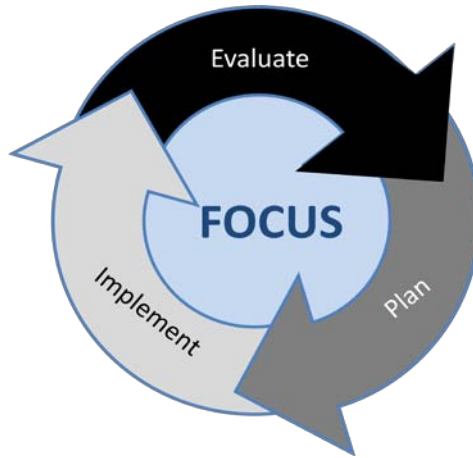


# Action Planning Toolkit



## Table of Contents

Tools	Page
Planning for Action Planning	1
Action Planning Form	3
Turnaround Options	5
Meeting Additional State or Federal Planning Requirements	7
Developing Major Improvement Strategies	9
Brainstorming Improvement Strategies Circle Map	13
Force Field Analysis	15
SAC Roles	19
DAC Roles	21

### Additional Online Resources:

- **Failed Turnaround Strategies:**  
[http://www.massinsight.org/publications/turnaround/123/file/1/pubs/2011/08/10/STG\\_Failed\\_Strategies\\_-\\_March\\_2010.pdf](http://www.massinsight.org/publications/turnaround/123/file/1/pubs/2011/08/10/STG_Failed_Strategies_-_March_2010.pdf)
- **What Rural Districts are Doing:**  
<http://www.centerii.org/WhatAreDistrictsDoing/resources/WhatRuralDistrictAreDoing.pdf>
- **Breaking the Habit of Low Performance Cases:**  
[http://www.centerii.org/survey/downloads/breaking\\_the\\_habit\\_of\\_low\\_performance.pdf](http://www.centerii.org/survey/downloads/breaking_the_habit_of_low_performance.pdf)



## Planning for Action Planning

### Action Planning

Tasks	Current Status	How	Who/When	Materials/Tools
<b>Build background regarding state requirements for action plans.</b>				
<b>Identify additional addendum (for federal requirements) that we must complete.</b> <b>Complete all required addenda forms.</b>				
<b>Review prior year major improvement strategies for alignment to current priority performance challenges and root causes. Determine if you will: continue (update status of action steps), continue with modification (make modification to action steps), or redirect resources away from each.</b>				

Tasks	Current Status	How	Who/When	Materials/Tools
<p><b>Develop any needed new major improvement strategies (focus on one or more priority performance challenge and associated root cause(s)), describe a preferred future if root causes were eliminated, brainstorm strategies, develop a theory of action, and write as a major improvement strategy).</b></p>				
<p><b>For each major improvement strategy, develop/update action steps (describe timeline, key personnel, resources, implementation benchmarks, status).</b></p>				

## Action Planning Form for 2012-13 and 2013-14

**Directions:** Identify the major improvement strategy(s) for 2012-13 and 2013-14 that will address the root causes determined in Section III. For each major improvement strategy, identify the root cause(s) that the action steps will help to dissolve. Then, indicate which accountability provision or grant opportunity it will address. In the chart below, provide details about key action steps necessary to implement the major improvement strategy. Details should include the action steps that will be taken to implement the major improvement strategy, a general timeline, resources that will be used to implement the actions, and implementation benchmarks. Add rows in the chart, as needed. While space has been provided for three major improvement strategies, the school may add other major strategies, as needed.

Major Improvement Strategy #1: \_\_\_\_\_ Root Cause(s) Addressed: \_\_\_\_\_

**Accountability Provisions or Grant Opportunities Addressed by this Major Improvement Strategy** (check all that apply):

- School Plan under State Accountability   
  Title I Schoolwide or Targeted Assistance plan requirements   
  Title I Focus School Plan requirements  
 Application for a Tiered Intervention Grant (TIG)   
  Improvement Support Partnership (ISP) or School Improvement Grant

Description of Action Steps to Implement the Major Improvement Strategy	Timeline (2012-13 and 2013-2014)	Key Personnel*	Resources (Amount and Source: federal, state, and/or local)	Implementation Benchmarks	Status of Action Step* (e.g., completed, in progress, not begun)

\* Note: These two columns are not required to meet state or federal accountability requirements, although completion is recommended. "Status of Action Step" may be required for certain grants (e.g., Tiered Intervention Grant).



