

# SCHOOL IMPROVEMENT GRANT



## DEVELOPMENT TOOLKIT



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## **School Improvement Grant Budget Development Toolkit**

This toolkit has been designed to assist focus and priority schools in developing substantially approvable budgets using School Improvement Grants (SIGs). In Part I, Budget Development, each topic is formatted to assist in the budget development process by providing guiding questions, step-by-step budget development, examples, subsequent years of funding, checklists, function codes, and cross-referencing.

Part II, External Service Provider, has been designed to guide schools and districts in the vetting and selection process of External Providers and/or Developers. In this section, there are a series of guiding questions and steps to follow to ensure the opportunity to have a positive and productive partnership with the provider(s).

Finally, Part III of the Toolkit, Unpacking Tool, provides a brief explanation of how to develop your Unpacking Tool and “unpack” your reform plan and SIG application. The unpacking is a process that must occur through on-going collaborative conversations. This section explains how your Unpacking Tool and funding sources are aligned to the overall focus of the school.

Use this toolkit as a guideline to inform the decision making processes in order to ensure that all budget items meet the criteria to be substantially allowable expenditures.

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## Introduction

It is our goal to assist focus & priority schools in developing their SIG budget to be approved in a timely manner. To ensure not only an expedited process but a meaningful process as well, schools are encouraged to work together using collaborative conversations with all stakeholders, including their SIG Monitor/Facilitator, to develop a comprehensive budget that truly reflects and supplements the reform and turnaround efforts.

School Improvement Grant budgets that are considered substantially approvable are those budgets that meet the criteria of three critical aspects; (a) **A**llowable, (b) **R**easonable, and (c) **C**onnecting. Review each component of **ARC** in order to become familiar with this three-prong test for developing a substantially approvable budget.

### ARC

#### *Allowable, Reasonable, Connecting*

**Allowable:** All budget items must be allowable under Title I and SIG guidelines. The supplement vs. supplant applies to SIG funding. In order to understand and meet the criteria of this component, use the following questions as a guide.

1. Is this expenditure the responsibility of the district?
2. Without the SIG, would this expenditure be supported using general funds?
3. Is the district providing this same expenditure to other non-SIG schools?

*If your answer does not place the responsibility on the district, the expenditure is usually determined allowable. Remember that purchases by General funds one year cannot be supplanted by SIG funds the following year. However, purchases by any other Categorical funds any given year can be replace with SIG funds at any time!*

**Reasonable:** All budget requests must be within reason. Excessive or extra items and/or services will not be approved. In order to meet the criteria of this component, use the following guidelines.

1. Is the requested amount reflective of current populations and/or needs?
2. Will the services and/or supplies be used immediately?
3. Is the requested amount equitable?

**Connecting:** Every expenditure must connect to and align with the “Big Ideas”, the SIG application, the Reform Plan, and the Unpacking Tool. SIG schools are Focus and Priority school who have been awarded addition funding to assist with full implementation of their intervention plan and model. When expenditures cannot be connected either directly or indirectly to turnaround efforts, budget requests are usually denied.

Review and use the next sections of this toolkit to develop a comprehensive and substantially approvable budget. Apply the ARC test to every budget consideration and decision to minimize confusion and ambiguity and to maximize the opportunity for an expedited budget approval.

# Budget Development

## Additional Compensation

Using your SIG to compensate administrators, teachers, and other staff and personnel is an acceptable expenditure using SIG funds. However, SIG funded additional compensation may only be used when personnel are working outside of their contracted hours and the activity they are working is SIG related. Review the guiding questions and follow the steps below to ensure that your budget meets the three-prong ARC test!

### Guiding Questions

1. Is the individual an employee of the school or district?
2. Is the employee working outside of his/her contractual hours?
3. Have contracts and agreements been reviewed in order to adequately answer questions 1 & 2?
4. Is the additional compensation request directly related to SIG activities? What evidence exists that the activities can be verified as SIG related?

Follow these steps to develop a substantially approvable budget for staff and personnel line items:

### Step 1: Use the Unpacking Tool to align activities with expenditure

- All activities requiring additional pay should be detailed in the Unpacking Tool. These activities are typically before/after school, extended year, professional development, family and community events.

### Step 2: Identify the individuals for additional compensation when possible

- Provide a list of the individuals (titles) receiving additional compensation. Indicate amount of time or an estimate of time that is expected to be logged.
  - General terminology and using titles are both acceptable. For example, if you anticipate that five teachers will be conducting before or after-school tutoring or remedial work, the budget narrative may reflect "5 teachers" without providing actual names.

### Step 3: Use separate line items

- Budget should distinguish between teacher, administrators, and other type of staff when requesting additional compensation.

### Step 4: Provide further details of SIG related activities if not listed in the Unpacking Tool

- Provide dates, times, and explanation of why additional compensation is necessary.



## Before & After-School Programs

Before and after school programs and activities can be a viable way to utilize SIG funds. These programs must have a specific and targeted focus that is identified through needs assessment and that are data driven. Start with these guiding questions then follow the steps below to successfully request funding for your before and after-school programs and activities.

### Guiding Questions

1. How is membership or participation defined?
2. What are the expected outcomes for students?
3. Is the program or activity an intervention?
4. Is the program or activity enrichment?
5. Is the program or activity funded by the district for other schools?

### Step 1: Identify the program or activity

- Although it has become popular to name academic tutoring and programs as clubs, this language may cause ambiguity and lead to your budget request being denied. Review the section on clubs below and adjust accordingly.

### Step 2: Provide a detail description

- Describe the purpose of the program, the target population, and expected outcomes. Identify the estimated number of students to be serviced, the length and duration of the program, and the occurrence of the program, i.e. *twice a week, from 3:00-4:00, in cycles of eight weeks or per marking period.*
- When possible, include schedules, list of materials needed, identified staff, and location.
- Articulate how data will be collected, reported back to staff, students, and parents, analyzed, and utilized to improve student achievement and success.

### Step 3: Provide written contracts or agreements

- If the before or after school program is being managed by an outside agency, attach the contract, agreement, or written arrangement. Outside agencies should provide the same details listed in steps 1 and 2.

### Clubs

Clubs are usually an unallowable expenditure using federal funds. Review the definition of what constitutes a club and take note of the key components that render it unallowable.

*A club is an association or organization dedicated to a particular interest. In education, clubs are usually led by an adult who shares an association with the school and/or community. Clubs usually meet after school and*

*occasionally before school and are open to the entire student body for participation. Criteria for club membership is usually limited to interest-only.*

In the above definition, two components render “clubs” as an unallowable expenditure using the SIG:

- Based on interest
- Open to entire student body

Research supports the many benefits that students gain from participating in clubs and social groups. This toolkit is not designed to question its value. SIG funded programs must target specific needs of students with measurable outcomes. After school programs must target a specific group of students and have an academic and/or student success focus. The following clubs or after-school programs are typically deemed as an unallowable expenditure using SIG funding. This list provides examples and is not all inclusive:

Typically Unallowable		
<ul style="list-style-type: none"><li>• Gymnastics</li><li>• Karate</li><li>• Chess</li><li>• Debate</li></ul>	<ul style="list-style-type: none"><li>• Science</li><li>• Social</li><li>• Cheerleading</li><li>• Drill Team</li></ul>	<ul style="list-style-type: none"><li>• Garden</li><li>• Botany</li></ul>

### Expediting SIG Budget Approval for Before & After-School Programs & Events

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

**Artifacts:**

- Detailed description of the program as an attachment
- Contract or agreement when using an outside vendor
- Job description of any personnel being hired to assist with the program.
- Detailed list of materials, supplies, and/or equipment needed to support the program/activity



## Books

Purchasing books using SIG funds can be an area of scrutiny. For that reason, clear and concise budget requests are a must! In order to supplement and not supplant begin by categorizing the type of texts being considered and by asking a series of questions which will clarify whether or not the expenditure is allowable. Use the table below to help determine the appropriateness of your expenditure request. Use this set of questions to guide your planning:

### Guiding Questions

1. Is there a core program?
2. What components of the core program already exist?
3. Were the same books purchased using general funds?
4. Is it a district expectation that every classroom have a class set?
5. Is it a district expectation that every student has a copy?
6. If the school or district has adopted a program, which components are considered as supplement or peripheral?

Text Type	Typically Unallowable	Allowable Examples
Textbooks	When purchased as Core Text school wide, by grade-level and/or subject-area	<ul style="list-style-type: none"> <li>• Additional texts for students to have a copy to take home or to another class or project</li> <li>• Parallel text in home languages</li> <li>• E-text</li> <li>• Books-on-tape</li> </ul>
Big Books	When purchased as the Core Reading Program	<ul style="list-style-type: none"> <li>• Additional big books for classroom libraries, literacy rooms, stations, centers, working with interventionist</li> </ul>
Readers Leveled Readers Libraries  Classroom Libraries	When purchased as a part of the Core Reading or ELA Program	<ul style="list-style-type: none"> <li>• Initially identified as supplemental</li> <li>• Additional readers for classroom libraries, literacy rooms, stations, centers, working with interventionist, check out system for home reading</li> </ul>
Workbook	When purchased with the Core Program as <b>consumable</b>	<ul style="list-style-type: none"> <li>• Additional workbooks when workbooks were purchased with the Core Program as <b>non-consumable</b></li> </ul>

Text Type	Typically Unallowable	Allowable Examples
Magazines or Magazine subscriptions	When provided for other schools in the district or other programs in the school	<ul style="list-style-type: none"> <li>Magazines and magazine subscriptions that supplement the curriculum</li> </ul>
Reference & Resource Books	When provided for other schools in the district or individual teachers at the site.	<ul style="list-style-type: none"> <li>Additional reference and resource books as libraries and/or individual copies for teachers, students, and/or parents.</li> </ul>
Professional Development Books		<ul style="list-style-type: none"> <li>Usually always allowable for teachers, administrators, and support staff</li> </ul>
Adult Literacy		<ul style="list-style-type: none"> <li>Usually always allowable for parent and community programs</li> </ul>

Once you have determined the types of texts that will supplement your instructional programs and practices, follow these steps to prepare a substantially approvable budget:

**Step 1: Use the Unpacking Tool**

- With your Administrative staff, Leadership Team, and General staff, develop all sections of the Unpacking Tool. Use sections one (Instruction), two (Professional Learning), and four (Parent Engagement) to describe how the texts connect to the Big Ideas and instructional focus of the school:

Instructional programs and practices derived from data, research-based, and vertically aligned from one grade to the next as well as with State of Michigan academic standards.  
*State the Big Idea this supports*

Provide staff ongoing, high-quality, job embedded Professional Development aligned with instructional program and designed with school staff.

Family and Community engagement strategies implemented to support student success.

## Step 2: Create a comprehensive list

- Once you have included your texts in the Unpacking Tool and create a comprehensive list that provides the following information:
  - Name/Title of Text
  - Text type (i.e. textbook, leveled readers, novels)
  - Quantity
  - Cost per unit & total cost
  - Grade-level or type (i.e. professional learning book study)
  - Vendor/Publisher

### Expediting SIG Budget Approval for Books

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

- Copy of the Unpacking Tool
- Comprehensive list or Order Form

Function Code(s)
111, 112, 113, 221, 331

Budget Percentage
Professional Learning should not exceed 20% of the total annual building award.

Cross Reference
See section on Increased Learning time, Additional Compensation, and Substitutes.

Notes

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## Class Size Reduction

Using your SIG to reduce class size is an option to consider. Class Size Reduction or CSR is an allowable expenditure when using SIG funds if all of the criteria are met. However, deciding to use SIG funds to support CSR requires extensive documentation as compared to other budget requests. Begin by using the guiding questions below to help determine allowability. If the answer to any of the guiding questions is “no”, CSR may not be funded using the SIG.

