



YALE NATIONAL INITIATIVE

to strengthen teaching in public schools



THE TEACHERS INSTITUTE APPROACH

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A MANUAL CONTAINING THE STEPS, UNDERSTANDINGS,
PROCEDURES, AND TIMELINE FOR ESTABLISHING AND
MAINTAINING A TEACHERS INSTITUTE

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The Teachers Institute Approach

Introduction

Established in 1978, the Yale-New Haven Teachers Institute, an intensive and sustained collaboration among Yale faculty members and public school teachers, is the premier partnership between Yale University and the New Haven Public Schools. The first such university-school partnership to be permanently endowed as a unit of a university, it is a widely recognized model of high quality teacher professional development. In 2004, after the successful testing of this model in a four-year National Demonstration Project, the Institute launched the Yale National Initiative to strengthen teaching in public schools. The Initiative is a long-term endeavor to establish in most states Teachers Institutes that will provide state and local policy makers effective examples of the innovative Institute approach in their own communities.

Teachers Institutes focus on the academic preparation of school teachers and on their application in their own classrooms of what they study in the Institute. By linking institutions of higher education with urban or rural school districts where the students are mainly from low-income communities, Institutes strengthen teaching and learning in public schools and also benefit the institutions whose faculty members serve as seminar leaders. Each Institute also helps to disseminate this approach, encouraging and assisting other institutions and school districts as they develop similar programs in their own communities.

A Teachers Institute places equal emphasis on teachers increasing their knowledge of a subject and on their developing teaching strategies that will be effective with their students. At the core of its program is a series of seminars on subjects in the humanities and sciences. Topics are suggested by the teachers based on what they think could enrich their classroom instruction. In the seminars, the university or college faculty members contribute their knowledge of a subject, while the school teachers contribute their expertise in elementary and secondary school pedagogy, their understanding of the students they teach, and their grasp of what works in the crucible of the classroom. Successful completion of a seminar requires that the teachers, with guidance from a faculty member, write a curriculum unit to be used in their own classroom and to be shared with others in the same school and other schools through both print and electronic publication.

Throughout the process seminar leader and teachers are colleagues. Unlike conventional university or professional development courses, Institute seminars involve at their very center a collegial exchange of ideas among school teachers and university or college faculty members. The teachers admitted to seminars, however,

are not a highly selective group, but rather a cross-section of those in the system, most of whom, like their counterparts across the country, did not major in one or more of the subjects they teach. By including teachers of kindergarten through twelfth grade, the Institute promotes articulation of curriculum throughout a school system, as well as interdisciplinary teaching and curriculum, in which teachers of the earlier grades particularly can assist teachers in the later grades who have tended to specialize in one or two subjects. The Institute approach assumes that urban or rural public school teachers can engage in serious study of the field and can devise appropriate and effective curricula based on this study.

Articles of Understanding have been developed to provide the constitutional grounding for Teachers Institutes that adopt this model. Although listed as separate Articles, they are interrelated elements of an organically unified approach. Each is accompanied by Procedures for its implementation. The Understandings and Procedures define the Teachers Institute Approach and distinguish it both from conventional professional development offerings of school districts and from traditional continuing education and outreach programs of colleges and universities.





The Yale National Initiative

Background

From 1998 to 2002, a National Demonstration Project demonstrated that Teachers Institutes based on the approach of the Yale-New Haven Teachers Institute can be established and sustained in other cities where the pattern and magnitude of needs and resources are different from those in New Haven. The Demonstration Project included liberal arts colleges, private universities, and state universities, acting individually or in a consortium. In several cities larger than New Haven it demonstrated:

- that a Teachers Institute serving approximately 20 schools that enroll predominantly minority students can be rapidly inaugurated;
- that such a Teachers Institute can immediately carry out a program of 4-6 content-based seminars in the humanities and sciences, which increase teachers' knowledge, heighten their morale, encourage their use of new technologies, and result in individually crafted curriculum units of substance for use in classrooms;
- that such Institutes will arouse the enthusiasm and support of significant numbers of teachers and university faculty members;
- that such Institutes can attract support—including pledges of continuing support—from administrators of a private liberal arts college, a private university emphasizing the sciences, a flagship state university, and a major state university in a larger system;
- that high-level administrators in school districts, superintendents or their immediate subordinates, will be attracted by the idea of such an Institute, will start thinking about the local means of scaling-up, and will commit themselves to its long-term support;
- and that the strategies employed in establishing the National Demonstration Project, including national seminars and workshops on Institute principles and procedures, are admirably suited for the process of further disseminating the Yale-New Haven model and establishing a nation-wide network of Teachers Institutes.

The National Demonstration Project made clear the importance of the principles upon which these Institutes are based. Institutions of higher education that had long relied primarily upon departments or schools of Education for their

programs in professional development are now providing seminars for teachers in the liberal arts and sciences. School districts that had relied upon professional development programs narrowly focused on pedagogy or on mandated curricula are now benefiting from seminars in content fields that the teachers themselves have declared to be important for their own classrooms. Internal and external evaluations have confirmed that such Teachers Institutes can make a substantial contribution to the most important kind of school reform in this nation—the improvement of teaching itself.

These successes were made possible by a series of activities initiated and undertaken in New Haven for and with the participating Institutes. They included preliminary inquiries made of institutions and districts that had expressed interest in the Yale-New Haven Teachers Institute; the distribution of publications and videos offering information about Institute policies and procedures; visits by the director, New Haven teachers, and Yale University faculty to selected cities; and an information session in New Haven. Teams from the new Institutes were invited to participate in national seminars and workshops in New Haven, which initiated school teachers and university faculty into the detailed procedures of a Teachers Institute. There was increasing emphasis upon leading the new Institutes in common or shared work—through an annual Directors' Meeting for reporting and planning; a National Steering Committee, which enabled Fellows to have a voice in shaping the common activities; and a National University Advisory Council, in which faculty members from the institutions of higher education might have an advisory voice. As the work proceeded, the several Institutes played increasingly important roles in planning the Annual Conferences, at which the Institutes can share their challenges and accomplishments.

From 2002 to 2004, the Preparation Phase of the Yale National Initiative led to expansion and deepening of the programs in the Pittsburgh Teachers Institute and the Houston Teachers Institute, and further research into their effectiveness. The Initiative also continued to collate and analyze the Fellows Questionnaires and Surveys of Curriculum Unit Use that had been distributed during the National Demonstration Project. An evaluation based on the resulting data in the context of national research into the needs of public education, carried out by Rogers M. Smith of the Department of Political Science, University of Pennsylvania, and his research team, was published in 2004 (see below in "Evaluations and Independent Studies," page 7). He concluded that a Teachers Institute promotes precisely those dimensions of teacher quality that research has shown to improve student achievement. He also concluded that Teachers Institutes that had most closely followed the Yale-New Haven model were best able to sustain themselves after the initial grant.

During broad discussions with the Teachers Institutes in New Haven, Pittsburgh, and Houston, the Yale National Initiative revised the principles underlying the National Demonstration Project. After yet further revision, these principles are now included in this manual as "Understandings and Procedures." They serve as the constitutional grounding for all Teachers Institutes established through the Yale National Initiative.

Evaluations and Independent Studies

Very important in the success of this effort has been the commitment to documentation, evaluation, and dissemination of results from the points of view of all participants. Throughout its history the Yale-New Haven Teachers Institute has arranged for, and learned from, both internal and external evaluations. These have been embodied in its Annual Reports and other publications. The National Demonstration Project and the Yale National Initiative have continued that process of multiple evaluation.

The National Demonstration Project included the annual administration of similar questionnaires at the four sites establishing new Institutes and a one-time survey on unit use by participating and non-participating teachers at each site. These surveys were analyzed in a 2004 study sponsored by the Institute, "To Motivate My Students," prepared by Professor Smith. It found that teachers at all the sites consistently rated the Institute programs higher than other professional development programs in developing the knowledge, skills, enthusiasm, high expectations of students, and capacities to motivate students that most studies indicate to be central to successful teaching. An external evaluator of the National Demonstration Project, Policy Studies Associates, found that the Project had succeeded in showing that the Institute model could be replicated "where districts value teachers' learning" and "intellectual rigor in the development of curriculum units." Using qualitative techniques including seminar and classroom observations, in-depth interviews, and focus groups, sociologists at the University of Houston and educators at Carnegie Mellon University and Chatham College, Pittsburgh, also conducted their own evaluations of their Teachers Institutes during the National Demonstration Project, with similarly positive results. The internal evaluations, based in part upon observations in site visits, the results of questionnaires, published curriculum units, and Annual Reports from participating Institutes, have been embodied in Annual Reports to the funding organizations. They have been supplemented by external evaluations of several kinds—conducted by Policy Studies Associates, Cornerstone Evaluation Associates, and researchers from Carnegie Mellon University and the University of Houston.

