Required Federal Intervention Models for SRG Funds
Summary of Federal Models

In February 2015, the Federal Office of Elementary and Secondary Education adopted changes to the School Improvement Grant (SIG) Program that included the addition of three new models (Early Learning, State-Determined, and Whole-school Reform). Note that the Massachusetts State Determined model is still under development and is not summarized in this document. Pending federal approval, it will be available for districts to apply for in the FY17 SRG competition.

The four original federal models (Turnaround, Transformation, Restart and Closure) remain available to districts. Note that there have been some modifications, as well as expansion and strengthening of requirements, for all models.

Additionally, the federal office revised some of the current SIG requirements to strengthen program implementation based on lessons learned and input from stakeholders by: Adding an intervention model that focuses on improving educational outcomes in preschool and early grades; adding an LEA requirement to demonstrate the appropriateness of the chosen intervention model and to take into consideration family and community input in the selection of the model; adding an LEA requirement to continuously engage families and the community throughout implementation; adding an LEA requirement to monitor and support intervention implementation; adding an LEA requirement to regularly review external providers’ performance and hold external providers accountable; eliminating the ‘‘rule of nine’’; and revising reporting requirements.

Below is a summary of each of the requirements all seven SRG models. Full requirements are available on the federal register.

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1. Early Learning
2. Restart
3. School Closure
4. State Determined
5. Transformation
6. Turnaround
7. Whole-school Reform

**Early Learning Model:**
An LEA implementing the early learning model in an elementary school must—

1. Implement each of the following early learning strategies—
   (A) Offer full-day kindergarten;
   (B) Establish or expand a high-quality preschool program (as defined in these requirements);
   (C) Provide educators, including preschool teachers, with time for joint planning across grades to facilitate effective teaching and learning and positive teacher-student interactions.
2. Replace the principal who led the school prior to commencement of the early learning model;
3. Implement rigorous, transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement, that meet the requirements described in section I.A.2(d)(1)(A)(ii);
(4) Use the teacher and principal evaluation and support system described in section I.A.2(d)(1)(A)(ii) of these requirements to identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so;
(5) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of students in the school, taking into consideration the results from the teacher and principal evaluation and support system described in section I.A.2(d)(1)(A)(ii) of these requirements, if applicable;
(6) Use data to identify and implement an instructional program that—
  (A) Is research-based, developmentally appropriate, and vertically aligned from one grade to the next as well as aligned with State early learning and development standards and State academic standards and
  (B) In the early grades, promotes the full range of academic content across domains of development, including math and science, language and literacy, socio-emotional skills, self-regulation, and executive functions;
(7) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the educational and developmental needs of individual students; and
(8) Provide staff ongoing, high-quality, job-embedded professional development such as coaching and mentoring (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to implement successfully school reform strategies.

**Restart model:**
(1) A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process.

(A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing certain functions and resources among schools. An EMO is a for-profit or non-profit organization that provides “whole-school operation” services to an LEA.)

The rigorous review process must include a determination by the LEA that the selected charter school operator, CMO, or EMO is likely to produce strong results for the school. In making this determination, the LEA must consider the extent to which the schools currently operated or managed by the selected charter school operator, CMO, or EMO, if any, have produced strong results over the past three years (or over the life of the school if the school has been open for fewer than three years), including—
  (A) Significant improvement in academic achievement for all of subgroups;
  (B) Success in closing achievement gaps, either within schools or relative to all public elementary school and secondary school students statewide, for all of subgroups;
  (C) High school graduation rates, where applicable, that are above the average rates in the State for all subgroups; and
  (D) No significant compliance issues, including in the areas of civil rights, financial management, and student safety;
(2) A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.

**School Closure Model:**
School closure occurs when an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving. These other schools should be within reasonable proximity to the
closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available.

**State-Determined Model:**

Note: Massachusetts State-Determined Model is still currently under development. Pending federal approval, it will be available for districts to apply for in the FY17 SRG competition.

An LEA may implement an intervention developed or adopted by its SEA that has been approved by the Secretary, consistent with section II.B.1(b). ESE will be developing and submitting to USED a model that meets the following requirements:

In its application to the Department, each SEA may submit one State-determined intervention model for the Secretary’s review and approval. To be approved, a State-determined intervention model must:

1. Ensure strong leadership by:
   - (A) Requiring a review of the performance of the current principal;
   - (B) Requiring replacement of the principal, if such a change is necessary to ensure strong and effective leadership, or requiring the LEA to demonstrate to the SEA that the current principal has a track record in improving achievement and has the ability to lead the turnaround effort; and
   - (C) Requiring the LEA to provide the principal with operational flexibility in the areas of scheduling, staff, curriculum, and budget;
2. Ensure that teachers are effective and able to improve instruction by:
   - (A) Requiring a review of all staff and retaining only those who are determined to be effective and to have the ability to be successful in supporting the turnaround effort;
   - (B) Preventing ineffective teachers from transferring to a school implementing an intervention under section I.A.2; and
   - (C) Providing job-embedded, ongoing professional development informed by the teacher evaluation and support systems and tied to teacher and student needs;
3. Establish schedules and implement strategies that provide increased learning time (as defined in these requirements);
4. Strengthen the school’s instructional program by ensuring that it—
   - (A) Is research-based, rigorous, and aligned with State academic content standards; and
   - (B) Meets student needs;
5. Use data to inform instruction and for continuous improvement, including by providing time for collaboration on the use of data;
6. Establish a school environment that improves school safety and discipline and addresses other nonacademic factors that impact student achievement, such as students’ social, emotional, and health needs; and
7. Provide ongoing mechanisms for family and community engagement.

Note: An intervention that the Secretary approved as part of an SEA’s ESEA flexibility request that also includes increased learning time, as defined in these requirements, will be considered to have met the criteria in II.B.1(b).

**Transformation model:**

A transformation model is one in which an LEA implements each of the following elements:

1. Developing and increasing teacher and school leader effectiveness.
   - (A) Required activities. The LEA must—
     - (i) Replace the principal who led the school prior to commencement of the transformation model;
     - (ii) Implement rigorous, transparent, and equitable evaluation and support systems for teachers and principals, designed and developed with teacher and principal involvement, that—
(1) Will be used for continual improvement of instruction;
(2) Meaningfully differentiate performance using at least three performance levels;
(3) Use multiple valid measures in determining performance levels, including as a significant factor data on student growth (as defined in these requirements) for all students (including English learners and students with disabilities), and other measures of professional practice (which may be gathered through multiple formats and sources), such as observations based on rigorous teacher performance standards, teacher portfolios, and student and parent surveys;
(4) Evaluate teachers and principals on a regular basis;
(5) Provide clear, timely, and useful feedback, including feedback that identifies needs and guides professional development; and
(6) Will be used to inform personnel decisions.

(iii) Use the teacher and principal evaluation and support system described in section I.A.2(d)(1)(A)(ii) of these requirements to identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so; and
(iv) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of students in the school, taking into consideration the results from the teacher and principal evaluation and support system described in section I.A.2(d)(1)(A)(ii) of these requirements, if applicable.

(2) Comprehensive instructional reform strategies.
   (A) Required activities. The LEA must—
      (i) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;
      (ii) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students; and
      (iii) Provide staff ongoing, high quality, job-embedded professional development (e.g., regarding subject specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to implement successfully school reform strategies.

(3) Increasing learning time and creating community-oriented schools.
   (A) Required activities. The LEA must—
      (i) Establish schedules and strategies that provide increased learning time (as defined in these requirements); and
      (ii) Provide ongoing mechanisms for family and community engagement.

(4) Providing operational flexibility and sustained support.
   (A) Required activities. The LEA must—
      (i) Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully each element of the transformation model to substantially improve student achievement outcomes and increase high school graduation rates; and
      (ii) Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).
**Turnaround model:**
A turnaround model is one in which an LEA must implement each of the following elements:

(A) Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully each element of the turnaround model.
(B) Using locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students—
   (i) Screen all existing staff and rehire no more than 50 percent; and
   (ii) Select new staff.
(C) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school.
(D) Provide staff ongoing, high quality, job-embedded professional development that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies.
(E) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new “turnaround office” in the LEA or SEA, hire a “turnaround leader” who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability.
(F) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.
(G) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.
(H) Establish schedules and implement strategies that provide increased learning time (as defined in these requirements).
(I) Provide appropriate social-emotional and community-oriented services and supports for students.

**Whole-School Reform Model:**
An evidence-based, whole-school reform model—

(1) Is supported by evidence of effectiveness, which must include at least one study of the model that—
   (A) Meets What Works Clearinghouse® evidence standards with or without reservations;
   (B) Found a statistically significant favorable impact on a student academic achievement or attainment outcome, with no statistically significant and overriding unfavorable impacts on that outcome for relevant populations in the study or in other studies of the intervention reviewed by and reported on by the What Works Clearinghouse; and
   (C) If meeting What Works Clearinghouse evidence standards with reservations, includes a large sample and a multi-site sample as defined in 34 CFR 77.1 (Note: multiple studies can cumulatively meet the large and multisite sample requirements so long as each study meets the other requirements in this section);
(2) Is a whole-school reform model as defined in these requirements; and
(3) Is implemented by the LEA in partnership with a whole-school reform model developer. Whole-school reform model developer means an entity or individual that—
   (A) Maintains proprietary rights for the model; or
   (B) If no entity or individual maintains proprietary rights for the model, has a demonstrated record of success in implementing a whole-school reform model (as defined in these requirements) and is selected
through a rigorous review process that includes a determination that the entity or individual is likely to produce strong results for the school.

* What Works Clearinghouse Procedures and Standards Handbook (Version 3.0), which can currently be found at the following link: