

State use of federal School Improvement Grant (1003g) funds

March 2010

This report represents an extension of Mass Insight's research on school turnaround. The findings in this presentation focus on the changes to the federal Title I School Improvement Grants ("1003g") program and how states can best utilize them to turn around failing schools.

This report relies on Mass Insight analysis and information from the U.S. Department of Education website.

Mass Insight continues to lead research and development efforts in the turnaround sector both on a national level and for individual state partners. Our national Partnership Zone Initiative is funded by an initial grant from the Carnegie Corporation of New York, with a partial match from the Bill & Melinda Gates Foundation.

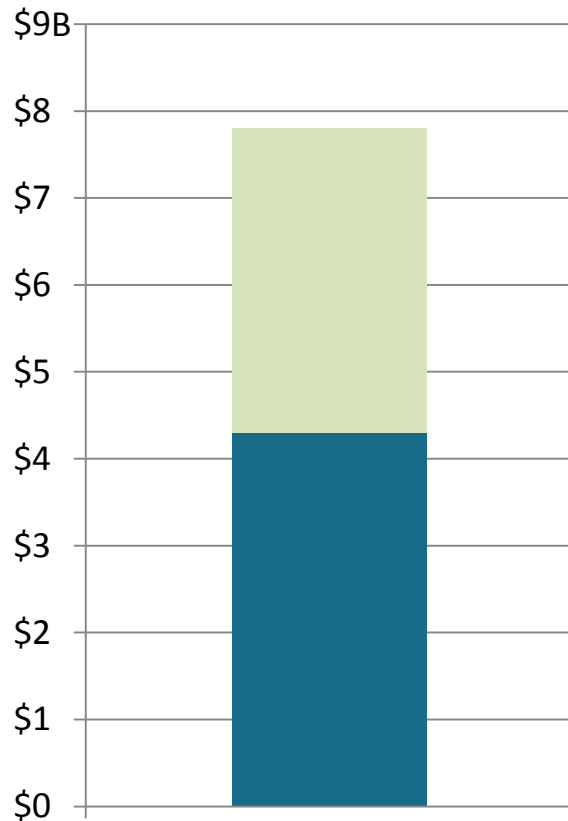
Executive summary

- The new Title I School Improvement Grant (“1003g”) requirements offer an unprecedented opportunity for State Educational Agencies (SEAs) and Local Educational Agencies (LEAs) to drive school change
- SEAs should treat 1003g LEA sub grants as a mini-Race to the Top competition:
 1. Target funds at the needy schools that demonstrate a real commitment to change
 2. Differentiate funding based on the intensity of the proposed intervention
 3. Establish indicators to know what is working
- In the best cases, SEAs will create a “learning agenda” to determine how current results should inform future practice in dispersing these important federal funds

- Overview of Title I School Improvement Grants
- The intervention options
- The grant administration process
- Allowable uses of state-level funds
- Appendix: State-by-state breakdown of School Improvement Grant funds

The American Reinvestment and Recovery Act (ARRA) has afforded unprecedented funding to low performing schools

The stimulus package: Funding available for education



Stimulus funding

Title I School Improvement Grant Program (1003g)

- \$4B in total federal funding (both ARRA and regular FY09 & FY10 1003g funds)
- Guaranteed to all states

Race to the Top Fund

- \$4.3B in total federal funding
- Funds may only go to 10 or 15 states

SEAs should look at SIG as their “intrastate Race to the Top.”

While much attention has been paid to RTTT, 1003g provides a sustainable and substantial source of revenue

Highlights of SIG funds

Unprecedented source of funds



In addition to \$546M in regular FY09 1003g appropriations and another \$546M in FY10 appropriations, ARRA has allocated \$3B in 1003g funds to states

Formula, not competitive, grants to states



Unlike RTTT, 1003g funds are awarded to each state on a non-competitive basis, in a sum approximately proportionate to historical Title I allocations

Targeted at highest-need areas



Grants must be used exclusively for the improvement of our lowest performing schools

Sustaining school improvement efforts after the ARRA 1003g funds run out

Proposed continued 1003g funding

- President Obama's proposed FY11 appropriations for 1003g grants is \$900 million, an increase of \$354.4 million (or 65%) over FY10 appropriations

USED's clear focus on turnarounds

- USED has renamed the School Improvement Grant program the "School Turnaround Grants" program, reiterating Secretary Duncan's goal to turn around 5,000 of our nation's lowest-performing schools

Maximizing FY09 and FY10 SIG funds now for self-sustaining turnaround efforts

- Although funding is likely to increase in FY11, the abundance and duration of current FY09 and FY10 SIG grants should allow schools and districts to develop the necessary knowledge and experience to continue their improvement plans
- It is critical that states, districts and external partners establish an aligned system of support to leverage the current fiscal opportunity to fundamentally improve schools in need

The US Department of Education (USED) recently made a number of important changes to the 1003g program

Significant changes in the new requirements for 1003g grants

- 1** Funds must be targeted at each state's persistently lowest-achieving schools (as defined in the requirements)
- 2** States and districts must provide substantial resources over the course of several consecutive years to drive change (versus spreading the funds across schools and dampening the impact)
- 3** Districts can use 4 different types of interventions to improve schools
- 4** SEAs are allowed to consider the "commitment" (both concept of school change and type of change model chosen) of both LEAs and schools when awarding funds; this means SEAs/LEAs don't have to fund projects that do not seem likely to succeed
- 5** SEAs and LEAs are allowed - and encouraged - to target SIG funds at Title I eligible schools that do not receive Title I funds, including persistently lowest-achieving secondary schools (based on recognition that lowest performing schools are disproportionately secondary schools)
- 6** States are encouraged to seek waivers from NCLB requirements in order to facilitate proper and aggressive use of these new funds (due to some inconsistency between requirements)
- 7** Schools that receive funds must be held to accountability benchmarks, including both end-of-year student achievement outcomes and leading indicators as collected through formative assessment methods, both quantitative and qualitative

These changes include several notable improvements over the previous requirements

Focused impact	Discretion over recipients	Recognition of underperforming school needs	No safety valve
<ul style="list-style-type: none">Previously, 1003g funds had to address all Title I schoolsUnder new regulations, larger sums can be targeted at a smaller number of schools because of 2 changes:<ul style="list-style-type: none">Sub grants to LEAs are now competitiveMaximum SIG allocation for an individual school has been raised from \$500K to \$2M over 3 years (evidence suggests this method will have a greater impact on low-performing schools by providing greater sustainability, scalability, and customizability)	<ul style="list-style-type: none">Previously, not required to assess a school's commitment to an intervention and districts unable to put funds to good useSEAs can now be selective about how and who they fund, thus increasing the likelihood the funds will have greater impact	<ul style="list-style-type: none">Previously NCLB allowed schools to progress through various levels of light-touch sanctions prior to dramatic interventionThe new (interim*) requirements allow LEAs to implement comprehensive reforms in eligible schools when they miss AYP for at least 2 consecutive years OR fall in the state's bottom 20% of performance	<ul style="list-style-type: none">USED eliminated the somewhat nebulous – and widely selected – “other” restructuring option for low performing schoolsThis change forces SEAs and LEAs to undertake the kind of dramatic, fundamental reforms necessary to improve their persistently lowest-achieving schools

*You can find the SIG interim requirements on USED's website here: <http://www2.ed.gov/programs/sif/applicant.html>

Each SEA identified 3 tiers of schools eligible to receive 1003g funds, including an optional group of schools per updated regulations set forth through the FY2010 Consolidated Appropriations Act

	Tier I	Tier II	Tier III
SEA must identify	(1) The state's persistently lowest achieving 5% of Title I schools – or the 5 lowest achieving Title I schools (whichever is larger) – in improvement, corrective action, or restructuring, based on extremely low overall student achievement and little or no progress; and, (2) Title I high schools in improvement, corrective action, or restructuring with a graduation rate below 60% for a number of years.	Persistently low achieving middle and high schools eligible for, but not receiving, Title I funds and high schools eligible for, but not receiving, Title I funds that have a graduation rate below 60% for a number of years.	The remaining Title I schools in school improvement, corrective action, or restructuring.
SEA may choose to identify	Any elementary school eligible for Title I, Part A funds AND (1) has not made AYP for at least 2 consecutive yrs; OR is in the State's lowest 20% of performance based on proficiency rates on the State's reading/language arts and math assessments combined; AND (2) is no higher achieving than the highest-achieving school identified by the SEA as a persistently lowest-achieving school in Tier I.	Any secondary school eligible for Title I, Part A funds AND (1) has not made AYP for at least 2 consecutive years; OR is in the State's lowest 20% of performance based on proficiency rates on the State's reading/language arts and math assessments combined; AND (2) is no higher achieving than the highest-achieving school identified by the SEA as a persistently lowest-achieving school in Tier II; OR is a high school that has had a graduation rate below 60% over a number of years.	A school that is eligible for Title I, Part A funds AND (1) has not made AYP for at least two years; OR is in the State's lowest 20% of performance based on proficiency rates on the State's reading/language arts and math assessments combined; AND (2) does not meet the requirements to be a Tier I or Tier II school.

