

School Improvement Grants

New Awards Application

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

Fiscal Year 2011

CFDA Number: 84.377A

State Name: Delaware - Revised February 2012



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

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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

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.

APPLICATION COVER SHEET
SCHOOL IMPROVEMENT GRANTS

Legal Name of Applicant: Delaware Department of Education	Applicant's Mailing Address: 401 Federal Street, Suite #2 Dover, DE 19901
State Contact for the School Improvement Grant Name: Theresa Vendrzyk Kough Position and Office: Director, Career, Technical and Title I Resources Contact's Mailing Address: 35 Commerce Way, Suite #1 Dover, DE 19904 Telephone: 302-857-3320 Fax: 302-739-1780 Email address: tkough@doe.k12.de.us	
Chief State School Officer (Printed Name): Lillian M. Lowery	Telephone: 302-735-4000
Signature of the Chief State School Officer: X /s/Lillian M. Lowery	Date: 1/9/2012
The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.	

FY 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.

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

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.¹ 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.

See Attachment A for a copy of our new list.

See Attachment C for Delaware’s new PLC definition.

¹ 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.

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 ²

EXAMPLE:

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
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).

Delaware has renewed all 1003(g) SIG grant awards.

LEA NAME	SCHOOL NAME	DESCRIPTION OF HOW REMAINING FUNDS WERE OR WILL BE USED	AMOUNT OF REMAINING FUNDS

² “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.

TOTAL AMOUNT OF REMAINING FUNDS:			

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.

N/A

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.

N/A

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.

N/A

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

Timeline for LEA applications:

August 2011 – Final school-level AYP determinations

September 2011– determine Tier I, Tier II, and Tier III school lists and identify Partnership Zone Schools

September through December – Partnership Zone schools determine intervention model and establish an MOU per state regulation 103; non-Partnership Zone schools select intervention model in collaboration with staff, parents and community members

March 5, or within one month of US Ed approval of SEA plan – open SIG grant to eligible LEAs

By March 30, or within 30 days of grant opening to LEAs – final submission date for all LEA applications

By April 13, or within 10 business days of grant closing date – all DDOE reviews completed, all LEAs notified of any minor revisions needed, approved applications forwarded for Associate Secretary and Secretary Review, unfunded applications notified

By April 27, or within 10 business days of SEA grant review – all resubmissions due

By May 2, or within 3 business days of LEA resubmission – final DDOE re-reviews completed, approved applications forwarded for Associate Secretary and Secretary Review

By May 7, or within 3 business days of program manager approval, the Associate Secretary and Secretary will sign grants.

By May 22, or within 3 weeks of Secretary approval, Delaware will make its final grant awards.

Once the state application for 1003(g) is approved, eligible LEAs will be notified that the LEA application is open. The SIG application process is:

1. LEAs will have 30 days to submit their applications to DDOE using the web-based Education Success Planning and Evaluation System.
2. The DDOE application SIG review team will receive electronic notification immediately when each grant is submitted.
3. The DDOE SIG review team will then review each application and enter comments within 10 business days of submission.
4. DDOE review team members will sign off on all grants that are approvable.
5. If an application is not substantially approvable, meaning it would require major revisions in order to be funded or that the application is incomplete, that application will not be funded.
6. If an application is substantially approvable but requires minor revisions to be fully approved, it will be set to revise status within 1 business day and LEA personnel will receive an automatic electronic notification.
 - a. The LEA will have 10 business days to revise the application in light of reviewer comments and resubmit.
 - b. DDOE will also provide the LEA with technical assistance, as necessary and as requested, during the revision timeline.
 - c. The DDOE SIG review team will review each revised submission within 3 business days.
 - d. Subsequent revisions, if necessary, will repeat until such time as the application is fully approvable. For subsequent revision, LEAs will be required to revise and resubmit the application within 3 business days.
7. Once an application is approved by all review team members, the Associate Secretary for College and Career Readiness and the Secretary of Education will review and sign the grant. Should either the Associate Secretary or Secretary not approve the grant, he or she will contact the Director of Career, Technical and Title I Resources and explain the rationale denying approval. The director will then enter additional comments in the LEA application and the process will revert back to step 6 above.
8. Once the Secretary has signed the grant, financial processing will begin. All funds will be loaded to the LEA and the LEA will be notified of the grant award within 5 business days of the Secretary's approval.

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.

The state's revision to this section is in blue text below. The section below highlighted in blue simply updates the status of our first cohort of Partnership Zone schools and the status of our new cohort of Partnership Zone schools. The Partnership Zone process (including the required MOU) has not changed since our FY 2010 application was approved. The MOU requirements were outlined in Section C of Delaware's approved FY 2010 application.

Part 2

The Turnaround Unit and Title I Office will be responsible for monitoring performance in all SIG LEAs and schools, including those within the Partnership Zone. Each LEA will be required to enter a minimum of 3 progress updates for each formative measure under the LEA Success Plan SIG Goal(s) during the first three quarters of the grant period. (Progress updates are entered into the web-based LEA Success Plan.) The summative progress update for each summative measure under the SIG Goal(s) must be entered within one month of the end of the grant period or within one month of data becoming available from the state assessment.

All LEAs are required to provide formative and summative updates online within the Success Plan. First, the LEA/school enters performance data as compared to each measure and target set. Next, the LEA/school indicates the level of progress toward the target. Finally the LEA/school describes their level of progress and rationale for why they did or did not meet their target. Rationale must include supporting evidence.

Designated Turnaround Unit and Title I Office personnel will receive an automatic email when progress updates are submitted, which alerts them to review each submission. Turnaround Unit and Title I Office personnel will then contact LEA/school staff with any concerns or offers of technical assistance.

LEAs that do not show reasonable progress will receive regular feedback from the Turnaround Unit and Title I Office (quarterly review of formative progress and annual review of summative progress). The Turnaround Unit and Title I Office will be responsible for providing timely technical assistance to LEAs and for making determinations for non-renewal. Non-renewal decisions will be based on 1) consistent lack of progress across all formative and summative measures and 2) lack of LEA response to recommendations and/or technical assistance from the Turnaround Unit and Title I Office.

For Partnership Zone schools, state regulation requires that if, after two years of operations, a school has not made AYP, the MOU process will be repeated. The school will again have the opportunity to pursue further reform, secure additional flexibilities in staffing and operations, and, if necessary, narrow the set of options further to exclude the failed option.

Part 3

The Turnaround Unit and Title I Office will be responsible for monitoring performance in all SIG LEAs and schools, including Tier III schools funded through SIG. Each LEA will be required to enter a minimum of 3 progress updates for each formative measure under the LEA Success Plan SIG Goal(s) during the first three quarters of the grant period. (Progress updates are entered into the web-based LEA Success Plan.) The summative progress update for each summative measure under the SIG Goal(s) must be entered within one month of the end of the grant period or within one month of data becoming available from the state assessment.

Part 4

The Turnaround Unit and Title I Office will be responsible for monitoring performance in all SIG LEAs and schools, including Tier III schools funded through SIG.

The Turnaround Unit and Title I Office will monitor SIG schools to ensure they are making significant progress and are on track to achieve adequate yearly progress (AYP) in the following ways:

- Monitoring LEA progress updates for each formative measure under the LEA Success Plan SIG Goal(s) and ensuring progress is being made (at least quarterly).
- Monitoring summative progress updates for each summative measure under the SIG Goal(s) to ensure student achievement targets are being met (annually).
- Monitoring LEA progress on SIG project management plans (at least quarterly).
- Monitoring LEA expenditures (at least quarterly).

LEAs are required to submit at least 3 formative and 1 summative progress update; however, they may submit up to 12 formative updates a year. The Turnaround Unit and Title I Office will therefore monitor each award at a minimum of 4 times a year (quarterly) and up to 12 times a year (monthly).

The Turnaround Unit and Title I Office will also have access to monitor LEA expenditures on a monthly basis, but will monitor expenditures no less than quarterly (once every 3 months). It is anticipated that the Turnaround Unit and Title I Office will monitor expenditures monthly.

Part 5

SIG awards will be granted statewide in the following priority order:

1. State Partnership Zone schools that are in SIG Tier I and II (beginning 2011-2012)
2. Other SIG Tier I and II schools as follows:
 1. Rank remaining (non-Partnership Zone) Tier I schools from lowest to highest achieving in most recent test administration
 2. Determine LEA demonstrated capacity for Tier I applications within the state allocation
 3. Fund LEA applications in rank order, lowest achieving to highest, where LEA applications demonstrate capacity for full model implementation
 4. Rank remaining (non-Partnership Zone) Tier II schools from lowest to highest achieving in most recent test administration
 5. Determine LEA demonstrated capacity for Tier I applications within the state allocation
 6. Fund LEA applications in rank order, lowest achieving to highest, where LEA applications demonstrate capacity for full model implementation
3. Tier III schools - only where Tier I and/or Tier II schools are already being funded and where Tier III schools choose to implement one of the four SIG models
4. Tier III schools - only where Tier I and/or Tier II schools are already being funded or in LEAs where there are not Tier I or II schools that choose *not* to implement one of the four SIG models

