IMAGINING the possibilities. MAKING THEM HAPPEN.

Indiana Department of Education

Glenda Ritz, NBCT
Indiana Superintendent of Public Instruction

School Improvement Grant 1003(g) Guidebook

2014-2015

Indiana Department of Education

Office of Early Learning and Intervetion

Table of Contents

Introduction 3
School Improvement Grant Overview 4
Introduce – Implement – Institutionalize – Sustain and Maintain 4
Roles and Responsibilities 5
Monitoring and Support Overview 6
Data Dashboard and Progress Reporting 7
Leadership 8
Indicators of Success and Improvement 9
Menu of Interventions for Applications and Renewals 10
Monitoring Tools 14
- Schedules 14
- Calendar 15
- Turnaround Monitoring 19
- Transformation Monitoring 22
- Classroom Observations 27
- School Climate Observations 28
- Focus Group Interview Questions 29
- PLC Meeting Observation Sheet 31
- External Provider Monitoring 32
- Monitoring of LEA Support 35
- Parent Survey 36
- Teacher Leadership Survey 37
- Student Surveys 39
- Teacher Evaluation Monitoring 42

Budgetary Requirements 44
- Supplement, not Supplant 44
- Allowable Uses of Title I Funds 48
- Amendment Procedures 53
- Guidelines for Budget Classification, Definition Expenditure Accounts, and Object Accounts 54

Introduction

This living document is designed as a reference for district and school personnel working with School Improvement Grant 1003(g). The content of the guide represents a compilation of information, examples and resources for your use. We will be continuously updating this document to provide further clarity and information to district and school personnel working with school improvement.

If you find an error, or feel this guide needs to be updated to reflect new or additional information, please email Rachael Havey at: rhavey@doe.in.gov with any feedback or suggestions.

School Improvement Grant Overview

Program Objectives

- Dramatic Change Requires **Bold**, Comprehensive Action
- Student Driven, Data Informed
- Ensure Fiscal Responsibility
- Focus on Sustainability

Program Goals

- ***Accelerate*** school turnaround
- Promote a sense of ***urgency***
- Develop/Support ***internal accountability***
- Establish a clear ***focus on results***
- ***Build leadership capacity***

Program Requirements

- Identify the needs of overall students and subgroups of students
- Identify the needs of the school based on instructional programming, school leadership, and school infrastructure
- Demonstrate LEA capacity to implement, monitor, and support the initiatives
- Select an improvement model – Transformation; Turnaround; Closure; or Restart
- Submit and receive approval of all budget items
- Design and implement interventions consistent with needs and selected model
- Recruit, screen, and select external providers, if applicable, to ensure their quality
- Align other resources with the interventions
- Modify practices and policies, if necessary, to enable the school the ability to fully and effectively implement the interventions
- Sustain the reforms after the funding period ends

Introduce – Implement – Institutionalize – Sustain and Maintain

Year 1

- Introduce change to the building

Year 2

- Implement change as part of the building

Year 3

- Institutionalize change

Year 4 and Beyond

- Sustain and maintain the changes that have occurred

Roles and Responsibilities

1003(g) SIG is approved and monitored via the Office of Early Learning and Intervention Title I Team. The Title I Team works very closely with the Outreach Division of School Improvement and Grants Management Teams to effectively assist schools and monitor implementation. Your key contacts for 1003(g) are the Title I staff in the Office of Early Learning and Intervention.

Meet the Indiana Department of Education – Office of Early Learning and Intervention – Title I Team

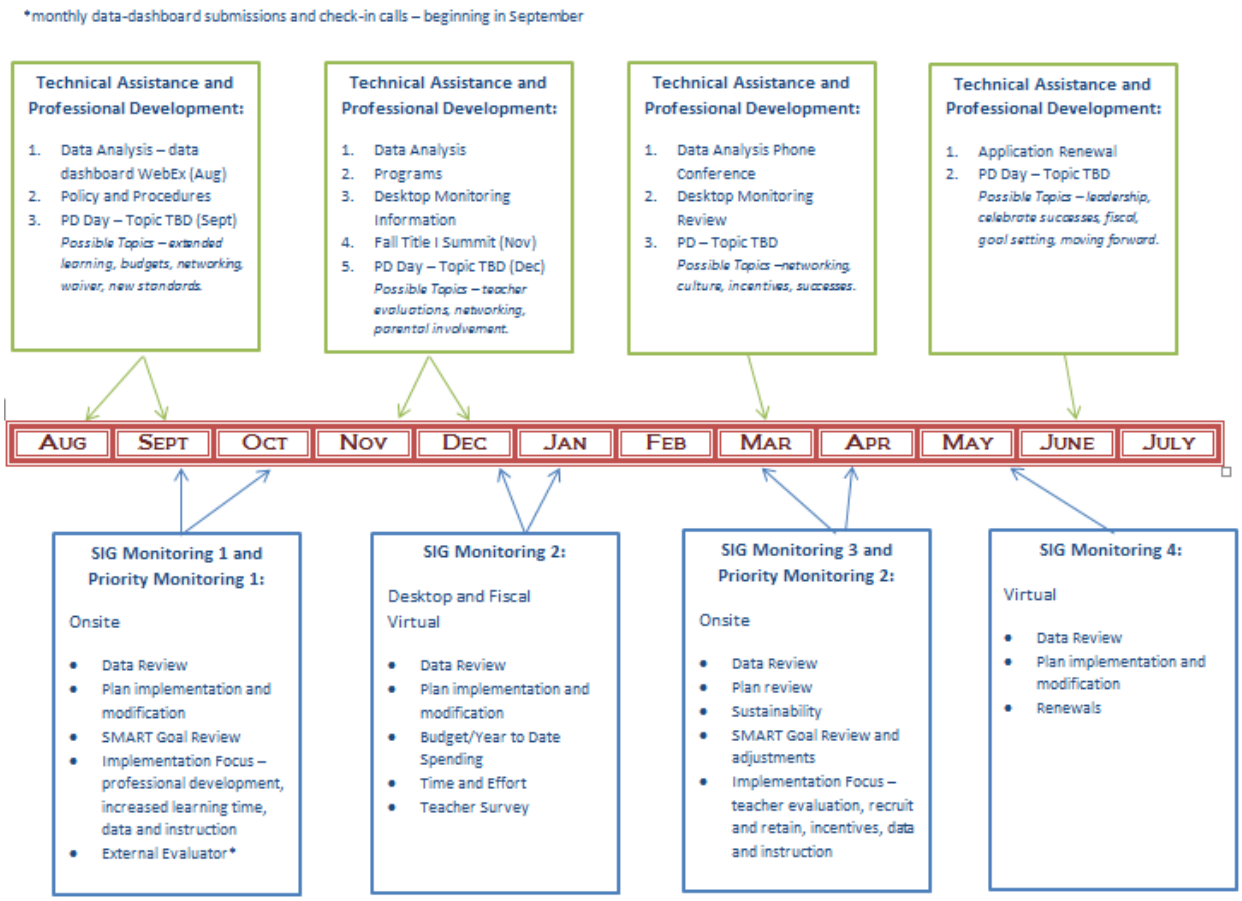
Charlie Geier
Director of Early Learning and Intervention – Charlie leads the office's efforts in English language learning and migrant education, Title I, and early learning. He was previously in MSD of Washington Township where he served as ENL teacher, Instructional Coach, English Department Chair, ENL Coordinator, and Curriculum Coordinator for Special Services. He also serves as the president of the Indiana Teachers of English to Speakers of Other Languages.

Cindy Hurst
Title I Coordinator – Cindy's responsibilities include providing support to Title I schools and managing school improvement grants. Cindy has been with IDOE for over 10 years. She brings Title I program and small school experience to the team.

Rachael Havey
Title I Specialist – Rachael works directly with Cindy to provide support to Title I schools and manage school improvement grants. Rachael joined IDOE in October 2012 as a Diagnostic Assessment Specialist in the Office of Student Assessment; prior to being part of IDOE, Rachael was a middle school EL/A teacher and literacy coach in MSD of Warren Township.

Audrey Carnahan
Title I Specialist – Audrey also works directly with Cindy to provide support to Title I schools and manage school improvement grants. Audrey is new to the Title I team for the 2014-2015 school year. Prior to joining IDOE, Audrey worked as a special education teacher in MSD of Warren Township middle and high schools. Audrey brings a diverse special education background to the team.

Monitoring and Support Overview



Monitoring

- Site Visits from IDOE Staff
  - Monitor Implementation of Improvement Plan
  - Analysis of Data
  - Observation of classrooms
  - Discussion of key points of staff development and evaluation
  - Discussions with all stakeholders – staff, students, parents, and/or community partners
- Desktop Monitoring
- Virtual Monitoring
- Data Dashboard

Support

- Developing SIG Amendments
  - Incorporated to pre-existing conversations if possible
- Other support
  - Phone calls with IDOE
  - Additional onsite visits
  - Coaching/professional development
  - SIG Learning Connection
  - SIG Network

Data Dashboard and Progress Reporting

Part of SIG 1003(g) is examining and using data to drive school change. USDOE requires data to be part of the application process and renewal. IDOE requires 1003(g) schools to submit data on a regular basis via the data dashboard.