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Many past 1003g school improvement strategies have been insufficient to meet the magnitude of the problem

**Insufficient incentives
for educators to
choose major change**



- Too few positive incentives to change the status quo
- Negative incentives, such as restructuring, occurred after several years of consistent failure
- When time came to restructure, the “other” option under NCLB allowed schools to avoid intensive changes
- Lack of aggressive, clear performance targets

**Insufficient
comprehensiveness,
intensity, and
sustainability**



- Revolving door of intermittent, light-touch school improvement efforts
- Rare incidences of schools adopting multiple, simultaneous reforms, such as high quality data, effective teaching AND improved staffing procedures
- Limited partner support

**Insufficient
commitment from the
state**



- Lack of high-visibility public and private sector commitment
- Lack of sufficient SEA flexibility, authority, resources

Several isolated, light-touch school improvement efforts consistently result in marginal change

Past failed strategies

1. Layering multiple, overlapping school partner organizations
2. Requiring additional improvement plans
3. External improvement teams
4. Additional categorical funding
5. Coaching from retirees
6. Creating large “School Improvement” offices
7. School Choice or SES for schools not meeting AYP



To make a difference in schools States need to adopt more comprehensive approaches

States and districts have the opportunity to dramatically turn around their lowest-performing schools

Turnaround is

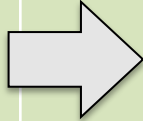
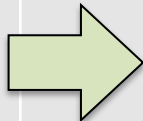
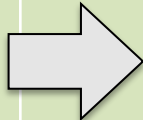
a dramatic and comprehensive intervention in a low-performing school that:

a) produces significant gains in achievement within two years;

and

b) readies the school for the longer process of transformation into a high-performance organization

An effective school turnaround strategy requires the 'Three Cs'

What's needed to enable schools and districts to address the challenges of chronically underperforming schools?		
<u>Conditions</u>	Change the rules and incentives governing people, time, money, & program	 ZONES
<u>Capacity</u>	Build turnaround resources and human capacity in schools within the zone through Lead Partners and sufficient funding	 PARTNERSHIPS
<u>Clustering</u>	To get to scale, organize clusters of schools within the zone intentionally and systematically	 CLUSTERS OF SCHOOLS

Under the new 1003g requirements, states must use one of four intervention models in their lowest-performing schools

Model	Description
School closure	Close a school and enroll the students who attended that school in higher achieving schools that should be within reasonable proximity to the closed school.
Restart	Convert a school or close and reopen it under a charter school operator, a charter management organization, or an education management organization that has been selected through a rigorous review process.
Turnaround	<p>Replace the principal and rehire no more than 50% of the staff; grant the principal sufficient operational flexibility (including staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student outcomes.</p> <p>The turnaround model may involve creating a new school and may include any of the activities required or permissible under the Transformation model.</p>
Transformation*	<p>Implement each of the following strategies:</p> <ol style="list-style-type: none">1. Replace the principal and take steps to increase teacher and school leader effectiveness;2. Institute comprehensive instructional reforms;3. Increase learning time and create community-oriented schools; and4. Provide operational flexibility and sustained support.

