



# SIG COHORT 5 GUIDANCE FY20

Processes & Procedures



## FY20 SIG Cohort 5

This is a unique 2-year opportunity for funds to implement whole school reform. Select from Transformation, Turnaround, Early Learning or an Evidence Based Whole School Reform Models. **The grant is highly competitive** and will fund up to 10-12 schools. Grant allocations between \$50,000 and \$400,000 depending on school size, model chosen, demonstrated needs and Integrated Action Plans. CSI Funds will be available for a year 3 sustainability grant for schools who have successfully implemented dramatic improvements in year 1 and 2.

### Purpose

The purpose of the 1003(g) School Improvement Grant (SIG) is to provide 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 raise substantially the achievement of students in their lowest-performing schools. This is a unique 2-year opportunity for funds to implement whole school reform; selecting from the following models: Transformation, Turnaround, Early Learning or an Evidence Based Whole School Reform Model.

### Eligible Applicants

*CSI Low achievement schools that were not previously funded in SIG cohorts 1, 2, 3, or 4. Note: SIG is different than CSI school improvement grants.*

*Grant awards will not be made to Local Education Agencies (LEAs) that are out of compliance with state or federal requirements, fiscal or programmatic.*

### Process

**This is a rigorous competitive grant.**

1. A letter of intent is required from the LEA. It must be submitted to Trish Geraghty, Director, Support and Innovation [trish.geraghty@azed.gov](mailto:trish.geraghty@azed.gov) no later than **February 15, 2019**. The letter must include statement of intent to apply for the SIG grant, the schools that will be included and the LEA's and schools' statement of commitment to implement whole school reform dedicated to quick turnaround improvement.

2. Application completion with all required documents and evidence in GME by **May 1, 2019** is required. Additional inquiries from ADE will **not** be made.
  - a. Required Documents
    - i. Signature page
  - b. Optional Documents
    - i. Completed program details charts/graphs/tables necessary to answer the narrative questions.
3. The application will be scored using the scoring rubric provided.
4. Awards will be made based on the scored applications and the demonstrated capacity and commitment to implement the selected model.
5. LEAs will be notified of award or non-award by June 15, 2019.

## **DIRECTIONS**

LEA and School teams collaborate to write a strong, detailed application, provide all required documents, provide evidence of compliance, if necessary, and check and sign assurances.

- a. LEA's assigned specialist is available for assistance.
- b. Use the rubric when completing application narrative questions.

### **Complete all sections in GME**

#### **Program Details**

- FFATA and GSA Verification
- Contact Information
- Program Narrative Questions
- Assurances
- Related Documents
  - Signature Page in required related documents (required)
  - Graphs, tables and charts necessary for a complete application (optional, as needed)
  - Evidence based summary form (if applicable)
- Completed new 2019-20 CNA uploaded in ALEAT
- Thorough root cause analyses (fishbones) for primary needs identified in the 2019-20 CNA uploaded in ALEAT
- Completed 2019-20 LEA and School IAP in ALEAT

#### **Proposed Budget**

- Complete a *proposed* budget in GME. Be sure to include sufficient details in the narrative.
- Items must support strategies and action steps based on the model being implemented and applicable CNA data and root cause analyses

## TIMELINE



## Assurances

- Complete and submit School Comprehensive Needs Assessment (CNA) in ALEAT
- Complete thorough root cause analyses for CNA identified primary needs, submit fishbones in ALEAT
- Develop LEA and School Integrated Action Plans (L/SIAP) as required based on the selected model and the CNA and root cause analyses results, submitted in ALEAT
- Ensure the L/SIAP includes meaningful evidence-based interventions to improve student achievement
- Ensure sustainability strategies and action steps are included in the IAP
- Monitor, update, delete, retire or add strategies and action steps to the L/SIAP in ALEAT at least quarterly
- Ensure systems, processes, procedures, including operational flexibility are in place to actively to support SIG Schools
- Implement observation and feedback protocol with fidelity
- Submit quarterly interim/benchmark assessment data reports and reflective analysis in ALEAT
- Identify an LEA contact person who will oversee implementation activities, maintain contact with Support and Innovation (SI) staff, and accompany ADE SI staff during site visits at the school upon request
- Complete and submit EDFacts data when requested by ADE
- If the LEA chooses an educational service provider (external provider) the LEA representative will provide ADE SI with a copy of the process for selecting external providers, job description and evaluation of educational service provider services
- Submit LEA and budget revisions for approval **prior** to implementation or spending funds differently than in approved budget
- Ensure all expenditures are allowable under 1003(g)
- Submit monthly reimbursement requests
- Ensure LEA has written procedures to implement the requirement to minimize the time elapsing between receipt and expenditure of federal funds.
- Ensure LEA has written procedures for determining the allowability of costs

- Ensure LEA has a process ensuring equitable distribution of state funds to all schools regardless of other funding received
- I understand that at any time during the grant period, funds can be frozen or forfeited for lack of monthly reimbursement requests with evidence of use; misuse of funds; or lack of evidence of IAP implementation on the part of the school and/or LEA.
- I understand if the conditions herein are not adhered to or sufficient progress is not being made, a corrective action plan will be written and implemented.

