

# 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: Indiana**



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

OMB Number: 1810-0682  
Expiration Date: September 30, 2014

### Paperwork Burden Statement

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

## SCHOOL IMPROVEMENT GRANTS

### **Purpose of the Program**

School Improvement Grants (SIG), authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants to State educational agencies (SEAs) that SEAs use to make competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. Under the final requirements published in the *Federal Register* on October 28, 2010 (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>), school improvement funds are to be focused on each State's "Tier I" and "Tier II" schools. Tier I schools are the lowest-achieving 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

Legal Name of Applicant: Indiana Department of Education	Applicant's Mailing Address: 151 W. Ohio Street Indianapolis IN 46204
State Contact for the School Improvement Grant Name: Laura Cope Position and Office: Assistant Director of School Improvement and Turnaround Contact's Mailing Address: 151 West Ohio Street, Indianapolis IN 46204  Telephone: 317-233-9589 Fax: 317-232-0744 Email address: lcope@doe.in.gov	
Chief State School Officer (Printed Name): Dr. Tony Bennett	Telephone: 317-233-6665
Signature of the Chief State School Officer: 	Date: 6/28/2012
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.

<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> <input checked="" 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 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 checked="" type="checkbox"/> Same as FY 2010	<input type="checkbox"/> Revised for FY 2011
<b>SECTION E: ASSURANCES</b>	<input checked="" type="checkbox"/> Assurances provided	
<b>SECTION F: SEA RESERVATION</b>	<input checked="" type="checkbox"/> Same as FY 2010	<input 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"/> Definition of “persistently lowest-achieving schools” (PLA schools) is same as FY 2010	<input 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 checked="" 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 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.<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:**

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).

LEA NAME	SCHOOL NAME	DESCRIPTION OF HOW REMAINING FUNDS WERE OR WILL BE USED	AMOUNT OF REMAINING FUNDS
N/A			
<b>TOTAL AMOUNT OF REMAINING FUNDS:</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.

<b>SECTION B: EVALUATION CRITERIA</b>	
<input checked="" type="checkbox"/> SEA is using the same information in this section as in its FY 2010 application. The SEA does not need to resubmit this section.	<input type="checkbox"/> SEA has revised the information in this section for FY 2011. Updated information listed below.
N/A	

<b>SECTION B-1: ADDITIONAL EVALUATION CRITERIA FOR PRE-IMPLEMENTATION</b>	
<input checked="" type="checkbox"/> SEA is using the same information in this section as in its FY 2010 application. The SEA does not need to resubmit this section.	<input type="checkbox"/> SEA has revised the information in this section for FY 2011. Updated information listed below.
N/A	

<b>SECTION C: CAPACITY</b>	
<input checked="" type="checkbox"/> SEA is using the same information in this section as in its FY 2010 application. The SEA does not need to resubmit this section.	<input type="checkbox"/> SEA has revised the information in this section for FY 2011. Updated information listed below.
N/A	

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

Process	Date
IDOE submits initial application to USDOE	January 2012
IDOE receives comments from USDOE	January 2012
IDOE revises application and sends to USDOE	January 2012
Within 1-3 days of approval, IDOE posts the Tier I and Tier II application on its web site and sends letters to superintendents	February 2012
IDOE provides webinar to all LEAs explaining SIG process; webinar is made available on IDOE web site	February 2012
LEA SIG applications due to IDOE	March 2012
IDOE reviews Tier I and Tier II applications for Cohort III	March 2012
IDOE provides technical assistance for revising applications as needed	March 2012
IDOE notifies LEAs about availability of Tier III applications	March 2012
IDOE awards 3-year grants to Tier I and II For Cohort III	April 2012
IDOE reviews and scores Tier III applications	April 2012
Tier I and II begin implementing approved reform models	April 2012
IDOE awards Tier III grants for Cohort III	May 2012

**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

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

not need to resubmit this section.

N/A

**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 Indiana 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** Indiana 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	
<input checked="" type="checkbox"/> SEA is using the same FY 2010 LEA application form for FY 2011.  The SEA does not need to resubmit the LEA application.	<input type="checkbox"/> 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			
<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

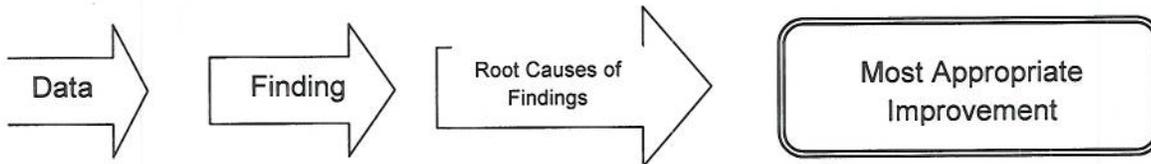
#### **B. EVALUATION CRITERIA:**

**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.

The LEA will enter into a four step process (Figure 1) that will ultimately lead the LEA to an informed decision as to the appropriate intervention model for its SIG schools. For each step, IDOE will examine the LEA's application, respond, and provide support as needed. To assist the LEA, IDOE has developed the two worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" (Appendix B), which LEAs are required to use and will submit with their applications. The purpose of the tool is to assist the LEA in determining data-based findings in key areas, which in turn, will lead to data-based decisions with regard to the selection of the most appropriate intervention model.

Figure 1: Use of Data, Findings and Root Cause Analysis to Lead to Selection of an Appropriate Intervention Model



*Step 1: Compilation of Data.* The first step for the LEA is to obtain and analyze student and school data to determine the needs of the school. This is a critical step in the LEA's later determination of the appropriate intervention model for that particular school. The LEA is required to use multiple data sources available through the district office. As mentioned earlier, two worksheets will support the LEA in recording and examining the data.

The first worksheet is "Analysis of Student and School Data" (Appendix B) with Section A of the tool including student achievement data and Section B containing the student leading indicators; both are the reporting metrics that the Secretary of the U.S. Department of Education will later require the LEAs to submit. The data required in the application through the tool in Section A and B are the following:

*Worksheet 1: Student Achievement Data – Adequately Yearly Progress (AYP)*

- By student groups: American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient, and Special Education
- For content areas mathematics and English/language arts
- Percentage of students within the student group not meeting AYP
- Number of students within the student group not meeting AYP
- Determination of the severity of the group's finding
- Determination of the unique learning needs of the group
- Several key findings or summaries from the student achievement data

*Worksheet 1: Section B: Student Leading Indicators for 20010-20011 and 2011-2012*

- Number of minutes within the school year that students are to attend school
- Dropout rate
- Student attendance rate
- Number and percent of students completing advanced coursework, early-college high schools or dual enrollment classes
- Discipline incidents
- Truants
- Distribution of teachers by performance level on LEA's teacher evaluation system
- Teacher attendance rate
- Several key findings or summaries from the student leading indicators

The second worksheet is the "Self-Assessment of Practices of High-Poverty, High-Performing Schools," which represents IDOE Title I's Theory of Action (Appendix C). IDOE Title I developed this theory four years ago to determine its approach to assist schools and districts in improvement status under NCLB. A thorough review of the literature determined a clear set of actions consistently implemented by high-poverty schools as they transitioned to becoming high-performing. All of the policies and supports for Title I districts and schools in improvement status are aligned to this theory. The LEA will examine the school's eight competencies through Worksheet #2.