Monthly data submissions include:

- Student and teacher attendance
- Suspension/Expulsion rate
- Job-Embedded PD minutes
- Local benchmark data
- Behavior – referrals, consequences, suspensions, expulsions
- Teacher Observation data
- Teacher and Student attendance – regular school day and extended learning programs
- Parent Involvement

Benchmark submissions include:

- Acuity data
- mCLASS/DIBELS data
- NWEA data
- AIMSWeb data
- Scholastic data
- Other

Annual submissions include:

- ISTEP+ data
- ECA data
- IREAD3 data
- Distribution of teachers by performance level
- Minutes in school day
- Minutes in math and reading per day
- Dropout rate (HS only)
- AP/IB Courses
- Student and teacher attendance
- Suspension/Expulsion rate
- Job-Embedded PD minutes

Leadership

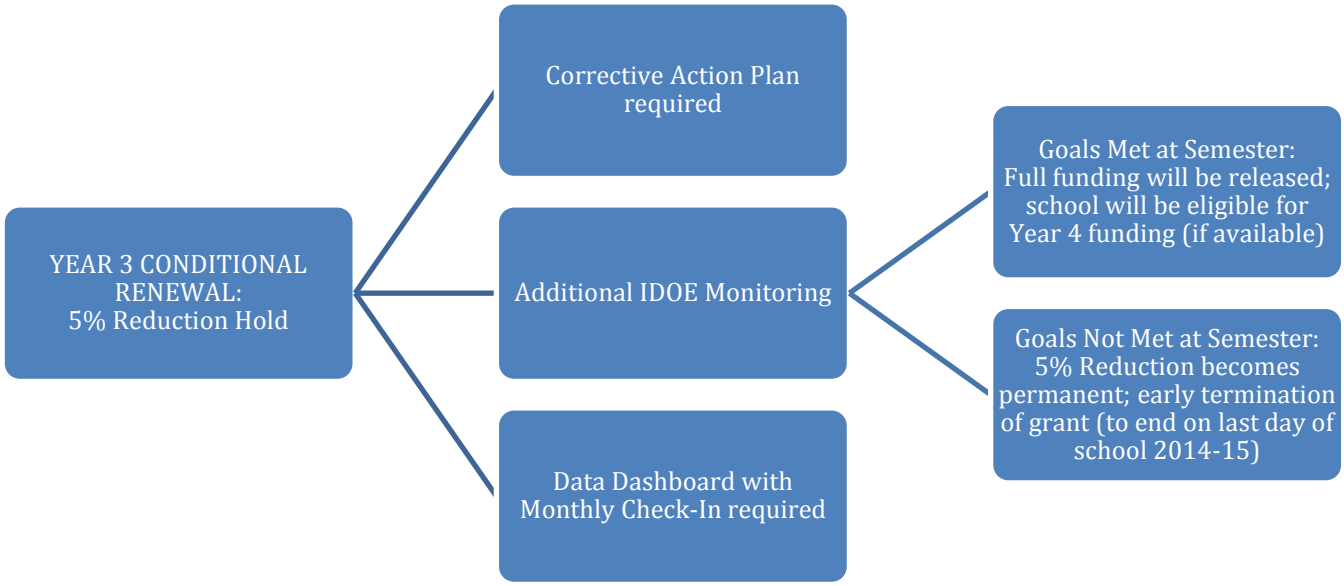
A major piece of SIG is LEA support to buildings. It is recommended to have a central office staff member directly connected to SIG to assist and support the principal in implementation. Additionally, it is recommended each SIG school create a leadership team that is onsite in the building. Each IDOE visit, the leadership team will meet with IDOE staff. Additionally, leadership teams are invited to attend the SIG professional development days throughout the school year.

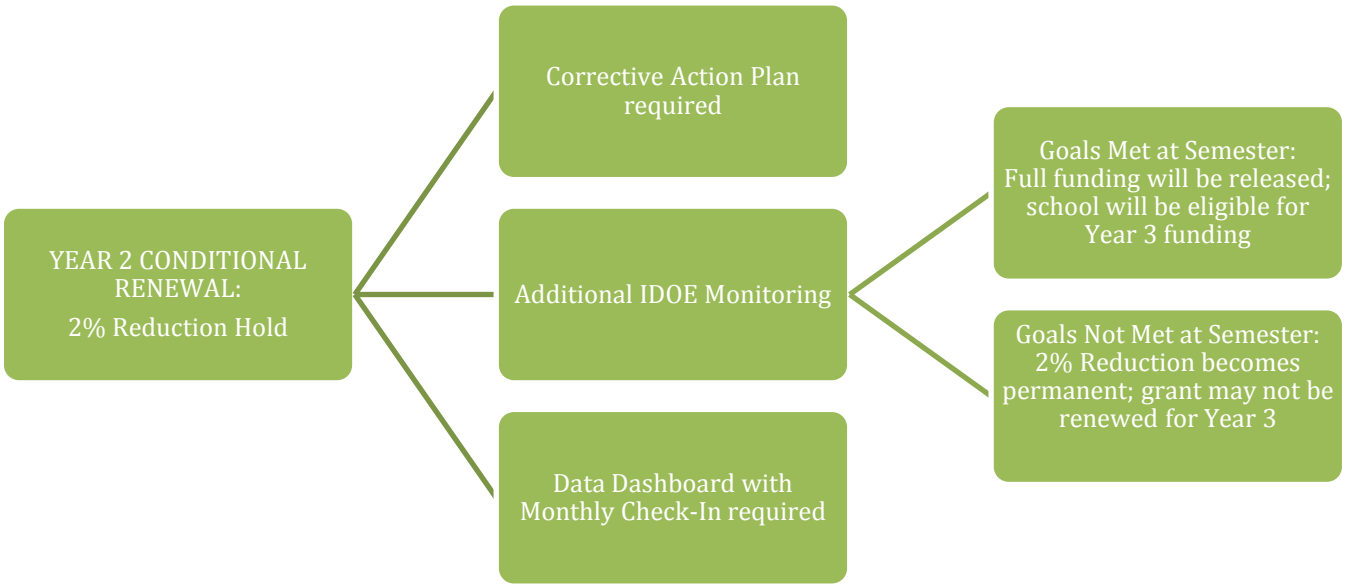
Possible Leadership Team Members:

- Principal
- Assistant Principal(s)
- Dean(s)
- Guidance Counselor(s)
- Coach(es)
- Lead Teacher(s)
- Mentor or Master Teacher(s)
- Union Representative
- SIG Coordinator

Indicators of Success and Improvement

Each year of the grant schools will have an opportunity to renew for the upcoming school year. Renewals will be based on indicators of success and improvement shown through data dashboards, monitoring visits, yearly data submissions, and school improvement measures. Schools will be required to submit a renewal application using the menu of options provided when applying for the original SIG grant. Conditional or full renewals will be given based on leading and achievement indicators and implementation progress.





Menu of Interventions for Applications and Renewals

Possible Interventions	Transformation Principles
• Provide additional resources in classrooms via teacher grants or rewards • Provide staff with leadership opportunities • Provide collaboration time for staff • Provide additional professional development reading and literature resources	*Reward school leaders, teachers, staff who, in implementing this model, increased student achievement or high school graduation rates; remove those who, after professional development, have not*
• Require at least 30 hours of focused PD with an emphasis on instructional strategies to support special populations • Implement a system of peer support and assistance to foster the needs of educators • Hire building-level instructional specialists to support educators who serve special populations • Restructure school leadership team to dramatically increase time available for instructional leadership • Implement a culturally-competent support system to improve safety, reduce suspensions, increase attendance, and support all students	*Provide high quality, job-embedded professional development*
• Implement staff recommitment process to substantially different working conditions, including: definition of school hours, job assignment, and job duties • Establish a comprehensive system to support struggling teachers with content and pedagogy, especially teachers of students from special populations • Implement a comprehensive induction program for new teachers	*Implement strategies to recruit, place, and retain staff (financial incentives, promotion, career growth, flexible work time)*
• Establish flexible or expanded learning opportunities with a focus on students at-risk of failure • Implement a comprehensive ramp-up program for students at-risk of failure or subgroups with the largest achievement gaps • Dramatically increase common planning time and implement a system for its effective utilization, both horizontally and vertically • Increase advanced coursework opportunities for students • Increase student access to career, technical, or credentialing programs • Provide opportunities for career internships • Offer double-doses in core content areas to struggling students • Provide before/after/summer/weekend school enrichment and/or intervention programs	*Provide increased learning time for students and staff*
• Implement culturally competent family and community engagement programs focused on instruction and academic performance • Hire a parent/community engagement specialist who can focus on individual students and families, and who can plan monthly reach-out to families • Review and change student enrollment and placement processes to increase family engagement and improve student outcomes • Engage community partners to provide wrap-around services for students and families	*Provide mechanisms for family and community engagement*
• Complete a school audit of the use of school funds to guide staffing decisions and implement findings • Reallocate resources to increase support for direct instruction of students at-risk of failure • Provide building administrators the authority and autonomy to hire, manage teacher placement, budget, and school schedule	*Give the school sufficient operational flexibility (staffing, calendars/time, budgeting)*
• Provide building administrators the authority and autonomy to hire, manage teacher placement, budget, and school schedule • Implement a culturally competent tiered system of support focused on student psycho-social health • Contract with a vendor or partner with a track record of success to support the school (i.e. – lead partner, external provider, university)	*LEA and, SEA supports school with ongoing, intensive technical assistance and support*

• Implement comprehensive improvement of instructional approaches for struggling students including focused professional development and a system for student progress monitoring • Review student course-taking patterns and make substantial changes to school schedule and student placement to ensure access to rigorous academic core	*Use data to implement an aligned instructional program*
• Implement an instructional monitoring system to ensure that the curriculum is being fully implemented and traditionally underserved students have access to academic core • Implement a comprehensive drop-out prevention and re-entry program	*Promote the use of data to inform and differentiated instruction*

