

# School Improvement Grants Application

Section 1003(g) of the  
Elementary and Secondary Education Act

Fiscal Year 2010

CFDA Number: 84.377A

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**State Name:**North Dakota



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



OMB Number: 1810-0682  
Expiration Date: September 30, 2013

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0682. The time required to complete this information collection is estimated to average 100 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537.



# SCHOOL IMPROVEMENT GRANTS

## **Purpose of the Program**

School Improvement Grants (SIG), authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants to State educational agencies (SEAs) that SEAs use to make competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. Under the final requirements published in the *Federal Register* on October 28, 2010 (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>), school improvement funds are to be focused on each State's "Tier I" and "Tier II" schools. Tier I schools are the lowest-achieving 5 percent of a State's Title I schools in improvement, corrective action, or restructuring, Title I secondary schools in improvement, corrective action, or restructuring with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain Title I eligible (and participating) elementary schools that are as low achieving as the State's other Tier I schools ("newly eligible" Tier I schools). Tier II schools are the lowest-achieving 5 percent of a State's secondary schools that are eligible for, but do not receive, Title I, Part A funds, secondary schools that are eligible for, but do not receive, Title I, Part A funds with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain additional Title I eligible (participating and non-participating) secondary schools that are as low achieving as the State's other Tier II schools or that have had a graduation rate below 60 percent over a number of years ("newly eligible" Tier II schools). An LEA also may use school improvement funds in Tier III schools, which are Title I schools in improvement, corrective action, or restructuring that are not identified as Tier I or Tier II schools and, if a State so chooses, certain additional Title I eligible (participating and non-participating) schools ("newly eligible" Tier III schools). (See Appendix B for a chart summarizing the schools included in each tier.) In the Tier I and Tier II schools an LEA chooses to serve, the LEA must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model.

## **Availability of Funds**

The Department of Education Appropriations Act, 2010, provided \$546 million for School Improvement Grants in fiscal year (FY) 2010. In addition, the U.S. Department of Education (Department) estimates that, collectively, States have carried over approximately \$825 million in FY 2009 SIG funds that will be combined with FY 2010 SIG funds, for a total of nearly \$1.4 billion that will be awarded by States as part of their FY 2010 SIG competitions.

FY 2010 school improvement funds are available for obligation by SEAs and LEAs through September 30, 2012.

## **State and LEA Allocations**

Each State (including the District of Columbia and Puerto Rico), the Bureau of Indian Education, and the outlying areas are eligible to apply to receive a School Improvement Grant. The Department will allocate FY 2010 school improvement funds in proportion to the funds received in FY 2010 by the States, the Bureau of Indian Education, and the outlying areas under Parts A, C, and D of Title I of the ESEA. An SEA must allocate at least 95 percent of its school improvement funds directly to LEAs in accordance with the final requirements (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>). The SEA may retain an amount not to exceed five percent of its allocation for State administration, evaluation, and technical assistance.

Appendix A provides guidance on how SEAs can maximize the number of Tier I and Tier II schools its LEAs can serve with FY 2009 carryover and FY 2010 SIG funds when making their LEA allocations for the FY 2010 competition. See Appendix A for a more detailed explanation.

## **Consultation with the Committee of Practitioners**

Before submitting its application for a SIG grant to the Department, an SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein. The Department recommends that the SEA also consult with other stakeholders, such as potential external providers, teachers' unions, and business, civil rights, and community leaders that have an interest in its application.

# FY 2010 Submission Information

## **Electronic Submission:**

The Department strongly prefers to receive an SEA's FY 2010 School Improvement Grant (SIG) application electronically. The application should be sent as a Microsoft Word document, not as a PDF.

The SEA should submit its FY 2010 application to the following address: [school.improvement.grants@ed.gov](mailto:school.improvement.grants@ed.gov)

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

## **Paper Submission:**

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

Carlas McCauley, Education Program Specialist  
Student Achievement and School Accountability Programs  
U.S. Department of Education  
400 Maryland Avenue, SW, Room 3W320  
Washington, DC 20202-6132

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

## **Application Deadline**

Applications are due on or before December 3, 2010.

## **For Further Information**

If you have any questions, please contact Carlas McCauley at (202) 260-0824 or by e-mail at [carlas.mccauley@ed.gov](mailto:carlas.mccauley@ed.gov).

# **FY 2010 Application Instructions**

**Most of the FY 2010 SIG application is identical to the FY 2009 application. A new section for additional evaluation criteria (Section B-1) has been added and Section H on Waivers has been expanded. Section D on Descriptive Information (Section D – Part 1, Section D – Parts 2-8) has also been reformatted into two separate sections for the FY 2010 application, but all other parts of the application remain the same.**

**Consequently, except as provided below, an SEA must update only those sections that include changes from the FY 2009 application. In particular, the Department expects that most SEAs will be able to retain Section B on Evaluation Criteria, Section C on Capacity, and Section D (parts 2-8) on Descriptive Information, sections that make up the bulk of the SIG application. An SEA has the option to update any of the material in these sections if it so desires.**

**We are requiring SEAs to update some sections of the SIG application to ensure that each SEA focuses its FY 2010 SIG funds, including any funds carried over from FY 2009, on serving its persistently lowest-achieving schools in LEAs with the capacity and commitment to fully and effectively implement one of the four required school intervention models beginning in the 2011-2012 school year.**

**Note that while an SEA may be able to submit significant portions of its FY 2010 SIG application unchanged from FY 2009, we recommend that it review all sections of the FY 2010 application to ensure alignment with any required changes or revisions.**

**SEAs should also note that they will only be able to insert information in designated spaces (form fields) in the application because of formatting restrictions. Clicking on a section of the application that is restricted will automatically jump the cursor to the next form field which may cause users to skip over information in the application. Users may avoid this issue by using the scroll bar to review the application. However, due to these restrictions, the Department recommends that SEAs print a copy of the application and review it in its entirety before filling out the form.**

**APPLICATION COVER SHEET**  
**SCHOOL IMPROVEMENT GRANTS**

Legal Name of Applicant: North Dakota Department of Public Instruction	Applicant's Mailing Address: 600 E Boulevard Avenue Dept. 201 Bismarck, ND 58505-0440
State Contact for the School Improvement Grant  Name: Laurie Matzke  Position and Office: Director, Title I Office  Contact's Mailing Address: 600 E Boulevard Avenue Dept. 201 Bismarck ND 58505-0440  Telephone: 701-328-2284  Fax: 701-328-4770  Email address: lmatzke@nd.gov	
Chief State School Officer (Printed Name): Dr. Wayne G. Sanstead, State Superintendent	Telephone: 701-328-4570
Signature of the Chief State School Officer:  X	Date:
The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.	

# FY 2010 Application Checklist

**Please use this checklist to serve as a roadmap for the SEA's FY 2010 application.**

Please note that an SEA's submission for FY 2010 must include the following attachments, as indicated on the application form:

- Lists, by LEA, of the State's Tier I, Tier II, and Tier III schools.
- A copy of the SEA's FY 2010 LEA application form that LEAs will use to apply to the SEA for a School Improvement Grant.
- If the SEA seeks any waivers through its application, a copy of the notice it provided to LEAs and a copy of any comments it received from LEAs as well as a copy of, or link to, the notice the SEA provided to the public.

**Please check the relevant boxes below to verify that all required sections of the SEA application are included and to indicate which sections of the FY 2010 application the SEA has revised from its FY 2009 application.**

<b>SECTION A: ELIGIBLE SCHOOLS</b>	<input checked="" type="checkbox"/> Definition of "persistently lowest-achieving schools" (PLA schools) is same as FY 2009	<input type="checkbox"/> Definition of "persistently lowest-achieving schools" (PLA schools) is revised for FY 2010
	<i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i> <input type="checkbox"/> SEA will not generate new lists of Tier I, Tier II, and Tier III schools because it has five or more unserved Tier I schools from FY 2009 (SEA is requesting waiver) <input type="checkbox"/> SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has less than five unserved Tier I schools from FY 2009 <input checked="" type="checkbox"/> SEA elects to generate new lists	<i>For an SEA revising its definition of PLA schools, please select the following option:</i> <input type="checkbox"/> SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition
	<input checked="" type="checkbox"/> Lists, by LEA, of State's Tier I, Tier II, and Tier III schools provided	
<b>SECTION B: EVALUATION CRITERIA</b>	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
<b>SECTION B-1: ADDITIONAL EVALUATION CRITERIA</b>	<input checked="" type="checkbox"/> Section B-1: Additional evaluation criteria provided	
<b>SECTION C: CAPACITY</b>	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
<b>SECTION D (PART 1): TIMELINE</b>	<input checked="" type="checkbox"/> Updated Section D (Part 1): Timeline provided	
<b>SECTION D (PARTS 2-8): DESCRIPTIVE INFORMATION</b>	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
<b>SECTION E: ASSURANCES</b>	<input checked="" type="checkbox"/> Updated Section E: Assurances provided	
<b>SECTION F: SEA RESERVATION</b>	<input checked="" type="checkbox"/> Updated Section F: SEA reservations provided	
<b>SECTION G: CONSULTATION WITH STAKEHOLDERS</b>	<input checked="" type="checkbox"/> Updated Section G: Consultation with stakeholders provided	
<b>SECTION H: WAIVERS</b>	<input checked="" type="checkbox"/> Updated Section H: Waivers provided	

## PART I: SEA REQUIREMENTS

As part of its application for a School Improvement Grant under section 1003(g) of the ESEA, an SEA must provide the following information.

