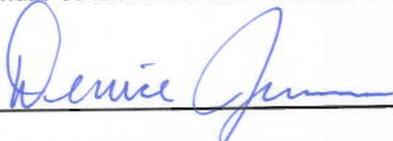


APPLICATION COVER SHEET  
SCHOOL IMPROVEMENT GRANTS

Legal Name of Applicant:  Montana Office of Public Instruction	Applicant's Mailing Address:  PO Box 202501 Helena, MT 59620-2501
State Contact for the School Improvement Grant  Name: BJ Granbery  Position and Office: Administrator, Division of Educational Opportunity and Equity  Contact's Mailing Address:  PO Box 202501 Helena, MT 59620-2501  Telephone: 406-444-4420  Fax: 406-444-3924  Email address: bgranbery@mt.gov	
Chief State School Officer (Printed Name):  Denise Juneau	Telephone:  406-444-5658
Signature of the Chief State School Officer:  X 	Date:  November 22, 2013
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.	

School Improvement Grants

# Application for FY 2013 New Awards Competition

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

Fiscal Year 2013

CFDA Number: 84.377A

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**State Name:** Montana



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

OMB Number: 1810-0682  
Expiration Date: September 30, 2016

### 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. Public reporting burden for this collection of information is estimated to average 74 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is mandatory required to obtain or retain benefit and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1810-0682. Note: Please do not return the completed FY 2013 School Improvement Grant application to this address.

## 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). 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.

### **ESEA Flexibility**

An SEA that has received ESEA flexibility no longer identifies Title I schools for improvement, corrective action, or restructuring; instead, it identifies priority schools, which are generally a State's lowest-achieving Title I schools. Accordingly, if it chooses, an SEA with an approved ESEA flexibility request may select the "**priority schools list waiver**" in Section H of the SEA application for SIG funds. This waiver permits the SEA to replace its lists of Tier I, Tier II, and Tier III schools with its list of priority schools.

Through its approved ESEA flexibility request, an SEA has already received a waiver that permits its LEAs to apply for SIG funds to serve priority schools that are not otherwise eligible to receive SIG funds because they are not identified as Tier I, Tier II, or Tier III schools. The waiver offered in this application goes beyond this previously granted waiver to permit the SEA to actually use its priority schools list as its SIG list.

### **Availability of Funds**

The Consolidated and Further Continuing Appropriations Act, 2013, provided \$506 million for School Improvement Grants in fiscal year (FY) 2013.

FY 2013 SIG funds are available for obligation by SEAs and LEAs through September 30, 2015.

### **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 SIG grant. The Department will allocate FY 2013 SIG funds in proportion to the funds received in FY 2013 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 SIG 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 2013 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 2014–2015 school year. New three-year awards may be made with the FY 2013 funds or any unobligated SIG funds from previous competitions not already committed to grants made in earlier competitions.

The Department will require those SEAs that will use FY 2013 funds solely for continuation awards to submit a SIG application. However, those SEAs using FY 2013 funds solely for continuation purposes are only required to complete the Continuation Awards Only Application for FY 2013 School Improvement Grants Program located at the end of this application.

## SUBMISSION INFORMATION

### **Electronic Submission:**

The Department strongly prefers to receive an SEA's FY 2013 SIG application electronically. The application should be sent as a Microsoft Word document, **not** as a PDF.

The SEA should submit its FY 2013 application to [OESE.OST@ed.gov](mailto:OESE.OST@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, Group Leader  
Office of School Turnaround  
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 November 22, 2013.

### **For Further Information**

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

APPLICATION COVER SHEET  
SCHOOL IMPROVEMENT GRANTS

<p style="text-align: center;">Legal Name of Applicant:</p> <p style="text-align: center;">Montana Office of Public Instruction</p>	<p style="text-align: center;">Applicant's Mailing Address:</p> <p style="text-align: center;">PO Box 202501 Helena, MT 59620-2501</p>
<p>State Contact for the School Improvement Grant</p> <p style="text-align: center;">Name: BJ Granbery</p> <p style="text-align: center;">Position and Office: Administrator, Division of Educational Opportunity and Equity</p> <p style="text-align: center;">Contact's Mailing Address:</p> <p style="text-align: center;">PO Box 202501 Helena, MT 59620-2501</p> <p style="text-align: center;">Telephone: 406-444-4420</p> <p style="text-align: center;">Fax: 406-444-3924</p> <p style="text-align: center;">Email address: bgranbery@mt.gov</p>	
<p>Chief State School Officer (Printed Name):</p> <p style="text-align: center;">Denise Juneau</p>	<p>Telephone:</p> <p style="text-align: center;">406-444-5658</p>
<p>Signature of the Chief State School Officer:</p> <p style="text-align: center;">X submitted via Fed Ex</p>	<p>Date:</p> <p style="text-align: center;">November 22, 2013</p>

The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.

## PART I: SEA REQUIREMENTS

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

### A. ELIGIBLE SCHOOLS

**Part 1 (Definition of Persistently Lowest-Achieving Schools):** Along with its list of Tier I, Tier II, and Tier III schools, the SEA must provide the definition that it used to develop this list of schools. If the SEA's definition of persistently lowest-achieving schools that it makes publicly available on its Web site is identical to the definition that it used to develop its list of Tier I, Tier II, and Tier III schools, it may provide a link to the page on its Web site where that definition is posted rather than providing the complete definition. If an SEA is requesting the priority schools list waiver, it need not provide this definition, as its methodology for identifying its priority schools has already been approved through its ESEA flexibility request. **Link to Revised**

**Definition:**

[http://opi.mt.gov/PDF/TitleI/SIP/13Def\\_PersistentlyLAS.pdf](http://opi.mt.gov/PDF/TitleI/SIP/13Def_PersistentlyLAS.pdf)

**Part 2 (Eligible Schools List):** As part of its FY 2013 application an SEA must provide a list, by LEA, of each Tier I, Tier II, and Tier III school in the State or, if it is requesting the priority schools list waiver, of each priority school in the State. (A State's Tier I and Tier II schools are its persistently lowest-achieving schools and, if the SEA so chooses, certain additional Title I eligible schools that are as low achieving as the State's persistently lowest-achieving schools or that have had a graduation rate below 60 percent over a number of years.) In providing its list of schools, the SEA must indicate whether a school has been identified as a Tier I or Tier II school solely because it has had a graduation rate below 60 percent over a number of years.

**Directions:** 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. **Link to new lists:**

<http://opi.mt.gov/PDF/TitleI/SIP/13PersistentlyLowSchools.pdf>

### SCHOOLS ELIGIBLE FOR FY 2013 SIG FUNDS

LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY (if applicable)	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>1</sup>

**EXAMPLE:**

<b>SCHOOLS ELIGIBLE FOR FY 2013 SIG FUNDS</b>									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##		X				
LEA 1	##	MADISON ES	##		X				
LEA 2	##	TAYLOR MS	##				X		X

**Part 3 (Terminated Awards):** 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 the 2014-2015 school year. For each such school, note the amount of unused remaining funds and explain how the SEA or LEA plans to use those funds.

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

**B. EVALUATION CRITERIA: An SEA must provide the criteria it will use to evaluate the information set forth below in an LEA’s application for a School Improvement Grant.**

**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, or each priority school, as applicable, identified in the LEA’s application and has selected an intervention for each school.

**Using the capacity criteria outlined on the next page, the SEA has determined that none of the LEAs with Tier I schools have the capacity to use school improvement funds to provide adequate resources and related support to Tier I schools. In priority order, these LEAs will be asked to agree to the SEA providing services**

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

directly by signing an Implementation Agreement with the SEA. The Implementation Agreement also requires that the LEA and local teachers union sign a memorandum of understanding (MOU) to amend the existing collective bargaining agreement to allow for SIG requirements to be implemented. The priority order will be the new Tier I schools in order of the lowest to highest percent proficient as shown on the submitted list of new Tier I schools until funding is exhausted (allocating reasonable amounts for services to each school to be served for two to three years). The SEA will analyze the needs of each Tier I school using the list shown below as it designs and plans for those services during the development of a District Action Plan (DAP) working collaboratively with the LEA. The analysis will be summarized in the DAP. The DAP will contain all the required elements of the Transformation Model which is the model the SEA will implement in districts agreeing to the Implementation Agreement and MOU. Districts will address all the same questions that would be contained in a regular local application supplement for the Transformation Model, including needs assessment (see below), goals, assurances, and requests for waivers needed (none should be needed except the ability to use the funds through September 30, 2017).

**Areas to Consider for Data and Need Analysis:**

<p><b>Demographics</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> enrollment</li> <li><input type="checkbox"/> drop-out Rate</li> <li><input type="checkbox"/> ethnicity</li> <li><input type="checkbox"/> grade level</li> <li><input type="checkbox"/> discipline incidents</li> <li><input type="checkbox"/> other:</li> </ul>	<p><b>Curriculum</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> alignment with MT Common Core Standards (MCCS)</li> <li><input type="checkbox"/> research-based</li> <li><input type="checkbox"/> implemented with fidelity</li> <li><input type="checkbox"/> schedule for review &amp; revision of curriculum</li> <li><input type="checkbox"/> assessment data used to identify gaps</li> <li><input type="checkbox"/> review process to determine if meeting needs of all students</li> </ul>
<p><b>Instruction</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> effective and varied instructional strategies</li> <li><input type="checkbox"/> instruction is aligned to MCCS</li> <li><input type="checkbox"/> instruction is differentiated</li> <li><input type="checkbox"/> system for timely &amp; early interventions for low-performing students</li> <li><input type="checkbox"/> teachers communicate high expectations to students</li> <li><input type="checkbox"/> other:</li> </ul>	<p><b>Assessment</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> aligned with MCCS</li> <li><input type="checkbox"/> data from classroom assessments guides instruction</li> <li><input type="checkbox"/> universal screening data for all students</li> <li><input type="checkbox"/> progress Monitoring data</li> <li><input type="checkbox"/> other Formative Assessments</li> <li><input type="checkbox"/> teacher observations</li> <li><input type="checkbox"/> other:</li> </ul>

**Professional Development (PD)**

- student achievement data determines PD priorities
- professional development is job embedded
- teacher evaluation process is aligned to research-based teacher standards
- teacher evaluation process consistently applied
- teachers receive ongoing & systematic feedback to improve instruction
- teacher mentoring program
- other

**Supportive Learning Environment**

- effective classroom management strategies
- schoolwide behavior standards
- attendance policy
- cultural awareness and understanding
- extended learning opportunities
- effective school-parent communication
- parent & community engagement
- Social & emotional services & supports
- physical facilities safe & orderly
- other:

The SEA will request that the LEA provide evidence and or documentation for each of the above items or areas. For those items that cannot be assessed through documentation, the SEA will conduct on-site visits and speak with individuals and groups (including parents) in order to draw conclusions and make an assessment of these areas.

**Other**

- master schedule & classroom schedules
- perception surveys of teachers, parents, or students
- implementation data for specific program or process
- administrator and teacher experience & qualifications
- policies & procedures facilitate learning
- teacher turnover & attendance rates
- School improvement plans, Title I plans, grant application plans, etc.
- other:

**Leadership**

- facilitate development & implementation of school goals
- analyze student assessment data
- leaders assist staff in understanding & using formative & summative assessment data
- leaders monitor delivery of instruction
- leaders monitor implementation of school improvement plan
- leaders ensure staff trained in MCCS
- leaders have support from district office or others

**If any LEA believes it has the capacity to provide services to its schools and declines to have the SEA provide services directly, that LEA will complete a regular local application and must provide proof that a thorough needs assessment has been conducted to determine needs so that an appropriate reform model can be selected and appropriate services can be designed. The rubric contained in the local application will be utilized to further determine capacity for an LEA that submits a local application, plus the additional supplement for each reform model chosen for Tier I schools. The LEA will be asked to provide evidence and documentation for items included in the rubric. On-site visits will be used to make assessments of areas that do not lend themselves to documents or other evidence.**

- (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, or each priority school, as applicable, identified in the LEA's application in order to implement fully and effectively the selected intervention in each of those schools.

Each of the districts with at least one Tier I school is also a district in the improvement status of Corrective Action Year 11 or 12. These districts (systems) have only one school per grade span and each school in the district is either Tier I or Tier III. In these situations there is no district office that has capacity beyond what is contained in the school itself. These are all very small, rural, and remote (frontier) districts located on or near American Indian reservations. Please reference the new list of eligible Tier I schools at this link:

<http://opi.mt.gov/PDF/TitleI/SIP/13PersistentlyLowSchools.pdf>

Although some positive changes have been accomplished, past school reform efforts have been largely ineffective in dramatically increasing student achievement. Some of these districts have been designated by the SEA for high-risk financial status for several years due to numerous and ongoing audit problems and lack of compliance with reporting. Others have not received high risk designation but have had some audit, fiscal, or management problems.

In order to receive the benefit of the School Improvement Grant funds administered directly by the SEA, these districts must submit an initial pre-application to the SEA, signed by both the Chairperson of the Board of Trustees and the local teachers union President, indicating their interest and that they agree with the SEA's determination of a lack of capacity. If the pre-application is submitted, then the LEAs will sign an Implementation Agreement with the SEA agreeing to have the SEA provide services directly, specifying that the Transformation Model will be implemented (and stating the requirements of the model). The district and local teachers union must also agree to a memorandum of understanding (MOU) to amend the collective bargaining agreement to ensure that SIG requirements can be implemented.