Possible Interventions	Turnaround Principles
• Require at least 30 hours of focused PD with an emphasis on instructional strategies to support special populations • Implement a system of peer support and assistance to foster the needs of educators • Hire building-level instructional specialists to support educators who serve special populations • Restructure school leadership team to dramatically increase time available for instructional leadership • Implement a culturally-competent support system to improve safety, reduce suspensions, increase attendance, and support all students	*Provide high quality, job-embedded professional development*
• Implement staff recommitment process to substantially different working conditions, including: definition of school hours, job assignment, and job duties • Establish a comprehensive system to support struggling teachers with content and pedagogy, especially teachers of students from special populations • Implement a comprehensive induction program for new teachers • Provide additional resources in classrooms via teacher grants or rewards • Provide staff with leadership opportunities • Provide collaboration time for staff • Prove staff with professional development reading and literature	*Implement strategies to recruit, place, and retain staff (financial incentives, promotion, career growth, flexible work time)*
• Establish flexible or expanded learning opportunities with a focus on students at-risk of failure • Implement a comprehensive ramp-up program for students at-risk of failure or subgroups with the largest achievement gaps • Dramatically increase common planning time and implement a system for its effective utilization, both horizontally and vertically • Increase advanced coursework opportunities for students • Increase student access to career, technical, or credentialing programs • Provide opportunities for career internships • Offer double-doses in core content areas to struggling students • Provide before/after/summer/weekend school enrichment and/or intervention programs	*Provide increased learning time for students and staff*
• Implement culturally competent family and community engagement programs focused on instruction and academic performance • Hire a parent/community engagement specialist who can focus on individual students and families, and who can plan monthly reach-out to families • Review and change student enrollment and placement processes to increase family engagement and improve student outcomes • Engage community partners to provide wrap-around services for students and families • Implement a culturally competent tiered system of support focused on student psycho-social health	*Provide social-emotional and community-oriented services/supports*
• Complete a school audit of the use of school funds to guide staffing decisions and implement findings • Reallocate resources to increase support for direct instruction of students at-risk of failure • Provide building administrators the authority and autonomy to hire, manage teacher placement, budget, and school schedule	*Give the principal operational flexibility*
• Provide building administrators the authority and autonomy to hire, manage teacher placement, budget, and school schedule • Implement a culturally competent tiered system of support focused on student psycho-social health • Contract with a vendor or partner with a track record of success to support the school (i.e. – lead partner, external provider, university)	*Adopt a new governance structure (i.e., turnaround office, turnaround leader)*

• Implement comprehensive improvement of instructional approaches for struggling students including focused professional development and a system for student progress monitoring • Review student course-taking patterns and make substantial changes to school schedule and student placement to ensure access to rigorous academic core	*Use data to implement an aligned instructional program*
• Implement an instructional monitoring system to ensure that the curriculum is being fully implemented and traditionally underserved students have access to academic core • Implement a comprehensive drop-out prevention and re-entry program	*Promote the use of data to inform and differentiated instruction*

Monitoring Tools

Schedules

Monthly Check-Ins

Time	Task	Responsible Party
30 minutes	Will offer three 30-minute time slots the 2nd Friday of each month	Title I
	Will send out monthly invites and sign-ups	Title I
	Required schools will call in and discuss data with Title I and other SIG leaders	School Leaders

Onsite Visit - September/October - Full Day

Time	Task	IDOE Team
8:00 - 8:30	IDOE Team Arrives	Title I/Outreach
8:30 - 9:30	Administrator/Leadership Team Collaborative Meeting	Title I/Outreach
9:30 - 11:00	Principal-accompanied Classroom Observations	Outreach
9:30 – 10:15*	Other Leader-accompanied Classroom Observations	Title I
10:15 – 11:00*	SIG Specific Observations - PLC, Coaching, Intervention, etc.	Title I
11:00 - 11:30	Faculty/Staff Group Interviews	Outreach
11:00 - 11:30	Administrator/Leadership Team Collaborative Meeting – SIG Specific Focus	Title I
11:30 - 12:30	IDOE Prep Time	Title I/Outreach
12:30 - 1:30	Debrief Time with Administrator/Leadership Team	Title I/Outreach

*can rotate times above if needed

Virtual Visit - December/January

Time	Task	Responsible Party
90 minutes	Will offer multiple time slots on six days in December/January	Title I
	Schools will sign-up for a scheduled time and call-in	School Leaders
	Call Agenda May Include: *Action Steps from onsite in September/October *Parent and Staff Surveys *Action Plans for Renewal Schools *Goals for Semester Two	All

Onsite Visit - March/April - Half Day *tentative

Time	Task	IDOE Team
30 minutes	Administrator/Leadership Team Collaborative Meeting	
30 minutes	Unaccompanied Classroom Observations	
30 minutes	SIG Specific Observations - PLC, Coaching, Intervention, etc.	
30 minutes	Student Interviews	
30 minutes	Debrief Time with Administrator/Leadership Team	

Calendar

*Second semester dates will be determined by December

SIG Monitoring and TA

Wk	Monday	Tuesday	Wednesday	Thursday	Friday
Jul-28 **Aug-3**	28 Warren Starts	29	30	31	1
Aug-4 Aug-10	4 MCCSC, UHP, IPS Starts	5	6	7 GSC Starts	8
Aug-11 Aug-17	11 MCS, EVSC Starts	12 Vigo Starts	13	14	15
Aug-18 Aug-24	18	19	20 GCSC, SBCSC, LR Starts	21 21st Starts	22
Aug-25 Aug-31	25	26	27 **Data WebEx PD**	28	29
Sep-1 Sep-7	1 **Holiday**	2	3	4	5 **Data Dashboard Due**
Sep-8 Sep-14	8	9	10 **Onsite Visits** **Stonybrook MS** **McGary MS**	11 **Onsite Visits** **Highland Park** **Lake Ridge**	12 **Monthly Web Check-in**
Sep-15 Sep-21	15	16	17 IPS No School	18 **SIG PD - INDY - Warren TWP**	19 UHP Serv Learning
Sep-22 Sep-28	22	23	24	25	26
Sep-29 **Oct-5**	29	30 **Onsite Visits** **Fairview and UHP** Warren No School	1 **Onsite Visits** **BRMHS**	2 **Onsite Visits** **Raymond Brandes**	3 **Data Dashboard Due**
Oct-6 Oct-12	6 MCCSC FB - 10 Warren, IPS FB - 17	7	8 **Onsite Visits** **Sarah Scott** **21st Century**	9 **Onsite Visits** **Watson**	10 **Monthly Web Check-in** Vigo, EVSC FB
Oct-13	13 **Holiday** Vigo FB	14	15 **Onsite Visits** **McCulloch/ Chamberlain**	16 **Onsite Visits** **Allen/Dickinson**	17

Oct-19	Warren, IPS FB - 17		UHP Intercession - 17		
Oct-20 Oct-26	20 GCS FB - 24 UHP FB - 24	21	22 LR FB - 24	23 MCS FB	24 GCSC PD Day MCS, 21st, SBCSC FB
Oct-27 **Nov-2**	27 21st FB	28	29	30 GCSC Ed Conf	31 GCSC Ed Conf
Nov-3 Nov-9	3	4 Holiday	5	6	7 Data Dashboard Due UHP No School
Nov-10 Nov-16	10	11 Holiday	12	13	14 Monthly Web Check-in
Nov-17 Nov-23	17	18	19	20	21
Nov-24 Nov-30	24 Vigo, IPS No School - 28	25	26 GCS No School	27 Holiday	28 Holiday
Dec-1 Dec-7	1	2	3	4	5 Data Dashboard Due
Dec-8 Dec-14	8	9 SIG PD - North - Goshen	10	11 SIG PD - South - Bloomington	12
Dec-15 Dec-21	15	16	17 Virtual Visits	18 Virtual Visits	19 Virtual Visits MCS No Stud
Dec-22 Dec-28	22 Schools out - Jan 2	23	24	25 Holiday	26 Holiday
Dec-29 Jan-4	29	30	31	1 Holiday	2
Jan-5 Jan-11	5	6	7 Virtual Visits	8 Virtual Visits	9 Virtual Visits Data Dashboard Due
Jan-12 Jan-18	12	13	14	15	16 Monthly Web Check-in GCSC, LR PD Day
Jan-19 Jan-	19 Holiday	20	21	22	23 21st Cent Off

25					
Jan-26 **Feb-1**	26	27	28	29	30
Feb-2 Feb-8	2	3	4	5	6 Data Dashboard Due
Feb-9 Feb-15	9	10 SIG PD - North - Location TBD	11	12 SIG PD - South - Location TBD	13 GCS, Vigo, 21st No School UHP Serv Learning
Feb-16 Feb-22	16 GCS, Vigo, Warren, EVSC, 21st, IPS, SBCSC No School	17	18	19	20
Feb-23 **Mar-1**	23	24	25 UHP Intercession - 27	26	27
Mar-2 Mar-8	2	3	4	5	6 Data Dashboard Due
Mar-9 Mar-15	9	10	11	12	13 Monthly Web Check-in
Mar-16 Mar-22	16 MCCSC SB - 20	17	18	19	20 GCSC PD Day IPS SB - 3
Mar-23 Mar-29	23 MCS SB, 21st - 27 Warren, IPS , EVSC SB - 3	24	25	26	27 Vigo No School
Mar-30 **Apr-5**	30 Vigo, Warren, UHP, IPS SB - 3	31	1 GCS SB - 10	2	3 Data Dashboard Due Holiday
Apr-6 Apr-12	6 GCSC, SBCSC, LR SB - 10	7	8	9	10 Monthly Web Check-in
Apr-13 Apr-19	13	14	15	16	17
Apr-20 Apr-26	20	21	22	23	24
Apr-27 **May-4**	27	28	29	1	2 Data Dashboard Due UHP No School

