June 21, 2017

Jason Botel
Principal Deputy Assistant Secretary for
Elementary and Secondary Education
U.S. Department of Education
400 Maryland Avenue, S. W.
Washington, D.C. 20202

Dear Principal Deputy Assistant Secretary Botel:

Ka ‘Umeke Ka’eo Public Charter School has been approved for School Years (SY) 2017-18 and 2018-19 School Improvement Grant (SIG) award. The school’s application is enclosed.

Very truly yours,

[Signature]

Kathryn S. Matayoshi
Superintendent

KSM:at

Enclosure

c: Deirdra Hilliard, ED Grants Management Specialist
Sione Thompson, Executive Director, State Public Charter School Commission
Lima Naipo, Interim Chair, Ka ‘Umeke Ka’eo Public Charter School
Olani Lilly, Ka ‘Umeke Ka’eo Public Charter School
Shelley Ferrara, School Transformation Branch Director
Lisa Joy Andres, SIG Program Manager
Application for Fiscal years 2015 and 2016
New Awards Competition
Section 1003(g) of the
Elementary and Secondary Education Act, as amended by the No Child Left
Behind Act of 2001
CFDA Number: 84.377A

State Name: HAWAII (REVISED FY 2016 SIG)

U.S. Department of Education
Washington, D.C. 20202

OMB Number: 1810-0682
Expiration Date: September 30, 2016

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 100 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (authorized under section 1003(g) of title I of the Elementary and Secondary Education Act of 1965, as amended by No Child Left Behind (ESEA). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1810-0682. Note: Please do not return the completed School Improvement Grant application to this address.
SCHOOL IMPROVEMENT GRANTS

Purpose of the Program
School Improvement Grants (SIG), authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965, as amended by No Child Left Behind (Title I or ESEA), are grants to State educational agencies (SEAs) that SEAs use to make competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. The Department published final requirements for the SIG program in the Federal Register on October 28, 2010 (http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf). In 2015, the Department revised the final requirements to implement language in the Consolidated Appropriations Act, 2014, and the Consolidated and Further Continuing Appropriations Act, 2015, that allows LEAs to implement additional interventions, provides flexibility for rural LEAs, and extends the grant period from three to five years. The revisions to the requirements also reflect lessons learned from four years of SIG implementation. Finally, since the final requirements for the SIG program were published in 2010, 44 SEAs received approval to implement ESEA flexibility, pursuant to which they no longer identify Title I schools for improvement, corrective action, or restructuring. To reflect this change, the revised requirements make an LEA with priority schools, which are generally a State's lowest-achieving Title I schools, and focus schools, which are generally the schools within a State with the largest achievement gaps, eligible to receive SIG funds. The SIG final requirements, published on February 9, 2015, are available at https://www.federalregister.gov/articles/2015/02/09/2015-02570/final-requirements-school-improvement-grants-title-i-of-the-elementary-and-secondary-education-act.

Availability of Funds
The Consolidated and Further Continuing Appropriations Act, 2015, provided approximately $506 million for School Improvement Grants in fiscal year (FY) 2015 and the Consolidated Appropriations Act, 2016 provided approximately $450 million in FY 2016.

State and LEA Allocations
Each State (including the District of Columbia and Puerto Rico), the Bureau of Indian Education, and the outlying areas is eligible to apply to receive a SIG grant. The Department will allocate FY 2015 and FY 2016 SIG funds in proportion to the funds received in FY 2015 and FY 2016 by the States, the Bureau of Indian Education, and the outlying areas under Parts A, C, and D of Title I of the ESEA. An SEA must allocate at least 95 percent of its SIG funds directly to LEAs in accordance with the final requirements. The SEA may retain an amount not to exceed five percent of its allocation for State administration, evaluation, and technical assistance.
## Submission Information

**Electronic Submission:**
The Department strongly prefers to receive an SEA's FY 2015/2016 SIG application electronically. The application should be sent as a Microsoft Word document, **not** as a PDF.

Each SEA should submit its FY 2015/2016 application to its individual State mailbox address at: OSS.[State]@ed.gov

In addition, the SEA must submit a paper copy of the cover page signed by the SEA's authorized representative to the address listed below under “Paper Submission.”

**Paper Submission:**
If an SEA is not able to submit its application electronically, it may submit the original and two copies of its SIG application to the following address:

James Botel  
Office of State Support, OESE  
U.S. Department of Education  
400 Maryland Avenue, SW, Room 3W103  
Washington, DC 20202-6132

Due to potential delays in government processing of mail sent through the U.S. Postal Service, SEAs are encouraged to use alternate carriers for paper submissions.

**Application Deadline**
Applications are due no later than May 27, 2016.

**For Further Information**
If you have any questions, please contact your OSS State contact or Michael Wells at (202) 453-6689 or by email at Michael.Wells@ed.gov. Additional technical assistance, including webinars for State staff, will be provided in the spring.
APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

<table>
<thead>
<tr>
<th>Legal Name of Applicant:</th>
<th>Applicant’s Mailing Address:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hawaii State Department of Education</td>
<td>P.O. Box 2360</td>
</tr>
<tr>
<td></td>
<td>Honolulu, HI 96804</td>
</tr>
</tbody>
</table>

State Contact for the School Improvement Grant

Name: Shelley Ferrara

Position and Office: School Transformation Branch Director

Contact’s Mailing Address:

2707 Kaimuki Avenue
Building D, Room 105
Honolulu, HI 96816

Telephone: 808-305-9850

Fax: 808-733-4990

Email address: shelley_ferrara@notes.k12.hi.us

<table>
<thead>
<tr>
<th>Chief State School Officer (Printed Name):</th>
<th>Telephone:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kathryn S. Matayoshi</td>
<td>808-586-3310</td>
</tr>
</tbody>
</table>

Signature of the Chief State School Officer:

X [Signature]

Date:

June 21, 2017

The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.
Hawaii Department of Education
School Improvement Grant Application
Section 1003(g) of the Elementary and Secondary Education Act
CFDA Numbers: 84.377A; 84.388A

