



# **School Improvement Grant, Cohort 4 Fiscal Years 2014, 2015, and 2016 New Awards Competition**

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## **Local Educational Agency Request for Applications Walk-through**

**Presented by:  
California Department of Education  
School Turnaround Office**



**TOM TORLAKSON**  
State Superintendent  
of Public Instruction

# Agenda

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- Submission Requirements
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- Section IV: Implementation Charts
- Section V: Budgets
- Questions



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# Brief Overview: Acronyms and Initialisms

- U.S. Department of Education (**ED**)
- California Department of Education (**CDE**)
- School Improvement Grant (**SIG**)
- Request for Applications (**RFA**)
- Local Educational Agency (**LEA**)
- Fiscal Year (**FY**)
- California State-determined Intervention Model (**CA SDIM**)
- California Assessment of Student Performance and Progress (**CAASPP**)



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# Brief Overview (Cont.): What is the School Improvement Grant?

- School Improvement Grants (SIG), authorized under Section 1003(g) of the Elementary and Secondary Education Act, are federal grants that state educational agencies use to make competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to substantially raise the performance and progress of students in their lowest-performing schools



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## **Brief Overview (Cont.): Funding Amount Available**

- While the SIG is not one of the programs authorized in the Every Student Succeeds Act, Fiscal Years (FYs) 2014, 2015, and 2016 funds appropriated by Congress are available for SIG awards until 2021
- Approximately \$173 million is available to make new awards in California



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# Brief Overview (Cont.): Who Can Apply?

- LEAs with Tier I and Tier II schools on the newly generated Cohort 4 List of Eligible Schools are eligible to apply for the FYs 2014, 2015, and 2016 SIG funds.
- California will not run a competition for Tier III schools until all LEA applications to serve Tier I or Tier II schools are funded.
- Schools currently served with FY 2012 Cohort 2 Year 4 Continuation or FY 2013 Cohort 3 SIG funds are not eligible for FYs 2014, 2015, and 2016 SIG funding.



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# Brief Overview (Cont.): New Program Requirements: Fiscal Year 2014 SIG Final Requirements

- **Seven Intervention Models**
  - Four existing Models: Transformation, Turnaround, Restart, and Closure
  - Three new Models: Early Learning; Evidence-based, Whole-school Reform; and the California State-determined Intervention Model (CA SDIM)



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# Brief Overview (Cont.): New Program Requirements: Fiscal Year 2014 SIG Final Requirements

- **Five-year Awards**
  - Optional planning and sustainability years
  - Must implement three continuous years of full implementation
- **Rural School Flexibility**
  - May modify one element of the Transformation or Turnaround Model to support implementation



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# Brief Overview (Cont.): California State-determined Intervention Model

- A Whole-school Reform Model that reflects California stakeholder feedback
- Opportunity to pilot intervention strategies and partner for success:
  - Local County Office of Education;
  - Regional System of District and School Support Lead County Office of Education; or
  - The California Collaborative for Education Excellence



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# Brief Overview (Cont.): California State-determined Intervention Model

- Must select the grant option to implement the planning year
- A full description of the CA SDIM is included in **Appendix C** of the SIG Cohort 4, Fiscal Years 2014, 2015, and 2016, LEA RFA



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# Application Timeline

- LEA SIG applications are due to the California Department of Education (CDE) **before 4 p.m. on or before September 8, 2016**
- The SIG Readers' Conference conducted by the CDE to evaluate LEA RFAs will occur during **the week of September 19, 2016**
- Grant Award Notification letters will be sent to awarded LEAs **in the Fall 2016**



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# Submission Requirements

- A complete RFA packet includes:
  - The LEA RFA with original signatures required as noted on each application form;
  - Implementation Charts for each school site the LEA applies to serve; and
  - Budgets for the LEA and each school site the LEA applies to serve



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# Submission Requirements (Cont.)

- To assist the LEA in submitting a complete application, the CDE has provided an application checklist, included as **Appendix D** of the SIG Cohort 4, Fiscal Years 2014, 2015, and 2016, LEA RFA
- LEAs should compile the application packet in the order provided on the checklist **and** include the completed checklist in the application packet.



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# Submission Requirements (Cont.)

- Applicants must submit an original copy, three hard copies, and one electronic Microsoft Word 2013, or later, copy (all single spaced in 12 point Arial font using one-inch margins) of the RFA
- Implementation Charts and Budgets must be formatted in Microsoft Excel 2013, or later



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# Submission Requirements (Cont.)

- Mailed documents must arrive on or before the **September 8, 2016**, deadline to the following address:

**California Department of Education  
Improvement and Accountability Division  
School Turnaround Office  
1430 N Street, Suite 6208  
Sacramento, CA 95814-5901**

- Electronic documents should be e-mailed to the School Turnaround Office at [STO@cde.ca.gov](mailto:STO@cde.ca.gov)



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# Scoring

- The CDE has provided a SIG rubric that describes expectations for LEA responses to each element and other requirements of the RFA
- The Application Scoring Sheet is included in **Appendix E** and the SIG rubric is included as **Appendix F** of the RFA
- The Application Scoring Sheet and SIG rubric will be used as a guide for reviewers during the application review and scoring process



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# Scoring (Cont.)