*Worksheet #2: Self-Assessment - Practices of Effective Schools*

- Principal and Leadership
- Instruction
- Curriculum
- Data - Formative Assessments
- Professional Development
- Parents, Family, Community
- Vision, Mission, Goals
- Cultural Competency

*Step 2: Development of Findings.* After each of the three sections has been completed in the two worksheets, the LEA is required to determine a set of findings from the data. Examples of findings are provided in the LEA application and the instructions describe that the findings are based on facts, not on hunches, assumptions or guesses. The samples provided should allow the LEAs to be successful in this step. If not, the SEA will assist the LEA through a webinar or through individual phone calls on the process of determining findings.

*Step 3: Determination of Root Causes.* In this step, the LEAs are provided with a short explanation of root cause analysis in their application and again examples are provided. The directions encourage the LEAs to explore all inputs surrounding the students (e.g., school, home, and community) and to avoid placing blame on students as the cause of their poor performance, but rather to dig deeper to determine underlying reasons. If the LEA's responses to root causes are inappropriate or simply at the surface level, IDOE staff will assist the LEA

in understanding and implementing this step through webinars and/or individual assistance through telephone calls.

*Step 4: Selection of the Most Appropriate Intervention Model.* Based on the data, the findings, and the root cause analysis, the LEA is asked to review the elements of the intervention models and determine which would be the “best fit” for the school, that is, which model would have the greatest likelihood of increasing student achievement. IDOE provides a description of all the elements of each model “Elements of Intervention/Improvement Models” (Appendix D).

Once that selection is made, the LEA must examine its own ability or capacity to implement the model and then reevaluate its original decision. For example, if a rural LEA selects the Restart Model for the school but upon examination cannot find educational management organizations that are willing to serve in the rural area then another intervention model may need to be selected.

In the application, the LEA must provide an explanation or rationale for its decision for the selected model. Upon reviewing the application if IDOE finds the selection of the model to not be based on the data, findings, root causes or LEA capacity, then IDOE staff will conduct discussions with and provide support to ensure that the LEA makes an informed decision based on the needs of the students. IDOE will also utilize the resources and support, as needed, from its regional comprehensive assistance center (Great Lakes East) and its connections with the Center for Instruction and Improvement.

*IDOE’s Evaluation Rubric:* The following rubric will be used by IDOE staff to evaluate the LEA’s analysis of school needs and the selection of an appropriate intervention.

<b>(1) The LEA has analyzed the needs of each school and has selected an intervention for each one.</b>		
<b>Not Adequately Demonstrated</b>	<b>Basic - Requires Revision 1-10 points</b>	<b>Proficient* 11-20 points</b>
<ul style="list-style-type: none"> <li>• <i>No</i> completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• <i>Little to none</i> of the required data sources have been provided and/or the analysis (findings) is lacking or minimal</li> <li>• <i>Little or no</i> use of root cause analysis and/or causes are illogical and not based on data</li> <li>• The alignment of the school and its needs and the improvement model chosen is <i>lacking or minimal</i>.</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Some</i> completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• <i>Some</i> of the required data sources have been provided</li> <li>• <i>Some</i> of the analysis (findings) from the data and the root cause analysis is accurate</li> <li>• A <i>general</i> alignment between the needs of the school and the model chosen is has been demonstrated</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Full</i> completion of worksheets, “Analysis of Student and School Data” and “Self-Assessment of Practices of High-Poverty, High-Performing Schools”</li> <li>• <i>All</i> of the required data sources have been provided</li> <li>• <i>All</i> of the analysis (findings) from the data and the root cause analysis are logical</li> <li>• The alignment between the needs of the school and the model chosen is <i>specifically and conclusively</i> demonstrated as appropriate.</li> </ul>

\*A proficient score is needed for approval.

- (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.

IDOE will require the LEA to submit a budget for each school identified in its application to demonstrate its capacity to use the funding to provide adequate resources and supports to each Tier I and II school (see Appendices G and H). In the application, the LEA will demonstrate its financial ability, given the amount requested for the school improvement grant, to implement all required elements of the selected model, as listed below:

- Staff has been identified with the credentials and capability to implement selected intervention model successfully.
- The ability of the LEA to serve the overall number of Tier I and/or Tier II schools identified in the application has been addressed.
- A commitment to support the selected intervention model has been indicated by the teachers' union, the school board, and other stakeholders (staff, parents, community)
- A detailed and realistic timeline to implement the selected model during in the 2012-2013 school year.
- The ability to conduct a needs assessment with a root cause analysis prior to the selection of the model.
- The plan for recruiting new principals with the credentials and capability to implement the model has been described. (Transformation, Turnaround)
- The ability of the LEA to successfully align federal, state, and local funding sources with grant activities and to ensure sustainability of the reform measures.
- A thorough description of adding extended learning time has been included in the application. (Turnaround, Restart, Transformation)
- A governance structure is described, including LEA staff and their credentials, who will be responsible for taking an active role in the day-to-day management of turnaround efforts at the school level and coordinating with IDOE. (Turnaround, Restart, Transformation)
- The availability of charter management organizations (CMOs) and educational management organizations (EMOs) appropriate to the needs of the school to serve that could be enlisted has been described. (Restart)
- Access to and geographic proximity of higher achieving schools, including but not limited to, charter schools or new schools for which achievement data are not yet available. (School Closure)

*IDOE's Evaluation of LEA Commitment related to the Budget:* The SEA will evaluate the LEA's capacity to use school improvement funds to provide adequate resources in multiple areas of the application. Those areas include: (a) the two worksheets, (b) LEA Tier I and II Application, Attachment C, Scoring Rubric, (c) LEA Tier III Application, Attachment A, and (d) LEA Tier I and II Application: description of tasks to implement model's elements.

- (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).