# Turnaround Options

## Colorado Requirements

Major Improvement Strategies identified in Turnaround Plans must, at a minimum, include one or more of the following:

Employing a lead turnaround partner that uses research-based strategies and has a proven record of success working with schools under similar circumstances, which turnaround partner will be immersed in all aspects of developing and collaboratively executing the plan and will serve as a liaison to other school partners;
Reorganizing the oversight and management structure within the school to provide greater, more effective support;
Seeking recognition as an innovation school or clustering with other schools that have similar governance management structures to form an innovation school zone pursuant to the Innovation Schools Act;
Hiring a public or private entity that uses research-based strategies and has a proven record of success working with schools under similar circumstances to manage the school pursuant to a contract with the local school board or the Charter School Institute;
For a school that is not a charter school, converting to a charter school;
For a charter school, renegotiating and significantly restructuring the charter school’s charter contract; and/or
Other actions of comparable or greater significance or effect, including those interventions required for low-performing schools receiving school improvement grants under the Elementary and Secondary Education Act, section 1003G (i.e., “turnaround model”, “restart model”, “school closure”, “transformation model”).

## ESEA 1003G Options for Schools Receiving School Improvement Grants

<b>Turnaround model:</b> Replace the principal and rehire no more than 50% of the staff, and grant the principal sufficient operational flexibility (including staffing, calendars/time and budgeting) to fully implement a comprehensive approach to substantially improve student outcomes.
<b>Restart model:</b> 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.
<b>School closure:</b> Close a school and enroll the students who attended that school in other schools in the district that are higher achieving.
<b>Transformation model:</b> Implement each of the following strategies: (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; and (4) provide operational flexibility and sustained support.

## **NCLB Restructuring Options**

Under the federal No Child Left Behind Act (NCLB), schools that do not make Adequate Yearly Progress (AYP) for five consecutive years are required to develop plans for “restructuring” in the sixth year. If they fail to make AYP in Year 6, they must implement their restructuring plans in Year 7. NCLB provides five options for schools in restructuring to follow:

1. reopen the school as a public charter school;
2. replace “all or most of the school staff (which may include the principal) who are relevant to the failure to make adequate yearly progress”;
3. contract with an outside “entity, such as a private management company, with a demonstrated record of effectiveness, to operate the public school”;
4. turn the “operation of the school over to the State educational agency, if permitted under State law and agreed to by the State”; or
5. engage in another form of major restructuring that makes fundamental reforms, “such as significant changes in the school’s staffing and governance, to improve student academic achievement in the school and that has substantial promise of enabling the school to make adequate yearly progress.” (No Child Left Behind, Sec. 1116, 20, U.S.C.A. §6301-6578, 2002)

The U.S. Department of Education (2006) further defines this fifth “other” option to include reforms such as:

- changing the governance structure of the school to either diminish school-based management and decision making or increase control, monitoring, and oversight by the local educational agency (LEA);
- closing the school and reopening it as a focus or theme school with new staff or staff skilled in the focus area;
- reconstituting the school into smaller autonomous learning communities;
- dissolving the school and assigning students to other schools in the district;
- pairing the school in restructuring with a higher performing school; or
- expanding or narrowing the grades served. (U.S. Department of Education, 2006)



# Meeting Additional State or Federal Planning Requirements

---

## District

State or Federal Program	To Whom Additional Requirements Apply	UIP Addendum Form	Check if applies
<b>State Turnaround Plan Designation</b>	Districts on Turnaround status	District Turnaround Status Addendum	
<b>Graduation District</b>	Districts that are designated as a Graduation District	Student Graduation and Completion Plan Addendum	
<b>ESEA Title IA</b>	Districts accepting Title IA funds that have received a Turnaround or Priority Improvement Plan Type Designation	Title IA Addendum	
<b>ESEA Title IIA</b>	Districts accepting Title IIA funds that have received a Turnaround or Priority Improvement Plan Type Designation	Title IIA Addendum	
<b>ESEA Title III</b>	Districts accepting Title III funds that have been identified for improvement may select to complete this addendum as part of their improvement plan (Optional)	Title III Addendum	

