningfully evaluate all existing staff to inform decisions about which teachers (no more than 50 %) will be rehired.</p> <p>Principals trained to interview with Turnaround competencies in mind.</p> <p>The LEA provides a specific plan to support teachers', support staff's, and school leaders' effectiveness using the following strategies: Ensuring the school is not required to accept a teacher or other staff member without the mutual consent of the teacher/staff member and principal; Establishing systems and providing flexibility to remove those teachers who, after receiving ample support and opportunity to improve, have not done so.</p> <p>Application includes specific plans for amending Collective Bargaining Agreement (if staff in the LEA is represented by a union).</p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>(Turnaround) The LEA describes a plan to meaningfully evaluate all existing staff to inform decisions about which teachers (no more than 50 %) will be rehired.</p> <p>Principals trained to interview with Turnaround competencies in mind.</p> <p>The LEA provides a specific plan to support teachers', support staff's, and school leaders' effectiveness using the following strategies: Ensuring the school is not required to accept a teacher or other staff member without the mutual consent of the teacher/staff member and principal; Establishing systems and providing flexibility to remove those teachers who, after receiving ample support and opportunity to improve, have not done so.</p> <p>Application includes general plans for amending Collective Bargaining Agreement (if staff in the LEA is represented by a union).</p>	<p>(Turnaround) The LEA describes a plan to meaningfully evaluate all existing staff to inform decisions about which teachers (no more than 50 %) will be rehired.</p> <p>Principals are not trained to interview with Turnaround competencies in mind.</p> <p>The LEA does not provide a specific plan to support teachers', support staff's, and school leaders' effectiveness using the following strategies: Ensuring the school is not required to accept a teacher or other staff member without the mutual consent of the teacher/staff member and principal; Establishing systems and providing flexibility to remove those teachers who, after receiving ample support and opportunity to improve, have not done so.</p>

model. Roles of the LEA and the Lead Partner as they relate to this process are clearly described.			
<b>Number of Points Criteria #3:</b> /10			

*EVALUATION SYSTEM\*\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes a plan and its capacity to use rigorous, transparent, and equitable evaluation systems for teachers, support staff, and principals that include four of the following elements in the 2013-14 school year and beyond, <i>and details an approach to use ratings as the basis for dismissals, pay, PD, and promotion:</i> 1) Takes into account data on student growth as a significant factor; 2) Uses other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduations rates; 3) Differentiates teachers into multiple rating categories, with a high bar for achieving the highest ratings; 4) Are designed and developed with teacher, support staff, and principal involvement.</p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p> <p>Application includes specific plans to engage Lead Partner or other vendor to assist with LEA negotiations with union</p>	<p>The LEA describes a plan and its capacity to use rigorous, transparent, and equitable evaluation systems for teachers, support staff, and principals that include four of the following elements in the 2013-14 school year and beyond, <i>and details an approach to use ratings as the basis for dismissals, pay, PD, and promotion:</i> 1) Takes into account data on student growth as a significant factor; 2) Uses other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduations rates; 3) Differentiates teachers into multiple rating categories, with a high bar for achieving the highest ratings; 4) Are designed and developed with teacher, support staff, and principal involvement.</p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p> <p>Application includes specific plans to engage Lead Partner or other vendor</p>	<p>The LEA describes a plan and its capacity to use rigorous, transparent, and equitable evaluation systems for teachers, support staff, and principals that includes four of the following elements in the 2013-14 school year and beyond, <i>and details an approach to use ratings as the basis for dismissals, pay, PD, and promotion:</i> 1) Takes into account data on student growth as a significant factor; 2) Uses other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduations rates; 3) Differentiates teachers into multiple rating categories, with a high bar for achieving the highest ratings; 4) Are designed and developed with teacher, support staff, and principal involvement.</p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>The LEA does not describe a plan to develop a rigorous, transparent, and equitable evaluation system for teachers, support staff, and principals.</p>

<p>staff membership.</p> <p>LEA describes plan and commitment for staff evaluation in 2013-14 that includes one or both of the following: 1) All staff (tenured and non-tenured) evaluated with existing system; 2) A number of staff members take part in a pilot of the new evaluation system in the second semester of the 2013-14 school year. The results of this evaluation could be 'no stakes' or 'low stakes'.</p>	<p>to assist with LEA negotiations with union staff membership.</p>		
<p><b>Number of Points Criteria #4:</b>     <u>  /10  </u></p>			

*FINANCIAL INCENTIVES\*\*\**

<p><b>STRONG 10 points</b></p>	<p><b>MODERATE 5 points</b></p>	<p><b>LIMITED 2 points</b></p>	<p><b>NOT PROVIDED 0 points</b></p>
<p>LEA describes specific plans in narrative and in budget to utilize three of the following strategies for all three years of the grant: financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions to recruit, place, and retain effective staff.</p> <p>Financial incentives described address an identified area of weakness at the school.</p> <p>The opportunities for promotion and career growth include specific plans to create a career ladder/lattice that allows staff with demonstrated student achievement gains to advance into leadership roles. Plan includes alternative to pay scale that bases raises in salary on improving student achievement rather than years served.</p>	<p>LEA describes specific plans in narrative and in budget to utilize three of the following strategies for all three years of the grant: financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions to recruit, place, and retain effective staff.</p> <p>Financial incentives described address an identified area of weakness at the school.</p> <p>The opportunities for promotion and career growth include specific plans to create a career ladder/lattice that allows staff with demonstrated student achievement gains to advance into leadership roles.</p> <p>Roles of the LEA and the Lead Partner as they relate to this process are</p>	<p>LEA describes specific plans in narrative and in budget to utilize three of the following strategies for all three years of the grant: financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions to recruit, place, and retain effective staff.</p> <p>Financial incentives described address an identified area of weakness at the school.</p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>LEA describes general plans in narrative and in budget to utilize up to three of the following strategies: financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions to recruit, place, and retain effective staff.</p>

Roles of the LEA and the Lead Partner as they relate to this process are clearly described.	clearly described.		
<b>Number of Points Criteria #5:</b> <u>  /10  </u>			

*EXTENDED TIME\*\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes a high-quality plan to significantly increase learning time in the school in all three years of the grant, such as through lengthening of the school day, week, or year.</p> <p><i>LEA describes a plan to increase learning time for students by more than 20%.</i></p> <p><i>Costs associated with planning for how extended time will be used is budgeted for in advance of the 2013-14 school year.</i></p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>The LEA describes a high-quality plan to increase learning time in the school in all three years of the grant, such as through lengthening of the school day, week, or year.</p> <p><i>LEA describes a plan to increase learning time for students by 10% to 20%.</i></p> <p><i>Costs associated with planning for how extended time will be used is budgeted for in advance of the 2013-14 school year.</i></p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>The LEA describes a high-quality plan to increase learning time in the school in all three years of the grant, such as through lengthening of the school day, week, or year.</p> <p><i>LEA describes a plan to increase learning time for students by 5% to 10%.</i></p> <p><i>Costs associated with planning for how extended time will be used is budgeted for in advance of the 2013-14 school year.</i></p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>The LEA describes a high-quality plan to increase learning time in the school in all three years of the grant, such as through lengthening of the school day or year.</p> <p><i>LEA describes a plan to increase learning time for students by up to at least 5%.</i></p>
<b>Number of Points Criteria #6:</b> <u>  /10  </u>			

*ALIGNMENT OF STANDARDS\*\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>LEA provides detailed description of how LEA used research and data to choose instructional programs for the school(s) that are vertically aligned and aligned with state standards. Evidence has been provided that the</p>	<p>LEA provides detailed description of how LEA used research and data to choose instructional programs for the school(s) that are vertically aligned and aligned with state standards. Evidence has been provided that the</p>	<p>LEA provides detailed description of how LEA used research and data to choose instructional programs for the school(s) that are vertically aligned and aligned with state standards. Roles of the LEA and the Lead Partner</p>	<p>LEA does not provide a detailed description of how LEA used research and data to choose instructional programs for the school(s) that are vertically aligned and aligned with state standards.</p>

<p>selected instructional programs are effective in other schools with similar populations of students. Citations for third-party research in support of the selected programs are provided. Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>selected instructional programs are effective in other schools with similar populations of students. Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>as they relate to this process are clearly described.</p>	
<p><b>Number of Points Criteria #7:</b>     <u>  /10  </u></p>			

*TRANSITIONS*

<p><b>STRONG 10 points</b></p>	<p><b>MODERATE 5 points</b></p>	<p><b>LIMITED 2 points</b></p>	<p><b>NOT PROVIDED 0 points</b></p>
<p>LEA provides a specific plan for implementing the following transition support programs such as:</p> <ul style="list-style-type: none"> <li>● Implementing freshman academies</li> <li>● Summer learning programs</li> <li>● Providing opportunities for credit recovery</li> <li>● Establishing smaller learning communities</li> <li>● Implementing programs for basic skills remediation</li> <li>● Establishing early warning systems (focused on prevention of school adjustment problems, violence, potential dropouts, etc.)</li> <li>● Other programming that directly addresses the causes of student drop-out in the 9<sup>th</sup> grade</li> </ul> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>LEA provides a specific plan for implementing the following transition support programs such as:</p> <ul style="list-style-type: none"> <li>● Implementing freshman academies</li> <li>● Summer learning programs</li> <li>● Providing opportunities for credit recovery</li> <li>● Establishing smaller learning communities</li> <li>● Implementing programs for basic skills remediation</li> <li>● Establishing early warning systems (focused on prevention of school adjustment problems, violence, potential dropouts, etc.)</li> <li>● Other programming that directly addresses the causes of student drop-out in the 9<sup>th</sup> grade</li> </ul>	<p>LEA provides a limited plan for implementing the following transition support programs such as:</p> <ul style="list-style-type: none"> <li>● Implementing freshman academies</li> <li>● Summer learning programs</li> <li>● Providing opportunities for credit recovery</li> <li>● Establishing smaller learning communities</li> <li>● Implementing programs for basic skills remediation</li> <li>● Establishing early warning systems (focused on prevention of school adjustment problems, violence, potential dropouts, etc.)</li> <li>● Other programming that directly addresses the causes of student drop-out in the 9<sup>th</sup> grade</li> </ul>	<p>LEA does not provide a specific plan for implementing the following transition support programs such as:</p> <ul style="list-style-type: none"> <li>● Implementing freshman academies</li> <li>● Summer learning programs</li> <li>● Providing opportunities for credit recovery</li> <li>● Establishing smaller learning communities</li> <li>● Implementing programs for basic skills remediation</li> <li>● Establishing early warning systems (focused on prevention of school adjustment problems, violence, potential dropouts, etc.)</li> <li>● Other programming that directly addresses the causes of student drop-out in the 9<sup>th</sup> grade</li> </ul>
<p><b>Number of Points Criteria #8:</b>     <u>  /10  </u></p>			

**PROFESSIONAL DEVELOPMENT\*\*\***

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>Specific plans for ongoing, high-quality job-embedded PD is provided by the LEA and described in the narrative and planned for in the budget (if necessary). Job-embedded PD directly addresses needs identified in Needs Assessment and increases the staff’s capacity to successfully implement the school reform strategies and is tailored to individual student needs. How the LEA will enable the school(s) to complete collaborative staff efforts is specifically described in the text and planned for in the budget. Structured time for staff to collaborate, plan, and engage in PD within and across grades and subjects is clearly described. This includes; daily or weekly departmental meetings that are scheduled and planned and giving core grade-level teachers common planning time more than once a week. Basic outline of meetings is provided.</p> <p>Roles of the LEA and Lead Partner as they relate to this process are clearly described.</p>	<p>Specific plans for job-embedded PD provided by the LEA are described in the narrative and planned for in the budget (if necessary). Job-embedded PD directly addresses needs identified in Needs Assessment and is tailored to individual student needs. How the LEA will enable the school(s) to complete collaborative staff efforts is specifically described in the text and planned for in the budget. Structured time for staff to collaborate, plan, and engage in PD within and across grades and subjects is clearly described. Daily or weekly grade-level and departmental meetings are in place or planned for. Basic outline of meetings provided.</p>	<p>Specific plans for job-embedded PD provided by the LEA are described in the narrative and planned for in the budget (if necessary). How the LEA will enable the school(s) to complete collaborative staff efforts is specifically described in the text and planned for in the budget. Grade-level and departmental meetings every week or every two weeks in place or planned for.</p>	<p>General plans for staff to meet are in place, or planned but little information on how often meetings will be held and how they will be structured. Additional collaborative planning time not planned for in budget.</p>
<p><b>Number of Points Criteria #9:</b>     <u>  /10  </u></p>			