**A. ELIGIBLE SCHOOLS:** An SEA must provide a list, by LEA, of each Tier I, Tier II, and Tier III school in the State. (A State's Tier I and Tier II schools are its persistently lowest-achieving schools and, if the SEA so chooses, certain additional Title I eligible schools that are as low achieving as the State's persistently lowest-achieving schools or that have had a graduation rate below 60 percent over a number of years.) In providing its list of schools, the SEA must indicate whether a school has been identified as a Tier I or Tier II school solely because it has had a graduation rate below 60 percent over a number of years. In addition, the SEA must indicate whether it has exercised the option to identify as a Tier I, Tier II, or Tier III school a school that was made newly eligible to receive SIG funds by the Consolidated Appropriations Act, 2010.

Each SEA must generate new lists of Tier I, Tier II, and Tier III schools based on the State's most recent achievement and graduation rate data to ensure that LEAs continue to give priority to using SIG funds to implement one of the four school intervention models in each of their persistently lowest-achieving schools, rather than using SIG funds to support less rigorous improvement measures in less needy schools. However, any SEA that has five or more Tier I schools that were identified for purposes of the State's FY 2009 SIG competition but are not being served with SIG funds in the 2010-2011 school year may apply for a waiver of the requirement to generate new lists.

An SEA also has the option of making changes to its FY 2009 definition of "persistently lowest-achieving schools". An SEA that exercises this option must generate new lists of Tier I, Tier II, and Tier III schools.

Regardless of whether it modifies its definition of "persistently lowest-achieving schools" or generates new lists, along with its lists of Tier I, Tier II, and Tier III schools, an SEA must provide the definition that it used to develop these lists. The SEA may provide a link to the page on its Web site where its definition is posted, or it may attach the complete definition to its application.

Definition of “persistently lowest-achieving schools” (PLA schools) is same as FY 2009

Definition of “persistently lowest-achieving schools” (PLA schools) is revised for FY 2010

*For an SEA keeping the same definition of PLA schools, please select one of the following options:*

1. SEA will not generate new lists of Tier I, Tier II, and Tier III schools. SEA has five or more unserved Tier I schools from FY 2009 and is therefore eligible to request a waiver of the requirement to generate new lists of schools. Lists and waiver request submitted below.

*SEA is electing not to include newly eligible schools for the FY 2010 competition. (Only applicable if the SEA elected to add newly eligible schools in FY 2009.)*

2. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has fewer than five unserved Tier I schools from FY 2009. Lists submitted below.

3. SEA elects to generate new lists. Lists submitted below.

*For an SEA revising its definition of PLA schools, please select the following option:*

1. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition of “persistently lowest-achieving schools.” Lists submitted below.

**Insert definition of “persistently lowest-achieving schools” or link to definition of “persistently lowest-achieving schools” here:**

<http://www.dpi.state.nd.us/title1/Legislative/sig/definition.pdf>

An SEA must attach two tables to its SIG application. The first table must include its lists of all Tier I, Tier II, and Tier III schools that are eligible for FY 2010 SIG funds. The second table must include its lists of all Tier I, Tier II, and Tier III schools that were served with FY 2009 SIG funds.

Please create these two tables in Excel and use the formats shown below. Examples of the tables have been provided for guidance.

SCHOOLS ELIGIBLE FOR FY 2010 SIG FUNDS								
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>1</sup>

SCHOOLS SERVED WITH FY 2009 SIG FUNDS							
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE

**EXAMPLE:**

SCHOOLS ELIGIBLE FOR FY 2010 SIG FUNDS								
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##	X				
LEA 1	##	MADISON ES	##	X				
LEA 1	##	TAYLOR MS	##			X		X
LEA 2	##	WASHINGTON ES	##	X				
LEA 2	##	FILLMORE HS	##			X		
LEA 3	##	TYLER HS	##		X		X	
LEA 4	##	VAN BUREN MS	##	X				
LEA 4	##	POLK ES	##			X		

<sup>1</sup> “Newly Eligible” refers to a school that was made eligible to receive SIG funds by the Consolidated Appropriations Act, 2010. A newly eligible school may be identified for Tier I or Tier II because it has not made adequate yearly progress for at least two consecutive years; is in the State’s lowest quintile of performance based on proficiency rates on State’s assessments; and is no higher achieving than the highest-achieving school identified by the SEA as a “persistently lowest-achieving school” or is a high school that has a graduation rate less than 60 percent over a number of years. For complete definitions of and additional information about “newly eligible schools,” please refer to the FY 2010 SIG Guidance, questions A-20 to A-30.

**EXAMPLE:**

<b>SCHOOLS SERVED WITH FY 2009 SIG FUNDS</b>							
<b>LEA NAME</b>	<b>LEA NCES ID #</b>	<b>SCHOOL NAME</b>	<b>SCHOOL NCES ID#</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>
LEA 1	##	MONROE ES	##	X			
LEA 1	##	JEFFERSON HS	##		X		X
LEA 2	##	ADAMS ES	##	X			
LEA 3	##	JACKSON ES	##	X			

**Please attach the two tables in a separate file and submit it with the application.**

**SEA has attached the two tables in a separate file and submitted it with its application.**

**B. EVALUATION CRITERIA:**

**Part 1:** The three actions listed in Part 1 are ones that an LEA must take prior to submitting its application for a School Improvement Grant. Accordingly, the SEA must describe, with specificity, the criteria the SEA will use to evaluate an LEA’s application with respect to each of the following actions:

- (1) The LEA has analyzed the needs of each Tier I and Tier II school identified in the LEA’s application and has selected an intervention for each school.
- (2) The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA’s application in order to implement fully and effectively the selected intervention in each of those schools.
- (3) The LEA’s budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school identified in the LEA’s application, as well as to support school improvement activities in Tier III schools, throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).

**Part 2:** The actions in Part 2 are ones that an LEA may have taken, in whole or in part, prior to submitting its application for a School Improvement Grant, but most likely will take after receiving a School Improvement Grant. Accordingly, an SEA must describe the criteria it will use to assess the LEA’s commitment to do the following:

- (1) Design and implement interventions consistent with the final requirements.
- (2) Recruit, screen, and select external providers, if applicable, to ensure their quality.
- (3) Align other resources with the interventions.
- (4) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.
- (5) Sustain the reforms after the funding period ends.

SEA is using the same evaluation criteria as FY 2009.

SEA has revised its evaluation criteria for FY 2010.

**Insert response to Section B Evaluation Criteria here:**

**Part 1:**

- (1) The NDDPI, in reviewing LEA applications for SIG funding, will require each applicant to overview their needs assessment data and document that the needs of each Tier I or Tier II school have been

thoroughly reviewed. The LEA will need to identify the intervention model that has been selected for each school on the application. The NDDPI will review each application to ensure that the LEA has the capacity to implement the selected intervention model at each school.

- (2) Submitted as Appendix C of NDDPI's SIG application is a copy of the LEA SIG application and NDDPI scoring rubric (Appendix D). The application requires the LEA to (1) submit their projected three-year budget, (2) outline their year one budget, and (3) provide a budget narrative for year one.

The NDDPI will review each LEA SIG application to ensure that it has requested adequate resources to support each Tier I and Tier II school and their intervention model identified. The budgets and budget narrative will be analyzed to ensure that the LEA has the resources and capacity to fully implement the selected intervention in each selected school. By utilizing the nine NDDPI program staff to help review and critique the LEA SIG applications, the state has adequate staff to conduct thorough reviews of each application and provide technical assistance when needed.

The NDDPI staff will communicate with LEA staff to resolve all issues and ensure that approval of an LEA application is only granted to LEAs that have demonstrated the resources and support necessary to implement their selected intervention model.

- (3) Tier I and Tier II schools will be invited to apply for the SIG funds in March 2010, thus ensuring that these schools are given first priority. The NDDPI Title I staff will review each school's budget and budget narrative to ensure that the LEA has sufficient funds to implement their selected intervention model. After all quality applications from Tier I and Tier II schools that applied for a SIG receive funding, any remaining SIG funds will be made available to Tier III schools. The Tier I, II, and III schools all complete the same application to apply for SIG funding.

North Dakota's LEA SIG application is enclosed as Appendix C. Part G of the LEA SIG application requires the LEA to identify if they are requesting a waiver from the state to extend the period of availability of the school improvement funds.