These evaluations show that in all four cities there were positive results similar to those obtained in New Haven over many years. Both Policy Studies

Associates and Professor Smith concluded that the National Demonstration Project had "succeeded in reaching its goal" of replication of the Yale-New Haven model within a relatively short period of time in four sites that are considerably larger than New Haven. Smith noted that the new Institutes produced results that were remarkably similar to each other and to experiences in New Haven, and markedly better than those reported by most existing forms of professional development. These results occurred despite significant demographic differences among the cities.

As Smith pointed out, recent research indicates that the single most important factor in student performance is teacher quality. The consensus of researchers and teachers is that many existing forms of professional development are cursory, dreary exercises that leave teachers bored and resentful, not informed or inspired. The approach of a Teachers Institute, however, significantly strengthens teachers in all five of the major dimensions of teacher quality: it helps to produce teachers who really know their subjects; who have good basic writing, mathematics and oral presentation skills; who expect their students to achieve; who are enthusiastic about teaching; and who can motivate all children to learn.

According to Smith's analysis, teachers in the new Institutes chose to participate out of desires to improve themselves in exactly these areas. In each city, teachers participated out of desires to obtain curriculum suited to their needs, to increase their mastery of their subjects, and especially to obtain materials to motivate their students. Ninety-five percent of all participating teachers rated the Institute seminars "moderately" or "greatly" useful. Similar percentages said the seminars increased their knowledge, improved their skills and morale, and raised their expectation of students. Smith also found that the Institutes served to foster teacher leadership, to develop supportive teacher networks, to heighten university faculty commitments to improving public education, and to foster more positive partnerships between school districts and institutions of higher education. After teaching their curriculum units, two-thirds of all participants rated them superior to all other curricula they had used. Roughly sixty percent of all participants rated student motivation and attention as higher during these units, producing substantially greater content mastery. These curriculum units, as Smith noted, emphasized teacher-led discussion, writing exercises, and activities designed to strengthen speaking, listening, vocabulary, reasoning skills, and mathematics skills.

According to the report from Policy Studies Associates, there is "clear evidence of important accomplishments, reflected in the number of seminars provided in the Institutes, the number of Fellows who participated in these seminars, and the number of curriculum units the Fellows produced." It stated further:

Large majorities of Fellows were unequivocal in saying that their experience in the Institutes, especially the preparation of a curriculum unit, gave

them a real sense of accomplishment and rekindled their excitement about learning. As one Fellow put it: "To be teachers, we must also be learners." When asked in interviews to compare their experience in the Institutes with their experience in other kinds of professional development, teachers agreed that the Institutes are vastly superior.

The report by Rogers M. Smith concluded:

No single program can overcome the enormous obstacles to educational achievement faced by economically disadvantaged students, usually from racial, ethnic, and linguistic minorities, in large American cities today. But if recent researchers are right to contend that the single most important factor in student achievement is teacher quality, and if quality teachers are indeed knowledgeable, skilled, and enthusiastic, with high expectations for their students and the means to motivate students to reach those expectations, then the National Demonstration Project provides strong evidence for the value of the Teachers Institute approach.

As part of the Yale National Initiative, all existing and prospective Teachers Institutes and their school districts are being encouraged to assist in establishing data collection systems that will support ongoing evaluation of the Teachers Institutes on student and teacher achievements. The plan for the Continuing Evaluation Study is based on a research design developed by Ellen E. Kisker of Twin Peaks Partners, LLC, in consultation with participants in the National Initiative including the Director James R. Vivian and Rogers M. Smith of the University of Pennsylvania. The design builds on a study that the National Initiative is currently conducting of the impact of the Yale-New Haven Teachers Institute on New Haven students and teachers from 2000 to 2005.

The League of Teachers Institutes

The participating cities or communities in the Yale National Initiative include those with established Teachers Institutes and those that are considering the establishment of such Institutes. Each Teachers Institute engages the serious educational problems associated with low-income communities and a high proportion of racial and ethnic diversity. In New Haven the partnership includes a major private university that does not have a department or college of Education. In Pittsburgh the partnership includes a private university focused upon the sciences and a small liberal arts college that has a strong Education program. In Houston the partnership includes a state-supported urban university that has a college of Education. In Philadelphia the partnership includes a major private university that has a Graduate School of Education and that had already committed itself to work toward increasing access to higher education.

These Teachers Institutes show that a successful professional development program in the humanities and sciences can exist in each of these institutional contexts. The Yale-New Haven Teachers Institute has had for over three decades a very significant impact upon its school district. And the two Institutes started during the National Demonstration Project are now adopting somewhat different scopes and strategies that are directed toward having such an impact upon considerably larger districts.

The League of Teachers Institutes has developed its own procedures, which are outlined in the section below on "Benefits to Participating Cities and Communities and to League Institutes."

The following subsections provide basic information about each current member of the League of Teachers Institutes.

The Yale-New Haven Teachers Institute

The Yale-New Haven Teachers Institute, founded in 1978, brings the resources of Yale University to an entire school district in which 45 schools serve more than 20,000 students. More than 60 percent of the students in the New Haven Public Schools come from families receiving public assistance, and 87 percent are either African American or Hispanic. There are about 1,000 teachers eligible for participation in the Institute. On successful completion of a seminar, a Fellow receives four continuing education units and may also, if pursuing a graduate degree, petition for certification of course of study.

The founding director of the Institute is James R. Vivian. The Web site: <http://www.yale.edu/ynhti>

The Pittsburgh Teachers Institute

The Pittsburgh Teachers Institute, bringing the resources of Chatham College and Carnegie Mellon University to a school district that now has 95 schools serving 38,000 students, began in 1999 by working with 20 elementary, middle and high schools, representing the three regions of the district. In 2001 the Institute reached out to several other schools, and in 2002 it opened its program yet more widely across the school district. The seminars have been approved for increment credit, which qualifies participating teachers for salary increases with the school district; they have also been approved by the Pennsylvania Board of Education for Act 48 credit, which the State of Pennsylvania requires that teachers earn to retain their teacher certification.

The founding director of the Institute is Helen S. Faison. The Web site: <http://www.chatham.edu/pti>

The Houston Teachers Institute

In the fourth largest city in the United States, the Houston Teachers Institute brings the resources of the University of Houston to the Houston Independent School District, where 280 schools serve 212,000 students. The Houston Teachers Institute began its work in 1999 with 20 self-selected middle and high schools enrolling 31,300 students to establish a program that would address the needs of an ethnically mixed student-body, a large proportion of whom are non-English speaking. Since then it has gradually opened its program more widely to selected schools in the district. Fellows who complete the program receive 32 hours of credit toward the 45 hours required to receive a certificate in Gifted and Talented Teaching Preparation issued by the Texas Association for the Gifted and Talented.

The founding director of the Institute was Paul Cooke. The Web site: <http://www.uh.edu/hti>

The Teachers Institute of Philadelphia

In the fifth largest city in the United States, the Teachers Institute of Philadelphia brings the resources of the University of Pennsylvania to a school district where 275 schools serve 217,400 students, of whom 80% are either African American or Hispanic – and the same percentage are eligible for free school meals. The Institute was admitted to the League in 2007. The area served is comprised of two sub-regions of the Philadelphia school system adjacent to the University, the West Region and the Southwest Region. The target audience is 20-25 schools, including all nine high schools, with more than 18,000 students and over 1200 teachers. Successful completion of a seminar earns 30 Act 48 credits.

The founding director of the Institute is Alan J. Lee. The Web site: <http://www.tip.sas.upenn.edu>

Benefits to Participating Cities and Communities and to League Institutes

The Yale National Initiative offers a range of services to cities and communities that are exploring or planning an Institute, as well as to Institutes that have been established. It provides opportunities for teachers from those cities and communities and from those Institutes to participate in national seminars in New Haven. It provides opportunities for acquainting university faculty members and school and university officials with the Teachers Institute Approach. It may also provide advice on specific problems, and site visits by members of a National Initiative team. It enables Teachers Institutes to participate in research activities and to share

in their results. There are also meetings of the directors of the Teachers Institutes, and an Annual Conference. The office of the National Initiative will handle all requests that Institutes or cities and communities planning an Institute may make for assistance from League members.

There is an annual cycle of events through which the services and opportunities are coordinated. In May the teachers selected to participate as National Fellows in one of the national seminars attend an Organizational Session in New Haven. In July, when they attend the Intensive Session, they are joined by college and university faculty members, who may observe national seminars and also attend meetings or workshops on the Teachers Institute Approach. In the Annual Conference in October, National Fellows, together with university and school officials and college and university faculty members from League Institutes and from cities and communities planning or exploring an Institute, report on and plan for the Initiative's work locally and nationally. The Fellows describe the teaching of curriculum units they developed in the national seminars; teachers of each city and community report on progress they are making locally; the national seminars reconvene; and break-out sessions address various aspects of the Teachers Institute Approach.