**GOVERNANCE\*\*\***

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA describes its capacity and plan to adopt a new governance structure which includes, but is not limited to, hiring a “turnaround leader/or</p>	<p>The LEA describes its capacity and plan to adopt a new governance structure which includes, but is not limited to, hiring a “turnaround leader/or</p>	<p>The LEA describes its capacity and plan to adopt a new governance structure which includes, but is not limited to, hiring a “turnaround leader/or</p>	<p>Only minor changes to how the district is structured.</p> <p>Unclear who is ultimately responsible</p>

<p>establishing a turnaround office” who reports directly to the district Superintendent or Chief Academic Officer.</p> <p>Organizational chart provided that matches narrative and outlines reporting structure for district, school(s) identified, and Lead Partner. At most, one person is accountable for success of intervention at the district and, at most, one person is accountable for success of intervention within the Lead Partner. Complete job description(s) provided for each new staff member includes: specific and non-duplicated responsibilities and qualifications. The name of the staff person that the new staff person will report to is clearly listed. What the new staff member will specifically be held accountable for is clearly noted.</p> <p>Decision-making process between LEA and Lead Partner clearly described. Decisions that Lead Partner will make are outlined. Decisions that LEA will make are outlined. Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p> <p>The plan includes specific structural and programmatic changes at the LEA level to support the work.</p>	<p>establishing a turnaround office” who reports directly to the district Superintendent or Chief Academic Officer.</p> <p>Organizational chart provided that matches narrative and outlines reporting structure for district, school(s) identified, and Lead Partner. At most, one person is accountable for success of intervention at the district and, at most, one person is accountable for success of intervention within the Lead Partner.</p> <p>Complete job description(s) provided for each new staff member includes: specific and non-duplicated responsibilities and qualifications. The name of the staff person that the new staff person will report to is clearly listed. What the new staff member will specifically be held accountable for is clearly noted.</p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>establishing a turnaround office” who reports directly to the district Superintendent or Chief Academic Officer.</p> <p>Organizational chart provided that matches narrative and outlines reporting structure for district, school(s) identified, and Lead Partner.</p> <p>Complete job description(s) provided for each new staff member includes: specific and non-duplicated responsibilities.</p> <p>Roles of the LEA and the Lead Partner as they relate to this process are clearly described.</p>	<p>for implementation; little specific information provided.</p>
<p><b>Number of Points Criteria #10:</b>    <u>  /10  </u></p>			

*SELECTING LEAD PARTNER*

<p><b>STRONG</b> <b>10 points</b></p>	<p><b>MODERATE</b> <b>5 points</b></p>	<p><b>LIMITED</b> <b>2 points</b></p>	<p><b>NOT PROVIDED</b> <b>0 points</b></p>
<p>The LEA details a process used for selecting, contracting, and monitoring Lead Partner. This process includes</p>	<p>The LEA details a process used for selecting, contracting, and monitoring Lead Partner. This process includes</p>	<p>The LEA details a process used for selecting, contracting, and monitoring Lead Partner. This process includes</p>	<p>The LEA does not detail a process used for selecting, contracting, and monitoring Lead Partner.</p>

<p>ensuring a Lead Partner’s expertise aligns with school/LEA needs identified in Needs Assessment. Measurable outcomes and time-specific services that the LEA will receive from the selected Lead Partner and other vendors are detailed.</p> <p>This includes ongoing, intensive technical assistance and related support by the Lead Partner.</p> <p>The LEA and Lead Partner share accountability for the full and effective implementation of the intervention model and student achievement.</p>	<p>ensuring a Lead Partner’s expertise aligns with school/LEA needs identified in Needs Assessment. Measurable outcomes and time-specific services that the LEA will receive from the selected Lead Partner and other vendors are detailed.</p> <p>The LEA and Lead Partner share accountability for the full and effective implementation of the intervention model and student achievement.</p>	<p>ensuring a Lead Partner’s expertise aligns with school/LEA needs identified in Needs Assessment.</p> <p>The LEA and Lead Partner share accountability for the full and effective implementation of the intervention model and student achievement.</p>	
<p><b>Number of Points Criteria #11:     /10</b></p>			

*ALIGNMENT OF OTHER RESOURCES\*\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
The LEA includes a detailed description of how it will redirect significant local, state, and/or federal dollars to maximize the funding impact of School Improvement Grant funds.	The LEA includes a detailed description of how it will redirect a portion of local, state, and/or federal dollars to maximize the funding impact of School Improvement Grant funds.	The LEA includes a general description of how it will redirect a portion of local, state, and/or federal dollars to maximize the funding impact of School Improvement Grant funds.	The LEA does not include a sufficient description of how it will redirect a portion of local, state, and/or federal dollars to maximize the funding impact of School Improvement Grant funds.
<p><b>Number of Points Criteria #12:     /10</b></p>			

*PRE-IMPLEMENTATION*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
LEAs application includes in the narrative and budget items that will support the full implementation of the selected model prior to the beginning of the school year. The activities align to the school's needs and may include, but	LEAs application includes in the narrative and budget items that will support the full implementation of the selected model prior to the beginning of the school year. The activities align to the schools needs and may include,	LEAs application includes in the narrative and budget items that will support the full implementation of the selected model prior to the beginning of the school year. The activities align to the schools needs and may include, but	LEA does not provide adequate narrative and budget describing the LEA’s activities prior to the beginning of the school year.

<p>not be limited to, six to seven of the following activities:</p> <p>1) Costs related to staff recruiting and selection as necessary, recruiting costs for principal-search, leadership team, and teaching staff as necessary, 2) Costs related to planning time for staff involved in planning extended day that will begin in the 2013-14 school year, 3) compensation for staff for instructional planning, such as examining student data, developing a curriculum that is aligned to State standards and aligned vertically from one grade level to another, collaborating within and across disciplines, and devising student assessments, 4) negotiation costs associated with any changes/amendments to the Collective Bargaining Agreement potentially regarding extended day, staff removal/transfer procedures, etc., 5) Training costs for staff on the implementation of new or revised instructional programs and policies that are aligned with the school’s comprehensive instructional plan and the school’s intervention model; 6) Costs related to family and community engagement 7) Costs related to developing and piloting a data system for use in SIG-funded schools; analyzing data on leading baseline indicators; or developing and adopting interim assessments for use in SIG-funded schools.</p>	<p>but not be limited to, four to five of the following activities:</p> <p>1) Costs related to staff recruiting and selection as necessary, recruiting costs for principal-search, leadership team, and teaching staff as necessary, 2) Costs related to planning time for staff involved in planning extended day that will begin in the 2013-14 school year, 3) compensation for staff for instructional planning, such as examining student data, developing a curriculum that is aligned to State standards and aligned vertically from one grade level to another, collaborating within and across disciplines, and devising student assessments, 4) negotiation costs associated with any changes/amendments to the Collective Bargaining Agreement potentially regarding extended day, staff removal/transfer procedures, etc., 5) Training costs for staff on the implementation of new or revised instructional programs and policies that are aligned with the school’s comprehensive instructional plan and the school’s intervention model; 6) Costs related to family and community engagement 7) Costs related to developing and piloting a data system for use in SIG-funded schools; analyzing data on leading baseline indicators; or developing and adopting interim assessments for use in SIG-funded schools.</p>	<p>not be limited to, two to three of the following activities:</p> <p>1) Costs related to staff recruiting and selection as necessary, recruiting costs for principal-search, leadership team, and teaching staff as necessary, 2) Costs related to planning time for staff involved in planning extended day that will begin in the 2013-14 school year, 3) compensation for staff for instructional planning, such as examining student data, developing a curriculum that is aligned to State standards and aligned vertically from one grade level to another, collaborating within and across disciplines, and devising student assessments, 4) negotiation costs associated with any changes/amendments to the Collective Bargaining Agreement potentially regarding extended day, staff removal/transfer procedures, etc., 5) Training costs for staff on the implementation of new or revised instructional programs and policies that are aligned with the school’s comprehensive instructional plan and the school’s intervention model; 6) Costs related to family and community engagement 7) Costs related to developing and piloting a data system for use in SIG-funded schools; analyzing data on leading baseline indicators; or developing and adopting interim assessments for use in SIG-funded schools.</p>	
<p><b>Number of Points Criteria #13:</b>     <u>  /10  </u></p>			

*MONITORING*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>Plan includes at least quarterly updates to the local BOE, and external stakeholders, to present progress on implementation of the intervention strategies and student achievement.</p> <p>LEA Lead for school intervention plans to meet with School Leadership, Lead Partner staff, Superintendent, and Union Leadership at least monthly to present progress report based on relevant data that have been collected and analyzed.</p> <p>LEA Lead for school intervention plans to meet with Lead Partner, staff, and Principal. The Principal reports weekly to review data that substantiates progress on achieving LEA goals and objectives and school’s strategies; the leading indicators and 18 metrics; attendees discuss progress against plan and are held accountable.</p>	<p>Plan includes at least quarterly updates to the local BOE, and external stakeholders, to present progress on implementation of the intervention strategies and student achievement.</p> <p>LEA Lead for school intervention plans to meet with School Leadership, Lead Partner staff, Superintendent, and Union Leadership at least quarterly to present progress report based on relevant data that have been collected and analyzed.</p> <p>LEA Lead for school intervention plans to meet with Lead Partner staff, and Principal. The Principal reports at least monthly to review data that substantiates progress on achieving LEA goals and objectives and school’s strategies; the progress on achieving LEA goals and objectives and school’s strategies; the leading indicators and 18 metrics; attendees discuss progress against plan and are held accountable.</p>	<p>Plan includes at least quarterly updates to the local BOE, and external stakeholders, to present progress report.</p> <p>LEA Lead for school intervention plans to meet with School Leadership, Lead Partner staff, Superintendent, and Union Leadership at least quarterly to discuss data.</p>	<p>No plan for quarterly review of data among LEA Lead, School Leadership, Lead Partner staff, Superintendent, and Union Leadership. Plan includes occasional BOE meeting updates and/or annual updates.</p>
<p><b>Number of Points Criteria #14:</b>    <u>  /10  </u></p>			

**SECTION III: LEVEL OF COMMITMENT**

*STAKEHOLDER CONSULTATION*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>Communications and outreach work done in advance of grant submission are sufficient. External and internal</p>	<p>Communications and outreach work done in advance of grant submission are sufficient. Stakeholders were given</p>	<p>Communications and outreach work done in advance of grant submission are sufficient. Stakeholders were given</p>	<p>Limited communications and outreach work done in advance of grant submission.</p>

<p>stakeholders were given multiple opportunities to engage in the needs assessment and strategy planning. A considerable number participated.</p> <p>District team included parents, community members, union leadership, school staff, and LEA staff.</p> <p>Stakeholder Consultation Signature Form(s) are included as evidence of meetings.</p>	<p>multiple opportunities to engage in strategy planning and a considerable number participated.</p> <p>District team included parents, community members, union leadership, school staff, and LEA staff.</p> <p>Stakeholder Consultation Signature Form(s) are included as evidence of meetings.</p>	<p>multiple opportunities to engage in strategy planning and a considerable number participated.</p> <p>District team included parents, community members, union leadership, school staff, and LEA staff.</p> <p>No Stakeholder Signature Forms were included in the application.</p>	
<p><b>Number of Points Criteria #1:     /10</b></p>			

*LEVEL OF COMMITMENT \*\*\**

<p><b>STRONG 10 points</b></p>	<p><b>MODERATE 5 points</b></p>	<p><b>LIMITED 2 points</b></p>	<p><b>NOT PROVIDED 0 points</b></p>
<p>Application includes five or more letters of support from leaders of organizations representing large constituencies that are clearly familiar with the specific plans for the school. Letters include specific support for the five most dramatic changes proposed at the school.</p> <p>Letter from union leadership includes specific description of all planned Collective Bargaining Agreement amendments and support for these amendments as part of the intervention.</p>	<p>Application includes three or more letters of support from leaders of organizations representing large constituencies that are clearly familiar with the specific plans for the school. Letters include specific support for the five most dramatic changes proposed at the school.</p> <p>Letter from union leadership includes specific description of some planned Collective Bargaining Agreement amendments and support for these amendments as part of the intervention.</p>	<p>Application includes letters of support from leaders of organizations representing large constituencies that are clearly familiar with the specific plans for the school. Letters include general support for the changes proposed at the school.</p> <p>Letter from union leadership includes general description of planned Collective Bargaining Agreement amendments and support for these amendments as part of the intervention.</p>	<p>Application includes letters of support from individuals that are not familiar with the interventions at the school.</p> <p>Letter from union leadership includes general description of support.</p>
<p><b>Number of Points Criteria #2:     /10</b></p>			