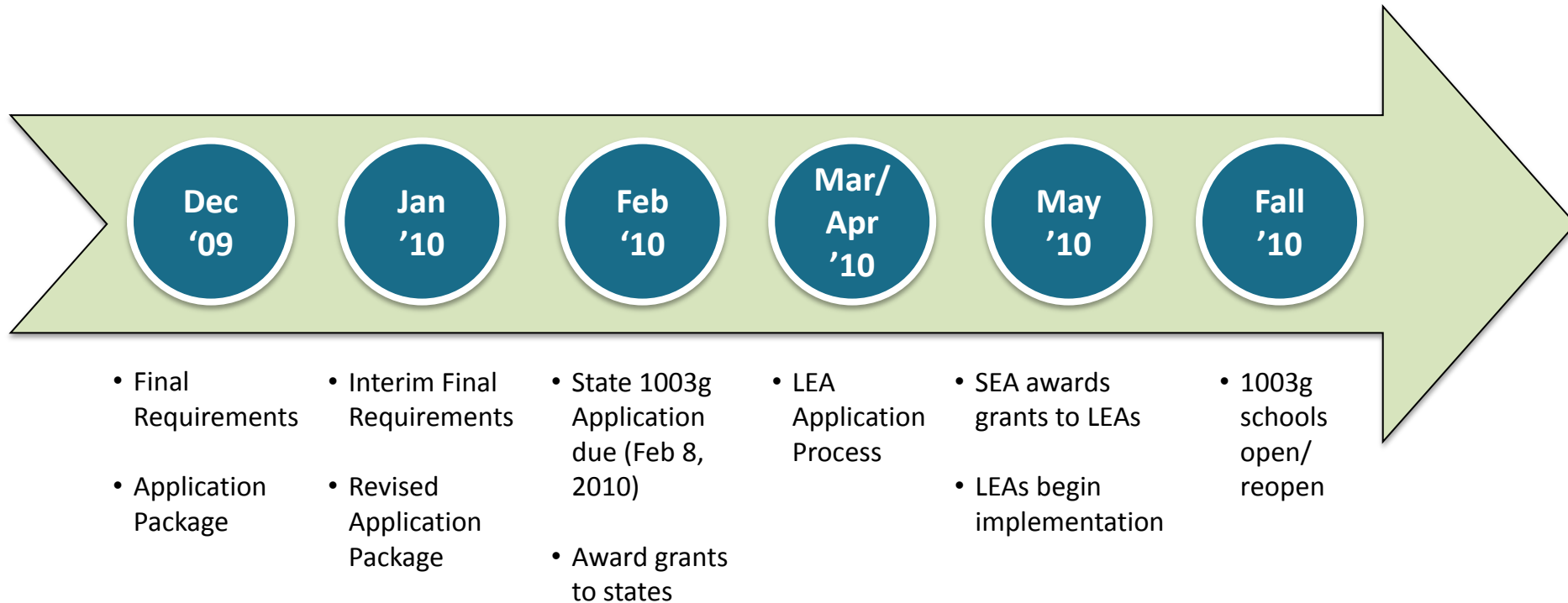
*NB: If an LEA has 9 or more Tier I and Tier II schools, the LEA may not implement the transformation model in more than 50% of those schools.

Each intervention option has different strengths and weaknesses

Model	Strengths	Weaknesses
School closure	The school closure approach can be most effective in districts with a number of high-performing schools and/or new schools operated by EMOs with a successful school improvement record.	<p>Closing a school is not necessarily a change strategy and should be used with discretion.</p> <p>LEAs that leverage the closure model must articulate how students will be given a better educational option (which will often mean applying one of the other SIG options in those receiving schools).</p>
Restart	The restart model addresses what Mass Insight believes to be the critical levers to school change: human capital and organizational strategy.	LEAs that adopt the restart option should explain how they identified the new management organization and why that particular organization is well-suited to filling the identified needs of the schools that will be placed under management.
Turnaround	Like the restart model, the turnaround model addresses the key levers to school change: human capital and organizational strategy.	SEAs should require LEAs utilizing this model to articulate the educational theory of change that will accompany these organizational changes. SEAs should also drive the necessary conditions changes, capacity-building, and school clustering to attract “Lead Partner” organizations to implement the turnaround intervention.
Transformation	This model is useful for small districts that lack access to a pool of high-quality school leaders and teachers needed for the other three intervention options.	<p>Due to the nebulous nature of this option, use discretion in electing it for intervention.</p> <p>If used, LEAs should be careful to articulate a very clear, coherent, and strategic approach to implementation (e.g., replacing principals alone is not enough to drive change).</p> <p>SEAs should require the following of LEAs that opt to use the transformation option:</p> <ol style="list-style-type: none"> 1. Detailed plan for driving and measuring teacher effectiveness 2. School-wide “instructional framework” whose implementation is measured qualitatively through the teacher evaluation process and is based on agreed-upon practices that lead to quality teaching 3. Plan for providing intensive interventions for students that are multiple grade levels behind; show evidence that sufficient resources have been dedicated to implementing interventions systemically 4. A “theory of change” that articulates how the various components of this strategy will work together to drive change.