## School

State or Federal Program	To Whom Additional Requirements Apply	UIP Addendum	Check if applies
<b>Title I Schoolwide</b>	Schools that participate in Title I and operate a schoolwide program	Title I Schoolwide Program Addendum	
<b>Title I Targeted Assistance</b>	Schools that participate in Title I and operate a Targeted Assistance Program	Title I Targetted Assistance Program Addendum	
<b>State Turnaround Plan Designation</b>	Schools with a Turnaround Plan Type designation	School Turnaround Status Addendum	
<b>TIG Transformation</b>	Schools that participate in the Tiered Intervention Grant and selected the Transformation Model	TIG Transformation Addendum	
<b>TIG Turnaround</b>	Schools that participate in the Tiered Intervention Grant and selected the Turnaround Model	TIG Turnaround Addendum	





## Developing Major Improvement Strategies

---

### Background:

Major improvement strategies respond to priority performance challenges, and should dissolve or eliminate the “root cause(s)” of the performance challenges. The steps in developing major improvement strategies include:

1. Focus on a priority performance challenge and the root cause(s).
2. Consider relevant research.
3. Identify a desired future (if action is taken to dissolve root cause(s)) from the perspective of various local stakeholders.
4. Identify strategies to get to the desired future (Brainstorm and Prioritize).
5. Articulate a Theory of Action (If, then, and then).
6. Re-write as a major improvement strategy.

### I. Focus on a priority performance challenge and associated root cause(s).

Priority Performance Challenge	Associated Root Cause(s)

Will dramatic change be required to address this root cause(s)?  Yes  No

### II. Consider Relevant Research.

What research have we considered?

### III. Identify a Desired Future.

**Desired future.** If we eliminate the root causes of our performance challenges, what would our preferred future look like? Consider the following stakeholders:

- a. Students
- b. Staff members
- c. Leadership team
- d. Parents / Community

Examples:

- All students monitor the progress of their learning towards grade-level expectations on a weekly basis and set personal learning goals.
- Teachers daily use data about learning formatively to refocus instruction on their students' needs.
- Staff members consistently implement identified practices in effective literacy instruction.

Stakeholder Group	Preferred Future
Students	
Staff Members	
Leadership Team	
Parents/ Community	

**IV. Identify Strategies that would result in the preferred future:**

- **Brainstorm major improvement strategies.** (Stay at the major strategy level, don't include smaller action steps.)
- **Prioritize your possible strategies.**