*COMMUNITY ENGAGEMENT*

<p><b>STRONG 10 points</b></p>	<p><b>MODERATE 5 points</b></p>	<p><b>LIMITED 2 points</b></p>	<p><b>NOT PROVIDED 0 points</b></p>
<p>Communications and outreach plan for the future is based on best practice and includes regular, frequent meetings with parents, community members and staff to update them on the key metrics of the intervention.</p> <p>Communications and outreach plan includes specific strategies of the types listed below to increase engagement and involvement of parents and community partners. The plans for these strategies are described in detail.</p> <ul style="list-style-type: none"> <li>•Outreach to connect with hard-to-reach families</li> <li>•Enhancement of welcoming and social supports for newcomers</li> <li>•Establishment of a range of family involvement opportunities</li> <li>•Holding regular public meetings to review school performance and develop school improvement plans</li> <li>• Using surveys to gauge satisfaction and support for schools</li> <li>• Communications for parents, caregivers, and community (as applicable) are provided in the language(s) of the home and/or community.</li> </ul>	<p>Communications and outreach plan for the future is based on best practice and includes regular, frequent meetings with parents, community members and staff to update them on the key metrics of the intervention.</p>	<p>Future communications plan generally described.</p>	<p>Limited future communications and outreach work planned if awarded the grant.</p>
<p><b>Number of Points Criteria #3:</b>     <u>  10  </u></p>			

**Section IV: TIMELINE & BUDGET**

*BUDGET*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>All items and staff positions listed in LEA’s budget are substantiated in the narrative portion of the application.</p> <p>LEA’s budget is directly related to the full and effective implementation of the intervention model(s) selected by the LEA for the Tier I and Tier II schools and sufficient to implement the activities fully and effectively. Budget includes sufficient detail to make this determination.</p> <p>Budget requests are reasonable and necessary expenditures and are in compliance with Title I requirements.</p> <p>Budget expenditures are aligned each year and over the three years of the grant.</p>	<p>All items and staff positions listed in LEA’s budget are substantiated in the narrative portion of the application.</p> <p>LEA’s budget is sufficient to implement the activities fully and effectively. Budget includes sufficient detail to make this determination.</p> <p>Budget requests are reasonable and necessary expenditures and are in compliance with Title I and ARRA requirements.</p>	<p>All items and staff positions listed in LEA’s budget are substantiated in the narrative portion of the application.</p> <p>LEA’s budget is insufficient to implement the activities fully and effectively. Budget includes sufficient detail to make this determination.</p> <p>Budget requests are in compliance with Title I and ARRA requirements.</p>	<p>All items and staff positions listed in LEA’s budget are not substantiated in the narrative portion of the application.</p> <p>LEA’s budget is insufficient to implement the activities fully and effectively, and/or budget lacks detail to make this determination.</p>
<p><b>Number of Points Criteria #1:     /10</b></p>			

*TIMELINE*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The LEA includes an ambitious but reasonable timeline delineating the steps it will take to implement the selected intervention. Extensive detail is provided.</p>	<p>The LEA includes an ambitious but reasonable timeline delineating the steps it will take to implement the selected intervention.</p>	<p>The LEA includes a timeline that lacks sufficient detail delineating the steps it will take to implement the selected intervention.</p>	<p>LEA does not include an implementation timeline.</p>
<p><b>Number of Points Criteria #2:     /10</b></p>			

SUSTAINING AFTER GRANT

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
The LEA includes a detailed description of how it will align significant local, state, and/or federal dollars to sustain SIG-funded activities after SIG funding period ends.	The LEA includes a description of how it will align significant local, state, and/or federal dollars to sustain SIG-funded activities after SIG funding period ends.	The LEA includes a general description of how it will align local, state, and/or federal dollars to sustain SIG-funded activities after SIG funding period ends.	The LEA does not include a description of how it will align local, state, and/or federal dollars to sustain SIG-funded activities after SIG funding period ends.
<b>Number of Points Criteria #3:</b> <u>  /10  </u>			

LEA Total Scores

Section	Total Capacity	Total General	Total
Section I: Overview and Rationale	/50***	/20	/70
Section II: Proposed Activities	/100**	/40	/140
Section III: Level of Commitment	/10***	/20	/30
Section IV: Timeline & Budget	0/0***	/30	/30
LEA Composite Totals	/160***	/110	/270

**Appendix C**  
**SIG 1003(g) SCHOOL SCORING RUBRIC**

**SECTION I: OVERVIEW & RATIONALE**

*NEEDS ASSESSMENT*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>Narrative and Part I and Part II of the Needs Assessment provide evidence that the needs assessment team analyzed school-level performance data and used this information to help identify the appropriate intervention model for the school.</p> <p>The application provides data for all 18 metrics identified by the Department of Education or a rationale for why the data were not provided.</p> <p>If data points are missing the narrative identifies what the school will do to ensure that these data points are collected in the future.</p> <p>The Needs Assessment provides evidence that the district/school improvement team engaged the school’s leaders, staff, parents, and other community stakeholders in the needs assessment process.</p>	<p>Narrative and Part I and Part II of the Needs Assessment provide evidence that the needs assessment team analyzed school-level performance data and used this information to help identify the appropriate intervention model for the school.</p> <p>The application provides data for all 18 metrics identified by the Department of Education or a rationale for why the data cannot be collected.</p> <p>The Needs Assessment provides evidence that the district/school improvement team engaged staff and community stakeholders in the needs assessment process.</p>	<p>Narrative and Part I and Part II of the Needs Assessment provide evidence that the needs assessment team analyzed school-level performance data and used this information to help identify the appropriate intervention model for the school.</p> <p>The application provides data for all 18 metrics identified by the Department of Education or a rationale for why the data cannot be collected.</p>	<p>Description of the analysis of school-level performance data is not included.</p>
<p><b>Number of Points Criteria #1:</b>     <u>  /10  </u></p>			

*ROLE OF LEAD PARTNER\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>Description of Lead Partner’s responsibilities includes seven to eight of the following activities: being involved in hiring of district-funded administrators at the school, strategy design, creation of performance management system, assistance with school climate and culture, community engagement, extended programming, interim assessments, compensation system reform, and/or additional substantial responsibilities (not including professional development, curricular alignment, and/or curricular mapping).</p> <p>Evidence provided that the Lead Partner will have a daily on-site presence in the school.</p> <p>Evidence provided that the LEA and Lead Partner share accountability for the full and effective implementation of the intervention model and student achievement in the selected school.</p>	<p>Description of Lead Partner’s responsibilities includes five to six of the following activities: being involved in hiring of district-funded administrators at the school, strategy design, creation of performance management system, assistance with school climate and culture, community engagement, extended programming, interim assessments, compensation system reform, and/or additional substantial responsibilities (not including professional development, curricular alignment, and/or curricular mapping).</p> <p>Evidence provided that the Lead Partner will have a daily on-site presence in the school.</p>	<p>Description of Lead Partner’s responsibilities includes one to four of the following activities: being involved in hiring of district-funded administrators at the school, strategy design, creation of performance management system, assistance with school climate and culture, community engagement, extended programming, interim assessments, compensation system reform, and/or additional substantial responsibilities (not including professional development, curricular alignment, and/or curricular mapping).</p> <p>Evidence provided that the Lead Partner will have a daily on-site presence in the school.</p>	<p>Description of Lead Partner’s responsibilities is not specific or includes providing professional development, curriculum alignment, and/or curricular mapping.</p>
<p><b>Number of Points Criteria #2:</b>     <u>  /10  </u></p>			

*STAFFING\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The names of the staff positions that will monitor and evaluate the progress of this initiative are listed. All staff that are involved with the grant are listed, with their specific roles and the amount of time that they will be involved in the</p>	<p>The names of the staff positions that will monitor and evaluate the progress of this initiative are listed. All staff that are involved with the grant are listed, with the amount of time that they will be involved in the intervention.</p>	<p>The names of the staff positions that will monitor and evaluate the progress of this initiative are listed. All staff that are involved with the grant are listed with amount of time that they will be involved in the intervention.</p>	<p>Information about the staff involved in the intervention lack one or both of the following: --the names of the staff positions that will monitor and evaluate the progress of this initiative;</p>

<p>intervention.</p> <p>Complete job description(s) provided for each new staff member includes: specific and non-duplicated responsibilities and qualifications.</p> <p>The name of the staff person that the new staff person will report to is clearly listed. What the new staff member will specifically be held accountable for is clearly noted.</p>	<p>Complete job description(s) provided for each new staff member include: specific and non-duplicated responsibilities and qualifications.</p> <p>The name of the staff person that the new staff person will report to is not clearly listed and/or what the new staff member will specifically be held accountable for is not clearly noted.</p>	<p>Complete job description(s) are not provided for each new staff member.</p> <p>The name of the staff person that the new staff person will report to is not clearly listed and/or what the new staff member will specifically be held accountable for is not clearly noted.</p>	<p>--a list of staff that are involved with the grant are listed with amount of time that they will be involved in the intervention.</p> <p>Complete job description(s) not provided for each new staff member.</p> <p>The name of the staff person that the new staff person will report to is not clearly listed and/or what the new staff member will specifically be held accountable for is not clearly noted.</p>
<p><b>Number of Points Criteria #3:     /10</b></p>			

**SECTION II: PROPOSED ACTIVITIES**

*CULTURE & CLIMATE*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>A description is included to address how the school plans to enhance or develop a positive school climate where students feel safe, where high expectations for academic and behavioral competencies of all students are supported, and where instruction responds to student needs.</p>	<p>A description is included that acknowledges that the school needs to enhance or develop a positive school climate where students feel safe, where the academic and behavioral competencies of all students are supported, and where instruction responds to student needs.</p>	<p>A description identifies some of the challenges related to the school culture and climate but does not propose any strategies for change.</p>	<p>The school culture and climate are not addressed.</p>
<p><b>Number of Points Criteria #1:     /10</b></p>			

*DATA DRIVEN DECISION MAKING\*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>School already does or plans to collect, analyze, and share student academic and behavior data among school staff</p>	<p>School already does or plans to collect, analyze, and share student academic and behavior data among school staff</p>	<p>School already does or plans to collect, analyze, and share student academic and behavior data among school staff</p>	<p>School neither does nor plans to collect, analyze, and share student academic and behavior data among school staff</p>

and staff at the LEA on a regular basis. School already does or plans to ensure that all administrative staff and teachers within the school have access to student academic and behavioral progress over time on a regular basis. School already uses data or plans to use data on a regular and frequent basis to make instructional modifications, enhance support services, or identify interventions.	and staff at the LEA on a regular basis. School already does or plans to ensure that all administrative staff and teachers within the school have access to student academic and behavioral progress over time on a regular basis. School does not already use data nor does it plan to use data on a regular and frequent basis to make instructional modifications, enhance support services, or identify intervention.	and staff at the LEA on a regular basis. School does not already, nor does it plan to, ensure that all administrative staff and teachers within the school have access to student academic and behavioral progress over time on a regular basis.  School does not already use data nor does it plan to use data on a regular and frequent basis to make instructional modifications, enhance support services, or identify intervention.	and staff at the LEA on a regular basis. School does not already, nor does it plan to, ensure that all administrative staff and teachers within the school have access to student academic and behavioral progress over time on a regular basis.  School does not already use data nor does it plan to use data on a regular and frequent basis to make instructional modifications, enhance support services, and/or identify intervention.
<b>Number of Points Criteria #2:</b> <u>  /10  </u>			

*CURRICULUM AND ASSESSMENT \*\**

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The proposed curriculum is aligned to state standards and includes clear expectations for student learning.</p> <p>The plan insures access and equity to a high-quality curriculum for all students.</p> <p>A list of assessments currently administered and planned for is provided.</p> <p>The proposal details plans to implement instructional practices that are selected based on data and promote the regular and frequent use of student data to adjust instruction and curriculum based on progress monitoring.</p>	<p>The proposed curriculum is aligned to state standards and includes clear expectations for student learning.</p> <p>The plan insures access and equity to a high-quality curriculum for all students.</p> <p>A list of assessments currently administered is provided.</p> <p>The LEA describes a plan that was only moderately based on data and does not clearly promote the regular and frequent use of student data to adjust instruction and curriculum based on progress monitoring.</p>	<p>The proposed curriculum is aligned or will be aligned to state standards and will include clear expectations for student learning.</p> <p>The plan does not clearly define how it will ensure access and equity to a high-quality curriculum for all students.</p> <p>A list of assessments currently administered is provided.</p> <p>The LEA does not describe a plan to implement instructional practices that are selected based on data and promote the regular and frequent use of student data to adjust instruction and curriculum based on progress monitoring.</p>	<p>The proposed curriculum is not aligned to state standards and does not establish clear expectations for student learning.</p> <p>A list of assessments currently administered is not provided.</p>
<b>Number of Points Criteria #3:</b> <u>  /10  </u>			