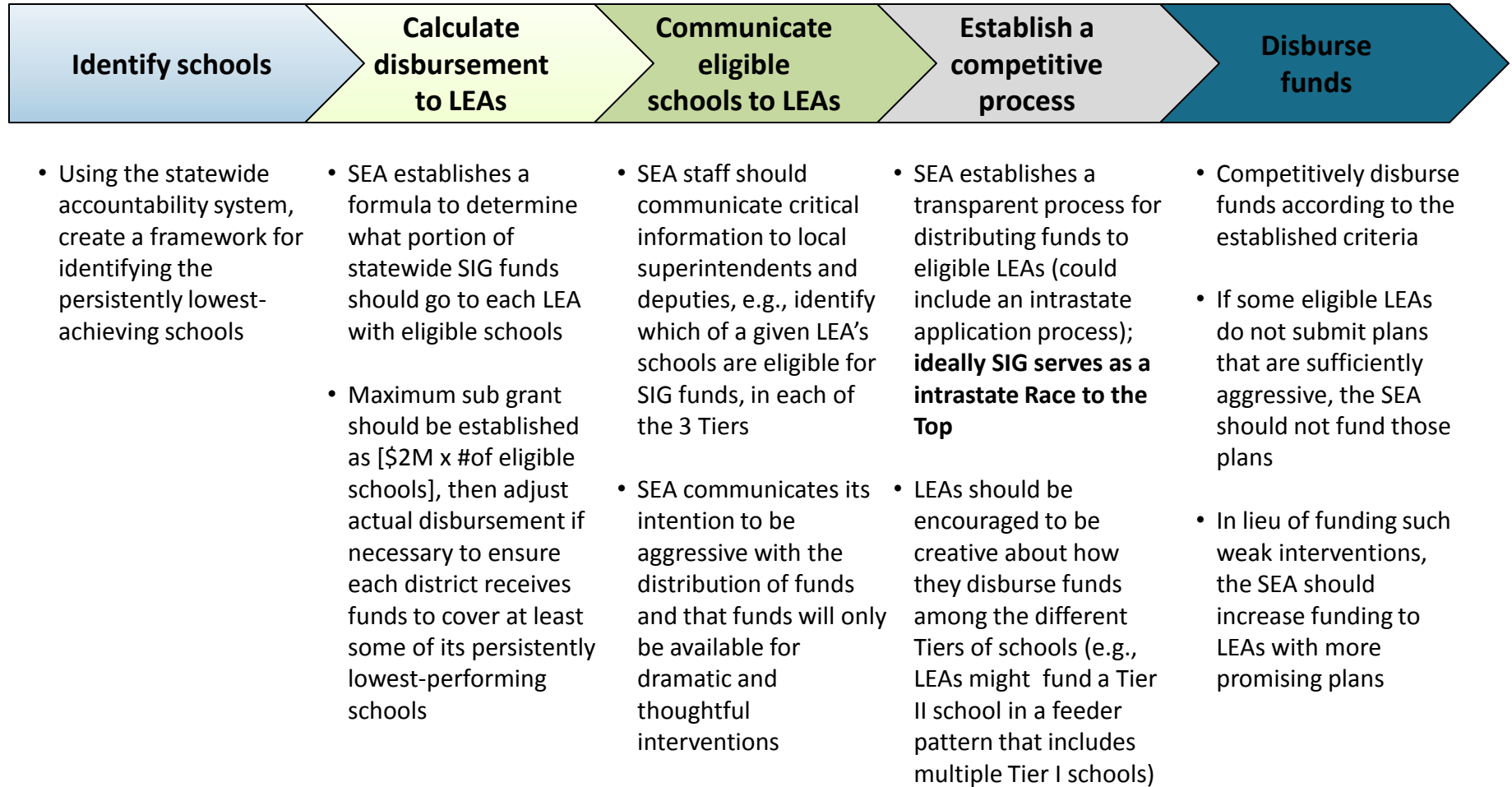
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USED is operating a short-term 1003g timeline for awarding sub grants to LEAs



If an SEA applies for and receives a waiver, state-level 1003g funds for FY09 and FY10 are available for use through September 30, 2013

1003g funds should be allocated to eligible LEAs through a rigorous and competitive process



While it may seem unjust to not fund certain low-performing schools, increasing funding to interventions that are more likely to succeed is a far superior strategy to providing token amounts across the board.