May-5 May-11	5 MCCSC No School	6 MCCSC No School	7	8	9 **Monthly Web Check-in**
May-12 May-18	12	13	14	15	16
May-19 May-25	19	20 **Virtual Visits**	21 **Virtual Visits** MCS Last Day	22 **Virtual Visits**	23 MCCSC, EVSC Last Day Vigo No School
May-26 Jun-1	26 **Holiday**	27 **Virtual Visits**	28 **Virtual Visits** Warren Last Day	29 **Virtual Visits** GCS Last Day	30
Jun-2 Jun-8	2	3 Vigo Last Day	4 LR Last Day	5 SBCSC Last Day	6 **Data Dashboard Due** UHP Last Day
Jun-9 Jun-15	9	10 21st, IPS Last Day	11	12	13 **Monthly Web Check-in**
Jun-16 Jun-22	16	17	18	19	20
Jun-23 Jun-27	23	24	25	26	27
Jun-30 **Jul-6**	30	1	2	3	4
Jul-7 Jul-13	7	8	9	10	11
Jul-14 Jul-20	14	15	16	17	18
Jul-21 Jul-27	21	22	23	24	25

Turnaround Monitoring

Turnaround 1003(g) Monitoring 2014.2015			*Monitoring Visit*				
School:			*IDOE Staff:*				
USDOE Turnaround Principles	*SIG Turnaround Requirements*	*Approved Interventions*	*Evidence*	*Quality of Implementation*			
				1 - ineffective *2 - improvement necessary* *3 - effective/ implemented with fidelity* *4 - highly effective*			
Turnaround Principle 1: School Leadership Provide strong leadership by: (1) reviewing the performance of the current principal; (2) either replacing the principal if such a change is necessary to ensure strong and effective leadership, or demonstrating to the SEA that the current principal has a track record in improving achievement and has the ability to lead the turnaround effort; and (3) providing the principal with operational flexibility in the areas of scheduling, staff, curriculum and budget	Replace the principal and grant the principal sufficient operational flexibility (including 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;						
Turnaround Principle 2: School Climate and Culture Establish a school environment that improves school safety and discipline and addressing other non-academic factors that impact student achievement, such as students' social, emotional, and health needs	Provide a safe, orderly and equitable learning environment by maintaining a culture that values learning, promotes the academic and personal growth of students and staff, and supports high expectations through communication to staff, families, and students.						

Turnaround Principle 3: Effective Instruction Strengthening the school's instructional program based on student needs and ensuring that the instructional program is research-based, rigorous, and aligned with State academic content standards	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;						
Turnaround Principle 4: Curriculum, Assessment, and Intervention System Ensuring teachers have the foundational documents and instructional materials needed to teach to the rigorous college- and career- ready standards that have been adopted	Provide staff ongoing, high- quality job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies;						
Turnaround Principle 5: Effective Staffing Practices Ensure that teachers are effective and able to improve instruction by: (1) reviewing the quality of all staff and retaining only those who are determined to be effective and have the ability to be successful in the turnaround effort; (2) preventing ineffective teachers from transferring to these schools; and (3) providing job-embedded, ongoing professional development informed by the teacher	Use locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students,						
	a. screen all existing staff and rehire no more than 50 percent, and						
	b. select new staff						

evaluation and support systems and tied to teacher and student needs	c. Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible working 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 *(1003g only)*						
Turnaround Principle 6: Enabling the Effective Use of Data Use data to inform instruction and for continuous improvement, including by providing time for collaboration on the use of data	Promote the continuous use of student data (such as formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;						
Turnaround Principle 7: Effective Use of Time Redesigning the school day, week, or year to include additional time for student learning and teacher collaboration	Establish schedules and implement strategies that provide increased learning time;						
Turnaround Principle 8: Effective Family and Community Engagement Provide an ongoing mechanism for family involvement in school decision making and understanding student progress	Provide appropriate social-emotional and community-oriented services and supports for students.						
Governance and Support	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 of Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability.						

Prior to Next Visit:

Transformation Monitoring

Transformation 1003(g) Monitoring 2014.2015			*Monitoring Visit*				
School:			*IDOE Staff:*				
USDOE Turnaround Principles	*SIG Transformation Requirements*	*Approved Interventions*	*Evidence*	*Quality of Implementation*			
				1 - ineffective *2 - improvement necessary* *3 - effective/ implemented with fidelity* *4 - highly effective*			
Turnaround Principle 1: School Leadership Provide strong leadership by: (1) reviewing the performance of the current principal; (2) either replacing the principal if such a change is necessary to ensure strong and effective leadership, or demonstrating to the SEA that the current principal has a track record in improving achievement and has the ability to lead the turnaround effort; and (3) providing the principal with operational flexibility in the areas of scheduling, staff, curriculum and budget	**1.** Replace the principal who led the school prior to commencement of the transformation model						
Turnaround Principle 5: Effective Staffing Practices	**2.** Use rigorous, transparent, and equitable evaluation						

Ensure that teachers are effective and able to improve instruction by: (1) reviewing the quality of all staff and retaining only those who are determined to be effective and have the ability to be successful in the turnaround effort; (2) preventing ineffective teachers from transferring to these schools; and (3) providing job-embedded, ongoing professional development informed by the teacher evaluation and support systems and tied to teacher and student needs	systems for teachers and principals that						
	a. Take into account data on student growth as a significant factor as well as other factors, such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduation rates; and						
	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;						

Turnaround Principle 3: Effective Instruction Strengthening the school's instructional program based on student needs and ensuring that the instructional program is research-based, rigorous, and aligned with State academic content standards Turnaround **Principle 4: Curriculum, Assessment, and Intervention System** Ensuring teachers have the foundational documents and instructional materials needed to teach to the rigorous college- and career- ready standards that have been adopted	**4.** Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies; and						
Turnaround Principle 5: Effective Staffing Practices Ensure that teachers are effective and able to improve instruction by: (1) reviewing the quality of all staff and retaining only those who are determined to be effective and have the ability to be successful in the turnaround effort; (2) preventing ineffective teachers from transferring to these schools; and (3) providing job-embedded, ongoing professional development informed by the teacher evaluation and support systems and tied to teacher and student needs	**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 model						
Turnaround Principle 6: Enabling the Effective	**6.** Promote the use of data						

Use of Data Use data to inform instruction and for continuous improvement, including by providing time for collaboration on the use of data	a. Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards						
	b. Promote the continuous use of data (such as formative, interim, and summative assessments) in order to inform and differentiate instruction to meet the academic needs of individual students						
Turnaround Principle 2: School Climate and Culture Establish a school environment that improves school safety and discipline and addressing other non-academic factors that impact student achievement, such as students' social, emotional, and health needs **Turnaround Principle 7: Effective Use of Time** Redesigning the school day, week, or year to include additional time for student learning and teacher collaboration	**7.** Establish schedules and strategies that provide increased learning time						
Turnaround Principle 2: School Climate and Culture Establish a school environment that improves school safety and discipline and addressing other non-academic factors that impact student achievement, such as students' social, emotional, and health needs **Turnaround Principle 8: Effective Family and Community Engagement**	**8.** Provide ongoing mechanisms for family and community engagement						

Provide an ongoing mechanism for family involvement in school decision making and understanding student progress							
Governance and Support	**9.** Provide the school with Operational Flexibility						
	a. Give the school operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high graduation rates; and						
	b. Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO)						
			Prior to Next Visit:				

Classroom Observations

Characteristic	*Rating*	*Evidence*
	LOW	HIGH
Classroom Environment · Safety, order, visible and invisible structures, academic atmosphere, student-centeredness, peer support, purposeful/practical space arrangement, student-work displays	1 2 3 4 Additional Comments:	
Classroom Culture · High expectations, achievement, rigor, relationships, respect, tolerance, collaboration, urgency	1 2 3 4 Additional Comments:	
Behavior Management · Efficiency, effectiveness, respect, rules and routines, consistency, compliance	1 2 3 4 Additional Comments:	
Instructional Execution · Objective-driven, knowledge or skill development, levels of connections being made, rigor, differentiation, student practice, scaffolding concepts, pacing, progress charting, higher order thinking, students interests and backgrounds	1 2 3 4 Additional Comments:	
Engagement · Compliance level, "on-task", students' personal interest level, making relevant connections	1 2 3 4 Additional Comments:	

School Climate Observations

Climate Indicators	*Not observed*	*Evidence* *Little*	*Some*	*Strong*
Academic achievements are recognized/celebrated.				
Exemplars of student work are displayed in the building.				
Student behavior appears orderly outside of the classroom.				
Supervision of students appears to be consistent and continuous.				
Teachers' attitudes toward students appear pleasant and constructive.				
Students are observed in positive interactions with other students and staff.				
A minimum number of students are present in the hallway during class time indicates instructional time is a priority.				
The school facilities are safe, clean, and attractive.				
Students are engaged in co-curricular activities.				
The school climate promotes student learning.				
Summary observation: The overall school climate is positive; reflects safe, clean, and attractive facilities; and supports relationships that promote teaching and learning.				
Comments/Evidence:				

Focus Group Interview Questions

SIG Specific

1. What do you know about your School Improvement Grant, especially related to the purpose and goals?
2. What improvement strategies are the focus of the grant?
3. How has the staff been engaged in learning about what's going-on with SIG?