"There are some things we know and a host of unanswered questions, but this is the laboratory of the future."
Michael Fullan, Leadership and Sustainability, 2005

It is urgent that the HIDOE take bold action now, build on the lessons learned, and provide schools with the right mix of capacity, opportunity, and incentives to realize dramatic improvements. After five years of working with low-performing schools, the HIDOE has learned that the comprehensive model for school turnaround is the most successful strategy to address the myriad of challenges low-performing schools face. Schools that have the leadership and instructional capacity to innovate and remove barriers to learning can and are succeeding. However, to sustain these improvements, there must be on-going support from Complex Area and State personnel that empowers schools to orchestrate substantive change within the school, and coordinated efforts to remove systemic and structural barriers to change. This School Improvement Grant (SIG) seeks to infuse substantial funding and resources into the persistently lowest-performing schools to accelerate the changes needed, and leverages resources at the Complex Area and State levels to remove the barriers to change. Ultimately, the SIG will enable the HIDOE to take aggressive and decisive action for change.

The HIDOE's unique organizational structure as a single, comprehensive system is upheld in the Hawaii Revised Statutes 302A-1101, which authorizes the Hawaii State Board of Education (BOE) to "formulate statewide educational policy, adopt student performance standards and assessment models, monitor school success, and appoint the Superintendent of Education as the Chief Executive Officer of the public school system." Thus, there is only one LEA that has "public authority legally constituted within" the State of Hawaii "for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools... (Elementary and Secondary Education Act of 1965, Section 14101)."

The BOE appoints the Superintendent of Education (Superintendent), who serves as both the Chief State School Officer and organizational head of the HIDOE, which is authorized as the "central support system responsible for the overall administration of statewide educational policy, interpretation, and development of standards for compliance with State and federal laws, and coordination and preparation of a statewide budget for the public schools" (HRS 302A-1102). Additionally, the Superintendent appoints and supervises 15 Complex Area Superintendents (CAS) who maintain direct supervisory connection to the State's 42 regional K-12 school Complexes. The CASs oversee:

1. Personnel, fiscal and facilities support;
2. Monitoring of compliance with applicable State and federal laws; and
3. Curriculum development, student assessment, and staff development services.
The Superintendent also has direct line authority over all employees in both administrative units and schools. The Superintendent negotiates with the one collective bargaining unit that represents teachers, the Hawaii State Teachers Association (HSTA), and the one collective bargaining unit representing educational officers, including school principals, the Hawaii Government Employees Association (HGEA).

Hawaii has spent nearly 20 years working to identify and support the lowest-achieving schools in the state. These efforts date back to the 1990s when additional “special needs” funds were made available. Then, recognizing the need to provide schools with greater control of their resources, beginning in school year 2006-2007, the HIDOE implemented a “weighted student formula” budgeting process through which funds are allocated to schools based on student needs rather than the traditional staffing formula. This resulted in 10 percent more funds going to high-poverty schools, all of which struggle to meet the student achievement goals. Still, funding alone has not proved sufficient to address the complex and multifaceted challenges facing the persistently lowest-achieving schools.

Through the years, the HIDOE has engaged external contractors (e.g., Edison Schools, International Center for Leadership in Education, School Rise Hawaii, WestEd, Success for All Foundation, School Synergy, and others) to supplement the capacity of HIDOE’s State and Complex Area personnel, who did not have the expertise or skills to provide comprehensive support needed at more than 100 schools. Additionally, over the six years, the HIDOE has provided professional development to schools to conduct comprehensive needs assessments.

Analysis of needs assessments have revealed the following root causes for low student achievement in varying degrees and combinations at low-achieving schools. These root causes form the basis for selecting interventions.

- **Written visions and missions are not clearly communicated and shared.** As a result, school plans and budgets are not focused on developing the vision and mission of the school, and strategic actions and enabling activities are disconnected and unfocused.
- **There is a lack of understanding on how to conduct a comprehensive needs assessment.** As a result, root causes of low student achievement are not comprehensive and focused, and plans do not contain strategic actions or enabling activities that address the root causes of low student achievement to create substantive changes.
- **There is a lack of strong, visionary leadership with skill to orchestrate school-wide changes.** As a result, the decision-making system lacks clarity and is not shared; organizational structures do not maximize resources to facilitate change; there are pockets of excellence, but school-wide implementation of reform is not evident; conscious development of school leadership from within the school is not evident; and stakeholders are not motivated to be major players in reforming their school.
- **Professional development is not aligned with the needs of the schools and delivery of services does not ensure successful implementation of reform.** As a ...
result, professional development is not customized to the needs of the learners; is disconnected with minimal scaffolding; does not involve job-embedded professional development; and is not inclusive of all curriculum areas involved. Further, participating personnel are not held accountable for implementation.

- **There is a lack of school-wide implementation of standards-based education.** As a result, there are pockets of successful implementation of standards based education within a school, but there is a lack of coherency in curriculum and instruction.

- **There is a lack of an Assessment System in a school.** Although multiple assessments are administered, curriculum and instruction are not data driven; and school plans are not data driven.

- **There is a lack of a System of Support for students, especially in Levels 1 and 2 of the HIDOE’s Comprehensive Student Support System.** As a result, there is no school-wide implementation of differentiated instruction or sheltered English practices; and instruction is not student-centered.

- **There is a lack of substantive parent/community partnerships.** Parent/Community participation at school activities may be high, but involvement is not substantive in regards to empowering parents to be involved in decision-making and developing their skills to support their children’s academic growth.

One of the most pervasive issues was the ability of struggling schools to recruit and retain highly effective and qualified teachers. Five (5) out of the eight (8) Tier I schools are located in “geographically hard-to-fill” areas. Licensed teachers who transfer to these schools may be eligible for a $3,000 incentive when funds are available. However, the schools continue to experience great difficulty in recruiting and retaining highly-qualified teachers. Six (6) schools face similar employment issues.

After seven years of working with low-performing schools with multiple needs, the HIDOE has found that these schools cannot be turned around by simply providing sporadic and unfocused technical assistance at the school level. Many of the structural and entrenched ways of educating our students must be overcome by focusing on systemic change and conditions change. What is needed is a strategy that empowers schools to orchestrate substantive change; builds and reorganizes State and Complex Area personnel to support schools; provides incentives, funding, and operational flexibility; and removes structural and contractual barriers.

To this end, the HIDOE’s improvement efforts will be framed within the “High Performing, High Poverty Schools Readiness Model” (HPHP) published by the Mass Insight and Education Research Institute in its landmark 2007 report *The Turnaround Challenge*. The HIDOE recognizes that to achieve the dramatic boosts in student achievement that Hawaii seeks, school turnaround must include dramatic, transformative change that addresses students' readiness to learn, educators' readiness to teach, and schools' readiness to act.
The HPHP model will serve as the framework through which the HIDOE will move from incremental, “light-touch” reform, to coordinated systems that change conditions, build capacity, and cluster schools for support. The strategies employed by the HIDOE are based on systemic, research-based review of promising practices locally and nationally including the Harlem Children’s Zone, effective teacher education and professional development, and recent meta-analyses and research on school intervention models and other innovations across the U.S., such as the research on school interventions conducted by Mass Insight Education and Research Institute, Learning Point Associates and Public Impact. These strategies will target root causes for low student achievement by changing conditions which affect schools’ resources and support, building capacity for learning within each school, and providing comprehensive supports to address the non-academic needs of students in these high poverty communities.

The HIDOE is integrating these efforts into the BOE and HIDOE’s State Strategic Plan for school years 2017-2020, and is committed to ensuring that SIG funds and other resources support new approaches for Hawaii to address the myriad of obstacles facing persistently low-achieving schools. To this end, the HIDOE School Improvement Grant will engender:

1. **Comprehensive implementation** of proven strategies and models. Schools will no longer have the option of selecting preferred strategies and non-selecting other approaches. Rather, schools will be required to implement all aspects of selected intervention models. Further, the models will be selected based the true root causes of lack of improvement that emerge from an in-depth comprehensive needs assessment of the schools. Implementation support will include embedded services in the classroom to ensure that improvement efforts impacts student learning.

2. **Adequate funding and resources.** Rather than being laden with unfunded mandates, schools will be provided with the fiscal resources and political support needed to fully implement the changes needed. These resources will include business and community partnerships that support the mission.
3. **Coordinated systems of support** to struggling schools. State resources will be reprioritized to focus on support to struggling schools and students. Rather than the usual focus on compliance-driven regulation, individual program coordination and fragmented professional development, these resources will be mobilized to move into a broader context that the State should provide for school improvement. State resources will then focus on establishing clear and sound policies and guidelines that support school improvement and remove the barriers to change. Then, working in tandem, State resources will be used to support Complex Area personnel who will be providing on-going implementation support at targeted schools.

4. **Accountability**. Individually and collectively, personnel at all levels of the HIDOE will be held accountable for positively impacting student outcomes. The HIDOE will not make any excuses, nor accept any excuses. The HIDOE will simply do “whatever it takes” to help students succeed.

Due to Hawaii’s unique structure, the approach to this application has been tailored to account for the single SEA/LEA. Requirements are merged and it is noted where adjustments were necessary to appropriately respond. Through the SIG, the HIDOE will implement a systems approach to address multifaceted problems by leveraging strengths at the State, Complex Area, Public Charter School Commission (PCSC) or Charters considered at their own complex area, and school levels in a tri-level support structure. This will help ensure closer day-to-day support at the lowest-achieving schools and relentless follow-up and follow-through on key initiatives. Thus, while there is just the SEA/LEA, HIDOE will use the Complex Area structure to award SIG grants to the lowest-achieving schools. The State’s efforts in this application were continually aligned with the purpose of the SIG: to provide funds to LEAs that demonstrate the greatest need and the strongest commitment to use the funds to turnaround their persistently lowest-achieving schools and significantly raise student achievement in those schools.

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**Part I. SEA Requirements**

**A. Eligible Schools.**

In consonance with Hawaii’s applications for ARRA State Fiscal Stabilization Funds and Race to the Top funding, the persistently lowest-achieving schools are defined as follows:

Tier I schools are identified as those schools, including secondary schools, whose academic performance and lack of progress in academic performance falls within the lowest 5% of schools that are eligible in the current school year to receive Title I funds and whose Elementary and Secondary Education Act (ESEA) status is Priority, and low graduation rates.
• Academic performance is determined by using the student proficiency rate for all students tested as determined by calculating the composite average proficiency in the “All Student” category on the Smarter Balanced Assessment (SBA) in English Language Arts (ELA) and mathematics for the most recent three (3) years. The SBA is the assessment used by the HDOE in meeting the ESEA Section 1111(b)(3) requirements. Schools meeting the above Tier I criteria are then rank ordered based on the composite average proficiency in the “All Student” category.

• School lack of progress is determined by the current year ESEA status.

• All schools, including high schools, are rank ordered using the current year ESEA status as an indicator of persistent lack of progress. Points (1-4) are assigned in the following manner:
  - Priority - 5 Points
  - Focus - 3 Points
  - Tipping - 1 Points
  - Schools with the highest number of points are the highest priority.

• All Title I high schools are rank ordered using the current graduation rates:
  - Below 60% - 5 Points
  - 60% to 69% - 4 Points
  - 70% to 79% - 3 Points
  - 80% to 89% - 2 Points
  - 90% to 100% - 1 Points

Tier II schools are those high schools that are eligible for, but do not receive, Title I, Part A funds.

• At this time there are no Tier II schools in the HDOE as all high schools in the HDOE eligible for Title I, Part A funds receive such funds.

Tier III schools are those Title I eligible schools in the ESEA status “Continuous Improvement,” “Tipping,” “Focus” or “Priority” that do not meet the Tier I criteria used to identify the lowest performing 5% of Title I schools in ESEA status. These schools are prioritized in the same manner as schools are prioritized for Tier I; however, only Tier I schools will be served in SY 2017-2020.

