

# School Improvement Grants

## New Awards Application

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

Fiscal Year 2011

CFDA Number: 84.377A

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**State Name:** North Dakota



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

OMB Number:  
Expiration Date:

### Paperwork Burden Statement

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## 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 five 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 five 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, 2011, provided \$535 million for School Improvement Grants in fiscal year (FY) 2011.

FY 2011 school improvement funds are available for obligation by SEAs and LEAs through September 30, 2013.

### **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 2011 school improvement funds in proportion to the funds received in FY 2011 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.

### **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 2011 NEW AWARDS APPLICATION INSTRUCTIONS

This application is for use only by SEAs that will make new awards. New awards are defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve with SIG funds in the school year for which funds are being awarded—in this case, the 2012–2013 school year. New awards may be made with the FY 2011 funds or any remaining FY 2009 or FY 2010 funds not already committed to grants made in earlier competitions. The U.S. Department of Education will not require those SEAs that will use FY 2011 funds solely for continuation awards to submit a SIG application. Rather, such an SEA is required to submit an assurance that it is not making new awards, as defined above, through the separate, one-page application titled, “Continuation Awards Only Application for FY 2011 SIG Program”.

An SEA that must submit a FY 2011 application will be required to update its timeline for making awards to LEAs, but may retain all other sections from its FY 2010 application, including its lists of Tier I, II, and III schools.

## SUBMISSION INFORMATION

### **Electronic Submission:**

The Department strongly prefers to receive an SEA’s FY 2011 SIG application electronically. The application should be sent as a Microsoft Word document, **not** as a PDF.

The SEA should submit its FY 2011 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.

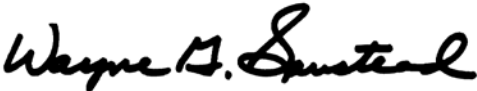
### **Application Deadline**

Applications are due on or before January 9, 2012.

### **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).

APPLICATION COVER SHEET  
SCHOOL IMPROVEMENT GRANTS

|   |  |
|---|--|
| <p>Legal Name of Applicant:<br/>North Dakota<br/>Department of Public Instruction</p>   | <p>Applicant's Mailing Address:<br/>600 E Boulevard Avenue<br/>Dept. 201<br/>Bismarck, ND 58505-0440</p> |
| <p>State Contact for the School Improvement Grant</p> <p>Name: Laurie Matzke</p> <p>Position and Office: Director, Title I Office</p> <p>Contact's Mailing Address:<br/>600 E Boulevard Avenue<br/>Dept. 201<br/>Bismarck, ND 58505-0440</p> <p>Telephone: 701-328-2284</p> <p>Fax: 701-328-0203</p> <p>Email address: <a href="mailto:lmatzke@nd.gov">lmatzke@nd.gov</a></p> |  |
| <p>Chief State School Officer (Printed Name):<br/>Dr. Wayne G. Sanstead, State Superintendent</p>   | <p>Telephone:<br/>701-328-4570</p>   |
| <p>Signature of the Chief State School Officer:<br/>X </p>   | <p>Date:<br/>3-14-12</p>   |
| <p>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.</p>   |  |

# FY 2011 NEW AWARDS APPLICATION CHECKLIST

Please use this checklist to indicate the changes the SEA elects to make to its FY 2011 application from its FY 2010 application. An SEA will be required to update Section D (Part 1): Timeline, but will have the option to retain all other sections from its FY 2010 application, including its lists of Tier I, II, and III schools.