Specific criteria that are considered in capacity determinations:

- High Risk Financial Status
- History of Financial Management Problems (but not resulting in High Risk Status)
- Frequent Turnover in Superintendents
- Frequent Turnover in Principals
- Frequent Turnover in School Board Members
- Accreditation Deficiencies
- Self-Assessments (contained in the Montana Literacy Plan; Appendix A).
- Continuous School Improvement Plan (last submission November 2013)
- Academic and behavior data
- Interviews with focus groups

- (3) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school, or each priority school, as applicable, identified in the LEA's application, as well as to support school improvement activities in Tier III schools in a State that is not requesting the priority schools list waiver, throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA). **Each LEA with Tier I schools to be served will submit a DAP (or a local application) with a proposed budget that clearly details the planned activities and the costs involved.** The SEA staff will compare these details and projected costs to determine adequacy of funding levels. If necessary, realistic estimations of similar interventions undertaken elsewhere will be obtained for comparison purposes. Prior to development of the DAPs (or submission of applications), SEA staff will determine estimated ranges necessary for implementation of each reform model. SEA staff will use the following criteria in evaluating the budget information submitted:

- Budget provided is within the estimated range for the reform model selected, or adequate rationale is

provided for budgets outside the estimated range;

- Budget realistically estimates the cost of implementing the selected reform model for the entire grant period;
- Budget narrative clearly aligns with components of the selected reform model;
- LEA has clearly described how other resources align with and enhance the intervention model chosen.
- For districts signing the Implementation Agreement and MOU, the SEA will work directly with the districts to establish appropriate spending ranges to accomplish the implementation of the Transformation Model

**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:

- Design and implement interventions consistent with the final requirements.  
**LEA applications will include descriptions of the design and implementation plans that will be scrutinized by the SEA review team for feasibility and evidence of thorough planning. Details of who will be responsible, by when, and what resources will be needed must be well developed with broad involvement, understanding, and buy-in by all involved parties. The extensive responses in the local application plus the supplement for the selected reform model will be utilized in this analysis. The rubric contained in the local application will be used to review the sufficiency of the LEA application. A school improvement team will be required consisting of the principal, teachers, parents, community members, and at least one district administrator. Each team member must sign off on the design and plans for interventions. The school board must review and approve the plans. Documentation that the plans are consistent with the final requirements will be scrutinized by SEA staff in the approval process using the rubric contained in the local application and afterward through intensive monitoring. Technical assistance will be provided during the development of the application and the use of external consultants and service providers will be required. If the Transformation Model is selected, the Toolkit for Implementing the Transformation Model from the Center on Innovation and Improvement will be utilized as well. Link: <http://www.centerii.org/> Please click on the Transformation Toolkit in the list of publications on the right side of the page under "School Improvement Grants". Whatever reform model is chosen will be implemented for the 2014-2015 school year. Monitoring will be conducted by on-site Coaches and SEA staff on a continual basis to hold the school accountable for implementation. The monitoring tool found at <http://www.centerii.org/sig/> will be utilized.**

**Districts signing Implementation Agreements and MOUs will address every requirement other districts will by completing the District Action Plan (DAP) for the Transformation Model collaboratively with the SEA.**

- Recruit, screen, and select external providers, if applicable, to ensure their quality.  
**Montana's overall LEA application requires a description of the process the LEA will use to recruit, screen and select any external providers. In addition, the LEA application supplement for the Restart model requires the LEA to describe how it will engage in a rigorous process of screening and selecting charter school operators. It requires the LEA to address these elements in the description: how the provider will demonstrate that its strategies are research-based; that its curriculum, instruction, and assessment are aligned with Montana's essential learning expectations; that it has a healthy fiscal history; that it has provided realistic detailed budgets; and that its instructional programs will be secular, neutral, and non-ideological. Each of these elements will receive a rating of 0 - 5 in the evaluation of the plan based on the strength of the descriptions provided by the LEA. See the actual scoring rubric contained in the overall LEA application.**

**Districts signing Implementation Agreements and MOUs will address every requirement other districts will by completing the District Action Plan for the Transformation Model collaboratively with the SEA. This includes recruiting, screening, and selecting any external providers of specific services, which will ultimately**

be selected by or approved by the SEA which is providing services directly.

- Align other resources with the interventions;  
The LEA application will require that the LEA describe how other resources will be aligned to support the reform model being implemented. Through reviewing the information provided in the LEA application and interviewing LEA and school personnel, the SEA staff will determine the sufficiency of the alignment of these other resources to ensure comprehensive interventions are effective. The MCLP Inventory and Interview questions contained in Appendix B pages 63 - 68 will be utilized. These may be viewed at [http://opi.mt.gov/PDF/Instructional\\_Innovations/MSRP/12NovMtLiteracyPlan.pdf](http://opi.mt.gov/PDF/Instructional_Innovations/MSRP/12NovMtLiteracyPlan.pdf)

Technical assistance and guidance will be provided throughout the application development period and afterward, so that LEAs keep in mind the totality of the resources available to them to implement interventions in a coordinated and integrated fashion.

Districts signing Implementation Agreements and MOUs will address every requirement other districts will by completing the District Action Plan for the Transformation Model collaboratively with the SEA.

- Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively; and,  
The LEA application will be scrutinized for sound plans for making any modifications to practices and policies that may be necessary. Sound plans are those that seem reasonable and achievable and take into account adequate time for effective modeling of new practices and interventions for teachers. During the implementation of the selected reform model and interventions, the SEA will monitor closely, evaluate, and provide technical assistance and guidance in this area as well. SEA School Improvement Consultants or SICs (formerly called School Coaches in the Statewide System of Support) will visit several times each month to ensure that no barriers to implementation go unaddressed. Implementation of the selected reform model will take place for the 2014-2015 school year.
- Sustain the reforms after the funding period ends.  
The subject of sustainability must be addressed in the LEA application and the feasibility of the LEA's proposed plans will be evaluated by the SEA review team. Additional ideas and suggestions for sustainability will be provided, if needed, during the application period and during implementation as well. Although funding is a major factor in sustainability, equally important are the structures and trainings that are put in place so that innovations can continue after the SIG funding period ends. Among the structures to be evaluated are staff hiring and retention policies; staff evaluation policies and procedures; embedded professional development; increased time for instruction and professional development in core academic subjects; and increasing graduation rates through credit recovery and the use of early warning systems. See details in the four reform model supplements of the local application for other examples. Districts must provide details about sustainability on the last page of each model supplement to the local application which will be reviewed by the SEA review team. In the scoring rubric for the overall application, points from 0 – 5 are awarded for strength of sustainability plans. See scoring rubric and the local application for details.

**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?  
The SEA will require the LEA to include a proposed budget and narrative with respect to activities carried out during the pre-implementation period to help the LEA prepare for full implementation in the following school year. The budget for the pre-implementation activities will be evaluated as part of the overall budget evaluation. The budget rating scores from 0 to 5 will include the pre-implementation

activities as well as the activities for the 3 full years of implementation. The scoring rubric for the overall application and for the specific reform model to be implemented includes the following criteria with respect to ensuring that the amount proposed covers both pre-implementation and full implementation: budget provided is within the estimated range for the model, budget realistically estimates the cost of implementing the model for the entire grant period, budget clearly aligns with components of the model, funding sources and amounts are provided for the school years to be included, and budget clearly describes how other resources align with and enhance the intervention model chosen.

(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?

The SEA will require the LEA to describe all pre-implementation activities in a chart within each school application supplement. The pre-implementation activities will be reviewed and evaluated by the review team for their appropriateness to the implementation model and to determine if the activities proposed are allowable. The pre-implementation activities will be evaluated as “yes” if they are determined to be allowable and appropriate, or as “no” if they are not allowable or if they could be made allowable with revisions. While they will not be a factor in the competitive scoring, if the school is awarded a SIG grant, the LEA will be required to remove or revise pre-implementation activities, as applicable, to ensure that only allowable activities will be funded. All proposed pre-implementation activities and expenses, must be (1) directly related to full and effective implementation of the selected intervention model, (2) both reasonable and necessary for implementation, (3) address needs identified by the LEA, and (4) help improve student academic achievement.

<sup>2</sup> “Pre-implementation” enables an LEA to prepare for full implementation of a school intervention model at the start of the 2014–2015 school year. For a full description of pre-implementation, please refer to section J of the SIG Guidance.

**C. TIMELINE: An SEA must describe its process and timeline for approving LEA applications.**

Contact LEAs with Tier I schools.....February/March, 2014  
Accept Pre-Application Agreements.....By March 31, 2014  
Finalize Implementation Agreements and MOUs.....March/April 2014

(Alternatively, if none agree to direct services, provide local application and Intent to Apply forms to eligible districts in March, 2014; Intent to Apply due by March 31, 2014.)

Develop District Action Plans for Direct Service Schools.....April/May/June 2014

(Alternatively, if none agree to direct services, accept applications until May 30, 2014.)

For districts submitting applications, approve or disapprove applications.....By June 30, 2014

Begin Pre-Implementation.....July 1, 2014

Begin Full Implementation.....September 1, 2014

**D. DESCRIPTIVE INFORMATION: An SEA must include the information set forth below.**

(1) Describe the SEA's process for reviewing an LEA's annual goals for student achievement for its Tier I and Tier II schools, or for its priority schools, as applicable, 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, or one or more priority schools, in at LEA that is not meeting those goals and making progress on the leading indicators in section III of the final requirements. **Districts signing Implementation Agreements and MOUs will address every requirement of the Transformation model by completing the District Action Plan collaboratively with the SEA. This plan must be revisited and adjustments made in collaboration with the SEA if the LEA is not making reasonable progress on meeting the goals or is not making progress on the leading indicators in section III of the final requirements.**

**If any LEA applies and receives a grant award to serve a Tier II or Tier I school, the LEA's annual goals for student achievement will be reviewed and approved by SEA staff during the application review and approval process. If the LEA is not making reasonable progress on meeting those goals or is not making progress on the leading indicators in section III, funding will not be renewed unless the LEA declares lack of capacity and requests and approves the SEA to provide services directly by signing an Implementation Agreement with the SEA.**

(2) 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. If an SEA is requesting the priority schools list waiver, it need not provide this information, as it will have no Tier III schools. **N/A – No Tier III schools will be served as funds will only be sufficient for two to three Tier I schools.**

(3) 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, or the priority schools, as applicable, the LEA is approved to serve. **It is anticipated that only Tier I schools will be served in LEAs signing Implementation Agreements and MOUs, so the SEA will be providing services directly. The onsite SEA staff will monitor continuously. In addition, other SIG SEA staff will provide frequent site visits to check on implementation efforts, budgetary matters, and requirements. The SEA will monitor each LEA that applies for and receives a School Improvement Grant by conducting onsite reviews and evaluations monthly as well as semi-monthly desk reviews and phone interviews to ensure that the LEA is implementing the school intervention model fully and effectively in Tier I schools. SEA School Improvement Consultants (formerly called School Coaches) will be onsite at least three days per month to monitor grant activities as well. In LEAs signing Implementation Agreements and MOUs, the onsite SEA staff will monitor constantly.**

(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. **N/A – The SEA will provide direct services only in the Tier I schools in those LEAs that agree to sign and Implementation Agreement and MOU for direct services. These schools will be offered this opportunity in rank order according to the new Tier I list of PLA Schools. There are no more than two very small schools in any LEA on the Tier I list (for example a small high school and the small 7-8 and/or K-6 school that feeds into that high school).**

(5) Describe the criteria, if any, which the SEA intends to use to prioritize among Tier III schools. If an SEA is requesting the priority schools list waiver, it need not provide this information, as it will have no Tier III schools. **N/A – No Tier III schools will be served as funds will only be sufficient for two to three Tier I schools.**

(6) If the SEA intends to take over any Tier I or Tier II schools, or any priority schools, as applicable, identify those schools and indicate the school intervention model the SEA will implement in each school. **N/A – No schools will be taken over by the SEA. The Montana Constitution vests control of public schools with the local Board of Trustees. There are no provisions in the Constitution or statute for the SEA to take over local schools or districts.**

(7) 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, or for priority schools, as applicable, 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. **The SEA will provide services directly (in the absence of a takeover) to the two to three Tier I schools that agree to the SEA implementing the Transformation model and sign Implementation Agreements and Memoranda of Understanding. The schools will be offered the opportunity to be provided direct services in rank order beginning with the lowest performing Tier I schools first. Signed agreements will be submitted by the LEAs to OPI by April 30, 2014.**

<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: The SEA must provide the assurances set forth below.**

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 outlined in the final requirements.
- 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, or each priority school, as applicable, that the SEA approves the LEA to serve.
- Monitor and evaluate the actions an LEA has taken, as outlined in its approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality.
- Monitor and evaluate the actions the LEA has taken, as outlined in its approved SIG application, to sustain the reforms after the funding period ends and provide technical assistance to LEAs on how they can sustain progress in the absence of SIG funding.
- If a Tier I or Tier II school, or priority school, as applicable, 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 or priority school, as applicable.
- Report the specific school-level data required in section III of the final SIG 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.

**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.

**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.**

Montana 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 or in its priority schools, as applicable.

**Waiver 1: Tier II waiver**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2013 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**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2013 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: Priority schools list waiver**

In order to enable the State to replace its lists of Tier I, Tier II, and Tier III schools with its list of priority schools that meet the definition of “priority schools” in the document titled *ESEA Flexibility* and that were identified in accordance with its approved request for ESEA flexibility, waive the school eligibility requirements in Section I.A.1 of the SIG final requirements.