The full list of Tier I schools is provided in STRIVE HI Index (http://www.hawaiipublicschools.org/VisionForSuccess/AdvancingEducation/StriveHIPerformanceSystem/Pages/2015-16-results.aspx). It should be noted that the HIDOE will not be exercising the option of identifying as a Tier I, II, or III school, a school that was made newly eligible to receive SIG funds by the Consolidated Appropriations Act, 2010.

B. Evaluation Criteria

As a single SEA/LEA, the HIDOE is the entity that will develop the evaluation criteria for the School Improvement Grant (SIG). As the SEA/LEA, the HIDOE is responsible for 1) analyzing the needs of Tier I schools to identify the appropriate intervention model,
and, for Tier III schools, the appropriate strategic interventions, 2) assessing the capacity of the SEA/LEA to provide adequate resources to each school, and 3) developing a preliminary budget that includes sufficient funds to implement the selected interventions. To award and manage SIG funds, Complex Area Superintendents (CASs) or Public Charter Local School Boards (PCLSBs) will apply as "mini-districts" to receive funding for eligible schools within their complex areas. Applicants must demonstrate that they have completed a comprehensive needs assessment and identified the root causes for the lack of improvement; established the capacity to use SIG funds to provide resources and related support to their schools; and included a budget with sufficient funds to fully and effectively implement the selected intervention model.

**Comprehensive Needs Assessment.** The HIDOE will utilize various data points to assess the extent to which the CAS and school have analyzed the needs of the schools. This analysis will involve the following phases that are described in detail in Part D.

- Phase I – Readiness to Benefit Self-Assessment
- Phase II – Quantitative, Qualitative and Historical External Review
- Phase III – Mapping of Schools Against the High Poverty High Performing Readiness Framework to Select Appropriate Interventions

The process involves both internal and external assessment of the schools, including on-site review, in order that the true root causes of the lack of improvement are identified. Results of these assessments will be used by the Review Committee in approving or disapproving applications. Specifically, the review criteria will include the extent to which the CAS or PCLSB and school:

- Reflected on their ability and willingness to implement change;
- Analyzed data from Phase I and II assessments;
- Identified the root causes for the lack of improvement;
- Included a complete summary of findings in the rationale of the amended school Three-Year Academic Plan; and
- Selected enabling activities that directly impact the root causes.

**Capacity.** Through the application process, CASs or PCLSBs must provide evidence that the Complex Area or PCLSB has the capacity to fully implement the selected intervention model. To assess the capacity that can be provided by the CASs or PCLSBs, the HIDOE will assess CAS’s or PCLSB’s applications and interview the CAS or PCLSB to determine whether there is strong leadership from the CAS or PCLSB chairperson and his/her staff to carry out this work. CASs or PCLSBs will be evaluated against the following criteria:

- Leadership team is ready to focus on actions that will improve student achievement;
- Leadership team values the use of data for decision making;
- Leadership team values giving input during decision making; and
- Leadership team is receptive to the idea that change may be necessary and they desire to implement one of the four interventions.
Additionally, HIDOE will take into account Complex Area or PCLSB specific factors such as:

- The availability of a comprehensive system to analyze data, identify root causes, and develop focused plans to drive improvement;
- Whether the Complex Area or PCLSB has already developed concrete plans for school turnaround and initiated components of an intervention model (e.g., appointed a new principal within two years of initiating the transformation);
- The involvement and impact of professional services providers, if applicable; and
- Whether the CAS or PCLSB has identified competent Complex Area support staff or PCLSB support personnel who will be dedicated to providing on-going support to SIG schools.

This criterion is set forth in the School Improvement Grant Assessment tool. A minimum of 102 points must be received for application approval.

**Sufficient Budget.** The HIDOE will evaluate the CASs or PCLSBs budget to determine if it includes sufficient funds to implement the selected intervention fully and effectively through two processes. First, HIDOE will provide budget guidelines aligned to required and permissible activities for the school intervention models. Second, the HIDOE will evaluate the CASs or PCLSB action plan and timeline to ensure there are corresponding budget items (based on HIDOE’s research for turnaround efforts) to effectively implement each identified aspect of the intervention. CASs or PCLSBs will delineate expenditures on the Title I Fiscal Requirements Form that will be included in the complete SIG Application Package. The SIG Project Team will review this form to ensure that funds are necessary, adequate, and allowable.

Schools may receive a minimum of $50,000 and a maximum of $2,000,000. The level of funding will vary based on the size of the school and the needs that must be addressed.

**Commitment.** The HIDOE will assess the commitment of the CAS or PCLSB to fully and effectively implement the SIG requirements by:

- Analyzing the results of the Phase I Readiness to Benefit Self-Assessment. This data will show the extent to which the CAS or PCLSB, Complex Area, and school are able and willing to implement change.
- Analyzing the results of the State STB Report of Findings or other external comprehensive assessments that will surface key strengths and challenges.
- Requiring that the CAS or PCLSB provide evidence of the personnel and other resources they will dedicate to SIG implementation within the SIG application.
- Conducting interviews with the CAS or PCLSB after the applications are submitted. After an initial review of the applications, teams comprised of the Deputy Superintendent and STB will interview the CASs or PCLSB chairpersons to assess their commitment to undertaking the interventions outlined in the SIG application. The Committee will utilize the SIG Assessment Tool to assess the CASs or PCLSBs and their leadership team’s commitment to do the following:
  - Design and implement interventions consistent with the final requirements.
Recruit, screen and select external providers, if applicable, to ensure their quality.
- Align other resources with the interventions.
- Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.
- Sustain the reforms after the funding period ends.

The visiting team will provide a written report for each CAS or PCLSB and participating school with an analysis and overall assessment of their commitment.

C. Capacity

The HIDOE is committed to comprehensive reform, as evidenced by the structural changes the State has implemented to support our lowest-achieving schools. To ensure sustainability of the school support system, the HIDOE will use existing personnel and resources to jump-start the School Improvement Grant implementation. STB personnel are Educational Specialists who are knowledgeable and capable of implementing reform.