IDOE will require the LEA to submit a budget for each Tier I and Tier II school identified in its application followed by the announcement of availability of Tier III funding if they exist. IDOE is committed to serving eligible Tier I and Tier II schools first. Districts serving only Tier III schools may receive less than the maximum amount that IDOE may award to an LEA for each participating Title I school, based on the state's allocation and the number of districts awarded under Tier I and II. Each Tier III school funded will receive at least \$50,000 per year as required. The allocations for each school depends on the intervention model selected. In the school application, the LEA will be asked to provide details in respect to each element of the model to be implemented. Additionally, the LEA will describe how it will align SIG monies with other funding sources. IDOE will determine if sufficient funds have been budgeted to fully and effectively implement the selected intervention model and other grant requirements, and determine if the funding is likely to lead to improved teacher instruction, principal leadership and student achievement.

- The intervention model selected for each Tier I and II school provides the details in the school application to fully and effectively implement each element as outlined in the final requirements.
- The budget request for each Tier I and II school must be of sufficient size and scope to support full and effective implementation of the selected intervention over a period of three years.
- The budget must be planned at a minimum of \$50,000 and not exceed 2 million dollars per year per school.
- The SIG portion of school closure costs may be lower than the amount required for the other three models and will be granted for only one year.
- The LEA may request funding for LEA-level activities that will support the implementation of school intervention models in Tier I and II schools and school improvement activities for Tier III schools and the school or LEA level for identified schools only.
- Projected budgets meet the requirements of reasonable, allocable and necessary.
- A clear alignment to the goals and interventions correlates to the request for funding.

*IDOE's Evaluation Checklist:* The following checklist will be used by IDOE staff to determine the LEA's adequate development of a budget for each school implementing a model. A comment column is provided for IDOE staff to discuss with the LEA.

Criteria	Yes	No
		IDOE Staff Comments
1. A budget is included for each Tier I and II school.		
2. The budget includes attention to each element of the selected intervention.		
3. The budget for each school is sufficient and appropriate to support full and effective implementation of the selected intervention over a period of three years.		

4. Projected budgets meet the requirements of reasonable, allocable and necessary.		
5. A clear alignment to the goals and interventions correlates to the request for funding.		
6. The budget is planned at a minimum of \$50,000 and does not exceed 2 million dollars per year per school.		
7. <i>School closure only:</i> The SIG portion of school closure costs may be lower than the amount required for the other three models and will be granted for only one year.		

**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.
  - a) IDOE staff will hold a Webinar and describe the changes in SIG from previous years and. The webinar will be held once the SEA application is approved and introduced the four intervention model as well as explain the LEA application process and provide accompanying materials.
  - b) IDOE will evaluate an LEA's application for Tier I and Tier II schools using a rubric to ensure that it includes (1) all elements of the selected intervention model, (2) logical and comprehensive steps of implementation to ensure fidelity of the model, (3) an aggressive timeline to allow for the model's elements to be implemented during the 2012-2013 school year, (4) description of LEA staff with the expertise and experience to research, design and implement the selected intervention model, and (5)

a plan to regularly engage the school community to inform them of progress and seek input. Tier III schools will be evaluated according to the degree to which the selected activities align with the school's strategic plan goals.

*SEA Determination of LEA Commitment:* The following rubric will be used by IDOE staff to evaluate an LEA application as to its plan to design and implement interventions consistent with the final requirements.

<b>1. Design and implement interventions consistent with the final requirements.</b>		
<b>Not Adequately Demonstrated</b>	<b>Basic - Requires Revision 1-10 points</b>	<b>Proficient* 11-20 points</b>
<ul style="list-style-type: none"> <li>○ <i>None</i> of the elements of the selected intervention model are described.</li> <li>○ The descriptions of how the elements will be or have been implemented are <i>not included</i>.</li> <li>○ The timeline demonstrates that <i>none</i> of the model's elements are or will be implemented at the beginning of the 2010-2011 school year.</li> <li>○ LEA staff has <i>no</i> expertise or successful experience in researching, designing or implementing the selected intervention model or other reform models.</li> <li>○ <i>No or little</i> engagement has occurred with the school community.</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>Some</i> of the elements of the selected intervention model are described.</li> <li>○ The descriptions of how <i>some</i> elements will be or have been implemented are <i>not</i> detailed and/or steps or processes are <i>missing</i>.</li> <li>○ The timeline demonstrates that <i>some</i> of the model's elements are or will be implemented at the beginning of the 2010-2011 school year.</li> <li>○ LEA staff has <i>some</i> expertise and successful experience in researching, designing, and implementing the selected model or other school reform models.</li> <li>○ <i>Some</i> of the school community has been engaged in the progress and in providing input.</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>All</i> the elements of the selected intervention model are included.</li> <li>○ The descriptions of how <i>all</i> of the elements will be or have been implemented are specific, logical and comprehensive.</li> <li>○ The timeline demonstrates that <i>all</i> of the model's elements will be implemented during the 2010-2011 school year.</li> <li>○ LEA staff has <i>high</i> levels of expertise and successful experience in researching, designing, and implementing the selected intervention model.</li> <li>○ The school community has been purposefully engaged <i>multiple</i> times to inform them of progress and seek their input.</li> </ul>

\*A proficient score is needed for approval.

- (2) Recruit, screen, and select external providers, if applicable, to ensure their quality.
- (a) The LEA will develop a timely and systematic process for (1) determining the existence of quality external providers that are willing and able to serve in its area of the state and (2) will include parents and community members.
- (b) The LEA will develop criteria for selecting the providers and utilize it in determining the past effectiveness of the provider in implementing the intervention model, especially as related to the student population of the school and/or the type of school.
- (c) The LEA will develop and submit a copy of the contract with the provider clearly indicating the roles and responsibilities of the provider, how the LEA will support the provider, and any consequences

should the provider not meet its obligations including but not limited to increasing student achievement.

*SEA Determination of LEA Commitment:* The following rubric will be used by IDOE to evaluate the LEA application to recruit, screen, select, and support external providers.