Assurance

The State assures that its methodology for identifying priority schools, approved through its ESEA flexibility request, provides an acceptable alternative methodology for identifying the State’s lowest-performing schools and thus is an appropriate replacement for the eligibility requirements and definition of persistently lowest-achieving schools in the SIG final requirements.

**Waiver 4: Period of availability of FY 2013 funds waiver**

**Note: This waiver only applies to FY 2013 funds for the purpose of making three-year awards to eligible LEAs.**

Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY 2013 school improvement funds for the SEA and all of its LEAs to September 30, 2017.

**WAIVERS OF LEA REQUIREMENTS**

Montana 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, or 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 5: School improvement timeline waiver**

**Note: An SEA that requested and received the school improvement timeline waiver for the FY 2012 competition and wishes to also receive the waiver for the FY 2013 competition must request the waiver again in this application.**

**An SEA that has been approved for ESEA flexibility need not request this waiver as it has already received a waiver of the requirement in section 1116(b) of the ESEA to identify schools for improvement through its approved ESEA flexibility request.**

**Schools that started implementation of a turnaround or restart model in the 2011-2012, 2012-2013, 2013-2014 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 2014–2015 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 the 2014–2015 school year 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 6: Schoolwide program waiver**

**Note: An SEA that requested and received the schoolwide program waiver for the FY 2012 competition and wishes to also receive the waiver for the FY 2013 competition must request the waiver again in this application.**

**An SEA that has been approved for ESEA flexibility need not request this waiver as it has already received a waiver of the schoolwide poverty threshold through its approved ESEA flexibility request.**

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 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.

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

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.

**Here is the link to the waiver notice. No comments were received.**

<http://opi.mt.gov/Programs/TitlePrgms/TitleIA/TitleIA.html>

## 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 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. **Response: See local application materials submitted.**

#### **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, or each priority school, as applicable, the LEA commits to serve and identify the model that the LEA will use in each Tier I and Tier II school, or in each priority school, as applicable.

SCHOOL NAME	NCES ID #	PRIORITY (if applicable)	TIER I	TIER II	TIER III	INTERVENTION (TIER I AND II/PRIORITY 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, or each priority school, that the LEA commits to serve, the LEA must demonstrate that the LEA has analyzed the needs of each school, such as instructional programs, school

leadership and school infrastructure, and selected interventions for each school aligned to the needs each school has identified.

- (2) The LEA must ensure that each Tier I and Tier II school, or each priority school, that it commits to serve receives all of the State and local funds it would receive in the absence of the school improvement funds and that those resources are aligned with the interventions.
- (3) The LEA must describe actions it has taken, or will take, to—
  - Determine its capacity to provide adequate resources and related support to each Tier I and Tier II school, or each priority 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;
  - Design and implement interventions consistent with the final requirements of the turnaround model, restart model, school closure, or transformation model;
  - Recruit, screen, and select external providers, if applicable, to ensure their quality;
  - 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, or each priority school, identified in the LEA’s application.
- (5) The LEA must describe how it will monitor each Tier I and Tier II school, or each priority school, that receives school improvement funds including by-
  - Establishing annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics; and,
  - Measuring progress on the leading indicators as defined in the final requirements.
- (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 or in its priority schools, as applicable.

**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, or each priority 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, or priority 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 or priority 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, or the number of priority schools, it commits to serve multiplied by \$2,000,000 (not to exceed \$6,000,000 per school over three years).

**Example:**

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

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

- The LEA must assure that it will—
- (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school, or each priority 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, or priority 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, or priority 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;
  - (4) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality;
  - (5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding; and,
  - (6) 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 school-wide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

# Continuation Awards Only Application for Fiscal Year (FY) 2013 School Improvement Grants (SIG) Program

In the table below, list the schools that will receive continuation awards using FY 2013 SIG funds:

LEA NAME	SCHOOL NAME	COHORT #	PROJECTED AMOUNT OF FY 13 ALLOCATION
<b>TOTAL AMOUNT OF CONTINUATION FUNDS PROJECTED FOR ALLOCATION IN FY 13:</b>			

In the table below, 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 as well as noting the explicit reason and process for reallocating those funds (e.g., reallocate to rural schools with SIG grants in cohort 2 who demonstrate a need for technology aimed at increasing student literacy interaction).

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

**School Improvement Grants (SIG) Program FY 2013 Assurances**

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

- Use FY 2013 SIG funds solely to make continuation awards and will not make any new awards<sup>2</sup> to its LEAs.
- Use the renewal process identified in [State]’s most recently approved SIG application to determine whether to renew an LEA’s School Improvement Grant.
- Monitor and evaluate the actions an LEA has taken, as outlined in its approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality.
- Monitor and evaluate the actions the LEA has taken, as outlined in its approved SIG application, to sustain the reforms after the funding period ends and provide technical assistance to LEAs on how they can sustain progress in the absence of SIG funding.
- If 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.
- Report the specific school-level data required in section III of the final SIG requirements.

**By submitting the assurances and information above, [State] agrees to carry out its most recently approved SIG application and does not need to submit a new FY 2013 SIG application; however, the State must submit the signature page included in the full application package (page 3).**

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<sup>2</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 2014–2015 school year. New awards may be made with the FY 2013 funds or any remaining SIG funds not already committed to grants made in earlier competitions.

**MONTANA**

**SY 2014-2015**

**Request for Applications  
for LEA School Improvement Grants**

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

**CFDA Numbers: 84.377A; 84.388A**

**Mandatory Letter of Intent to Apply for Tier I and II Schools Due March 31, 2014**

**Applications for Tier I and II Schools Due May 30, 2014**

Montana Office of Public Instruction  
PO Box 202501  
Helena, MT 59620-2501

February 2014

**LEA School Improvement Grants 1003(g)  
Request for Applications**

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**GENERAL INFORMATION**

**DEADLINES FOR APPLICATION SUBMISSION**

**Mandatory Notice of Intent to Apply for Tier I and II Schools .....March 31, 2014**

**LEA SIG Application and Supplements for Tier I and II Schools .....May 30, 2014**

NOTE: The Mandatory Notice of Intent to Apply may be submitted by fax or email. Applications may be submitted by email no later than the due date, with an original signed Cover Page and Assurances & Waivers page submitted by mail. The signature pages must be postmarked no later than the due dates specified above. Late applications will not be reviewed.

Submit applications electronically to: [mbroaddus@mt.gov](mailto:mbroaddus@mt.gov)

**For more information, contact:**

Mandy Smoker Broaddus  
Director of School Turnaround  
Montana Office of Public Instruction  
P.O. Box 202501  
Helena, MT 59620-2501  
Phone: 406-444-3013  
Fax: 406-444-3924  
[mbroaddus@mt.gov](mailto:mbroaddus@mt.gov)

**All applicants submitting applications in a timely manner will receive a Grant Application Receipt Acknowledgment by email.**

# LEA School Improvement Grants 1003(g) Request for Applications

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## Contents

### I. SCHOOL IMPROVEMENT GRANTS (SIG) REQUEST for APPLICATIONS SUMMARY

A. Purpose of the Program.....	2
B. Final Requirements and Guidance .....	2
C. Availability of Funds and Related Conditions.....	2
D. Mandatory Notice of Intent to Apply Required .....	4
E. Eligible LEAs and Schools .....	4
F. Required School Improvement Models for Tier I Schools .....	5
G. Services for Tier III Schools .....	6
H. Evaluation Criteria and Review Process .....	6
I. Priority for Funding .....	7
J. Reporting Requirements .....	7
K. Assurances and Waivers .....	7
L. Conditions of Grant award.....	7
M. Appeals Process .....	8
N. Technical Assistance.....	8
O. Timeline for Applications .....	8
P. Submission of Application.....	8

### II. SCHOOL IMPROVEMENT GRANTS (SIG) INSTRUCTIONS & EVALUATION CRITERIA

A. Directions & Checklist.....	11
B. LEA Application Evaluation Criteria .....	11
C. School Level Application Criteria – Transformation Model .....	14
D. School Level Application Criteria – Turnaround Model .....	17
E. School Level Application Criteria – Restart Model.....	20
F. School Level Application Criteria – Closure Model.....	22

### III. SCHOOL IMPROVEMENT GRANTS (SIG) REQUEST FOR APPLICATIONS NOTICE & FORMS

A. Mandatory Notice of Intent to Apply.....	24
B. Application Cover Sheet .....	25
C. Application Elements.....	28
D. Assurances & Waivers .....	33

### IV. APPENDICES

A. Federal Regulations.....	37
B. Montana’s Definition of Persistently Lowest Achieving Schools.....	55
C. Montana’s List of Eligible Schools in Tiers I, II, and III.....	56

# LEA School Improvement Grants 1003(g) Request for Applications

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## I. SCHOOL IMPROVEMENT GRANTS (SIG) REQUEST for APPLICATIONS SUMMARY Under 1003(g) of the ESEA

### A. Purpose of the Program

School Improvement Grants, authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants, through State educational agencies (SEAs), to local educational agencies (LEAs) for use in Title I schools identified for improvement, corrective action, or restructuring 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 their students so as to enable the schools to make adequate yearly progress and exit improvement status. Under the final requirements, published in the Federal Register in October 2010 (final requirements, attached as Appendix A), school improvement funds are to be focused on each State's "Tier I" and "Tier II" schools. Tier I schools are a State's persistently lowest-achieving Title I schools in improvement, corrective action, or restructuring and, if a State so chooses, certain Title I eligible elementary schools that are as low achieving as the State's other Tier I schools. Tier II schools are a State's persistently-lowest achieving secondary schools that are eligible for, but do not receive, Title I, Part A funds and, if a State so chooses, certain additional Title I eligible 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. An LEA may also use school improvement funds in Title I schools in improvement, corrective action, or restructuring that are not identified as persistently lowest-achieving schools and, if a State so chooses, certain additional Title I eligible schools ("Tier III schools"). In the Tier I 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 OR another model approved by the SEA and the U.S. Department of Education (USED).

### B. Final Requirements and Guidance

The *Final Requirements* that govern the SIG grants and the US Department of Education *Guidance on School Improvement Grants Under 1003(g) of the ESEA, Revised November 1, 2010* and published by the US Department of Education provide complete information about the program and provides answers to frequently asked questions. These documents are posted on the department website at [www.ed.gov](http://www.ed.gov). References will be made to the "requirements" and to the "guidance" that will provide assistance in completing the grant application. Applicants are strongly encouraged to print and review these documents carefully in addition to this application packet prior to submitting a Notice of Intent to Apply for any funds under this application.

### C. Availability of Funds and Related Conditions

- 1. Projected Total Available for Awards:** For state fiscal year (FY) 2015, there is up to \$1.4 Million available for up to three years under the School Improvement Grants to LEAs under section 1003(g). These funds are being awarded to LEAs with eligible schools by the Montana Office of Public Instruction (OPI) through a competitive grant process as described in this Request for Applications. The LEA's total grant may not be less than \$50,000 or more than \$2,000,000 per year for each Tier I or II school that the LEA commits to serve, but the individual budgets for each school may vary within the total grant to the LEA. The range of grant awards will vary depending on the number of

## LEA School Improvement Grants 1003(g) Request for Applications

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schools served and the type of intervention models chosen for Tier I and II schools. Schools may need more or less funding depending on the size or the costs of the strategies to be implemented in the chosen model.

- Approximately \$250,000 to \$500,000 per year for 3 years for each Tier I school site with an enrollment of 100 students to implement a turnaround, transformation, or restart model.
- Approximately \$50,000 for one year to close a Tier I school with an enrollment of 100 students.

The State reserves the right to award a smaller or larger amount of grant funds than requested based upon available funding and the recommendations of the review panel.

**Grant Period:** The grant period will be for up to three school years of full implementation. Initial grant awards will be for the 2014-2015 school year. The grant award will begin as soon as the grants are approved, and funds may be used prior to the 2014-2015 school year for certain approved activities in the pre-implementation period, if approved. Federal FY 2013 school improvement funds are available for obligation by SEAs and LEAs through September 30, 2017 with a waiver from the USED. These funds must cover the pre-implementation activities plus the full implementation during the covered school years. Funding for subsequent school years is expected to be of similar size, but is always dependent upon future Congressional funding. Continued funding is also dependent on the school's meeting or making progress toward the annual goals specified in the LEA's application for the school and in the leading indicators as defined in the reporting metrics in III.A.3 of the final requirements.

- 1. Supplement, Not Supplant Conditions:** Federal funds received under SIG 1003(g) must be used to supplement, not supplant state and local funding. The LEA must ensure that each served Tier I and II school receives all of the state and local funds it would receive in the absence of SIG funds. The implementation of the supplement, not supplant requirement varies depending on what type of Title I program is operated in the school. In a Title I school operating a schoolwide (SWP) program, the funding must be supplemental to funding provided through state and local sources. In a Title I school operating a targeted assistance (TA) program, the LEA must ensure that the Title I, Part A funds the school receives are used only for activities that supplement those that would be available from non-Federal funds for Title I participating students in the absence of the Title I, Part A funds. In order to implement one of the required school improvement models schoolwide in a Tier I or Tier II Title I school that has less than 40% poverty, it will be necessary for LEAs to apply for a waiver to operate a schoolwide program in the school. See question F-4 in the guidance for more information.

# LEA School Improvement Grants 1003(g) Request for Applications

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## D. Mandatory Notice of Intent to Apply Required

In order to determine the expected applications and amount of funding that LEAs will be requesting, the OPI is requiring a mandatory Notice of Intent to Apply to be submitted by March 31, 2014. This notice requires an LEA with Tier I or II schools to list those schools that it commits to serve, if funding is available. The OPI will use that information to determine how many Tier I and II schools may be able to be served in those districts. The OPI will provide additional guidance to districts related to the possible amounts of funding available prior to submission of final applications.