SEAs should award 1003g sub grants to LEAs based on their eligibility, commitment to the proposed interventions, and capacity

LEA eligibility

An LEA must have one or more Tier I or Tier II schools

LEA commitment

- An application must identify each Tier I, Tier II, and Tier III school to be served and the intervention to be used in each served school
- LEA must demonstrate its capacity and timeline to implement each identified intervention
- LEA must have a sufficient budget to implement prescribed interventions in selected Tier I and Tier II schools, as well as providing services to participating Tier III schools
- Application must establish annual goals for student achievement and leading indicators for each Tier I and Tier II school to be served and include information on SEA waiver requests it intends to implement
- SEAs may require additional information in the application

LEA capacity

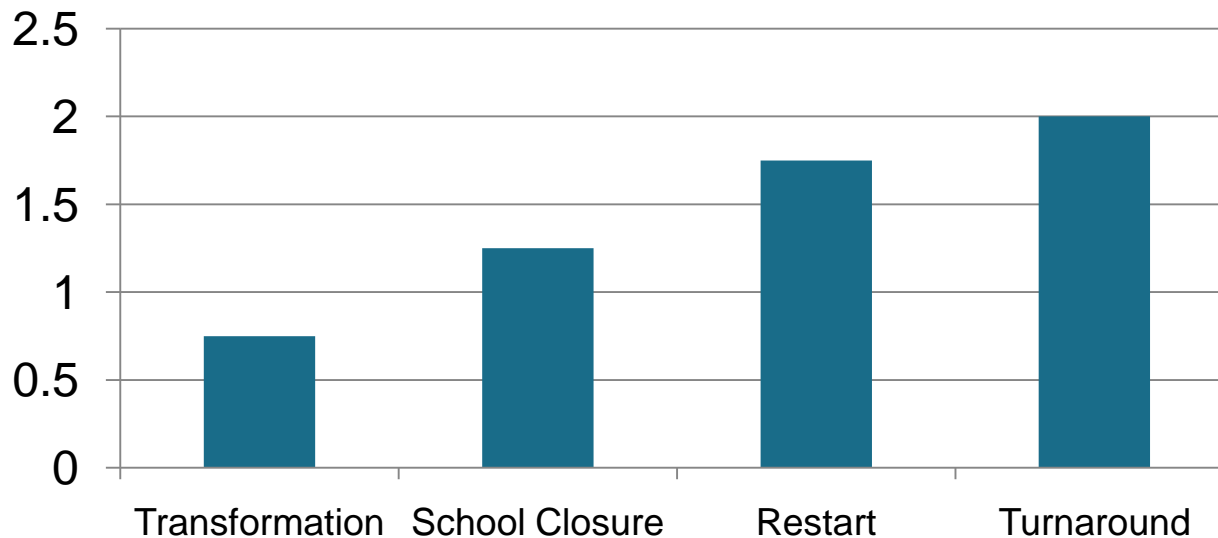
- In making awards, an SEA must take into account LEA capacity to implement selected school interventions.
- To determine capacity, an SEA may take into account such factors as:
 - Number of Tier I and II schools
 - Availability and quality of CMOs and EMOs
 - Human capital and talent
 - Access and proximity to higher performing schools (for the closure model)
 - Prior success in implementing dramatic reforms

In awarding competitive sub grants, SEAs can incent districts to implement the most dramatic interventions

By differentiating funding for the four options, the SEA can provide a bigger “carrot” for districts that commit to the turnaround or restart models. This funding method will also help cash-strapped states put pressure on unions to agree to these interventions.

Sample Differentiated Funding Model for 1003g School Interventions

(\$ in millions)



The impact of the 1003g grants must be closely monitored and measured

Whereas NCLB mandates the establishment of firm annual targets (AYP), the new SIG requirements allow states to establish both leading indicators of school change and year to year performance targets.

Yearly performance targets

- SEA should establish both quantitative and qualitative annual performance targets for schools
- Targets should be informed by 3 critical factors:
 1. Each individual school's benchmark at the beginning of the intervention (to take into account year over year growth)
 2. Type of intervention chosen (different inputs lead to different outputs therefore some interventions should be held accountable for greater results)
 3. Amount of funds allocated (expect relative increases in disbursement to individual schools to have an incremental positive effect)
- Once the inputs have been considered, targets should be primarily focused on student outcomes, particularly measurable and positive student achievement
- Time should be given to achieve test score impacts (2nd year of dramatic intervention); interim outcomes should also be measured such as:
 - Increases in teacher effectiveness
 - Positive changes in school climate/culture
 - Increases in graduation rates
 - Decreases in dropouts
- SEAs should mandate qualitative data collection at low performing schools receiving SIG; data should be aligned to a school effectiveness framework and be consistent across LEAs