*\*Note: CSR is not a “leveling” process, it must be grounded in need, intentional practice, and supported by research.*

### Guiding Questions

1. Is class-size reduction directly related to, as well as reasonable and necessary for, the full and effective implementation of the selected intervention model?
2. Has a needs assessment been conducted that identified specific needs that can be improved through the support of CSR?
3. Will class-size reduction represent a meaningful change that could help improve student academic achievement from prior years?
4. Is the specific CSR being proposed supported by research and demonstrates improvement in student achievement?
5. Does CSR represent significant reform that goes beyond the basic educational program of the school?

If all of the above criteria are met, use the following the steps to complete a budget for consideration:

### Step 1: Respond to Guiding Questions

- Provide a detailed response to the guiding questions above. Address each question separately, as its own response, to ensure that the explanations clearly and concisely align to each question.

### Step 2: Develop an Implementation Plan

Take time to develop an implementation plan to show where CSR will be utilized.

- Include the proposed classrooms, grade-level, subject areas, or specific teachers. Be specific! In other words, descriptions such as “reducing two classrooms” or “reducing our upper elementary” do not provide enough specificity. Be deliberate and intentional about implementation. For example, an acceptable description would be: *Grades 4 and 5 will implement the class size reduction initiative. There are three classrooms at grade 4 and two classrooms at grade 5. There will be an additional classroom added to each grade level...*
- Describe physical location and capacity.

- Describe the monitoring process to support that CSR is working.
- Describe the protocol that administration will follow in order to ensure that CSR classrooms are not supplanting when student enrollment increase and the school is allotted additional teaching staff.

**Expediting SIG Budget Approval for Class Size Reduction**

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

**Artifacts:**

- Narrative response to the five questions (attachment)
- Implementation Plan
- Map of the school showing where new classrooms will be located

**Continued Funding for Years 2, 3, 4, & 5**

In order for class size reduction expenditures to be approved for subsequent years of the grant, the school must demonstrate the effectiveness of the programs or strategy by providing positive measurable outcomes and program evaluations.

Function Code(s)
111, 112, 113

Budget Percentage
Personnel expenditures should not exceed 30% of the total annual building award.

Cross Reference
See section on Increased Learning time, Additional Compensation, and Substitutes.

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## Contracted Services

Using your SIG funds for contracted services is typically an allowable expenditure. Not all contracted services are External Services Providers (ESPs) or Developers. For information on ESPs, see Part Two of the Toolkit. Contracted services that are discussed in this section refer to all other providers that require a written agreement or contract. Use the guiding questions and follow the steps to determine if the contracted service meets the ARC test for SIG funding!

### Guiding Questions

1. Is there a written agreement or contract in place at the school or district?
2. Are the basic services the responsibility of the district?
3. Are the basic services provided to all of the schools in the district, not just SIG?
4. Is additional compensation required to fulfill the SIG-related activity?
5. Is the contracted service provider qualified to do the work?
6. Do employees of the contracted service possess valid certifications, experience, and qualifications to do the work?

### Step 1: Identify the contracted service

- Provide a detailed explanation for this expenditure request. Include in the explanation how the expenditure will cover costs above and beyond what is already in place or what the next contract entails.

### Step 2: Develop a timeline or calendar

- Develop a timeline or calendar that indicates the time(s) that will be contracted.

### Step 3: Connect to Unpacking Tool or other plan

- Show the connection to the Reform Plan or SIG Application if the contracted service is not an ESP. For example, some local and community agencies, which support afterschool and summer programs may be contracted. These programs are not held to the External Service Provider application process.
- Use the Unpacking Tool or any other implementation plan to show how the contract is connected to the big ideas and reform efforts

### Step 4: Connect to other budget requests

#### Additional Compensation

- If the contracted service is already in place, i.e. transportation, food services, security services, describe in detail what the expectation of additional compensation entails. Cross-reference this explanation with your "Additional Compensation" section.

**Expediting SIG Budget Approval for Contracted Services**

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

**Artifacts:**

- Detailed narrative (attachment)
- Copy of contract or agreement, when contracted services relate only to the school. (copies of district contracts for transportation, food services, for example, are not needed)
- Implementation Plan
- Copy of the Unpacking Tool
- Calendar of events

**Continued Funding for Years 2, 3, 4, & 5**

In order for contracted services expenditures to be approved for subsequent years of the grant, the school must demonstrate the effectiveness of the programs and/or services by providing measurable outcomes, program, and individual's evaluations.

Function Code(s)
111, 112, 113, 119, 213, 216, 221, 227

Budget Percentage
External Service Provider expenditures should not exceed 30% of the annual building award. Personnel expenditures should not exceed 30% of the total annual building award. Professional Learning expenditures should not exceed 20% of the total annual building award.

Cross Reference
See section on Additional Compensation.

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*\*Note: Be sure to differentiate between contracted services and jobs (positions). This may lead to union contract issues.*

## Equipment

Unlike furniture, using SIG funds for purchasing equipment may be more flexible. The nature of educational equipment is to aid and/or assist the teacher/student in accomplishing a learning task. Equipment may also be used to provide organization and a safe and orderly learning environment.

Use the guiding questions and the following steps to assist you in developing an equipment budget that meets the ARC test and reduces ambiguity.

### Guiding Questions

1. Does this equipment already exist?
2. Would it be the responsibility of the district to provide this equipment or does the district already provide this equipment to other non-SIG schools?
3. Can the need for this equipment be directly connected to student achievement, student success, and/or safe and orderly environment?
4. Will the equipment be able to be maintained beyond the life of the SIG?

### Step 1: Identify the needed equipment

- Be specific! Naming the style, model, unit cost, and capacity is not too detailed. This information can be submitted in narrative form or as a list. For example: *10 Company X, Tablet/iPad charging and storage carts for 30 iPads, on rollers. \$1,029.00 (shipping is free).*

### Step 2: Provide justification

- Include explanations that address organization and efficiency, safe and orderly environments, or expected student outcomes by having access, student achievement or success, differentiation, higher order thinking, etc.
- Submit the justification as an attachment. By making it an attachment, you will not be restricted by the number of characters available in MEGS+. Additionally, attachments allow for the budget reviewer to maintain a focus.

### Step 3: Review your request and align to current demographics

- When requesting equipment, ensure that your request matches the:
  - Enrollment
  - Number of staff members
  - Number of classrooms
  - Estimated parents
  - Number of units

*In other words, if your student enrollment is 250 students, your request for graphing calculators is 400, and the justification you provide is that you want to make sure you have extra just in case they*

*are lost and/or damaged, your request would not meet the "R" (Reasonable) of the three-prong ARC test and would be deemed as unallowable.*

Below you will find a list of the types of equipment that are often requested using SIG funding:

**Typically Allowable**

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>• Computer carts</li> <li>• Mobile Storage Units</li> <li>• Servers</li> <li>• Computers</li> <li>• Calculators</li> <li>• LCD Projectors</li> </ul> | <ul style="list-style-type: none"> <li>• Book Carts    Graphing Calculators</li> <li>• Microscopes</li> <li>• Digital Cameras</li> <li>• Video Cameras</li> <li>• Document Cameras</li> <li>• Interactive White Boards</li> </ul> |
|---|---|

**Expediting SIG Budget Approval for Equipment**

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

- Detailed list of equipment with specifications (attachment)
- Narrative of justification (attachment)

Function Code(s)
111, 112, 113, 225

Budget Percentage
Technology should not exceed 20% of the total annual building award.

Cross Reference
See section on Technology.

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## Events

Events can encompass a wide range of possibilities. In this section, we will provide information on hosting events using SIG funds for before, during, and after school as well as address the audience of students, parents/community, and staff. This section will also provide guidance on expenditures related to food, decorations, compensation, and other event-relevant supplies.

### Guiding Questions

1. Does the event have an academic focus?
2. Is the event hosted in order to involve parents in the reform efforts?
3. Will the event allow for parents/community to become involved with student achievement?
4. Does the event occur outside of the instructional day?

### Step 1: Use the Unpacking Tool

- Most events deal directly with involving family and community. These activities should connect directly to your reform efforts. Use section four of the Unpacking Tool:

Family and Community engagement strategies implemented to support student success.

### Step 2: Determining the event

- Be sure that your Family Liaison is either planning the event and/or is heavily involved with in the planning process.
- Look at the needs of the school and determine which events, that do not already exist, could help to increase student achievement and student success.
- Use the list of events below in your planning.
  - Fairs
  - Parent Nights
  - Parent Meetings
  - Parent University

Be certain that your event(s) does not fall into the category of "Social Events."

\*Social events will be deemed as unallowable.

### Step 3: Plan the event

- Plan your events for the year. Calendar the dates, times, and location, even if they are tentative.
- Describe the objectives and goals of the event and provide the expected outcomes.
- Define what a successful event is. Include a tool or tools for measuring success.

- List personnel that will be compensated for attending.
- Provide a comprehensive supply list. This list may include the following:
  - Basic staples (table clothes, paper cups, etc.)
  - Supplies (note pads, pencils, clipboards, etc.)

\*\*Food: If food is going to be served, describe the type of food and quantity. See note below on food allowability.

**Social Events:**

\*Social events do not connect directly to student achievement and success. Therefore, social events are an unallowable expenditure. When a social event is coupled with an opportunity/event to address components of the reform model, the social event cannot but funded using SIG but the opportunity/event may. For example:

*School X experiences difficulty with getting parents involved with the reform process. The Parent Liaison decides to host a concert (social event) to draw parents to the school. He knows that parents would respond to this type of event. Admission to the event comes in the form of a Gallery walk and Round-table discussion with teachers about their child’s progress. During the Gallery walk and round-table discussion, food and beverages are served. Teachers are also expected to attend this portion of the event. All expenditures, including compensation, that relate to the Gallery walk and Round-table discussion are allowable expenditures using SIG funds. Any aspect of the concert would be deemed as “unallowable.”*

**Food:**

\*\*Food can be an allowable expenditure for adults. Meals may also be an allowable expenditure for students. Work with your SIG Monitor to determine allowability. Food becomes unallowable when it does not meet the “R” or “Reasonable” aspect of the ARC test. Use the following examples as guidelines for reasonable budget requests:

- Pizza
- Sandwiches, Deli meats
- Popcorn, Chips
- Snacks
- Donuts, muffins, cookies
- Bottled Water, juice

**Expediting SIG Budget Approval for Events**

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:



## Field Trips & Experiences

Using your SIG funds to support field trips has typically been an unallowable expenditure. Too often, schools fail to make a meaningful and measurable connection with the trip to student achievement and success. Field Experiences, however, should be considered a viable option to the traditional paradigm of field trips. Schools should develop a comprehensive plan if field experiences play an important role in your turnaround and reform efforts.

Use the guiding questions below and follow these steps to assist you in developing a Field Experience plan that meets the ARC test!

**\*Note:** *Field Experiences should grow out of the planning. Planning should not be around the Field Experience.*

### Guiding Questions

1. Is the field experience measurable?
2. What might an assessment tool look like?
3. How will this field experience improve academic performance and/or student success?
4. How does the field experience align with the Big Ideas and the scope and sequence of the curriculum being enacted?
5. Is the field experience or are field experiences equitable? Do all students have the opportunity to participate?

### Step 1: Determine the field experience

- Look at your academic and/or climate & culture focus for the school. Determine where the field experience fits into the scope of planning; (a) tapping into/ building background knowledge, (b) delivering content, or (c) serving as a culminating strategy that is measureable (check for understanding and/or formative assessment). **OR**
- Look at the school's central theme (New Tech, CTE, STEM, STEAM, etc.). Determine how the field experience fits into the scope of planning to prepare students to be college and career ready.