## E. Eligible LEAs and Schools

An LEA is eligible to receive a SIG grant if it has at least one school on the list of eligible schools. Schools that are eligible for funding are those listed on the list of Tier I and II schools as determined by the state according to the final requirements of the SIG grants. Priority for funding must go to Tier I schools.

If an LEA has one or more	In order to get SIG funds, the LEA <u>must</u> commit to serve
Tier I, II, and III schools	Each Tier I school it has capacity to serve; at a minimum, at least one Tier I school OR at least one Tier II school
Tier I and II schools, but no Tier III schools	Each Tier I school it has capacity to serve; at a minimum, at least one Tier I school OR at least one Tier II school
Tier I and III schools, but no Tier II schools	Each Tier I school it has capacity to serve; at a minimum, at least one Tier I school
Tier II and III schools, but no Tier I schools	The LEA has the option to commit to serve as many Tier II schools as it wishes
Tier I schools only	Each Tier I school it has capacity to serve
Tier III schools only	The LEA cannot serve Tier III schools
Tier II schools only	The LEA has the option to commit to serve as many Tier II schools as it wishes

# LEA School Improvement Grants 1003(g) Request for Applications

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## Required School Improvement Models for Tier I or II Schools

To receive SIG funding, a Tier I or II school *must* implement one of four intervention models – Turnaround, Transformation, Restart, or Closure OR another model approved by the SEA and the USED.. An overview of each model is provided here, but the applicant is strongly encouraged to carefully read the final requirements and the guidance for specific requirements of each model before submitting a Notice of Intent to Apply.

### Turnaround Model Overview

- **Teachers & Leader**
  - Replace principal
  - Use locally adopted “turnaround” competencies to review and select staff for school (rehire no more than 50% of existing staff)
  - Implement strategies to recruit, place and retain staff
- **Instructional and Support Strategies**
  - Select and implement an instructional model based on student needs
  - Provide job-embedded PD designed to build capacity and support staff
  - Ensure continuous use of data to inform and differentiate instruction
- **Time and Support**
  - Provide *increased learning time* (for staff and students)
  - Social-emotional and community-oriented services and supports
- **Governance**
  - New governance structure
  - Grant operating flexibility to school leader

### Transformation Model Overview

- **Teachers and Leaders**
  - Replace principal
  - Implement new evaluation system
  - Developed with staff
  - Uses student growth as a significant factor
  - Identify and reward staff who are increasing student outcomes; support and then remove those who are not
  - Implement strategies to recruit, place and retain staff
- **Instructional and Support Strategies**
  - Select and implement an instructional model based on student needs
  - Provide job-embedded professional development designed to build capacity and support staff
  - Ensure continuous use of data to inform and differentiate instruction
- **Time and Support**
  - Provide *increased learning time* (for staff and students)
  - Provide ongoing mechanism for community and family engagement
  - Partner to provide social-emotional and community-oriented services and supports
- **Governance**
  - Provide sufficient operating flexibility to implement reform
  - Ensure ongoing technical assistance

# LEA School Improvement Grants 1003(g) Request for Applications

## Restart Model Overview

Restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected **through a rigorous review process**.

- A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.
- A rigorous review process could take such things into consideration as an applicant's team, track record, instructional program, model's theory of action, sustainability.
- As part of this model, a State must review the process the LEA will use/has used to select the partner.
- The LEA must seek charter school status through the process required by the Montana Board of Public Education in ARM 10.55.604 (charter school rule in the Standards of Accreditation).

## Closure Model Overview

School closure occurs when an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are **higher achieving**.

- These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available.
- Office for Civil Rights Technical Assistance Module--Struggling Schools and School Closure Issues: *An Overview of Civil Rights Considerations*

Note: A Tier I or II school that implements either the Turnaround Model or the Restart Model may also receive a waiver to “start over” in the AYP school improvement timeline. A school that “starts over” will not be identified with an AYP level for the 2014-2015 school year. If it misses AYP based on the spring 2015 testing, it will be considered to be at AYP Year 1 (Yr1 or Watch List) for 2015-2016. A school must make progress toward its annual goals in its SIG application and continue to receive SIG funding for 2015-2016 and 2016-2017 (if funds are available) in order to remain on the “start over” AYP timeline. If the school discontinues implementing the planned model or does not continue to receive SIG funds, the school will be designated at the AYP level that it would have been in the absence of implementing the model and receiving the waiver to “start over” in the AYP timeline.

**F. Services for Tier III Schools – No Tier III schools will be considered for 2014-2015 applications due to limited funding.**

## **G. Evaluation Criteria and Review Process**

The OPI will convene a panel of reviewers to evaluate the LEA applications according to the criteria as described in the Application Instructions section. The overall LEA application will be rated on the specified criteria. Each school application supplement will be reviewed on its model-specific criteria. In order to be recommended for funding, both the overall LEA application and an individual school supplement application must receive at least 60% of the possible total points and all required elements must be addressed. ***An LEA application that receives a score of 0 on any required element will not be funded.*** The panel of reviewers will make recommendations on each individual school plan as well as on the overall LEA application, and, for any elements that receive a rating of less than 3, the district must submit additional information before funding will be awarded. See Section II of this packet for the LEA and School

# LEA School Improvement Grants 1003(g) Request for Applications

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Level Application Criteria. The panel may recommend funding any one or more individual school plans in the LEA plan, and may make recommendations on the amount of funding requested.

## H. Priority for Funding

The OPI is required to give priority for funding to Tier I and II schools.

## I. Reporting Requirements

Data will be collected for the US Department of Education on each school that receives a SIG grant. The state will report a list of all LEAs that received a SIG grant and the amount of the grant. It will also report the list of schools in each LEA that were served, and the amount of funds or value of services received. Additional reporting metrics are required and will be reported for each Tier I and II school that is served. Most of the data is already collected and reported by the state, but the following reporting metrics are new for the SIG program and must be annually reported by schools receiving a SIG grant:

- 1) Which intervention the school used (*i.e.*, turnaround, restart, school closure, transformation, or “other approved”);
- 2) Number of minutes within the school year (based on the actual time school is in session);
- 3) Average scale scores on State assessments in reading/language arts and mathematics, by grade, for the “all students” group, for each achievement quartile, and for each subgroup;
- 4) Number and percentage of students completing advanced coursework (*e.g.*, AP/IB), early-college high schools, or dual enrollment classes (high school only); and
- 5) Teacher attendance rate.

See the complete list of reporting metrics, both for achievement indicators and leading indicators, in III.A.3. of the final requirements.

## J. Assurances and Waivers

The LEA must sign the Assurances and Waivers Signature Page of the application and indicate which waivers, if any, will be implemented.

## K. Conditions of Grant award

### Evaluation of Grantee performance / continuation of funding:

Entities receiving federal funds are required to meet all necessary reporting requirements of the grant. In awarding the grant, the state expects the grantees to conduct all activities and evaluation measures as written or negotiated in the approved grant proposal. Failure to provide the requested performance reports; report and evaluate on all activities as proposed; and implement the grant as written; could result in the loss of funding. Any changes to the original funded proposal (including modifications to goals and/or objectives) must receive prior approval by the state.

The state reserves the rights to withhold funding, reduce funding, or terminate funding if the proposal is not meeting program reporting requirements, making substantial progress toward meeting identified performance goals and measures; or does not demonstrate a clear need for the allotted level of grant support. This includes access to unexpended funds at the end of each fiscal year.

After it has been awarded, the OPI may terminate a grant by giving the grantee written notice of termination. In the event of termination after award, the OPI shall reimburse the grantee for approved grant

# LEA School Improvement Grants 1003(g) Request for Applications

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expenses incurred up to the notification of termination. This grant is subject to federal appropriations and may be reduced or terminated based on federal appropriated funds in any given fiscal year.

The state retains the right to refrain from making any awards if it determines that to be in its best interest. This RFA does not, by itself, obligate the state.

The state reserves the right to add terms and conditions during grant negotiations. These terms and conditions will be within the scope of the RFA and will not affect the proposal reviews.

After the completion of grant negotiations, the state will issue a written Notice of Intent to Award (NIA) and send copies to all applicants. The NIA will set out the names of all applicants and identify the proposal(s) selected for award.

The state reserves the right to modify annual awards based on the actual amount of congressional appropriation towards this grant program.

## L. Appeals Process

Any appeals must be filed no later than 30 calendar days after receiving Notice of Intent to Award. The appeals process is outlined in the State and Federal Grants Handbook that is located on the OPI web site at [www.opi.mt.gov](http://www.opi.mt.gov).

## M. Technical Assistance

Documents and resources to assist districts in submitting a SIG application will be found on the OPI website at [www.opi.mt.gov](http://www.opi.mt.gov) under Title I Programs. In addition to the requirements and guidance from the US Department of Education, the following resources will be helpful:

- *Handbook on Effective Implementation of School Improvement Grants* from the Center on Innovation and Improvement at [www.cii.org](http://www.cii.org)
- Montana Comprehensive Literacy Plan at [http://opi.mt.gov/PDF/Instructional\\_Innovations/MSRP/12NovMtLiteracyPlan.pdf](http://opi.mt.gov/PDF/Instructional_Innovations/MSRP/12NovMtLiteracyPlan.pdf)

## N. Timeline for Applications

Final RFA Released .....	March, 2014
<b>Notice of Intent to Apply for Tier I and II Schools .....</b>	<b>March 31, 2014</b>
<b>LEA Application for Tier I and II Schools .....</b>	<b>May 30, 2014</b>
Notice of Intent to Award for Tier I and/or II Schools .....	June 30, 2014
Pre-Implementation Funding Begins for Tier I and/or II .....	July 1, 2014
Implementation Funding Begins .....	September 1, 2014

## O. Submission of Application

Electronic Submission: The OPI strongly prefers to receive an LEA's School Improvement Grant application electronically. The district should submit it to the following address:

[mbroaddus@mt.gov](mailto:mbroaddus@mt.gov)

## **LEA School Improvement Grants 1003(g) Request for Applications**

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In addition, the LEA must submit a paper copy of the cover page signed by the LEA's authorized representative to the address listed below (mailed on or before the due date of the application).

*Paper Submission:* In the alternative, an SEA may submit the original and two copies of its School Improvement Grant application to the following address:

Mandy Smoker Broaddus

Director of School Turnaround

Montana Office of Public Instruction

PO Box 202501

Helena, MT 59620-2501



# LEA School Improvement Grants 1003(g) Request for Applications

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## II. SCHOOL IMPROVEMENT GRANTS (SIG) INSTRUCTIONS & EVALUATION CRITERIA

### A. Directions & Checklist

A complete LEA application consists of Section III of this application packet, a budget for the LEA that includes all school budgets, and the applicable application supplement for each school plan. The following checklist will assist the district in submitting a complete application.

*This section is for your use only. **Do not** submit this section with the application.*

- LEA SIG Application (Section III of this document, pages 25 - 32)
  - Application Cover Page, signed by the district superintendent
  - Application Required Elements
  - Assurances and Waivers Signature Page
- LEA SIG Budget (Include complete budget for 3 years for all schools the LEA commits to serve, using the Budget form provided.)
- Application Supplement for each Tier I school.

# LEA School Improvement Grants 1003(g) Request for Applications

## B. LEA Application Evaluation Criteria

The following criteria will be used by the reviewers to evaluate the LEA application as a whole. Individual school plans will each be evaluated separately according to the type of intervention planned. The quality of the individual school plan ratings will be incorporated into the first element of the overall LEA application evaluation. In order for the overall LEA application to be recommended for funding, the overall application must receive at least 60% of the total possible points and all required elements must be addressed. ***An LEA application that receives a score of 0 on any required element will not be funded.*** Depending on reviewers' recommendations and available funding, the LEA overall application may be recommended for funding, yet one or more individual school plans submitted may not be recommended for funding, or may be recommended for a different amount of funding.