Leading indicators of change

- SEA must also establish norms around the leading indicators of school change for 2 purposes:
 1. At any point in time, the SEA must be able to determine whether an adopted intervention is having the desired transformative effect
 2. School change is a highly politicized exercise, and supporters will need data to communicate progress and defend against opponents (particularly as many leading indicators are counterintuitive)
- For example, SEAs should evaluate the following leading indicators:
 - Formative assessments –Measure continuous improvement of student achievement on an individualized basis
 - Student behavior – While climate and culture will improve, incidences of poor student behavior may spike in the first year (mainly because discipline codes are being enforced and more incidences are being reported than before)
 - Truancy/attendance –Often truancy will increase and attendance will decrease (mostly due to more accurate measurements)

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States should take the lead in building the conditions and capacity needed for an effective turnaround strategy

State role in turnaround

- 1. Buck-Stopping Role:** Identify schools that are *undeniably* in need of the strongest possible intervention, as part of a larger, comprehensive system of state analysis, accountability, and support
- 2. Table-Setting Role:** Break up inertia, interrupting complacency, declaring a moratorium on turf battles, and providing “air cover” and policy/regulatory support for districts and partners to operate within sufficiently flexible operating conditions
- 3. Incentivizing Role:** Move incentives and sanctions away from motivating marginal change, towards more dramatic change, and catalyzing voluntary opting-in as the route most likely to result in success
- 4. Partner-Building Role:** Encourage the development of strategic, managing, lead, and supporting partners to coordinate turnarounds with district and school leaders
- 5. Investing Role:** Provide adequate resources, sufficiently targeted to comprehensive turnaround initiatives and to related state-wide efforts to build leadership and teaching capacity

Due to the influx of ARRA dollars, SEAs have a large amount of state-level 1003g funds available for a variety of uses

An SEA is authorized to reserve, under section 1003(g)(8) of the ESEA, not more than 5% of its total SIG allocation for SIG-related administration, evaluation, and technical assistance expenses

Availability of state-level funds

- In December 2009, USED awarded each State the maximum amount of state-level 1003g funds

Allowable uses of the 1003(g) administrative hold back

- Prepare the SEA's 1003g application
- Provide technical assistance to eligible LEAs
 - Offer guidance and tools for LEAs to use to carry out needs assessments, screen partner organizations, and review school staff
 - Support networks of district leaders charged with planning and leading turnaround efforts
- The SEA may allocate some of the funds to LEAs with Tier I and Tier II schools to support planning for implementation of selected school intervention
 - For example, an LEA may use the funds to review student achievement data; evaluate current policies and practices that support or impede reform; assess the strengths and weaknesses of school leaders, teachers, and staff; recruit and train effective principals capable of implementing one of the school intervention models; or identify and screen outside partners
- States may use their state-level 1003g funds for allowable pre-award costs incurred since the beginning of the respective Federal funding periods: February 17, 2009 for SIG ARRA funds and July 1, 2009 for regular 1003g funds

An SEA should use its hold back to support districts implementing dramatic interventions in their lowest-performing schools

To help districts maximize the impact of their 1003g funds, States should provide assistance in the months before schools begin their individual interventions.

Using its administrative 1003g funds, an SEA may:

Provide School-level Support

1. Help districts analyze the needs of individual schools and match them with the appropriate intervention model
2. Support qualitative school review processes to gain insight into the causes of low performance in each school; assess the root cause of failure and internal capacity to turn the school around

Facilitate Partnerships

3. Recruit, screen and attract providers for turnaround, transformation or restart, including charter operators and CMOs in states with charter laws; vet providers identified by districts
4. Provide tool kits and training sessions for external providers, district officials, and (depending on the capacity of the SEA) school-level leaders on how to implement school improvement models
5. Recruit or develop principals and other staff to serve in your State's persistently lowest-achieving schools

Engage Stakeholders

6. Play a coordinating role between district officials, union members, and other stakeholders when implementing an intervention; particularly when an external partner is brought in to take over operations of a school, the SEA should provide guidance during the MOU negotiation process
7. Engage in a statewide collective bargaining strategy to implement the most dramatic interventions

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State-by-state 1003g funding* (slide 1 of 4)