## **Part 2:**

- (1) In North Dakota's LEA SIG application, each LEA must describe either the action steps they have completed or will complete to implement the intervention model they have selected. The NDDPI will review each LEA's narrative based on the scoring rubric to ensure they have provided sufficient detail describing how they will design and implement their intervention model at each school. The NDDPI will provide LEAs with specific criteria from the SIG guidance for the intervention model they have selected. The LEA will need to address how they will be able to meet all of the required components as part of the application process.
- (2) LEAs will have the option of utilizing external providers to help them implement their selected intervention. The NDDPI has established a list of consultants who can assist districts and schools with planning and implementing school improvement activities. These consultants are known as the Statewide System of Support (SSOS) Consultant Team. Team members have expertise in a variety of school improvement areas to provide individualized assistance to schools. LEAs are also free to select an external provider of their choice. The NDDPI will require each LEA to describe, in detail, the process they used to recruit, screen, and select providers to ensure quality. NDDPI staff will review LEA's applications with the scoring rubric to ensure this component is addressed and that the LEA has identified the experience level and qualifications for external providers that they will utilize.

- (3) The NDDPI will require each LEA to describe their process to align other resources with their selected intervention. LEAs have multiple funding sources available to them to support their selected intervention model. In addition to the SIG funds requested, LEAs have Title I funds, ARRA Title I funds, Title II A, and Title II D funds, as well as state and local funds, to help support school improvement initiatives. In addition, several of North Dakota's Tier I and Tier III schools are tribal schools and have additional BIE funding as well. NDDPI staff will review LEA responses and require them to address the various funding sources available to them to support their selected intervention model.
- (4) The NDDPI will require each LEA to identify any practices or policies that need to be modified in order to implement the interventions fully and effectively. If there are certain components of a model that need to be implemented later in the process, the LEA will be required to clarify and describe with a detailed timeline when and how each issue will be addressed. The NDDPI will require LEAs to provide a detailed timeline and the process they will use to modify any specific policies or practices identified. In North Dakota, district/school teacher evaluation methods currently do not take into consideration student achievement. So this issue, in particular, will need to be specifically addressed in every LEA application that serves its Tier I or Tier II schools. NDDPI staff will review each LEA application to make sure that this issue, as well as other potential policies or practices that need to be modified, are addressed with enough specificity to demonstrate the ability to make the required changes to meet the requirements of a particular intervention.
- (5) The LEAs application requires a description of how they intend to sustain the reforms listed in their application after the funding period ends. LEAs will need to specifically demonstrate that they have researched their options regarding this issue and have a plan describing how they will sustain the reforms in the future.

**B-1. ADDITIONAL EVALUATION CRITERIA:** In addition to the evaluation criteria listed in Section B, the SEA must evaluate the following information in an LEA's budget and application:

Please note that Section B-1 is a new section added for the FY 2010 application.

(1) How will the SEA review an LEA's proposed budget with respect to activities carried out during the pre-implementation period<sup>2</sup> to help an LEA prepare for full implementation in the following school year?

(2) How will the SEA evaluate the LEA's proposed activities to be carried out during the pre-implementation period to determine whether they are allowable? (*For a description of allowable activities during the pre-implementation period, please refer to section J of the FY 2010 SIG Guidance.*)

<sup>2</sup> "Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2011–2012 school year. To help in its preparation, an LEA may use FY 2010 and/or FY 2009 carryover SIG funds in its SIG schools after the LEA has been awarded a SIG grant for those schools based on having a fully approvable application, consistent with the SIG final requirements. As soon as it receives the funds, the LEA may use part of its first-year allocation for SIG-related activities in schools that will be served with FY 2010 and/or FY 2009 carryover SIG funds. For a full description of pre-implementation, please refer to section J of the FY 2010 SIG Guidance.

**Insert response to Section B-1 Additional Evaluation Criteria here:**

**(1):** The NDDPI, Title I office, is planning to provide training to Tier I and Tier II schools that are eligible for the 2010 SIG funds in early January 2011. At this training, we will provide eligible schools with the application, guidance, and other resources to help them apply for SIG 2010 funding if they so choose. Since the pre-implementation period is a new component added, we will provide detailed training to LEA staff on the process and allowable activities pertaining to this section.

NDDPI SEA staff who will be reading and critiquing the 2010 SIG applications will also receive training on the new requirements and components in the 2010 process.

A new narrative question was added to the application that LEAs will complete to apply for 2010 SIG funding where they need to detail their proposed activities during the pre-implementation phase. In addition, our LEA guidance has been revised to require LEAs to specify in their budget and budget narrative which activities will be conducted during the pre-implementation phase. Readers will be able to review and cross reference the narrative question, the detailed timeline, and the budget and budget narrative to ensure alignment of all activities, to ensure that the activities take place during the pre-implementation phase, and to ensure that they are reasonable and necessary to enable the LEA to begin full implementation of their SIG application for the subsequent school year.

**(2):** The NDDPI, Title I office, is planning to provide training to Tier I and Tier II schools that are eligible for the 2010 SIG funds in early January 2011. At this training, we will provide eligible schools with the application, guidance, and other resources to help them apply for SIG 2010 funding if they so

choose. Since this pre-implementation period is a new component added, we will provide detailed training to LEA staff on the process and allowable activities pertaining to this section.

NDDPI SEA staff who will be reading and critiquing the 2010 SIG applications will also receive training on the new requirements and components in the 2010 process.

LEA staff will be provided with a list of allowable activities from the USDE guidance. We have added a new section to the LEA application where the district is required to describe, in detail, the activities to be conducted during the pre-implementation phase that will better enable them to begin implementing their SIG application at the start of the new year, beginning on July 1, 2011.

We have also added a new section to the scoring rubric to evaluate the LEA's response regarding the activities to be conducted during their pre-implementation phase. By having a specific question pertaining to the pre-implementation phase activities, those SEA staff evaluating the 2010 SIG applications will be able to easily identify the proposed activities and verify whether they are allowable and whether the activities will better enable the district to begin full implementation for the subsequent school year. The reviewers will also cross reference the proposed pre-implementation activities with the district's detailed timeline to ensure that the LEA does not begin utilizing 2010 SIG funds for the pre-implementation activities until the SEA has awarded the LEA a SIG grant. The reviewers will also cross reference the narrative response and the timeline with the proposed budget to ensure alignment of all proposed activities, as well as to determine if they are reasonable and necessary to implement the SIG application.

**C. CAPACITY:** The SEA must explain how it will evaluate whether an LEA lacks capacity to implement a school intervention model in each Tier I school.

An LEA that applies for a School Improvement Grant must serve each of its Tier I schools using one of the four school intervention models unless the LEA demonstrates that it lacks sufficient capacity to do so. If an LEA claims it lacks sufficient capacity to serve each Tier I school, the SEA must evaluate the sufficiency of the LEA's claim. Claims of lack of capacity should be scrutinized carefully to ensure that LEAs effectively intervene in as many of their Tier I schools as possible.

The SEA must explain how it will evaluate whether an LEA lacks capacity to implement any of the school intervention models in its Tier I school(s). The SEA must also explain what it will do if it determines that an LEA has more capacity than the LEA demonstrates.

SEA is using the same evaluation criteria for capacity as FY 2009.

SEA has revised its evaluation criteria for capacity for FY 2010.

**Insert response to Section C Capacity here:**

NDDPI assures that we will evaluate whether an LEA lacks the capacity to implement, with fidelity, a school intervention model in each Tier I school. In the State of North Dakota, the NDDPI lacks authority for an SEA to take over a school. Our North Dakota Century Code (NDCC) does not grant authority for a school take over by the NDDPI. Furthermore, North Dakota law does not permit charter schools. The Turnaround Model would be extremely difficult to implement in North Dakota for two reasons. First, all of the schools in Tier I and Tier II are small, rural schools. They have extreme difficulty filling their teaching positions as it is. In particular, it is difficult to fill areas that the North Dakota Education Standards and Practices Board has declared as hard-to-fill positions, which currently includes all areas except elementary education and physical education. It would be nearly impossible for one of the schools to find educators to replace 50% of their current staff. Secondly, according to current state law, there are seven very specific areas that cite foundations for which a teacher can be dismissed for cause. Tying teacher performance to student achievement is not one of the seven criteria.

Therefore, schools in Tier I and Tier II will most likely have to consider the Transformation Model if they choose to apply for the SIG funding. Of greatest concern in this model will be the school's ability to develop a rigorous, transparent, and equitable teacher and leader evaluation systems using student growth as a significant factor. However, several Tier I schools have expressed willingness to take on this challenge.

The State of North Dakota held trainings with our Tier I and Tier II schools on January 22 and March 16, 2010. The purpose of these trainings was to outline the SIG requirements, overview the four intervention models, and disseminate the draft application and scoring rubric.

The guidance that we provided to these Tier I and Tier II schools clearly stated that the school

leader and those attending the training must take the information provided back to their district and school for an intensive review. LEAs will need to submit documentation (i.e., board minutes, agendas) that show this issue has been reviewed and discussed at the local level. The LEA will need to clearly define what action the school board elects to take.

In addition, LEAs with a school in Tier I who choose not to apply for the SIG funding will need to submit their intent, in writing, along with documentation (i.e., board minutes, agendas) that show this issue has been reviewed and discussed at the local level. Also the LEA will need to describe why they believe they lack the capacity to implement one of the school intervention models. Those that indicate they lack sufficient capacity will be expected to justify their claim. An internal NDDPI team will review these claims for reasonability. Table A outlines the factors that will be reviewed to determine the reasonableness of their claim. If the internal NDDPI team determines that a district does have more capacity than they claim, we will work with the district to ensure they are aware of their options and our willingness to assist them in the SIG process. The SEA will inform the LEA that they are not eligible for SIG funding if they do not serve their Tier I school. In addition, if they have Tier III schools, they are not eligible to apply for SIG funds to serve them if they don't serve their Tier I school. If, as a part of the internal NDDPI team review, it is determined that the LEA did address the criteria in Table A and their board minutes reflect that the criteria in Table A were discussed and that they lack the capacity to apply for funding as a Tier I school, their local school board decision will be honored.

**Table A: Review Criteria for Lack of Capacity**

Districts make a decision in collaboration with administration, staff, and school board whether they have the capacity to serve any Tier I schools. If they believe they do not have capacity, they inform the NDDPI of their decision by a written response addressing the criteria in Table A. Their decision not to apply for funding for Tier I schools makes them ineligible to apply for SIG funds for any Tier III schools.

**Capacity Factors**

High quality staff is available with the capability to implement the selected intervention model successfully.

The ability of the LEA to serve the overall number of Tier I and/or Tier II schools identified on the application has been addressed.

A commitment by stakeholder groups to support the selected intervention model has been addressed.

- The teacher's union
- Staff
- Parents

Commitment of the school board to eliminate barriers and to facilitate full and effective implementation of the models.

A detailed and realistic timeline for getting the basic elements of the selected intervention model in place by the beginning of the 2010-2011 school year has been addressed.

A strategic planning process to successfully support the selection and implementation of the intervention model.

The historical success of recruiting new principals with the credentials and capability to implement the model has been described.

The ability of the LEA to successfully align federal, state, and local funding sources with grant activities and to ensure sustainability of the reform measures.

**D (PART 1). TIMELINE:** An SEA must describe its process and timeline for approving LEA applications.

Please note that Section D has been reformatted to separate the timeline into a different section for the FY 2010 application.

**Insert response to Section D (Part 1) Timeline here:**

North Dakota releases its AYP reports each spring. The 2009-2010 AYP reports were released in May 2010. Once the AYP data was final and made public, the state Title I office proceeded with school and district identifications for improvement for the 2010-2011 school year. In the spring of each school year, the North Dakota Department of Public Instruction (NDDPI) conducts a workshop for all schools identified for improvement. Our 2010 workshop was held on April 21, 2010. At this workshop, schools were provided with a timeline of required activities and information on implementing all required AYP provisions and improvement sanctions. Schools are informed of their responsibilities and provided with resources regarding parent notification, professional development, school choice, supplemental services, and other corrective actions sanctions and are given guidance on writing a school improvement plan. Additional funding opportunities are also addressed at this workshop.

The NDDPI will hold training for new schools identified for Tier I and Tier II for the 2010 SIG in January 2011. The purpose of the training will be to inform these schools of their Tier I and II identification and provide an overview of the SIG process and requirements. At this training, these schools will be provided with the SIG LEA application for SIG funds. Detailed information will be provided on the four SIG intervention models, the SIG LEA application, the scoring rubric, and required reports to the NDDPI that will hold districts accountable for implementing the school level intervention model of their choice. The NDDPI will review and approve LEA applications for Tiers I and II schools in February/April 2011 so that these schools are clearly given first priority for the SIG funding.

If funds remain, Tier III schools will be provided with the SIG LEA application, guidance, scoring rubric, and reporting requirements at our April 2011 workshop. These applications will be reviewed and approved in June 2011.

**Table B: North Dakota Timeline**

Process	Date
NDDPI sends initial letter of explanation of SIG to Tier I and Tier II LEA superintendents	December 2010
NDDPI conducts audio training for Tier I and Tier II schools on ND State SIG application	December 2010
NDDPI submits 2010 SIG application to USDE	December 2010
NDDPI receives comments from USDE	December 2010
NDDPI receives approval on 2010 SIG	December 2010
NDDPI provides training to Tier I and Tier II schools explaining SIG process	January 2011
LEA SIG applications (Tier I and Tier II) due to NDDPI	February 2011
NDDPI provides continued technical assistance for completing applications as needed	Jan – Feb 2011

NDDPI reviews Tier I and Tier II applications	March 2011
NDDPI awards Tier I and Tier II grants	March 2011
Tier I and Tier II schools begin pre-implementation period	March 2011
NDDPI notifies LEAs about availability of Tier III applications	April 2011
NDDPI provides training on completing SIG application for Tier III schools	April 2011
NDDPI reviews and scores Tier III applications	June 2011
NDDPI awards Tier III grants	July 2011
Tier I, Tier II, and Tier III schools implement approved applications	July 2011

NDDPI will first review and score Tier I and II applications as these schools have priority for funding. Tier III applications will be collected and reviewed if funds are available. The reviewers for all three applications (Tiers I, II, and III) will be NDDPI program staff who are well experienced as educators and are highly knowledgeable in school and district improvement.

#### Initial Review of Application

Upon receipt of an LEA's Tier I, Tier II, or Tier III application, Title I program staff will review the application to determine if all of the required elements are included and identify any areas that are not fully explained. If either of these occurs, the Title I staff will contact the LEA to request the needed element and/or provide technical assistance. If all required materials are included, the application will receive a full review.

#### Full Review by NDDPI Staff

A training session will be conducted prior to the full application review to discuss each element on the rubric, consider the examples given in the scoring ranges, and practice scoring with several applications in order to achieve a level of inter-rater reliability.

Each application submitted for SIG funding will be read and scored by three NDDPI program staff. Upon completion, the three scores will be averaged to determine a final score.

Once all applications have been read and scored, they will be ranked in priority order according to total points received. A determination can then be made as to how many applications can be approved based on the funding available.

#### Initiate Grant Award

NDDPI will notify LEAs as to the approved amount, obtain necessary signatures on the grant award, and provide information on reporting requirements.

**D (PARTS 2-8). DESCRIPTIVE INFORMATION:**

(2) Describe the SEA’s process for reviewing an LEA’s annual goals for student achievement for its Tier I and Tier II schools and how the SEA will determine whether to renew an LEA’s School Improvement Grant with respect to one or more Tier I or Tier II schools in the LEA that are not meeting those goals and making progress on the leading indicators in section III of the final requirements.

(3) Describe the SEA’s process for reviewing the goals an LEA establishes for its Tier III schools (subject to approval by the SEA) and how the SEA will determine whether to renew an LEA’s School Improvement Grant with respect to one or more Tier III schools in the LEA that are not meeting those goals.

(4) Describe how the SEA will monitor each LEA that receives a School Improvement Grant to ensure that it is implementing a school intervention model fully and effectively in the Tier I and Tier II schools the LEA is approved to serve.

(5) Describe how the SEA will prioritize School Improvement Grants to LEAs if the SEA does not have sufficient school improvement funds to serve all eligible schools for which each LEA applies.

(6) Describe the criteria, if any, that the SEA intends to use to prioritize among Tier III schools.

(7) If the SEA intends to take over any Tier I or Tier II schools, identify those schools and indicate the school intervention model the SEA will implement in each school.

(8) If the SEA intends to provide services directly to any schools in the absence of a takeover, identify those schools and, for Tier I or Tier II schools, indicate the school intervention model the SEA will implement in each school and provide evidence of the LEA’s approval to have the SEA provide the services directly.<sup>3</sup>

<sup>3</sup> If, at the time an SEA submits its application, it has not yet determined whether it will provide services directly to any schools in the absence of a takeover, it may omit this information from its application. However, if the SEA later decides that it will provide such services, it must amend its application to provide the required information.

SEA is using the same descriptive information as FY 2009.

SEA has revised its descriptive information for FY 2010.

**Insert response to Section D (Parts 2-8) Descriptive Information here:**

(2)  
North Dakota LEAs with schools in Tiers I, II, and III that submit an application for a school improvement grant and receive approval will receive a SIG award in the summer of 2010.

The district will receive initial funding for the first year of their three-year funding cycle. In the spring of 2011, all SIG grantees will be required to submit an annual report which will be reviewed as a continuation grant in order to receive funds for the second year of their three-year funding cycle. The annual report will require the LEAs and schools outline their progress in the following areas:

- Implementation of the SIG intervention model
- Meeting their SIG goals
- Use of current funding
- Progress toward intervention sustainability

The NDDPI Title I unit consists of 13 staff members. There are nine program staff, three support staff, and a fiscal officer. All schools in Tiers I, II, and III will be assigned one of the nine Title I program staff as a contact person. Each of the nine state Title I program staff will be responsible for reviewing the annual report for the schools under their purview. The results of this review will determine the continuation of funds. The NDDPI will create a rubric for measuring the annual progress to ensure consistency in the review process. The rubric will critique whether or not the LEAs have demonstrated sufficient progress toward meeting their goals in order to receive continued funding. If an LEA cannot demonstrate progress in meeting the goals and indicators as outlined on the NDDPI rubric, or if the NDDPI determines that the LEA lacks the capacity to implement the goals and indicators, the SIG funding will be terminated and the funds will be redistributed to other Tier I, II, and III schools.

The same process of utilizing an annual report and rubric will be implemented to determine if LEAs will receive continued funding for the third year of the three-year funding cycle.

(3)

In accordance with the SIG guidance, LEAs with schools in Tier I and Tier II will have first priority for SIG funding. If there are funds remaining, LEAs with schools in Tier III will be eligible to apply for funding. The same application and scoring rubric will be utilized to fund LEAs with Tier III schools. After one year of funding, LEAs with Tier III schools who received SIG funding will need to submit an annual report for each Tier III school outlining the progress made to their improvement goals outlined both in their SIG application and improvement plan. The annual report will be scored with a rubric which will determine whether or not the LEA and its Tier III schools have demonstrated sufficient progress toward meeting their goals. The rubric will take into consideration school level achievement data, their annual report to determine whether or not to renew their application for continued funding. If the rubric scores justify continuation of funds, additional budget information will be required for subsequent years. The same process of utilizing an annual report and rubric will be implemented to determine if LEAs and their Tier III schools will receive continued funding.

The Title I contact person will be responsible for providing technical assistance, answering questions, reviewing the SIG applications, reviewing reports, scoring rubrics, and all other responsibilities associated with the SIG for the schools under their purview.

(4)

The NDDPI will utilize various methods to monitor each LEA with a Tier I and/or Tier II school that receives SIG funds to ensure that it is implementing each school intervention model fully and effectively. First, as stated, each school in Tiers I, II, and III has been assigned a Title I contact person. This person is responsible for continued communication, technical assistance, and program oversight throughout the year for all schools under their purview. Best efforts are made to keep the assigned Title I contacts the same from year-to-year to encourage consistency and integrity. The Title I contact person will monitor the LEA and school progress, answer questions, ensure reports are submitted in a timely manner, and oversee the LEA's implementation of the SIG indicators and intervention model for each selected school.

Secondly, the NDDPI will monitor each LEA that receives a SIG through the required submission and review of reports and school level achievement data. The NDDPI will monitor an LEA's progress toward meeting their goals through the submission of progress reports submitted every six months. In addition, the NDDPI will annually monitor the expenditures of each SIG application through a detailed paper report. The reports and achievement data will clearly demonstrate whether or not the SIG grantees are meeting their goals and indicate which will determine continuous funding. Rubric documents will be used to measure the LEA's annual progress in Tier I and Tier II schools. These rubrics will assist NDDPI in ensuring consistency in the review process.

Finally, in North Dakota, we believe that the amount of oversight that each LEA will need will vary significantly across the state. Many districts, in particular larger school districts, have a stronger internal support system and greater access to resources to help them implement the SIG requirements in their Tier I and Tier II schools. However, smaller districts such as those with limited resources, substantial barriers, or districts considered "at risk", may need significant oversight to ensure that the SIG requirements are implemented with fidelity.

NDDPI will develop tiered levels of intervention to target our technical assistance, monitoring, and oversight to meet the needs of all participating LEAs while ensuring SIG final requirements are met.

(5)

The state of North Dakota has only eleven schools total in Tier I and Tier II combined. Preliminary conversations with Tier I and Tier II schools have led us to believe that we will have the capacity to fund each school in Tier I and Tier II that chooses to apply for SIG funding. NDDPI has created a rigorous scoring rubric which is directly aligned to the LEA SIG application. This scoring rubric is included in the state application for SIG funding. The scoring rubric is based on a points system and will be used to prioritize which LEAs will receive funding to support their Tier I and/or Tier II schools. Any remaining SIG funds will then be made available for schools in Tier III.

We anticipate the demand for funding will intensify in Tier III as the majority of our improvement schools fall in this category. Again, the scoring rubric, which is directly aligned to the LEA SIG application, will be used to prioritize which LEAs will receive funding to support

their Tier III schools. It is very realistic that not all Tier III schools will receive SIG funding. For these schools, the NDDPI will continue to offer technical assistance, monitoring, and oversight to ensure improvement regulations are met.

(6)

The NDDPI has created a rigorous scoring rubric directly aligned to the LEA SIG application (see Appendix D). Schools in Tiers I, II, and III will use the same application to apply for funding. Schools in Tiers I and II will receive priority for SIG funding. If funds are available, schools in Tier III will be invited to submit an application for SIG funds. The scoring rubric will be used within NDDPI to review the applications. Each school will receive a score based on the rubric. The scoring rubric will determine which schools receive funding. Using this method is fair and equitable and rewards those schools that are implementing strategies aligned with the SIG priorities. It is very realistic that not all Tier III schools will receive SIG funding. For these schools, the NDDPI will continue to offer technical assistance, monitoring, and oversight to ensure improvement regulations are met.

(7)

In the state of North Dakota, the NDDPI does not have legal authority to take over a school. Our NDCC does not grant authority for a school take over by the NDDPI. Therefore, the State of North Dakota will not provide services directly to any schools.

(8)

In the state of North Dakota, the NDDPI does not have legal authority to take over a school. Our NDCC does not grant authority for a school take over by the NDDPI. Furthermore, NDCC does not grant authority for the establishment of charter schools. Neither the SEA nor an LEA may grant a charter. Therefore, the SEA does not intend to provide direct services to any school in the absence of a takeover.

## E. ASSURANCES

By submitting this application, the SEA assures that it will do the following (check each box):

- Comply with the final requirements and ensure that each LEA carries out its responsibilities.
- Award each approved LEA a School Improvement Grant in an amount that is of sufficient size and scope to implement the selected intervention in each Tier I and Tier II school that the SEA approves the LEA to serve.
- Ensure, if the SEA is participating in the Department's differentiated accountability pilot, that its LEAs will use school improvement funds consistent with the final requirements.
- Monitor each LEA's implementation of the "rigorous review process" of recruiting, screening, and selecting external providers as well as the interventions supported with school improvement funds.
- To the extent a Tier I or Tier II school implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.
- Post on its Web site, within 30 days of awarding School Improvement Grants, all final LEA applications and a summary of the grants that includes the following information: name and NCES identification number of each LEA awarded a grant; total amount of the three year grant listed by each year of implementation; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Tier I and Tier II school.
- Report the specific school-level data required in section III of the final requirements.

**F. SEA RESERVATION:** The SEA may reserve an amount not to exceed five percent of its School Improvement Grant for administration, evaluation, and technical assistance expenses.

The SEA must briefly describe the activities related to administration, evaluation, and technical assistance that the SEA plans to conduct with any State-level funds it chooses to reserve from its School Improvement Grant allocation.

**Insert response to Section F SEA Reservation here:**

The NDDPI will reserve an amount not to exceed five percent of our School Improvement Grant for administration, evaluation, and technical assistance expenses. The activities to be supported with these funds fall into the categories outlined below. The NDDPI does have both sufficient funds and sufficient staff to carry out the many activities that are listed in this section. As a rural state, we must offer a variety of mechanisms to connect with the field. We collaborate and work as a team to ensure we meet schools' needs as best as possible.

■ Peer Review Team Expenditures

The NDDPI has established cadres of distinguished educators to assist the state department in reviewing Title I school and district improvement plans and applications for our state approved supplemental educational services (SES) provider list. The state department contracts with distinguished educators to review and score improvement plans and SES applications. SEA SIG funds will be utilized to pay for these expenditures.

■ Statewide Technical Assistance

The NDDPI Title I unit has multiple ways that we provide statewide technical assistance and share effective strategies for schools and districts identified for improvement. The following summarizes our key initiatives:

○ Extensive Website

The state Title I office has an extensive website developed for schools and district identified for improvement. This site contains a variety of resources including a link to all district and school Adequate Yearly Progress reports, information on reports due throughout the year, information, and application forms on additional funds available for schools in improvement, sample letters and sample reports, and resources and handouts from prior workshops. Log on to <http://www.dpi.state.nd.us/title1/progress/index.shtm> to access this information.

○ Assigned NDDPI Liaison

Every school and district identified for improvement is assigned a Title I program staff member to answer questions, review plans and applications, and provide technical assistance. These liaisons keep in close contact with their assigned schools by gathering information, answering questions on program improvement issues, acting as a guidance coach, and tracking a school's needs and efforts in a very comprehensive manner.

○ Monthly Research Report

The state Title I office generates and distributes a monthly report which summarizes newly released research/resources on educational issues relevant to North Dakota

schools. The monthly Research/Resource Report (RRR) is disseminated electronically to all principals, administrators, and Title I teachers and staff in schools identified for improvement.

○ Sharing of Effective Strategies

The NDDPI frequently contracts with exemplary educators within the state or educational entities to create resources for North Dakota schools and districts. We believe it is critical to highlight what has been proven to be effective in other schools and districts across North Dakota.