V. **Articulate a Theory of Action (for priority strategies).**

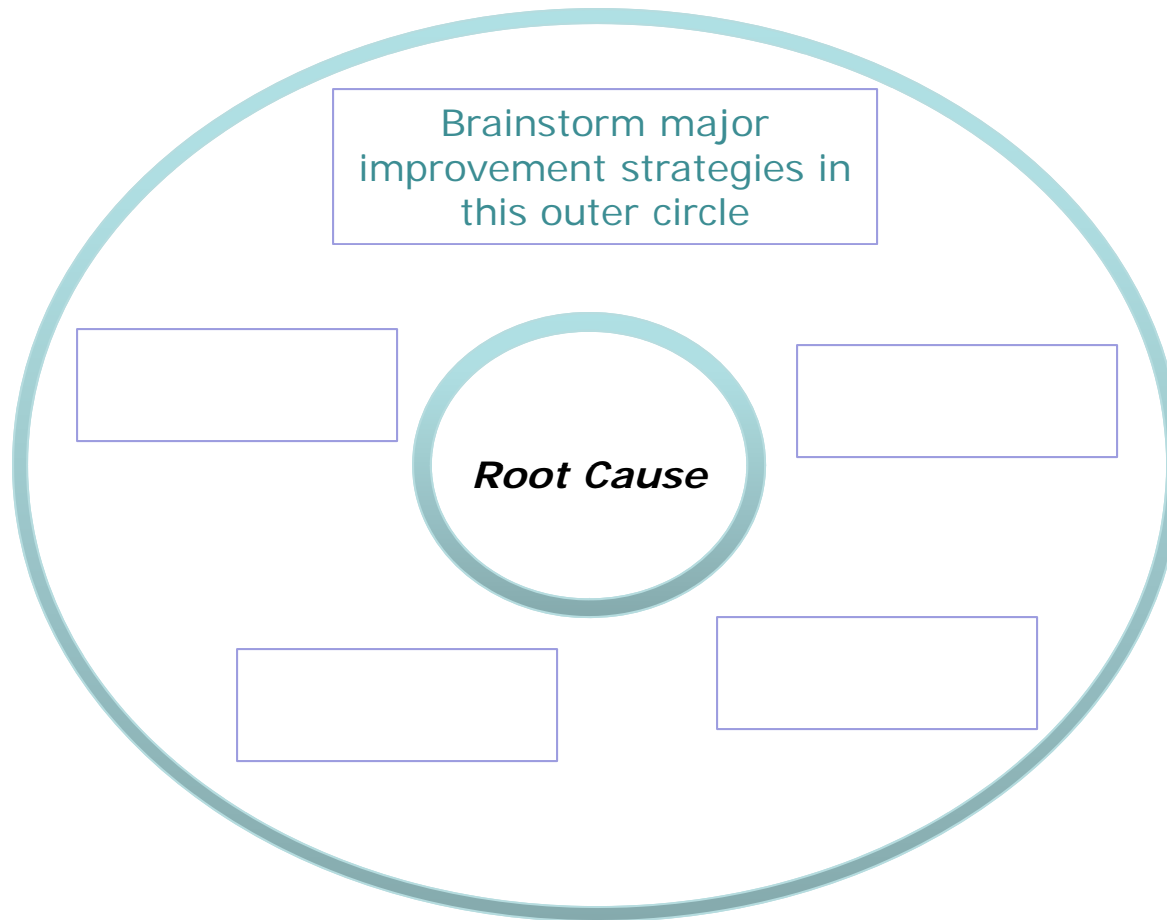
<b><i>If...</i></b>	<b><i>Then...</i></b>	<b><i>And...</i></b>
<p>This converts an explanation or process into adult action (or an instructional practice).</p> <p><i>Example: <b>If</b> teachers formatively assess students and continuously provide them information about their progress towards grade-level expectations in writing.</i></p>	<p>This describes what students will be able to do as a result.</p> <p><i>Example: ...<b>Then</b> students will have an understanding of their own writing and progress towards grade-level expectations and will be take action to close any gaps between current performance and the expectations.</i></p>	<p>This identifies how to monitor implementation of teacher practices (suggested implementation benchmarks).</p> <p><i>Example: ...<b>And</b> teacher records will show that the teacher is tracking the progress students are making towards meeting grade-level writing expectations; classroom observations will show that the teacher is providing students information about their learning progress.</i></p>

Write as a **major improvement strategy**:



Research

Desired  
Future



Case Studies

Turnaround  
Options

Flow maps used with permission from Thinking Maps, Inc. Specific training required before implementing Thinking Maps. For more information, visit [www.thinkingmaps.com](http://www.thinkingmaps.com).







# Force Field Analysis

## INFORMATION AND DIRECTIONS

### WHAT IS A FORCE FIELD ANALYSIS?

- A tool for looking at change in an organizational context.
- Change is a dynamic process that generates energy and movement in individuals and in organizations.
- One approach to looking at change is to view the change as a dynamic between forces that are seeking to maintain a status quo, and forces that are seeking to drive the status quo to change.
- Kurt Lewin, who developed the Force Field Analysis, suggests that when driving forces are the stronger force, change moves forward. When restraining forces are stronger or equal to the driving forces, movement can be blocked.

### WHAT DOES A FORCE FIELD ANALYSIS DO?

A Force Field Analysis:

- helps people to think together about all the facets of a desired change;
- develops consensus as an environmental scan, enabling participants to articulate key dynamics relevant to an upcoming change;
- aids in comparing the positives and negatives of a situation;
- encourages honest reflection on the real underlying roots of a problem or situation;
- encourages creative thinking;
- promotes agreement about the relative priority of restraining versus driving factors; and it
- provides a starting point for selection of action steps.

### WHEN SHOULD WE CONSIDER USING A FORCE FIELD ANALYSIS?

- This tool is useful when the team wants to approach change either from the perspective of strengthening driving forces or reducing restraining forces.