Ensuring that the principal has the ability to lead the turnaround effort.

1. Describe how you are implementing your interventions?
2. Since the beginning of the year, what is your daily routine?
3. Describe how you addressed a sign of "not making progress" per your improvement plan
4. What are you doing differently this year?
5. What examples do you have to demonstrate principal flexibility in the areas of scheduling, hiring staff, curriculum, and budget?
6. How many years has the current principal served at this school?

Establishing a school environment that supports the social, emotional, and learning needs of all students.

1. How do you create a culture of high expectation?
2. How do you foster a positive school environment?
3. What is in place to assist with student and staff safety?
4. What process is in place to measure equity?
5. How do you support at-risk students and meet their needs: academically, emotionally, and socially?

Ensuring that teachers utilize research-based, rigorous effective instruction to meet the needs of all students and aligned with State Standards.

1. How do you stay informed with classroom teaching?
2. How do you support at-risk students and meet their needs: academically, emotionally, and socially?
3. How do you ensure that teachers utilize research-based instructional strategies aligned with State Standards?

Ensuring that teachers have the foundational documents and instructional materials needed to teach to the rigorous college-and career- ready standards.

1. How do you stay informed with teaching/learning?
2. How is curriculum intentionally aligned vertically and horizontally?
3. How are formative assessments used to gauge student progress?
4. What intervention plans are in place to meet the needs of students academically, emotionally or socially?

Developing skills to better recruit, retain and develop effective teachers.

1. How are staff members evaluated?
2. How are staff members recognized and celebrated?
3. What opportunities are provided for PD and how is it supported?

Ensuring the school-wide use of data focused on improving teaching and learning.

1. How do you use data to inform decision making? What data do you use?
2. What evidence do you have from your current data to indicate progress and/or next steps?
3. How do teachers collaboratively use data?

Redesigning time to better meet student and teacher learning needs and increase teacher collaboration focusing on improving teaching and learning.

1. How have you redesigned the school day to better meet student and teacher learning needs and increase collaboration focusing on teaching and learning?
2. How are students provided additional time for intervention?
3. Are all students who are two or more years behind enrolled in intervention programs?

Increasing academically focused family and community engagement.

1. How do you involve stakeholders in decision making?
2. How do you actively engage family and community in meaningful involvement?

PLC Meeting Observation Sheet

PLC Meeting Observation Sheet

Characteristic	*Rating*	*Evidence*
	LOW HIGH	
Environment · Visible and invisible structures, academic atmosphere, student-centeredness, peer support, purposeful/practical space arrangement	1 2 3 4 Additional Comments:	
Collaboration · High expectations, rigor, relationships, respect, tolerance, collaboration, urgency	1 2 3 4 Additional Comments:	
Data Focus · Standard-focused, examining data, data used to guide work, related to topic of PLC, sharing ideas regarding why students are performing at certain levels, etc.	1 2 3 4 Additional Comments:	
Instructional Focus · Objective-driven, knowledge or skill development, levels of connections being made, rigor, differentiation, student practice, scaffolding concepts, pacing, progress charting, higher order thinking, students interests and backgrounds	1 2 3 4 Additional Comments:	
Engagement · Compliance level, “on-task”, staff connecting with each other, making relevant connections	1 2 3 4 Additional Comments:	

External Provider Monitoring

External Provider Monitoring		*Monitoring Visit #*				
Provider:		*School:*				
Questions for School	*School Response/Evidence*	*Notes*	*Scale*			
			1 - ineffective *2 - improvement necessary* *3 - effective/ implemented with fidelity* *4 - highly effective*			
Provider Selection						
Describe the comprehensive improvement services you are receiving from your external provider.						
Describe any evidence you have, or you have been provided, that show the external provider is making change in your building.						
Describe how your external provider will help build internal capacity in your school?						
Describe how your external provider meets the following five quality characteristics?						
1. Aligned with established goals						

2. Part of a long-term strategy						
3. Customized						
4. Research based						
5. Capacity building						
Does the provider offer services meeting the selection criteria that are unique to your school?						
Professional Development						
What job embedded PD is the external provider providing?						
Evaluation						
How will the provider assess their work?						
How will the school or district assess the provider's work?						
How would you rate your overall satisfaction with your external provider's work thus far?						
Communication						
Communication with provider occurs (weekly, monthly, quarterly)						

Prior to Next Visit:

Monitoring of LEA Support

LEA Support		*Monitoring Visit #*				
Central Office Staff Contacts:		*School:*				
Questions for School	*School Response/Evidence*	*Notes*	*Scale*			
			1 - ineffective *2 - improvement necessary* *3 - effective/ implemented with fidelity* *4 - highly effective*			
Model and External Provider Selection						
The LEA assisted in selecting the school improvement model for your school.						
The LEA assisted in recruiting, screening, and selecting external providers for your school (if any).						
Evaluation & Monitoring						
The LEA established annual goals for your school.						
The LEA monitors implementation of your school improvement grant.						
Operational Authority & Flexibility						
The LEA modified its practices or policies to enable your school to implement the interventions in your grant fully and effectively.						
Teacher hiring, retention, and dismissal						
Extended-time programs						
The LEA made structural changes to support the implementation of the SIG interventions.						
Hire a SIG Coordinator						
Create new processes for procurement, hiring, etc.						
		Prior to Next Visit:				

Parent Survey

Please circle the choice that best responds to your thinking

	Disagree	Neutral	Agree
I feel welcome at my child's school.	1	2	3
I am informed about my child's progress.	1	2	3
I know what my child's teachers expect of my child.	1	2	3
My child is safe at school.	1	2	3
There is adequate supervision before and after school.	1	2	3
The teachers show respect for my child.	1	2	3
The students show respect for other students.	1	2	3
The school meets the social needs of the students.	1	2	3
The school meets the academic needs of the students.	1	2	3
The school expects quality work of its students.	1	2	3
The school has an excellent learning environment.	1	2	3
The school provides me with report cards and progress reports.	1	2	3
I respect the school's teachers.	1	2	3
I respect the school's principal.	1	2	3
I respect the school office staff.	1	2	3
Overall, the school performs well academically.	1	2	3
The school succeeds at preparing children for future work.	1	2	3
The school has a good public image.	1	2	3
The school's assessment practices are fair.	1	2	3
My child's teacher helps me help my child at home.	1	2	3
I support my child's learning at home.	1	2	3

Please circle the number of children you have in the school

1	2	3	4	5
6	7	8	9	

Please circle your children's grade level(s)

K	1	2	3	4
5	6	7	8	9
10	11	12		

Teacher Leadership Survey

Never	Seldom		Usually		Always
0	1	2	3	4	5

Please rate the leadership of your current school leader based on the questions below:

Personal Behavior

Responds appropriately to situations - considers the consequences of his/her actions. Anticipates possible responses or reactions. Accurately adjusts behaviors accordingly. Anticipates the results of his or her actions.

Values different points of view - actively seeks and makes use of diverse and controversial views. Welcomes and appreciates diversity in demonstrable ways.

Reflects appropriate personal and professional demeanor - manages emotions and is aware of their impact on professional relationships. Conduct meets expectations for professionalism and reflects awareness of the impact their behavior has on employees, colleagues, students, parents, and the community.

Resilience

Focuses on solutions and integrates competing demands and conflicting directives to problem-solve effectively - focuses on problem-solving. Demonstrates capacity to analyze, synthesize, and promote coherence not-withstanding competing demands and/or conflicting directives.

Handles disagreement and dissent constructively - transforms disagreement and dissent into opportunities.

Uses formal and informal feedback to improve performance - regularly seeks formal and informal feedback and uses it to align strategic priorities.

Communication

Communicates a positive vision - motivates others inside and outside the school by communicating a clear picture of success and its benefits.

Promotes the success of all students through consistent direct communication with students and by understanding and responding to their broader political, socio-economic, and cultural contexts - interacts with the student body on a consistent basis. Modes for staff and encourages staff to engage in purposeful solicitation of student ideas regarding successful classroom approaches to teaching and learning.

Collaborates with staff - knows all staff members and publicly acknowledges individual contributions. Models, encourages, and reinforces efficacy in individuals to produce results and preserve even when internal and external difficulties interfere with the achievement of strategic goals. Generates a sense of urgency by aligning the energy of others in pursuit of strategic goals.

Collaborates with families and community - establishes interactions with families and community members. Develops clear process for gathering and transmitting information from and to families. Able to identify all stakeholders involved in the school. Presentations to parents and community members are organized, logical, include analysis and are delivered in an engaging and dynamic style. Provides clear, specific responses to questions. Communicates with individuals consistently in attention, time and respect given. Demonstrates awareness of the public and political nature of leader's position and applies explicit process for engaging public in controversial issues.

Student Performance

Collects and analyzes data - establishes organizational processes for gathering, analysis, and use of data. Engages in sharing and using data to identify high-priority problems and solutions.

Makes action plans based on data - leads the development of school plans that engage others in targeting what needs to be done, who needs to be involved, how and when it will occur, and the measurement of the success.

Ensures continual improvement for students, teachers, and the organization - possesses working knowledge of current curricular initiatives, approaches to content and differentiated instructional design. Understands, articulates, and implements effective instructional strategies and evaluates their effectiveness. Focuses staff meetings on instructional issues.

Demonstrates understanding of the relationship between assessment, standards, and curriculum - facilities the analysis and alignment of assessment tools and the curriculum. Aligns school's organizational structure, resources, and instructional priorities to address standards and leverage student learning.