<b>2. The LEA has or will recruit, screen, select and support appropriate external providers.</b>		
<b>Not Adequately Demonstrated</b>	<b>Basic - Requires Revision 1-10 points</b>	<b>Proficient* 11-20 points</b>
<ul style="list-style-type: none"> <li>○ <i>No plan</i> exists to identify external providers.</li> <li>○ Available providers have <i>not been investigated</i> as to their track record.</li> <li>○ Parents and the community have <i>not been involved</i> in the selection process.</li> <li>○ The provider <i>does not have</i> a track record of success.</li> <li>○ The roles and responsibilities of the LEA and the provider <i>are not defined</i> in the contract.</li> <li>○ The LEA <i>does not indicate</i> that it will hold the provider accountable to high performance standards.</li> <li>○ The capacity of the external provider to serve the school is <i>not described</i> or the capacity is <i>poor</i>.</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>Some</i> of the elements of the selected intervention model are described.</li> <li>○ The descriptions of how <i>some</i> elements will be or have been implemented are <i>not</i> detailed and/or steps or processes are <i>missing</i>.</li> <li>○ The timeline demonstrates that <i>some</i> of the model's elements are or will be implemented at the beginning of the 2010-2011 school year.</li> <li>○ LEA staff has <i>some</i> expertise and successful experience in researching, designing, and implementing the selected model or other school reform models.</li> <li>○ <i>Some</i> of the school community has been engaged in the progress and in providing input.</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>All</i> the elements of the selected intervention model are included.</li> <li>○ The descriptions of how <i>all</i> of the elements will be or have been implemented are specific, logical and comprehensive.</li> <li>○ The timeline demonstrates that <i>all</i> of the model's elements will be implemented during the 2010-2011 school year.</li> <li>○ LEA staff has <i>high</i> levels of expertise and successful experience in researching, designing, and implementing the selected intervention model.</li> <li>○ The school community has been purposefully engaged <i>multiple</i> times to inform them of progress and seek their input.</li> </ul>

\*A proficient score is needed for approval.

(3) Align other resources with the interventions.

LEAs receive funds through numerous federal and state sources. Yet, all too often, the funding streams are seen as individual line items rather than taken as a whole to work towards school improvement. IDOE will encourage LEAs to examine the current financial supports, and funds in their selected schools, and determine ways to utilize the funds to meet the final requirements of the selected intervention model. Many of the funding sources, such as Title III, will allow for the meeting of a model's requirements, e.g., the recruitment of teacher staff with the skills and experience to implement the intervention model. IDOE provides a tool to assist LEAs in considering how funding sources may be used to implement elements of the selected model (Appendix E). In reviewing the LEA's evaluation, IDOE will determine the LEA's commitment to reexamining the school's funding and the overlapping use of that funding to implement the required elements of the selected intervention model in two areas:

(a) The LEA's detailed budget narrative in the application includes how other funding sources (e.g., Title II,

Part are aligned to and will be used in the selected intervention.

(b) The LEA includes a description of how other non-financial resources (e.g., personnel, materials, services)

*SEA Determination of LEA Commitment:* The following rubric will be used by IDOE staff to evaluate the LEA application as to how it will align other resources with the intervention.

<b>3. The LEA has or will align other resources with the interventions.</b>		
<b>Not Adequately Demonstrated</b>	<b>Basic - Requires Revision 1-10 points</b>	<b>Proficient* 11-20 points</b>
<ul style="list-style-type: none"> <li>○ <i>Inappropriate or a few</i> financial and non-financial resources have been identified.</li> <li>○ Ways in which to align the interventions with resources have <i>not been provided or do not correspond</i> to the selected intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>Limited</i> financial and nonfinancial resources have been identified.</li> <li>○ For <i>some</i> of the resources identified, <i>general ways</i> to align to the intervention model have been provided.</li> </ul>	<ul style="list-style-type: none"> <li>○ <i>Multiple</i> financial and nonfinancial resources have been identified.</li> <li>○ For <i>each</i> resource identified, <i>specific ways</i> to align to the intervention model has been provided.</li> </ul>

\*A proficient score is needed for approval.

(4) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.

The LEA will need to examine its current policies, rules, procedures, and practices and their alignment to the required elements of the selected intervention model. In Indiana, contractual agreements with teachers' unions will be a topic that will need to be addressed as those agreements may impede the full implementation of the model. The SEA will assess the LEA's commitment to first examine and then modify its practices and policies, as necessary, to allow for the full implementation of the selected intervention in the following areas:

(a) *Staff evaluation and dismissal*

- Differentiates performance into four rating categories (i.e., highly effective, effective, improvement necessary, and ineffective).
- Credible distribution of performance across the four rating categories, with parity between tested and non-tested grades/subjects.
- Evaluations are predominantly based (at least 51%) on school and student performance data.
- Clear route to dismissal for ineffective teachers and principals.

(b) *Staff recruitment and retention*

- Specific supports for new teachers (e.g., mentoring) and for teachers that need to improve performance.
- Incentives and rewards for staff that increase student outcomes and for those that work in the neediest schools.
- Provision of dedicated time for staff to meet and work together.
- Rigorous, evidence-driven process for identifying exceptional teachers and principals, with extensive outreach beyond the district and the state.
- Use of a demanding screening process (e.g., performance evaluation) focused on competencies rather than experience alone.
- Hiring and assignments for schools based on the mutual consent of the teacher and principal, regardless of the teacher's seniority.
- Allowance of non-traditional and alternative routes in hiring leaders.

(c) *Changing or deviating from LEA policy or norm*

- Adding at least one hour of additional instructional time per day for Tier I and Tier II schools.
- Alternative or extended school-year calendars that add time beyond the additional hour of instruction time per day for Tier I and Tier II schools.
- Other deviations that allow the principal to discard rules and norms that are not working for the school (e.g., bus scheduling constraints).

*SEA Determination of LEA Commitment:* The following rubric will be used by IDOE staff to evaluate the LEA application in modification of its practices and policies.

**4. The LEA has or will modify its practices and policies to enable it and the school the full and effective implementation of the intervention.**

<b>Not Adequately Demonstrated</b>	<b>Basic - Requires Revision 1-10 points</b>	<b>Proficient* 11-20 points</b>
<ul style="list-style-type: none"> <li>○ Sources of Evidence, e.g., district policy statements, board minutes, contractual agreements</li> <li>○ Evaluation <i>does not</i> differentiate performance across categories.</li> <li>○ The principal and teacher evaluation process includes one <i>or no</i> observations, based on school/student performance.</li> <li>○ Dismissal policy is <i>never</i> utilized for ineffective teachers and principals.</li> <li>○ <i>Very little or no flexibility</i> has been provided for hiring, retaining, transferring and replacing staff to facilitate the selected model.</li> <li>○ <i>Very limited or no</i> additional instructional time added.</li> </ul>	<ul style="list-style-type: none"> <li>○ Sources of Evidence, e.g., district policy statements, board minutes, contractual agreements</li> <li>○ Evaluation indicates <i>some</i> differentiation of performance across categories (i.e., effective, ineffective).</li> <li>○ The principal and teacher evaluation processes includes a <i>few</i> observations and is <i>less than 51%</i> based on school and/or student performance.</li> <li>○ Dismissal policy is <i>rarely</i> utilized or implemented for ineffective teachers and principals.</li> <li>○ <i>Limited flexibility</i> has been provided for hiring, retaining, transferring and replacing staff to facilitate the model.</li> <li>○ <i>Some</i> instructional time added (if required by the model).</li> </ul>	<ul style="list-style-type: none"> <li>➤ Sources of Evidence, e.g., district policy statements, board minutes, contractual agreements</li> <li>○ Evaluation differentiates performance across <i>four rating categories</i> (i.e., highly effective, effective, improvement necessary, ineffective).</li> <li>○ Staff evaluation process includes <i>at least annual</i> observations for teachers and leaders and is <i>at least 51%</i> based on school and/or student performance.</li> <li>○ <i>Clear</i> dismissal pathway for ineffective teachers and principals.</li> <li>○ <i>Flexibility</i> has been provided for hiring, retaining, transferring and replacing staff to facilitate the selected model.</li> <li>○ <i>Appropriate</i> amount of instructional time added (if required by the model).</li> </ul>

(5) Sustain the reforms after the funding period ends.