**INSTRUCTION\*\***

<p align="center"><b>STRONG 10 points</b></p>	<p align="center"><b>MODERATE 5 points</b></p>	<p align="center"><b>LIMITED 2 points</b></p>	<p align="center"><b>NOT PROVIDED 0 points</b></p>
<p>Process for analyzing student needs and then building support and interventions to directly address those needs is currently in place or planned.</p> <p>Instructional and learning supports include five or more of the strategies below with a very clear description of how the interventions directly address current student needs:</p> <ul style="list-style-type: none"> <li>● Using and integrating technology-based supports and interventions.</li> <li>● Establishing smaller learning communities.</li> <li>● Providing supports/PD for working with SPED and ELL.</li> <li>● Conducting periodic reviews to ensure curriculum and learning supports are being implemented with fidelity.</li> <li>● Providing opportunities for credit recovery.</li> <li>● Implementing programs for basic skills remediation.</li> <li>● Establishing early warning systems (focused on prevention of absences, low grades, violence, potential dropouts, etc.).</li> <li>● Providing opportunities for advanced coursework (such as Advanced Placement, International Baccalaureate classes, or advanced mathematics).</li> </ul>	<p>Process for analyzing student needs and then building support and interventions to directly address those needs is currently in place or planned.</p> <p>Instructional and learning supports include five or more of the strategies below with an insufficient description of how the interventions directly address current student needs:</p> <ul style="list-style-type: none"> <li>● Using and integrating technology-based supports and interventions.</li> <li>● Establishing smaller learning communities.</li> <li>● Providing supports/PD for working with SPED and ELL.</li> <li>● Conducting periodic reviews to ensure curriculum and learning supports are being implemented with fidelity.</li> <li>● Providing opportunities for credit recovery.</li> <li>● Implementing programs for basic skills remediation.</li> <li>● Establishing early warning systems (focused on prevention of absences, low grades, violence, potential dropouts, etc.).</li> <li>● Providing opportunities for advanced coursework (such as Advanced Placement, International Baccalaureate classes, or advanced mathematics).</li> </ul>	<p>Process for analyzing student needs and then building support and interventions to directly address those needs is currently in place or planned.</p> <p>Instructional and learning supports include two to four of the strategies below and/or an insufficient description of how the interventions directly address current student needs:</p> <ul style="list-style-type: none"> <li>● Using and integrating technology-based supports and interventions.</li> <li>● Establishing smaller learning communities.</li> <li>● Providing supports/PD for working with SPED and ELL.</li> <li>● Conducting periodic reviews to ensure curriculum and learning supports are being implemented with fidelity.</li> <li>● Providing opportunities for credit recovery.</li> <li>● Implementing programs for basic skills remediation.</li> <li>● Establishing early warning systems (focused on prevention of absences, low grades, violence, potential dropouts, etc.).</li> <li>● Providing opportunities for advanced coursework (such as Advanced Placement, International Baccalaureate classes, or advanced mathematics).</li> </ul>	<p>Process for analyzing student needs and then building support and interventions to directly address those needs is not currently in place nor planned.</p> <p>Instructional and learning supports include one of the strategies below and/or an insufficient description of how the intervention directly addresses current student needs:</p> <ul style="list-style-type: none"> <li>● Using and integrating technology-based supports and interventions.</li> <li>● Establishing smaller learning communities.</li> <li>● Providing supports/PD for working with SPED and ELL.</li> <li>● Conducting periodic reviews to ensure curriculum and learning supports are being implemented with fidelity.</li> <li>● Providing opportunities for credit recovery.</li> <li>● Implementing programs for basic skills remediation.</li> <li>● Establishing early warning systems (focused on prevention of absences, low grades, violence, potential dropouts, etc.).</li> </ul>
<p><b>Number of Points Criteria 4:</b>      <u>  10  </u></p>			

*SUPPORT SERVICES*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>The narrative describes how the school will organize itself to ensure that every student has a pathway to success and is supported through a wide variety of programs and instructional approaches. Strategies include but are not limited to: screening for deficits in academics and behavioral functions (for example, self-management and relationship skills) and monitoring progress at regular intervals. Interventions include one-on-one or small-group tutoring in one or more academic skill areas, specific interventions targeting social-emotional needs (such as social and emotional learning), or targeted language interventions.</p> <p>Enrichment opportunities that support career and/or college readiness for all students are provided.</p>	<p>The narrative describes how the school will organize itself to ensure that every student has a pathway to success and is supported through a wide variety of programs and instructional approaches.</p> <p>Enrichment opportunities that support career and/or college readiness for all students are provided.</p>	<p>The narrative identifies the need for support services but does not detail the plan for specific services for specific student groups.</p> <p>Enrichment opportunities that support career and/or college readiness are provided for selected students.</p>	<p>The application does not address the inclusion of support services.</p>
<p><b>Number of Points Criteria #5:</b>     <u>  /10  </u></p>			

*PROFESSIONAL DEVELOPMENT*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
<p>Specific plan for ongoing, high quality job-embedded PD is provided and supports the implementation of the selected intervention model.</p> <p>The PD plan includes processes to identify individual staff needs, monitor implementation, and make modifications based on changing needs.</p>	<p>Specific plan for ongoing job-embedded PD provided and supports the implementation of the selected intervention model.</p> <p>The PD plan includes processes to identify individual staff needs and monitor implementation.</p> <p>Job-embedded PD directly addresses</p>	<p>Specific plan for job-embedded PD provided.</p> <p>Collaborative staff efforts are specifically described in the narrative and planned for in the budget. Grade level and departmental meetings occur weekly or every two weeks or are planned for.</p>	<p>General plan to meet in place, or planned but little information on how often meetings will be and how they will be structured. Additional collaborative planning time not planned for in budget.</p>

<p>Job-embedded PD directly addresses needs identified in Needs Assessment and is tailored to individual student needs.</p> <p>Collaborative staff efforts are specifically described in the narrative and planned for in the budget. Structured daily or weekly departmental meetings are in place or planned for. Core grade-level teachers have structured common planning time more than once a week. Basic outline of meetings provided.</p>	<p>needs identified in Needs Assessment and is tailored to individual student needs.</p> <p>Collaborative staff efforts are specifically described in the narrative and planned for in the budget. Daily or weekly grade level and departmental meetings in place or planned for. Basic outline of meetings provided.</p>		
<p><b>Number of Points Criteria #6:     /10</b></p>			

*COMMUNICATING VISION*

<p><b>STRONG 10 points</b></p>	<p><b>MODERATE 5 points</b></p>	<p><b>LIMITED 2 points</b></p>	<p><b>NOT PROVIDED 0 points</b></p>
<p>Communications and outreach work completed in advance of the grant submission regarding the vision and goals of the proposed SIG 1003(g) proposed activities and selected intervention with school staff, families, and the community are well documented and are more than sufficient.</p> <p>Communications and outreach plan for the future is based on best practice and includes regular, frequent meetings with parents, community members and staff to update them on the key metrics of the intervention.</p> <p>Communications and outreach plan include two or more, specific strategies of the types listed below to increase</p>	<p>Communications and outreach work completed in advance of the grant submission regarding the vision and goals of the proposed SIG 1003(g) proposed activities and selected intervention with school staff, families, and the community are more than sufficient.</p> <p>Communications and outreach plan for the future is based on best practice and includes regular, frequent meetings with parents, community members and staff to update them on the key metrics of the intervention.</p> <p>Communications and outreach plan include two or more, specific strategies of the types listed below to increase engagement and involvement of</p>	<p>Communications and outreach work done in advance of grant submission on the proposed SIG 1003(g) activities and selected intervention are sufficient.</p> <p>Communications and outreach plan for the future are not sufficiently specific.</p>	<p>Limited communications and outreach work done in advance of grant submission</p> <p>Limited future communications and outreach work planned if awarded the grant.</p>

<p>engagement and involvement of parents and community partners. The plans for these two or more strategies are described in detail.</p> <ul style="list-style-type: none"> <li>• Outreach to connect with hard-to-reach families.</li> <li>• Enhancement of welcoming and social supports for newcomers.</li> <li>• Establishment of a range of family involvement opportunities.</li> <li>• Holding regular public meetings to review school performance and develop school improvement plans.</li> <li>• Using surveys to gauge satisfaction and support for schools.</li> </ul> <p>Communications for parents, caregivers, and community (as applicable) are provided in the language(s) of the home and/or community.</p>	<p>parents and community partners. The plans for these two or more strategies are briefly described.</p> <ul style="list-style-type: none"> <li>• Outreach to connect with hard-to-reach families.</li> <li>• Enhancement of welcoming and social supports for newcomers.</li> <li>• Establishment of a range of family involvement opportunities.</li> <li>• Holding regular public meetings to review school performance and develop school improvement plans.</li> <li>• Using surveys to gauge satisfaction and support for schools.</li> </ul> <p>Communications for parents, caregivers, and community (as applicable) are provided or are planned to be in the language(s) of the home and/or community.</p>		
<p><b>Number of Points Criteria #7:</b>     <u>  /10  </u></p>			

**SECTION III: BUDGET**

*BUDGET*

<p><b>STRONG 10 points</b></p>	<p><b>MODERATE 5 points</b></p>	<p><b>LIMITED 2 points</b></p>	<p><b>NOT PROVIDED 0 points</b></p>
<p>All items and staff positions listed in budget are substantiated in the narrative portion of the application.</p> <p>Budget is directly related to the implementation of the intervention model and sufficient to implement the activities fully and effectively. Budget includes sufficient detail to make this</p>	<p>All items and staff positions listed in budget are substantiated in the narrative portion of the application.</p> <p>Budget is sufficient to implement the activities fully and effectively. Budget includes sufficient detail to make this determination.</p>	<p>All items and staff positions listed in budget are substantiated in the narrative portion of the application.</p> <p>Budget is sufficient to implement the activities fully and effectively. Budget includes sufficient detail to make this determination.</p>	<p>All items and staff positions listed in budget are not substantiated in the narrative portion of the application.</p> <p>Budget is insufficient to implement the activities fully and effectively, and/or budget lacks detail to make this determination.</p>

determination. Budget requests are reasonable and necessary expenditures and are in compliance with Title I requirements.  The proposal includes a description of how it will redirect significant local, state, and/or federal dollars to maximize the funding impact of School Improvement Grant funds.	Budget requests are reasonable and necessary expenditures and are in compliance with Title I requirements.  The proposal includes a description of how it will redirect a portion of local, state, and/or federal dollars to maximize the funding impact of School Improvement Grant funds.	Budget requests are reasonable and necessary expenditures and are in compliance with Title I requirements.  The proposal does not include a sufficient description of how it will redirect a portion of local, state, and/or federal dollars to maximize the funding impact of School Improvement Grant funds.	
<b>Number of Points Criteria #1:</b> <u>  /10  </u>			

*TIMELINE*

<b>STRONG 10 points</b>	<b>MODERATE 5 points</b>	<b>LIMITED 2 points</b>	<b>NOT PROVIDED 0 points</b>
The school includes an ambitious but reasonable timeline delineating the steps it will take to implement the selected intervention. Extensive detail is provided.	The school includes an ambitious but reasonable timeline delineating the steps it will take to implement the selected intervention.	The school includes a timeline that lacks sufficient detail delineating the steps it will take to implement the selected intervention.	The school does not include a timeline.
<b>Number of Points Criteria #2:</b> <u>  /10  </u>			

**School Total Scores**

<b>Section</b>	<b>Total Readiness</b>	<b>Total General</b>	<b>Total</b>
<b>I. Overview &amp; Rationale</b>	<i>/20**</i>	<i>/10</i>	<i>/30</i>
<b>II. Proposed Activities</b>	<i>/30**</i>	<i>/40</i>	<i>/70</i>
<b>III. Timeline &amp; Budget</b>	<i>0/0**</i>	<i>/20</i>	<i>/20</i>
<b>SCHOOL Composite Totals</b>	<i>/50**</i>	<i>/70</i>	<b>120</b>

**FY 2013 School Improvement Grant –Section 1003(g)  
FINAL SCORE SHEET**

All applications will be read, reviewed, and scored by impartial readers who have been selected for their expertise and experience with school improvement efforts. For a detailed overview of the proposal scoring criteria, see the scoring rubrics in Appendices B and C. Items identified by three asterisks (\*\*\*) in the LEA Scoring Rubric (Appendix B) indicate capacity questions. Items identified by two asterisks (\*\*) in the School Scoring Rubric (Appendix C) indicate readiness questions. The proposal scoring process will occur in two steps. In the first step, ISBE will add the *LEA Capacity Score* to the *School Readiness Score* to generate a *Capacity/Readiness Composite Score*.