- The NDDPI requested assistance from the North Central Comprehensive Center (NCCC) in highlighting and documenting seven schools in the state of North Dakota that have made substantial improvement in their student achievement scores. Interviews with seven school administrators were conducted by the NCCC to gather information on the specific strategies each school employed to improve student achievement. A summary capturing the most important processes and initiatives was created for each school. All seven summaries were compiled into one document and shared statewide to disseminate effective practices.
- The state Title I office created a “What Works” resource guide for schools and districts to provide educators with strategies, interventions, and components used in effective educational programs. This document contains 22 one-page profiles. Each of these profiles provides an overview, research summary, and resource section on educational topics being used across the nation to improve education and raise academic achievement. The resources within this document are provided to assist schools and districts in their school improvement efforts.
- The North Dakota State Parental Information Resource Center (NDPIRC) and state Title I office contracted with state educators to create a Parent Involvement Master Literacy Bag, as well as a Parental Involvement Toolkit, for all North Dakota schools.

○ Department Sponsored Conferences

The NDDPI sponsors two extensive conferences each year. Each spring, a conference for schools and districts in improvement is held to disseminate key information regarding the school improvement requirements and to share effective strategies for making AYP. In the fall, a statewide conference is held for educators to promote effective research-based strategies designed to raise achievement. Numerous other trainings, via conference call or Interactive Video Network, are offered each year to share and disseminate information statewide.

○ Audio Conference Trainings

To further expand the number of training opportunities available to Title I personnel, the state Title I office periodically conducts conference calls on relevant Title I issues. This form of training is very beneficial because the trainings are short (one hour), easy to access, and participants don’t have to be away from their building. The training that the NDDPI held for the Tier I and Tier II schools was held through an audio conference.

SEA SIG funds will be used to provide statewide technical assistance for these key initiatives.

■ Title I School Support Team

A statewide School Support Team has been developed for North Dakota. Members of the School Support Team are comprised of distinguished educators regionally located throughout North Dakota. Members of the School Support Team are required to stay educated and current on the Title I programs and issues. The members provide in-depth technical assistance to schools identified for improvement, particularly those in the corrective action and restructuring phases.

North Dakota's School Support Team works closely with the North Central Comprehensive Center to receive additional support and training in order to more effectively assist schools and districts identified for improvement.

In addition, the state Title I office recently established a list of consultants who can assist districts and schools with planning and implementing school improvement activities. These consultants are known as the Statewide System of Support (SSOS) Consultant Team. Team members must have expertise in a variety of school improvement areas to provide individualized assistance to schools.

SEA SIG funds will be used to provide training and support to our SST and SSOS teams.

■ North Dakota Moving to Improve Learning for Everyone (NDMILE)

NDMILE is a web-based system that will be implemented by the NDDPI for schools to use to inform, coach, sustain, track, and report improvement activities. The NDMILE has indicators of evidence-based practices at the district and school and classroom levels to improve student learning. It is also customized so that the SEA or LEA can populate or enhance the system with its own indicators of effective practice or use those embedded in the tool. NDMILE is a tool that will guide improvement teams through a continuous cycle of assessment, planning, implementation, and progress tracking. Focus will be clear, responsibilities assigned, and efforts synchronized.

Schools participating in NDMILE will utilize the indicators that were selected for North Dakota. Schools will assess each indicator and determine the value the indicator has for improving student performance. Implementation plans will be developed and progress toward meeting goals for each indicator can be monitored through the tool.

North Dakota is one of several states that is partnering with the Center on Innovation and Improvement (CII) to use a tailored version of CII's indicator-based systems and trainings as a key component of our comprehensive system of support for schools in improvement. SEA SIG funds will be used to hire a cadre of coaches to work with North Dakota Title I schools participating in the NDMILE.

**G. CONSULTATION WITH STAKEHOLDERS:** The SEA must consult with its Committee of Practitioners and is encouraged to consult with other stakeholders regarding its application for a School Improvement Grant.

Before submitting its application for a School Improvement Grant to the Department, the SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein.

The SEA has consulted with its Committee of Practitioners regarding the information set forth in its application.

The SEA may also consult with other stakeholders that have an interest in its application.

The SEA has consulted with other relevant stakeholders, including

- The North Dakota Education Association
- The North Dakota Council of Educational Leaders
- The North Dakota Parental Information Resource Center
- The North Dakota School Boards Association

**H. WAIVERS:** SEAs are invited to request waivers of the requirements set forth below. An SEA must check the corresponding box(es) to indicate which waiver(s) it is requesting.

**WAIVERS OF SEA REQUIREMENTS**

**Enter State Name Here** North Dakota requests a waiver of the State-level requirements it has indicated below. The State believes that the requested waiver(s) will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and raise the academic achievement of students in Tier I, Tier II, and Tier III schools.

**Waiver 1: Tier II waiver**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2010 competition, waive paragraph (a)(2) of the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and incorporation of that definition in identifying Tier II schools under Section I.A.1(b) of those requirements to permit the State to include, in the pool of secondary schools from which it determines those that are the persistently lowest-achieving schools in the State, secondary schools participating under Title I, Part A of the ESEA that have not made adequate yearly progress (AYP) for at least two consecutive years or are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined.

**Assurance**

The State assures that it will include in the pool of schools from which it identifies its Tier II schools all Title I secondary schools not identified in Tier I that either (1) have not made AYP for at least two consecutive years; or (2) are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined. Within that pool, the State assures that it will identify as Tier II schools the persistently lowest-achieving schools in accordance with its approved definition. The State is attaching the list of schools and their level of achievement (as determined under paragraph (b) of the definition of “persistently lowest-achieving schools”) that would be identified as Tier II schools without the waiver and those that would be identified with the waiver. The State assures that it will ensure that any LEA that chooses to use SIG funds in a Title I secondary school that becomes an eligible Tier II school based on this waiver will comply with the

SIG final requirements for serving that school.

**Note: An SEA that requested and received the Tier II waiver for its FY 2009 definition of “persistently lowest achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.**

**Waiver 2: n-size waiver**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2010 competition, waive the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and the use of that definition in Section I.A.1(a) and (b) of those requirements to permit the State to exclude, from the pool of schools from which it identifies the persistently lowest-achieving schools for Tier I and Tier II, any school in which the total number of students in the “all students” group in the grades assessed is less than **[Please indicate number]** .

Assurance

The State assures that it determined whether it needs to identify five percent of schools or five schools in each tier prior to excluding small schools below its “minimum n.” The State is attaching, and will post on its Web site, a list of the schools in each tier that it will exclude under this waiver and the number of students in each school on which that determination is based. The State will include its “minimum n” in its definition of “persistently lowest-achieving schools.” In addition, the State will include in its list of Tier III schools any schools excluded from the pool of schools from which it identified the persistently lowest-achieving schools in accordance with this waiver.

**Note: An SEA that requested and received the n-size waiver for its FY 2009 definition of “persistently lowest-achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.**

**Waiver 3: New list waiver**

Because the State neither must nor elects to generate new lists of Tier I, Tier II, and Tier III schools, waive Sections I.A.1 and II.B.10 of the SIG final requirements to permit the State to use the same Tier I, Tier II, and Tier III lists it used for its FY 2009 competition.

Assurance

The State assures that it has five or more unserved Tier I schools on its FY 2009 list.

**WAIVERS OF LEA REQUIREMENTS**

**Enter State Name Here** North Dakota requests a waiver of the requirements it has indicated below. These waivers would allow any local educational agency (LEA) in the State that receives a School Improvement Grant to use those funds in accordance with the final requirements for School Improvement Grants and the LEA’s application for a grant.

The State believes that the requested waiver(s) will increase the quality of instruction for students and improve the academic achievement of students in Tier I, Tier II, and Tier III schools by enabling an LEA to use more effectively the school improvement funds to implement one of the four school intervention models in its Tier I, Tier II, or Tier III schools. The four school intervention models are specifically designed to raise substantially the achievement of students in the State’s Tier I, Tier II, and Tier III schools.

**Waiver 4: School improvement timeline waiver**

Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Tier I, Tier II, and Tier III Title I participating schools that will fully implement a turnaround or restart model beginning in the 2011–2012 school year to “start over” in the school improvement timeline.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests the waiver in its application as part of a plan to implement the turnaround or restart model beginning in 2011–2012 in a school that the SEA has approved it to serve. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

**Note: An SEA that requested and received the school improvement timeline waiver for the FY 2009 competition and wishes to also receive the waiver for the FY 2010 competition must request the waiver again in this application.**

**Schools that started implementation of a turnaround or restart model in the 2010-2011 school year cannot request this waiver to “start over” their school improvement timeline again.**

**Waiver 5: Schoolwide program waiver**

Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a schoolwide program in a Tier I, Tier II, or Tier III Title I participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests to implement the waiver in its application. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

**Note: An SEA that requested and received the schoolwide program waiver for the FY 2009 competition and wishes to also receive the waiver for the FY 2010 competition must request the waiver again in this application.**

**PERIOD OF AVAILABILITY WAIVER**

**Enter State Name Here** North Dakota requests a waiver of the requirement indicated below. The State believes that the requested waiver will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and improve the academic achievement of students in Tier I, Tier II, and Tier III schools.