Sustaining of a reform effort requires the LEA to have built its own internal capacity so it is prepared to work alone, without the support from the SEA, financially and through personnel, materials, and resources. While the LEA certainly will not be able to demonstrate such capacity as the implementation of the intervention model begins, it does need to express and demonstrate commitment to move in that direction. The SEA will assess the LEA's commitment to build its internal capacity in the following areas:

- (1) Continuous measurement of effectiveness in implementing the selected model.  
Examples of measurements would include attendance rates for teachers and students,

graduation rates, results on formative assessments and other leading indicators in the LEA Tier I and Tier II School Application

(2) Based on the measurement, often adapts implementation to increase effectiveness and/or fidelity to the model.

(3) Availability of funding, staff, and other resources to continue the intervention model.

*SEA Determination of LEA Commitment:* The following rubric will be used by IDOE staff to evaluate the LEA's commitment to sustain the reform after the funding period ends.

<b>(5) The LEA will provide evidence for sustaining the reform after the funding period ends.</b>		
<b>Not Adequately Demonstrated</b>	<b>Basic - Requires Revision 1-10 points</b>	<b>Proficient* 11-20 points</b>
<ul style="list-style-type: none"> <li>o <i>No</i> measurement of effectiveness of model's implementation provided.</li> <li>o Based on measurement, <i>never or rarely</i> adapts implementation.</li> <li>o Provides <i>no or limited</i> description of potential availability of funding, staff, and other resources to continue the intervention after funding ends.</li> </ul>	<ul style="list-style-type: none"> <li>o <i>Some</i> measurement of effectiveness of model's implementation provided.</li> <li>o Based on measurement, <i>occasionally</i> adapts implementation to increase fidelity.</li> <li>o Provides <i>limited</i> description of availability of funding, staff, and other resources to continue the intervention after funding ends.</li> </ul>	<ul style="list-style-type: none"> <li>o <i>Continuous</i> measurement of effectiveness of model's implementation provided.</li> <li>o Based on measurement, <i>routinely</i> adapts implementation to increase fidelity.</li> <li>o Provides <i>detailed</i> description of the availability of funding, staff, and other resources to continue the intervention after funding ends.</li> </ul>

\*A proficient score is needed for approval.

**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?

Any LEA wishing to carry out pre-implementation activities will need to indicate their intent in a specific section of the grant application. This section also will require LEAs to list pre-implementation activities and explain how each activity will help the LEA prepare for full model implementation next school year. (The full IDOE Title I, 1003(g) SIG Review checklist is attached as a separate file.)

**The "pre-implementation" activities and budget will be evaluated using the following criteria:**

- Activities and budgeted items must be clearly and directly linked to the strategies in the LEA's SIG Objective(s) and requirements of the selected intervention model
- Activities and budgeted items must be necessary and reasonable for the proper and efficient model implementation during the following school year
- Activities and budgeted items must be realistic
- Activities and budgeted items must be allowable under ESEA cost principles and state law and Regulation
- Activities and budgeted items comply with supplement, not supplant, provisions of ESEA, including Title I, Part A, §1114(a)(2)(B) and §1120A(b).

In addition, the full application budget will be analyzed to ensure:

1. Budgeted items are to be fully expended during the grant period and
2. The majority of the budgeted items will be expended during year 1 of the grant period

(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.)*

*IDOE's Evaluation Checklist:* The following checklist will be used by IDOE staff to determine the LEA's adequate development of the pre-implementation budget for each school implementing a model. A comment column is provided for IDOE staff to discuss with the LEA.

Criteria	Yes	No IDOE Staff comments
1. A pre-implementation budget is included for each Tier I and II school.		
2. The pre-implementation budget and the school year 2012-2013 budget is planned at a minimum of \$50,000 and does not exceed 2 million dollars per school.		
3. The SIG funds for the first year cover full effective implementation through the duration of the 2012-2013 school year, in addition to preparatory activities carried out during the pre-implementation period.		
4. Projected budgets meet the requirements of reasonable, allocable and allowable.		
5. A clear alignment to the goals and interventions correlates to the request for funding for pre-implementation.		

<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.

In the case of an LEA claim that it does not have the capacity to serve all Tier I schools, the SEA will conduct a thorough review of that claim. The process will include a review by multiple IDOE staff of the application and other information and materials submitted by the LEA. The examination will include the capacity factors shown in Table.

**Table 1. Examining the LEA's Claim of Lack of Capacity**

<b>Model</b>	<b>Capacity Factors</b>	<b>Possible Measures of Capacity</b>
All	Number of Tier I and Tier II schools being served	Total number of schools in LEA: ____ Total number of Tier I, Tier II schools in LEA ____
All	Credentials of staff who have the track record and capability to successfully implement the school intervention model(s)	<ul style="list-style-type: none"> <li>○ Number of teachers needed for Tier I and Tier II schools ____</li> <li>○ Number of highly effective teachers LEA claims are available to serve Tier I and II schools ____</li> <li>○ LEA's ability to find and hire additional highly effective teachers: Good ___ Fair ___ Poor ___</li> </ul>
All	Commitment of the school board to eliminate barriers and to facilitate full and effective implementation of the models	<ul style="list-style-type: none"> <li>○ School board minutes or policies show commitment to eliminate barriers and fully implement the model ___ Completely ___ Somewhat ___ Not at all</li> </ul>
<b>Model</b>	<b>Capacity Factors</b>	<b>Possible Measures of Capacity</b>
All	Detailed and realistic timeline for implementing elements of intervention model during the 2012-2013 school year	<ul style="list-style-type: none"> <li>○ Timeline indicates that the elements will be implemented during the 2012-2013 school year ___ Completely ___ Somewhat ___ Not at all</li> </ul>
All	Support of parents and community	<ul style="list-style-type: none"> <li>○ Consultation with stakeholders conducted (e.g., LEA Application: General Information, p. 3) ___ Completely ___ Somewhat ___ Not at all</li> </ul>
Turnaround Transformation	Support of the teachers' unions with respect to staffing and teacher evaluation requirements	<ul style="list-style-type: none"> <li>○ Contractual agreements indicate allowance of staffing per model's requirements; evaluation tools are performance-based and occur throughout the year</li> </ul>