Supervision and Management

Cultivates a system of evaluation - creates systems that provide staff with a variety of ways to meet with leaders, share expectations, provide feedback and check for clear and mutual understanding. Organizes environment to hold staff accountable. Uses observation information systematically to identify patterns needing improvement. Actively coaches instructional staff for improvement in classroom practices.

Sets a system for clear expectations - establishes performance and behavior expectations for staff and students that are consistent with effective practices, high professional standards, and educational research. Frequently checks for mutual understanding of his/her expectations.

Requires all staff to change - communicates and expects that change and responses to the school improvement plan are not optional.

Creates structures to ensure a safe and effective learning environment - implements predictable routines and structure throughout the organization.

Student Surveys

ELEMENTARY	Grade:	Girl:	Boy:
When I am at school:	Disagree	Neutral	Agree
I belong.			
I am safe.			
I have fun learning.			
I like this school.			
School is fun.			
My teacher gives me choices in what I learn.			
My teacher treats me with respect.			
My teacher cares about me.			
My teacher helps me be successful.			
My teachers listens to my ideas.			
My teacher believes I can learn.			
My teacher is a good teacher.			
I get complimented for good work.			
The work I do in class makes me think.			
I know what I am supposed to be learning.			
I am a good student.			
Very good work is expected in my school.			
My principal knows my name.			
My principal spends time in my classroom.			
I behave well at school.			
Other students behave well at school.			
Students are treated fairly by teachers.			
Students at my school treat me with respect.			
My school helps me.			
I have support for learning at home.			
My family wants me to do well in school.			
If I have a problem, I know where to get help.			

MS - HS	Grade:	Girl:	Boy:
At my school:	Disagree	Neutral	Agree
I feel safe.	1	2	3
I feel like I belong.	1	2	3
I feel challenged.	1	2	3
My teacher respects me.	1	2	3
My principal respects me.	1	2	3
Building staff respect me.	1	2	3
Other students respect me.	1	2	3
I feel successful.	1	2	3
I like to learn.	1	2	3
Students have opportunities.	1	2	3
I feel motivated to do well.	1	2	3
My teachers:	Disagree	Neutral	Agree
Expect students to do their best.	1	2	3
Expect me to do my best.	1	2	3
Set high expectations for student behavior.	1	2	3
Believe in my ability to learn.	1	2	3
Have confidence in me.	1	2	3
Know we well.	1	2	3
Listen to my ideas.	1	2	3
Care about me.	1	2	3
Make learning fun.	1	2	3
Really know what they are teaching.	1	2	3
Give me individual attention when I need it.	1	2	3
Challenge me to do better.	1	2	3
Compliment me for quality work.	1	2	3
My school has helped me improve:	Disagree	Neutral	Agree
My ability to read.	1	2	3
My ability to write.	1	2	3
My ability with math.	1	2	3
My ability in science.	1	2	3
My ability in other content areas.	1	2	3
My ability to present information.	1	2	3
My technology skills.	1	2	3
In my classes, students spend a lot of time:	Disagree	Neutral	Agree
Listening to the teacher talk.	1	2	3
Reading.	1	2	3
Working in small groups.	1	2	3
In whole-class discussions.	1	2	3

Answering questions from a book or worksheet by themselves.	1	2	3
Doing work that is interesting and meaningful.	1	2	3
Taking notes from teacher lectures.	1	2	3
Using computers, laptops, tablets, or iPads.	1	2	3

I work well when:	Disagree	Neutral	Agree
I am working on projects.	1	2	3
The teacher is leading a discussion with the whole class.	1	2	3
I am working in a small group.	1	2	3
I am working by myself.	1	2	3
I am doing presentations.	1	2	3

Teacher Evaluation Monitoring

Evaluation	
Questions for School	*1 - ineffective* *2 - improvement necessary* *3 - effective/ implemented with fidelity* *4 - highly effective*
IC 20-28-11.5 Implementation of Staff Performance Plans	
What staff performance plan did the school implement during the 2013-2014 school year? Evidence -RISE or modified RISE -TAP -PAR -Locally developed	
What staff performance plan is the school using for the 2014-2015 school year? Did the plan change? If so, what changes were made and how were the changes discussed with all stakeholders? Evidence -Stakeholder Committee meetings	
How were objective measures of student achievement and growth used to significantly inform the evaluation? The objective measures must include: (A) student assessment results from statewide assessments for certificated employees whose responsibilities include instruction in subjects measured in statewide assessments; (B) methods for assessing student growth for certificated employees who do not teach in areas measured by statewide assessments; and (C) student assessment results from locally developed assessments and other test measures for certificated employees whose responsibilities may or may not include instruction in subjects and areas measured by statewide assessments. Evidence -Locally adopted assessments; list of subjects and assessment used -Staff SLOs for non-tested subjects -schoolwide measures -student surveys or portfolios	

What percentage of student growth and achievement are used for each group of teachers, administrators and superintendents? Evidence -student achievement and growth percentages for final summative rating for all groups -Evaluation plan and stakeholder meeting agendas
Are all educators observed at least twice throughout the school year? Evidence -observation tracking -evidence collections
How were SLOs developed? Evidence -agenda from SLO development meetings -SLO tracking document -SLO final end of year document to track progress
What rigorous measures of effectiveness, including observations and other performance indicators, are used in the staff performance evaluations? Evidence -Teacher Effectiveness Rubric
Compliance with IC 20-28-11.5
Did you have staff that were rated Improvement Necessary and Ineffective teachers? How was targeted professional development provided to them? Evidence -90 day staff improvement plan
How did the school provide training to all staff on the evaluation and evaluation process? Is the training conducted annually? Evidence -Agendas and PowerPoints from trainings -Ongoing training; inter-rater reliability
How can the IDOE help you with staff performance evaluation plan implementation?
ESEA Flexibility Waiver
How did the school review their staff performance final ratings against student and teacher performance? Evidence -Evaluation of staff performance plan -ISTEP+, ECA, Grad Rate scores

Budgetary Requirements

Supplement, not Supplant

GENERAL BACKGROUND

The "supplement, not supplant" requirement ensures that children participating in Title I programs receive their fair share of services from state and local funds. Section 1120A of the statute requires that the SEA and LEA use federal funds received under Title I only to *supplement* the amount of funds available from nonfederal sources for the education of students participating in Title I. The SEA and LEA *cannot use* these federal funds *to supplant* (take the place of) funds that *would, in the absence of Title I funds, have been spent* on Title I students.

Federal funds cannot be used to pay for services, staff, programs, or materials that would otherwise be paid with state or local funds.

In a Targeted Assistance (TAS) school, students are selected based on academic need to receive Title I services. While districts and schools are not required to provide Title I services using a particular instructional method or in a particular instructional setting, the services supported by Title I must supplement the educational services that would be provided to students in the absence of Title I.

In a School-wide Program (SWP) school, schools must use Title I funds only to supplement the amount of funds that would, in the absence of Title I funds, be made available from non-Federal sources for that school. Schoolwide programs do **not** have to select a target population for additional services or separately track Federal program funds at the school level.

PRESUMPTION OF SUPPLANTING (OMB Circular A-133, *Compliance Supplement*, used by State Board of Accounts and Office of Inspector General auditors)

There are three flags in "supplement, not supplant" where there is a presumption of supplanting, unless some other information is provided (see "Exclusions" below).

Supplanting has likely occurred if:

1) Title I funds are used to provide services that are **required** to be made available **under other federal, state, or local laws** (e.g., Title I funds cannot be used take the place of services required for students with disabilities or limited English proficient students. Title I funds may be used to coordinate or supplement those services, but not supplant them.).

2) Title I funds are used to provide services that were **provided with nonfederal funds in the prior year**.

► Presumptions of supplanting are refutable if the SEA or LEA can demonstrate that it would not have provided the services in question with non-federal funds had the Title I funding not been available (*i.e., what would have happened in the absence of the Title I funds?)*

3) Title I funds are used to provide services to Title I eligible students while those same services are **provided to non-Title I students with non-federal funds** (e.g., pay for full-day kindergarten with Title I funds in Title I schools while providing full-day kindergarten in non-Title I schools with other state and local funds).

► 34 C.F.R. *Sec. 200.79 of the Title I regulations allow certain programs to be excluded from the supplanting analysis. For example:* A school district may exclude supplemental state and local funds expended in any school, for programs that are **Title I-like** in nature. In other words, the program meets the intent and

purposes of Title I (i.e., students meet the Title I eligibility criteria; funds used to provide services to non-Title I schools are supplemental state or local funds; and the program's effectiveness is evaluated under the state's assessment system).

EXAMPLES OF SUPPLANTING:

(1) A district used Title I funds to provide services that the district was required to make available under Federal, State, or local law.

EXAMPLE:
The Individuals with Disabilities Education Act (IDEA) requires that an LEA serving children with disabilities develop an individualized education program (IEP) to ensure that a child with a disability receives a free appropriate public education. The IEP functions as a framework for the services the LEA is required to provide to each child to meet the requirements of IDEA. An LEA may not use Title I funds to provide services that must be provided under each child's IEP because, in the absence of the Title I funds, it is presumed that the LEA would use other funds or it would be in violation of the IDEA. However, in a targeted assistance school, an LEA may use its Title I funds to provide additional, supplemental services to such children. In a school-wide school, an LEA must ensure the Title I funds a school receives supplement the amount of funds that would, in the absence of the Title I funds, be made available from non-Federal sources for that school, including the amount of funds needed to provide services that are required by law for children with disabilities.