State	ARRA	FY09 Actual	FY10 Estimated	FY11 Estimated
Alabama	49,125,757	8,926,656	8,047,416	13,247,123
Alaska	9,071,222	1,655,369	1,633,216	2,661,912
Arizona	59,166,486	10,754,978	11,369,967	18,683,445
Arkansas	34,007,841	6,188,796	5,846,808	9,587,780
California	351,762,637	64,081,739	69,213,755	117,322,524
Colorado	33,611,909	6,119,330	5,936,299	9,867,539
Connecticut	21,818,804	3,929,761	4,256,477	6,967,352
Delaware	8,948,688	1,626,978	1,549,306	2,546,011
District of Columbia	10,578,338	1,921,930	1,803,202	2,974,310
Florida	144,035,059	26,206,426	27,756,704	45,880,926
Georgia	103,911,508	18,904,099	19,312,255	31,753,151
Hawaii	9,312,839	1,694,018	1,590,182	2,613,302
Idaho	10,650,687	1,939,057	1,957,956	3,191,684
Illinois	124,023,185	22,555,328	22,119,697	36,461,878

*Data provided by USED: <http://www2.ed.gov/about/overview/budget/statetables/index.html#update>

State-by-state 1003g funding* (slide 2 of 4)

State	ARRA	FY09 Actual	FY10 Estimated	FY11 Estimated
Indiana	51,875,146	9,437,827	9,255,874	15,174,985
Iowa	15,829,842	2,880,380	2,939,565	4,837,994
Kansas	22,638,363	4,123,587	4,235,880	6,465,505
Kentucky	47,316,734	8,610,752	8,568,600	13,855,385
Louisiana	57,204,753	10,403,770	11,008,180	18,170,728
Maine	11,118,773	2,021,146	1,985,449	3,221,087
Maryland	39,983,479	7,264,292	6,736,169	11,099,613
Massachusetts	49,674,274	9,017,161	8,032,153	13,180,675
Michigan	115,048,250	20,927,825	19,696,633	32,357,450
Minnesota	28,984,959	5,272,121	4,829,618	8,015,168
Mississippi	39,910,208	7,251,209	7,396,458	12,173,800
Missouri	45,774,541	8,325,226	8,843,283	14,538,384
Montana	9,788,443	1,780,524	1,682,417	2,779,709
Nebraska	14,771,748	2,690,765	2,451,363	3,909,830

*Data provided by USED: <http://www2.ed.gov/about/overview/budget/statetables/index.html#update>

State-by-state 1003g funding* (slide 3 of 4)

State	ARRA	FY09 Actual	FY10 Estimated	FY11 Estimated
New Hampshire	8,588,214	1,561,304	1,469,308	2,416,618
New Jersey	56,421,673	10,250,585	10,999,390	18,142,795
New Mexico	24,143,708	4,391,034	4,175,866	6,866,021
New York	261,295,098	47,477,710	46,056,650	75,687,820
North Carolina	77,001,055	14,003,925	14,231,842	23,359,536
North Dakota	7,631,521	1,387,484	1,312,453	2,185,033
Ohio	112,015,916	20,371,076	19,556,044	32,250,249
Oklahoma	33,027,611	6,000,938	6,055,276	9,943,140
Oregon	29,142,931	5,310,408	5,793,819	9,707,823
Pennsylvania	119,379,100	21,711,071	21,666,705	35,618,135
Rhode Island	10,588,107	1,921,317	1,818,398	2,995,194
South Carolina	42,992,997	7,818,123	8,077,770	13,335,528
South Dakota	9,563,634	1,739,271	1,637,688	2,665,758
Tennessee	57,347,607	10,419,384	10,042,868	16,646,823

*Data provided by USED: <http://www2.ed.gov/about/overview/budget/statetables/index.html#update>

State-by-state 1003g funding* (slide 4 of 4)

State	ARRA	FY09 Actual	FY10 Estimated	FY11 Estimated
Texas	285,896,287	52,030,307	51,315,286	83,113,775
Utah	14,771,686	2,685,530	2,627,435	4,314,807
Vermont	7,261,859	1,320,614	1,267,798	2,074,324
Virginia	50,630,778	9,207,252	9,330,129	15,432,884
Washington	42,476,886	7,737,971	7,624,986	12,874,897
West Virginia	18,530,707	3,369,520	3,327,373	5,484,497
Wisconsin	42,906,207	7,802,632	6,783,709	11,198,858

*Data provided by USED: <http://www2.ed.gov/about/overview/budget/statetables/index.html#update>

Get involved

For more information on how your state can utilize Title I School Improvement Grants more effectively, please contact Mass Insight at:

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The presentation and related documents are the result of a research and development process led by Mass Insight with the support of various partners.

It should be used in conjunction with the Main Report, “The Turnaround Challenge: Why America’s best opportunity to dramatically improve student achievement lies in our worst performing schools,” and a variety of other resources we have developed and distributed.

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