The Office of Human Resources has identified the lead person who, working through the Superintendent of Education, will coordinate the development of the performance-based evaluation system and applicable memoranda of agreement with employee unions.

School Transformation Branch (STB) has assigned one Educational Specialist to School Improvement. The position will serve Tier I schools, and coordinate and support SIG implementation. Once implementation begins, additional STB staff will provide technical assistance and support to schools.

STB is also assigning existing staff from the Curriculum and Instruction Branch and the Student Support Branch with the requisite content area expertise to coordinate services. The additional staff will also partner with Complex Area teams or Charter School Administrative Office team to provide follow-up technical assistance and professional development for the participating schools and Complex Areas. This effort will include expanding the training and coaching in standards-based education provided for Complex Area Teams.

STB has reviewed current fiscal resources, and identified funding sources that will be leveraged to expand and enhance school improvement efforts.

Department Schools: Complex Areas have identified key personnel who will serve on the Complex Area Teams and provide front-line support to schools, including School Renewal Specialists and resource teachers who will be dedicated to this implementing the SIG school plan. These individuals will be identified in the Capacity section of the SIG Application Package. To ensure that Complex Area staff is able to sustain the support services after the SIG funding period is over, Complex Area Teams and CASs will be required to participate as stakeholders and contributors of school improvement process.
Public Charter Schools: For public charter SIG schools, the Charter School Administrative Office will identify key personnel who serve on the public charter school and provide front-line support to the schools. To ensure that the public charter school is able to sustain the support services after the SIG funding period is over, the public charter school, and STB will be required to participate as stakeholders and contributors of school improvement process.

**D. Descriptive Information for Hawaii School Improvement Grant (SIG) revised 6/2017**

Under the direction of the Deputy Superintendent and the SIG Program Manager will coordinate and facilitate the process according to the timeline below.

**SIG Implementation Timeline**

<table>
<thead>
<tr>
<th>Timeline</th>
<th>Enabling Activity</th>
<th>Outcome(s)</th>
<th>Lead</th>
</tr>
</thead>
<tbody>
<tr>
<td>By April 13, 2017</td>
<td>• Submit Intent to Apply form to Project Manager.</td>
<td>Intent to Apply Form submitted to Project Manager.</td>
<td>CASs or PCLSBs</td>
</tr>
<tr>
<td>Within one week of receipt of the Intent to Apply Form and Readiness to Benefit Self-assessment Form</td>
<td>SEA/LEA STB will review the Intent to Apply Form and Readiness to Benefit Self-Assessment Form.</td>
<td>Three (3) top ranking applicants will be offered the opportunity to submit a SIG Grant Application.</td>
<td>SIG Team-Director, Educational specialists</td>
</tr>
<tr>
<td>By April 20, 2017</td>
<td>Schools will:</td>
<td>Readiness to Benefit Self-Assessment Form submitted to Project Manager.</td>
<td>CASs or PCLSBs</td>
</tr>
<tr>
<td></td>
<td>- Conduct the Readiness to Benefit Self-Assessment.</td>
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<tr>
<td></td>
<td>- Submit the Readiness to Benefit Self-Assessment Form.</td>
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<tr>
<td>May 2017</td>
<td>School Transformation Branch will deploy Review Team or external provider will conduct a comprehensive needs assessment of</td>
<td>Comprehensive needs assessment (CNA) with strengths &amp; needs of school.</td>
<td>SIG Program Manager/PCLSBs</td>
</tr>
<tr>
<td>Date</td>
<td>Action</td>
<td>Responsible Party</td>
<td></td>
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<tr>
<td>Ongoing</td>
<td>Continue conversations with collective bargaining units regarding employee issues and development of performance-based system.</td>
<td>Principal</td>
<td></td>
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<tr>
<td>By May 15, 2017</td>
<td>STB will review application and possible schoolwide plan enabling activities based on CNA and SIG parameters, provide feedback, and approve as appropriate.</td>
<td>Educational Specialists</td>
<td></td>
</tr>
<tr>
<td>May 26, 2017</td>
<td>Forward CNA result and analyses for grant review of application for Deputy Superintendent or STB Director and SIG panel to rate application.</td>
<td>SIG Program Manager</td>
<td></td>
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<tr>
<td>By June 4, 2017</td>
<td>Awardee will be notified of their acceptance as SIG school.</td>
<td>SIG Program Manager</td>
<td></td>
</tr>
<tr>
<td>June 6, 2017</td>
<td>Program Manager to prepare notification letter to awardee.</td>
<td>SIG Program Manager</td>
<td></td>
</tr>
<tr>
<td>Ongoing</td>
<td>Continue conversations with collective bargaining units regarding employee issues and development of performance-based system.</td>
<td>Principal and school representatives</td>
<td></td>
</tr>
<tr>
<td>June 9, 2017</td>
<td>Review SIG grant package and pertinent documents with SIG panel.</td>
<td>SIG Program Manager</td>
<td></td>
</tr>
</tbody>
</table>

Hawaii School Improvement Grant FY 2016 revised 6/2017
<table>
<thead>
<tr>
<th>Phase</th>
<th>Time Frame</th>
<th>Activity</th>
<th>Supporting Information</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>June -July 2017</td>
<td>Preparation for grant allotment reflected in school’s Schoolwide Plan with academic expenditures and finances.</td>
<td>Plan for implementation of SIG, based on school’s CNA, SIG Guidelines.</td>
</tr>
<tr>
<td></td>
<td>July 2017</td>
<td>Monitoring of former awardee, Dole Middle School.</td>
<td>Closure of SY 2017 fiscal SIG expenditures (all purchase orders) aligned to academic plan.</td>
</tr>
<tr>
<td></td>
<td>By Schoolwide Plan approval (Governing Board &amp; SIG) and completion</td>
<td>SIG funds will be allocated to appropriate cost centers for school meeting the SIG criteria. * Teacher Reward * Extended Learning Time * Extended School Year</td>
<td>Allocation documents will be processed no later than April 30, 2018.</td>
</tr>
<tr>
<td></td>
<td>By SY 2018-19</td>
<td>Begin implementation of the selected model.</td>
<td>Quarterly Reports on the progress of strategic actions and enabling activities will be submitted to the Project Manager.</td>
</tr>
<tr>
<td></td>
<td>July 2017-June 2020</td>
<td>School will conduct quarterly or monthly formative assessments on reading and mathematics on a state-approved assessment to demonstrate progress of interventions.</td>
<td>Formative assessment results will be submitted to Project Manager.</td>
</tr>
<tr>
<td></td>
<td>Ongoing (monthly)</td>
<td>SIG/STB will monitor for financial, help seek intervention resources, and/or</td>
<td>Report of monitoring and technical assistance will be</td>
</tr>
</tbody>
</table>