### Step 2: Connect with the field experience provider

- Connect with the provider by visiting the website, calling, and/or touring the site in person or in teams.
- Determine what resources are available that can supplement your learning focus.
- Ask about curriculum that may already be developed and ready for use. Or, determine if curriculum can be customized to align with your learning focus.

### Step 3: Develop a plan

- Student participation should be interactive. Students should be able to articulate where they are going, why they are going, what they are expected to learn, reflect on their learning, and apply new learning to the targeted focus.
- Write a plan that clearly demonstrates how the field experience is an integral part of the lesson delivery.
- If your school is engaged in Project Based Learning (PBL), field experiences are naturally situated within this context.
- Plan must connect to your Big Ideas and instructional priorities. If the plan is to support Culture and Climate, this should also be well articulated.
- Establish what the expected outcomes are for students. Develop and describe how these outcomes will be measured.
- Include timelines and tentative dates.

### Step 4: Create an itemized list

- Once the field experience has been developed, determined, and planned, create an itemized list that includes:
  - Number of students
  - Number of adults
  - Admissions costs and any possible materials or service costs
  - Transportation cost
  - Additional compensation costs

**\*Note:** Food is an unallowable expenditure for both students and adults in field experiences.

### Expediting SIG Budget Approval for Field Experiences

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

#### Artifacts:

- Copy of the Unpacking Tool
- Copies of lesson plans or project plans
- Copy of Itemized list
- Copy of the evaluation tool(s)

### Continued Funding for Years 2, 3, 4, & 5

In order for field experience expenditures to be approved for subsequent years of the grant, the school must demonstrate the effectiveness of the field experience by providing measurable outcomes, program evaluation, and/or student perception data.



## Furniture

Using SIG funding to purchase furniture is more often an unallowable expenditure. There are several valid uses of funding to support the purchase of furniture that directly affect the organization and implementation of a targeted focus. However, when those purchases may be identified as supporting the infrastructure, furniture then falls back into the unallowable status. Review the following item types to assist you in requesting expenditures that will be allowable. Remember that all of the below examples are subject to the ARC test!

### Guiding Questions

1. Is there a community partner that can provide re-commissioned furniture?
2. Does the district have surplus or a surplus center?
3. Would the furniture purchase be considered infrastructure and is the responsibility of the district?
4. Is the furniture necessary to implementation of the SIG funded activity?

### Step 1: Determine the furniture need

- The section is always connected to another SIG expenditure.
- Typically, furniture requests connect to new personnel and/or new materials and equipment.
- Ensure that your furniture request is not infrastructure in nature and the responsibility of the district.

### Step 2: Connect furniture need to other SIG activity

- Clearly articulate how the furniture request connects to other SIG activities. For example, furniture is often requested to set up a new room or center that did not exist before the SIG award.
- Write a justification for why the furniture is needed or include the request in the Unpacking Tool under funding source.

### Step 3: Create a separate comprehensive and detailed list

- Be specific! Naming the style, model, unit cost, and quantity is not too detailed. This information can be submitted in narrative form or as a list. For example: *20 Company X, office chairs, unit cost \$59.00, total, \$1,180.00 (shipping is free).*

### Step 3: Separate line items

- Furniture requests should not be aggregated. Each type of request should appear on its own budget line.
- When furniture is lumped together, the reviewer will automatically use the modification status and ask for items to be disaggregated.

**Typically Allowable**

- Bookcases
- Shelving
- Additional Student tables
- Classroom tables with a specific design
- Kidney tables
- Book organizers
- Additional Student desks
- Student cubicles
- Rugs/Carpets (early literacy themes)
- Additional Chairs
- Specialized Chairs

**Typically Unallowable**

- Staff desks
- Arm chairs
- Specialized furniture for exceptional needs
- Sofas
- Conference tables
- Any of the above items in excess
- Any of the above items that are the responsibility of the district

**Expediting SIG Budget Approval for Furniture**

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

**Artifacts:**

- Copy of the Unpacking Tool
- Narrative of connecting furniture to SIG activity
- Narrative of justification
- Copy of Itemized list

Function Code(s)
111, 112, 113, 331

Budget Percentage
n/a

Cross Reference
See section on Increased Learning time, Additional Compensation, and Substitutes.

Notes

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## Increased Learning Time

Using SIG funds to support increased learning time is a viable way to support teaching and learning. If your school has selected Transformation or Turnaround as your intervention model, increased learning time is a requirement. First review the definition of how “increased learning time” is operationalized. Then use the guiding questions and steps below to create a substantially approvable budget request for increased learning time.

“Increased learning time” means increasing the length of the school day, week, or year to significantly increase the total number of school hours so as to include additional time for (a) instruction in core academic subjects including English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography; (b) instruction in other subjects and provision of enrichment activities that contribute to a well-rounded education, such as physical education, service learning, and experiential and work-based learning opportunities; and (c) teachers to collaborate, plan, and engage in professional development within and across grades and subjects.

### Guiding Questions

1. What intervention model has been chosen?
2. Does your intervention model require increased learning time?
3. If so, have all three components of increased learning time been addressed?
4. Have all of the potential obstacles for implementing increased learning time been identified, analyzed, and addressed?
5. Does the school have the capacity to service all students who may choose to participate in increased learning time before or after school?
6. Has the school coordinated with the district to ensure technology and transportation needs have been addressed?

### Step 1: Define current learning time at your school

- Provide a current schedule or explanation of what learning time is at your school.
- Use this information as a baseline to demonstrate increased learning time

### Step 2: Develop the three components of increased learning

- Explain how increased learning time for core subject areas will be scheduled.
- Explain how increased learning time enrichment and other non-core subject areas will be schedule.
- Explain how increased learning time for professional learning will be scheduled.

### Step 3: Develop a Progression Chart

- Increased learning time may take place over several phases and over time. Develop a chart that shows the baseline information and implementation of increased time.
- Chart or timeline should identify when implementation begins and when full implementation is expected to occur.

### Step 4: Identify Budget Items

- SIG funds supporting increased learning time usually manifest itself in the form of additional compensation. Follow the directions of additional compensation to submit all of the necessary components for approval.
- Programs, materials, and equipment may also be expenditures under increased learning time. Follow the directions of all that apply.

## Expediting SIG Budget Approval for Increased Learning Time

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

### Artifacts:

- Current schedule or explanation as baseline
- Narrative that all three components are being addressed
- Progression chart (timeline or chart) showing beginning and full implementation
- Copy of or connection to other detailed lists as relevant to increased learning time.

Function Code(s)
111, 112, 113, 221, 241, 252, 266, 271, 283

Budget Percentage
Personnel expenditures should not exceed 30% of the total annual building award.

Cross Reference
See sections on Additional Compensation, equipment, materials, books.

### Notes

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## Instructional Programs

Purchasing instructional programs using SIG can be a challenge. Instructional programs that are SIG funded must be new programs that address intervention, student achievement, and/or student success. SIG funds may be used to implement additional parts of an existing or optional part of an existing program. Additionally, professional learning must align to the programs as well.

In order to mitigate the issues of supplanting, use the following guiding questions to ensure that the instructional program supplements and not supplants. Then follow the steps below to develop a substantially approvable budget.

### Guiding Questions

1. Is the instructional program a new initiative?
2. Is the instructional program a Tier II, and/or III intervention?
3. Is it the district's responsibility to provide the instructional program?
4. Does the data support the need for the chosen instructional program?

### Step 1: Complete the Unpacking Tool

- Any and all instructional programs, whether or not SIG funded, should appear in the first section of the Unpacking Tool.

Instructional programs and practices derived from data, research-based, and vertically aligned from one grade to the next as well as with State of Michigan academic standards.

*State the Big Idea this supports.*

- Any instructional program that is not listed and developed in the Unpacking Tool will not be supported using SIG funds. Additionally, this type of program would not meet the Reform Plan requirements as well.

### Step 2: Create a list

- Most programs are complete packages, be sure to include total cost, components costs, cost per teacher or classroom or grade level, length of time (not to exceed 1 year if there is a subscription agreement)

### Step 3: External Service Providers or Model Developers

- ESPs and MDs should appear in the Unpacking Tool as well.
- They should follow all of the same steps within their contracts by providing:
  - A description of the instructional program
  - Total costs, individual costs, length of time, etc...

### Step 3: Connect to other components of the Unpacking Tool

- Professional learning and Assessment should all connect to and be aligned with the instructional programs identified in the first section of the Unpacking Tool.

#### Expediting SIG Budget Approval for Instructional Programs

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

#### Artifacts:

- Copy of the Unpacking Tool
- List of costs associated with program
- Copy of contracts or agreements with ESPs or MDs and/or subscriptions.

#### Continued Funding for Years 2, 3, 4, & 5

In order for instructional program expenditures to be approved for subsequent years of the grant, the school must demonstrate the effectiveness of the instructional programs providing positive student achievement data that demonstrates growth or the potential for growth.

Function Code(s)
111, 112, 113, 225, 227, 281

Budget Percentage
n/a

Cross Reference
See section on Increased Learning time, Additional Compensation, and Substitutes.

Notes

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## Materials & Supplies

Materials and supplies are a common budget item requests. Both categories are broad in scope and open for interpretation. Use the following information and steps to assist in minimizing confusion and ambiguity when requesting materials and supplies.

### Guiding Questions

1. Are the materials being requested above and beyond the basic supplies of the school?
2. Do the supplies directly or indirectly related to SIG funded activities or Reform efforts?
3. Are the materials and supplies key to the operations of the work around reform or the positions funded by SIG?

### Step 1: Use specificity

- Avoid requests that state "Materials" or "Supplies" as a stand-alone item.
- Use qualifying terminology such as:
  - Art Supplies
  - Craft Materials
- Identify instructional supplies and materials that directly relate to instructional practice, professional learning, assessment, and/or parent-community involvement:

### Step 2: Create a brief narrative that clearly connects to reform

- When writing this narrative, explain why SIG funds are needed to purchase the materials and supplies.
- Explain how the purchase will NOT supplant but supplement. *For example, be cautious when requesting items such a paper, scissors, staplers, etc... Be sure to explain or provide evidence that these basic materials already exist and that there is a budget to support these materials for everyday use for the school year.*
- If totals are added to the last column of the Unpacking, the above narrative is not necessary.

### Step 3: Create an itemized list

- Create a list that identifies the materials and supplies individually and that contains the following:
  - Name (i.e. scissors)
  - Quantity (i.e. 25)
  - Cost per unit (i.e. \$3.99/pair)
  - Total cost (i.e.\$99.75)

**Step 4: Submit line items by theme, topic, or category**

- It is not practical to submit materials and supplies as separate line items. However, when they are all submitted together, the reviewer may not have the option to approve some of the items and not others. In that case, the entire line would move to “modification” status or simply be deemed as unallowable.
- Create themes, topics, and/or categories to submit materials and supplies. Use the following examples as a guide:

<b>Balanced Literacy-Stations/Centers (K-3)</b>			
Item	Qty	Amount	Total
Scissors	25	\$3.99/pair	\$99.75
Construction Paper	5	\$12.99/ream	\$64.95
Alpha Rubber Stamps	5	\$25.99/set	\$129.95
<b>Total</b>			<b>\$294.65</b>

**Expediting SIG Budget Approval for Materials & Supplies**

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

**Artifacts:**

- Copy of the Unpacking Tool
- Brief Narrative if not listed in the Unpacking Tool
- Itemized list of supplies/materials by theme, topic, or category

Function Code(s)
111, 112, 113, 221, 225, 283

Budget Percentage
Professional Learning should not exceed 20% of the total annual building award.