- **Helpful Hint:** The LEA is advised to thoroughly review and use the SIG rubric for specific detail when developing and completing each scored section of its RFA
- An application that receives a rating of inadequate on any required element may not be recommended for funding
- **Competitive preference** will be given to those applicants that elect to implement, in any one of the schools identified in its RFA, the CA SDIM and/or a planning year



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# Section I: Introduction

## Application Cover Sheet

Element includes the following:

- Primary grant coordinator's contact information
- Check boxes for Certifications and Assurances
- The superintendent or designee signature



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# Section I: Introduction (Cont.)

## Schools To Be Served

- List each eligible school the LEA is applying to serve
- Identify the Intervention Model
- Include the National Center for Education Statistics (NCES) Identification Number
- Indicate which schools elect to have a planning year

## Waiver

- Schoolwide program waiver



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# Section I: Introduction (Cont.)

## Executive Summary

- The LEA must provide a brief summary of each school it is applying to serve. At a minimum, the Executive Summary should include:
  - Student/teacher/leadership characteristics;
  - Community and parent engagement; and
  - School and community climate
- **One page limit per identified school**



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## Section II: Descriptive Information (Cont.)

- Needs Assessment
- Meaningful Engagement with Families and the Community
- Demonstration of Capacity
- Recruitment, Screening, Selection of Charter School Operators and External Service Providers
- Alignment of Resources
- Modify LEA Practices/Policies
- Effective Oversight and Support for Implementation
- Sustaining the Reforms
- LEA Monitoring of School Implementation



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# Section II: Descriptive Information (Cont.)

## Needs Assessment

- Must include descriptions of the following:
  - Assessment instruments used;
  - Process of analysis (include significant subgroups and family and community involvement);
  - Summary of findings; and
  - Rationale for selection of the intervention model



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# Section II: Descriptive Information (Cont.)

## Needs Assessment

- **Helpful Tips:**
  - Review all intervention model requirements in the March 2015 Guidance on School Improvement Grants on the ED Programs Web site located at <http://www2.ed.gov/programs/sif/sigguidance032015.doc>



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# Section II: Descriptive Information (Cont.)

## Needs Assessment

- **Helpful Tips (Cont.):**
  - Descriptions of six of the seven intervention models begin in Section B of the March 2015 Guidance on School Improvement Grants
  - A full description of the CA SDIM is included in **Appendix C** of the SIG Cohort 4, FYs 2014, 2015, and 2016, LEA RFA



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# Section II: Descriptive Information (Cont.)

## Meaningful Engagement with Families and the Community

- The LEA must describe how it will meaningfully engage families and the community in the implementation of the selected intervention model on an ongoing basis



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# Section II: Descriptive Information (Cont.)

## Demonstration of Capacity

- Provide an analysis of the LEA's readiness to implement, fully and effectively, the intervention models it has selected for each school site
- If applicable, describe known implementation challenges or barriers, and how the LEA will overcome those barriers and challenges



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# Section II: Descriptive Information (Cont.)

## Recruitment, Screening, and Selection of Charter School Operators

- Charter School Operators (CSO), charter management organizations (CMO), and education management offices (EMO)
- Required if the LEA chooses to implement the Restart Model
- Recruitment, screening, and selection of a CSO requires a rigorous review process
- See Section I(b). Restart of the SIG final requirements for a full explanation of the “rigorous review process” requirements is located at <https://www.gpo.gov/fdsys/pkg/FR-2015-02-09/pdf/2015-02570.pdf>



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# Section II: Descriptive Information (Cont.)

## Recruitment, Screening, and Selection of External Service Providers

- Required if the LEA chooses to contract with an external service provider
- Recruitment, screening, and selecting external service providers entails ensuring quality of their services and regular reviews to hold providers accountable for their performance



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# Section II: Descriptive Information (Cont.)

## Alignment of Resources

- Identify all available resources that will be used to support SIG implementation
- Describe the LEA's process for ensuring coordination with SIG funding to maximize resources



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# Section II: Descriptive Information (Cont.)

## Modification of Practices/Policies

- Identify practices and policies that inhibit full implementation
- Describe process for revision of practices and policies
- Include description of proposed revision



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# Section II: Descriptive Information (Cont.)

## Effective Oversight and Support for Implementation

- Describe plan to provide and maintain effective oversight and support
- Description must include:
  - LEA roles and responsibilities;
  - Timelines for focused analysis of implementation data; and
  - Modifications



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# Section II: Descriptive Information (Cont.)

## Sustaining the Reforms

- Describe how the LEA will sustain the reforms after the SIG funding period ends



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# Section II: Descriptive Information (Cont.)