Only those proposals with a *Capacity/Readiness Composite Score* of 154 or higher will be considered for funding. For those proposals with a *Capacity/Readiness Composite Score* of 154 or higher, ISBE will then add the *Capacity/Readiness Composite Score* to the *General Composite Score*, which is comprised of the *LEA General Score* and the *School General Score*. In cases where an applicant proposes to serve multiple schools, the *LEA General Score* will be added to each *School General Score*. The *Capacity/Readiness Composite Score* and the *General Composite Score* will be added together to generate a *Total Score* for each proposed school. ISBE will then rank each school, based on the *Total Score*, from highest to lowest. In order to identify finalists, ISBE will review the funding request of each proposal and identify the total number of schools that can be funded based on the amount of funding available.

In order to determine the applicants who will ultimately be recommended for funding, ISBE staff will conduct face-to-face interviews with those applicants selected as SIG 1003(g) finalists from the initial proposal review process as described above.

**CAPACITY SCALE \*\*\***

High Capacity*** (170-135)	<b>All</b> of the above capacity criteria relevant to the school’s selected intervention model have been adequately addressed.
Moderate ( 134-119)	<b>Most</b> of the above capacity criteria relevant to the school’s selected intervention model have been adequately addressed.
Low (118 and Below)	<b>A few or none</b> of the above capacity criteria relevant to the school’s selected intervention model have been adequately addressed.

**READINESS SCALE \*\***

High (50-40)	<b>All</b> of the above readiness criteria relevant to the school’s selected intervention model have been adequately addressed.
Moderate (39-35)	<b>Most</b> of the above readiness criteria relevant to the school’s selected intervention model have been adequately addressed.
Low (34 and Below)	<b>A few or none</b> of the above readiness criteria relevant to the school’s selected intervention model have been adequately addressed.

District Score	Capacity	General	Total
Section I: Overview and Rationale	/50	/20	/70
Section II: Proposed Activities	/100	/40	/140
Section III: Commitment	/10	/20	/30
Section IV: Timeline & Budget		/30	/30
<b>TOTAL District Points</b>	<b>/160</b>	<b>/110</b>	<b>/270</b>

School Score	Readiness	General	Total
Section I: Rationale	/20	/10	/30
Section II: Proposed Activities	/30	/40	/70
Section III: Timeline & Budget		/20	/20
<b>TOTAL School Points</b>	<b>/50</b>	<b>/70</b>	<b>/120</b>

**Final Composite Scores (One per School)**

	LEA Name	School Name	Total
Capacity/ Readiness	/160	/50	/220
General	/110	/70	/170
<b>Total</b>	<b>/270</b>	<b>/120</b>	<b>/390</b>

**Note: LEA composite score will be added to each individual school composite score. An application must receive at least 154 points for the capacity/readiness composite score in order to qualify for funding.**

**ISBE USE ONLY** Regular

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

ATTACHMENT 1

**DUE DATE**  
April 30, 2013

**FY 2014**  
**SCHOOL IMPROVEMENT GRANT - SECTION 1003(g) – TIER I AND II**  
**Application Cover Page**

**Directions: Submit 1 original, 5 copies, and 1 CD. No faxed copies will be accepted. No electronic submissions will be accepted.**

**APPLICANT INFORMATION**

NAME OF SUPERINTENDENT/AUTHORIZED OFFICIAL		REGION, COUNTY, DISTRICT, TYPE CODE	DISTRICT NCES I.D. #
TITLE OF AUTHORIZED OFFICIAL		SIG 1003(g) PROGRAM CONTACT	
DISTRICT NAME AND NUMBER		TITLE OF PROGRAM CONTACT	
ADDRESS (Street, City, State, 9 Digit Zip Code)		ADDRESS (Street, City, State, 9 Digit Zip Code)	
TELEPHONE (Include Area Code)	FAX (Include Area Code)	TELEPHONE (Include Area Code)	FAX (Include Area Code)
E-MAIL		E-MAIL	

2011 DISTRICT FEDERAL ACADEMIC STATUS

*I certify that the authorized official and program person identified above is authorized to act on behalf of the institution with regard to the School Improvement Grant - Section 1003(g).*

\_\_\_\_\_  
Date\_\_\_\_\_  
**Original Signature of Superintendent/Authorized Official**\_\_\_\_\_  
Date\_\_\_\_\_  
**Original Signature of School Board President****ISBE USE ONLY**

Date Received

\_\_\_\_\_  
Date\_\_\_\_\_  
**Original Signature of ISBE Division Administrator,  
System of Support and District Intervention**





**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
ELIGIBLE BUT NOT SERVED TIER I AND TIER II SCHOOLS**

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	DISTRICT NCES #	SOURCE OF FUNDS CODE <b>4339 -14</b>
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SCHOOL NAME	SCHOOL NCES ID #	TIER		REASON FOR NOT SERVING
		I	II	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
ELIGIBLE BUT NOT SERVED TIER I AND TIER II SCHOOLS**

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	DISTRICT NCES #	SOURCE OF FUNDS CODE <b>4339 -14</b>
--------------------------	-------------------------------------	-----------------	---

SCHOOL NAME	SCHOOL NCES ID #	TIER		REASON FOR NOT SERVING
		I	II	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	

**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
ANNUAL IMPROVEMENT GOALS AND OBJECTIVES**

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	DISTRICT NCES #	SOURCE OF FUNDS CODE <b>4339 -14</b>
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**Directions - Annual Improvement Goals:** The LEA must provide for each year of the grant (FYs 2013-2015) the annual improvement goals for improving student achievement in the identified Tier I and Tier II schools on the applicable state assessment in both reading/language arts and mathematics. The LEA SIG 1003(g) goals must be specific, measurable, attainable, realistic, and time bound (S.M.A.R.T.).

**Example:**

**Goal:** The 2012 PSAE results show \_\_\_\_\_ percent of the district's ALL students in the Meets/Exceeds category in reading/language arts. The percentage of ALL students in the Meets/Exceeds Category will increase to \_\_\_\_\_ on the 2014 PSAE.

SIG 1003(g) Goal # \_\_\_\_\_:

**Directions - Objectives:** The LEA must provide for each year of the grant, objectives that align with the cited annual improvement goal. (Column 1) The SIG 1003(g) objectives should incorporate the intervention model improvement efforts, (Column 2) identify measurable outcomes that align with the selected interventions, (Column 3) provide the evidence of improvement or progress that will facilitate monitoring by the district and schools, (Column 4) identify a target date for completion, and (Column 5) identify the responsible individuals or entity charged with monitoring and ensuring the goal and identified objective are implemented and completed. (*See Objective example below.*)

Objective (1)	Measurable Outcome(s) (2)	Evidence of Improvement or Progress (3)	Target Date for Completion (4)	Responsible Entity (5)
(Example) Objective # 1.1: All reading/language arts teachers, grades 9-12, will establish and use a routine process of assessing student performance through data analysis, in order to increase student achievement.	(Example) 1.1: Formative assessments based upon data analysis of the PSAE and weekly level of mastery of targeted skills on curriculum based measurements.	(Example) 1.1: All students will achieve 80% mastery of targeted skills on weekly curriculum based measurements as developed by the teachers and instructional coaches. 1.1: 49.7% of 11th grade students will meet or exceed as measured by the PSAE by 2014.	(Example) 11.2013  05.2014	(Example) School Principal Lead Partner
Objective # _____				
Objective # _____				
Objective # _____				

**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
ANNUAL IMPROVEMENT GOALS AND OBJECTIVES**

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	DISTRICT NCES #	SOURCE OF FUNDS CODE <b>4339 -14</b>
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**Directions - Annual Improvement Goals:** The LEA must provide for each year of the grant (FYs 2013-2015) the annual improvement goals for improving student achievement in the identified Tier I and Tier II schools on the applicable state assessment in both reading/language arts and mathematics. The LEA SIG 1003(g) goals must be specific, measurable, attainable, realistic, and time bound (S.M.A.R.T.).

**Example:**

**Goal:** The 2012 PSAE results show \_\_\_\_\_ percent of the district's ALL students in the Meets/Exceeds category in reading/language arts. The percentage of ALL students in the Meets/Exceeds Category will increase to \_\_\_\_\_ on the 2014 PSAE.

SIG 1003(g) Goal # \_\_\_\_\_:

**Directions - Objectives:** The LEA must provide for each year of the grant, objectives that align with the cited annual improvement goal. (Column 1) The SIG 1003(g) objectives should incorporate the intervention model improvement efforts, (Column 2) identify measurable outcomes that align with the selected interventions, (Column 3) provide the evidence of improvement or progress that will facilitate monitoring by the district and schools, (Column 4) identify a target date for completion, and (Column 5) identify the responsible individuals or entity charged with monitoring and ensuring the goal and identified objective are implemented and completed. (*See Objective example below.*)

Objective (1)	Measurable Outcome(s) (2)	Evidence of Improvement or Progress (3)	Target Date for Completion (4)	Responsible Entity (5)
(Example) Objective # 1.1: All reading/language arts teachers, grades 9-12, will establish and use a routine process of assessing student performance through data analysis, in order to increase student achievement.	(Example) 1.1: Formative assessments based upon data analysis of the PSAE and weekly level of mastery of targeted skills on curriculum based measurements.	(Example) 1.1: All students will achieve 80% mastery of targeted skills on weekly curriculum based measurements as developed by the teachers and instructional coaches. 1.1: 49.7% of 11th grade students will meet or exceed as measured by the PSAE by 2012.	(Example) 11.2013  05.2014	(Example) School Principal Lead Partner
Objective # _____				
Objective # _____				
Objective # _____				

**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
ANNUAL IMPROVEMENT GOALS AND OBJECTIVES**

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	DISTRICT NCES #	SOURCE OF FUNDS CODE <b>4339 -14</b>
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**Directions - Annual Improvement Goals:** The LEA must provide for each year of the grant (FYs 2013-2015) the annual improvement goals for improving student achievement in the identified Tier I and Tier II schools on the applicable state assessment in both reading/language arts and mathematics. The LEA SIG 1003(g) goals must be specific, measurable, attainable, realistic, and time bound (S.M.A.R.T.).

**Example:**

**Goal:** The 2012 PSAE results show \_\_\_\_\_ percent of the district's ALL students in the Meets/Exceeds category in reading/language arts. The percentage of ALL students in the Meets/Exceeds Category will increase to \_\_\_\_\_ on the 2014 PSAE.