## Intervention Models

### 1. Transformation:

- replace the principal (no requirement for staff replacement)
- provide job-embedded professional development
- implement transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement
- implement comprehensive instructional reform
- extend learning and teacher-planning time
- create a community-orientation
- provide operating flexibility and provide sustained support

### 2. Turnaround:

- replace the principal
- rehire no more than 50 percent of the school's staff
- Provide operating flexibility for principal
- provide job-embedded professional development
- implement an evidence-based, aligned instructional program
- extend learning and teacher planning time
- create a community-orientation

### 3. Early Learning Model:

- Implement each of the following early learning strategies:
  - Offer full-day kindergarten;
  - Establish or expand a high-quality preschool program;

- Provide educators, including preschool teachers, with time for joint planning across grades to facilitate effective teaching and learning and positive teacher–student interactions
- Replace the principal who led the school prior to commencement of the early learning model (unless new within 2 years).
- Implement rigorous, transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement, that is required under the transformation model
- Use the teacher and principal evaluation and support system to identify school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so
- Use data to identify and implement an instructional program that (a) is evidence-based, developmentally appropriate, and vertically aligned from one grade to the next, as well as aligned with state early learning and development standards and state academic standards and (b) in the early grades, promotes the full range of academic content across domains of development, including math and science, language and literacy, socio-emotional skills, self-regulation, and executive functions
- Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction to meet the educational and developmental needs of individual students
- Provide staff ongoing, high-quality, job-embedded professional development such as coaching and mentoring (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies

#### **4. Evidenced-based Whole-School Reform Model:**

Must:

- Implement a model that includes a sample population or setting similar to the population or setting of the school to be served
- Improve student academic achievement or attainment
- Be implemented for all students in a school

Address, at a minimum, each of the following:

- School leadership
- Teaching and learning in at least one full academic content area
- Student non-academic support
- Family and community engagement

**An evidence-based, whole-school reform model must have strong or moderate evidence as defined by ESSA.**

- **Strong evidence** from at least one well-designed and well implemented experimental study.

- Experimental studies have demonstrated that the intervention improves a relevant student outcome (e.g., reading scores; attendance rates).
- Experimental studies (e.g., Random Control Trials) are those in which students are randomly assigned to treatment or control groups, allowing researchers to speak with confidence about the likelihood that an intervention causes an outcome.
- Well-designed and well implemented experimental studies meet the What Works Clearinghouse (WWC) evidence standards without reservations.
- The research studies use large, multi-site samples.
- No other experimental or quasi-experimental research shows that the intervention negatively affects the outcome.
- Researchers have found that the intervention improves outcomes for the specific student population that the district or school intends to support with the intervention.
- **Moderate evidence** from at least one well-designed and well implemented quasi-experimental study.
  - Quasi-experimental studies have found that the intervention improves a relevant student outcome (e.g., reading scores, attendance rates).
  - Quasi-experimental studies (e.g., Regression Discontinuity Design) are those in which students have not been randomly assigned to treatment or control groups, but researchers are using statistical matching methods that allow them to speak with confidence about the likelihood that an intervention causes an outcome.
  - Well-designed and well implemented quasi-experimental studies meet the What Works Clearinghouse (WWC) evidence standards with reservations.
  - The research studies use large, multi-site samples.
  - No other experimental or quasi-experimental research shows that the intervention negatively affects the outcome.
  - Researchers have found that the intervention improves outcomes for the specific student subgroups that the district or school intends to support with the intervention.

## Evidenced-based Whole-School Reform Model Examples

### Success for All

SFA is a comprehensive school reform model for students from prekindergarten through eighth grade. It includes an extensive reading program, job-embedded professional development, and curriculum resources and strategies for addressing school-wide issues such as low attendance, parental involvement, school culture, family needs, and health issues. In separate studies it has been found to improve reading comprehension and produce positive effects on phonics.