Cross Reference
See section on Increased Learning time, Additional Compensation, and Substitutes

Notes

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## Personnel and Staff

Using your SIG funds to hire personnel and staff can be valid expenditures. Currently, grant recipients are required to designate the following positions:

- SIG Coordinator
- Data Coach
- Family/Parent Liaison
- Mental Health (SIG III only)

*\*Note: These positions do not qualify for merit pay.*

The Full-Time Equivalencies (FTEs) for each of these positions are based on the enrollment on each school. Use the guide below to plan your budget:

- Building enrollment of 250 students or less: should not exceed 0.5 FTE per position.
- Building enrollment of 251 to 500 students: should not exceed 0.7 FTE per position.
- Building enrollment of 501 or more students: should not exceed 1.0 FTE per position.

These positions can also be combined. For example, if your school does not require a 1.0 FTE SIG Coordinator or Data Coach, you may combine the two positions as SIG Coordinator/Data Coach. You may also combine positions with existing positions: Instructional Specialist/Data Coach. In this case, your budget would reflect .50 FTE SIG funding.

Use your SIG funds to support other positions as well. When doing so, make sure that the requested positions are the result of extensive collaborative conversations with all stakeholders and stem from what the data and research has identified as necessary to help with your reform efforts. Use the guiding questions and examples below to assist with determining appropriate personnel requests.

### Guiding Questions

- 1 Does the position already exist?
- 2 If the position does exist, are you requesting additional personnel that will target turnaround efforts?
- 3 If the position does **not** exist, would it normally be the responsibility of the district to provide the position?
- 4 What did the data reveal to come to the conclusion to hire this position?
- 5 How might this position and/or duties of this position be sustained when the grant ends?

SIG funds may be used for most support staff that is considered above and beyond what is already provided through general funding. Use the list below to see positions that typically are allowable and unallowable:

### Typically Allowable

- Para-Professional
- Literacy Coach
- Math Coach
- Transition Coach
- Interventionist
- Transition Coach
- Culture and Climate Coach
- Graduation Coach
- Behavioral Interventionist

### Typically Unallowable

- Site administrator
- Nurse
- School Psychologist
- Attendance Officer
- Truancy Officer
- Security Guard
- Custodian
- Food Service Personnel
- Maintenance

It is important to not confuse “additional compensation” with positions listed in the “Typically Unallowable” category. Additional compensation applies to any site and possibly district and contracted service worker when the additional time accrued is outside of the contracted hours and the activity is SIG related. In other words, SIG funds would most likely never be approved to hire an additional custodian; however, custodians may receive SIG funded overtime or additional time when they work outside of their normal day or year.

Follow these steps to develop a substantially approvable budget for staff and personnel line items:

#### Step 1: Provide Job Descriptions

- Detailed job descriptions are best. Vague or generic job descriptions will usually require additional information. When additional information is requested, your budget’s line-item will be moved to “modifications required.”
- When positions are combined, be sure that the job description shows percentage of time dedicated to the work funded by the SIG.

#### Step 2: Align Job Duties and Titles

- Be sure that job descriptions match the position title. For example, be careful when submitting a district job description that may state “Family Liaison” when your line item states “Family Engagement Specialist.”
- For auditing purposes, it is important that names and titles reflect accurate information.

#### Step 3: External Provider Contract

- Often, positions are hired through ESPs or Model Developers. Be sure that the proposal or contract articulates and details the title of the position, duration (120 days), frequency (if possible and/or applicable), and costs/fees associated with the position.

#### Step 4: Use the Unpacking Tool

- When possible, list the positions in the Unpacking Tool. Typically, these positions would be listed and described in the 5<sup>th</sup> column:

**Implementation of Adult Actions:**  
*How is this being monitored for fidelity of implementation by all responsible adults?*  
OR  
*How do you know that teachers are using the appropriate assessment data to adjust and plan for future instruction?*  
OR  
*How are these strategies monitored to ensure they are implemented as planned?*

- Use the last column or 6<sup>th</sup> column to provide detailed funding:

**Funding:**  
*How will this be funded? How much will it cost (provide details)?*  
*This will inform:*

- *the DIP and in turn, the Consolidated Application*
- *SIG Budget Requests*

#### Expediting SIG Budget Approval for Personnel & Staff

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

##### **Artifacts:**

- Job Descriptions
- Copy of the Unpacking Tool
- ESP or Model Developer Contract or proposal (if applicable)

#### Continued Funding for Years 2, 3, 4, & 5

In order for personnel and staff expenditures to be approved for subsequent years of the grant, the school must demonstrate the effectiveness of each individual through a rigorous evaluation process and favorable perception data. For non-required SIG positions, schools must demonstrate the effectiveness of the position in increasing student achievement or reducing negative student behaviors.



## Professional Learning

Using SIG funds to provide and support professional learning is one of the most acceptable expenditures. Professional learning is one of the four major components to the rapid turnaround process and works hand-in-hand with instructional strategies and use of student data to drive instruction. Use the guiding questions below and follow these steps to develop budget requests that are allowable for SIG funding.

### Guiding Questions

- 1 Is the Professional Learning directly connected to and aligned with the instructional programs and strategies identified in the intervention model?
- 2 Is this a stand-alone or a one-time professional learning activity?
- 3 What protocols have been developed to ensure that individuals are implementing new learning?
- 4 If staff is attending off-site conference, what is the protocol for sharing the new learning with other staff members?

### Step 1: Complete the Unpacking Tool

- With your Administrative staff, Leadership Team, and General staff, develop section two of the Unpacking Tool:

Provide staff ongoing, high-quality, job embedded Professional Development aligned with instructional program and designed with school staff.

### Step 2: Develop a Timeline for Implementation

- Using column III of the Unpacking Tool, determine when each of the professional learning activities will commence and when each will be fully implemented:

#### Timeline

*When will implementation begin? When is full implementation expected?*

### Step 3: Develop and Publish PD and PLC Calendars

- Create a calendar(s) that show professional development days, the expected topics, the company or presenter, as well as list when PLCs meet.

### Step 4: Create Protocols and Expectations for Implementing New Learning

- Develop protocols for staff that explicates the expectations for sharing the new learning and for implementing the new learning.

### Step 5: Provide Details on Travel and Registration

- When traveling to attend professional learning, whether in-state or out-of-state, provide an itemization of potential costs.

- Use the district approved rates. In the absence of district approved rates, use the recommended rates from IRS.
- Itemization should include: (a) registration fees, (b) materials, (c) \*transportation, (d) parking, (e) meal, and (f) lodging.

\*Note: Transportation includes mileage, airfare, train fare, bus and commuter fare.

### Step 6: Limit Requests for National or Out-of-State Conferences

- Be intentional with requests for national and/or out-of-state conferences.
- Describe in detail how attendance to this event is significant to the overall goal of your plan.

#### Typically Allowable

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>• Embedded PL, i.e. coaches, specialists</li> <li>• Materials for Book Studies</li> <li>• Before and after school and summer professional events</li> <li>• Guest Speakers</li> <li>• Contractual PL through ESPs</li> <li>• Contractual PL through Whole School Reform Model Developers</li> </ul> | <ul style="list-style-type: none"> <li>• Conferences with specific focus</li> <li>• National Conferences</li> <li>• Workshops</li> <li>• Train-the Trainer</li> <li>• Membership that is included in registration fee</li> <li>• PL through RESAs</li> <li>• PLCs</li> <li>• Peer Walk-through</li> </ul> |
|--|---|

#### Typically Unallowable

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>• Out-of-State Conferences</li> <li>• Contractual PL through ESPs that exceed recommended cap (\$1,000.00/per diem)</li> </ul> | <ul style="list-style-type: none"> <li>• Membership</li> </ul> |
|---|--|

#### Expediting SIG Budget Approval for Professional Learning

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

#### Artifacts:

- Copy of the Unpacking Tool
- Timeline
- Professional Learning Calendar
- Attachment of an additional detailed explanation (when not included in Unpacking tool)
- ESP Contract/Proposal (if applicable)
- Developer Contract/Proposal (if applicable)

#### Continued Funding for Years 2, 3, 4, & 5

In order for professional learning expenditures to be approved for subsequent years of the grant, the school must demonstrate the effectiveness of the



## Recruitment, Retention, and Incentives

SIG funds may be used for recruitment, retention, and incentives of highly qualified teachers and school leaders. Using the guiding questions and follow the steps below when using SIG funds for this category.

### Guiding Questions

1. Is there an identified need to offer recruitment, retention, and/or incentives to attract highly qualified teachers and/or administrators?
2. Is there a recruitment plan in place?
3. Is there a district merit pay system in place? If so, is it available to all teachers and administrators in all schools, including the SIG schools?
4. Have other non-monetary incentives been created?

### Create separate plans for each type of incentive

#### Step 1: Recruitment

- Recruitment: Identify how your SIG funds will be used to recruit highly qualified teachers and leaders.
- List the type of recruitment activities that will occur (i.e. signing bonus, hiring a recruitment company to assist, etc.)

#### Step 2: Retention

- Develop a plan for how SIG dollars will be used to retain highly quality staff.
- Retention incentives may be in the form of lump sums at the end of each year service. Retention incentives may also be in the form of enhanced salaries based on a one, two, and three year increase or decrease.

#### Step 3: Incentives

- Create a merit pay system that is reflective of essential components such as student achievement and/or student growth:
  - Achievement data does not always have to be State level assessments. Using local assessment systems is a viable way to develop merit pay.
  - Remember, if there is a merit pay system in place at the district level, SIG funds may only be used to “supplement” the merit pay that should be accessible to all district employees.



## Substitute Teachers

Using SIG funds to provide substitute teachers to a site is typically an allowable expenditure when directly connected to SIG activities. Use the guiding questions below and follow these steps to ensure that your budget request is supplementing and not supplanting when substitute teachers are an expenditure.

### Guiding Questions

- 1 Is the substitute being hired to cover a SIG related activity?
- 2 Are the SIG related activities pulling the regular classroom teacher from the classroom for on or off-site participation?

### Step 1: Identify SIG Activity

- Identify the SIG activity in which subs will be required.
- These activities are typically:
  - Attending staff development
  - Attending conference/workshop/training
  - Released to work on Leadership team
  - Released to work on projects

### Step 2: Connect directly to SIG activity

- Budget requests for subs should connect directly to SIG activities in the narrative.
- Remember that schools are focus or priority with a SIG. All activities are associated with that status. SIG is not a status, it is an award of monies, and therefore, all activities are not automatically "SIG" activities. SIG funded substitutes may only cover SIG funded activities.

### Step 3: Provide details

- Provide detailed information to ensure that sub requests align with actual activity. For example:

*5 substitutes at \$120.00/per day for 5 days to cover teachers attending cooperative learning train the trainer in April 5-10, 2015. \$3125.00.*

### Step 4: Create separate line items

- To avoid confusion, submit substitute funding in separate line items.
- Each separate line item should correspond with the SIG funded event. For example, if subs are used to release teachers for PLCs or professional planning, this request may be submitted as one line item. However, if teachers are attending various conferences and/or workshops, a line item should be created that corresponds with each request.

### Step 5: Develop a tracking system

- To avoid confusion, ensure that the site and district tracking system is aligned.
- One substitute pay has been submitted, often times, it is difficult to sort out and match funding to sub pay.
- Provide a brief explanation of how tracking will occur.

### Expediting SIG Budget Approval for Substitute Teachers

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

#### Artifacts:

- Detailed explanation of the line item within MEGS+
- Separate line items submitted to match the SIG activity
- Brief explanation of the tracking process
- Attach a copy of the Unpacking Tool

Function Code(s)
111, 112, 113

Budget Percentage
Personnel expenditures should not exceed 30% of the total annual building award.