SIG 1003(g) Goal # \_\_\_\_\_:

**Directions - Objectives:** The LEA must provide for each year of the grant, objectives that align with the cited annual improvement goal. (Column 1) The SIG 1003(g) objectives should incorporate the intervention model improvement efforts, (Column 2) identify measurable outcomes that align with the selected interventions, (Column 3) provide the evidence of improvement or progress that will facilitate monitoring by the district and schools, (Column 4) identify a target date for completion, and (Column 5) identify the responsible individuals or entity charged with monitoring and ensuring the goal and identified objective are implemented and completed. (*See Objective example below.*)

Objective (1)	Measurable Outcome(s) (2)	Evidence of Improvement or Progress (3)	Target Date for Completion (4)	Responsible Entity (5)
(Example) Objective # 1.1: All reading/language arts teachers, grades 9-12, will establish and use a routine process of assessing student performance through data analysis, in order to increase student achievement.	(Example) 1.1: Formative assessments based upon data analysis of the PSAE and weekly level of mastery of targeted skills on curriculum based measurements.	(Example) 1.1: All students will achieve 80% mastery of targeted skills on weekly curriculum based measurements as developed by the teachers and instructional coaches. 1.1: 49.7% of 11th grade students will meet or exceed as measured by the PSAE by 2012.	(Example) 11.2013  05.2014	(Example) School Principal Lead Partner
Objective # _____				
Objective # _____				
Objective # _____				







**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
LEA DETAILED BUDGET SUMMARY BREAKDOWN**

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	DISTRICT NCES #	SOURCE OF FUNDS CODE <b>4339-14</b>
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		(Obj. 100s)	(Obj. 200s)	(Obj. 300s)	(Obj. 400s)	(Obj. 500s)	(Obj. 600s)	(Obj. 700s)	

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**ISBE USE ONLY** Regular

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

ATTACHMENT 7

**DUE DATE**

April 30, 2013

FY 2014

**SCHOOL IMPROVEMENT GRANT - SECTION 1003(g) – TIER I AND TIER II**  
**APPLICANT COVER PAGE FOR INDIVIDUAL SCHOOL**

**APPLICANT INFORMATION**

DISTRICT NAME AND NUMBER		REGION, COUNTY, DISTRICT, TYPE CODE	
NAME OF SCHOOL PRINCIPAL		SCHOOL NAME	
ADDRESS (Street, City, State, 9 Digit Zip Code)		TELEPHONE (Include Area Code)	FAX (Include Area Code)
		E-MAIL SCHOOL PRINCIPAL	
SIG 1003(g) PRIMARY CONTACT		TITLE OF SIG 1003(g) PRIMARY CONTACT	
ADDRESS (Street, City, State, 9 Digit Zip Code)		TELEPHONE (Include Area Code)	FAX (Include Area Code)
		E-MAIL SIG 1003(g) PRIMARY CONTACT	

**INDIVIDUAL SCHOOL INFORMATION**

SCHOOL: FEDERAL ACADEMIC STATUS	SCHOOL: STATE ACADEMIC STATUS
Selected Intervention Model <input type="checkbox"/> Turnaround <input type="checkbox"/> Restart <input type="checkbox"/> Transformation <input type="checkbox"/> Closure	

**INDIVIDUAL SCHOOL LEAD PARTNER**

NAME OF LEAD PARTNER	<input type="checkbox"/> ISBE APPROVED LEAD PARTNER <input type="checkbox"/> NOT APPROVED BY ISBE	
PRIMARY CONTACT	TITLE	
ADDRESS (Street, City, State, 9 Digit Zip Code)	TELEPHONE (Include Area Code)	FAX (Include Area Code)
	E-MAIL	

**ISBE USE ONLY**

Date Received

Date

*Original Signature of ISBE Division Administrator,  
 System of Support and District Intervention*

**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
INDIVIDUAL SCHOOL STRATEGIES**

DISTRICT NAME AND NUMBER	REGION, COUNTY, DISTRICT, TYPE CODE	DISTRICT NCES #	SOURCE OF FUNDS CODE <b>4339-14</b>
SCHOOL NAME		SCHOOL NCES #	<input type="checkbox"/> TIER I <input type="checkbox"/> TIER II

**Directions:** Identify the school level strategies to be implemented in the identified school based on the LEA goals and objectives for improving student achievement. The strategies must be specific, measurable, attainable, realistic, and time bound (S.M.A.R.T.). For each strategy, indicate the evidence of improvement, the target date for completion, and the person or position responsible for overseeing that the strategy is completed.

LEA Goal #	LEA Objective #
------------	-----------------

Individual School Strategy	Evidence of Improvement	Target Date for Completion	Responsible Person or Position
Example: LEA Goal #4, LEA Objective #4-2. All school administrators and teachers will be trained on developing standards aligned lesson plans based on the Charlotte Danielson Framework.	<ul style="list-style-type: none"> <li>• Full implementation of five-part lesson plans.</li> <li>• All teachers will demonstrate improvement of performance level on a minimum of five elements within the Charlotte Danielson Framework.</li> </ul>	<ul style="list-style-type: none"> <li>• August 2013</li> <li>• November 2013</li> </ul>	<ul style="list-style-type: none"> <li>• Instructional Coaches</li> <li>• Principal</li> </ul>
Strategy # _____			

**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
INDIVIDUAL SCHOOL STRATEGIES**

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**FY 2014 SCHOOL IMPROVEMENT GRANT - SECTION 1003(g)  
INDIVIDUAL SCHOOL DETAILED BUDGET SUMMARY BREAKDOWN**

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## CERTIFICATIONS AND ASSURANCES AND STANDARD TERMS OF THE GRANT

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(Insert Applicant's Name Here)

The applicant/award recipient (hereinafter the term applicant includes award recipient as the context requires), hereby certifies and assures the Illinois State Board of Education that:

1. Applicant is a(n): *(Check one)*

Individual       Corporation       Partnership       Unincorporated association       Government entity

Social Security Account Number, Federal Employer Identification Number or Region/County/District/School Code, as applicable:

\_\_\_\_\_

2. The applicant has the necessary legal authority to apply for and to receive the proposed award. The filing of this application has been authorized by the governing body of the applicant, and the undersigned representative has been duly authorized to file this application for and in behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application and any award in relation thereto.

### DEFINITIONS

“Applicant” means an individual, entity or entities for which grant funds may be available and has made application to the Illinois State Board of Education for an award of such grant funds.

“Award recipient” means the person, entity, or entities that are to receive or have received grant funds through an award from the Illinois State Board of Education. The terms “grantee” and “award recipient” may be used interchangeably.

“Expenditure through dates” are from the project beginning date through September 30, December 31, March 31, and June 30 of each fiscal year and the project ending date.

“Grant” means the award of funds, which are to be expended in accordance with the Grant Agreement for a particular project. The terms “grant,” “award,” and “project” may be used interchangeably.

“Project” means the activities to be performed for which grant funds are being sought by the applicant.

The capitalized word “Term” means the period of time from the project beginning date through the project ending date.

### PROJECT

3. The project proposed in the application, and as negotiated and finalized by the parties in the Grant Agreement, is hereinafter referred to as the “project.” In planning the project there has been, and in establishing and carrying out the project, there will be (to the extent applicable to the project), participation of persons broadly representative of the cultural and educational resources of the area to be served, including persons representative of the interests of potential beneficiaries.
4. Applicants may be asked to clarify certain aspects of their proposals/applications prior to final agreement on the terms of the project.
5. All funds provided shall be used solely for the purposes stated in the approved proposal/application.
6. The project will be administered by or under the supervision of the applicant and in accordance with the laws and regulations applicable to the grant. The applicant will be responsible for and obtain all necessary permits, licenses, or consent forms as may be required to implement the project.

### SUBCONTRACTING

7. No subcontracting is allowed under this project, except as set forth in the Grant Agreement.

If subcontracting is allowed, then all project responsibilities are to be retained by the applicant to ensure compliance with the terms and conditions of the grant. All subcontracting must be documented and must have the prior written approval of the State Superintendent of Education. Approval of subcontracts shall be subject to the same criteria as are applied to the original proposal/application. The following information is required if any subcontracting is to be utilized:

- Name(s) and address(es) of subcontractor(s);
- Need and purpose for subcontracting;
- Measurable and time-specific services to be provided;
- Association costs (i.e., amounts to be paid under subcontracts); and
- Projected number of participants to be served.

The applicant may not assign, convey or transfer its rights to the grant award without the prior written consent of the State Board of Education.

**FINANCIAL TERMS**

8. Payment under this grant is subject to passage of a sufficient appropriation by the Illinois General Assembly or sufficient appropriation by the U.S. Congress for federal programs. Obligations of the State Board of Education will cease immediately without further obligation should the agency fail to receive sufficient state, federal, or other funds for this program.
9. An applicant must not obligate funds prior to the start date of the project set forth in the final Grant Agreement. The project's start date cannot precede the start of the fiscal year for which the funds are appropriated.  
All project activities must be completed between the project beginning date and the ending date (the "Term"). Liquidation of all obligations, including the current year's audit fee, should be completed no later than ninety (90) calendar days after the project ending date.
10. The applicant understands that payment for approved services and expenses will be made on a cash needs basis, and that payment will be made in accordance with applicable statutes, regulations, and standards after an application for payment is submitted to the State Board of Education. Vouchers for payment will be submitted to the Office of the Comptroller according to the payment schedule attached to the final Grant Agreement. The payment schedule shall be based on the projected date of expenditures. Payments will be withheld from scheduled amounts if expenditure reports show excess cash on hand.
11. An approved budget may be amended by completing the Budget Summary form to show the new amounts required and attaching an explanation for the changes. An amendment to the Grant Agreement must be entered into whenever any individual cell changes by more than \$1,000 or 20 percent, whichever is larger. An amendment to the Grant Agreement must also be entered into whenever an award recipient proposes to use funds for allowable expenditures not identified in the currently approved budget, if the scope of the project is expected to change, or if the overall grant award must be increased.
12. Obligation of funds for items or services based on amendments cannot be encumbered prior to the date of receipt at ISBE of a substantially approvable budget amendment provided the scope/intent of the approved project has not changed. If the scope/intent of a project changes based on an amendment, programmatic approval must be obtained prior to the obligation of funds based on the amendment. ISBE shall be the final determiner of whether an amendment changes the scope/intent of a project. The begin date of the project cannot precede the beginning of the fiscal year for which the funds are appropriated. Requests for budget amendments must be received by the State Board of Education no later than thirty (30) calendar days prior to the project ending date for which the amendment is being sought.
13. Funds granted for the operation of this project must be used exclusively for the purposes stated in the approved proposal/application and must be expended in accordance with the approved budget and the award recipient's policies and procedures related to such expenditures. Funds may only be expended or obligated for activities occurring during the Term.
  - (a) State funded grants: All grant funds and earned interest shall be subject to the Illinois Grant Funds Recovery Act (30 ILCS 705). Interest earned on State funded grant programs and grant funds not expended or obligated by the end of the Term, as well as interest earned after the Term has expired, must be returned to the Illinois State Board of Education within forty-five (45) calendar days following the end of the Term.
  - (b) Federally funded grants: Interest earned in excess of \$100 per year must be returned to the Illinois State Board of Education, with checks payable to the Illinois State Board of Education.

For-Profit award recipients shall not utilize grant funds in any manner for normal operating expenses or to generate a profit. The applicant certifies that notwithstanding any other provision of the application, proposal, or Grant Agreement, grant funds shall not be used and will not be used to provide religious instruction, conduct worship services, or engage in any form of proselytization.

14. The applicant, in compliance with the provisions of 30 ILCS 105/9.07, will not expend any funds received from the Illinois General Revenue Fund for promotional items including calendars, pens, buttons, pins, magnets, and any other similar promotional items.
15. Financial Reports: Quarterly expenditure reports are required of all award recipients receiving funds, unless otherwise specified in the program specific terms or the request for proposals. Quarterly reports must describe the progress of the project or use and the expenditure of the grant funds. The expenditure through dates to be used in reporting expenditures and obligations are from the project beginning date through September 30, December 31, March 31, and June 30 of each fiscal year and the project ending date. Those entities with established IWAS accounts with the Illinois State Board of Education, must electronically submit expenditure reports by the required due dates specified within the Grant Agreement. Those entities not enrolled in IWAS, must request paper expenditure report forms not later than twenty (20) calendar days before the due dates specified within the Grant Agreement to the Illinois State Board of Education. Expenditure reports are due twenty (20) calendar days after the expenditure through date. Failure to file the required reports within the timelines will result in a breach of the Grant Agreement. Upon any such breach, the State Board of Education may, without limitation, withhold the current year's payments and payments for future years' projects under the same program until the reports are properly filed.

All grant funds must be spent or obligated, and all activities must be completed prior to the project ending date. Each award recipient must submit a completion report showing the obligations and the expenditures for the project no later than twenty (20) calendar days after the project ending date.

If a completion report was filed through the project ending date and had no outstanding obligations, the completion report will be the award recipient's final expenditure report. Failure to submit this completion/final expenditure report will result in current and subsequent years' project funding being withheld until the report is received. In cases where final expenditures are less than total disbursements, the overpayment must be returned to the State Board of Education within forty-five (45) calendar days of the project ending date for all state grants or federal grants that do not expressly allow carryover funds. Failure to return the funds will result in a breach of the Grant Agreement. Upon any such breach, the State Board of Education may, without limitation, withhold current and subsequent years' project funding until the overpayment is returned.

If a completion report was filed with outstanding obligations, then a final expenditure report showing total project expenditures (with all prior obligations paid) must be submitted no later than ninety (90) calendar days after the project ending date. Failure to submit the final expenditure report will result in current and subsequent years' project funding being withheld until the report is received. In cases where final expenditures are less than total disbursements, the overpayment must be returned to the State Board of Education within

forty-five (45) calendar days from the date of first notice of the amount due for all state grants or federal grants that do not expressly allow carryover funds. Failure to return the funds will result in a breach of the Grant Agreement. Upon any such breach, the State Board of Education may, without limitation, withhold current and subsequent years' project funding until the overpayment is returned.