- [Success for All Narrative Description](#) [PDF (246 KB)]
- [Success for All Evidence](#) [PDF (2 MB)]

### **Positive Action Positive Action:**

Positive Action is a scripted lessons program for pre-K to high school students. In a matched-pair cluster-randomized RCT it was found to improve academic achievement, absenteeism, and disciplinary outcomes.

- [Positive Action Strategy Narrative](#) [PDF (147 KB)]
- [Positive Action's Response to Questions from the Department](#) [WORD (40 KB)]
- [Positive Action Evidence](#) [PDF (1 MB)]

### **New York City Small Schools Initiative:**

Small schools of choice are high schools with smaller student enrollments that feature personalized relationships and academic rigor. They have been found to improve graduation rates and increase college enrollment.

- [Small Schools of Choice Narrative](#) [PDF (219 KB)]
- [Small Schools of Choice Evidence](#) [PDF (2 MB)]

### **Institute for Student Achievement (ISA):**

ISA is a high school redesign organization that has managed whole school reform efforts in Atlanta, Detroit, and Minneapolis. The model includes college prep, extended school day and year, parental involvement, and other practices. A 2010 evaluation found that it increased high school completion, achievement, and college preparation.

- [ISA Whole School Reform Narrative](#) [PDF (132 KB)]
- [ISA Evidence](#) [PDF (957 KB)]

**Building Assets, Reducing Risks (BARR):** The BARR program combines small study cohorts with professional development to increase academic performance by 9th graders. A randomized controlled trial (RCT) funded by the federal i3 program found that enrolled students earned more core credits, obtained better grades, experienced lower course failure, and earned higher test scores in reading and mathematics than students not enrolled in the program. The study has been independently reviewed and included in the What Works Clearinghouse. <https://www.hazelden.org/web/go/buildingassets>

**Diplomas Now:** Diplomas Now is a comprehensive school reform program for middle schools and high schools that provides targeted interventions to students who exhibit “early warning indicators” of poor attendance, behavior, or academic performance. It is based on a partnership between Talent Development Secondary, City Year, and Communities in Schools. According to an interim, multi-site

RCT evaluation, after two years it reduced the percentage of students exhibiting one or more early warning signs that a student will drop out, including poor behavior, low attendance, or poor academic performance. <https://diplomasnow.org/>

## Model Templates

Transformation Model Strategy Requirements	Specific action steps	Tentative timeline
Replace the principal		
Provide operating flexibility for principal	.	
Provide job-embedded professional development		
Implement a rigorous teacher-evaluation Including regular observation and feedback cycles		
Implement comprehensive instructional reform-describe in detail		
Extend learning and teacher-planning time Implement PLCs		
Create a community-orientation		
Add additional strategies and action steps to be funded by the SIG Grant		

Turnaround Model Strategy Requirements	Specific action steps	Tentative timeline
Replace the principal		
Hire new staff (Rehire no more than 50% of staff)		
Provide operating flexibility for principal		

Provide job-embedded professional development		
Implement an evidence-based, aligned instructional program. Describe in detail.		
Extend learning and teacher-planning time Implement PLCs		
Create a community-orientation		
Add additional strategies and action steps to be funded by the SIG Grant		

Early learning Model Strategy Requirement	Specific action steps	Tentative timeline
Offer full-day kindergarten		
Establish or expand a high-quality preschool program		
Provide educators, including preschool teachers, with time for joint planning across grades to facilitate effective teaching and learning and positive teacher–student interactions		
Replace the principal who led the school prior to commencement of the early learning model (unless new within 2 years)		
Implement transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement,		
Use the teacher and principal evaluation and support system to identify school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so		

Evidence-based, developmentally appropriate, curriculum and instruction vertically aligned from one grade to the next, as well as aligned with state early learning and development standards and state academic standards		
In the early grades, promote the full range of academic content across domains of development, including math and science, language and literacy, socio-emotional skills, self-regulation, and executive functions.		
Continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the educational and developmental needs of individual students.		
Providing staff ongoing, high-quality, job-embedded professional development such as coaching and mentoring (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies		
Add additional strategies and action steps to be funded by the SIG Grant		

**For Evidence-based Whole-School Reform Model, Provide Evidence – based summary form**

**Must be implemented for ALL students in the school; evidence must include success for like or similar population or setting**

**Must address the following with one or more strategies for each as well as actions steps for each strategy:**

- improve student achievement;
- school leadership;
- address teaching and learning in at least one full academic content area (ELA or Math);
- student non-academic support; and
- family and community engagement.