<b>LEA Overall Application</b>	<b>Inadequate (information not provided)</b>	<b>Minimal (requires additional clarification)</b>	<b>Good (clear and complete)</b>	<b>Excellent (concise and thoroughly developed)</b>
<b>LEA overall application</b>				
1. LEA has provided a complete application with all required elements addressed for each Tier I and II school it commits to serve. Each school supplement plan has minimum point score of 60% of the total possible points, and no required elements receiving 0 points, excluding priority points.	0	2	6	10
2. LEA has clearly articulated its capacity to provide adequate resources and support to each Tier I and II school in the LEA's application, addressing specifically the area of human capacity at the district level and the ability to recruit and retain qualified and effective principals and teachers.	0	1	3	5
3. LEA has clearly articulated its capacity to provide adequate resources and support to each Tier I and II school in the LEA's application, addressing the ability to provide direct support and to contract with external providers, as needed. It has described the process for recruiting, screening, and selecting any external providers that will be used to provide support to the schools.	0	1	3	5
4. LEA has provided reasonable assurance of its ability to overcome any barriers in implementing the selected school intervention models, including changing any policies, procedures, or negotiated agreements. Statements or evidence of support has been provided by the teachers' union, the school board, staff, or parents as applicable.	0	1	3	5
5. LEA's record of previous actions taken to improve achievement in its schools and use of federal grants awarded to the district within the past two school years support the LEA's articulated capacity to use SIG funds to provide adequate resources and related support to each Tier I and II school in the LEA's application.	0	1	3	5
6. LEA has sufficiently explained why it does not have the capacity to serve each of its Tier I and II schools, addressing all applicable areas. The explanation of lack of capacity supports the LEA's description of the capacity it does have to serve the schools that it has committed to serve.	0	1	3	5

**LEA School Improvement Grants 1003(g)  
Request for Applications**

7. LEA overall application and individual school plans demonstrate a likelihood that the proposed reform efforts will succeed.	0	1	3	5
8. LEA's process for recruiting, screening, and selecting any external providers that will be used to provide support to the schools ensures that external providers have the capacity and a meaningful plan for contributing to the reform efforts in the schools.	0	1	3	5
9. LEA has provided a reasonable plan for sustaining the reforms in Tier I schools after the funding period ends.	0	1	3	5
10. LEA has provided a comprehensive, realistic budget to serve all schools throughout the period of funding availability.	0	1	3	5
11. LEA provided documentation of appropriate consultation with stakeholders and has submitted a signed cover page and assurances & waivers page.	0	1	3	5
<b>TOTAL POINTS POSSIBLE</b>	<b>60</b>			

# LEA School Improvement Grants 1003(g) Request for Applications

## C. SCHOOL LEVEL APPLICATION CRITERIA – Transformation Model

The following criteria will be used by the reviewers to evaluate each school level Transformation Model application supplement. In order to be considered for funding, a school plan must receive at least 60% of the total possible points and all required elements must be addressed. *An LEA or school application that receives a score of 0 on any required element will not be funded.*

<i>Transformation Model Criteria</i>	Inadequate (information not provided)	Minimal (requires additional clarification)	Good (clear and complete)	Excellent (concise and thoroughly developed)
<b>LEA Analysis of Needs &amp; LEA Capacity</b>				
Analysis of all required data is provided (CRTs, attendance & grad rates, ELP assessment).	0	1	3	5
Additional data has been analyzed.	0	1	3	5
Needs identified from data provided match data analysis provided.	0	1	3	5
Intervention model chosen shows likelihood of addressing identified needs.	0	1	3	5
LEA has clearly articulated its capacity to implement each component of the selected model.	0	1	3	5
LEA has clearly identified any potential barriers to implementing any components of the selected model and how those barriers will be overcome.	0	1	3	5
Pre-implementation activities, if proposed, are allowable and will support full implementation of the model.	NA	No	Yes	NA
LEA has described a reasonable plan for sustaining the reform efforts after the funding period ends.	0	1	3	5
<b>Timeline, Goals &amp; Monitoring</b>				
LEA has clearly described a timeline for the implementation of the model. The model is implemented beginning in the 2014-2015 school year. (Note: US ED Guidance, question F-2, allows that certain model components, such as job-embedded professional development or identifying and rewarding teachers and principals who have increased student achievement and high school graduation rates through effective implementation of a model, will occur later in the process of implementing a model.)	0	1	3	5
LEA has clearly described reasonable & achievable goals for the school in reading/language arts, mathematics, and graduation rate (as applicable).	0	1	3	5
LEA has clearly described how it will monitor the progress of its Tier I and II schools that receive SIG funds.	0	1	3	5
<b>Implementation of Transformation Model</b>				
<b>(1) Developing Teacher &amp; Leader Effectiveness – Required Activities</b>				
(A) Replace the principal who led the school prior to commencement of the transformation model.	0	1	3	5

# LEA School Improvement Grants 1003(g) Request for Applications

(B) Use rigorous, transparent, and equitable systems for evaluation of teachers and principals that take into account data on student growth and are designed and developed with teacher and principal involvement.	0	1	3	5
(C) Identify and reward school leaders, teachers, and other staff who have increased student achievement and /or high school graduation rates and remove those who, after ample opportunities to improve, have not done so.	0	1	3	5
(D) Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching & learning and have the capacity to successfully implement school reform strategies.	0	1	3	5
(E) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a transformation model.	0	1	3	5
<b>(2) Comprehensive Instructional Reform Strategies – Required Activities</b>				
(A) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with state academic standards.	0	1	3	5
(B) Promote the continuous use of student data (such as formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.	0	1	3	5
<b>(3) Increasing Learning Time – Required Activities</b>				
(A) Establish schedules and strategies that provide increased learning time that significantly increases the total number of school hours to include additional time for (a) instruction in core academic subjects, (b) instruction in other subjects and enrichment activities, and (c) teachers to collaborate, plan, and engage in professional development (as defined in the final regulations).	0	1	3	5
(B) Provide ongoing mechanisms for family and community engagement.	0	1	3	5
<b>(4) Providing Operational Flexibility and support – Required Activities</b>				
(A) Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement a fully comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.	0	1	3	5
(B) Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).	0	1	3	5
<b>Transformation Model – Permissible Activities</b>				
All permissible activities have been described completely and are aligned with and enhance the model.	0	1	3	5

**LEA School Improvement Grants 1003(g)  
Request for Applications**

<b>Budget &amp; Resources</b>				
Budget provided is within the estimated range for the transformation model, or adequate rationale is provided for budgets outside the estimated range.	0	1	3	5
Budget realistically estimates the cost of implementing the transformation model for the entire grant period.	0	1	3	5
Budget clearly aligns with components of transformation model.	0	1	3	5
Funding sources and amounts are provided for all three school years.	0	1	3	5
LEA has clearly described how other resources align with and enhance the intervention model chosen.	0	1	3	5
<b>TOTAL POINTS POSSIBLE</b>	<b>135</b>			

# LEA School Improvement Grants 1003(g) Request for Applications

## D. SCHOOL LEVEL APPLICATION CRITERIA – Turnaround Model

The following criteria will be used by the reviewers to evaluate each school level Turnaround Model application supplement. In order to be considered for funding, a school plan must receive at least 60% of the total possible points and all required elements must be addressed. *An LEA or school application that receives a score of 0 on any required element will not be funded.*

<i>Turnaround Model Criteria</i>	Inadequate (information not provided)	Minimal (requires additional clarification)	Good (clear and complete)	Excellent (concise and thoroughly developed)
<b>LEA Analysis of Needs &amp; LEA Capacity</b>				
Analysis of all required data is provided (CRTs, attendance & grad rates, ELP assessment).	0	1	3	5
Additional data has been analyzed.	0	1	3	5
Needs identified from data provided match data analysis provided.	0	1	3	5
Intervention model chosen shows likelihood of addressing identified needs.	0	1	3	5
LEA has clearly articulated its capacity to implement each component of the selected model.	0	1	3	5
LEA has clearly identified any potential barriers to implementing any components of the selected model and how those barriers will be overcome.	0	1	3	5
Pre-implementation activities, if proposed, are allowable and will support full implementation of the model.	NA	No	Yes	NA
LEA has described a reasonable plan for sustaining the reform efforts after the funding period ends.	0	1	3	5
<b>Timeline, Goals &amp; Monitoring</b>				
LEA has clearly described a timeline for the implementation of the model. The model is implemented beginning in the 2014-2015 school year. (Note: US ED Guidance, question F-2, allows that certain model components, such as job-embedded professional development or identifying and rewarding teachers and principals who have increased student achievement and high school graduation rates through effective implementation of a model, will occur later in the process of implementing a model.)	0	1	3	5
LEA has clearly described reasonable & achievable goals for the school in reading/language arts, mathematics, and graduation rate (as applicable).	0	1	3	5
LEA has clearly described how it will monitor the progress of its Tier I and II schools that receive SIG funds.	0	1	3	5
<b>Implementation of Turnaround Model</b>				
<b>Required Activities</b>				
(i) Replace the principal and grant sufficient operational flexibility in staffing, calendars/time, and budgeting to fully implement comprehensive reform.	0	1	3	5

# LEA School Improvement Grants 1003(g) Request for Applications

(ii) Screen existing staff, rehire no more than 50% and select new staff using locally adopted competencies to measure the staff effectiveness to work in a turnaround model.	0	1	3	5
(iii) Implement such strategies as financial incentives, increased opportunities for promotion, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school.	0	1	3	5
(iv) Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching & learning and have the capacity to successfully implement school reform strategies.	0	1	3	5
(v) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA or SEA, hire a "turnaround leader" who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability.	0	1	3	5
(vi) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards.	0	1	3	5
(vii) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.	0	1	3	5
(viii) Establish schedules and implement strategies that provide increased learning time that significantly increases the total number of school hours to include additional time for (a) instruction in core academic subjects, (b) instruction in other subjects and enrichment activities, and (c) teachers to collaborate, plan, and engage in professional development (as defined in the final regulations).	0	1	3	5
(ix) Provide appropriate social-emotional and community-oriented services and supports for students.	0	1	3	5
All permissible activities have been described completely and are aligned with and enhance the model.	0	1	3	5
<b>Budget &amp; Resources</b>				
Budget provided is within the estimated range for the turnaround model, or adequate rationale is provided for budgets outside the estimated range.	0	1	3	5
Budget realistically estimates the cost of implementing the turnaround model for the entire grant period.	0	1	3	5
Budget clearly aligns with components of turnaround model.	0	1	3	5
Funding sources and amounts are provided for all three school years.	0	1	3	5
LEA has clearly described how other resources align with and enhance the intervention model chosen.	0	1	3	5

**LEA School Improvement Grants 1003(g)  
Request for Applications**

<b>TOTAL POINTS POSSIBLE</b>	<b>125</b>			

# LEA School Improvement Grants 1003(g) Request for Applications

## E. SCHOOL LEVEL APPLICATION CRITERIA – Restart Model

The following criteria will be used by the reviewers to evaluate each school level Restart Model application supplement. In order to be considered for funding, a school plan must receive at least 60% of the total possible points and all required elements must be addressed. ***An LEA or school application that receives a score of 0 on any required element will not be funded. The LEA must seek charter school status through the Montana Board of Public Education as per ARM 10.55.604 (Standards of Accreditation).***

<b><i>Restart Model Criteria</i></b>	<b>Inadequate (information not provided)</b>	<b>Minimal (requires additional clarification)</b>	<b>Good (clear and complete)</b>	<b>Excellent (concise and thoroughly developed)</b>
<b>LEA Analysis of Needs &amp; LEA Capacity</b>				
Analysis of all required data is provided (CRTs, attendance & grad rates, ELP assessment).	0	1	3	5
Additional data has been analyzed.	0	1	3	5
Needs identified from data provided match data analysis provided.	0	1	3	5
Intervention model chosen has shows likelihood of addressing identified needs.	0	1	3	5
LEA has clearly articulated its capacity to implement each component of the selected model.	0	1	3	5
LEA has clearly identified any potential barriers to implementing any components of the selected model and how those barriers will be overcome.	0	1	3	5
Pre-implementation activities, if proposed, are allowable and will support full implementation of the model.	NA	No	Yes	NA
LEA has described a reasonable plan for sustaining the reform efforts after the funding period ends.	0	1	3	5
<b>Timeline, Goals &amp; Monitoring</b>				
LEA has clearly described a timeline for the implementation of the model. The model is implemented beginning in the 2014-2015 school year. (Note: US ED Guidance, question F-2, allows that certain model components, such as job-embedded professional development or identifying and rewarding teachers and principals who have increased student achievement and high school graduation rates through effective implementation of a model, will occur later in the process of implementing a model.)	0	1	3	5
LEA has clearly described reasonable & achievable goals for the school in reading/language arts, mathematics, and graduation rate (as applicable).	0	1	3	5
LEA has clearly described how it will monitor the progress of its Tier I and II schools that receive SIG funds.	0	1	3	5
<b>Implementation of Restart Model</b> LEA converts a school or closes and reopens under a charter school operator.				
<b><i>Required Activities</i></b>				

# LEA School Improvement Grants 1003(g) Request for Applications

LEA has clearly described how it will engage in a rigorous process to verify the capacity of the charter school operator to provide services that reflect what is required at this school.	0	1	3	5
LEA has described how it will require a prospective operator to demonstrate that its strategies are research-based.	0	1	3	5
LEA has described how it will require a prospective operator to demonstrate that its curriculum, instruction, and assessment are aligned with the Montana Common Core Standards.	0	1	3	5
LEA has described how it will require a prospective operator to demonstrate a healthy fiscal history.	0	1	3	5
LEA has described how it will require a prospective operator to demonstrate that it has provided realistic detailed budget estimates for operating the school and implementing the school improvement services.	0	1	3	5
LEA has described how it will require a prospective operator to insure that its instructional programs will be secular, neutral, and non-ideological.	0	1	3	5
LEA has described how it will develop a set of non-negotiable performance-based benchmarks to serve as the basis for holding the charter school operator accountable for meeting the final requirements for SIG fund expenditures.	0	1	3	5
LEA has described how it will ensure that the charter school operator is provided autonomy and flexibility to enact school improvement activities and to administer the entire school program.	0	1	3	5
LEA has described how it will assure that all former students are allowed to be enrolled in the school that has selected the restart model.	0	1	3	5
<b>Budget &amp; Resources</b>				
Budget provided is within the estimated range for the restart model, or adequate rationale is provided for budgets outside the estimated range.	0	1	3	5
Budget realistically estimates the cost of implementing the restart model for the entire grant period.	0	1	3	5
Budget clearly aligns with components of restart model.	0	1	3	5
Funding sources and amounts are provided for all three school years.	0	1	3	5
LEA has clearly described how other resources align with and enhance the intervention model chosen.	0	1	3	5
<b>TOTAL POINTS POSSIBLE</b>	<b>120</b>			

# LEA School Improvement Grants 1003(g) Request for Applications

## F. SCHOOL LEVEL APPLICATION CRITERIA – Closure Model

The following criteria will be used by the reviewers to evaluate each school level Closure Model application supplement. In order to be considered for funding, a school plan must receive at least 60% of the total possible points and all required elements must be addressed. *An LEA or school application that receives a score of 0 on any required element will not be funded.*

<i>Closure Model Criteria</i>	Inadequate (information not provided)	Minimal (requires additional clarification)	Good (clear and complete)	Excellent (concise and thoroughly developed)
<b>LEA Analysis of Needs &amp; LEA Capacity</b>				
Analysis of all required data is provided (CRTs, attendance & grad rates, ELP assessment).	0	1	3	5
Additional data has been analyzed.	0	1	3	5
Needs identified from data provided match data analysis provided.	0	1	3	5
Intervention model chosen has shows likelihood of addressing identified needs.	0	1	3	5
LEA has clearly articulated its capacity to implement each component of the selected model.	0	1	3	5
LEA has clearly identified any potential barriers to implementing any components of the selected model and how those barriers will be overcome.	0	1	3	5
Pre-implementation activities, if proposed, are allowable and will support full implementation of the model.	NA	No	Yes	NA
LEA has described a reasonable plan for sustaining the reform efforts after the funding period ends.	0	1	3	5
<b>Timeline, Goals &amp; Monitoring</b>				
LEA has clearly described a timeline for the implementation of the model. The model is implemented beginning in the 2014-2015 school year.	0	1	3	5
LEA has clearly described how it will monitor the progress of its Tier I and II schools that receive SIG funds.	0	1	3	5
<b>Implementation of Closure Model</b>				
LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving.				
<b>Required Activities</b>				
LEA has described the process by which the district will close the school.	0	1	3	5
LEA has described how parents and community members will be notified and involved in the decision for school closure.	0	1	3	5
LEA described how it will decide which other schools are in reasonable proximity to the closed school in order to receive its former students.	0	1	3	5
LEA described how it will decide which of the nearby schools are higher achieving than the closed school.	0	1	3	5

**LEA School Improvement Grants 1003(g)  
Request for Applications**

LEA described how it will assure that all former students are allowed to be enrolled in a new school.	0	1	3	5
LEA described in what ways parents will be notified of the school closure and of their children's new school destination.	0	1	3	5
<b>Budget &amp; Resources</b>				
Budget provided is within the estimated range for the closure model, or adequate rationale is provided for budgets outside the estimated range.	0	1	3	5
Budget realistically estimates the cost of implementing the closure model.	0	1	3	5
Budget clearly aligns with components of closure model.	0	1	3	5
Funding sources and amounts are provided for three years..	0	1	3	5
LEA has clearly described how other resources align with and enhance the intervention model chosen.	0	1	3	5
<b>TOTAL POINTS POSSIBLE</b>	<b>100</b>			

**LEA School Improvement Grants 1003(g)  
Request for Applications**

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**G. SCHOOL IMPROVEMENT GRANTS (SIG)**

**REQUEST for APPLICATIONS NOTICE & FORMS**

**MANDATORY NOTICE OF INTENT TO APPLY**  
**LEA SCHOOL IMPROVEMENT GRANTS UNDER SECTION 1003(g) ESEA**  
**FOR SCHOOL YEAR 2014-2015**

**FORM DUE March 31, 2014 (FOR TIER I or II Schools)**

**District:** \_\_\_\_\_  
**District Contact:** \_\_\_\_\_  
**Phone:** \_\_\_\_\_  
**Email:** \_\_\_\_\_

List each school that the LEA will commit to serve with SIG funds, if funds are available and awarded.

<b>SCHOOL NAME</b>	<b>School Code (SC ###)</b>	<b>Tier (I or II)</b>	<b>Proposed Model if Tier I or II (Transformation, Turnaround, Restart, Closure, or Other)</b>	<b>Estimated Funding Total (Sum for 3 years)</b>

If the LEA is not applying to serve each Tier I or II school, please explain why:

**LEA School Improvement Grants 1003(g)  
Request for Applications**

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**LEA School Improvement Grants 1003(g)  
Request for Applications**

**LEA SCHOOL IMPROVEMENT GRANTS 1003(g)  
APPLICATION COVER SHEET**

**District Name :** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** MT **Zip:** \_\_\_\_\_

**District Contact data for the School Improvement 1003(g) Grant**

**Contact Name:** \_\_\_\_\_

**Position** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** MT **Zip:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **FAX:** \_\_\_\_\_

**Email:** \_\_\_\_\_

**District Signature**

\_\_\_\_\_  
District Superintendent (Printed Name):

\_\_\_\_\_  
Telephone:

**X**  
\_\_\_\_\_  
Signature of the Superintendent:

\_\_\_\_\_  
Date:

The district, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement 1003(g) Grants program, including the assurances contained herein and the conditions that apply to any waivers that the district receives through this application.

**LEA School Improvement Grants 1003(g)  
Request for Applications**

**LEA SCHOOL IMPROVEMENT GRANTS 1003(g)  
APPLICATION ELEMENTS**

*Section numbers may be referenced to the required element in the final requirements and USED SIG application document.*

**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.**

List each Tier I and II school the district commits to serve and identify the school intervention model that the district will use in each Tier I and II school. Use the chart below or attach a separate chart.

**If an approved “Other” model is selected, please leave model column blank.**

SCHOOL NAME	School Code (SC###)	Tier (I or II)	INTERVENTION MODEL (TIER I and II ONLY)				FUNDING Total sum requested for 3 years
			Trans- formation	Turn- around	Restart	Closure	

**B.1. LEA CAPACITY: LEA capacity to provide adequate resources and support to all Tier I and II schools that the LEA is planning to serve.**

Please address the capacity of the LEA to provide adequate resources and support to all Tier I and II schools listed above. Address each area (text boxes expand as you type):

- a. **Human Capacity:** Describe the qualifications and staff availability at the district office to provide support to the schools and the district’s ability to recruit and retain qualified teachers and principals with the skills needed to implement the applicable model.

- b. **Capacity to provide support:** Describe the ability of the district to provide support to the schools in implementing instructional changes, providing professional development, and any other areas of assistance needed by the schools, including the ability to contract with external providers for services (as applicable). Describe the process for recruiting, screening, and selecting any external providers that will be used to provide support to the schools.

**LEA School Improvement Grants 1003(g)  
Request for Applications**

- c. **Policies or procedures:** Describe the need and the LEA’s ability to change any policies or procedures that may create barriers to implementation. Include evidence or a statement of support for such changes, as applicable, from the teachers’ union, school board, staff, and parents.

- d. **LEA needs:** Describe any LEA needs for additional assistance from the state.

- e. **Previous efforts:** Describe the LEA’s previous efforts and results in implementing strategies to improve student achievement and the LEA’s application for and use of other federal funds during the prior two school years.

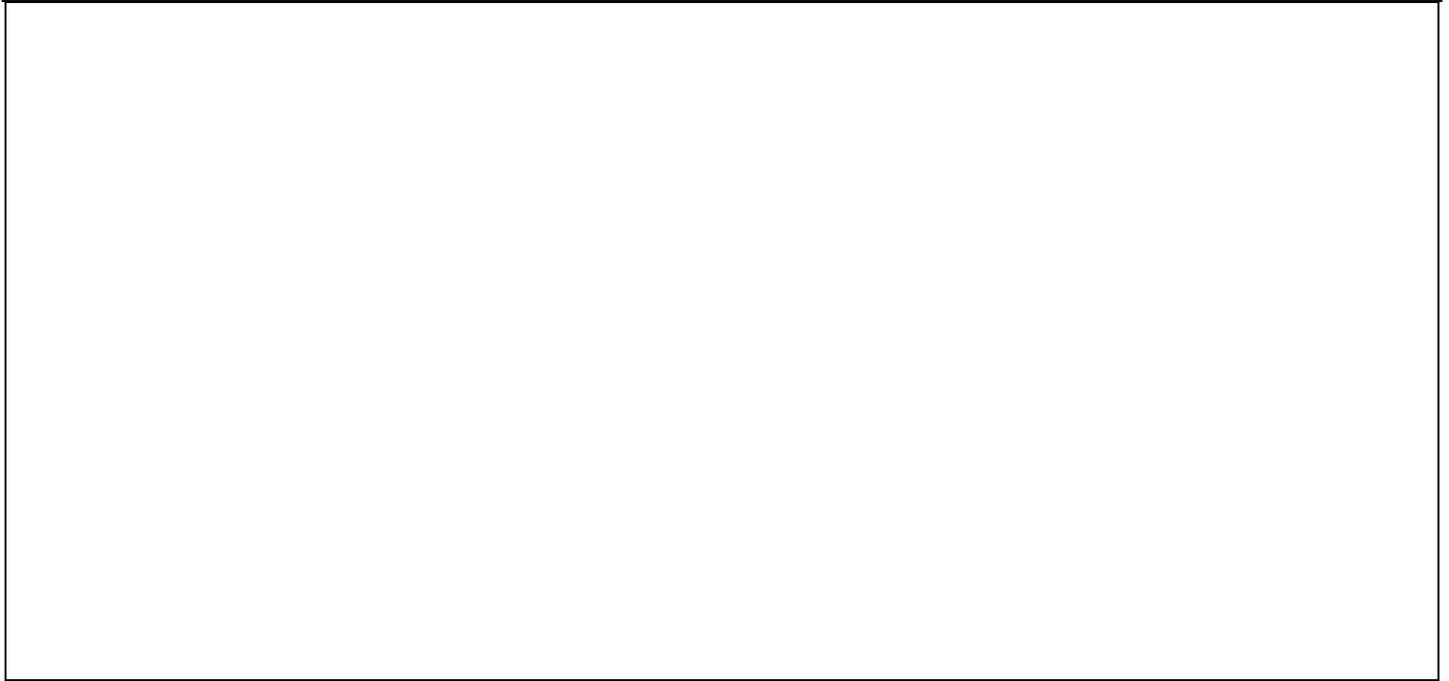
**B.2. LEA CAPACITY: Tier I and II School(s) that the LEA is not planning to serve.**

If the LEA is not applying to serve each Tier I and II school, please explain why. Be specific and address each of the areas human capacity, capacity to provide support, policies or procedures, and LEA needs that are applicable to the district’s lack of capacity to serve all Tier I and II schools.

**B.3. EXTERNAL PROVIDERS: LEA process to recruit, screen and select external providers.**

Describe the district’s rigorous process for recruiting, screening, and selecting any external providers that will be used to provide support to the schools. The screening process must verify that a provider has a meaningful plan for contributing to the reform efforts in the school, will implement strategies that are research-based, has a record of success in similar schools, has a healthy fiscal history, and has the capacity to implement the strategies it is proposing. (External providers may be used to provide technical expertise in implementing various components of the intervention model such as helping a school evaluate its data and determine changes that are needed, providing job-embedded professional development, assisting in curriculum alignment, designing teacher and principal evaluation systems that rely on student data, etc.) [Use next page.]

**LEA School Improvement Grants 1003(g)  
Request for Applications**



# LEA School Improvement Grants 1003(g) Request for Applications

**B.4. DESCRIPTIVE INFORMATION: An LEA must include the following information in its application for a School Improvement Grant.**

For each Tier I and II school that the LEA commits to serve, the LEA must complete the LEA Application Supplement related to the specific school improvement model to be implemented in the school (Turnaround, Transformation, Restart, or Closure. Or an alternative proposed model must be described with the same level of specificity.) The application supplement must describe:

- (1) For each Tier I and 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 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.
- (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 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 II schools that receive school improvement funds.

**B.5. CONSULTATION WITH STAKEHOLDERS: The LEA must consult with relevant stakeholders regarding the LEA’s application and implementation of school improvement models in its Tier I and II schools.**

List each meeting or other activity held to consult with stakeholders regarding the LEA’s application and the implementation of reform models in the Tier I and II schools. Indicate the number of members present from each stakeholder group that had members present, and the general discussion or feedback received at the meeting.

Meeting Topic	Date & Time	Parents & Community	Teachers & Staff	School Administrators	School Board	District Staff	Other	General discussion or feedback received

# LEA School Improvement Grants 1003(g) Request for Applications

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**B. 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 and II school it commits to serve.**

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

- Implement the selected model in each Tier I and 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 II schools; and

**Attach a complete budget for each school for the three years for which SIG funding is requested. The budget for each school served may include district level expenses that are used to support or provide services to the school. Use the Budget Form provided with this application package.**

**NOTE: An LEA’s budget must cover the period of availability, including any extension granted through a waiver, and be of sufficient size and scope to implement the selected school intervention model in each Tier I and II school the LEA commits to serve.**

**An LEA’s budget for the three years may not exceed the number of Tier I and II schools it commits to serve multiplied by \$2,000,000. The minimum LEA budget is \$50,000 for the year multiplied by the number of schools to be served.**

**LEA School Improvement Grants 1003(g)  
Request for Applications**

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**LEA SCHOOL IMPROVEMENT GRANTS 1003(g)  
Assurances and Waivers Signature Page**

**C. ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant and must indicate which of those waivers it intends to implement.**

The LEA assures that it will—

- (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and 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 II school that it serves with school improvement funds;
- (3) If it implements a restart model in a Tier I and 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) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality;
- (5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding; and,
- (6) Report to the SEA the school-level data required under section III of the final requirements.

# LEA School Improvement Grants 1003(g) Request for Applications

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## **D. WAIVERS: If the SEA has requested any waivers of requirements applicable to the LEA's School Improvement Grant,**

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.

- Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Tier I and Tier II Title I participating schools that will fully implement a turnaround or restart model beginning in the 2014–2015 school year to “start over” in the school improvement timeline.
- 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 or Tier II participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.
- Extending the period of availability of school improvement funds to September 30, 2017.