EXAMPLE:
Title VI of the Civil Rights Act of 1964 and Lau v. Nichols (1974) require school districts to provide alternative language programs to ensure that students with limited English proficiency (English learners) have meaningful access to the schools' programs. Likewise, Castañeda v. Pickard (1981) requires that the alternative language program must be based upon sound educational theory, the program is reasonably supported with resources and staff, and the program is regularly evaluated to ensure its success. These laws require schools to develop and implement an individual learning plan (ILP) to ensure that children with limited English proficiency have meaningful access to the curriculum and develop their English skills. An LEA may not use Title I, or any other federal funding including Title III, to provide this alternative language program to satisfy these federal requirements. The school district must still provide these services in the absence of these funds. Title I may provide supplemental services to limited English proficient students who are eligible for Title I services, but these funds cannot be used to supplant non-federal funds to provide services that are required by law. For example, Title I funds cannot be used to pay for an ESL/EL teacher to provide the Lau required English language development services to limited English proficient students.

(2) A district used Title I funds to provide services that the district provided with non-Federal funds in the prior year(s).

EXAMPLE:
An LEA paid for a reading specialist in a Title I school in the previous year from State and local resources but decides to use Title I funds to pay for that teaching position in the current year. This would be supplanting because the LEA is replacing State and local resources with Title I resources to pay for the same teaching position.

(3) A district used Title I funds to provide services for children participating in a Title I program that the district provided with non-Federal funds to children not participating in Title I.

EXAMPLE:

Indiana requires only half-day kindergarten. A district may not use Title I funds to pay for an extended-day kindergarten program for Title I schools and then use State or local funds to pay for a full-day kindergarten program in non-Title I schools. This would be supplanting because Title I schools would not be receiving any of the State or local funds. In other words, an LEA may not use Title I funds to pay for services in Title I schools and use State funds to pay for the same services in non-Title I schools.

EXAMPLE:
A Title I school wants to provide after-school tutoring to all 3rd, 4th, and 5th grade students. This elementary has some students who are limited English proficient (English learners). The school wants to use a state grant, Non-English Speaking Program (NESP), to pay for the after-school tutoring costs for the English learners and then use Title I to pay for the after-school tutoring costs for all native English speakers. This would be supplanting because the Title I funds are not supplemental for all eligible students, as the school used a state grant to pay for the costs associated with the after-school tutoring for the English learners.

REBUTTING A PRESUMPTION OF SUPPLANTING

These presumptions, however, are rebuttable if the LEA can demonstrate that it would not have provided the services in question with non-Federal funds had the Federal Title I funds not been available. The following are examples of documentation needed to rebut a presumption of supplanting:

- Fiscal or programmatic documentation to show that, in the absence of Title I funds, the staff or services in question would not have been provided.
- State or local legislative action (example: budget cuts)
- Budget histories

EXCLUSIONS

When determining whether Title I funding is supplemental, an SEA or LEA may exclude State and local funds expended in any school for carrying out a program that meets the intent and purposes of Title I, Part A.

A program meets the intent and purposes of Title I, Part A if the program either—

- Is implemented in a school in which the percentage of children from low-income families is at least 40 percent;
- Is designed to promote schoolwide reform and upgrade the entire educational operation of the school to support students in their achievement toward meeting the State's challenging academic achievement standards that all students are expected to meet;
- Is designed to meet the educational needs of all students in the school, particularly the needs of children who are failing, or most at risk of failing, to meet the State's challenging student academic achievement standards; and
- Uses the State's system of assessment under 34 CFR 200.2 to review the effectiveness of the program.

Or—

- Serves only students who are failing, or most at risk of failing, to meet the State's challenging student academic achievement standards;

- Provides supplementary services designed to meet the special educational needs of students who are participating in the program to support their achievement toward meeting the State's student academic achievement standards; and

- Uses the State's system of assessment under 34 CFR 200.2 to review the effectiveness of the program.

Allowable Uses of Title I Funds

The intent of Title I [including Basic, Part D, 1003(a) and 1003(g)] is to ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education.

Title I provides funds to improve achievement of the lowest-achieving students – those who are failing, or most at-risk of failing, to meet State academic content standards – enrolled in high-poverty schools.

All activities supported with Title I funding must support that intent – funds are meant to be used for staff and programs aimed at helping students achieve. Thus, ALL expenditures must be focused on raising achievement.

Title I funding is not intended to serve as a replacement for State/local funds; but rather Title I funding serves as supplemental funding

Title I funds are authorized and can be used to provide professional development for teachers; instructional materials; improve curriculum; enhance parental involvement; extend learning time for students who need extra help; and provide other activities that are tied to raising student achievement on the State's academic achievement standards.

Schools must provide a rationale for why the expenditures (student field-trip, project, admission to various places, materials and supplies, etc.) they are proposing, align with the root cause analysis and are:

a. Reasonable
b. Allocable
c. Necessary

Gift Cards – gift cards are never an allowable expense, as there is no guarantee the card will be used on educationally-related purchases. This includes, for example, gift cards issued as door-prizes, gift cards issued to teachers for supplies, or Apple gift cards to download software on iPads and iPods.

Food - Generally, there is a very high burden of proof to show that paying for food and beverages with Federal funds is necessary to meet the goals and objectives of a Federal grant. When a grantee is hosting a meeting, the grantee should structure the agenda for the meeting so that there is time for participants to purchase their own food, beverages, and snacks. In addition, when planning a meeting, grantees may want to consider a location in which participants have easy access to food and beverages.

While these determinations will be made on a case-by-case basis, and there may be some circumstances where the cost would be permissible, it is likely that those circumstances will be rare. Grantees, therefore, will have to make a compelling case that the unique circumstances they have identified would justify these costs as reasonable and necessary.

Software for iPads and iPods – Purchasing a generic Apple gift card to be used for software/apps is not an allowable purchase as these gift cards could easily be abused – there are no securities or safety precautions to ensure these funds are spent on downloadable applications. Apple has an online store, the App Store, where education software, books, and games can be purchased through a Volume Purchase Program. The Apple Volume Purchase Program allows institutions to purchase iOS apps and books in volume and distribute them to students, teachers, administrators, etc. Apple has guidance on their Volume Purchase Program for educational institutions at www.apple.com/itunes/education

Core Curriculum – Using Title I funds to purchase core instruction materials is NOT allowable. Providing these items (math curriculum, spelling books, etc.) is a district responsibility – even with a school-wide program. [See Supplement not Supplant section guidance.]

Furniture – It is an inappropriate use of federal funds to purchase classroom furniture, as permanent fixtures (tables, desks, chairs, etc.) are the responsibility of the district – even with a school-wide program. However, districts may purchase supplemental items such as filing cabinets, book shelves, computer tables, etc. for Title I only purposes.

Title I programs must maintain an inventory of and label all equipment purchased with Title I funds. This inventory must include a description of the equipment, its cost, serial number, date of purchase, and location. All technology-related purchased items should be included in the inventory.

Capital Expense Items – Such expenses as major remodeling and renovations are the LEAs responsibility and are not allowable uses of Title I funds.

> 34 C.F.R. § 76.533 prohibits the use of program funds, including Title I, Part A funds, for construction "unless specifically permitted by the authorizing statute or implementing regulations for the program." No such authority exists for Title I, Part A. In interpreting this prohibition, we rely largely on the definition of "construction" used in the 1988 reauthorization of the ESEA, which contained the most recent definition of construction applicable to ESEA programs generally. That definition defines "construction" as "the preparation of drawings and specifications for school facilities; erecting, building, acquiring, altering, remodeling, improving, or extending school facilities; and the inspection and supervision of the construction of school facilities." This broad definition includes activities commonly defined as "renovation."

Minor building alterations are allowable:

> 34 C.F.R. § 77.1(c) as "minor alterations in a previously completed building," including "the extension of utility lines, such as water and electricity, from points beyond the confines of the space in which the minor remodeling is undertaken but within the confines of the previously completed building." The definition specifically excludes "building construction, structural alterations to buildings, building maintenance, or repairs."

Rewiring to support technology is also allowable:

> to the extent that the wiring is necessary to support technology otherwise allowable under Title I, Part A (see B-7) and is consistent with the definition of "minor remodeling."

Incentives – incentives ***may*** be allowable ***IF*** the expenditures can pass ***EACH*** of the following three tests:

- **Reasonable Test** – all expenditures using Title I funds must be reasonable. It helps to determine if the expenditure is reasonable by picturing the district having to justify the expenditure to an auditor.
- **Nominal Test** – expenditures should be in **small** rewards that reflect a **minimal** portion of the total Title I funds available.
- **Educationally-Related Test** – incentives purchased with Title I funds should be educationally related – books, educational games, pencils, etc. When distributing the incentives, the rationale for receiving an incentive must also be educationally-related – finishing a project, showing growth, etc.

Examples of Allowable Incentives Using Title I Funds	**Examples of Non-Allowable Incentives Using Title I Funds**
• Providing a few educationally related incentives for parents to attend a Title I meeting.	• Providing all parents who attend a Title I parent meeting a door prize. • Giving away bikes, iPods, Kindles, or other

• Using a few incentives to support an academic goal. • Pens, pencils, and other school-related supplies.	high priced items as incentives. • Giving cash to students for any reason. • Using multiple incentives for many different activities. • Gift cards.

P. E. Equipment – Using Title I funds for P. E. equipment, such as a treadmill, is not an allowable use of Title I funds – even in a school-wide program. The expenditures must be focused on raising achievement.

Field Trips – Field trips ***through SIG 1003(a) or 1003(g) may*** be allowable, but ***must*** be educationally related, address an identified need in the school, and be reasonable in cost. Resort, vacation, or amusement areas (waterpark, ball-parks, amusement parks, etc.) are **not** allowable as the issue of the academic nature of the visit comes into play. Using funds to pay for multiple chaperones with a minimal number of students participating would also be an example of an unreasonable use of funds.