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

**Selected Model:**

Strategies- list the strategies included in the selected whole school model	Specific action steps	Timeline
Add additional strategies and action steps to be funded by the SIG Grant		

## Narrative Questions in Program Details in GME

### School – complete for each school

1. Describe the Comprehensive Needs Assessment process. Be specific about the involvement of stakeholders including families and community members.
2. List the 3 or 4 identified Primary Needs with Root Causes, Need Statements and Desired Outcomes based on new 2019-20 CNA.

Primary Need	Root Cause	Need Statement	Desired Outcome	Goals (process and impact)

3. Describe the leading indicator data and what they tell you, include whole school, grade level and subgroup data.

Listed below are major leading indicators identified by research, but it is not an exhaustive list.

- *Student attendance rate*
- *Discipline incidents*
- *Truancy*
- *ELA and Math benchmark data* (include system used i.e. Galileo, LEA’s own, Illuminate, etc.).
- *Dropout rate*
- *Early Reading Proficiency (when applicable)*
- *Enrollment in Pre-algebra and Algebra (when applicable)*
- *Over-Age/Under-Credited Students (when applicable)*

There may be others you want to include applicable to your context.

4. Describe the lagging indicator data (2018) and what they told you...we understand this is “old news”. Analysis of spring 2019 AzMERIT data will be due in June.

Include:

- *Percentage of students at each performance level on State assessments in English language arts, mathematics and science, for all students, by grade level, and subgroups*
- *Graduation rate for all students and subgroups; 4-year cohort and 5-year cohort for the last 3 years*
- *AZELLA (when applicable)*

5. Based on the needs, root causes, need statements and desired outcomes; which intervention model will you implement? Why was this intervention model selected?

Transformation     
  Turnaround     
  Early Learning     
  Evidenced-Based Whole-School Reform

6. L/SIAP must include all required model strategies with detailed evidence-based specific action steps (*as many as needed*) as well as other strategies and action steps to be funded by SIG.

7. Provide a list the proposed/planned external providers or types of providers; the root cause and desired outcome and/or intervention model strategy the provider will address; include the expected outcomes/deliverables.
8. How will you know the external provider's service is changing practice in the school and/or classrooms and is increasing student achievement?
9. List proposed/ planned professional learning to address identified root causes, desired outcomes and increase student achievement.

**LEA Support**

10. How will the LEA use the School Improvement Grants funds to provide adequate resources and related support to each school it commits to serve to fully and effectively implement the selected intervention?
11. Describe the LEA's plan to hold school/s accountable and to provide oversight and support to school/s to implement their IAP addressing all required strategies of the chosen intervention model and others including monitoring and evaluating strategies and making mid-year adjustments as needed. ( Transformation  Turnaround  Early Learning  Evidenced-Based Whole School Reform).
12. Describe the LEA's plan to fiscally monitor school/s receiving SIG funds.
13. How will the LEA align other resources to support the selected intervention model?
14. Proposed budget amounts, budget detailed narrative, needs, root causes, needs statements and desired outcomes and Integrated Action Plan are aligned; proposed budget amounts are reasonable, necessary and allowable; proposed budget amounts are directly related to full and effective implementation of all the required model elements.

**Budget Guidance**

The proposed budget for each of the three years can range from \$50,000 to \$400,000 depending on school size, model chosen, demonstrated needs and Integrated Action Plans.

Overall summary budget	Year 1	Year 2	Year 3 sustainability
LEA only	\$	\$	\$
School	\$	\$	\$
School	\$	\$	\$
School	\$	\$	\$
School	\$	\$	\$

<b>Total</b>	\$	\$	\$
		<b>Grand Total</b>	\$

Complete detailed proposed budget in GME for each school and the LEA; budget narrative, needs, root causes, needs statements and desired outcomes and Integrated Action Plan must be aligned; proposed budget amounts must be reasonable, necessary and allowable and directly related to full and effective implementation of all the strategies and action steps in the SIG Intervention Model action plan included in the IAP.