**Waiver 6: Period of availability of FY 2009 carryover funds waiver**

Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY 2009 carryover school improvement funds for the SEA and all of its LEAs to September 30, 2014.

**Note: This waiver only applies to FY 2009 carryover funds. An SEA that requested and received this waiver for the FY 2009 competition and wishes to also receive the waiver to apply to FY 2009 carryover funds in order to make them available for three full years for schools awarded SIG funds through the FY 2010 competition must request the waiver again in this application.**

**ASSURANCE OF NOTICE AND COMMENT PERIOD – APPLIES TO ALL WAIVER REQUESTS**

**(Must check if requesting one or more waivers)**

The State assures that, prior to submitting its School Improvement Grant application, the State provided all LEAs in the State that are eligible to receive a School Improvement Grant with notice and a reasonable opportunity to comment on its waiver request(s) and has attached a copy of that notice as well as copies of any comments it received from LEAs. The State also assures that it provided notice and information regarding the above waiver request(s) to the public in the manner in which the State customarily provides such notice and information to the public (e.g., by publishing a notice in the newspaper; by posting information on its Web site) and has attached a copy of, or link to, that notice.

**PART II: LEA REQUIREMENTS**

An SEA must develop an LEA application form that it will use to make subgrants of school improvement funds to eligible LEAs. That application must contain, at a minimum, the information set forth below. An SEA may include other information that it deems necessary in order to award school improvement funds to its LEAs.

Please note that for FY 2010, an SEA must develop or update its LEA application form to include information on any activities, as well as the budget for those activities, that LEAs plan to carry out during the pre-implementation period to help prepare for full implementation in the following school year.

**The SEA must submit its LEA application form with its application to the Department for a School Improvement Grant. The SEA should attach the LEA application form in a separate document.**

**LEA APPLICATION REQUIREMENTS**

**A. SCHOOLS TO BE SERVED: An LEA must include the following information with respect to the schools it will serve with a School Improvement Grant.**

An LEA must identify each Tier I, Tier II, and Tier III school the LEA commits to serve and identify the model that the LEA will use in each Tier I and Tier II school.

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	INTERVENTION (TIER I AND II ONLY)			
					turnaround	restart	closure	transformation

Note: An LEA that has nine or more Tier I and Tier II schools may not implement the transformation model in more than 50 percent of those schools.

**B. DESCRIPTIVE INFORMATION: An LEA must include the following information in its application for a School Improvement Grant.**

- (1) For each Tier I and Tier II school that the LEA commits to serve, the LEA must demonstrate that—
  - The LEA has analyzed the needs of each school and selected an intervention for each school; and
  - The LEA has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA’s application in order to implement, fully and effectively, the required activities of the school intervention model it has selected.
- (2) If the LEA is not applying to serve each Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.
- (3) The LEA must describe actions it has taken, or will take, to—
  - Design and implement interventions consistent with the final requirements;
  - Recruit, screen, and select external providers, if applicable, to ensure their quality;
  - Align other resources with the interventions;
  - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively; and
  - Sustain the reforms after the funding period ends.
- (4) The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Tier I and Tier II school identified in the LEA’s application.
- (5) The LEA must describe the annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics that it has established in order to monitor its Tier I and Tier II schools that receive school improvement funds.
- (6) For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement.
- (7) The LEA must describe the goals it has established (subject to approval by the SEA) in order to hold accountable its Tier III schools that receive school improvement funds.
- (8) As appropriate, the LEA must consult with relevant stakeholders regarding the LEA’s application and implementation of school improvement models in its Tier I and Tier II schools.

**C. BUDGET: An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Tier I, Tier II, and Tier III school it commits to serve.**

The LEA must provide a budget that indicates the amount of school improvement funds the LEA will use each year to—

- Implement the selected model in each Tier I and Tier II school it commits to serve;
- Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA’s Tier I and Tier II schools; and
- Support school improvement activities, at the school or LEA level, for each Tier III school identified in the LEA’s application.

Note: An LEA’s budget should cover three years of full implementation and be of sufficient size and scope to implement the selected school intervention model in each Tier I and Tier II school the LEA commits to serve. Any funding for activities during the pre-implementation period must be included in the first year of the LEA’s three-year budget plan.

An LEA’s budget for each year may not exceed the number of Tier I, Tier II, and Tier III schools it commits to serve multiplied by \$2,000,000 or no more than \$6,000,000 over three years.

**Example:**

<b>LEA XX BUDGET</b>					
	<b>Year 1 Budget</b>		<b>Year 2 Budget</b>	<b>Year 3 Budget</b>	<b>Three-Year Total</b>
	<b>Pre-implementation</b>	<b>Year 1 - Full Implementation</b>			
<b>Tier I ES #1</b>	\$257,000	\$1,156,000	\$1,325,000	\$1,200,000	\$3,938,000
<b>Tier I ES #2</b>	\$125,500	\$890,500	\$846,500	\$795,000	\$2,657,500
<b>Tier I MS #1</b>	\$304,250	\$1,295,750	\$1,600,000	\$1,600,000	\$4,800,000
<b>Tier II HS #1</b>	\$530,000	\$1,470,000	\$1,960,000	\$1,775,000	\$5,735,000
<b>LEA-level Activities</b>	\$250,000		\$250,000	\$250,000	\$750,000
<b>Total Budget</b>	<b>\$6,279,000</b>		<b>\$5,981,500</b>	<b>\$5,620,000</b>	<b>\$17,880,500</b>

**D. ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant.**

The LEA must assure that it will—

- (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
- (2) Establish annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
- (3) If it implements a restart model in a Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements; and
- (4) Report to the SEA the school-level data required under section III of the final requirements.

**E. WAIVERS: If the SEA has requested any waivers of requirements applicable to the LEA’s School Improvement Grant, an LEA must indicate which of those waivers it intends to implement.**

The LEA must check each waiver that the LEA will implement. If the LEA does not intend to implement the waiver with respect to each applicable school, the LEA must indicate for which schools it will implement the waiver.

- “Starting over” in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- Implementing a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

## APPENDIX A

### SEA ALLOCATIONS TO LEAS AND LEA BUDGETS

#### Continuing Impact of ARRA School Improvement Grant Funding in FY 2010

Congress appropriated \$546 million for School Improvement Grants in FY 2010. In addition, most States will be carrying over a portion of their FY 2009 SIG allocations, primarily due to the requirement in section II.B.9(a) of the SIG final requirements that if not every Tier I school in a State was served with FY 2009 SIG funds, the State was required to carry over 25 percent of its FY 2009 SIG allocation, combine those funds with the State's FY 2010 SIG allocation, and award the combined funding to eligible LEAs consistent with the SIG final requirements. In FY 2009, the combination of \$3 billion in School Improvement Grant funding from the American Recovery and Reinvestment Act and \$546 million from the regular FY 2009 appropriation created a unique opportunity for the program to provide the substantial funding over a multi-year period to support the implementation of school intervention models. In response to this opportunity, the Department encouraged States to apply for a waiver extending the period of availability of FY 2009 SIG funds until September 30, 2013 so that States could use these funds to make three-year grant awards to LEAs to support the full and effective implementation of school intervention models in their Tier I and Tier II schools. All States with approved FY 2009 SIG applications applied for and received this waiver to extend the period of availability of FY 2009 SIG funds and, consistent with the final SIG requirements, are using FY 2009 funds to provide a full three years of funding (aka, "frontloading") to support the implementation of school intervention models in Tier I and Tier II schools.

The Department encouraged frontloading in FY 2009 because the extraordinary amount of SIG funding available in FY 2009 meant that, if those funds had been used to fund only the first year of implementation of a school intervention model, *i.e.*, to make first-year only awards, there would not have been sufficient funding for continuation awards in years two and three of the SIG award period (*i.e.*, SIG funding in FY 2009 was seven times the amount provided through the regular appropriation). Similarly, the estimated nearly \$1.4 billion in total SIG funding available in FY 2010 (an estimated \$825 million in FY 2009 SIG carryover funds plus the \$546 million FY 2010 SIG appropriation) is larger than the expected annual SIG appropriation over the next two fiscal years; if all funds available in FY 2010 were used to make the first year of three-year awards to LEAs for services to eligible Tier I and Tier II schools, there would not be sufficient funds to make continuation awards in subsequent fiscal years.

## **Maximizing the Impact of Regular FY 2010 SIG Allocations**

Continuing the practice of frontloading SIG funds in FY 2010 with respect to all SIG funds that are available for the FY 2010 competition (FY 2009 carryover funds plus the FY 2010 appropriation) would, in many States, limit the number of Tier I and Tier II schools that can be served as a result of the FY 2010 SIG competition. For this reason, the Department believes that, for most States, the most effective method of awarding FY 2010 SIG funds to serve the maximum number of Tier I and Tier II schools that have the capacity to fully and effectively implement a school intervention model is to frontload FY 2009 carryover funds while using FY 2010 SIG funds to make first-year only awards.