Hawaii School Improvement Grant FY 2016 revised 6/2017
<table>
<thead>
<tr>
<th>Frequency</th>
<th>Description</th>
<th>Responsible Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annually</td>
<td>SIG with school will facilitate comprehensive needs assessment and utilize the data to plan and initiate action.</td>
<td>Evaluation results and revised school plans that utilize the CNA results will be submitted to the STB Director.</td>
</tr>
<tr>
<td>Annually</td>
<td>HIDOE Deputy Superintendent will submit all necessary data reports and evaluations to USEd Facts (data facts- Mcl Decasa to USDOE)</td>
<td>Reports and evaluations will be submitted to USDOE by the established deadlines.</td>
</tr>
<tr>
<td>Annually during June - July</td>
<td>STB will evaluate school progress relative to SIG indicators and external evaluators report to determine continuation or discontinuation of schools in the SIG project.</td>
<td>Recommendation on continuation to Deputy Superintendent by July of each school year.</td>
</tr>
</tbody>
</table>

HIDOE has the current capacity, and will run a “competitive” application process for SIG funds per the timeline and phases delineated above.

**Current Legal Authority:** Under the current accountability framework, the Hawaii Board of Education (BOE) is empowered through HRS 302A-1101 to “formulate statewide educational policy, adopt student performance standards and assessment models, monitor school success (italics added), and appoint the Superintendent of Education as the Chief Executive Officer of the public school systems.” The Superintendent of Education as the Chief Executive Officer of the public school system has “jurisdiction of the internal organization, operation and management of the public school system (HRS302A-1111)

HRS Section 302A-1004 requires that the HIDOE implement a comprehensive system of accountability, and germane to intervening in persistently lowest-achieving schools, HRS 302A-1004, parts (a) 5, 7, and 8 call for the accountability system to:

(a)(5) Invoke a full and balanced set of appropriate consequences for observed performance, including rewards and recognition for those schools that meet or exceed goals, assistance to those that fall short, and sanctions for those that, given adequate assistance and ample time, continue to fail to meet goals;
(a)(7) Require that teachers and administrators engage in the continuous professional growth and development that ensure their currency with respect to disciplinary content, leadership skill, knowledge, or pedagogical skill, as appropriate to their position. This requirement may be established by the HIDOE in terms of credit hours earned or their equivalent in professional development activity certified by HIDOE as appropriate in focus and rigor; and
(a)(8) Establish an explicit link between professional evaluation results and individual accountability through professional development of the knowledge, skill, and professional behavior necessary to the position, by requiring that results of the professional evaluation be used by the HIDOE to prescribe professional development focus and content, as appropriate.

Finally, the HIDOE through HRS302A-1114 has the power of appointment and removal of teachers, educational officers and other personnel as may be necessary for implementing the aforementioned system of accountability.

**Quantitative, Qualitative and Historical External Review**
The HIDOE, through the STB, will coordinate external or STB personnel to conduct an in-depth assessment of all-aspects of the school. The purposes of this review are to:
1. Provide consistent and high-level targeted assistance to ESEA Status Schools in the areas of data analysis, identification of evidence-based interventions and budget analysis necessary to drive school improvement;
2. Provide an external perspective of the school’s level of functioning; and
3. Provide the CAS or PCLSB and the school leadership with critical elements and potential root causes to guide the revision of the multi-year plan and the development of the Three Year Academic Improvement Plan or Schoolwide Plan.

Using the Tool for Assessing a School’s Level of Need for School Improvement. The SIG/STB team will review current academic performance, achievement gaps and STRIVE HI status; community demographics, student population; and adult and regional economic status. The team will also review documents such as the school’s Three Year Academic Improvement Plan or Schoolwide Plan and Quarterly Reports, and other records. The team will conduct in-person qualitative assessments to assess the commitment of the complex area or PCLSB to undertaking the interventions outlined in the SIG application. The team’s Report of Findings will be shared with the Complex Area Superintendent/Charter School Commission and the Deputy Superintendent.

**Selection of Interventions**
STB will convene a Recommendation Committee to include the Deputy Superintendent and Complex Area Superintendents to identify the intervention model most appropriate for the schools. The Committee will utilize the School Readiness Tool and will take into consideration the Review of each school. In selecting the intervention, the Recommendation Committee will consider the following: number of Tier I and III schools; availability and quality of charter management organizations and educational
management organizations; talent; and access and proximity to higher performing schools.

The CASs or PCLSBs who oversee the schools will then be invited to apply for SIG funds in alignment with the intervention model identified. State and Complex Area teams will assist the schools in utilizing the Report of Findings from the comprehensive needs assessment to amend their school Strategic and Academic and Financial Plans or Schoolwide Plan, and complete the SIG Application Package.

Through the SIG application process, CASs or PCLSBs will provide evidence of their ability to:

- Effectively implement the selected intervention models;
- Put in place resources to develop and plan for specific timelines and autonomous for dealing with the clustering of interventions, if appropriate, and the necessary autonomous for the turnaround work;
- Select and manage partner organizations to assist with strategic work in the schools;
- Recruit and retain strong school leaders who want to work with the lowest achieving schools;
- Commit to strategic recruitment, selection, support, and evaluation of staff; and
- Collaborate with HIDOE leadership and the Office of Human Resources who are working with the respective unions to establish key autonomous within the identified schools (e.g., Memorandum of Agreement regarding operational flexibilities and incentives), develop and implement a performance-based evaluation system for teachers and administrators, and expand the pipeline of effective teachers and leaders.