## Allowable Expenditures

### SIG Allowable Use of Funds

#### **Budgeted items must:**

- Align with the approved SIG application
- Align to full and effective implementation of all the strategies and action steps in the SIG Intervention Model action plan in the IAP.
- Be reasonable and necessary
- Meet program intents and purposes to quickly and dramatically improve student achievement
- Be obligated and liquidated in accordance with the approved SIG plan within the approved grant period
- Supplement and not supplant state and local funds

#### **Non-Allowable Uses of Funds for SIG:**

- Incentives or bonuses of any kind
- Recreational field trips (i.e. end-of-the-year celebration)
- Food purchases
- Any expenditure that occurred prior to the approval and funding of the project
- Any expenditure that is not clearly identifiable as directly related to grant activities or functions

An LEA must use SIG funds to support the LEA's implementation of one of the 4 school intervention models, each of which represents a comprehensive approach to addressing the needs of the students in a school identified through the school's Comprehensive Needs Assessment. Accordingly, in determining whether a proposed use of SIG funds is allowable, an SEA should consider whether the proposed use is directly related to the full and effective implementation of the model selected by the LEA, whether it will address the needs identified by the LEA and school, and whether it will advance the overall goal of the SIG program of improving student academic achievement.

In addition, an SEA must ensure that a proposed use of funds is reasonable and necessary and “supplements not supplants”; the school must receive all of the non-Federal funds it would have received if it were not receiving SIG funding, including all non-Federal funds necessary for the operation of the school’s basic educational program.

**Budget Preparation Guidelines**

**Below are examples of the level of detail required in the budget narrative:**

**Off contract pay**

<b>Instruction 1000 (direct contact with students)</b>		
<b>Function Code</b>	<b>Object Code</b>	<b>Total Amount</b>
<b>salaries</b>	6100	<i>Board adopted hourly rate X total #hours</i>

Detail needed: # of staff x # of hours x hourly rate = total  
 What is the pay for? (Example: after school tutoring)  
 Position (example: reading interventionist)  
 Job description required for positions

<b>Support Services 2100, 2200, 2600, 2700 (staff)</b>		
<b>Function Code</b>	<b>Object Code</b>	<b>Total Amount</b>
<b>salaries</b>	6100	<i>Board adopted hourly rate X total # hours</i>

Detail needed: # of staff x # of hours = total  
 What is the pay for? (Example: after contract day PL)  
 Position (example: data coach)  
 Job description required for positions

**Professional Learning and Educational Service Providers**

<b>Support Services 2100, 2200, 2600, 2700 (staff)</b>		
<b>Function Code</b>	<b>Object Code</b>	<b>Total Amount</b>
<b>Purchased Professional Services</b>	6300	

Educational Service Provider (external provider)  
 Detail needed: Who? What? When? For whom?  
 How much? # of days x daily rate =  
 Leadership Development  
 Detail needed: Who? What? When? For whom?

How much? # of days x daily rate =

Professional Learning Activities

Detail needed: Who? What? When? For whom?

How much? # of days x daily rate =

Conference registration

Detail needed: Conference name, location? length? who is attending? Registration cost x # of staff =

### Travel Costs

Support Services 2100, 2200, 2600, 2700 (staff)		
Function Code	Object Code	Total Amount
<b>Other purchased services</b>	6500	

Travel expenses related to conferences attended by staff.

Detail needed: Transportation cost x # of staff =

Hotel room cost x nights x # of staff =

Per Diem x # days x # of staff =

Support Services 2300, 2400, 2500, 2900 (certain administrators)		
Function Code	Object Code	Total Amount
<b>Other purchased services</b>	6500	

Detail needed: Transportation cost x # of administrators =

Hotel room cost x nights x # of administrators =

Per Diem x # days x # of administrators =

### Supplies

Instruction 1000 (students)		
Function Code	Object Code	Total Amount
<b>Supplies</b>	6600	

Reminder: Supplemental supplies only

Item/cost per unit X quantity =total amount

Support Services 2100, 2200, 2600, 2700 (staff)		
Function Code	Object Code	Total Amount
<b>Supplies</b>	6600	

Reminder: Supplemental supplies only

Item/cost per unit X quantity = total amount

### Capital Outlay (Equipment)

Instruction 1000 (students)		
Function Code	Object Code	Total Amount

<b>Capital Outlay</b>	6700	
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Reminder: Supplemental equipment only  
 Item/cost per unit X quantity = total amount

<b>Support Services 2100, 2200, 2600, 2700 (staff)</b>		
<b>Function Code</b>	<b>Object Code</b>	<b>Total Amount</b>
<b>Capital Outlay</b>	6700	

Reminder: Supplemental equipment only  
 Item/cost per unit X quantity = total amount

Contact your specialist, the [supportandinnovationinbox@azed.gov](mailto:supportandinnovationinbox@azed.gov), Trish Geraghty, Director [trish.geraghty@azed.gov](mailto:trish.geraghty@azed.gov) or Devon Isherwood, Deputy Associate Superintendent [devon.isherwood@azed.gov](mailto:devon.isherwood@azed.gov) if you have questions.