Cross Reference
See sections on Events, Field Experiences, Personnel & Staff, and Additional Compensation.

#### Notes

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## Summer School Programs

One of the most viable ways to use SIG funds is to support summer learning and summer programs. Summer activities are naturally situated outside of the normal school day and year therefore becoming automatically supplemental. Only issues of supplanting occur when summer programs and activities are being funded district-wide and are excluding schools with SIGs. Use the guiding questions below and follow these steps to create a substantially approvable budget!

### Guiding Questions

- 1 Is the same summer program(s) being funded district-wide?
- 2 Does the summer program support instructional focus and Big Ideas?
- 3 How students identified to attend the summer program?
- 4 Is the summer program available to all students at your site?

### Step 1: Use the Unpacking Tool

- Summer initiatives should be academic in focus. Academic programs and practices should always be included in your Unpacking tool. Use the first section of the Unpacking Tool to describe your program or activity.

Instructional programs and practices derived from data, research-based, and vertically aligned from one grade to the next as well as with State of Michigan academic standards.

*State the Big Idea this supports.*

- Complete the second and third sections of the Unpacking Tool to determine the professional learning that may need to take place to successfully implement the summer program with fidelity and to analyze student data to evaluate its effectiveness.

### Step 2: Determine event events and activities that support the program.

- Be sure to follow the guidelines for events and field experiences. Often, during summer learning, students are engaged in off-site activities or host events. Follow the guidelines of these other topics to ensure that your summer program is approved. Ensure that each appear as separate line items.

### Step 3: Materials, Supplies, and Equipment

- Be sure to follow the guidelines for requesting materials, supplies, books, and equipment. Although these categories may all be requested to support the summer learning, each must appear as separate line items.

#### Step 4: Personnel & Staff, and Additional Compensation

- Be sure to follow the guidelines for requesting additional personnel and additional compensation. You can expedite the approval process by not submitting these approve requests.
- If personnel is being hired specifically for Summer Activities, include job descriptions.

#### Step 5: Contacted Services

- Often time, summer programs are run in coordination with contracted services or local community partners. Identify the partnership.
- Ensure that a written contract, proposal, and/or agreement is being developed and/or is in place.
- All contracted services should be evaluated for effectiveness. Include, whenever possible, evaluation tools that you have created or that are provided by the contracted services agency.

### Expediting SIG Budget Approval for Summer School Programs

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

#### Artifacts:

- Copy of the Unpacking Tool
- Detailed explanation and list of events
- Detailed explanation and list of materials, supplies, and/or equipment
- Detailed explanation of compensation
- Copies of Job Descriptions
- Copies of contract, proposals, and/or agreements, when applicable.

### Continued Funding for Years 2, 3, 4, & 5

In order for summer program expenditures to be approved for subsequent years of the grant, the school must demonstrate the effectiveness of the programs and/or services by providing measurable outcomes, and program & individual evaluations.

Function Code(s)	Budget Percentage
119	Personnel expenditures should not exceed 30% of the total annual building award.

Cross Reference
See sections on Events, Field Experiences, Personnel & Staff, and Additional Compensation



## Technology

Using SIG funds to purchase technology is one of the most popular decisions. In order to supplement and not supplant, using the guiding questions below and follow these steps to ensure that you develop a substantially approvable budget.

### Guiding Questions

- 1 What technology already exists on site?
- 2 How was the existing technology purchased?
- 3 Will the technology requested be used to support reform efforts and the selected intervention model?
- 4 Can the building physically support the new technology?
- 5 Will infrastructures need to be updated or put into place?

### Step 1: Determine the type of technology that is needed

- Research what type of technology will best fit the needs of the school's focus.
- When requesting hardware, develop a protocol or system for comparing the various machines available, i.e. iPads, Nooks, etc.

### Step 2: Determine how the technology will be supported

- When new technology is being purchased, provide information on how the new technology will be supported.
- Provide a description the technical assistance support that is included.
- Describe any additional support that will need to be purchased.
- When the technology is wide-scale and will be an integral part of the reform effort, will a Technology Coach or Specialist be needed? If so, follow the directions in the Personnel & Staff section to request appropriate support.

### Step 3: Determine how the technology will connected to student achievement and/or SIG activities and personnel

- Provide a narrative of how the technology request connects directly to the turnaround efforts.
- When requesting software, describe in detail how this software with support student achievement, student success, or support SIG funded activities/personnel in effectively completing tasks.

### Step 4: Identify training and professional learning needs

- All professional learning should be described in detail in the second section of your Unpacking Tool.
- Provide a narrative to support any technology requests that do not naturally fit in the Unpacking Tool.

- Follow the guidelines in the Professional Learning section to ensure that the necessary details are included.

**Step 5: Separate hardware, software, and peripherals**

- Separate hardware, software, and peripheral requests.
- Depending upon the type of technology being ordered, separate the requests within the same category when dealing with different vendors. For example, requesting “tablets” that include iPads and Nooks would need to be requested separately.
- Separate all software requests into individual line items regards of the costs and amounts. When software is aggregated, it is less likely that your request will be approved.

**Expediting SIG Budget Approval for Technology**

Use the checklist below to ensure that all information, evidence, and artifacts are gathered and properly prepared and ready for submission:

**Artifacts:**

- Copy of the Unpacking Tool
- Narratives when not included in the Unpacking Tool
- Detailed lists of equipment, software, and peripherals
- Job Descriptions
- Service Agreements

**Continued Funding for Years 2, 3, 4, & 5**

In order for technology expenditures to be approved for subsequent years of the grant, the school must demonstrate the effectiveness of software programs and/or services by providing measurable outcomes, and program & individual evaluations. Typically, the same hardware requests are only requested once during the life of the grant unless changes in enrollment occur or additional priorities are ready to be set into motion.

Function Code(s)
111, 112, 113, 225

Budget Percentage
Technology expenditures should not exceed 20% of the total annual building award.

Cross Reference
See sections on Personnel & Staff, and Equipment.



# External Service Providers

External Service Providers or ESPs are vendors that provide a wide range of services for School Improvement Grant (SIG) sub-grantees. Schools may begin their selection process by identifying providers from the MDE ESP Registry located on MDE's website at

[http://www.michigan.gov/mde/0,1607,7-140-6530\\_30334\\_33229-251076--\\_00.html](http://www.michigan.gov/mde/0,1607,7-140-6530_30334_33229-251076--_00.html) .

By using this toolkit, districts and schools will be able to make informed decisions about vetting and screening, selecting, monitoring, and evaluation External Service Providers and determine which provider(s) best meet the needs of the school and students.

## Vetting and Selecting an ESP for Your School

Identifying and matching the ESP(s) with your school's unique needs is one of the most important decisions a school must make when working with an ESP. This toolkit can help a district and school identify external providers and determine whether an external provider's model fits with the school's reform efforts, the strategies identified that support the "Big Ideas," assess the quality of the services that an ESP offers, evaluate whether an ESP's services continue to meet the needs of the school it serves over the years of the School Improvement Grant, and if the services will build capacity for sustainability beyond the life of the grant.

### Recruiting, Selecting, Matching External Providers with your needs

#### Step 1:

- Evaluate whether ESPs have models that are aligned with the school's need. ESPs should fall into one or more of the reform requirements and Unpacking Tool:
  - **Instructional Practices and Programs** (*that support the Big Ideas*)
  - **Professional Learning** (*to Support Instructional Practices*)
  - **Student Achievement Data Collection** (*to determine effectiveness of the instructional program*)
  - **Family and Community Engagement** (*strategies implemented to support student success, including social-emotional needs*)

#### Step 2:

- Determine whether the ESP has been successful in the past in similar types of districts/schools. All providers should be able to provide you with references and evidence of their past experiences and effectiveness.

#### Step 3:

- Ensure that the external provider agrees to ambitious yet attainable performance benchmarks that are tailored to your school's needs.

## Guiding Questions

Use the following guiding questions to assist you when determining if the ESP is a good match for your school and students:

- 1 Does the provider offer services that have the Five Quality Characteristics?
  - a. Services that are aligned with established goals?
    - i. *Does the ESP's model of change align with the school's reform strategies?*
    - ii. *Does the ESP's performance goals and benchmarks align with the school's goals?*
  - b. Services that are part of a long-term strategy?
  - c. Services that are customized?
    - i. *Has the provider presented a budget tailored to your school? Does the cost seem reasonable for the services your school will receive?*
  - d. Services that are research-based?
    - i. *Is your research self-generated or independent?*
  - e. Services that are capacity building?
- 2 Does the ESP have a process for data collection and self-assessment, including the use of feedback from its schools?
- 3 Is the provider's area of focus and expertise one of the primary areas for improvement according to your reform plan (or chosen intervention for Focus Schools), SIG application, and Unpacking Tool?
- 4 Is the ESP's internal monitoring system for holding its staff accountable sufficient to address concerns that may arise at your school? Can the provider tailor its monitoring system to meet your school's individual needs?
- 5 Does the ESP have a clear understanding of the needs of the school and have the ability to meet those needs? How has the provider "learned" those needs? Is the provider willing to work with the school's improvement initiatives?
- 6 What is the timeframe for the work the provider will perform at your school?
- 7 Do the ESP's pre-conditions for success align with the conditions present at your school?
- 8 If applicable, does the provider have a plan for engaging different stakeholders at your school? For what purpose?
- 9 Does the provider have a plan for integrating its services with those of the school as well as other providers at your school?

## Expediting SIG Budget Approval for ESPs

Use the checklist below to ensure that all evidence and artifacts are gathered and properly prepared and ready for submission:

- ❑ **Contract:** All ESPs must prepare a contract or proposal that outlines, at minimum, the following and includes:
  - Length of Contract (not to exceed one year)
  - A 30-day termination clause for the protection of all parties
  - Detailed Expenses (costs per day, hourly rates)
  - Timeline for Services and Implementation
  - Fees for individual service of ESP staff with documented expertise in school turnaround should not exceed \$1000.00 a day. However, whole-school reform models do not fall under the same cap.
  - Hourly rates for education experts in the field of data and content coaching range from approximately \$80.00 to \$100.00 dollars.
  - Total cost of one or more ESPs should not exceed 30% of the total approved yearly budget unless the whole-school reform model is being implemented.
  - Identified outcomes and deliverables for the provided service(s).

**\*Note:** All contracts are to be reviewed by the monitor to provide feedback. Schools and/or District may only enter into agreements with ESPs when approved by MDE. Failure to follow this protocol could result in the school/district being responsible for the expenditure.

**\*\*Note:** ESP personnel are not eligible for additional compensation, incentives, or additional benefits for participating in professional development or any activities occurring at the school.

- ❑ **Service Delivery Plan:** All ESPs should prepare a service delivery plan. This plan should outline the type of services being provided and how these services align to one or more of the turnaround requirements (Instructional Program, Professional Learning, Assessment, Family/Community Involvement, Early-Childhood components, and/or Whole School Reform components). It is not the obligation of the grant to train ESP staff members on the services they will provide, nor is it the school or district responsibility to provide supplies and materials to members of the ESP staff. Service Delivery Plans should include:
  - Metrics and benchmarks by which the ESP and school can monitor and measure successful implementation of all components.
  - Benchmarks and percentage and growth targets for each school.
  - Specific targets, detailed timelines, and rigorous standards of practice.

## Working in Partnership with the ESP

In order to work successfully in partnership, both the ESP and the School or District must work together to identify a game plan for implementation, troubleshooting, and evaluation. All stakeholders are responsible for a successful outcome.