Requirements for educational 1003(a) or 1003(g) field trips or experiences:

- Student field trips must be integrated into lesson plans and other instructional activities, as appropriate, in order to impact the academic achievement of the most academically at-risk students in the school.
- All student field trips must be tied to the root cause analysis or school improvement plan and schools should provide supporting documentation when submitting purchase requisition to the IDOE Title I Staff for budget approval.
- Schools must submit an IDOE **Educational Field Trip Request Approval** form prior to budgets being approved for field trip experiences.
- All field trips must support the core content subject areas and classroom curriculum.
- Field trips must be grade appropriate and foster students' understanding of concepts/ideas related to core subject areas.

Questions to keep in mind when considering and planning an educational field trip or experience:

(1) Is it reasonable? *(For example, are you planning on traveling 30 miles or 230 miles to visit a museum? Is the cost reasonable? Could another experience of less cost attain the same result with your students?)*
(2) Is it allocable? *(Is there ANY aspect of this trip that would be considered amusement?)*
(3) Is it necessary? *(Is this the BEST way to meet this standard, piece of evidence, etc.?)*
(4) How will participation in this field trip assist students to achieve proficiency or an advanced status in relation to the identified needs of academically at-risk students in this school?
(5) How does the proposed field trip focus on helping students acquire the knowledge and skills needed to increase academic achievement?
(6) How is the proposed field trip integrated into the curriculum?
(7) How are the learning outcomes of the proposed field trip consistent with the knowledge and skills needed to increase student achievement?

Educational Field Trip Request Form

Corporation Name and Number:
School Name and Number:
Field Trip and Core Learning Experience - Planning and Budgeting
Each Experience should be planned and budgeted separately and approved prior to making any purchases or reservations. **Once approved, any changes to the Experience must be approved with a modification prior to the date to which the travel will be occurring.**

Proposed Location (City, State)	Trip Date(s):	Teacher(s) Involved:
Description of Core Learning Experience (include Grade Levels):		Estimated number of participants:

Describe the student learning objectives for this experience. (List relevant standards, if applicable.) These objectives should be identified in the root cause analysis section of the 1003(a) or 1003(g) application OR the school's school improvement plan.

1.

2.

3.

4.

5.

Describe how this experience:

1. Serves as an instructional strategy to meet the specific academic content standard(s) identified in the school's root cause analysis section of 1003(a) and 1003(g) application or updated School Improvement Plan AND

2. Is connected to the support of assisting students to achieve proficiency, or an advanced status, in relation to the IN Academic Standards or IN Common Core Standards.

Describe both the pre and post field trip classroom instructional activities that are directly related to this field trip. (Student incentive trips – describe how the students qualify for the experience. What goals did the students have to meet? Who was given opportunity to attend?)

Provide a written rationale to indicate that the expenditures for this field trip (i.e., admission, transportation, etc.) meet the supplement not supplant, allocable, reasonable, and necessary standards.

Field Trip or Core Learning Experiences (Travel) Costs:

Unit Cost:	Quantity:	Description: (Itemize costs for tickets, course costs, travel reimbursement, etc.)	Total:
			$0.00
			$0.00
			$0.00
			$0.00
			$0.00
			$0.00
			$0.00
			$0.00
			$0.00

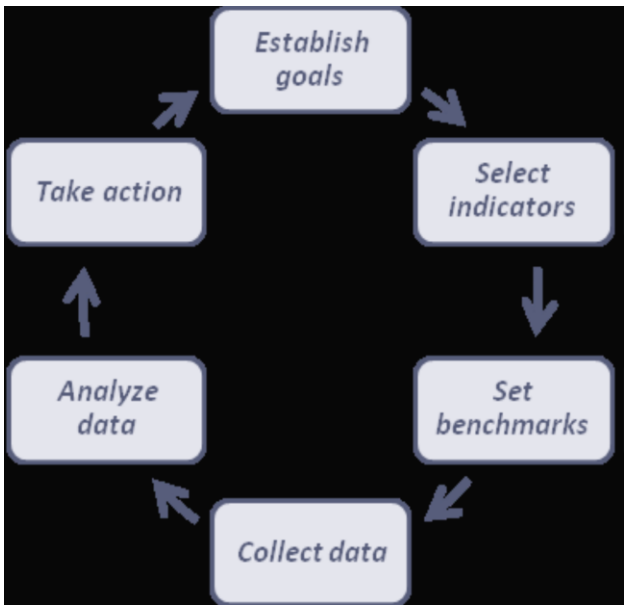
			$0.00
			$0.00
			$0.00
Student Transportation Costs			
Unit Cost:	**Quantity:**	**Description: (If bus transportation is utilized, specify as corporation or other vendor.)**	**Total:**
			$0.00
			$0.00
			$0.00
			$0.00
			$0.00
			$0.00
		Field Trip or Core Learning Experience (Travel) Total:	$0.00
		Student Transportation Costs Total:	$0.00
		TOTAL PROJECTED COST FOR FIELD TRIP OR CORE LEARNING EXPERIENCE:	**$0.00**

School Principal Approval:	Corporation Title I PA Approval:	IDOE Approval:
Date Submitted:	Date Submitted:	Date Approved:

Field Trip Forms are posted on the 1003(g) website http://www.doe.in.gov/titlei/1003g-summary-sig-grants

Amendment Procedures

An amendment is a programmatic or fiscal revision to the 1003(g) School Improvement Grant (SIG) based on the needs and data of the school. The diagram below displays the steps to determine when and if an amendment is needed. The amendment procedure is part of the "Take Action" step in the diagram. Since the 1003(g) SIG is competitive, procedures must be in place to stay true to the original application submitted to the IDOE. It is important to ensure that the justification for any changes is informed by school-level data and aligned to the school's original goals submitted in the 1003(g) SIG application.



An amendment to 1003(g) grant requires two items:

1. A completed 1003(g) SIG Amendment form documenting revisions and justification.
2. A revised budget. New line items, or increases in line items, should be noted in green. Deleted, or decreased, line items should be noted in red.

Sample revision and justification:

Account	Goal/Federal Requirement/Key Finding	Original Application	Revision	Justification
Benefits	*Example: Increased learning time*	*The school budgeted $50,000 for the before and after school program mandatory for all students.*	*The school did not budget enough funds for the before and after school program for all students to attend. The school needs to add $50,000 to fulfill all staff salaries.*	*In order for all students to attend the before and after school program for the 200 student days, the school will need to move funds from technology and supplies over to instruction to fulfill all staff salaries.*

Amendment Documents are posted on the 1003(g) website
http://www.doe.in.gov/titlei/1003g-summary-sig-grants

Guidelines for Budget Classification, Definition Expenditure Accounts, and Object Accounts

EXPENDITURE ACCOUNTS

11000	**Instruction:** includes activities dealing directly with the interaction between teachers and students (e.g., Title I teachers, paraprofessional).
17900	**Payments to other Governmental Units:** Transfer from one LEA to another LEA to support equitable services regarding non-public schools.
20000	**Support Services – Student:** Activities designed to assess and improve the academic performance of students and to supplement the teaching process (e.g., social worker, counselor, nurse).
22100	**Improvement of Instruction:** Activities primarily for assisting instructional staff in planning, developing, and evaluating the process of providing learning experiences for students. These activities may include curriculum development, techniques of instruction, child development and understanding, and staff training or professional development.
22900	**Other Support Services:** Other support service staff administering the Title I Program (e.g., Program Administrator, Title I secretary).
25191	**Refund of Revenue:** Refund of revenue received earlier, but now requiring refund to person or unit from which received (excess carryover).
26400	**Operation and Maintenance:** Activities for service and or repair of equipment (e.g., printers, screens).
27000	**Student Transportation:** Student transportation to and from school, i.e., before school programs; after school programs.
33000	**Community Service Operations:** Activities which are not directly related to the provision of education for pupils in the school corporation, i.e., parental involvement.
60100	**Transfers:** Reimbursing transportation for choice transportation.
60600	**Indirect Costs:** Amounts authorized for payment to the General Fund of the school corporation, per approved rate, to reimburse for certain administrative cost.

OBJECT ACCOUNTS

110	**Certified Salaries:** Amounts paid to employees who are required to be certified by the Division of Education Learning and Development in order to engage in a contractual agreement with the school corporation (e.g., teachers, program administrators, literacy coaches).
120	**Noncertified Salaries:** Amounts paid to employees of the school corporation who are classified as noncertified Title I (e.g., teachers, program administrators, literacy coaches, paraprofessionals).
211-290	**Employee Benefits:** Certified Employee Benefits.
211-290	**Employee Benefits:** Noncertified Employee Benefits.
311-319	**Professional Services:** Purchase of professional and technical services that can be performed by persons with specialized skills and knowledge (e.g., contracted services, agreements with consultants).
440	**Rentals:** Expenditures for leasing or renting a building (e.g., leasing for a Title I pre-school).
510-593	**Other Purchase Services:** Expenditures for transporting children to and from tutoring, telephone, postage, postage machine rental, printing, travel.
611-689	**General Supplies:** Expenditures for general supplies, including books.
710-748	**Property:** Expenditures for acquiring capital assets, i.e., computer hardware, software, technology hardware, furniture.
910	**Transfer:** Used as an accounting entry to show that funds have been handled without having goods and services rendered in return (e.g., excess carryover, reimburse transportation for cost of choice transportation, correction of errors).