The National Steering Committee, which consists of teachers from each Institute in the League, takes a major initiative in planning this common work and encouraging communication among the teachers at the various Institutes. It is complemented by the National University Advisory Council, which consists of faculty members from each Institute.

For each city or community that is planning or exploring the establishment of a Teachers Institute, teachers represent their colleagues to assist with planning, organizing, and conducting Initiative activities. They promote the Initiative to other teachers in the district(s) schools and ensure that they may have a direct role in designing national seminars to meet their own needs and the needs of their students.

There is also a National Advisory Committee, appointed by the Yale President, which assists the Initiative with the further dissemination, evaluation, and development of its programs.

A Web site – <http://teachers.yale.edu> – is dedicated to the Yale National Initiative as an entity, with links to Teachers Institutes that are members of the League of Teachers Institutes. This Web site is not only a communications hub for the work of the Initiative but also an important continuing means of disseminating its results to the nation. It carries literature (including policy statements, curricu-

lum units, and issues of its periodical publication) and video materials that can be downloaded. It also offers those who visit the Web site the opportunity to provide comments on curriculum units and other material.

The periodical *On Common Ground* is an important means of communication among the League Institutes and cities that are exploring or planning an Institute, and also an important means of dissemination to educators, funders, media, and policy makers. It provides selected information about the Yale National Initiative and the work being carried on at cities across the nation. Number 10, for Spring 2005, provides a summarizing account of the National Demonstration Project, the Preparation Phase of the Yale National Initiative, and plans for the League of Teachers Institutes. It contains the results of the four studies mentioned in the section of this brochure on "Evaluations and Independent Studies," and contributions from persons who have been working with Institutes in the Yale National Initiative. Number 11, for Winter 2007, contains a wide range of contributions from university and school administrators, university faculty members, and National Fellows, which highlight the connections being made through the National Initiative and illustrate the benefits found in the Teachers Institute Approach by administrators, seminar leaders, school teachers, and their students.

Documentation and Evaluation

Every Teachers Institute or proposed Institute, at whatever stage of development, prepares an annual report that describes its scope, strategy, goals, and progress. Each established Institute maintains data on teacher and faculty participants. These reports include evidence that the Institutes remain in accord with the Teachers Institute Approach. They describe, where appropriate, the curriculum units recently developed, the relationship between participating school teachers and university faculty, the nature and extent of leadership exerted by teacher-participants, the incentives for university faculty members and school teachers to participate, and the assistance from the Yale National Initiative that has been needed, obtained, and used. They include an analysis of the participation of school teachers in Institute activities, using surveys and other instruments developed by the Yale-New Haven Teachers Institute and modified as needed to make possible comparisons across the partnerships. The data include, for example, the school and subject or grade level of each Fellow, the seminars in which each participated, the leaders of the seminars, the curriculum unit titles, and information on each Fellow's continuing employment in the district. With the help of the school district data office, the reports may document and analyze the impact of teachers' participation in Institute seminars and leadership roles on the professional performance of its teachers and the academic achievements of their students. And they analyze the factors contributing to, and hindering, the success of the Institutes,

and the effects of those Institutes upon teacher preparation and empowerment, curricular change, and other issues central to school reform. They also give an account of the progress made toward current and continuing funding of the Institutes. At specified intervals, the reports also will include surveys of the use of curriculum units by Fellows and non-Fellows in the school systems. (For further details, see the later section on "Reporting and Evaluation," page 38.)

Affiliation with the League

New Teachers Institutes may be established at other locations through many different ways. Funding might be provided wholly or in part by a Federal or state program, a national or local foundation, a school district that channels government funds to an Institute, or a college or university. Institutes established through the Yale National Initiative will have already accepted the "Understandings and Procedures" given below, and may then become members of the League of Teachers Institutes. That process will enable them to continue to receive technical assistance and collaborative support from the Yale National Initiative and from other members of the League, as indicated in the earlier section on "Benefits to Participating Cities and League Institutes." That section also outlines the benefits that may be received by cities that are exploring or planning an Institute but are not yet League members. Further details concerning the process of affiliation and the benefits that may be received are included in the later section, "Steps in Establishing a Teachers Institute."

The National Seminars

The national seminars described above in "Benefits to Participating Cities and League Institutes" are planned through a process like that used for planning local Teachers Institute offerings. Teachers who have participated in national seminars play a leading role in canvassing their colleagues and deciding which seminars the National Initiative should offer each year. Teachers represent their colleagues in each city participating in the National Initiative. The city Representatives meet during the Intensive Session each July to determine the schedule and methods they will use for determining the national seminars to be offered the following year. They meet again during the Annual Conference each October to discuss the progress they have made in identifying the interests and needs of the teachers most likely to apply to become National Fellows. Yale faculty members who have led New Haven Teachers Institute seminars make presentations during the Conference on seminars they would be available to lead in the coming year. Throughout this process, using a moderated e-mail list, which archives messages topically, the teachers who serve as their cities' representatives communicate with one another about the emerging seminar possibilities. After the city representatives

have advised the Director on the seminars that should be offered, the Initiative organizes a virtual open house in February so that interested teachers in each city may participate in a video and telephone conference with the seminar leaders to learn and ask questions about the seminars that will be offered. As in the New Haven Institute, the process is self-fulfilling, and teachers apply to seminars they have requested.

Each year, the national seminars begin during an Organizational Session held at Yale for two days in early May. The seminars have the same expectations as local Teachers Institute seminars, but meet on a compressed schedule. Between May and an Intensive Session of the seminars that occurs during two weeks in July, Fellows begin studying the material they will discuss together when they return to the Yale campus. They submit a prospectus of what their curriculum unit will contain in late June and a first draft of their curriculum unit near the end of the Intensive Session in July. Staying in close touch with their seminar leader through e-mail, they submit a second draft in late July and complete the curriculum unit by the middle of August. These units are placed online at the National Initiative Web site (<http://teachers.yale.edu>) and they may, together with all the curriculum units ever written in New Haven, be searched by teachers and other users located anywhere. As in New Haven, all seminar leaders and Fellows complete written evaluations of their experience.



Understandings and Procedures Necessary for a Teachers Institute

The following Articles of Understanding provide the necessary basis for partnerships that adopt the New Haven model, wish to participate in the Yale National Initiative, and are members of the League of Teachers Institutes. Although listed as separate Articles, they are interrelated elements of an organically unified approach. Each Article is followed by one or more Procedures designed to clarify its intent and guide its implementation. Continuing membership in the League of Teachers Institutes will depend upon the maintenance of a Teachers Institute in accord with these Understandings and Procedures, as demonstrated in annual reports. Experience has shown that Teachers Institutes that remain in accord with these Understandings and Procedures are more likely to succeed in a long-term effort than are Institutes that depart from them.

Article 1: Partnership

Each Teachers Institute partnership links an institution (or institutions) of higher education to a school district (or districts) in which a significant proportion of the students come from low-income communities. Administratively and financially, the Institute is situated as an autonomous academic unit in an institution of higher education, not subordinate to any other unit in the institution or any external entity. It reports to the office of the president or provost. That institution must assume, and may not delegate, full responsibility for the academic and fiscal management of a Teachers Institute. A sponsoring institution of higher education serves as fiscal agent and, in most cases, acts as recipient of any grant for the Institute. The size, scope, and emphasis of the Institute depend upon the needs of the district(s), the educational resources available, and the expected funding. Policies within the school district(s) pertaining to curriculum and professional development (as established by the state, the school board, the union, and specific administrators) must encourage the development of such an Institute.

Procedures for Article 1: The initial scope includes no fewer than 20 schools encompassing at least two of the three levels of schooling (elementary, middle, and high), a minimum pool of 500 potentially eligible teachers, and a minimum of four seminars to be offered annually. If the number of seminars increases, the number of schools and eligible teachers may also be appropriately increased. Letters from the highest administrators of the institution(s) of higher education and the school district(s) should explicitly state their commitment to long-term collaboration in support of the Institute. In a jointly written and executed letter of agreement they should lay out the terms and expectation of the collaboration entailed by their

partnership, specifying their respective roles and mutual obligations. The letter of agreement must be renewed when there is a change in university or school administration or an Institute director.