Part 6

Tier III schools will be prioritized in two ways:

1. LEAs that serve both Tier I and/or Tier II schools and Tier III schools will have first priority to apply for funds supporting Tier III schools (LEAs with only Tier III schools will only be eligible once all Tier I and Tier II schools are funded)
2. LEAs that choose to implement one of the four models required for Tier I and Tier II in their Tier III schools will receive priority over applications from LEAs that choose other supports for Tier III schools.

Part 7

The SEA does not intend to take over any schools.

Part 8

The Turnaround Unit and Title I Office will provide a range of supports to LEAs as they turn around lowest-achieving schools, from identification as a Persistently Low Achieving School, to potential identification as a Partnership Zone school, to the planning process, to recruitment of leaders and staff, and finally, to the launch and operations of the turnaround school. Supports will include providing access to turnaround experts and mentors, providing help with recruiting operational partners, and identifying and disseminating best practices. The State has established a partnership with US Education Delivery Institute to support its turnaround efforts. LEAs that choose to convert schools to a charter school to be authorized by the SEA, not LEA, will be supported by both the Turnaround Unit and Title I Office and the Charter School Office. Supports would include, but not be limited to, training to charter school staff regarding state and federal operating requirements such as financial management, data management and reporting, program requirements, curricula alignment, Success Planning, grant application processes, and charter school program requirements.

The Turnaround Unit and Title I Office will also provide targeted support for Partnership Zone schools as delineated in the MOU. Types of assistance will vary depending on the intervention model chosen, specific LEA and school needs, and MOU contents.

The State identified four Tier I schools in three different LEAs for the first cohort of the Partnership Zone (Glasgow HS, Stubbs ES, Positive Outcomes Charter School, and Howard HS). Those LEAs are currently implementing year one of their partnership zone plans. This fall, the state identified six additional schools for the second cohort of the Partnership Zone, four from Tier I schools in two different LEAs (Bancroft ES, Lewis Dual ES, Marbrook ES and Stanton MS) and two from Tier 2 schools in two different LEAs (Dover HS and Laurel MS). The four LEAs are currently in the planning and MOU process. Final plans and MOUs will be approved in February 2012.

The state is also working with local foundations, non-profits, and the Mid-Atlantic Equity Center to provide all persistently low achieving schools information about high quality providers. These opportunities include:

- School visits to showcase various providers including, but not limited to, New Tech High School, Big Picture High School, Early College High School.
- The Mid-Atlantic Comprehensive Center has developed a compendium of research-based EMO and CMO models. This information will be shared with eligible applicants.

Workshop with the National Institute for Time and Learning. They came to Delaware to assist the LEAs and the Charters examine their current instructional time, provided tools to do an extensive audit of time, and presented various samples of how other learning communities have increased instructional time anywhere from 15% to 25%.

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.

N/A

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 Delaware 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]** 30.

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 Delaware 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.

See Attachment B for a copy of the Public 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 NAME	NCES ID #	TIER I	TIER II	TIER III	INTERVENTION (TIER I AND II ONLY)			
					turnaround	restart	closure	transformation

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

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

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

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

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

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

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

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

Example:

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

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 period² 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.*)

² "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.³

³ 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.

SEA activities carried out through the state-level reservation funds will include:

- Title I Team costs to provide pre-application workshops including LEA plan and application self-assessment rubric training
- Turnaround Unit and Title I Office costs to provide post-award individualized technical assistance to LEAs
- Turnaround Unit and Title I Office costs to carry out SIG monitoring, evaluation, and reporting duties

APPENDIX B

	Schools an SEA MUST identify in each tier	Newly eligible schools an SEA MAY identify in each tier
Tier I	Schools that meet the criteria in paragraph (a)(1) in the definition of “persistently lowest-achieving schools.” ³	Title I eligible ⁴ 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"> • in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two consecutive years.
Tier II	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"> • in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two consecutive years.
Tier III	Title I schools in improvement, corrective action, or restructuring that are not in Tier I. ⁵	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"> • in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two years.

³ “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.

⁴ 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).

⁵ 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.