To assess the support and intervention that can be provided by the CASs or PCLSBs, the HIDOE is engaged in an analysis to determine whether there is strong leadership from the CAS or PCLSB and his/her staff to carry out this work. CASs or PCLSBs will be evaluated in their applications against the following criteria:

- Leadership team is ready to focus on actions that will improve student achievement;
- Leadership team values the use of data for decision making;
- Leadership team values giving input during decision making; and
- Leadership team is receptive to the idea that change may be necessary and they desire to implement one of the four interventions.

Additionally, HIDOE will take into account Complex Area or PCLSB specific factors such as:

- The availability of a comprehensive system to analyze data, identify root causes, and develop focused plans to drive improvement;
• Whether the Complex Area or PCLSB has already developed concrete plans for school turnaround and initiated components of an intervention model (e.g., appointed a new principal within two years of initiating the transformation);
• The involvement and impact of professional services providers (e.g., Edison, America’s Choice, ETS, and others); and
• Whether the CAS or PCLSB has identified competent Complex Area support staff who will be dedicated to providing on-going support to SIG schools.

**Process for reviewing annual goals for student achievement**

HIDOE will use the following Quarterly and Annual Review process for monitoring progress at all participating schools.

CASs or PCLSBs will be required to submit targets noted in the Academic or Schoolwide Plan. CASs or PCLSBs will also be required to report baseline data on the SIG reporting and evaluation metrics on the Complex Area SIG Application data sheet. Targets for student achievement will include summative measures of student achievement, as well as "growth" measures that assess individual student progress.

• DOE schools forward data reports to STB while Public Charter schools forward ART minutes, School Community Council minutes to both intra and internet.
• In addition, CASs or PCLSBs and schools will be required to submit a detailed Quarterly Report aligning data points made in yearly Schoolwide Plan. This will be used to formatively assess school progress on the key activities and timeline in each Complex/ Public Charter School application. If the school works with a professional services provider, the provider’s report will be appended to the Quarterly Report. The SIG Program Manager will convene a committee to review the Quarterly Reports to determine progress towards annual goals.
• CASs or PCLSBs will also be required to report on specific activities tied to the selected intervention as outlined in the Complex/ Public Charter School Application.

Under the guidance of the Deputy Superintendent, STB will be responsible for reviewing the amended Academic or Schoolwide Plan to compare the baseline data on the Student Outcome and Progress against the targets identified by the CASs or PCLSBs in their initial applications. Schools that are meeting or exceeding their identified targets will receive continued funding. Schools that are not meeting their identified targets will be subject to review by the Deputy Superintendent. A corrective action plan will be developed. However, if it is determined that corrective action will not likely be successful, funding may be discontinued and other measures will be implemented. The Deputy Superintendent will ultimately determine whether the CAS or PCLSB is meeting goals and making progress on the leading indicators.
Monitoring and Evaluation

The HIDOE will conduct compliance monitoring and technical assistance, by implementing on-site monitoring of school.

- STB will conduct a minimum of two on-site evaluative visitations to each participating SIG school and will review the schools’ quarterly reports to their School Community Councils or PCLSB, which documents the schools’ progress in achieving their strategic actions and enabling activities in their Academic and Financial Plans or School Plan. The team will conduct classroom visitations and interviews to assess the level of implementation. The team will be assessing the extent to which identified enabling activities are implemented with fidelity, determining barriers to implementation, and monitoring the effectiveness and level of support being provided to schools by the complex areas. The team will then provide technical assistance and advice on implementation, and facilitate the removal of barriers to implementation.

- STB will conduct annual consolidated monitoring and technical assistance visits to participating schools to assess the quality of implementation and compliance with federal guidelines. By reviewing source documents, conducting classroom visitations, and interviewing key personnel, the team will assess the extent to which the school is complying with Title I requirements, implementing the key strategies needed to realize improvement, and addressing the barriers to implementation. The team will also provide on-site technical assistance to resolve programmatic, fiscal, or other challenges.

- The State Leadership Team, composed of the Superintendent and staff, the Deputy Superintendent, and CASs or PCLSBs, may conduct random, on-site visitations to gather information, observe classrooms, and validate the findings of the SIG Team. By conducting on-site visitations and classroom walk-through’s, the entire State Leadership Team will share a common experience from which they can identify and discuss successful practices, as well as barriers. In so doing, the Leadership Team can determine strategies that can be replicated in other complex areas.

In addition, HIDOE Monitoring and Compliance Office (MAC) will conduct independent evaluation of the HIDOE SIG initiative. MAC will monitor progress along the way and ensure successful management of evaluation activities. MAC will develop and implement a quasi-experimental study (e.g., carefully matched comparison groups design or an interrupted time series design), with the goal of identifying causal conclusions. As evaluator, MAC will conduct on-site visits, interviews and desk reviews to collect and analyze quantitative and qualitative data; compile annual reports to ascertain linkages between SIG inputs and student outcomes; and will be tasked with identifying the intervention methods and teacher actions that lead to student success.

The HIDOE will renew grants based on the progress attained as outlined in the CAS’ or PCLSB’s application requesting SIG funds based on the following indicators: 
1) progress against the timeline delineating the steps the CAS or PCLSB will take to implement the selected intervention in Tier I schools; 2) progress against the annual goals
on the Smarter Balance Assessment (SBA) in both reading and mathematics; and 3) progress on the leading indicators of the final requirements.

If a SIG school is not meeting its annual goals, the Deputy Superintendent and STB Director will submit a recommendation on the continuation, adjustment, or discontinuation of the school to the Superintendent of Education. The decision of the Superintendent will be final.