### **Step 1: Create School or District Implementation Plan**

External Service Providers already have a well-developed and well-established systematic plan when entering into a partnership with schools and districts. Key to successful partnerships is having open lines of communication and a method of collaborating on a continuous basis.

Well-developed implementation plan also have built-in benchmarks, self-assessment, and self-monitoring mechanisms and systems. These checks for implementation should be shared with the site on a regular basis

### **Step 2: Address Common Issues that Arise during Implementation**

In order to mitigate concerns and issues, an open line of communication must be established and maintained. By developing an effective implementation plan, as mentioned above, ESPs will have established benchmarks and regular check-in systems in order to address concerns and issues before they become obstacles to the turnaround efforts of the school and district.

### **Step 3: Establish an Evaluation Plan**

The next section, "Monitoring and Evaluating ESP Effectiveness", is dedicated to providing assistance in establishing and implementing a system to monitor and evaluate the effectiveness of your ESP.

## Monitoring and Evaluating ESP Effectiveness

School funding for subsequent years will be considered based on progress and results of compliance with both the programmatic and fiscal components of the SIG.

### **Step 1: Monitor the External Provider(s)**

- The provider is using agreed upon performance targets and assess whether ESPs are meeting expectations toward reaching reform goals.
- Do not wait until the end of the year or for the contract to expire to monitor progress and to have conversations with your ESP about the services being provided.
- Collaborative develop a timeline to review, discuss, and provide evidence that the work being contracted to do is actually effective.

### **Step 2: Evaluate the External Provider(s)**

- Evaluate whether the provider's model continues to be aligned with the school strategy.

- Review the contract to ensure that all terms have been met and not altered in any way. In other words, were your agreed upon services delivered as initially described.
- Request self-evaluations from the ESP.
- When determining whether or not the ESP met or continues to meet your needs, ESP personnel should not be a part of this decision-making process.

### **Guiding Questions**

Use the following guiding questions to assist you when monitoring and evaluating the ESP:

1. Is the provider meeting its stated performance goals and benchmarks?
2. Are the provider's services having measurable effects?
3. Do the provider's services continue to be of high quality?
4. Is the provider implementing and adjusting based on feedback received?
5. Are the services aligned with state standards and district/school initiatives?
6. Is the provider performing the work according to the agreed timeframe?
7. Are any of the weaknesses in the provider's program limiting the success of implementation at your school(s)? If so, are these weaknesses being addressed?
8. Is the provider successfully integrating its services with those of the school and district, as well as other providers?
9. Is the provider staying within its projected budget?
10. Does the provider's model continue to be financially viable?
11. Have the staff and faculty had the opportunity to voice concerns about the work of the ESP?
12. Have the staff and faculty had the opportunity to share successes in working with the ESP?

### **Step 2: Develop monitoring tools**

- In order to monitor and evaluate the effectiveness of your ESP(s), develop templates for monitoring and tracking their success.
- Develop templates to evaluate the ESP(s). Formal evaluations should be conducted bi-annually and should precede the annual evaluations conducted by your state monitor.
- Collaborate with other sub-grantees to develop and share monitoring and evaluation tools.

# Unpacking Tool

## Using the Unpacking Tool with your SIG Application

The Unpacking Tool was originally designed for priority schools to “unpack” their reform plans. The goal is to take the written plan and to put it into actionable, measureable, and trainable steps. When written and utilized correctly, the Unpacking Tool is seen less as a compliance document and more as a “user’s guide” for rapid turnaround and later as a tool to promote sustainability and continuous improvement.

All SIG award sub-grantees are either in Priority School or Focus School status. All eligible schools electing to compete for the SIG are required to submit an application based on one of the six federally approved intervention models: (a) Transformation, (b) Turnaround, (c) Restart, (d) Closure, (e) Early Intervention, or (f) Evidence-based Whole School Reform.

The Unpacking Tool identifies five areas for “unpacking”: (a) Instruction Programs and Practices, (b) Professional Learning, (c) Student Achievement and Student Data Collection, (d) Family and Community Involvement, and (e) Social/Emotional Needs of Students. With the exception of minor expenditures, all SIG budget requests should be reflected in the unpacking process of the SIG application and one of the above selected intervention models. Follow these steps below to align your SIG Application, Intervention Model, Unpacking Tool, and your SIG Budget in order to ensure and expedite a substantially approvable budget. Refer to Appendix C for a list of verbs to assist in developing the Unpacking Tool.

### Step 1: Develop the Unpacking Tool in Collaboration

- The unpacking tool is designed to be developed in continuous collaboration with leadership, grade-levels, subject areas, and any other designated groups at your site, including central office personnel.
- This tool is never completed and submitted but rather a living and working document that assists in capturing levels of implementation of your selected intervention.
- When written in isolation, the unpacking tool is no longer a tool but a compliance document.

### Step 2: Describe Instructional Programs and Practices

- Unpacking instructional programs and practices is one of the three major areas of focus. Each program and practice should align and connect to the “Big Ideas” or initiatives that your school has identified as areas for improvement.
- List all programs and practices, regardless of funding source. In other words, not only SIG funded initiatives should appear in your unpacking tool, rather all initiatives, programs and practices that support your

turnaround efforts and the functioning of the school should be “unpacked.” Remember that this is working document, programs and practices will change according to need.

- Provide operationalized definitions of expected classroom behaviors. Use these guiding questions to develop critical components of this section:
  - How do we operationalize these practices at the classroom level?
  - Who is responsible for implementation?
  - How will we know that this implementation has been successful?
- Develop an implementation timeline. Use these questions to guide your response.
  - When will implementation begin?
  - When is full implementation expected?
- Define achievement targets and assessment cycles for each individual instructional program and practice.
  - What are the assessment tools/metrics being used to monitor the impact of student achievement?
  - What is the assessment cycle/schedule?
- Identify how adult actions of implementation will be monitored.
  - How is this being monitored for fidelity of implementation by all responsible adults?
  - What is the cycle/schedule for this monitoring?
- Identify how the activity will be funded. Provide aggregate amounts for SIG funded personnel and activities (i.e. SIG Funds \$60,000 for Reading Mastery materials, Literacy Coach, \$92,000)

### Step 3: Align Professional Learning

- Unpacking professional learning is the second of the three major areas of focus. Each professional learning activity should align and connect to instructional programs and practices identified above.
- List all professional learning, regardless of funding source.
- Provide details and dates of professional learning. Use these guiding questions to identify the critical components:
  - What outside training might be required?
  - What are the expectations for implementing Professional Learning in the classroom?
  - What are the opportunities provided to receive feedback on implementation?

- What is the evidence that the Professional Learning is job-embedded?
- Develop an implementation timeline. Use these questions to guide your development.
  - When will implementation begin?
  - When is full implementation expected?
- Define achievement targets and timelines for each individual professional learning activity.
  - What achievement targets are expected to have an impacted by this professional learning?
- Identify how adult actions of implementation will be monitored.
  - How do you know that the professional learning is being implemented as intended?
- Identify how the activity will be funded. Provide aggregate amounts for SIG funded personnel and activities (i.e. Outside Consultant to train staff in August 2015, \$1500.00, Data Coach, \$92,000)

#### **Step 4: Identify Student Achievement Data to Determine Effectiveness of the Instructional Program**

- Unpacking student achievement data to determine effectiveness of the instructional program is the third of the three major areas of focus. All achievement data should inform instructional programs and practices and professional learning.
- List all achievement data collection activities, regardless of funding source.
- Provide details about the type of data to be collected. Use these guiding questions to identify the critical components:
  - What formative, interim, and summative student achievement data are you collecting?
  - What is the process for discussing this data and using it to improve teacher practice?
  - What will be done to improve the instructional program when students are not making sufficient academic progress and reducing the achievement gap?
- Develop a timeline. Use these questions to guide your development:
  - When will data collection begin?
  - When will all types of data be collected?
- Define achievement targets and timelines. Use this question to guide your response:

- When are teachers analyzing data from common formative assessments for students in his/her own classroom to identify students at or above proficient, students close to proficient, and student far from proficient?
- Identify how adult actions of implementation will be monitored.
  - How do you know that teachers are using the appropriate assessment data to adjust and plan for future instruction?
- Identify how the activity will be funded. Provide aggregate amounts for SIG funded personnel and activities (i.e. Set up multi-tiered system of support, \$3,500)

### Step 5: Family and Community Collaboration

- Examine and identify family and community engagement strategies implemented to support student success.
- Define the critical components of family and community engagement. Use these questions to guide your response:
  - What two-way communication strategies have been implemented?
  - How are we gathering data from families and community to evaluate their perception of our effectiveness in supporting student success?
- Develop an implementation timeline. Use these questions to guide your development.
  - When will implementation begin?
  - When is full implementation expected?
- Identify indicators of improved family and community engagement and timeline. Use this question to guide your response:
  - What data indicates that the family and community are involved in supporting student success?
- Identify how adult actions of implementation will be monitored.
  - How are these strategies monitored to ensure they are implemented as planned?
- Identify how the activity will be funded. Provide aggregate amounts for SIG funded personnel and activities (i.e. Family Liaison, 220 days, \$62,000, Parent Literacy Nights, 4xs a year, \$4,500)

## Step 6: Social-Emotional Needs of Students

- Addressing the appropriate social-emotional and community-oriented services and supports for students is a requirement for the Turnaround intervention model and an option for all other models.
- Examine and identify the critical components of providing comprehensive support for social-emotional needs. Use the following questions to guide your development:
  - How are students identified for social and emotional needs?
  - What are the supports provided at school?
  - What are the supports provided through community agencies?
- Develop an implementation timeline. Use these questions to guide your development.
  - When will implementation begin?
  - When is full implementation expected?
- Identify indicators of improved social-emotional and community-oriented services and timeline. Use this question to guide your response:
  - What data indicate that the social-emotional and community-oriented services are supporting student success?
- Identify how the activity will be funded. Provide aggregate amounts for SIG funded personnel and activities (i.e. Mental Health Specialist, 220 days, \$82,000, Contract with Caring about Kids, \$14,500)

## Resources

### Websites:

The Center on School Turnaround, WestEd

<http://centeronschoolturnaround.org/>

Georgia Department of Education, Integration and Use of Federal Funds Manual

<http://www.gadoe.org/Curriculum-Instruction-and-Assessment/Curriculum-and-Instruction/Documents/ESOL/June%2014%202013%20Integration%20and%20Use%20of%20Federal%20Funds%20Manual%20%283%29.pdf>

US Department of Education: School Improvement Grants

<http://www.ed.gov/category/program/school-improvement-grants>

### PDFs:

School Improvement Grants: Guidance and Tools for the 2015 Amended Regulations: Maximizing the Optional Planning/Pre-Implementation Year

<http://centeronschoolturnaround.org/cst-publication-guidance-and-tools-for-the-2015-amended-sig-regulations-maximizing-the-optional-planningpre-implementation-year/>

## References

Hassel, B, and Steiner, L., Guide to Working with External Providers, Partnerships to Improve Teaching and Learning, 2<sup>nd</sup> Edition. Learning Point Associates September, 2010

Massachusetts Department of Elementary and Secondary Education, External Provider Pipeline Toolkit, August, 2010

## Appendix A: Sample ESP Application

**The Application is divided into four sections.**

**Section A** contains basic provider information.

**Section B** requests information related to six criteria. Responses in Section B must be in narrative form. You may include figures (e.g., tables, charts, graphs) to support your narrative, but such items will be counted toward applicable page/word limits. You are also required to include supporting evidence documents, if applicable, (e.g. past performance goals) for criteria 1, 2, 4, and 5. The responses must be clear, readily legible, and adhere to the following requirements:

- Times New Roman at a font of 12 points or Verdana at a font of 11 points or larger;
- Single spaced;
- Adhere to page limits specified in the criterion description
- If used, charts and graphs should represent 2 or more years of data

**Section C** contains the Assurances. Please read each statement carefully. By submitting your application, you certify your agreement with all statements therein.