		___ Completely ___ Somewhat ___ Not at all
Turnaround Transformation	Ability to recruit new principals to implement the turnaround or transformation models	<ul style="list-style-type: none"> <li>○ Number of highly effective principals needed ___</li> <li>○ Number of highly effective principals LEA claims are available to serve in the schools ___</li> <li>○ LEA's ability to find and hire highly effective principals Good ___ Fair ___ Poor ___</li> </ul>
Turnaround Transformation Restart	Ability to align federal, state, and local funding sources with grant activities and to support the reform after funding ends	<p>As described in LEA application, Action #5 ___ Completely ___ Somewhat ___ Not at all</p> <p style="text-align: center;">IDOE's analysis</p> <p>___ Completely ___ Somewhat ___ Not at all</p>
Turnaround Transformation Restart	Ability and commitment to increase instructional time	<p>As described in LEA application, Action #5 ___ Completely ___ Somewhat ___ Not at all</p> <p style="text-align: center;">IDOE's analysis</p> <p>___ Completely ___ Somewhat ___ Not at all</p>
Turnaround Transformation Restart	LEA staff with proven track record of implementing school reform models (may include hiring additional staff for this position)	<p>As described in LEA application, Action #1 ___ Yes ___ No, will need to hire LEA staff</p> <p style="text-align: center;">IDOE's analysis</p> <p>___ Yes ___ No, will need to hire LEA staff</p>
Restart	Availability and quality of educational management organizations (EMO) and charter management organizations (CMO)	<ul style="list-style-type: none"> <li>○ Number of EMO/CMO available to serve the LEA's geographic area ___</li> <li>○ Quality of the EMO/CMOs ___ Number that are of high quality ___ Number that are of medium quality</li> </ul>

		___ Number that are of poor quality				
<b>Model</b>	<b>Capacity Factors</b>	<b>Possible Measures of Capacity</b>				
School Closure	Access to and proximity to higher-performing schools	<input type="checkbox"/> High-performing schools and their proximity <table border="1"> <tr> <td><u>Name of School</u></td> <td><u>Proximity</u></td> </tr> <tr> <td></td> <td></td> </tr> </table>	<u>Name of School</u>	<u>Proximity</u>		
<u>Name of School</u>	<u>Proximity</u>					

If IDOE staff determines the LEA has more capacity than claimed, IDOE will meet with the LEA and if necessary, provide technical assistance to assist the LEA's in realizing its capacity and its commitment as a SIG recipient. IDOE may also provide support to the LEA in improving the writing of the grant application including developing a strong implementation plan.

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

(3) 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.

As the first step, IDOE will examine the findings from the worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" (Worksheet #2- LEA Application), to ensure that the initial set of goals and activities developed are well-aligned to the findings. Experience shows that some LEAs will struggle with creating appropriate and measurable goals. Thus, the IDOE will pay particular attention to the goals and provide technical assistance as needed. The criteria for the goals will be (a) inclusion of one English/language arts and one mathematics goal for all students; (b) aggressive yet attainable; and (c) measurable through ISTEP+ and/or end-of-course assessments. IDOE will conduct pre-training with its reviewers to achieve inter-rater reliability on the scoring rubric to ensure similar recognition of high quality and appropriate goals (e.g., S.M.A.R.T. goals).

At the end of the first semester, the LEA will be required to examine its initial set of goals and submit, in writing, to the IDOE evidence of progress (or lack of progress) using formative assessment data, end-of-course data and other sources. At the end of the school year, a team of IDOE and LEA staff will convene to examine

the data to determine whether to renew the LEA's SIG if the Tier I or Tier II school is not making progress.

(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.

IDOE is not anticipating serving Tier III Schools as funding will be used in serving Tier I and Tier II schools. However, if Tier II school are served IDOE will examine the LEAs original application and goals and follow a process similar to that for Tier I and Tier II schools as described above. As the first step, IDOE will examine the findings from the worksheets, "Analysis of Student and School Data" and "Self-Assessment of Practices of High-Poverty, High-Performing Schools" (Worksheet #2- LEA Application), to ensure that the initial set of goals and activities developed are well-aligned to the findings. Experience shows that some LEAs will struggle with creating appropriate and measurable goals. Thus, the IDOE will pay particular attention to the goals and provide technical assistance as needed. The criteria for the goals will be (a) inclusion of one English/language arts and one mathematics goal for all students; (b) aggressive yet attainable; and (c) measurable through ISTEP+ and/or end-of-course assessments. IDOE will conduct pre-training with its reviewers to achieve inter-rater reliability on the scoring rubric to ensure similar recognition of high quality and appropriate goals (e.g., S.M.A.R.T. goals).

At the end of the first semester, the LEA will be required to examine its initial set of goals and submit, in writing, to the IDOE evidence of progress (or lack of progress) using formative assessment data, end-of-course data and other sources. At the end of the school year, a team of IDOE and LEA staff will convene to examine the data to determine whether to renew the LEA's SIG if the Tier III school is not making progress.

(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.

In order to ensure the full and effective implementation of intervention models, each school that receives SIG funding will be assigned an IDOE staff member who has significant knowledge related to school improvement. An IDOE SIG Monitoring Team will conduct a site visit at least three times during the school year. Additionally, the SIG Monitoring Team will hold LEA optional monthly phone conversations with the LEA and school regarding implementation of the model. Specific elements of the model will be discussed to determine areas of progress as well as challenges. IDOE's Director of School Improvement and Turnaround will oversee the work of the IDOE staff assigned to schools implementing the models and will debrief with staff after each visit.

Additionally, IDOE will monitor the LEAs results of the state's formative diagnostic tools (Wireless Generation and Acuity) for elementary and middle school grade spans, which will allow continuous review of student learning. The state has recently introduced the Indiana Growth Model using ISTEP+ scores to examine cohorts of students with similar scores across the state. This allows for parents, schools, districts and the state to understand how schools (and eventually individual students) are progressing from year to year. It also provides a common measure to show how much growth the students of each school have achieved. High schools will progress monitor students as well using various tools to ensure success on End of Course Assessments. This benchmark data will be collected by IDOE (up to) on a quarterly basis to ensure student growth and to provide a chance for intervention if necessary.