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Name & Title of Authorized Representative

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Signature of Authorized Representative

Date

## Appendix A – Final Requirements for School Improvement Grants, as Amended in January 2010

**Note:** The final requirements for the SIG program, set forth in 74 FR 65618 (Dec. 10, 2009), and amended by the interim final requirements, set forth in 75 FR 3375 (Jan. 21, 2010) (final requirements), implement both the requirements of section 1003(g) of the ESEA and the flexibilities for the SIG program provided through the Consolidated Appropriations Act, 2010. This document combines the provisions of the two notices into one document (it also Appendix A of the SEA application). The official versions of these documents are the documents published in the Federal Register. This document was published in the Federal Register on January 21, 2010.

### I. SEA Priorities in Awarding School Improvement Grants:

A. Defining key terms. To award School Improvement Grants to its LEAs, consistent with section 1003(g)(6) of the ESEA, an SEA must define three tiers of schools, in accordance with the requirements in paragraph 1, to enable the SEA to select those LEAs with the greatest need for such funds. From among the LEAs in greatest need, the SEA must select, in accordance with paragraph 2, those LEAs that demonstrate the strongest commitment to ensuring that the funds are used to provide adequate resources to enable the lowest-achieving schools to meet the accountability requirements in this notice. Accordingly, an SEA must use the following definitions to define key terms:

1. Greatest need. An LEA with the greatest need for a School Improvement Grant must have one or more schools in at least one of the following tiers:

(a) Tier I schools: (i) A Tier I school is a Title I school in improvement, corrective action, or restructuring that is identified by the SEA under paragraph (a)(1) of the definition of “persistently lowest-achieving schools.”

(ii) At its option, an SEA may also identify as a Tier I school an elementary school that is eligible for Title I, Part A funds that--

(A)(1) Has not made adequate yearly progress for at least two consecutive years; or

(2) Is in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and

(B) Is no higher achieving than the highest-achieving school identified by the SEA under paragraph (a)(1)(i) of the definition of “persistently lowest-achieving schools.”

(b) Tier II schools: (i) A Tier II school is a secondary school that is eligible for, but does not receive, Title I, Part A funds and is identified by the SEA under paragraph (a)(2) of the definition of “persistently lowest-achieving schools.”

(ii) At its option, an SEA may also identify as a Tier II school a secondary school that is eligible for Title I, Part A funds that--

(A)(1) Has not made adequate yearly progress for at least two consecutive years; or

(2) Is in the State's lowest quintile of performance based on proficiency rates on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and

(B)(1) Is no higher achieving than the highest-achieving school identified by the SEA under paragraph (a)(2)(i) of the definition of "persistently lowest-achieving schools;" or

(2) 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.

(c) Tier III schools: (i) A Tier III school is a Title I school in improvement, corrective action, or restructuring that is not a Tier I school.

(ii) At its option, an SEA may also identify as a Tier III school a school that is eligible for Title I, Part A funds that--

(A)(1) Has not made adequate yearly progress for at least two years; or

(2) Is in the State's lowest quintile of performance based on proficiency rates on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and

(B) Does not meet the requirements to be a Tier I or Tier II school.

(iii) An SEA may establish additional criteria to use in setting priorities among LEA applications for funding and to encourage LEAs to differentiate among Tier III schools in their use of school improvement funds.

2. Strongest Commitment. An LEA with the strongest commitment is an LEA that agrees to implement, and demonstrates the capacity to implement fully and effectively, one of the following rigorous interventions in each Tier I and Tier II school that the LEA commits to serve:

(a) Turnaround model: (1) A turnaround model is one in which an LEA must--

(i) Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates;

(ii) Using locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students,

(A) Screen all existing staff and rehire no more than 50 percent; and

(B) Select new staff;

(iii) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school;

(iv) Provide staff ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure that they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies;

(v) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA or SEA, hire a "turnaround leader" who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;

(vi) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards;

(vii) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students;

(viii) Establish schedules and implement strategies that provide increased learning time (as defined in this notice); and

(ix) Provide appropriate social-emotional and community-oriented services and supports for students.

(2) A turnaround model may also implement other strategies such as--

(i) Any of the required and permissible activities under the transformation model; or

(ii) A new school model (e.g., themed, dual language academy).

(b) Restart model: A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process. (A CMO is a non-profit organization that operates or

manages charter schools by centralizing or sharing certain functions and resources among schools. An EMO is a for-profit or non-profit organization that provides “whole-school operation” services to an LEA.) A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.

(c) School closure: School closure occurs when an LEA closes a school and enrolls the students who attended that school in other schools in the LEA that are higher achieving. These other schools should be within reasonable proximity to the closed school and may include, but are not limited to, charter schools or new schools for which achievement data are not yet available.

(d) Transformation model: A transformation model is one in which an LEA implements each of the following strategies:

(1) Developing and increasing teacher and school leader effectiveness.

(i) Required activities. The LEA must--

(A) Replace the principal who led the school prior to commencement of the transformation model;

(B) Use rigorous, transparent, and equitable evaluation systems for teachers and principals that--

(1) Take into account data on student growth (as defined in this notice) as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high school graduations rates; and

(2) Are designed and developed with teacher and principal involvement;

(C) Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so;

(D) Provide staff ongoing, high-quality, job-embedded professional development (e.g., regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies; and

(E) Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in a transformation school.

(ii) Permissible activities. An LEA may also implement other strategies to develop teachers' and school leaders' effectiveness, such as--

(A) Providing additional compensation to attract and retain staff with the skills necessary to meet the needs of the students in a transformation school;

(B) Instituting a system for measuring changes in instructional practices resulting from professional development; or

(C) Ensuring that the school is not required to accept a teacher without the mutual consent of the teacher and principal, regardless of the teacher's seniority.

(2) Comprehensive instructional reform strategies.

(i) Required activities. The LEA must--

(A) Use data to identify and implement an instructional program that is research-based and vertically aligned from one grade to the next as well as aligned with State academic standards; and

(B) Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.

(ii) Permissible activities. An LEA may also implement comprehensive instructional reform strategies, such as--

(A) Conducting periodic reviews to ensure that the curriculum is being implemented with fidelity, is having the intended impact on student achievement, and is modified if ineffective;

(B) Implementing a schoolwide "response-to-intervention" model;

(C) Providing additional supports and professional development to teachers and principals in order to implement effective strategies to support students with disabilities in the least restrictive environment and to ensure that limited English proficient students acquire language skills to master academic content;

(D) Using and integrating technology-based supports and interventions as part of the instructional program; and

(E) In secondary schools--

(1) Increasing rigor by offering opportunities for students to enroll in advanced coursework (such as Advanced Placement; International Baccalaureate; or science, technology, engineering, and mathematics courses, especially those that incorporate rigorous and relevant project-, inquiry-, or design-based contextual learning opportunities), early-college high schools, dual enrollment programs, or thematic learning academies that prepare students for college and careers, including by providing appropriate supports designed to ensure that low-achieving students can take advantage of these programs and coursework;

(2) Improving student transition from middle to high school through summer transition programs or freshman academies;

(3) Increasing graduation rates through, for example, credit-recovery programs, re-engagement strategies, smaller learning communities, competency-based instruction and performance-based assessments, and acceleration of basic reading and mathematics skills; or

(4) Establishing early-warning systems to identify students who may be at risk of failing to achieve to high standards or graduate.

(3) Increasing learning time and creating community-oriented schools.

(i) Required activities. The LEA must--

(A) Establish schedules and strategies that provide increased learning time (as defined in this notice); and

(B) Provide ongoing mechanisms for family and community engagement.

(ii) Permissible activities. An LEA may also implement other strategies that extend learning time and create community-oriented schools, such as--

(A) Partnering with parents and parent organizations, faith- and community-based organizations, health clinics, other State or local agencies, and others to create safe school environments that meet students' social, emotional, and health needs;

(B) Extending or restructuring the school day so as to add time for such strategies as advisory periods that build relationships between students, faculty, and other school staff;

(C) Implementing approaches to improve school climate and discipline, such as implementing a system of positive behavioral supports or taking steps to eliminate bullying and student harassment; or

(D) Expanding the school program to offer full-day kindergarten or pre-kindergarten.

(4) Providing operational flexibility and sustained support.

(i) Required activities. The LEA must--

(A) Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates; and

(B) Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).

(ii) Permissible activities. The LEA may also implement other strategies for providing operational flexibility and intensive support, such as--

(A) Allowing the school to be run under a new governance arrangement, such as a turnaround division within the LEA or SEA; or

(B) Implementing a per-pupil school-based budget formula that is weighted based on student needs.

### 3. Definitions.

Increased learning time means using a longer school day, week, or year schedule to significantly increase the total number of school hours to include additional time for (a) instruction in core academic subjects including English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography; (b) instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations; and (c) teachers to collaborate, plan, and engage in professional development within and across grades and subjects.<sup>1</sup>

Persistently lowest-achieving schools means, as determined by the State--

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

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<sup>1</sup> Research supports the effectiveness of well-designed programs that expand learning time by a minimum of 300 hours per school year. (See Frazier, Julie A.; Morrison, Frederick J. "The Influence of Extended-year Schooling on Growth of Achievement and Perceived Competence in Early Elementary School." *Child Development*. Vol. 69 (2), April 1998, pp.495-497 and research done by Mass2020.) Extending learning into before- and after-school hours can be difficult to implement effectively, but is permissible under this definition with encouragement to closely integrate and coordinate academic work between in school and out of school. (See James-Burdumy, Susanne; Dynarski, Mark; Deke, John. "When Elementary Schools Stay Open Late: Results from The National Evaluation of the 21st Century Community Learning Centers Program." *Educational Evaluation and Policy Analysis*, Vol. 29 (4), December 2007, Document No. PP07-121.) <[http://www.mathematica-mpr.com/publications/redirect\\_PubsDB.asp?strSite=http://epa.sagepub.com/cgi/content/abstract/29/4/296](http://www.mathematica-mpr.com/publications/redirect_PubsDB.asp?strSite=http://epa.sagepub.com/cgi/content/abstract/29/4/296)>

(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.

(b) To identify the lowest-achieving schools, a State must take into account both--

(i) The academic achievement of the “all students” group in a school in terms of proficiency on the State’s assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and

(ii) The school’s lack of progress on those assessments over a number of years in the “all students” group.

Student growth means the change in achievement for an individual student between two or more points in time.

For grades in which the State administers summative assessments in reading/language arts and mathematics, student growth data must be based on a student’s score on the State’s assessment under section 1111(b)(3) of the ESEA. A State may also include other measures that are rigorous and comparable across classrooms.

4. Evidence of strongest commitment. (a) In determining the strength of an LEA’s commitment to ensuring that school improvement funds are used to provide adequate resources to enable Tier I and Tier II schools to improve student achievement substantially, an SEA must consider, at a minimum, the extent to which the LEA’s application demonstrates that the LEA has taken, or will take, action to--

(i) Analyze the needs of its schools and select an intervention for each school;

(ii) Design and implement interventions consistent with these requirements;

(iii) Recruit, screen, and select external providers, if applicable, to ensure their quality;

(iv) Align other resources with the interventions;

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

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

(b) The SEA must consider the LEA's capacity to implement the interventions and may approve the LEA to serve only those Tier I and Tier II schools for which the SEA determines that the LEA can implement fully and effectively one of the interventions.

B. Providing flexibility.

1. An SEA may award school improvement funds to an LEA for a Tier I or Tier II school that has implemented, in whole or in part, an intervention that meets the requirements under section I.A.2(a), 2(b), or 2(d) of these requirements within the last two years so that the LEA and school can continue or complete the intervention being implemented in that school.

2. An SEA may seek a waiver from the Secretary of the requirements in section 1116(b) of the ESEA in order to permit a Tier I or Tier II Title I participating school implementing an intervention that meets the requirements under section I.A.2(a) or 2(b) of these requirements in an LEA that receives a School Improvement Grant to "start over" in the school improvement timeline. Even though a school implementing the waiver would no longer be in improvement, corrective action, or restructuring, it may receive school improvement funds.

3. An SEA may seek a waiver from the Secretary to enable a Tier I or Tier II Title I participating school that is ineligible to operate a Title I schoolwide program and is operating a Title I targeted assistance program to operate a schoolwide program in order to implement an intervention that meets the requirements under section I.A.2(a), 2(b), or 2(d) of these requirements.

4. An SEA may seek a waiver from the Secretary to extend the period of availability of school improvement funds beyond September 30, 2011 so as to make those funds available to the SEA and its LEAs for up to three years.

5. If an SEA does not seek a waiver under section I.B.2, 3, or 4, an LEA may seek a waiver.

II. Awarding School Improvement Grants to LEAs:

A. LEA requirements.

1. An LEA may apply for a School Improvement Grant if it receives Title I, Part A funds and has one or more schools that qualify under the State's definition of a Tier I, Tier II, or Tier III school.

2. In its application, in addition to other information that the SEA may require--

(a) The LEA must--

(i) Identify the Tier I, Tier II, and Tier III schools it commits to serve;

(ii) Identify the intervention it will implement in each Tier I and Tier II school it commits to serve;

(iii) Demonstrate that it has the capacity to use the school improvement funds to provide adequate resources and related support to each Tier I and Tier II school it commits to serve in order to implement fully and effectively one of the four interventions identified in section I.A.2 of these requirements;

(iv) Provide evidence of its strong commitment to use school improvement funds to implement the four interventions by addressing the factors in section I.A.4(a) of these requirements;

(v) Include a timeline delineating the steps the LEA will take to implement the selected intervention in each Tier I and Tier II school identified in the LEA's application; and

(vi) Include a budget indicating how it will allocate school improvement funds among the Tier I, Tier II, and Tier III schools it commits to serve.