**Section D** Attachments (Licensure and Insurance)

## Section A: Basic Provider Information

Please enter the requested information in the spaces provided. Be sure to read all notes, as they provide important information.

**Instructions:** Complete each section in full.

**1. Federal EIN, Tax ID or Social Security Number:**  
\_\_\_\_\_

**2. Legal Name of Entity:**  
\_\_\_\_\_

**3. Name of Entity as you would like it to appear on the Approved List:**  
\_\_\_\_\_

**4. Entity Type:**     For-profit                       Non-profit

**5. Check the category that best describes your entity:**

Business

Educational Institution

Community-Based Organization

Company or Corporation

Professional Organization

Other (specify): \_\_\_\_\_

**6. Number of years operating as service provider:** \_\_\_\_\_

**7. Applicant Contact Information**

Name of Contact \_\_\_\_\_

Phone \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Zip \_\_\_\_\_

E-Mail \_\_\_\_\_

Website \_\_\_\_\_

**8. Local Contact Information** (if different than information listed above)

Name of Contact \_\_\_\_\_

Phone \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Zip \_\_\_\_\_

E-Mail \_\_\_\_\_

Website \_\_\_\_\_

**9. Conflict of Interest Disclosure**

Section 80.36(3) of the Education Department Grant Administrative Regulations (EDGAR), requires that no employee, officer or agent of the school district receiving a Federal grant award shall participate in selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved. In accordance

with EDGAR, Michigan recognizes a conflict would arise when the External Service Provider or its employees are:

- (i) An employee, officer or agent of the school district receiving the SIG grant
- (ii) Any member of the immediate family of a SIG school staff member, SIG receiving district staff member, or SIG receiving school district board of education.
- (iii) The spouse or partner of a SIG school staff member, SIG receiving district staff member, or SIG receiving school district board of education.
- (iv) A member of or an organization which employs, or is about to employ, any of the above, has a financial or other interest in the external service provider contracting with a school district.

Does the above describe you or any member of your organization?     Yes     No

If yes, please explain: \_\_\_\_\_

Applicants must disclose any and all relationships with school or district staff they intend to serve. External Service Providers that willfully and knowingly violate the above named conditions of Conflict of Interest or do not disclose the required information will be required to return in full any and all federal funds received through the contract to provide services to the SIG school.

Schools or school districts are encouraged to apply to become preferred providers. However, the school or school district may not become a preferred provider in its own district. This restriction does not apply to Intermediate School Districts or Regional Educational Service Authorities.

### **10. Debarment and Suspension**

The applicant assures that it is in compliance with the provisions of the A-102 Common Rule or OMB Circular A-110, and that the entity, its employees and sub-contractors, is not suspended or debarred, or otherwise excluded from or ineligible for receipt of federal funds. If the applicant is approved as an external service provider, it assures that any and all sub-contracts include language requiring certification that a proposed contractor is not listed on the suspension disbarment or excluded parties' lists.

I hereby certify neither myself nor the organization I represent are suspended or debarred, or otherwise excluded from or ineligible for receipt of federal funds.

**IMPORTANT NOTE: Once approved, providers must operate within the information identified in this application.**

Changes in application information may be requested. The request must include the rationale for the changes. All changes must receive written approval prior to implementation. This includes, but is not limited to, information changes in the following categories:

- Change in service area
- Change in services to be offered
- Change in method of offering services

**Section B: Program Delivery and Staff Qualification Narratives**

**Instructions:** Section B responses must be in narrative form. Provide data/documentation of previous achievements where applicable. All responses must comply with stated page limits. Figures such as tables, charts and graphs can be included in the narrative, but such information will be counted toward page limits. Text and figures beyond the stated page limit will not be considered and should not be submitted with the application. All references must be cited.

**Criterion 1: Model of Change** *(12 points possible)*

Explanation: Describe in detail the model of change and justify how this will result in school turnaround. In the response include the following:

- State your theory of action for providing support services
- Detailed description of services and the target audience (principal, teachers, coaches, central office, students, etc.)
- Explain how these services are supported by research and/or best practice
- Describe in detail how services will be delivered, including any systems or protocols that will be created or utilized
- Describe the types of communities with which the provider has experience and successful outcomes.
- What is the standard timeframe for engagements with schools?

Evidence or Supporting Documents:

- Foundational documents, training handbook, criterion/tools used in the delivery of services

Criterion 1 Narrative Limit: 4 pages

-Insert narrative here-

## **Criterion 2: Performance Management** *(12 points possible)*

Explanation: Describe in detail how the provider will ensure quality and progress toward turnaround goals by routinely monitoring the connection between strategies and desired outcomes. In the response include the following:

- Describe the process that will be used to set measurable performance goals /benchmarks (at 30-day, 60-day, 90-day, and yearly) intervals and report to the school/district. These goals should specify what will change, for whom, how much, and by when.
- Provide data that service actions produce the desired results.
  - Alternatively, Start-up entities should provide references directly related to past success(es)
- Describe the contexts/circumstances where the provider has been successful.
- Describe any past weaknesses or identified barriers to providing service and how these weaknesses and barriers were addressed.

Evidence or Supporting Documents:

- Examples of past performance goals and outcomes or external evaluations or recommendations from past buildings/districts served

Criterion 2 Narrative Limit: 4 pages

-Insert narrative here-

## **Criterion 3: Sustainability Plan and Engagement of Stakeholders** *(8 points possible)*

Explanation: Describe in detail the plan to ensure that the school/district will be able to sustain practices in the absence of external supports. This should include a description of:

Provide a sample plan on how services will gradually release and at the same time provide a framework for sustainability.

- Processes for assisting schools in identifying cost neutral or cost effective programs or practices that are sustainable in the absence of SIG funding
- If applicable, also include past experience with engaging other stakeholders and/or integrated services with other providers.

Evidence or Supporting Documents:

- Sample evaluation tools and sustainability plans, lists of stakeholder resources and engagement strategies.

Criterion 3 Narrative Limit: 2 pages

-Insert narrative here-

**Criterion 4: Experience with Michigan’s Standards and State/Federal Requirements** (5 points possible)

Explanation: Describe in detail how services align with Michigan’s standards, assessments, and school improvement/turnaround requirements. Also provide information about experience with the following:

- Title I
- Students with Individualized Education Programs (IEPs) under Section 504 of the Individuals with Disabilities Act (IDEA)
- Service and support for English language learners
- Prekindergarten and/or early elementary programs
- Evidence-based whole school reform strategies
- Culture and Climate interventions to create safe and supportive school environments

Evidence or Supporting Documents:

- If experience has been outside of MI, then provide examples of how the provider has tailored services to meet state context and standards

Criterion 4 Narrative Limit: 2 pages

-Insert narrative here-

**Criterion 5: Staff Qualifications and Management** (8 points possible)

Criterion 5 Narrative Limit: 2 pages

-Insert narrative here-

**Section C: Assurances**

The applicant entity agrees to:

1. Follow all applicable legislation and guidance governing the Section 1003(g) school improvement grants.
2. Follow all applicable Federal, state, and local health, safety, employment, and civil rights laws at all times.
3. Comply with the state and local standards for Monitoring Section 1003(g) School Improvement Grants External Services Providers.
4. Make all documents available to state and local agencies for inspection/monitoring purposes, and participate in site visits at the request of the MDE, the district, or facilitators/monitors for the SIG grant.
5. Notify applicable district(s), in writing, of any change in the contact information provided in this application within ten business days.
6. Provide written notification when external provider services will no longer be provided, thirty days prior to termination of services.

7. Submit an application that accurately and completely describes services they will provide to the LEA.
8. Comply with SEA and LEA requirements and procedures for External Service Providers.

**Section D: Attachments**

- **Licensure:** Applicants must attach a copy of their business license or formal documentation of legal status with respect to conducting business in Michigan (e.g., certificate of incorporation, proof of 501(c)(3) tax-exempt status). Schools, school districts, and ISDs/RESAs may substitute documents that include address/contact information and the appropriate building or district code as found in the Educational Entity Master (EEM).
- **Insurance:** Applicants must provide a proof of their liability insurance or a quote from an insurance agency that reflects the intent to obtain general and/or professional liability insurance coverage.

## Appendix B: Sample Scoring Rubric

**ESP Name:** Insert ESP name here

**Date:** Insert date here

Evaluation Criteria	Weight
1. Model of Change	12 points
2. Performance Management	12 points
3. Sustainability Plan and Engagement of Stakeholders	8 points
4. Experience w/Michigan's Standards and Requirements	5 points
5. Staff Qualifications and Management	8 points
<b>Total Points Possible</b>	<b>45</b>
<b>Minimum Points Required for Approval</b>	<b>40</b>

Evaluation Criteria	Weight 12 Points	
1. <b>Model of Change:</b> The extent to which the plan describes the model of change and justifies how this will result in school turnaround. The response must include the following:	<b>Evident</b>	<b>Unclear</b>
<ul style="list-style-type: none"> <li>• State your theory of action for providing support services</li> </ul>		
<ul style="list-style-type: none"> <li>• Detailed description of services and the target audience (principal, teachers, coaches, central office, students, etc.)</li> </ul>		
<ul style="list-style-type: none"> <li>• Explain how these services are supported by research and/or best practice</li> </ul>		
<ul style="list-style-type: none"> <li>• Describe in detail how services will be delivered, including any systems or protocols that will be created or utilized</li> </ul>		
<ul style="list-style-type: none"> <li>• Describe the types of communities with which the provider has experience and successful outcomes</li> </ul>		
<ul style="list-style-type: none"> <li>• What is the standard timeframe for engagements with schools?</li> </ul>		
<ul style="list-style-type: none"> <li>• Evidence or Supporting Documents</li> </ul>		
<b>Score</b>		

***Comment required when score is below 10:***

Evaluation Criteria	Weight 12 Points	
<p>2. <b>Performance Management:</b> The extent to which the narrative describes how the provider will ensure quality and progress toward turnaround goals by routinely monitoring the connection between strategies and desired outcomes. The response must include the following:</p>	<b>Evident</b>	<b>Unclear</b>
<ul style="list-style-type: none"> <li>Describe the process that will be used to set measurable performance goals /benchmarks (at 30-day, 60-day, 90-day, and yearly) intervals and report to the school/district. These goals should specify what will change, for whom, how much, and by when</li> </ul>		
<ul style="list-style-type: none"> <li>Provide data that service actions produce the desired results</li> </ul>		
<ul style="list-style-type: none"> <li>Describe the contexts/circumstances where the provider has been successful. (Alternatively, Start-up entities should provide references directly related to past successes)</li> </ul>		
<ul style="list-style-type: none"> <li>Describe any past weaknesses or identified barriers to providing service and how these weaknesses and barriers were addressed</li> </ul>		
<ul style="list-style-type: none"> <li>Evidence or Supporting Documents</li> </ul>		
<b>Score</b>		

***Comment required when score is below 10:***

Evaluation Criteria	Weight 8 Points	
<p>3. <b>Sustainability Plan and Engagement of Stakeholders:</b> The applicant's sustainability plan ensures that the school/district will be able to sustain practices in the absence of external supports. Must include a description of:</p>	<b>Evident</b>	<b>Unclear</b>
<ul style="list-style-type: none"> <li>Provide a sample plan on how your services will be gradually released and at the same time providing a framework for sustainability</li> </ul>		
<ul style="list-style-type: none"> <li>Processes for assisting schools in identifying cost neutral or cost effective programs or practices that are sustainable in the absence of SIG funding</li> </ul>		