### HOW TO ENGAGE IN FORCE FIELD ANALYSIS?

- a) Select a major improvement strategy.
- b) Brainstorm the existing forces/factors that are driving the school towards that major improvement approach. The forces may be internal or external. List them on the left side of the T-chart.
- c) Brainstorm the forces that are holding the school back or driving it AWAY from the strategy. List them on the right side of the T-chart.
- d) Clarify, explain, reach agreement on the items that have been listed. Eliminate duplications and combine items as needed.
- e) Prioritize the restraining forces\* that would allow the most movement toward the desired state if they were removed.
  - i) Have each person rank each statement (3 = “most important” to 1 = “least important”).
  - ii) Add up the points for each statement and put the statements in rank order.
  - iii) Begin action planning with the statement getting the highest number of points.
  - iv) Move through the rest of the list as needed.

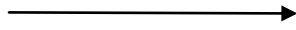
\*Driving forces can also be prioritized, but experienced users of this tool remind us that sometimes pushing positive factors can have a negative effect by creating resistance. Removing barriers tends to break the “bottleneck of change” rather than just pushing on all the good reasons to change.



## Force Field Analysis

Major Improvement Strategy:

**DRIVING FORCES**



1.

2.

3.

4.

5.


6.

7.

8.

9.

10.

 <b>RESTRAINING FORCES</b>	<b>PRIORITY LEVEL</b>
A.	
B.	
C.	
D.	
E.	
F.	
G.	
H.	
I.	
J.	



(2) Turnaround or Priority Improvement plan type with either (or both) (a) low-achieving disaggregated student groups (i.e., minority, ELL, IEP and FRL) or (b) low disaggregated graduation rate. This is a three-year designation.

The "focus" school list will be run once the 2011-12 assessment and accountability data are available. Districts will be notified in September 2012 of any focus schools within their district. Districts with "focus" schools will have a CDE performance manager assigned to help them support their schools and work through the Unified Improvement Plan process. In order for the 2013-14 Title IA funds to be released to the district, the school will need to have an approved Unified Improvement Plan in place.

In the waiver, "priority" schools are defined as a school that is implementing a Tiered Intervention Grant (TIG). The TIG is a competitive grant (funded from 1003g of ESEA) for schools identified as 5% of lowest performing Title I or Title I eligible schools to implement one of four reform models as defined by the USDE.

To be removed from "focus" school or "priority" school status, a school must receive an Improvement or Performance Plan type assignment for two consecutive years.

## School Accountability Committees

### Composition of Committees

Each school is responsible for establishing a School Accountability Committee (SAC), which should consist of at least the following seven members:

- The principal of the school or the principal's designee;
- At least one teacher who provides instruction in the school;
- At least three parents of students enrolled in the school<sup>3</sup>;
- At least one adult member of an organization of parents, teachers, and students recognized by the school; and
- At least one person from the community.

The local school board will determine the actual number of persons on the SAC and the method for selecting members. If the local school board chooses to increase the number of persons on the SAC, it

---

<sup>3</sup> Note: Generally, a parent who is an employee of the school or who is a spouse, son, daughter, sister, brother, mother or father of a person who is an employee of the school is not eligible to serve on a SAC. However, if, after making good-faith efforts, a principal or organization of parents, teachers and students is unable to find a sufficient number of persons who are willing to serve on the SAC, the principal, with advice from the organization of parents, teachers and students, may establish an alternative membership plan for the SAC that reflects the membership specified above as much as possible.

must ensure that the number of parents appointed or elected exceeds the number of representatives from the group with the next highest representation. A person may not be appointed or elected to fill more than one of these required member positions in a single term.

If the local school board determines that members are to be appointed, the appointing authority must, to the extent practicable, ensure that the parents who are appointed reflect the student populations that are significantly represented within the school. If the local school board determines that the members are to be elected, the school principal must encourage persons who reflect the student populations that are significantly represented within the school to seek election. Such student populations might include, for example, students who are members of non-Caucasian races, students who are eligible for free or reduced-cost lunch, students whose dominant language is not English, students who are migrant children, students who are identified as children with disabilities and students who are identified as gifted children.

SACs must select one of their parent representatives to serve as chair or co-chair of the committee. If a vacancy arises on a SAC because of a member's resignation or for any other reason, the remaining members of the SAC will fill the vacancy by majority action.

The members of the governing board of a charter school may serve as members of the SAC. In a district with 500 or fewer enrolled students, members of the local school board may serve on a SAC, and the DAC may serve as a SAC.