For example, if a State has \$36 million in FY 2009 carryover SIG funds and \$21 million in FY 2010 funds, and awards each school implementing a school intervention model an average of \$1 million per year over three years, the SEA would be able to fund 12 schools with FY 2009 carryover funds (*i.e.*, the \$36 million would cover all three years of funding for those 12 schools), plus an additional 21 schools with FY 2010 funds (*i.e.*, the \$21 million would cover the first year of funding for each of those schools, and the second and third years would be funded through continuation grants from subsequent SIG appropriations). Thus, the State would be able to support interventions in a total of 33 schools. However, if the same State elected to frontload all funds available for its FY 2010 SIG competition (FY 2009 carryover funds and its FY 2010 allocation), it would be able to fund interventions in only 19 schools (\$57 million divided by \$3 million per school over three years).

LEAs that receive first-year only awards would continue to implement intervention models in Tier I and Tier II schools over a three-year award period; however, second- and third-year continuation grants would be awarded from SIG appropriations in subsequent fiscal years. This practice of making first-year awards from one year's appropriation and continuation awards from funds appropriated in subsequent fiscal years is similar to the practice used for many U.S. Department of Education discretionary grant programs.

States with FY 2009 SIG carryover funds are invited to apply, as in their FY 2009 applications, for the waiver to extend the period of availability of these funds for one additional year to September 30, 2014. States that did not carry over FY 2009 SIG funds, or that carried over only a small amount of such funds, need not apply for this waiver; such States will use all available FY 2010 SIG funds to make first-year awards to LEAs in their FY 2010 SIG competitions.

## **Continuation of \$2 Million Annual Per School Cap**

For FY 2010, States continue to have flexibility to award up to \$2 million annually for each participating school. This flexibility applies both to funds that are frontloaded and those that are used for first-year only awards. As in FY 2009, this higher limit will permit an SEA to award the amount that the Department believes typically would be required for the successful

implementation of the turnaround, restart, or transformation model in a Tier I or Tier II school (*e.g.*, a school of 500 students might require \$1 million annually, whereas a large, comprehensive high school might require the full \$2 million annually).

In addition, the annual \$2 million per school cap, which permits total per-school funding of up to \$6 million over three years, reflects the continuing priority on serving Tier I or Tier II schools. An SEA must ensure that all Tier I and Tier II schools across the State that its LEAs commit to serve, and that the SEA determines its LEAs have capacity to serve, are awarded sufficient school improvement funding to fully and effectively implement the selected school intervention models over the period of availability of the funds before the SEA awards any funds for Tier III schools.

The following describes the requirements and priorities that apply to LEA budgets and SEA allocations.

### **LEA Budgets**

An LEA's proposed budget should cover a three-year period and should take into account the following:

1. The number of Tier I and Tier II schools that the LEA commits to serve and the intervention model (turnaround, restart, closure, or transformation) selected for each school.
2. The budget request for each Tier I and Tier II school must be of sufficient size and scope to support full and effective implementation of the selected intervention over a period of three years. First-year budgets may be higher than in subsequent years due to one-time start-up costs.
3. The portion of school closure costs covered with school improvement funds may be significantly lower than the amount required for the other models and would typically cover only one year.
4. The LEA may request funding for LEA-level activities that will support the implementation of school intervention models in Tier I and Tier II schools.
5. The number of Tier III schools that the LEA commits to serve, if any, and the services or benefits the LEA plans to provide to these schools over the three-year grant period.
6. The maximum funding available to the LEA each year is determined by multiplying the total number of Tier I, Tier II, and Tier III schools that the LEA is approved to serve by \$2 million (the maximum amount that an SEA may award to an LEA for each participating school).

## **SEA Allocations to LEAs**

An SEA must allocate the LEA share of school improvement funds (*i.e.*, 95 percent of the SEA's allocation from the Department) in accordance with the following requirements:

1. The SEA must give priority to LEAs that apply to serve Tier I or Tier II schools.
2. An SEA may not award funds to any LEA for Tier III schools unless and until the SEA has awarded funds to serve all Tier I and Tier II schools across the State that its LEAs commit to serve and that the SEA determines its LEAs have capacity to serve.
3. An LEA with one or more Tier I schools may not receive funds to serve only its Tier III schools.
4. In making awards consistent with these requirements, an SEA must take into account LEA capacity to implement the selected school interventions, and also may take into account other factors, such as the number of schools served in each tier and the overall quality of LEA applications.
5. An SEA that does not have sufficient school improvement funds to allow each LEA with a Tier I or Tier II school to implement fully the selected intervention models may take into account the distribution of Tier I and Tier II schools among such LEAs in the State to ensure that Tier I and Tier II schools throughout the State can be served.
6. Consistent with the final requirements, an SEA may award an LEA less funding than it requests. For example, an SEA that does not have sufficient funds to serve fully all of its Tier I and Tier II schools may approve an LEA's application with respect to only a portion of the LEA's Tier I or Tier II schools to enable the SEA to award school improvement funds to Tier I and Tier II schools across the State. Similarly, an SEA may award an LEA funds sufficient to serve only a portion of the Tier III schools the LEA requests to serve.
7. Note that the requirement in section II.B.9(a) of the SIG requirements, under which an SEA that does not serve all of its Tier I schools must carry over 25 percent of its FY 2009 SIG allocation to the following year, does not apply to FY 2010 SIG funds.

An SEA's School Improvement Grant award to an LEA must:

1. Include not less than \$50,000 or more than \$2 million per year for each participating school (*i.e.*, the Tier I, Tier II, and Tier III schools that the LEA commits to serve and that the SEA approves the LEA to serve).
2. Provide sufficient school improvement funds to implement fully and effectively one of the four intervention models in each Tier I and Tier II school the SEA approves the LEA to serve or close, as well as sufficient funds for serving participating Tier III schools. An

SEA may reduce an LEA's requested budget by any amounts proposed for interventions in one or more schools that the SEA does not approve the LEA to serve (*i.e.*, because the LEA does not have the capacity to serve the school or because the SEA is approving only a portion of Tier I and Tier II schools in certain LEAs in order to serve Tier I and Tier II schools across the State). An SEA also may reduce award amounts if it determines that an LEA can implement its planned interventions with less than the amount of funding requested in its budget.

3. Consistent with the priority in the final requirements, provide funds for Tier III schools only if the SEA has already awarded funds for all Tier I and Tier II schools across the State that its LEAs commit to serve and that the SEA determines its LEAs have capacity to serve.
4. Include any requested funds for LEA-level activities that support implementation of the school intervention models.
5. Apportion any FY 2009 carryover school improvement funds so as to provide funding to LEAs over three years (assuming the SEA has requested and received a waiver to extend the period of availability to September 30, 2014).
6. Use FY 2010 school improvement funds to make the first year of three-year grant awards to LEAs (unless the SEA has received a waiver of the period of availability for its FY 2010 funds). Continuation awards for years 2 and 3 would come from SIG appropriations in subsequent fiscal years.

## APPENDIX B

	<b>Schools an SEA MUST identify in each tier</b>	<b>Newly eligible schools an SEA MAY identify in each tier</b>
<b>Tier I</b>	Schools that meet the criteria in paragraph (a)(1) in the definition of “persistently lowest-achieving schools.” <sup>‡</sup>	Title I eligible <sup>§</sup> elementary schools that are no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(1)(i) in the definition of “persistently lowest-achieving schools” <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two consecutive years.</li> </ul>
<b>Tier II</b>	Schools that meet the criteria in paragraph (a)(2) in the definition of “persistently lowest-achieving schools.”	Title I eligible secondary schools that are (1) no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(2)(i) in the definition of “persistently lowest-achieving schools” or (2) high schools that have had a graduation rate of less than 60 percent over a number of years <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two consecutive years.</li> </ul>
<b>Tier III</b>	Title I schools in improvement, corrective action, or restructuring that are not in Tier I. <sup>**</sup>	Title I eligible schools that do not meet the requirements to be in Tier I or Tier II <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two years.</li> </ul>

<sup>‡</sup> “Persistently lowest-achieving schools” means, as determined by the State--

(a)(1) Any Title I school in improvement, corrective action, or restructuring that--

- (i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

(2) Any secondary school that is eligible for, but does not receive, Title I funds that--

- (i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

<sup>§</sup> For the purposes of schools that may be added to Tier I, Tier II, or Tier III, “Title I eligible” schools may be schools that are eligible for, but do not receive, Title I, Part A funds or schools that are Title I participating (i.e., schools that are eligible for and do receive Title I, Part A funds).

<sup>\*\*</sup> Certain Title I schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II rather than Tier III. In particular, certain Title I secondary schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II if an SEA receives a waiver to include them in the pool of schools from which Tier II schools are selected or if they meet the criteria in section I.A.1(b)(ii)(A)(2) and (B) and an SEA chooses to include them in Tier II.