|   |   |   |
|---|---|---|
| <b>SECTION A: ELIGIBLE SCHOOLS</b>                    | <input checked="" type="checkbox"/> SEA elects to keep the same definition of “persistently lowest-achieving schools” (PLA schools) as FY 2010  | <input type="checkbox"/> SEA elects to revise its definition of “persistently lowest-achieving schools” (PLA schools) for FY 2011                     |
|   | <i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i><br><input type="checkbox"/> SEA elects not to generate new lists of Tier I, Tier II, and Tier III schools<br><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><br><input type="checkbox"/> SEA must generate new lists |
| <b>SECTION B: EVALUATION CRITERIA</b>                 | <input checked="" type="checkbox"/> Same as FY 2010   | <input type="checkbox"/> Revised for FY 2011  |
| <b>SECTION B-1: ADDITIONAL EVALUATION CRITERIA</b>    | <input checked="" type="checkbox"/> Same as FY 2010   | <input type="checkbox"/> Revised for FY 2011  |
| <b>SECTION C: CAPACITY</b>                            | <input checked="" type="checkbox"/> Same as FY 2010   | <input type="checkbox"/> Revised for FY 2011  |
| <b>SECTION D (PART 1): TIMELINE</b>                   | <input checked="" type="checkbox"/> Revised for FY 2011   |   |
| <b>SECTION D (PARTS 2-8): DESCRIPTIVE INFORMATION</b> | <input type="checkbox"/> Same as FY 2010  | <input checked="" type="checkbox"/> Revised for FY 2011   |
| <b>SECTION E: ASSURANCES</b>                          | <input checked="" type="checkbox"/> Assurances provided   |   |
| <b>SECTION F: SEA RESERVATION</b>                     | <input type="checkbox"/> Same as FY 2010  | <input checked="" type="checkbox"/> Revised for FY 2011   |
| <b>SECTION G: CONSULTATION WITH STAKEHOLDERS</b>      | <input checked="" type="checkbox"/> Consultation with stakeholders provided   |   |
| <b>SECTION H: WAIVERS</b>                             | <input checked="" type="checkbox"/> Same as FY 2010   | <input type="checkbox"/> Revised for FY 2011  |

## PART I: SEA REQUIREMENTS

As part of its FY 2011 application for a School Improvement Grant under section 1003(g) of the ESEA, an SEA will be required to update its timeline, but may retain all other sections from its FY 2010 application, including its lists of Tier I, II, and III schools.

| SECTION A: ELIGIBLE SCHOOLS   |   |
|---|---|
| <input checked="" type="checkbox"/> <b>Definition of “persistently lowest-achieving schools” (PLA schools) is same as FY 2010</b>   | <input type="checkbox"/> <b>Definition of “persistently lowest-achieving schools” (PLA schools) is revised for FY 2011</b>  |
| <p><i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i></p> <p><input type="checkbox"/> 1. The SEA elects not to generate new lists of Tier I, Tier II, and Tier III schools. The SEA does not need to submit a new list for the FY 2011 application.</p> <p><input checked="" type="checkbox"/> 2. SEA elects to generate new lists. Lists submitted below.</p> | <p><i>For an SEA revising its definition of PLA schools, please select the following option:</i></p> <p><input type="checkbox"/> 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.</p> |

**Directions:** An SEA that elects to generate new lists or must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition of “persistently lowest-achieving schools” must attach a table to its SIG application that include its lists of all Tier I, Tier II, and Tier III schools that are eligible for new awards.<sup>1</sup> An SEA that will not generate new lists of Tier I, Tier II, and Tier III schools does not need to submit a new list for the FY 2011 application.

SEAs that generate new lists should create this table in Excel using the format shown below. An example of the table has been provided for guidance.

| SCHOOLS ELIGIBLE FOR FY 2011 SIG FUNDS |               |             |                 |        |         |          |           |                             |
|--|---------------|-------------|-----------------|--------|---------|----------|-----------|-----------------------------|
| LEA NAME                               | LEA NCES ID # | SCHOOL NAME | SCHOOL NCES ID# | TIER I | TIER II | TIER III | GRAD RATE | NEWLY ELIGIBLE <sup>2</sup> |
|  |               |             |                 |        |         |          |           |                             |
|  |               |             |                 |        |         |          |           |                             |

<sup>1</sup> A “new award” is defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve with SIG funds in the school year for which funds are being awarded—in this case, the 2012–2013 school year. New awards may be made with the FY 2011 funds or any remaining FY 2009 or FY 2010 funds not already committed to grants made in earlier competitions.

<sup>2</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 ELIGIBLE FOR FY 2011 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> | <b>NEWLY ELIGIBLE</b> |
| 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               |                  |                       |

**Directions:** All SEAs are required to list any LEAs with one or more schools for which funding under previously awarded SIG grants will not be renewed. For each such school, note the amount of unused remaining funds and explain how the SEA or LEA plans to use those funds (e.g., reallocate to other schools with SIG grants or retain for a future SIG competition).

| <b>LEA NAME</b>                         | <b>SCHOOL NAME</b>   | <b>DESCRIPTION OF HOW REMAINING FUNDS WERE OR WILL BE USED</b> | <b>AMOUNT OF REMAINING FUNDS</b> |
|---|----------------------|--|----------------------------------|
| Mandaree 36                             | Mandaree High School | Funded additional Tier III applications                        | \$972,964.85                     |
|   |                      |  |                                  |
|   |                      |  |                                  |
| <b>TOTAL AMOUNT OF REMAINING FUNDS:</b> |                      |  | <b>\$972,964.85</b>              |

**Directions:** In the boxes below, provide updates to any sections, if any, the SEA elects to revise. The only section the SEA will be required to update is *Section D (Part 1): Timeline*. The SEA does not need to resubmit information for any section in which it elects to use the same criteria as its FY 2010 SIG application. See Appendix A for guidelines on the information required for revised sections.

**SECTION B: EVALUATION CRITERIA**

SEA is using the same information in this section as in its FY 2010 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2011. Updated information listed below.

**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 early spring, 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. 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.

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.

**SECTION B-1: ADDITIONAL EVALUATION CRITERIA FOR PRE-IMPLEMENTATION**

SEA is using the same information in this section as in its FY 2010 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2011. Updated information listed below.

**(1):** The NDDPI, Title I office, is planning to provide training to Tier I and Tier II schools that are eligible for the 2011 SIG funds in early spring 2012. At this training, we will provide eligible schools with the application, guidance, and other resources to help them apply for SIG 2011 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 2011 SIG applications will also receive training on the new requirements and components in the 2011 process.

A new narrative question was added to the application that LEAs will complete to apply for 2011 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 2011 SIG funds in early spring 2012. At this training, we will provide eligible schools with the application, guidance, and other resources to help them apply for SIG 2011 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 2011 SIG applications will also receive training on the new requirements and components in the 2011 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, 2012.

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 2011 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 2011 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.

### **SECTION C: CAPACITY**

**SEA is using the same information in this section as in its FY 2010 application. The SEA does not need to resubmit this section.**

**SEA has revised the information in this section for FY 2011. Updated information listed below.**

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 will conduct trainings with our Tier I and Tier II schools in early spring 2012. The purpose of these trainings will be to outline the SIG requirements, overview the four intervention models, and disseminate the draft application and scoring rubric.

The guidance that we provide to these Tier I and Tier II schools will clearly state 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.

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

North Dakota students take the state assessment in the fall of each year. North Dakota school districts will receive test results in February 2012. Once the AYP data is final and made public, the state Title I office will proceed with school and district identifications for improvement for the 2012-2013 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. At this workshop, schools will be 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 2011 SIG funding in

March 2012. 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 April 2012 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 2012 workshop. These applications will be reviewed and approved in June 2012.

**Table B: North Dakota Timeline**

| Process   | Date             |
|---|------------------|
| NDDPI submits 2011 SIG application to USDE  | February 2012    |
| NDDPI conducts training for Tier I and Tier II schools on ND LEA 2011 SIG application | March 2012       |
| NDDPI provides continued technical assistance for completing applications as needed   | March/April 2012 |
| LEA SIG applications (Tier I and Tier II) due to NDDPI                                | April 2012       |
| NDDPI reviews Tier I and Tier II applications   | April 2012       |
| NDDPI awards Tier I and Tier II grants  | April 30, 2012   |
| Tier I and Tier II schools begin pre-implementation period                            | May 2012         |
| NDDPI notifies LEAs about availability of Tier III applications                       | April/May 2012   |
| NDDPI provides training on completing SIG application for Tier III schools            | April/May 2012   |
| Tier III applications due to NDDPI  | June 2012        |
| NDDPI reviews and scores Tier III applications  | June 2012        |
| NDDPI awards Tier III grants  | June/July 2012   |
| Tier I, Tier II, and Tier III schools implement approved applications                 | July 1, 2012     |

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. All Tier I, II, and III schools funded will be awarded a one-year grant with the FY 2011 SIG funds. Tier I and Tier II schools funded will be approved for a three-year period with years two and three being funded with future SIG funding.

### **SECTION D (PARTS 2-8) DESCRIPTIVE INFORMATION:**

SEA is using the same information in this section as in its FY 2010 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2011. Updated information listed below.

(2)

In the spring of 2013, all approved Tier I and Tier II SIG grantees funded with 2011 SIG funds will be required to submit the following three documents to the NDDPI:

- *Annual Program Improvement Report* (SFN 52820) <http://www.dpi.state.nd.us/forms/sfn52820.pdf>
- *Follow-up Report for Additional Program Improvement Funding* (SFN 52822) <http://www.dpi.state.nd.us/forms/sfn52822.pdf>
- *Title I Continuation Application for Additional Program Improvement Funding for Tier I/Tier II Schools* (Appendix G)

The *Annual Program Improvement Report* will outline the progress that SIG grantees have made toward their goals and performance indicators, as well as provide information needed for the Consolidated Performance Report. The *Follow-up Report for Additional Program Improvement Funding* will monitor the fiscal expenditures of each SIG grant through a detailed paper review. The *Title I Continuation Application for Additional Program Improvement Funding for Tier I/Tier II Schools* will specifically review the progress that each Tier I and Tier II school has made toward the requirements outlined in the model that they selected to implement.

The NDDPI Title I unit consists of 14 staff members. There are nine program staff, four 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, in coordination with the state Title I director, will be responsible for reviewing all reports for the schools under their purview. The results of this review will determine the continuation of funds for the second year of the three-year cycle. In addition, if an LEA cannot demonstrate compliance with the required model components, progress toward goals, or if the NDDPI determines that the LEA has proven lack of capacity to implement the plan, the SIG funding will be terminated and the funds will be redistributed to other Tier I, II, and III schools.

The same process will be used to determine if Tier I and Tier II SIG grantees 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. All Tier I, II, and III schools funded will be awarded a one-year grant with the FY 2011 SIG funds. Tier I and Tier II schools funded will be approved for a three-year period with years two and three being funded with future

SIG 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. Funding for Tier III schools is determined on an annual basis. If funds remain in the spring/summer of 2012 after all Tier I and Tier II applications have been processed, then Tier III schools will be invited to submit an application for SIG funding. Tier III schools who elect to apply for SIG funding will have the option of applying for a one year SIG or a three year SIG.

In the spring/summer of 2013, Tier III schools approved for a one year SIG grant will need to submit three reports to the state Title I office:

- *Annual Program Improvement Report* (SFN 52820) <http://www.dpi.state.nd.us/forms/sfn52820.pdf>
- *Follow-up Report for Additional Program Improvement Funding* (SFN 52822) <http://www.dpi.state.nd.us/forms/sfn52822.pdf>
- Updated Program Improvement Plan

The review of these three documents will determine whether Tier III schools are eligible to submit a one year SIG application for the subsequent school year.

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.

NDDPI will provide Tier I, Tier II, and Tier III schools with the option to use NDMILE to write and implement a continuous improvement plan. The NDMILE is a web-based system for school improvement planning that is made up of 99 Key indicators at no cost to the schools. Each indicator is tied to researched best practices on how to effectively improve student achievement for all students, including English language learners, students with disabilities, and low-achieving students.

Through the plan approval process, the NDDPI will make sure the schools participating in NDMILE have selected indicators and are implementing interventions that are proven to help the student populations affected by the school's achievement gap(s). If the plan is found not to be effective during the improvement process, the Focus school must work with the State to make changes accordingly. Each focus school is assigned a state technical assistance provider. The focus school will be provided with a list of qualified external providers and Capacity Builders that the district/school can contract with for additional support. The DPI, in partnership with the Center on Innovation and Improvement (CII), developed a web-based system with state-identified key indicators. NDDPI works closely with CII on training, resources, tools, and areas of need. In order to keep up with the latest research, CII is continuously updating the research provided for the indicators. CII has also provided research to specific indicators that are aligned to RTI, ELL, and Special Education.

The benefits of focus schools to choose the NDMILE tool to write and implement a continuous improvement plan includes the following elements:

- web based online tool
- no cost
- research based indicators of effective practice
- state level support through technical assistance providers, coaching comments, and training

- meet multiple plan requirements using one planning process (Education Improvement Plan, Title I Schoolwide Plan, and Title I Program Improvement Plan)
- resources, tools, and reports built into the tool
- tracks progress
- continuous ongoing improvement plan that encourages and supports collaboration among school staff

NDMILE provides school improvement teams opportunities to inform, coach, sustain, track, and report improvement activities. NDMILE assists schools in determining where they are and helps them get to where they want to be—every child learning and every school improving. NDMILE offers multiple performance indicators of evidence-based practices at the school and classroom levels to improve student learning. The system accommodates rubrics for assessment of the indicators, assists in developing plans and tasks around the indicators, tracks dates, and lists those responsible for monitoring progress of the indicators. The NDMILE planning and coaching tool allows for flexibility to accommodate the reporting requirements for education improvement, such as accreditation, schoolwide and program improvement, through one report. NDMILE will guide improvement teams through a continuous cycle of assessment, planning, implementation, and progress tracking. The school focus will be clear, responsibilities assigned, and efforts synchronized.

Included in the NDMILE process are the following planning features:

**Technology** links each indicator to a succinct synthesis of the related research, examples, and resources.

**Coaching Comments** feature allows an external coach to offer feedback to the team. The system maintains a thread of the dialogue between the coach and the team, and the comments can be saved or printed as a report.

**Family Engagement Tool (FET)** is a five-step process by which the school team conducts a needs assessment of parent involvement, checks Title I compliance, and develops objectives for improvement. The system provides an extensive library of downloadable materials for parent involvement.

**Electronic Reporting**, provided with an administrative page, allows for convenient monitoring of each district and school's progress, and allows access to electronically submitted reports. Reporting may include electronic submission of required documents to meet federal and state requirements, such as education improvement plans for accreditation, schoolwide plans, program improvement plans and district professional development plans.

**Progress Tracking Report** displays progress for identified performance indicators assessed and the specific action plans.

**Built-in Documentation** mechanisms provide practical ways for creating agendas, recording minutes, assigning tasks, setting timelines, allocating resources, entering coaching comments, and monitoring the degree of implementation.

**Wise Ways®** is an online tool that provides easy access to current research aligned to each indicator.

### **NDMILE CAPACITY BUILDERS**

The NDMILE Capacity Builders assist schools in building the school's capacity so each NDMILE leadership team has the skills necessary to carry out the school improvement initiatives. The state contracted Capacity Builders:

- Assist schools/districts to improve student learning through the use of the NDMILE process.
- Work with schools/districts to foster leadership capacity.
- Assist schools in the completion of blended reporting systems for compliance.
- Assist schools with data analysis to identify areas of need.
- Collaborate with the school teams through the implementation and evaluation of NDMILE.
- Provide assistance through consultation, training, professional development, and technical assistance.
- Monitor progress through on-site visits.
- Provide timely and consistent feedback on implementation for monitoring and evaluation purposes through the use of coaching comments.

## **NDMILE TECHNICAL ASSISTANT PROVIDERS**

Each NDMILE school has a DPI contact person who offers technical assistance through the NDMILE process. To ensure success for schools, the DPI is committed to providing technical assistance and support for schools as they work through the steps of the process.

## **INDICATORS IN ACTION**

*Indicators in Action* is a professional learning resource produced by the Center on Innovation and Improvement. This resource provides an explanation of indicators of effective practices. Video clips of principals, teachers and teams show what the indicators of effective practices look like in a classroom setting when they are actually “in action”. This resource uses the NDMILE indicators in the video clips; however, the “Indicators in Action” would be an appropriate professional learning opportunity for faculty and team meetings or other workshops dealing with school improvement initiatives.

## **NDMILE WEBEX TRAINING SERIES**

A series of webinars is available for schools using the NDMILE. These sessions are designed as a review for schools on how to accomplish each of the six steps in the NDMILE.

Topics include:

- Registering the school, overview of the NDMILE and timelines
- Assessing indicators and using the Wise Ways<sup>®</sup>
- Resources, reports and documenting meeting agendas and minutes
- Developing plans and tasks that move schools forward
- Coaching comments and giving effective feedback
- Monitoring and reviewing school plans

Effectiveness can be monitored through the NDMILE indicators in the plan where tasks are created by the schools, progress is monitored by setting goals of tasks to be completed, and accountability is expressed by assigning responsibility to a staff member, target dates, and completion dates for each task. During the monitoring of the plan, the school must provide the experience, sustainability, and evidence as to how each indicator was fully implemented.

The NDDPI will also utilize the CII SIG Online Tool to monitor and evaluate progress for Tier I and Tier II schools accepting SIG funds. The success in North Dakota utilizing NDMILE and Native Star, makes it an obvious choice to adopt the SIG Online Tool. One of the most notable outcomes of using the Indistar system is the collaboration it naturally fosters.

### **The SEA . . .**

- Sets reporting dates and benchmarks for periodic monitoring
- Reviews the school transformation team’s
  - Meeting agendas and minutes
  - Progress with implementation indicators
  - Progress with school-specific interventions
  - Progress with leading and lagging indicators
- Enters reviewer comments on Progress Reports
- Data mines across all transformation schools in state
- Generates reports
- Captures information for project evaluation



**The LEA. . .**

- Designates internal partner (LEA staff) and/or external partner (Partner Organization staff) to coach school transformation teams
- Reviews the school transformation team's
  - Meeting agendas and minutes
  - Progress with implementation indicators
  - Progress with school-specific interventions
  - Progress with leading and lagging indicators
- Data mines across transformation schools in district
- Reviews Progress Reports before they are submitted
- Reviews SEA reviewer comments

**The School Team. . .**

- Documents and tracks progress (over 3-year grant period) toward
  - Implementation indicators
  - Leading indicators
  - Lagging indicators
- Plans transformation team meetings with agendas and minutes
- Assesses, plans, and tracks progress with implementation indicators
- Links to resources relative to each implementation indicator
- Generates a variety of reports
- Dialogues with coaches
- Electronically submits reports to SEA

As a requirement of receiving Tier I SIG funding, the indicators and reports listed below will be required. This information will be available on the Native Star/NDMILE dashboards.

- Transformation Implementation Indicators
- Interventions Annual Form by Federal Requirement
- Leading Indicators Annual Form
- Lagging Indicators Annual Form

The SIG Online Tool allows for display and reporting of Implementation Indicators within federal requirement categories

- Replace the Principal
- Turnaround Leadership
- Competencies
- Implement Strategies
- Implement Evaluation Systems
- Provide Incentives
- Reward or Remove Staff
- Instructional Programs
- Continuous Use of Data
- Professional Development
- Increased Learning Time
- Family and Community Engagement
- Operational Flexibility

- Technical Support

The SIG Online Tool will be able to generate key reports needed to document work completed in the tool.

- **Summary Report:** Provides a summary of transformation team activity, including number of meeting minutes and progress toward implementation indicators. This report is automatically generated and requires no new entry.
- **Comprehensive Plan Report:** Provides detailed tracking of progress with implementation indicators. This report is automatically generated and requires no new entry.
- **Leading Indicator Report:** Provides updates to progress with leading indicators.
- **Lagging Indicator Report:** Provides updates to progress with lagging indicators.
- **Interventions Report:** Includes a brief statement of progress for each implementation strand and reviewer comments which are then provided from the SEA to the school/LEA.

The SIG Online Tool also has the capacity to provide reviewer comments back to the school/LEA on the Monitoring Report. The SEA will determine the reporting dates for each submission, and the reports are submitted electronically for review by the LEA and SEA. While the SIG Online Tool captures a great deal of documentation for determining progress with implementation indicators, leading indicators, and lagging indicators, our monitoring and evaluation methods will also include additional oversight.

In the spring/summer of 2012, the NDDPI will begin using the CII SIG Online Tool if there are any Tier I or Tier II schools. The needs assessment, planning, monitoring, and evaluation design utilized in the CII SIG Online Tool addresses three categories of indicators: (1) implementation indicators; (2) leading indicators; and (3) lagging indicators. The implementation indicators parallel the federal requirements for the Transformation model which is the model utilized by North Dakota Tier I schools. The leading indicators (1) demonstrate signs of growth or change in a given direction that provide an early read on progress towards longer-term outcomes and (2) measure conditions that are prerequisite to the desired outcomes. The lagging indicators measure progress relative to student outcomes that are the desired ends for the interventions and for the SIG project.