## Committee Responsibilities

Each SAC is responsible for the following:

- Making Recommendations to the principal on the school priorities for spending school moneys, including federal funds, where applicable;
- Making recommendations to the principal of the school and the superintendent concerning preparation of a school Performance or Improvement plan, if either type of plan is required;
- Making recommendations to the local school board concerning preparation of a school Priority Improvement or Turnaround plan, if either type of plan is required;
- Meeting at least quarterly to discuss whether school leadership, personnel, and infrastructure are advancing or impeding implementation of the school's Performance, Improvement, Priority Improvement, or Turnaround plan, whichever is applicable, and other progress pertinent to the school's accreditation contract; and
- Providing input and recommendations to the DAC and district administration, on an advisory basis, concerning principal development plans and principal evaluations. (Note that this should not in any way interfere with a district's compliance with the statutory requirements of the Teacher Employment, Compensation and Dismissal Act.)

## District Accountability Committees

### Composition of Committees

Each local school board is responsible for either appointing or creating a process for electing the members of a district accountability committee (DAC). These committees must consist of the following:

- At least three parents of students enrolled in the district<sup>1</sup>;
- At least one teacher employed by the district;
- At least one school administrator employed by the district; and
- At least one person involved in business in the community within the district boundaries.

A person may not be appointed or elected to fill more than one of these required member positions in a single term. If the local school board chooses to increase the number of persons on the DAC, it must ensure that the number of parents appointed or elected exceeds the number of representatives from the group with the next highest representation.

To the extent practicable, the local school board must ensure that the parents who are appointed reflect the student populations that are significantly represented within the district. Such student populations might include, for example, students who are members of non-Caucasian races, students who are eligible for free or reduced-cost lunch, students whose dominant language is not English, students who are migrant children, students who are identified as children with disabilities and students who are identified as gifted children.

If a local school board *appoints* the members of a DAC, the board should, to the extent practicable, ensure that at least one of the parents appointed to the committee is the parent of a student enrolled in a charter school authorized by the board (if the board has authorized any charter schools) and ensure that at least one of the persons appointed to the committee has demonstrated knowledge of charter schools.

DACs must select one of their parent representatives to serve as chair or co-chair of the committee. Local school boards will establish the length of the term for the committee chair or co-chairs.

If a vacancy arises on a DAC because of a member's resignation or for any other reason, the remaining members of the DAC will fill the vacancy by majority action.

---

<sup>1</sup> Note: Generally, a parent who is an employee of the district or who is a spouse, son, daughter, sister, brother, mother or father of a person who is an employee of the district is not eligible to serve on a DAC. However, such an individual may serve as a parent on the DAC if the district makes a good faith effort but is unable to identify a sufficient number of eligible parents who are willing to serve on the DAC.

## Committee Responsibilities

Each DAC is responsible for the following:

- Recommending to its local school board priorities for spending school district moneys;
- Submitting recommendations to the local school board concerning preparation of the district's Performance, Improvement, Priority Improvement or Turnaround plan (whichever is applicable);
- Reviewing any charter school applications received by the local school board and, if the local school board receives a charter school renewal application and upon request of the district and at the DAC's option, reviewing any renewal application prior to consideration by the local school board;
- At least annually, cooperatively determining, with the local school board, the areas and issues, in addition to budget issues, that the DAC shall study and make recommendations upon;
- At its option, meeting at least quarterly to discuss whether district leadership, personnel, and infrastructure are advancing or impeding implementation of the district's performance, improvement, priority improvement, or turnaround plan, whichever is applicable and
- Providing input and recommendations to principals, on an advisory basis, concerning the development and use of assessment tools to measure and evaluate student academic growth as it relates to teacher evaluations.
- For districts receiving ESEA funds, consulting with all required stakeholders with regard to federally funded activities.

Whenever the DAC recommends spending priorities, it must make reasonable efforts to consult in a substantive manner with the School Accountability Committees (SACs) in the district. Likewise, in preparing recommendations for and advising on the district plan, the DAC must make reasonable efforts to consult in a substantive manner with the SACs in the district and must submit to the local school board the *school* performance, improvement, priority improvement and turnaround plans submitted by the SACs.

The Educator Evaluation and Support Act (S.B. 10-191) added the authority for DACs to make recommendations concerning the assessment tools used in the district to measure and evaluate academic growth, as they relate to teacher evaluations. This should not in any way interfere with a district's compliance with the statutory requirements of the Teacher Employment, Compensation and Dismissal Act.