16. The award recipient will maintain records on project and fiscal activities related to each award for a period of three (3) years following the project ending date either for a state-funded or federally funded project. Such records shall include a fiscal accounting for all monies in accordance with generally accepted governmental accounting principles. If there are outstanding audit exceptions, records will be retained on file until such exceptions are closed out to the satisfaction of the State Board of Education.
17. The State Board of Education and other governmental entities with program monitoring authority shall, during the Term and for a period of three (3) years thereafter (or until no outstanding audit exceptions remain, whichever is later), have the right at any time to conduct on-site or off-site inspections of the award recipient's records and project operations for auditing and monitoring purposes. The award recipient shall, during the Term and for a period of three (3) years thereafter (or until no outstanding audit exceptions remain, whichever is later) and upon the request of the State Board of Education, provide the State Board of Education with information and documentation (including books, records, or papers related to the project) regarding the award recipient's progress or performance with respect to the administration and operation of the project.

#### **NO BINDING OBLIGATION**

18. The applicant acknowledges and agrees that the selection of its proposal for funding, or approval to fund an application, shall not be deemed to be a binding obligation of the State Board of Education until such time as a final Grant Agreement is entered into between the applicant and the State Board of Education. Prior to the execution of a final Grant Agreement, the State Board of Education may withdraw its award of funding to the applicant at any time, for any reason.

#### **COPYRIGHT**

19. All rights, including copyright to data, information and/or other materials developed pursuant to an award, are retained by the State Board of Education, unless otherwise agreed in writing by the State Board of Education. All such work products produced by the award recipient through work pursuant to the award shall be made available to the State Board of Education upon request.

#### **DEFAULT AND TERMINATION**

20. The award recipient will be in default of the grant award and the corresponding Grant Agreement if it breaches any representation or warranty made in the Grant Agreement, the Program Specific Terms or in these Certifications and Assurances, and Standard Terms of the Grant, or fails to observe or perform any covenant, agreement, obligation, duty or provision set forth in the Grant Agreement, the Program Specific Terms or in these Certifications and Assurances, and Standard Terms of the Grant. Upon default by the award recipient and written notification by the State Board of Education, the award recipient will have ten (10) calendar days in which to cure the default to the satisfaction of the State Board of Education. If the default is not cured to the satisfaction of the State Board of Education, the State Board of Education shall thereafter have full right and authority to terminate the Grant Agreement, and/or seek such other remedy that may be available at law or in equity. Upon termination of the Grant Agreement, the award recipient will cease all use of grant funds, shall cancel all cancelable obligations relating to the project, and shall return all unexpended grant funds to the State Board of Education within forty-five (45) calendar days of termination.

#### **INDEMNIFICATION**

21. To the fullest extent permitted by law, the award recipient shall indemnify, defend and hold harmless the State of Illinois, the State Board of Education, and their respective members, officers, agents and employees against all claims, demands, suits, liabilities, injuries (personal or bodily), property damage, causes of action, losses, costs, expenses, damages or penalties, including, without limitation, reasonable defense costs, reasonable legal fees, and the reasonable value of time spent by the Attorney General's Office, arising or resulting from, or occasioned by or in connection with (a) any bodily injury or property damage resulting or arising from any act or omission to act (whether negligent, willful, wrongful, or otherwise) by the award recipient, its subcontractors, subgrantees, volunteers, anyone directly or indirectly employed by them, or anyone for whose acts they may be liable; (b) failure by the award recipient or its subcontractors, subgrantees, or volunteers to comply with any laws applicable to the performance of the grant; (c) any breach of the Grant Agreement, including, without limitation, any representation or warranty provided by the award recipient herein; (d) any infringement of any copyright, trademark, patent, or other intellectual property right; or (e) the alleged unconstitutionality or invalidity of the Grant Agreement. Neither the award recipient nor its employees or subcontractors shall be considered agents or employees of the State Board of Education or of the State of Illinois.

If the applicant is a government unit only, it is understood and agreed that neither the applicant nor the State Board of Education shall be liable to each other for any negligent or wrongful acts, either of commission or omission, unless such liability is imposed by law.

#### **GENERAL CERTIFICATION AND ASSURANCES**

22. The applicant will obey all applicable state and federal laws, regulations, and executive orders, including without limitation: those regarding the confidentiality of student records, such as the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. 1232g) and the Illinois School Student Records Act (ISSRA) (105 ILCS 10/1 et seq.); those prohibiting discrimination on the basis of race, color, national origin, sex, age, or handicap, such as Title IX of the Amendments of 1972 (20 U.S.C. 1681 et seq.), the Illinois Human Rights Act (775 ILCS 5/1-101 et seq.), the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.), the Age Discrimination in Employment Act of 1967 (29 U.S.C. 621 et seq.), Titles VI and VII of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.,

- 2000e et seq.), the Public Works Employment Discrimination Act (775 ILCS 10/0.01 et seq.), and the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.); and the Illinois School Code (105 ILCS 5/1-1 et seq.). Further, no award recipient shall deny access to the program funded under the grant to students who lack documentation of their immigration status or legal presence in the United States (*Plyler v. Doe*, 457 U.S. 202, 102 S.Ct. 2382 (1982)).
23. The applicant is not barred from entering into this contract by Sections 33E-3 and 33E-4 of the Criminal Code of 1961 (720 ILCS 5/33E-3, 33E-4). Sections 33E-3 and 33E-4 prohibit the receipt of a state contract by a contractor who has been convicted of bid-rigging or bid-rotating.
  24. If the applicant is an individual, the applicant is not in default on an educational loan as provided in 5 ILCS 385/3.
  25. The applicant is not prohibited from receiving a grant award from the State of Illinois because it pays dues or fees on behalf of its employees or agents or subsidizes or otherwise reimburses them for payment of their dues or fees to any club which unlawfully discriminates (775 ILCS 25/1).
  26. The applicant certifies it has informed the State Superintendent of Education in writing if any employee of the applicant was formerly employed by the State Board of Education and has received an early retirement incentive under 40 ILCS 5/14-108.3 or 40 ILCS 5/16-133.3 (Illinois Pension Code). The applicant acknowledges and agrees that if such early retirement incentive was received, the Grant Agreement is not valid unless the official executing the agreement has made the appropriate filing with the Auditor General prior to execution.
  27. The applicant shall notify the State Superintendent of Education if the applicant solicits or intends to solicit for employment any of the State Board of Education's employees during any part of the application process or during the Term of the Grant Agreement.
  28. If applicable, the applicant shall be required to observe and comply with provisions of the Prevailing Wage Act, 820 ILCS 30/1 et seq., which applies to the wages of laborers, mechanics, and other workers employed in any public works.
  29. The applicant certifies that it is (a) current as to the filing and payment of any applicable federal, state and/or local taxes; and (b) not delinquent in its payment of moneys owed to any federal, state, or local unit of government.
  30. The applicant represents and warrants that all of the certifications and assurances set forth herein and attached hereto are and shall remain true and correct through the Term of the grant. During the Term of the grant, the award recipient shall provide the Illinois State Board of Education with notice of any change in circumstances affecting the certifications and assurances within ten (10) calendar days of the change. Failure to maintain all certifications and assurances or provide the required notice will result in the Illinois State Board of Education withholding future project funding until the award recipient provides documentation evidencing that the award recipient has returned to compliance with this provision, as determined by the State Board of Education.
  31. Any applicant not subject to Section 10-21.9 of the School Code certifies that a fingerprint-based criminal history records check through the Illinois State Police and a check of the Statewide Sex Offender Database will be performed for all of its (a) employees, (b) volunteers, and (c) all employees of persons or firms holding contracts with the applicant, who have direct contact with children receiving services under the grant; and such applicant shall not (a) employ individuals, (b) allow individuals to volunteer, or (c) enter into a contract with a person or firm who employs individuals, who will have direct contact with children receiving services under the grant who have been convicted of any offense identified in subsection (c) of Section 10-21.9 of the School Code (105 ILCS 5/10-21.9(c)) or have been found to be the perpetrator of sexual or physical abuse of any minor under 18 years of age pursuant to proceedings under Article II of the Juvenile Court Act of 1987 (705 ILCS 405/2-1 et seq.).
  32. Any applicant that does not have a calculated indirect cost rate from the Illinois State Board of Education or does not utilize their restricted indirect cost rate as calculated by the Illinois State Board of Education certifies that it has developed a written Cost Allocation Plan (CAP) that: (a) will be utilized in identifying the accumulation and distribution of any allowable administrative costs in the grant program; (b) identifies the allocation methods used for distributing the costs among programs; (c) requires support through records and documentation showing personnel time and effort information, and formal accounting records according to generally accepted governmental accounting principles; (d) requires the propriety of the charges to be substantiated; and (e) shall be made available, along with any records or supporting documentation for allowable administrative costs, for review upon ISBE's request.
  33. The applicants participating in a joint application hereby certify that they are individually and jointly responsible to the Illinois State Board of Education and to the administrative and fiscal agent under the grant. An applicant that is a party to the joint application, a legal entity, or a Regional Office of Education may serve as the administrative and/or fiscal agent under the grant.
  34. The entity acting as the fiscal agent certifies that it is responsible to the applicant or, in the case of a joint application, to each applicant that is a party to the application; it is the agent designated and responsible for reports and for receiving and administering funds; and it will:
    - (a) Obtain fully executed Certifications and Assurances, and Terms of the Grant forms from each entity or individual participating in the grant and return the forms to ISBE prior to award of the grant;
    - (b) Maintain separate accounts and ledgers for the project;
    - (c) Provide a proper accounting of all revenue from ISBE for the project;
    - (d) Properly post all expenditures made on behalf of the project;
    - (e) Be responsible for the accountability, documentation and cash management of the project, the approval and payment of all expenses, obligations, and contracts and hiring of personnel on behalf of the project in accordance with the Grant Agreement;
    - (f) Disburse all funds to joint applicants based on information (payment schedules) from joint applicants showing anticipated cash needs in each month of operation (The composite payment schedule submitted to ISBE should reflect monthly cash needs for the fiscal agent and the joint applicants.);
    - (g) Require joint applicants to report expenditures to the fiscal agent based on actual expenditures/obligation data and documentation. Reports submitted to ISBE should reflect actual expenditure/obligations for the fiscal agent and the data obtained from the joint applicants on actual expenditures/obligations that occur within project beginning and ending dates;

- (h) Be accountable for interest income earned on excess cash on hand by all parties to the grant and return applicable interest earned on advances to the Illinois State Board of Education;
  - (i) Make financial records available to outside auditors and Illinois State Board of Education personnel, as requested by the Illinois State Board of Education;
  - (j) Have a recovery process in place with all joint applicants for collection of any funds to be returned to ISBE; and
  - (k) Be responsible for the payment of any funds that are to be returned to the Illinois State Board of Education.
35. The applicant hereby assures that when purchasing core instructional print materials published after July 19, 2006, the applicant will ensure that all such purchases are made from publishers who comply with the requirements of 105 ILCS 5/28-21 which instructs the publisher to send (at no additional cost) to the National Instructional Materials Center (NIMAC) electronic files containing the contents of the print instructional materials using the NIMAS standard, on or before delivery of the print instructional materials. This does not preclude the district from purchasing or obtaining accessible materials directly from the publisher. For further information, see 105 ILCS 5/28-21 at <http://www.ilga.gov/legislation/ilcs/ilcs4.asp?DocName=010500050HArt%2E+28&ActID=1005&ChapAct=105%26nbsp%3BILCS%26nbsp%3B5%>.

#### DRUG-FREE WORKPLACE CERTIFICATION

36. This certification is required by the Drug Free Workplace Act (30 ILCS 580/1). The Drug Free Workplace Act, effective January 1, 1992, requires that no grantee or contractor shall receive a grant or be considered for the purposes of being awarded a contract for the procurement of any property or services from the State unless that grantee or contractor has certified to the State that the grantee or contractor will provide a drug-free workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract or grant payments, termination of the contract or grant, and debarment of contracting or grant opportunities with the State of Illinois for at least one (1) year but not more than five (5) years. For the purpose of this certification, "grantee" or "contractor" means a corporation, partnership, or other entity with twenty-five (25) or more employees at the time of issuing the grant, or a department, division, or other unit thereof, directly responsible for the specific performance under a contract or grant of \$5,000 or more from the State.