The SIG Online Tool:

- Enables the SEA to set reporting dates and benchmarks for implementation indicators.
- Documents school transformation team meeting agendas and minutes.
- Provides for detailed planning and tracking of implementation indicators.
- Provides links to resources relative to each implementation indicator.
- Generates a variety of reports on implementation and leading indicators.
- Allows for coaching from a partner and/or, LEA liaison.
- Provides Monitoring Review forms with SEA review comments returned to the school and LEA.
- Includes data mining features that allow the SEA to scan data across its schools.

To assist SEAs in using this tool for formative and summative evaluation, CII has created several documents to guide verification of implementation levels. States can use this information for reporting implementation fidelity to USDE and as one source of data for SIG program evaluation.

Monitoring and oversight will be a crucial issue for the NDDPI. The CII SIG Online Tool will greatly assist us in meeting the federal requirements while at the same time facilitating improvement activities.

In addition, 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.

The NDDPI will also monitor each LEA that receives a SIG through the required submission and review of reports and school level achievement data. The NDDPI will annually monitor the fiscal expenditures of each SIG application through a detailed paper report. This report is called the *Follow-up Report for Additional Program Improvement Funding* (SFN 52822). All SIG grantees are also required to complete an *Annual Program Improvement Report* (SFN 52820) in which the district/school outlines progress made toward their goals and performance indicators. The two reports as well as the achievement data will clearly demonstrate whether or not the SIG grantees are meeting their goals and will be used to determine if continuous funding is approved.

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)

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.

In the event that any SIG funds are returned to the state during the school year, these funds will then be redistributed to additional Tier III schools. The funds would go to the school(s) with the next highest score. These would be schools that scored high enough on the rubric to be funded, but did not receive SIG funds initially because sufficient funds were not available to fund all eligible Tier III schools.

(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 indent to provide direct services to any school in the absence of a takeover.

## SECTION E: ASSURANCES

By checking this box and submitting this application, the SEA agrees to follow the assurances listed in its FY 2010 SIG application.

## SECTION F: SEA RESERVATION

SEA is using the same information in this section as in its FY 2010 application. The SEA does not need to resubmit this section.

SEA has revised the information in this section for FY 2011. Updated information listed below.

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. The NDDPI, state Title I office, has established a comprehensive statewide system of support that is in place to provide assistance to SIG schools as indicated in this section.

■ 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 SIG applications. The state department contracts with distinguished educators to review and score improvement plans and SIG applications. SEA SIG funds will be utilized to pay for these expenditures for SIG schools.

■ 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. SIG funds pay a small portion of salary for Title I staff to develop SIG resources and guidance for our website.

○ 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. All Title I state staff keep a daily time and effort log and are paid from various funding sources. Time that staff spend providing technical assistance to SIG schools will be coded to SIG administrative funds.

○ 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 several 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. The NDDPI sponsors several SIG WebEx presentations specifically designed to provide technical assistance and guidance to Tier I, Tier II, and Tier III schools. Numerous other trainings, via conference call or Interactive Video Network, are also offered each year to share and disseminate information statewide. Time that staff

spend providing technical assistance to SIG schools will be coded to SIG administrative funds.

- 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.

- NDSSOS

The NDDPI also provides a multitude of supports to all schools, no matter their designation as Title I or non-Title I. North Dakota has an established system titled the "North Dakota Statewide System of Support" (NDSSOS). This system supports schools and districts as they build their capacity to implement sustained and continuous school improvement strategies with fidelity. The ultimate goal is to improve teaching and learning so ALL North Dakota students can achieve their maximum potential as 21st century learners who are prepared to live and compete in a global world. The NDSSOS provides an overview of the North Dakota Department of Public Instruction's (DPI) available programs and resources to support district and school improvement in North Dakota.

The NDSSOS will assist to build capacity in districts and schools in the areas of leadership, curriculum and instruction, assessment, school climate and culture, and professional development/learning. The NDSSOS accomplishes this by supporting schools and districts in the following areas:

1. Focus on student achievement in all support efforts.
2. Provide resources and support to district and school leaders as they are the key to facilitating change and increasing student achievement.
3. Assist in developing a shared vision and make decisions that are collaborative and data driven with the leadership team and all staff.
4. Provide professional learning on varied instructional strategies that accommodate all learning styles and require students to use higher-order thinking skills in all classrooms.
5. Align the curriculum to the North Dakota Common Core Standards, mapped across grade spans to eliminate gaps and unnecessary repetitions, and be made available to all students.
6. Provide multiple assessments which are frequent, rigorous and aligned to the North Dakota Common Core Standards and the North Dakota Common Core Assessment.
7. Provide opportunities to ensure all assessment data are analyzed and used to inform instruction.
8. Maximize instructional time, organizational resources, and state and federal funds for improved student achievement as facilitated by leadership team.
9. Develop a planning process that engages representatives from all stakeholder groups, involves collecting and analyzing data, and is evaluated effectively.
10. Assist in providing a learning environment that is safe, orderly, and focused on high achievement for all types of diverse learners.
11. Engage families and communities as active partners in student learning and ensure all students come to school ready to learn.
12. Provide faculty and staff with ongoing and job-embedded professional development that is aligned with

a comprehensive needs assessment.

13. Align data with identified needs, measurable goals, and allocation of funding (activities).

14. Implement research-based best practices.

The NDSSOS uses a model of delivery built around a framework designed to build capacity of districts and schools in their effort to meet the overall goal of increased student achievement. This includes outlining departmental supports provided in the areas of leadership, curriculum and instruction, assessment, school climate and culture, and professional development/learning, and incorporates the foundations of all schools improvement efforts. The NDSSOS manual provides a summary of the current efforts DPI has in place to support districts and schools throughout the state. The DPI strives for inclusion and implementation of evidence and research-based best practices that support student achievement in North Dakota districts and schools.

■ Title I School Support Team/SSOS Consultant 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 as they work extensively with SIG schools.

■ 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 SIG schools participating in the NDMILE.

■ CII SIG Online Tool

As indicated in Section D, the NDDPI will begin using the CII SIG Online Tool to monitor Tier I and Tier II SIG grantees. Expenditures associated with this tool will be charged to SIG administrative funds.

**SECTION G: CONSULTATION WITH STAKEHOLDERS**

By checking this box, the SEA assures that it has consulted with its Committee of Practitioners regarding the information set forth in its application.



**SECTION 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** 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**

**Note: An SEA that requested and received the Tier II waiver for its FY 2010 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.**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2011 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.

**Waiver 2: n-size waiver**

**Note: An SEA that requested and received the n-size waiver for its FY 2010 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.**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2011 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.

**Waiver 3: New list waiver**

Because the State does not elect 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 2010 competition.

## **WAIVERS OF LEA REQUIREMENTS**

**Enter State Name Here** 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**

**Note: An SEA that requested and received the school improvement timeline waiver for the FY 2010 competition and wishes to also receive the waiver for the FY 2011 competition must request the waiver again in this application.**

**Schools that started implementation of a turnaround or restart model in the 2010-2011 or 2011-2012 school years cannot request this waiver to "start over" their school improvement timeline again.**

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 2012–2013 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.

### **Waiver 5: Schoolwide program waiver**

**Note: An SEA that requested and received the schoolwide program waiver for the FY 2010 competition and wishes to also receive the waiver for the FY 2011 competition must request the waiver again in this application.**

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.

## **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 APPLICATION

An SEA must develop an LEA application form that it will use to make subgrants of school improvement funds to eligible LEAs.

### LEA APPLICATION

SEA is using the same FY 2010 LEA application form for FY 2011.

The SEA does not need to resubmit the LEA application.

SEA has revised its LEA application form for FY 2011.

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

The LEA application form that the SEA uses 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.

#### 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<br>NAME | NCES<br>ID # | TIER<br>I | TIER<br>II | TIER<br>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

### REQUIRED INFORMATION FOR REVISED SEA APPLICATION SECTIONS

#### **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.

**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:

(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 2012–2013 school year. For a full description of pre-implementation, please refer to section J of the SIG Guidance.

**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.

**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.



## 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.

## 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>3</sup> | Title I eligible <sup>4</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>5</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>3</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>4</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>5</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.