Article 2: Participants

Teachers who participate in an Institute become Fellows in its seminars. The body of Teachers Representatives in a given year will consist of teachers who are intending to be Fellows in the seminars being planned and (except in an Institute's first year) have been Institute Fellows. Faculty members from the institution(s) of higher education are invited to serve as seminar leaders and/or serve on a University Advisory Council composed largely or entirely of faculty members.

Procedures for Article 2: The director organizes a body of Teachers Representatives and a University Advisory Council. The director, while ultimately responsible for the appointment of Teachers Representatives to this largely self-perpetuating body, actively solicits recommendations from current Teachers Representatives and Coordinators and relies upon their advice. The director recruits faculty from various parts of the institution(s) of higher education to offer seminars that address the Fellows' interests and needs in the areas of further preparation and curriculum development. The president(s) of the institution(s) of higher education, on recommendation by the director, will invite and appoint faculty members to serve on a University Advisory Council.

Article 3: Direction

A continuing, full-time director of the Institute serves as convenor, administrator, liaison between the school district(s) and the administration and faculty of the institution(s) of higher education, and fund-raiser. The director, while reporting to the chief officers of the institution(s) of higher education and the district(s), is administratively and financially responsible to the institution of higher education in which the Institute is situated. Those institution(s) provide a job description for the director that establishes the director's place within their structure. The director shall have full authority and responsibility for the operation of the Institute to ensure compliance with these Articles of Understanding. She or he must enjoy the confidence of the teachers of the district(s), the faculty members of the institution(s) of higher education, and the Yale National Initiative. The director acts as leader and facilitator of the participating teachers or Fellows and, in consultation with the executive committee of the University Advisory Council, recruits seminar leaders from among the faculty members of the institution(s) of higher education. The director is also the liaison with the National Initiative and arranges the Institute's participation in League activities.

Procedures for Article 3: A planning director or director for a new Institute must be identified in close consultation with representatives from local teacher leadership and university faculty, and with the superintendent(s) of the school district(s) and chief administrative officer(s) of the institution(s) of higher education. During this process the partnership is encouraged to communicate with the National Initiative with some frequency. A candidate who has been identified through this process may then be recommended to the Yale National Initiative, after which there must be opportunity for further consultation with the Initiative. If a mutual decision is favorable, the candidate must then receive formal approval by the superintendent(s) and chief administrative officer(s), and by the Yale National Initiative, after which the candidate may be appointed planning director. A planning director for a new Institute must be prepared and willing to become director if again approved as such through the process here specified. Any replacement for the director should be advertised and publicized internally and externally in accordance with the search procedures in place at the partnering institution(s) of higher education. The search committee for a replacement for the director should involve representatives from the local teacher leadership and university faculty advisory groups. A replacement for the director should then be recommended by the superintendent(s) of the school district(s) and chief administrative officer(s) of the institution(s) of higher education in the partnership, and approved by the Yale National Initiative. If the institution requires that a Principal Investigator other than the Institute director be assigned for a grant, that person should be a member of the administration, at least at the level of Dean of the Faculty of Arts and Sciences.

Article 4: Leadership of Teachers

The Institute is led in crucial respects by participating teachers in the district(s), who, as Teachers Representatives and Coordinators, play a major and indispensable role in the planning, organization, conduct, and evaluation of the programs intended to benefit them and, through them, their students. They are responsible for persuading other teachers to understand the Institute as having been designed to strengthen teaching and learning throughout the schools and to have a significant impact upon the school district.

Procedures for Article 4: Through the body of Teachers Representatives the teachers are involved in initiating and approving decisions with respect to seminars offered, encouraging teachers to request and apply for seminars, and enrolling them in the seminars. From the body of Teachers Representatives the director will annually select Coordinators, one for each

seminar, who will assist with application procedures, handle administrative details within the seminar, help to establish its collegiality, act as a resource for members of the seminar, and monitor its progress.

Article 5: Faculty Role

Faculty members from the liberal arts and/or sciences in the institution(s) of higher and professional education who teach at the undergraduate and/or graduate levels lead seminars, advise in the shaping of the seminars to be offered, and review each year the seminars offered by the Institute.

Procedures for Article 5: The University Advisory Council meets at least annually to receive reports and offer advice on the progress of the Institute. An executive committee of the Council meets more frequently with the director to review and approve the proposed seminars and to provide consultation and assistance with regard to other administrative matters.

Article 6: Seminars

The course of study consists of intensive seminars (not lectures) of relatively small enrollment in several disciplines on broadly defined topics, which meet over a period of no less than three months. These seminars are both collaborative and collegial. The seminar leader and the Fellows study and discuss certain common texts, objects, or places, and each Fellow prepares during the period of the seminar meetings at least two drafts of a substantial "curriculum unit" that he or she intends to employ in the classroom during the following year.

Procedures for Article 6: Seminars with about a dozen participants, meeting approximately weekly, afford the best opportunity for discussing every Fellow's work in progress. Each applicant's principal must verify that the teacher's participation in the seminar is appropriate, and that the proposed curriculum unit is related to, and significant for, the school curriculum, the district standards, and a course that the teacher will be assigned in the following school year. The curriculum units, which will have immediate application in the classroom, may bear a variety of relations to the general topic of the seminar, appropriate to the grade level and the aims of the teacher and to the school plans and district standards.

Article 7: Curriculum Unit

The curriculum unit is important for the teacher as a means of articulating what is being learned in the seminar, applying it to the classroom, and sharing it with col-

leagues. Each curriculum unit consists of at least 15 single-spaced pages. It includes an essay of at least 10 pages that sets forth the unit's rationale and objectives, the material to be presented in the classroom, and the pedagogical strategies to be employed; it also includes several examples of the lesson plans to be used by the teacher, and one or more annotated bibliographies. The curriculum units are published electronically, and preferably also in printed format.

Procedures for Article 7: Relying on relevant documents provided by the National Initiative, an Institute will establish handbooks, manuals, or guidelines for Fellows that lay out the necessary structure and content of a curriculum unit, and the steps in the writing process. Such guidelines should provide for two or more individual meetings between the seminar leader and each Fellow.

Article 8: Collaboration

The simultaneous consideration of subject matter and pedagogical procedures is fundamental to the Institute Approach and essential to the collegiality on which an Institute is founded. The seminar leaders are primarily responsible for presenting the "content" or "knowledge" of one or more disciplines, the inherent strategies whereby such knowledge is acquired and transmitted, and any pedagogical strategies that may therefore inhere in that field of study. The Fellows, individually and collectively, will be responsible for bringing to the seminar at appropriate points the pedagogical procedures necessary for encouraging active learners in their elementary or secondary classrooms to acquire this knowledge.

Procedures for Article 8: Seminar leaders should plan to incorporate in the sessions some discussion of common work and of curriculum units in progress. An Institute (again relying on documents provided by the National Initiative) will establish guidelines, handbooks, or manuals for seminar leaders that make clear the expectations with regard to collaboration.

Article 9: Collegiality

Participating teachers from the institution(s) of higher education and the schools are considered professional colleagues working within a collegial relationship, and their respective contributions in the Institute process are valued equally. Seminar leaders and Fellows understand that all participants bring to the seminar important strengths, both experience and knowledge, with respect to the seminar topic and/or its potential relevance to the classroom.

Procedures for Article 9: The guidelines, handbooks or manuals for Fellows and seminar leaders will emphasize the importance in the seminar of a collegial relationship. The Fellows are considered full members of the university community during the year in which they are taking a seminar, and they will receive the privileges customarily given to faculty, such as library and computer privileges and net accounts. They are not to be regarded as students in regular university courses. Arrangements may be made for them, however, to apply to a relevant graduate program to receive university credit or certification of course of study for a Teachers Institute seminar they have already completed.

Article 10: Eligibility

Within its designated scope, the Institute encourages any teacher to apply who has a teaching assignment relevant to a seminar topic, desires to increase preparation in the subject taught, can present a proposal for a curriculum unit relevant to that topic, and will be assigned to teach a course during the ensuing year in which that unit can be used.

Procedures for Article 10: The Teachers Institute makes every effort to ensure that the pool of teachers applying to the Institute represents a cross-section of all eligible teachers. Its program should attract and accept teachers regardless of age, ethnicity, gender, academic background, professional experience, and length of time in teaching. It should document annually the percentage of Fellows in each category and also specify the comparable percentages in the demographics of the teaching cadre in the district. To carry out its mission, an Institute must involve a significant proportion of all teachers within its designated scope, who, in turn, must actively engage teachers who have not participated before.

Article 11: Remuneration

In order to recognize the intensive, demanding, and professionally significant nature of their participation in the seminars, the seminar leaders will be provided with some remuneration, and the Fellows, who participate on a voluntary basis, will be provided with an appropriate stipend and/or honorarium on completion of their unit and all Institute requirements.

Procedures for Article 11: The stipend for participating school teachers and the honoraria for Representatives and Coordinators do not constitute salary or wages and are therefore not to be regarded as subject to any conditions of employment. Teachers Institutes involving more than one insti-

tution of higher education should devise an equitable arrangement for remuneration for seminar leaders.

Article 12: Long-Term Commitment

In establishing a Teachers Institute, the institutional and district administrations commit themselves to a long-term partnership with each other in support of the Institute during and beyond the Planning and Implementation Phases.

Procedures for Article 12: These commitments will be defined during the planning process and must be affirmed in the Implementation Application. The commitments must be re-affirmed or renewed when there is a change in the institutional or school administration or an Institute director.

Article 13: Funding

The institution(s) of higher education and the school district(s) are committed to provide meaningful ongoing financial support to the Teachers Institute.

Procedures for Article 13: Cost sharing is essential for developing, sustaining, and institutionalizing a Teachers Institute. It not only buttresses the commitment of institutional and school district administrations to their partnership, but also stimulates private support for the Institute by offering potential donors the incentive of multiplying the impact of their gifts. Cost sharing consists of the cash contributions made to the Institute by the college or university, the school district partner, and third parties. Full indirect, overhead, or facilities and administration costs are contributed as cost sharing. In order that new Teachers Institutes can prepare to become financially sustainable, they should follow a cost-sharing strategy during the Planning Phase and Implementation Phase that will enable a gradual assumption of a major share of the core costs. During the Planning Phase at least half of the necessary core direct costs should be provided by the applicant institution and the school district partner. These costs consist of salary for the planning director, honoraria for teachers and faculty, and expenses for travel to events at Yale. During the Implementation Phase, the institution and the school district partner should assume an increasing ratio of cost-sharing—e.g., in graduated steps over three years of 1/2, 1/1, 2/1—thus reducing reliance upon temporary outside sources. For the Implementation Phase the necessary core direct costs consist of one full-time salary for the director, remunerations for seminar leaders, stipends for Fellows, honoraria for Coordinators, the publication of curriculum units, office assistance for the director, the expense of establishing and

maintaining a Web site, and travel to League events. Experience has shown that a budget (in 2007 dollars) of about \$20,000–\$40,000 in direct costs should be adequate for the Planning Phase, and that a new Teachers Institute would require in each year of the Implementation Phase (again in 2007 dollars) something on the order of \$200,000 in funding.

Article 14: The League

There will be an explicit and visible relation among the Institutes and with the Yale National Initiative in which they are participating. Those Institutes recognized by the Yale National Initiative as following the Institute Approach in accord with these Articles of Understanding—initially through approval of the Application for Implementation, and thereafter on the basis of annual reports—will be members of the League of Teachers Institutes and will be eligible for benefits specified in the section on "Benefits to Participating Cities and Communities and to League Institutes."

Procedures for Article 14: Each Institute is committed to join the League of Teachers Institutes, to participate in League activities and meetings, to add materials to the Web site that illustrate its operation in accordance with these Articles, to communicate in more informal ways, and to disseminate its experience of the Institute model in various ways to other actual and potential Institutes across the nation. The means of communication include participation in national seminars, the Intensive Sessions, Annual Conferences, personal visits, e-mail, news groups, online chats, text-based forums, etc., and will also include written accounts by participants in the Institutes for publication in *On Common Ground*.

Article 15: Evaluation

The Institutes are committed to undertaking at their own cost, in cooperation with the Yale National Initiative, an annual review of their progress and, at the end of the Implementation Phase, a final review. They assume responsibility for continuing self-evaluation, in cooperation with the Yale National Initiative. They will submit to the Yale National Initiative (and also, through this Initiative, to the relevant local or national funders) annual financial reports and annual narrative reports.

Procedures for Article 15: The reporting that is required of a Teachers Institute is more fully described in a later section of this manual: "Reporting and Evaluation." This reporting serves several functions and provides several advantages. It constitutes a detailed account, in depth and through time, of the operations and accomplishments of the Institute. It

contributes greatly to the process of obtaining funding; and it also contributes to the wider understanding by teachers, district administrators, university faculty members and administrators, and policy-makers of the role and importance of Teachers Institutes in this nation. The Yale National Initiative will offer advice in this review process and may suggest means of obtaining funding to support it.



Steps in Establishing a Teachers Institute

Summary of the Process

There are several phases in the establishment of a Teachers Institute at a new location. The Yale National Initiative researches the educational policies and demographic characteristics of school districts, the academic resources and school-improvement interests of colleges and universities in proximity to these districts, and the financial capacity and philanthropic interests of foundations and companies that support programs for the improvement of urban or rural public education in that geographic area. Following research protocols and employing the Initiative's databases, the Initiative investigates the potential that may exist for developing an Institute in certain communities. This process may also occur in response to an initial request or proposal from one or both members of a potential partnership.

The results are then reviewed by the Director of the Yale National Initiative and, for promising locations, also by the Team of New Haven Colleagues in the Initiative. This Team, composed of Yale faculty members and New Haven public school teachers who are experienced in the Institute's work locally and nationally, has an important role in determining and advising about the localities that will be included in the Initiative. They take responsibility for working with each location through e-mail, video conferencing, information sessions held in New Haven and elsewhere, site visits, and in other ways.

For cities or rural districts that seem especially promising, the Director sends an inquiry with information about the Initiative to school and university officials and offers to travel to meet with them, if they want to pursue the opportunity. Superintendents who wish to learn more about the Teachers Institute Approach are invited to nominate several teachers to become Yale National Fellows. As described previously in "Benefits to Participating Cities and Communities and to League Institutes," these teachers apply to participate in national seminars held in New Haven in May and July, which are designed to assist them in their own teaching and to acquaint them with the Institute Approach. On returning to their home communities, the National Fellows teach the curriculum units they have written and talk with other teachers and their superintendent about the advantages of a local Teachers Institute. Concurrently, college and university faculty members who might eventually lead local Teachers Institute seminars are invited to the Intensive Session held each July, where they observe national seminars and learn about the Institute Approach. In October, these teachers and faculty members return to Yale, together with school and university officials, for the Annual Conference, where the National Fellows describe the teaching of and the student response to their curriculum units, and all discuss the planning and operation of local Teachers Institutes.

During one or more years of exploring the possibility of establishing a new Teachers Institute, school and university officials begin to meet to discuss the Understandings and Procedures for Institutes. If they decide to proceed, they submit a Declaration of Intent to Apply to Plan a Teachers Institute, which is signed by the school superintendent and university president to signify their commitment. The new partnership must then, following the procedures specified by "Procedures for Article 3" in the "Understandings and Procedures," identify a planning director, who must be approved by the Yale National Initiative before being appointed to this position. It may then apply for and receive permission to participate in the Yale National Initiative and in League activities, and receive League services, during a Planning Phase of at least nine months duration, which will enable it to devote itself to more detailed planning of a new Institute. The proposed Institute may then apply for and receive permission to participate in the Yale National Initiative and become a member of the League of Teachers Institutes during a multi-year Implementation Phase (optimally, a period of three years). During that Phase it will begin its operation and further refine its own processes.

Applications for permission to participate in the Yale National Initiative during the Planning Phase and the Implementation Phase have three purposes. First, the process of preparing an application will lead the planners of a new Institute in a systematic way through tested procedures that enable the Institute to be workable and sustainable. Second, the application itself will provide assurance that the new Institute is qualified to receive the services of the Yale National Initiative and the League of Teachers Institutes. And third, the application will provide narrative and financial information that can be reshaped by the Institute in applying for funding. Experience has shown that a budget (in 2007 dollars) of about \$20,000-40,000 in direct costs should be adequate for the Planning Phase, which would include the time of the planning director, honoraria for teachers and faculty, and necessary travel.

Preliminary Steps

An important early step consists of meetings not only of key university and school administrators, but also of school teachers who might assume a leading role in the new Institute and those university faculty members who might lead seminars and help to identify interested colleagues on the faculty. The Yale National Initiative can, directly or through its Web site, furnish literature and videos in various forms and formats (e.g., DVD or interactive CD-ROM) to persons who have this interest. During this preliminary period, the city in which such interest is expressed may be designated by the Director of the Yale National Initiative a "participating city." Depending on its progress in local planning, a city may be invited to nominate or recommend teachers to apply to participate in the national seminars that meet in May and July. The administrators and faculty members from such a participating city may also be invited to an Intensive

Session in July, where the faculty members can observe, and can attend workshops and other meetings on the Teachers Institute Approach. And all may be invited to attend an Annual Conference in the fall, where, with others from League Institutes and cities planning or exploring an Institute, they may report on and plan for the Initiative's work.

If there is then sufficient interest, and if funding is being or has been arranged, these preliminary steps may be followed by a more formal Planning Phase, with a planning director and a number of university faculty members and school teachers committed to assist with planning. During this Planning Phase, the Institute may fully participate in the Yale National Initiative and receive the services of the League of Teachers Institutes.

Planning an Institute

The Yale National Initiative will provide instructions and forms on which to apply to participate in the Yale National Initiative and receive its services during a Planning Phase of at least nine months duration. This Planning Phase may be funded by or through a federal program, a national funder, one or more local funders, a school district (e.g., district Title I funds), or a college or university. An application will include a narrative, a budget, and a budget narrative. (For details, see the instructions and forms provided.) A National Panel of educators and philanthropists will review the applications, will provide advice that may be useful for local purposes and in obtaining further support for the Implementation Phase, and will recommend acceptance. The Director of the Yale National Initiative will determine whether the application is in conformity with the principles and procedures of this Initiative.

The purpose of the Planning Phase is to enable a full exploration of the likely partners, major strategies, scope, personnel, and funding of a Teachers Institute that conforms to the "Understandings and Procedures" set forth in this manual. Although a Planning Phase of nine months duration looks toward a multi-year Implementation Phase, it is not required that an application for participation in the Yale National Initiative and membership in the League of Teachers Institutes during the Implementation Phase be made at the end of that initial Planning Phase. There may be a period of time for further planning, adjusted to the organizational needs of the partnership, before such an application would be necessary or appropriate.

During this Phase there will be meetings with university faculty and school teachers who may participate in the partnership to ascertain their needs and their interest in, and commitment to, the proposed Institute. There will be joint planning and meetings of university and school administrators to discuss their mutual commitments and, among other things, how to leverage local and other funds for the Implementation Phase of the proposed Institute. Experience has shown that

the direct core costs of a year of operation for a new Teachers Institute in the Implementation Phase would require (in 2007 dollars) something on the order of \$200,000 in funding. There will also be development of a three-year implementation plan and proposal for a potentially long-term Teachers Institute in accord with the "Understandings and Procedures."

The Planning Phase will include the following activities. The locality will recommend several teachers to become National Fellows and send a number of university faculty members and school and university officials to the events at Yale held each year. In July university faculty members will accompany the Planning Director to New Haven, where they will observe seminars and participate in workshops on the Institute's principles and practices. In October representatives from the school district will attend an Annual Conference, where they may learn from the experience of both established and new Teachers Institutes in other locations. (For details, see the earlier section in this brochure, page 11, "Benefits to Participating Cities and Communities and to League Institutes.")

The planning director, with the assistance of the university faculty members and school teachers committed to this planning, will establish a body of Teachers Representatives, which will canvass teachers for their suggestions of topics for seminars and on that basis determine a desirable schedule of seminar offerings for the first year. The planning director will then recruit university faculty members who will be prepared to lead seminars that correspond, in their general focus or outline, to the topics proposed. The planning director will also arrange for the appointment of a University Advisory Council of faculty members who will serve in an advisory capacity and will review the seminar proposals. At some point during the Planning Phase, the Yale National Initiative will also arrange for a visit of colleagues, consisting of school teachers, faculty members, and directors from the League, to the site of the proposed new Institute.

On the basis of the arrangements made during the Planning Phase (and perhaps during ensuing months), the planning director will prepare an application to participate in the Yale National Initiative and become a member of the League of Teachers Institutes during a multi-year Implementation Phase.

Declarations of Intent to Submit a Planning Application

A Declaration of Intent to submit an application to participate in the Yale National Initiative and the activities of the League of Teachers Institutes during a Planning Phase will be filed, on a form to be provided, by February 1 of the calendar year in which such an application will be submitted. (See the "Timeline" later in this brochure, page 43.) This Declaration of Intent will set forth the intentions and commitments of the collaborating institution(s) of higher education and the school district(s).

Appointment of a Planning Director

A candidate for the position of planning director should be proposed by May 1 of the year in which a planning application will be submitted. The selection of a planning director should be carried out according to the "Procedures for Article 3" in the "Understandings and Procedures." A planning director for a new Institute during a Planning Phase must be prepared and willing to become director, if later approved as such through the mandated "Procedures for Article 3," when the Institute is accepted as a participant in the Initiative during the Implementation Phase. A planning director must be identified in close consultation with representatives from local teacher leadership and university faculty, and with the superintendent(s) of the school district(s) and chief administrative officer(s) of the institution(s) of higher education. During this process the partnership is encouraged to communicate with the Yale National Initiative with some frequency. A candidate identified through this process may then be recommended to the Yale National Initiative, after which there must be opportunity for further consultation with the Initiative. If a mutual decision is favorable, the candidate must then receive formal approval by the superintendent(s) and chief administrative officer(s). The institution of higher education must provide a description of the position, indicate its classification in the personnel structure, and clarify in detail the lines of authority and reporting for the director within the institution. The letters of recommendation or accompanying materials from the superintendent(s) and chief administrator(s) of the institution(s) of higher education should document this search and appointment procedure. After formal approval by the Yale National Initiative, the planning director may then be appointed.

Planning Applications

The planning application should then be submitted by September 15 of this year. The planning application, like the identifying of a director, must result from a collaborative process, involving representatives from local teacher leadership and university faculty, and with the superintendent(s) of the school district(s) and chief administrative officer(s) of the institution(s) of higher education. Drafts of the planning application must be shared among the constituents in the process. The narrative for an application will cover the following topics:

1. Basic Commitments: A provisional statement of how the partnership envisions meeting all Understandings and Procedures. These commitments must be fully understood by administrators, by the planning director, and by participating faculty and teachers. The application should contain a jointly written and executed letter of agreement in which the appropriate administrators of the institution(s) of higher education and the school district(s) should lay out the terms and expectations of the collaboration entailed by their partnership, indicating their respective roles and mutual obligations.

2. College or University: A statement by administrators of the institution(s) of higher education describing the location of the proposed Teachers Institute as an independent unit within its (or their) structure, responsible to the office of the president or provost; specific faculty members and administrators committed to do the planning for possible participation in a multi-year Implementation with strong prospects for continuation; and specific faculty members who are qualified and available to lead seminars. An application should contain letters of commitment from faculty members who wish to be involved in the Institute's program, with descriptions of their applicable experience. Any faculty members from departments, schools, or colleges of Education should indicate their readiness to lead seminars that focus primarily upon "content" rather than "pedagogy." An application should also contain letters of commitment from college or university faculty members who are willing to serve on an Advisory Council. (See "Understandings and Procedures": "Article 1: Partnership," "Article 2: Participants," "Article 5: Faculty Role," "Article 12: Long-term Commitment," and "Article 13: Funding.")

3. Schools: Evidence that the district(s) serve a significant proportion of students from low-income backgrounds; specific administrators committed to do the planning for possible participation in a multi-year Implementation Phase with strong prospects for continuation; letters of commitment from those people; a description by school administrators of the relevant policies and the existing professional development programs, explaining how they will relate to the new Institute and how the new Institute will support district goals, and identifying the key district staff members who will be concerned with this relationship. An application should also contain letters of commitment from teachers who will be involved in planning the Institute and who will assume leadership roles in it. (See "Understandings and Procedures": "Article 1: Partnership," "Article 2: Participants," "Article 4: Leadership of Teachers," "Article 12: Long-Term Commitment.")

4. Scope: A description of the proposed scope within the school district, or indication of the process by which it will be determined; a list of possible seminar topics for the first year of Implementation, and an explanation of the process by which teachers will finally determine them. The scope must include no fewer than 20 schools encompassing at least two of the three levels of schooling (elementary, middle, and high), a minimum pool of 500 potentially eligible teachers, and a minimum of four seminars to be offered annually. (See "Understandings and Procedures": "Article 1: Partnership," "Article 2: Participants," "Article 4: Leadership of Teachers," "Article 5: Faculty Role," "Article 6: Seminars.")

5. Director of Planning: A specific person who has already been approved as planning director by the Yale National Initiative and who has indicated willingness, if approved by the mandated procedures, to become the permanent director of the proposed Institute. (See "Understandings and Procedures": "Article 3: Direction.")

6. Planning Process: A statement of the planning that will be undertaken locally during the nine-month Planning Phase. This should include a plan for constructing a network of teacher leadership, including a body of Teachers Representatives; a plan for widening the participation of university faculty members, including a University Advisory Council; a plan for surveying teachers' needs, deciding on seminars for the initial year of Implementation, and recruiting seminar leaders; and a plan for developing a longer-term strategy by which the Institute can help the district meet its goals. (See "Understandings and Procedures": "Article 4: Leadership of Teachers," "Article 5: Faculty Role," "Article 6: Seminars.")

7. Funding and Cost-Sharing: A statement of the proposed funding and proposed cost-sharing for the Planning Phase (specifying the primary funders, including the university and the school system, and any supplementary funders) with institutional letters of commitment. Letters from the highest administrators of the institution(s) of higher education and the school district(s) should explicitly state their commitments to contribute indirect costs as cost sharing, and to provide continuing funding. Letters from the institution(s) of higher education should specify the support that the Development Office(s) of the institution(s) will provide in the continuing search for funding. The institution(s) of higher education should also indicate the appropriate range for remuneration of seminar leader, in accord with that for comparable duties. (See "Understandings and Procedures": "Article 13: Funding.")

To be considered complete, a Planning Application should consist of the following:

1. Cover page (on forms supplied by the Yale National Initiative)
2. Demographic information about partners (on forms supplied)
3. Narrative (of approximately twenty double-spaced typed pages with at least one-inch margins – more if needed to cover necessary items)
4. Budget (on forms supplied) and Budget Narrative (instructions supplied)
5. Attachments (attach only items requested and prepared specifically for this purpose)

Implementing an Institute

An applicant to participate in the Yale National Initiative and become a member of the League of Teachers Institutes during a multi-year Implementation must have arranged – or must be arranging – funding from a federal program, a national funder, one or more local funders, as well as a school district and a college

or university. The institution(s) of higher education and the school district(s) must be committed to provide meaningful ongoing financial support. At least half of the necessary core direct costs must be provided by the applicant institution and the school district partner. (Full indirect, overhead, or facilities and administration costs are contributed as cost sharing.) Cost sharing should either begin at a high level or steadily increase during the Implementation Phase so that there is a trend toward institutionalizing the costs of the Institute.

Instructions and forms on which to apply for participation in the Yale National Initiative and membership in the League of Teachers Institutes during Implementation are provided by the Initiative. Such an application can also be shaped into a grant proposal for funding during the Implementation. A National Panel of educators and philanthropists will review the proposal, provide useful advice, and recommend participation in Implementation. Final decisions as to conformity with the principles and procedures of the Yale National Initiative will be made by the Director of this Initiative.

The partnership will be required to submit annual reports to the Yale National Initiative that describe and assess the activities undertaken, describe challenges and successes, account for any grant funds, and document the entire budget. Any change in the director at an Institute that is participating in an Implementation Phase must be approved in advance by the Yale National Initiative. In such instances, the position should be filled according to the process specified in "Procedures for Article 3" in "Understandings and Procedures." Forms are provided by the Yale National Initiative for this purpose.

The Teachers Representatives will receive applications from teachers for admission to the seminars offered for the first year. They will also provide from among their number seminar Coordinators who will decide upon the applications, assist the seminar leaders, and also help the director to monitor the progress of the seminars. During each year of the Implementation Phase, the Teachers Representatives will continue the process of canvassing teachers and determining the topics of seminars for which the director will recruit leaders from the faculty.

During the Implementation Phase the Institute will also send the director, several school teachers, and several university faculty members to participate in the Intensive Sessions in July and the Annual Conferences. The director will participate in colloquia for directors; the school teachers will participate as Fellows in the national seminars; and university faculty members will observe national and local seminars and attend workshops on the Teachers Institute Approach. Representatives from the school district will also attend the Annual Conference to report on progress of the Institute from the district's point of view. During this phase there

may also be planned visits to the Institute by personnel from the Yale National Initiative.

Declarations of Intent to Submit an Implementation Application

An initial result of the Planning Phase will be a Declaration of Intent to apply for participation in the Yale National Initiative and membership in the League of Teachers Institutes during Implementation. This Declaration will be filed, on a form provided, by May 31 of the year in which such an application will be submitted. (See "Timeline" later in this brochure, page 43.) It will set forth the intentions and commitments of the partners, the institution(s) of higher education and the school district(s). The Declaration serves two purposes: It clarifies the decisions made at the location of the proposed Institute and it puts the Yale National Initiative on notice of those decisions so that it can make necessary arrangements for the National Panel to review the Implementation Application, can provide services and assistance, and can arrange necessary site visits.

Appointment of a Director

A candidate for director of the Institute should be proposed by June 30 of the year in which an Implementation Application is submitted. The local identification of a director (who may well have been the planning director) should be carried out once more according to the "Procedures for Article 3" in the "Understandings and Procedures" – as in the previous identification of the planning director. After consultation with the Yale National Initiative, and a mutual decision that is favorable, the candidate will be formally approved by the superintendent(s) of the school district(s) and chief administrative officer(s) of the institution(s) of higher education in the partnership. The name will then be forwarded, with a description of applicable experience and a letter of commitment, to the Yale National Initiative for formal approval. As in the appointment of the planning director (see earlier requirements for details, page 18), the institution of higher education must provide a full description of the position. Letters of recommendation or accompanying materials from the superintendent(s) and chief administrator(s) of the institution(s) of higher education should document this search and appointment procedure. After formal approval by the Yale National Initiative, the director may then be appointed.

Implementation Applications

An implementation application requires that a director has been approved and appointed, that a body of Teachers Representatives and a University Advisory Council have been established, and that plans have been laid for the first year of seminars. Like the planning application, it must result from a collaborative

process, involving representatives from local teacher leadership and university faculty, and with the superintendent(s) of the school district(s) and chief administrative officer(s) of the institution(s) of higher education. Drafts of the implementation application must also be shared among the constituents in the process. The application will be approved upon the recommendation of a National Panel of leading educators and philanthropists. The response of the National Panel will provide useful feedback to the applicant and may also be of use in the seeking of funds. The Director of the Yale National Initiative will determine whether the application is in conformity with this Initiative.

The narrative for an application to participate in the Yale National Initiative and become a member of the League of Teachers Institutes during Implementation will cover the following topics:

1. Basic Commitments: State how the new Institute meets each of the Understandings and Procedures.

2. Partnership: Administrators of the institution(s) of higher education must describe the location of the proposed Teachers Institute as an independent unit within its (or their) structure, responsible to the office of the president or provost. School administrators must describe the relevant policies and the existing professional development programs, explain how they will relate to the new Institute and how the new Institute will support district goals, and identify the key district staff members who will be concerned with this relationship. The application also requires a jointly written and executed agreement between the institution(s) of higher education and the school district(s) that sets forth the endorsement, the collaboration, and the prospective participation of these sponsoring partners. In this letter of agreement the appropriate administrators will lay out the terms and expectations of the collaboration entailed by their partnership. Letters from the highest administrators of the institution(s) of higher education and the school district(s) should explicitly state their commitments to contribute indirect costs as cost sharing, and to provide continuing funding. Those from the institution(s) of higher education should also specify the support that the Development Office(s) of these institution(s) will provide in the continuing search for funding.

3. Scope: In discussing the initial scope of your Teachers Institute, describe how the scope was determined and how you envision it developing over the three or more years of Implementation. Include a map of the school district partner(s) noting the location of both the higher education institution(s) and the schools to be involved during Implementation. The scope should include no fewer than 20 schools encompassing at least two of the three levels of schooling (elementary, middle, and high), a minimum pool of 500 potentially eligible teachers, and a minimum of four seminars to be offered annually. Indicate any likely expansion of

that scope during subsequent years of the Implementation Phase. (See "Understandings and Procedures," "Article 1: Partnership," "Article 6: Seminars," "Article 10: Eligibility.")

4. Strategy: State what you expect this Teachers Institute to achieve within the school district(s) involved. If you are working with a large school district or several school districts, state how you determined the scope of the proposed Teachers Institute so that its impact would not be diluted or diffuse but would have as great an influence as possible. (See "Understandings and Procedures": "Article 1: Partnership," "Article 6: Seminars," "Article 10: Eligibility," "Article 12: Long-Term Commitment.")

5. Structure: Describe with as much specificity as possible the structure of the proposed Teachers Institute, including the director, faculty advisory committees, and teacher leadership roles. (See "Understandings and Procedures," especially: "Article 1: Partnership," "Article 2: Participants," "Article 3: Direction," "Article 4: Leadership of Teachers," "Article 5: Faculty Role," "Article 12: Long-Term Commitment.")

6. Seminars: In discussing the seminars for the first year of the Implementation Phase, describe how teachers have been involved in identifying topics, which faculty have been approached and selected to lead these seminars, the pool of eligible teachers, how potential Fellows are being identified, and how Fellows are selected among applicants. In discussing seminars for the subsequent years of Implementation, describe the pool of interested and available faculty and that of eligible teachers. An application should indicate the appropriate range for remuneration of seminar leaders, in accord with that for comparable duties. (See "Understandings and Procedures": "Article 6: Seminars," "Article 7: Curriculum Unit," "Article 8: Collaboration," "Article 9: Collegiality," "Article 10: Eligibility," "Article 11: Remuneration.")

7. Revisions in Plan: Please note where there is a significant change from the information or plan submitted with the Planning Application.

8. Accompanying Letters: Letters indicating commitment from the institutions and individuals to be involved should be appended to the application to participate in Implementation. Each letter should make clear the writer's actual and potential involvement in the Institute, and his or her understanding of the role to be played. Letters from administration should indicate their commitment to all items under the specific Understandings and Procedures that fall under their purview. (See especially "Understandings and Procedures": "Article 1: Partnership," "Article 12: Long-Term Commitment," "Article 13: Funding.")

To be considered complete, an Implementation Application should consist of the following:

1. Cover page (forms supplied by the Yale National Initiative)
2. Demographic information about partners (forms supplied)
3. Proposal Narrative (of no more than thirty double-spaced typed pages with at least one-inch margins)
4. Budget (forms supplied) and Budget Narrative (instructions supplied)
5. Attachments (attach only items requested and prepared specifically for this purpose)

Reporting and Evaluation

Every Institute or proposed Institute prepares an annual narrative and financial report. Reports should include continuing descriptions of the Institute's activities and progress and should explain significant differences between the years of operation. (An Implementation Application will serve as the report on the Planning Phase.) The annual reports analyze the factors contributing to, and hindering, the success of the Institute, and any discernible effects of the Institute upon teacher preparation and empowerment, curricular change, and other issues central to school improvement. They give an account of the progress made toward current and continuing funding of the Institute. At specified intervals, annual reports will also include surveys of the use of curriculum units by Fellows and non-Fellows in the school system.

In sum, the narrative report should describe the scope, the strategy, and the goals of the Teachers Institute. It should explain the process by which it has been established and maintained, the ways that it has followed the Teachers Institute Approach, its current activities, and the progress made toward its specific goals. There is no limitation on length. The style should be succinct, but important details should not be omitted for the sake of brevity.

Using surveys and other instruments developed by the Yale-New Haven Teachers Institute and the Yale National Initiative, each established Institute documents the number of teachers who apply; the representativeness of those teachers vis-à-vis the entire pool of teachers eligible to participate; the meetings of the Teachers Representatives, providing detail concerning their activities in planning the seminars; the roles of the seminar Coordinators in admitting Fellows, assisting them, and monitoring seminars; the teachers' and faculty members' assessments

of the Institute; the curriculum units written; the classroom uses to which teachers put those curriculum units; and the students' responses to those units. The reports also describe the relationship between participating school teachers and university faculty, the nature and extent of leadership exerted by teacher-participants, the incentives for university faculty members and school teachers to participate, and the assistance from the Yale National Initiative that has been needed, obtained, and used. They include an analysis of the participation of school teachers in Institute activities, using surveys and other instruments developed by the Yale-New Haven Teachers Institute and modified as needed to make possible comparisons across the partnerships. The data will include, for example, the school and subject or grade level of each Fellow, the seminar in which each participated, the leaders of the seminars, the curriculum unit titles, and information on each Fellow's continuing employment in the district.

Each Institute is also encouraged to work with its school district data office to document and analyze the impact of teachers' participation in Institute seminars and Institute leadership roles on the professional performance of its teachers and the academic achievements of their students. For Institutes that decide to do so, the Yale National Initiative will supply guidelines for data collection and analysis that each Institute may adapt to suit its own capabilities and circumstances. With appropriate safeguards for confidentiality, these Institutes should make every effort to compile quantitative data bases that link teachers to students and that include data on teacher and student demographics, teacher service records, and student test scores, grades, attendance, retention, and graduation records. Using these data, Institutes conduct statistical analyses of the impact of the Institute on teachers and students in accordance with the Yale National Initiative guidelines at least once every three years. These Institutes will also provide non-confidential data to the Yale National Initiative to aid in analyses of national patterns and trends.

Each Institute will provide reviewers who may be sent by the Yale National Initiative and/or any funding agencies with full access to their activities and their documentation, including school and university personnel and sites.

The annual financial report will contain an accounting of all expenditures made from all sources, including verification of cost-sharing. As indicated in the Procedures for Article 13 in the "Understandings and Procedures," new Teachers Institutes should follow a graduated cost-sharing strategy during the Planning Phase and Implementation Phase. The financial report will set forth in detail the cost of operating the Institute, provide a documentation of other funds allocated to it, and indicate the availability of long-term funding sources. A final financial report will provide such accounting for the full term of any Planning or Implementation Phase. Where appropriate, the financial report should update the account of

progress made toward funding the new Institute beyond the Implementation Phase. Each report will be made on forms supplied by the Yale National Initiative.

The annual narrative report should provide as specific an account as possible of each of the following items. The report should be explicitly keyed to these items, perhaps with a table of contents or with an index provided, so that readers can easily note the information that pertains to each item addressed:

- evidence that the new Institute is faithful to each of the Articles of Understanding and the Procedures;
- a systematic description of the Institute and its activities, including ways that it has applied the Approach to its own situation, the process by which it was established, how that process has unfolded over time, and the progress made toward its goals;
- a description of the relationship between participating school teachers and university faculty members;
- an account of the ways in which teacher-participants in the seminars have exerted leadership in planning the seminars, recruiting teachers, admitting Fellows to the seminars, monitoring their process, and assessing the results;
- an indication of the incentives for university faculty members and school teachers to participate in the Institute;
- an analysis of the participation of school teachers in Institute activities (using the Fellows questionnaire and other instruments developed by the Yale-New Haven Teachers Institute and the Yale National Initiative) that documents the number of teachers who apply, the representativeness of the teachers vis-à-vis the entire pool of teachers eligible to participate, the school and subject or grade level of each Fellow, and (through annual questionnaires and periodic surveys) the teachers' participation in Institute activities, the teachers' and faculty members' assessments of the Institute, teachers' unit use, each Fellow's continuing employment in the district, and any district data collected;
- an annual summary of the Institute's efforts, if applicable, to collect and analyze quantitative data on teachers and students in cooperation with its district's data office and in general accordance with the guidelines provided by the Yale National Initiative;
- the cost of operating the Institute, set forth in detail as specified in the financial reporting requirements; a documentation of all other funds allocated to the Institute; the availability of long-term funding sources; and the trend and progress toward financial institutionalization;

- a summary description of the length, nature, and contents of the curriculum units developed by participating teachers, with information about the teachers' use of the units and any other outcomes of their participation;
- an account of the assistance from the Yale National Initiative that was needed, obtained, and used;
- and an analysis of the factors contributing to, and hindering, the success of the Institute.

Each report will also include a summary, at the beginning or end, that sets forth in brief compass the accomplishments and impact of the Teachers Institute, the impediments that have been encountered, the unanticipated outcomes, and the lessons learned thus far. The annual narrative report should include as attachments only documents produced by or related to the Institute. Such documents should include all brochures, schedules, seminar proposals, curriculum units, questionnaires, reports, and news articles.

The final report for an Implementation Phase will summarize the items covered by the annual narrative reports. In summarizing the current and planned conformity with the Understandings and Procedures, go through all of these Articles one by one, without omission. With regard to Article 1, include demographic statistics pertaining to the schools in the partnering district that are being served by the Institute. With regard to Article 10, provide demographic statistics pertaining to both eligible teachers and the pool of teachers applying to the Institute.

The final Implementation Phase report should also summarize the current and planned funding of the Institute, indicating the contribution being made, and to be made, by the institution(s) of higher education, the school district(s), and outside funders. It should indicate the seminars planned for the coming year and their expected enrollment, and the likely number of seminars to be planned for the following year and their expected enrollment.

The final Implementation Phase report will also include a survey of the use of curriculum units by Fellows and non-Fellows in the school system. The survey will have been administered to all Fellows who have participated in seminars during the Implementation Phase and to non-Fellows in participating schools in which at least 5% of the teachers currently eligible for participation have been Fellows. The report will describe the administration of the survey and will specify the number of each type of survey (to Fellows or to non-Fellows) distributed and returned from each school. The Yale National Initiative will then enter and analyze the data that the surveys contain.



Timeline

Deadlines for Applications and Reports

Year 1	
February 1	Declaration of Intent to Submit a Planning Application
May 1	Planning Director Proposed
September 15	Planning Application Submitted
Year 2	
January	Nine-Month Planning Phase Begins
May 31	Declaration of Intent to Submit an Implementation Application <i>(if proceeding in Year 2)</i>
June 30	Director Proposed
September 15	Implementation Application Submitted
Year 3	
January	Implementation Begins

The Implementation Application will serve as the Final Report on the Planning Phase. Thereafter, Annual Reports will be due on December 15.

Contact Information

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