To evaluate the implementation and effectiveness of the school improvement models, IDOE will enlist a

qualified independent partner to evaluate both the state's overall turnaround strategy and the interventions in individual schools. The external evaluator will utilize relevant school, LEA, and state data, including data resulting from SIG monitoring, in order to determine the fidelity of the intervention's implementation and its effectiveness. Finally, to ensure financial responsibility each district will receive a 1003 (g) fiscal review twice per school year (January 2013/June 2013).

(4) 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.

The Indiana Department of Education anticipates sufficient funding for all eligible Tier I and Tier II schools for which each LEA applies. However, in the event that funds are not available to serve all eligible Tier I and Tier II schools, IDOE will review the scores that each LEA's school(s) received through the evaluation process (see Attachment C: SEA Scoring Rubric of LEA Applications). IDOE will first apply a weighted scoring system in which schools that are on Indiana's Public Law 221 (the state's accountability system) probationary status will have first priority for receiving SIG funds. Based on this weighting system, schools with the highest scores will receive funding until funds are no longer available.

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

Once all Tier I and Tier II schools have been funded, IDOE will open the application process up to LEAs interested in serving Tier III Schools. The evaluation for Tier III schools occurs through a competitive basis. Priority will be given to schools implementing one of the four school intervention models. If funding is still available, Tier III schools that receive the highest scores will be funded until the point at which funds are no longer available.

(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.

Public Law 221 (P.L. 221) is Indiana's comprehensive accountability system for K-12 education. It was passed by the General Assembly in 1999, prior to *No Child Left Behind Act of 2001*. The law aimed to establish major educational reform and accountability statewide. To measure progress, P.L. 221 places Indiana schools into one of five categories. Schools that remain in the lowest category, probationary status, may receive one of the state interventions after their sixth consecutive year. If an intervention is necessary, all schools receiving a 1003(g) school improvement grant will be required to meet the final requirements as outlined in the 1003(g) school improvement grant.

#### **Interventions under P.L. 221**

1. Merging the school with a nearby school that is in a higher category. (Indiana does not anticipate recommending the merging of schools in the event of state intervention.)
2. Assigning a special management team to operate all or part of the school.  
(Turnaround School Operator)
3. Recommendations from the Indiana Department of Education for improving the school.
4. Other options for school improvement expressed at the public hearing, including closing the school.
5. Revising the school's plan in the areas of school procedures/operations, professional development, or intervention for individual teachers or administrators.

Test scores will not be available until summer. In August, the State Board of Education will make decisions based on spring results, follow up visit reports and recommendations from community hearings.

Currently there are no eligible Tier I, II or III schools in year five of probationary status. However, there is a current

SIG awardee, John Marshall Community High School that is in the fifth year of probationary status. If this school were to enter into the sixth year of probationary status, then the Indiana State Board of Education would assign an intervention in the fall of 2012 under the authority of Indiana Public Law 221-1999. Regardless of the assigned intervention, the turnaround principles will continue to be fulfilled.

(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>

At this time, IDOE does not plan to directly implement school intervention model other than restart (state takeover) in a school.

<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.

*Teacher and school leader development.* IDOE will provide professional development for teachers in SIG schools, as identified through a needs assessment and data monitoring.

- *Data monitoring.* IDOE will collect data to monitor the implementation of the selected intervention model at each Tier I and Tier II school identified to be served on approved LEA applications. This ongoing data collection will allow for the tracking of progress toward grant goals and leading indicators as well as for the identification and dissemination of successful implementation practices and lessons learned.

- *On-site monitoring.* As described earlier, IDOE will monitor at least three times per year and will conduct a needs assessment of participating schools. Using the results of this needs assessment, IDOE will use state-level SIG funds to provide professional development opportunities and tools that are targeted to meet needs identified in this assessment.

- *Evaluation.* As described earlier, IDOE will enlist a qualified independent partner to serve as the external evaluator of the State's overall turnaround strategy as well as interventions in individual schools. SIG funds will be used to fund this independent evaluator, which will be selected through the State's competitive RFP process. This external evaluation will assist Indiana in evaluating effectiveness of each school in implementing approved reform models and the degree of fidelity to which these models were implemented.

## 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.” <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>
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"> <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>
Tier III	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.

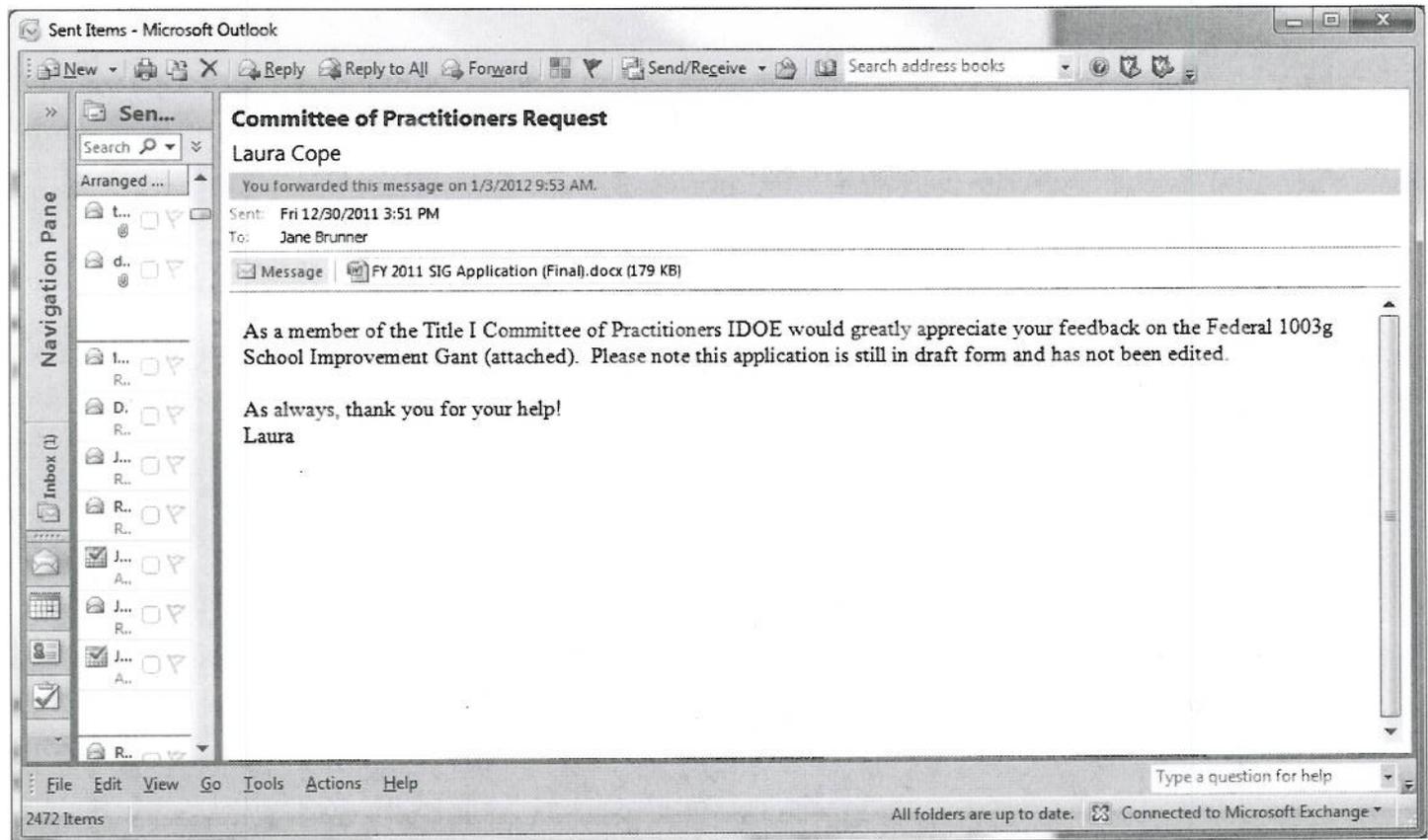
<sup>4</sup> For the purposes of schools that may be added to Tier I, Tier II, or Tier III, “Title I eligible” schools may be schools that are eligible for, but do not receive, Title I, Part A funds or schools that are Title I participating (*i.e.*, schools that are eligible for and do receive Title 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.