The applicant certifies and agrees that it will provide a drug-free workplace by:

- (a) Publishing a statement:
  - (1) Notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance, including cannabis, is prohibited in the grantee's or contractor's workplace.
  - (2) Specifying the actions that will be taken against employees for violations of such prohibition.
  - (3) Notifying the employee that, as a condition of employment on such contract or grant, the employee will
    - (A) Abide by the terms of the statement; and
    - (B) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) calendar days after such conviction.
- (b) Establishing a drug-free awareness program to inform employees about:
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's or contractor's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon an employee for drug violations.
- (c) Providing a copy of the statement required by subsection (a) to each employee engaged in the performance of the contract or grant and posting the statement in a prominent place in the workplace.
- (d) Notifying the contracting or granting agency with ten (10) calendar days after receiving notice under part (B) of paragraph (3) of subsection (a) above from an employee or otherwise receiving actual notice of such conviction.
- (e) Imposing a sanction on, or requiring the satisfactory participation in a drug abuse assistance or rehabilitation program by, any employee who is so convicted, as required by Section 5 of the Drug Free Workplace Act.
- (f) Assisting employees in selecting a course of action in the event drug counseling, treatment, and rehabilitation are required and indicating that a trained referral team is in place.
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of the Drug Free Workplace Act

The undersigned affirms, under penalties of perjury, that he or she is authorized to execute this Certifications and Assurances and Standard Terms of the Grant on behalf of the applicant. Further, the undersigned certifies under oath that all information in the grant agreement is true and correct to the best of his or her knowledge that grant funds shall be used only for the purposes described in this agreement, and that the award of this grant is conditioned upon this certification.

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*Signature of Authorized Official*

---

*Title*

---

*Date*

---

*Name of Authorized Official (Type or Print)*

**GEPA 442 Assurances – Federal Funded Grants**

*(Insert Applicant's Name Here)*

The following assurances cover participation by the local educational agency (LEA) identified below in all programs under which Federal funds are made available to such LEA through ISBE, and which require an application under Section 442 of the General Education Provisions Act (GEPA) (20 U.S.C.A. § 1232e) (collectively, "Programs", and each, a "Program").

The applicant/award recipient (hereinafter the term applicant includes award recipient as the context requires), hereby certifies and assures the Illinois State Board of Education that:

1. Applicant is a(n): *(Check one)*

- Individual     Corporation     Partnership     Unincorporated association     Government entity

Social Security Account Number, Federal Employer Identification Number or Region/County/District /School Code, as applicable: \_\_\_\_\_

2. The applicant has the necessary legal authority to apply for and to receive the proposed award. The filing of this application has been authorized by the governing body of the applicant, and the undersigned representative has been duly authorized to file this application for and in behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application and any award in relation thereto.

**DEFINITIONS**

"Applicant" means an individual, entity or entities for which grant funds may be available and has made application to the Illinois State Board of Education for an award of such grant funds.

"LEA" means the local education agency.

"Project" means the activities to be performed for which grant funds are being sought by the applicant.

I hereby certify, on behalf of the LEA identified below, all of the following with respect to the Programs:

1. The LEA will administer each Program in accordance with all applicable statutes, regulations, program plans, and applications;
2. The control of funds provided to the LEA under each Program and title to property acquired with those funds, will be in a public agency and that a public agency will administer those funds and property;
3. The LEA will use fiscal control and fund accounting procedures that will ensure proper disbursement of, and accounting for, Federal funds paid to that agency under each Program. The LEA's administration and expenditure of Program funds shall be in accordance with all applicable requirements of the Education Department General Administrative Regulations (EDGAR), the cost principles contained in 2 CFR 225 (OMB Circular A-87), OMB Circular A-102, and OMB Circular A-133;
4. The LEA will make reports to ISBE and to the Secretary as may reasonably be necessary to enable ISBE and the Secretary to perform their duties and meet federal reporting requirements, and the LEA will maintain such records, including the records required under Section 1232f of Title 20-Education, and provide access to those records, as ISBE or the Secretary deem necessary to perform their duties;
5. The LEA will provide reasonable opportunities for the participation by teachers, parents, and other interested agencies, organizations, and individuals in the planning for and operation of each Program;
6. Any application, evaluation, periodic program plan or report relating to each Program will be made readily available to parents and other members of the general public;
7. In the case of any Program project involving construction: (A) the project will comply with State requirements for the construction of school facilities; and (B) in developing plans for construction, due consideration will be given to excellence of architecture and design and to compliance with standards prescribed by the Secretary under section 794 of Title 29 in order to ensure that facilities constructed with the use of Federal funds are accessible to and usable by individuals with disabilities;
8. The LEA has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each Program significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects; and
9. None of the funds expended under any applicable Program will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.

\_\_\_\_\_  
Name of Applicant

By: \_\_\_\_\_  
Date Signature of Authorized Official Title

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION  
LOWER TIER COVERED TRANSACTIONS**

This certification is required by the regulations implementing Executive Orders 12549 and 12689, Debarment and Suspension, 2 CFR 417 Subpart C Responsibilities of Participants Regarding Transactions. The regulations were published in the May 25, 2010 Federal Register (pages 29183-29189). Copies of the regulations may be obtained by contacting the Illinois State Board of Education.

**BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS BELOW.**

**CERTIFICATION**

The prospective lower tier participant certifies, by submission of this Certification, that:

- (1) Neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency;
- (2) It will provide immediate written notice to whom this Certification is submitted if at any time the prospective lower tier participant learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances;
- (3) It shall not knowingly enter any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated;
- (4) It will include the clause titled *Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions*, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions;
- (5) The certifications herein are a material representation of fact upon which reliance was placed when this transaction was entered into; and
- (6) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this Certification.

\_\_\_\_\_  
*Organization Name*

\_\_\_\_\_  
*PR/Award Number or Project Name*

\_\_\_\_\_  
*Name of Authorized Representative*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Original Signature of Authorized Representative*

\_\_\_\_\_  
*Date*

**Instructions for Certification**

- 1. By signing and submitting this Certification, the prospective lower tier participant is providing the certifications set out herein.
- 2. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue all available remedies, including suspension and/or debarment.
- 3. Except for transactions authorized under paragraph 3 above, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue all available remedies, including suspension and/or debarment.
- 4. The terms *covered transaction*, *debarred*, *suspended*, *ineligible*, *lower tier covered transaction*, *participant*, *person*, *primary covered transaction*, *principal*, *proposal*, and *voluntarily excluded*, as used herein, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549 and Executive Order 12689. You may contact the person to which this Certification is submitted for assistance in obtaining a copy of those regulations.
- 5. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the "GSA Excluded Parties List System" at <http://epls.arnet.gov/>.
- 6. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required herein. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

**ILLINOIS STATE BOARD OF EDUCATION**  
100 North First Street  
Springfield, IL 62777-0001

**CERTIFICATE REGARDING LOBBYING**

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit ISBE 85-37, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
*Organization Name*

\_\_\_\_\_  
*PR/Award Number or Project Name*

\_\_\_\_\_  
*Name of Authorized Representative*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Original Signature of Authorized Representative*

\_\_\_\_\_  
*Date*

**DISCLOSURE OF LOBBYING ACTIVITIES**

**Directions:** Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352. (See reverse for public burden disclosure.)

1. TYPE OF FEDERAL ACTION

a. Contract     b. Grant     c. Cooperative agreement     d. Loan     e. Loan guarantee     f. Loan insurance

2. STATUS OF FEDERAL ACTION

a. Bid/offer/application     b. Initial award     c. Post-award

3. REPORT TYPE

a. Initial filing     b. Material change     For material change only: \_\_\_\_\_ Year \_\_\_\_\_ Quarter \_\_\_\_\_ Date of last report

4. NAME AND ADDRESS OF REPORTING ENTITY

Prime     Subawardee, Tier \_\_\_\_\_, if known \_\_\_\_\_ Congressional District, if known

5. IF REPORTING ENTITY IN NO. 4 IS SUBAWARDEE, ENTER NAME AND ADDRESS OF PRIME

\_\_\_\_\_ Congressional District, if known

6. FEDERAL DEPARTMENT/AGENCY

7. FEDERAL PROGRAM NAME/DESCRIPTION

\_\_\_\_\_ CFDA Number, if applicable

8. FEDERAL ACTION NUMBER, if known

9. AWARD AMOUNT, if known

\$ \_\_\_\_\_

10a. NAME AND ADDRESS OF LOBBYING ENTITY  
(If individual, last name, first name, MI)

b. INDIVIDUALS PERFORMING SERVICES  
(Including address if different from No. 10a) (last name, first name, MI)

**(Attach Continuation Sheet(s) ISBE 85-37A, if necessary)**

11. AMOUNT OF PAYMENT (check all that apply)

\$ \_\_\_\_\_     Actual     Planned

12. FORM OF PAYMENT (check all that apply)

a. Cash     b. In-kind; specify: nature \_\_\_\_\_ value \_\_\_\_\_

13. TYPE OF PAYMENT (check all that apply)

a. Retainer     b. One-time fee     c. Commission  
 d. Contingent fee     e. Deferred     f. Other, specify \_\_\_\_\_

14. Brief description of services performed or to be performed and date(s) of service, including officer(s), employee(s), or member(s) contacted, for payment indicated in item 11.

15.  YES     NO    CONTINUATION SHEET(S), ISBE 85-37A ATTACHED

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

ORIGINAL SIGNATURE

PRINT NAME OR TYPE

TITLE

TELEPHONE NUMBER

DATE

**INSTRUCTIONS FOR COMPLETION OF  
ISBE 85-37, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. Section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the ISBE 85-37A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001".
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial(MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not an ISBE 85-37A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

*Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.*

**ILLINOIS STATE BOARD OF EDUCATION**  
100 North First Street  
Springfield, Illinois 62777-0001

**CONTINUATION SHEET**  
**DISCLOSURE OF LOBBYING ACTIVITIES**

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REPORTING ENTITY

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ILLINOIS STATE BOARD OF EDUCATION  
100 North First Street  
Springfield, Illinois 62777-0001

NOTICE TO ALL APPLICANTS REGARDING

SECTION 427 OF THE GENERAL EDUCATION PROVISIONS ACT (GEPA)

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DISTRICT NAME AND NUMBER

REGION, COUNTY, DISTRICT, TYPE CODE

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Section 427 of GEPA affects all school districts submitting proposals under this program. This section requires each applicant to include in its proposal a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted program for students, teachers and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. The applicant should determine whether these or other barriers may prevent students, teachers, etc., from such access to, or participation in, the federally funded project or activity. The description of steps to be taken to overcome these barriers need not be lengthy; the school district may provide a clear and succinct description of how it plans to address those barriers that are applicable to its circumstances. In addition, the information may be provided in a single narration, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of the civil rights statutes, but rather to ensure that, in designing their programs, applicants for federal funds address equity concerns that may affect the ability of certain beneficiaries to fully participate in the program and to achieve high standards. Consistent with **SCHOOL IMPROVEMENT GRANT - SECTION 1003(g) TIER I AND II** requirements and its approved proposal, an applicant may use the federal funds awarded to it to eliminate barriers it identifies.

**Describe the steps that will be taken to overcome barriers to equitable program participation of students, teachers, and other beneficiaries with special needs.**

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

**FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA)**

DISTRICT NAME AND NUMBER/AGENCY/INSTITUTION NAME			REGION, COUNTY, DISTRICT, TYPE CODE
FISCAL YEAR <b>14</b>	SOURCE OF FUNDS CODE <b>4339-14</b>	DUNS (9 digit number)**	PROGRAM NAME

The Federal Funding Accountability and Transparency Act (P.L. 109-282, as amended by section 6202(a) of P.L. 110-252) requires a Prime Awardee, such as a State agency, to report an award of \$25,000 or more made to a subrecipient as of October 1, 2010.

To fulfill reporting requirements, provide a brief but succinct description of how the funding you receive will support your activities and actions to meet the purpose and goals of your Federal grant. If there are multiple funding actions, please provide a description for each funding action.

Example of project description: Funds will be used for professional development to train teachers in the use of technology to improve instruction and make Adequate Yearly Progress. In addition, funds will be used to recruit and retain highly-qualified teachers.

**Project Description\*:** (255 maximum characters used)

**Agency's Annual Gross Revenues\*:**

Yes  No In the previous fiscal year, did your organization (including parent organizations, all branches, and all affiliates worldwide) receive (1) 80 percent or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements; **AND** (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements? Please select the Yes check box only if both (1) and (2) are answered affirmatively.

Please provide the names and the total compensation package (using the preceding fiscal year's compensations of the top 5 highest paid individuals within your organization, regardless of the funding source\*). [ftp://help.isbe.net/webapps/eGMS/2011/FFATA\\_Fed\\_Regis\\_7\\_8\\_2010.pdf](ftp://help.isbe.net/webapps/eGMS/2011/FFATA_Fed_Regis_7_8_2010.pdf)

NAME	TOTAL COMPENSATION
1.	
2.	
3.	
4.	
5.	

\* Required Field      \*\* If you do not have a DUNS number, please contact Dun & Bradstreet at [fedgov.dnb.com/webform](http://fedgov.dnb.com/webform)