<ul style="list-style-type: none"> <li>If applicable, also include past experience with engaging other stakeholders and/or integrated services with other providers</li> </ul>		
<ul style="list-style-type: none"> <li>Evidence or Supporting Documents</li> </ul>		
<b>Score</b>		

***Comment required when score is below 6:***

Evaluation Criteria	Weight 5 Points	
<b>4. Experience w/Michigan’s Standards and Requirements:</b> The extent to which the narrative describes how provided services align with Michigan’s standards, assessments, and school improvement/turnaround requirements. Must also provide information about experience with the following:	<b>Evident</b>	<b>Unclear</b>
<ul style="list-style-type: none"> <li>Title I</li> </ul>		
<ul style="list-style-type: none"> <li>Students with Individualized Education Programs (IEPs) under Section 504 of the Individuals with Disabilities Act (IDEA)</li> </ul>		
<ul style="list-style-type: none"> <li>Service and support for English language learners</li> </ul>		
<ul style="list-style-type: none"> <li>Prekindergarten and/or early elementary programs</li> </ul>		
<ul style="list-style-type: none"> <li>Evidence-based whole school reform strategies</li> </ul>		
<ul style="list-style-type: none"> <li>Culture and Climate interventions to create safe and supportive school environments</li> </ul>		
<ul style="list-style-type: none"> <li>Evidence or Supporting Documents if experience has been outside of Michigan</li> </ul>		
<b>Score</b>		

***Comment required when score is below 3:***

Evaluation Criteria	Weight 8 Points	
5. <b>Staff Qualifications and Management:</b> The applicant's experiences align with proposed services and the management and staffing plan ensures successful delivery of services. Include the following:	<b>Evident</b>	<b>Unclear</b>
<ul style="list-style-type: none"> <li>Criteria for selecting new staff to work with schools/districts</li> </ul>		
<ul style="list-style-type: none"> <li>Management and staffing plan</li> </ul>		
<ul style="list-style-type: none"> <li>Evidence or Supporting Documents</li> </ul>		
<b>Score</b>		

***Comment required when score is below 6:***

### Points Possible/Required for Approval

**40** Minimum points required

Evaluation Criteria	Scores
1. Model of Change	
2. Performance Management	
3. Sustainability Plan and Engagement of Stakeholders	
4. Experience w/Michigan's Standards and Requirements	
5. Staff Qualifications and Management	
<b>Total points</b>	

## Appendix C: Verb List

Choose from the list below to find verbs that are actionable and measureable when developing the Unpacking Tool.

Adapt	Coordinate	Form	Organize
Address	Correspond	Formulate	Oversee
Adhere	Counsel	Gather	Participate
Administer	Create	Generate	Plan
Advise	Critique	Guide	Prepare
Align	Delegate	Identify	Prioritize
Allocate	Demonstrate	Implement	Produce
Analyze	Deploy	Improve	Promote
Anticipate	Design	Incorporate	Provide
Arrange	Determine	Increase	Publicize
Articulate	Develop	Inform	Quantify
Assemble	Devise	Initiate	Question
Assess	Direct	Inspect	Receive
Assign	Disaggregate	Instruct	Recognize
Attain	Display	Integrate	Recommend
Audit	Disseminate	Interpret	Record
Budget	Document	Interview	Refer
Clarify	Draft	Introduce	Release
Classify	Edit	Involve	Reorganize
Coach	Eliminate	Listen	Report
Collaborate	Enable	Locate	Research
Collect	Engage	Manage	Resolve
Communicate	Enlist	Meet	Respond
Compare	Establish	Mentor	Restore
Compile	Evaluate	Model	Retrieve
Conduct	Explain	Modify	Review
Consolidate	Facilitate	Monitor	Revise
Construct	Focus	Observe	Schedule
Consult	Follow	Offer	Screen

Secure	Structure	Tabulate	Use
Select	Supervise	Take	Utilize
Show	Supply	Train	Validate
Solicit	Support	Translate	Work
Specify	Synthesize	Upgrade	

- Consider reorganizing these verbs to meet the needs of writing particular sections of the Unpacking Tool. For example, when developing “Parent and Community Engagement,” use verbs like:

Explain	Create	Generate	Introduce
Advise	Offer	Plan	Recruit
Form	Gather	Assemble	Communicate
Review	Organize	Inform	Update
Align	Schedule	Support	Publicize

- **Explain** the student handbook in a series of parent activities
- **Publicize** student achievement using local media
- **Update** parents and community by **creating** a multi-lingual newsletter

# Planning Tools

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- ❑ Guiding Questions Checklist

<b>Additional Compensation</b>		
<b>YES</b>	<b>NO</b>	<b>Guiding Questions</b>
		1. Is the individual an employee of the school or district?
		2. Is the employee working outside of his/her contractual hours?
		3. If the employee is not a school or district employee (i.e. food service worker, custodial), are you familiar with the terms/agreement for paying additional hourly rates?
		4. Have contracts and agreements been reviewed in order to adequately answer questions 1 & 2?
		5. Is the additional compensation request directly related to SIG activities?
		6. What evidence exists that the activities can be verified as SIG related?

<b>Before &amp; After School Programs</b>		
<b>YES</b>	<b>NO</b>	<b>Guiding Questions</b>
		1. How is membership or participation defined?
		2. What are the expected outcomes for students?
		3. Is the program or activity an intervention?
		4. Is the program or activity enrichment?
		5. Is the program or activity funded by the district for other schools?
		6. How will data be collected, analyzed, and used to help students achieve?
		7. Is the before or after school program part of the Increased Learning Time requirement (for select intervention models)?
		8. Is the program an existing club?

<b>Books</b>		
<b>YES</b>	<b>NO</b>	<b>Guiding Questions</b>
		1. Is there a core program?
		2. What components of the core program already exist?
		3. Were the same books purchased using general funds?
		4. Is it a district expectation that every classroom have a class set?
		5. Is it a district expectation that every student have a copy?
		6. If the school or district has adopted a program, which components are considered as supplement or peripheral?

<b>Class Size Reduction</b>		
<b>YES</b>	<b>NO</b>	<b>Guiding Questions</b>
		1. Is class-size reduction directly related to, as well as reasonable and necessary for, the full and effective implementation of the selected intervention model?
		2. Has a needs assessment been conducted that identified specific needs that can be improved through the support of CSR?
		3. Will class-size reduction represent a meaningful change that could help improve student academic achievement from prior years?
		4. Is the specific CSR being proposed supported by research and demonstrates improvement in student achievement?
		5. Does CSR represent significant reform that goes beyond the basic educational program of the school?

Contracted Services		
YES	NO	Guiding Questions
		1. Is there a written agreement or contract in place at the school or district?
		2. Are the basic services the responsibility of the district?
		3. Are the basic services provided to all of the schools in the district, not just SIG?
		4. Is additional compensation required to fulfill the SIG-related activity?
		5. Is the contracted service provider qualified to do the work?
		6. Do employees of the contracted service possess valid certifications, experience, and qualifications to do the work?

Equipment		
YES	NO	Guiding Questions
		1. Does this equipment already exist?
		2. Would it be the responsibility of the district to provide this equipment?
		3. Does the district already provide this equipment to other non-SIG schools?
		4. Can the need for this equipment be directly connected to student achievement, student success, and/or safe and orderly environment?
		5. Will the equipment be able to be maintained beyond the life of the SIG?

Events		
YES	NO	Guiding Questions
		1. Does the event have an academic focus?

YES	NO	Guiding Questions
		2. Is the event hosted in order to involve parents in the reform efforts?
		3. Will the event allow for parents/community to become involved with student achievement?
		4. Does the event serve as a mechanism of two-way communication?
		5. Does the event serve as a mechanism of parent engagement?
		6. Does the event occur outside of the instructional day?

Field Trips & Experiences		
YES	NO	Guiding Questions
		1. Is the field experience a resulting event born out of an instructional focus?
		2. Is the field experience measurable?
		3. Have assessments been developed to measure the success?
		4. Is the field experience or are field experiences equitable? Do all students have the opportunity to participate?
		5. How does the field experience align with the Big Ideas and the scope and sequence of the curriculum being enacted?
		6. How will this field experience improve academic performance and/or student success?

Furniture		
YES	NO	Guiding Questions
		1. Is there a community partner that can provide re-commissioned furniture?
		2. Does the district have surplus or a surplus center?
		3. Would the furniture purchase be considered infrastructure and is the responsibility of the district?
		4. Is the furniture necessary to implementation of the SIG funded activity?

Increased Learning Time		
YES	NO	Guiding Questions
		1. Does your intervention model require increased learning time?
		2. If so, have all three components of increased learning time been addressed?
		3. Have all of the potential obstacles for implementing increased learning time been identified, analyzed, and addressed?
		4. Does the school have the capacity to service all students who may choose to participate in increased learning time before or after school?
		5. Has the school coordinated with the district to ensure technology and transportation needs have been addressed?

Instructional Programs		
YES	NO	Guiding Questions
		1. Is the instructional program a new initiative?
		2. Is the instructional program a Tier II, and/or III intervention?

YES	NO	Guiding Questions
		3. Is it the district's responsibility to provide the instructional program?
		4. Does the data support the need for the chosen instructional program?
		5. Has a review of effectiveness occurred for the instructional program being considered?
		6. Is the instructional program described in the Unpacking Tool?

Materials & Supplies		
YES	NO	Guiding Questions
		1. Are the materials being requested above and beyond the basic supplies of the school?
		2. Do the supplies directly or indirectly related to SIG funded activities or Reform efforts?
		3. Are the materials and supplies key to the operations of the work around reform or the positions funded by
		4. Is the request reasonable and necessary?

Personnel and Staff		
YES	NO	Guiding Questions
		1. Does the position already exist?
		2. If the position does exist, are you requesting additional personnel that will target turnaround efforts?
		3. If the position does <b>not</b> exist, would it normally be the responsibility of the district to provide the position?
		4. What did the data reveal to come to the conclusion to hire this position?

YES	NO	Guiding Questions
		5. How might this position and/or duties of this position be sustained when the grant ends?

Professional Learning		
YES	NO	Guiding Questions
		1. Is the Professional Learning directly connected to and aligned with the instructional programs and strategies identified in the intervention model?
		2. Is this a stand-alone or a one-time professional learning activity?
		3. What protocols have been developed to ensure that individuals are implementing new learning?
		4. If staff is attending off-site conference, what is the protocol for sharing the new learning with other staff members?

Recruitment, Retention, and Incentives		
YES	NO	Guiding Questions
		1. Is there an identified need to offer recruitment, retention, and/or incentives to attract highly qualified teachers and/or administrators?
		2. Is there a recruitment plan in place?
		3. Is there a district merit pay system in place?

YES	NO	Guiding Questions
		4. If so, is it available to all teachers and administrators in all schools, including the SIG schools?
		5. Have other non-monetary incentives been created?

Substitute Teachers		
YES	NO	Guiding Questions
		1. Is the substitute being hired to cover a SIG related activity?
		2. Are the SIG related activities pulling the regular classroom teacher from the classroom for on or off-site participation?
		3. Will the substitute be covering classrooms for non-SIG related absences?

Summer School Programs		
YES	NO	Guiding Questions
		1. Is the same summer program(s) being funded district-wide?
		2. Does the summer program support instructional focus and Big Ideas?
		3. Is the summer program available to all students at your site?
		4. How students identified to attend the summer program?

## Technology

YES	NO	Guiding Questions
		1. Will the technology requested be used to support reform efforts and the selected intervention model?
		2. Can the building physically support the new technology?
		3. Will infrastructures need to be updated or put into place?
		4. What technology already exists on site?
		5. How was the existing technology purchased?