## LEA Monitoring of School Implementation

- LEAs must regularly monitor and measure progress on the following:
  - Annual goals for student performance and progress; and
  - Nine leading indicators



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# Section III: Annual Student Performance and Progress Goals

**Element includes the following forms:**

- **SIG Form 1a**—Annual Student Performance and Progress Goals: Reading/English Language Arts
- **SIG Form 1b**—Annual Student Performance and Progress Goals: Mathematics

# Section III: Annual Student Performance and Progress Goals (Cont.)



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**Create goals that are measurable, realistic, time-bound, and that:**

- Reflect achievement gaps among all significant subgroups of students at each grade level;
- Use multiple measures for assessing student performance and progress, including the California Assessment of Student Performance and Progress (CAASPP); and
- Clearly align with the results of the SIG Needs Assessment



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# Section IV: Implementation Charts

**Element includes the following form:**

- **SIG Form 2—Implementation Charts**
  - An implementation chart is a detailed description of activities that address all of the required components of the chosen intervention model
  - The LEA must complete one Implementation Chart for each eligible school the LEA commits to serve
  - If applicable, complete a separate implementation chart for the planning year

# Section IV: Implementation Charts (Cont.)



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**Form 2c–Transformation Implementation Chart for a Tier I or Tier II School**

**LEA:**

**Date:**

**School:**

Required Component	Strategy/Evidence-based Strategy	Start & End Dates (MM/YYYY)	Oversight	Description of Evidence
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**TF 01: Replace the principal who led the school prior to the commencement of the transformation model.**

<b>Principal Replacement*</b>				
<b>Principal name</b>				
<b>Hire date</b>				

\*LEAs that retain a principal hired within the last 2 years should be able to demonstrate that: (1) the prior principal in the school at issue was replaced as part of a broader reform effort, and (2) the new principal has the experience and skills needed to successfully implement a turnaround, restart, or transformation model.

# Section IV: Implementation Charts (Cont.)



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All **SIG Form 2**—Implementation Charts can be found on the CDE SIG Web page located at <http://www.cde.ca.gov/sp/sw/t1/sig09.asp>.

- Form 2a—Planning and Other Pre-Implementation Activities (if applicable)
- Form 2b—California State-determined Implementation Chart
- Form 2c—Turnaround Implementation Chart
- Form 2d—Transformation Implementation Chart
- Form 2e—Restart Implementation Chart
- Form 2f—Closure Implementation Chart
- Form 2g—Early Learning Intervention Implementation Chart
- Form 2h—Evidence-based, Whole-school Reform Implementation Chart
- Form 2i—Implementation Chart(s) Tier III School Summary



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# Section V: Budgets

## Element includes the following form:

- **SIG Form 3**—LEA and School Budgets
- The LEA must demonstrate that it has the capacity to use SIG funds to provide adequate resources and related support for each Tier I and Tier II school identified in the LEA's application in order to implement, fully and effectively, all required components of the school intervention model(s) it has selected on the first day of the first school year of full implementation



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## Section V: Budgets (Cont.)

- The LEA must provide:
  - A budget that indicates the proposed amount of school improvement funds the LEA will use in each SIG school that it commits to serve; and
  - Conduct LEA-level activities designed to support SIG implementation
- Each budget should cover all years of implementation and be of sufficient size and scope to implement the selected school intervention model in each Tier I and Tier II school that the LEA commits to serve



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## Section V: Budgets (Cont.)

- Budget may include up to one full academic year for planning activities and up to two full years to support sustainability activities
- An LEA may not receive more than five years of SIG funding to serve a single school
- An LEA's budget for each year may not exceed the number of Tier I, Tier II, and Tier III schools it commits to serve multiplied by \$2 million



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## Section V: Budgets (Cont.)

- LEAs may request a minimum of \$50 thousand and a maximum \$2 million per school, per year, for each of their eligible Tier I and Tier II schools. The total five year grant cannot exceed \$10 million per school
- As the LEA is preparing the proposed budget, it should take into account the activities proposed by the LEA, the number of schools being served, and the SIG requirements
- Funding levels should reflect the LEA's best estimate of the projected cost of implementing the selected intervention strategy



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## Section V: Budgets (Cont.)

- LEAs must include a separate budget for each eligible school the LEA commits to serve, and an LEA level budget
- LEA and school site budgets **must address each year** of the grant
- The LEA Budget Summary **forms may not be modified** or broken down further than the object codes provided (e.g., 1000, 2000, 3000, etc.)



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# Section V: Budgets (Cont.)

## Helpful Tips:

- When developing its budget, the LEA should request not more than **10 percent** of its total proposed award for planning and/or pre-implementation activities
- Sustainability year(s) should be **significantly less than** the \$2 million, per school, per year that an LEA is eligible to receive



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# Links and Reminders

## Prior to starting the SIG Application:

- Review the Final Requirements for School Improvement Grants located at <https://www.gpo.gov/fdsys/pkg/FR-2015-02-09/pdf/2015-02570.pdf>
- Review the Guidance on School Improvement Grants located on the ED Program Web page at <http://www2.ed.gov/programs/sif/sigguidance032015.doc> for your specific intervention model
- NCES numbers located on the NCES Data Tools Web page at <http://nces.ed.gov/datatools/index.asp>)



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# Questions



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