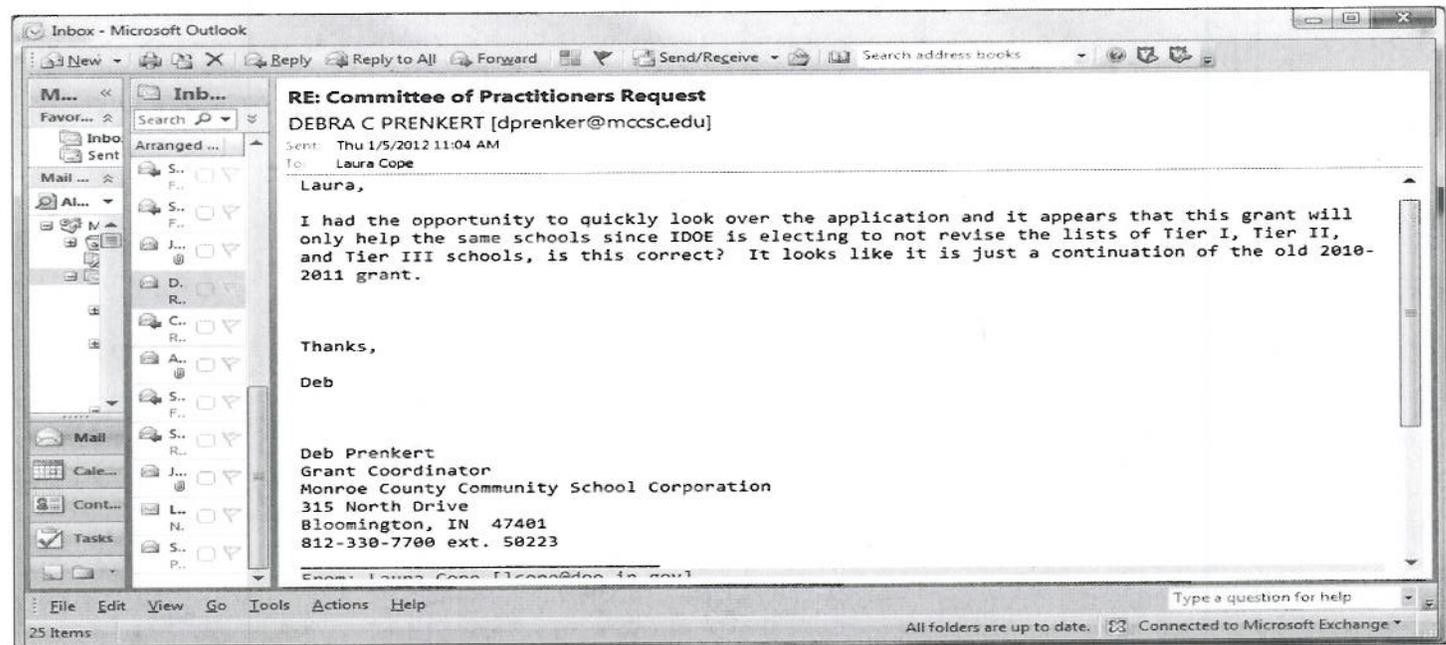
## Additional Requirements

### Notice of consultation with Committee of Practitioners:

The following email was sent to all members of Indiana's CoP:



One response was received:



## Notice of Wavier and Comment Period:

The following waiver announcement was posted on the Indiana Department of Education's website. Zero comments have been received.

The screenshot shows a web browser window displaying the Indiana Department of Education (IDOE) website. The page title is "School Improvement Grant Waiver Request | IDOE - Windows Internet Explorer". The URL is "http://www2.doe.in.gov/improvement/turnaround/school-improvement-grant-waiver-request". The browser shows a search bar, weather information for Greenwood, IN (46143), and a search bar with the text "School Improvement Grant Waiver Request | IDOE".

The website header features a banner for Dr. Tony Bennett, Superintendent of Public Instruction, and the Indiana Department of Education logo. The navigation menu includes "Outreach", "Achievement & Growth", "Innovation & Improvement", and "Support".

The main content area is titled "School Improvement Grant Waiver Request" and includes a sub-header "NOTICE INVITING PUBLIC COMMENT ON SCHOOL IMPROVEMENT GRANT WAIVER REQUEST". The text states: "As part of the Title I School Improvement Grant (SIG) program authorized by Section 1003(g) of the Elementary and Secondary Education Act of 1965, the U.S. Department of Education (ED) has provided states with the opportunity to apply for a waiver of certain Title I requirements. Indiana intends to apply for waiver as stated in the link below. You are invited to provide comments to the Indiana Department of Education that will be forwarded to ED along with Indiana's waiver application."

A link is provided: [Waiver 1003g](#). The text concludes: "Please submit comments or questions to [lope@doe.in.gov](mailto:lope@doe.in.gov) by January 5, 2012."

The footer includes a "MAIN MENU" with links to "Accountability", "Data Reporting", "Turnaround", "Growth Model", "Educator Effectiveness", and "School Choice". It also contains a "Legal" section with links to "Home", "About", "Site Map", and "Applications". The footer text reads: "INDIANA DEPARTMENT OF EDUCATION", "Policy | Notification Statement | Disclaimer and Linking | Accessibility", and "© 2011 Indiana Department of Education".