Prioritization of School Improvement Grants

All of the components described herein will be reviewed during the selection process. The Selection Committee, under the guidance of the Deputy Superintendent and the Project Manager, will review all applications using the School Improvement Grant Assessment Tool. This tool includes rubrics for each component.

The HIDOE is committed to serving all Tier I schools that the State and Complex Areas have the capacity to serve. It is possible that some CASs or PCLSBs will not have the capacity to serve their Tier I schools. Should this be the case, the CAS or PCLSB may submit a Claim of Lack of Capacity by providing a detailed explanation as to why the identified Tier I school(s) cannot be served due to the lack of capacity. The Deputy Superintendent and STB will review these submittals, request additional clarification if necessary, evaluate the claim, and provide additional support as necessary.

Tier I Priority schools

The CAS as provider or Public Charter School Governing Board can direct actions in the schools in his/her Complex Area or Public Charter School. Specifically, as the agent for the HIDOE, the CAS or PCSGB:

- Directs and manages the school improvement effort;
- Makes leadership decisions for the school, including personnel decisions;
- Manages all curriculum and instruction for the school;
- Exercises budgetary authority over all school funds and resources, except funds designated to the restructuring provider; and
- Determines for the Tier I schools which reform model will be implemented based on the needs assessment data.

For charter schools, the PCLSBs serve and initiate corrective actions to turnaround their schools.

E. Assurances

By submitting this application, the HIDOE assures that it will do the following:

☑ Comply with the final requirements and ensure that as an SEA/LEA HIDOE carries out its responsibilities.
Award the LEA (through the Complex Area system structure) a School Improvement Grant in an amount that is of sufficient size and scope to implement the selected intervention in each Tier I and Tier II school that the SEA approves the LEA to serve.

Apportion its school improvement funds in order to make grants to LEAs, as applicable, that are renewable for the length of the period of availability, taking into account any waivers that may have been requested and received by the SEA or an individual LEA to extend the period of availability.

Ensure, if the HIDOE is participating in the Department’s differentiated accountability pilot, that HIDOE will use school improvement funds consistent with the final requirements.

Monitor HIDOE’s implementation of the interventions supported with school improvement funds.

To the extent a Tier I or Tier II school implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.

Post on its Website, within 30 days of awarding School Improvement Grants, all final LEA applications and a summary of the grants that includes the following information: name and NCES identification number of each LEA awarded a grant; amount of the grant; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Tier I and Tier II school.

Report the specific school-level data required in Section III of the final requirements.


By submitting this application, the SEA assures that it will do the following:

Use FY 2015/2016 SIG funds solely to make continuation awards and will not make any new awards\(^1\) to its LEAs unless the SEA has an approved new award application.

\(^1\)A “new award” is defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve the SIG funds in the school year for which funds are being awarded-in this case, the 2016-2017 school year. New awards may be made with the FY 2015 or FY 2016 funds or any remaining SIG funds not already committed to grants made in earlier competitions.
Use the renewal process described in Section II(C) of the final requirements to determine whether to renew an LEA’s School Improvement Grant.

Monitor and evaluate the actions an LEA has taken, as outlined in its approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality and regularly review and hold accountable such providers for their performance.

Monitor and evaluate the actions the LEA has taken, as outlined in its approved SIG application, to sustain the reforms after the funding period ends and provide technical assistance to LEAs on how they can sustain progress in the absence of SIG funding.

If a school implementing the restart model become charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.

If the SEA approves any amendments to an LEA application, post the LEA’s amendment application on the SEA website.

Report the specific school-level data required in section III of the final SIG requirements, including baseline data for the year prior to SIG implementation.

F. SEA Reservation

The HIDOE will utilize the SEA reservation to enhance the capacity of State and Complex Areas to support struggling schools and sustain continuous improvement. Specifically, STB will provide on-going technical assistance to SIG school and high-quality professional development for State, Complex Area and school teams to ensure their capacity to sustain continuous improvement in the schools. Together, they will:

- Conduct training in the comprehensive needs analysis process in order that teams can fully participate in CNA reviews. To hone their skills, teams will participate in reviews within their Complex Areas, as well as at schools from other Complex Areas. Associated costs include inter-island travel (airfare, ground transportation and per diem), instructional resources, and workshop supplies. It should be noted that CAS/PCS will be required to participate as members of Complex Area teams deployed to their schools.

- Conduct on-site monitoring and technical assistance visits at all participating schools. Associated costs include inter-island travel (airfare, ground transportation, and per diem).

- Provide training in turnaround leadership. Associated costs include consultant contracts and instructional materials.

In addition, MAC will conduct on-site visits, interviews and desk reviews to collect and analyze quantitative and qualitative data to determine progress or lack thereof. The evaluator will compile annual reports to ascertain linkages between SIG inputs and
student outcomes, and will be tasked with identifying the intervention methods and teacher actions that lead to student success.

It is envisioned that the SIG will be the impetus for STB to fully implement cross-functional teams at the State, Complex Area, and schools capable of facilitating and sustaining continuous school improvement.

**Part II. LEA Requirements**

Given the single SEA/LEA structure, the SIG application process is aligned to the existing Department-wide school improvement planning process. Currently, HIDOE has a state-wide, Three Year Academic Improvement Plan, and department schools submit an annual Academic Plan and Fiscal Requirement Form, that addresses critical actions the school will take to 1) assure all students graduate college- and career-ready; 2) Ensure and sustain a rich environment and culture for life-long learning; and 3) continuously improve the effectiveness, efficiency, and responsiveness of the educational system.

For charter schools, the Schoolwide Plan, describes the critical actions the school will take to increase student achievement and continuous school improvement.

The Academic or Schoolwide Plan delineates how all school funds aligned to their enabling activities will be utilized all based upon the CNA. For Title I schools, the Academic or Schoolwide Plan is also the Title I plan.

SIG, CASs or PCLSBs will be required to submit the School Improvement Grant Application and, for each participating school, attach:

- An amended Academic Plan or Schoolwide Plan
- The SIG Fiscal Requirements Form

The applications will be reviewed by the committee convened by the STB Director, as described above.