(b) If an LEA has nine or more Tier I and Tier II schools, the LEA may not implement the transformation model in more than 50 percent of those schools.

3. The LEA must serve each Tier I school unless the LEA demonstrates that it lacks sufficient capacity (which may be due, in part, to serving Tier II schools) to undertake one of these rigorous interventions in each Tier I school, in which case the LEA must indicate the Tier I schools that it can effectively serve. An LEA may not serve with school improvement funds awarded under section 1003(g) of the ESEA a Tier I or Tier II school in which it does not implement one of the four interventions identified in section I.A.2 of these requirements.

4. The LEA's budget for each Tier I and Tier II school it commits to serve must be of sufficient size and scope to ensure that the LEA can implement one of the rigorous interventions identified in section I.A.2 of these requirements. The LEA's budget must cover the period of availability of the school improvement funds, taking into account any waivers extending the period of availability received by the SEA or LEA.

5. The LEA's budget for each Tier III school it commits to serve must include the services it will provide the school, particularly if the school meets additional criteria established by the SEA.

6. An LEA that commits to serve one or more Tier I, Tier II, or Tier III schools that do not receive Title I, Part A funds must ensure that each such school it serves receives all of the State and local funds it would have received in the absence of the school improvement funds.

7. An LEA in which one or more Tier I schools are located and that does not apply to serve at least one of these schools may not apply for a grant to serve only Tier III schools.

8. (a) To monitor each Tier I and Tier II school that receives school improvement funds, an LEA must--

(i) Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics; and

(ii) Measure progress on the leading indicators in section III of these requirements.

(b) The LEA must also meet the requirements with respect to adequate yearly progress in section 1111(b)(2) of the ESEA.

9. If an LEA implements a restart model, it must hold the charter school operator, CMO, or EMO accountable for meeting the final requirements.

**B. SEA requirements.**

1. To receive a School Improvement Grant, an SEA must submit an application to the Department at such time, and containing such information, as the Secretary shall reasonably require.

2. (a) An SEA must review and approve, consistent with these requirements, an application for a School Improvement Grant that it receives from an LEA.

(b) Before approving an LEA's application, the SEA must ensure that the application meets these requirements, particularly with respect to--

(i) Whether the LEA has agreed to implement one of the four interventions identified in section I.A.2 of these requirements in each Tier I and Tier II school included in its application;

(ii) The extent to which the LEA's application shows the LEA's strong commitment to use school improvement funds to implement the four interventions by addressing the factors in section I.A.4(a) of these requirements;

(iii) Whether the LEA has the capacity to implement the selected intervention fully and effectively in each Tier I and Tier II school identified in its application; and

(iv) Whether the LEA has submitted a budget that includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school it identifies in its application and whether the budget covers the period of availability of the funds, taking into account any waiver extending the period of availability received by either the SEA or the LEA.

(c) An SEA may, consistent with State law, take over an LEA or specific Tier I or Tier II schools in order to implement the interventions in these requirements.

(d) An SEA may not require an LEA to implement a particular model in one or more schools unless the SEA has taken over the LEA or school.

(e) To the extent that a Tier I or Tier II school implementing a restart model becomes a charter school LEA, an SEA must hold the charter school LEA accountable, or ensure that the charter school authorizer holds it accountable, for complying with these requirements.

3. An SEA must post on its Web site, within 30 days of awarding School Improvement Grants to LEAs, all final LEA applications as well as a summary of those grants that includes the following information:

(a) Name and National Center for Education Statistics (NCES) identification number of each LEA awarded a grant.

(b) Amount of each LEA's grant.

(c) Name and NCES identification number of each school to be served.

(d) Type of intervention to be implemented in each Tier I and Tier II school.

4. If an SEA does not have sufficient school improvement funds to award, for up to three years, a grant to each LEA that submits an approvable application, the SEA must give priority to LEAs that apply to serve Tier I or Tier II schools.

5. An SEA must award a School Improvement Grant to an LEA in an amount that is of sufficient size and scope to support the activities required under section 1116 of the ESEA and these requirements. The LEA's total grant may not be less than \$50,000 or more than \$2,000,000 per year for each Tier I, Tier II, and Tier III school that the LEA commits to serve.

6. If an SEA does not have sufficient school improvement funds to allocate to each LEA with a Tier I or Tier II school an amount sufficient to enable the school to implement fully and effectively the specified intervention throughout

the period of availability, including any extension afforded through a waiver, the SEA may take into account the distribution of Tier I and Tier II schools among such LEAs in the State to ensure that Tier I and Tier II schools throughout the State can be served.

7. An SEA must award funds to serve each Tier I and Tier II school that its LEAs commit to serve, and that the SEA determines its LEAs have the capacity to serve, prior to awarding funds to its LEAs to serve any Tier III schools. If an SEA has awarded school improvement funds to its LEAs for each Tier I and Tier II school that its LEAs commit to serve in accordance with these requirements, the SEA may then, consistent with section II.B.9, award remaining school improvement funds to its LEAs for the Tier III schools that its LEAs commit to serve.

8. In awarding School Improvement Grants, an SEA must apportion its school improvement funds in order to make grants to LEAs, as applicable, that are renewable for the length of the period of availability of the funds, taking into account any waivers that may have been requested and received by the SEA or an individual LEA to extend the period of availability.

9. (a) If not every Tier I school in a State is served with FY 2009 school improvement funds, an SEA must carry over 25 percent of its FY 2009 funds, combine those funds with FY 2010 school improvement funds, and award those funds to eligible LEAs consistent with these requirements. This requirement does not apply in a State that does not have sufficient school improvement funds to serve all the Tier I schools in the State.

(b) If each Tier I school in a State is served with FY 2009 school improvement funds, an SEA may reserve up to 25 percent of its FY 2009 allocation and award those funds in combination with its FY 2010 funds consistent with these requirements.

10. In identifying Tier I and Tier II schools in a State for purposes of allocating funds appropriated for School Improvement Grants under section 1003(g) of the ESEA for any year subsequent to FY 2009, an SEA must exclude from consideration any school that was previously identified as a Tier I or Tier II school and in which an LEA is implementing one of the four interventions identified in these requirements using funds made available under section 1003(g) of the ESEA.

11. An SEA that is participating in the “differentiated accountability pilot” must ensure that its LEAs use school improvement funds available under section 1003(g) of the ESEA in a Tier I or Tier II school consistent with these requirements.

12. Before submitting its application for a School Improvement Grant to the Department, the SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein and may consult with other stakeholders that have an interest in its application.

C. Renewal for additional one-year periods.

(a) If an SEA or an individual LEA requests and receives a waiver of the period of availability of school improvement funds, an SEA--

(i) Must renew the School Improvement Grant for each affected LEA for additional one-year periods commensurate with the period of availability if the LEA demonstrates that its Tier I and Tier II schools are meeting the requirements in section II.A.8 and that its Tier III schools are meeting the goals established by the LEA and approved by the SEA; and

(ii) May renew an LEA's School Improvement Grant if the SEA determines that the LEA is making progress toward meeting the requirements in section II.A.8 or the goals established by the LEA.

(b) If an SEA does not renew an LEA's School Improvement Grant because the LEA's participating schools are not meeting the requirements in section II.A.8 or the goals established by the LEA, the SEA may reallocate those funds to other eligible LEAs, consistent with these requirements.

D. State reservation for administration, evaluation, and technical assistance.

An SEA may reserve from the school improvement funds it receives under section 1003(g) of the ESEA in any given year no more than five percent for administration, evaluation, and technical assistance expenses. An SEA must describe in its application for a School Improvement Grant how the SEA will use these funds.

E. A State Whose School Improvement Grant Exceeds the Amount the State May Award to Eligible LEAs.

In some States in which a limited number of Title I schools are identified for improvement, corrective action, or restructuring, the SEA may be able to make School Improvement Grants, renewable for additional years commensurate with the period of availability of the funds, to each LEA with a Tier I, Tier II, or Tier III school without using the State's full allocation under section 1003(g) of the ESEA. An SEA in this situation may reserve no more than five percent of its FY 2009 allocation of school improvement funds for administration, evaluation, and technical assistance expenses under section 1003(g)(8) of the ESEA. The SEA may retain sufficient school improvement funds to serve, for succeeding years,

each Tier I, II, and III school that generates funds for an eligible LEA. The Secretary may reallocate to other States any remaining school improvement funds from States with surplus funds.

III. Reporting and Evaluation:

A. Reporting metrics.

To inform and evaluate the effectiveness of the interventions identified in these requirements, the Secretary will collect data on the metrics in the following chart. The Department already collects most of these data through EDFacts and will collect data on two metrics through SFSF reporting. Accordingly, an SEA must only report the following new data with respect to school improvement funds:

1. A list of the LEAs, including their NCES identification numbers, that received a School Improvement Grant under section 1003(g) of the ESEA and the amount of the grant.
2. For each LEA that received a School Improvement Grant, a list of the schools that were served, their NCES identification numbers, and the amount of funds or value of services each school received.
3. For any Tier I or Tier II school, school-level data on the metrics designated on the following chart as “SIG” (School Improvement Grant):

Metric	Source	Achievement Indicators	Leading Indicators
<b>SCHOOL DATA</b>			
Which intervention the school used (i.e., turnaround, restart, closure, or transformation )	<b>NEW SIG</b>		
AYP status	<u>EDFacts</u>	✓	
Which AYP targets the school met and missed	<u>EDFacts</u>	✓	
School improvement status	<u>EDFacts</u>	✓	
Number of minutes within the school year	<b>NEW SIG</b>		✓
<b>STUDENT OUTCOME/ACADEMIC PROGRESS DATA</b>			
Percentage of students at or above each proficiency level on State assessments in reading/language arts and mathematics (e.g., Basic, Proficient, Advanced), by grade and by student subgroup	<u>EDFacts</u>	✓	

<b>Metric</b>	<b>Source</b>	<b>Achievement Indicators</b>	<b>Leading Indicators</b>
Student participation rate on State assessments in reading/language arts and in mathematics, by student subgroup	EDFacts		✓
Average scale scores on State assessments in reading/language arts and in mathematics, by grade, for the “all students” group, for each achievement quartile, and for each subgroup	<b>NEW SIG</b>	✓	
Percentage of limited English proficient students who attain English language proficiency	EDFacts	✓	
Graduation rate	EDFacts	✓	
Dropout rate	EDFacts		✓
Student attendance rate	EDFacts		✓
Number and percentage of students completing advanced coursework (e.g., AP/IB), early-college high schools, or dual enrollment classes	<b>NEW SIG HS only</b>		✓
College enrollment rates	NEW SFSF Phase II HS only	✓	
<b>STUDENT CONNECTION AND SCHOOL CLIMATE</b>			
Discipline incidents	EDFacts		✓
Truants	EDFacts		✓
<b>TALENT</b>			
Distribution of teachers by performance level on LEA’s teacher evaluation system	NEW SFSF Phase II		✓
Teacher attendance rate	<b>NEW SIG</b>		✓

4. An SEA must report these metrics for the school year prior to implementing the intervention, if the data are available, to serve as a baseline, and for each year thereafter for which the SEA allocates school improvement funds under section 1003(g) of the ESEA. With respect to a school that is closed, the SEA need report only the identity of the school and the intervention taken--i.e., school closure.

B. Evaluation.

An LEA that receives a School Improvement Grant must participate in any evaluation of that grant conducted by the Secretary.

## Appendix B

### Montana's Definition of Persistently Lowest Achieving Schools – Revised November 2013

Resource: U.S. Department of Education's guidance document - *Frequently Asked Questions concerning Phase II of the State Fiscal State Stabilization Fund, Dated 12/1/2009*

Montana defines *Persistently Lowest Achieving Schools* as any Title I schools in improvement, corrective action, or restructuring that rank in the lowest five percent of these schools based on the percentage of students scoring At or Above Proficiency in Reading and Math using three years of assessment data. The following steps detail the process utilized to produce the list of *Persistently Lowest Achieving Schools*.

Step 1: Montana determined all relevant definitions. The definition of "secondary school" is any high school serving grades 9 through 12. The definition of "number of years" for purposes of determining whether a high school has a graduation rate less than 60 percent is three years. The definition of a "number of years" for purposes of determining "lack of progress" on the State's assessments is three years.

Step 2: Montana determined the number of schools that make up five percent or five schools (whichever is greater) in each of the relevant sets of schools (Title I schools in improvement, corrective action, or restructuring) as the count of ten which is five percent of the total number in the set. Montana determined there is one secondary school that is eligible for but does not receive, Title I funds.

Step 3: Montana determined the method for calculating combined English/language arts and mathematics proficiency rates for each school (see B-V-16).

The Single Percentage Method was used as defined in the U.S. Department of Education guidance.

Step 4: Montana determined the method for determining "lack of progress" by the "all students" group on the State's assessments (see B-V-17).

The Lowest Achieving Over Multiple Years was used as defined in the U.S. Department of Education guidance.

Step 5: Montana determined that no weights would be assigned to academic achievement of the "all students" group or to lack of progress on the State's assessments.

Step 6: Montana determined that no weights would be assigned to elementary schools or secondary schools.

Step 7: Using the process identified in Step 3, Montana ranked the Title I schools in improvement, corrective actions, or restructuring from highest to lowest based on the academic achievement of the "all students" group.

Step 8: Using the process identified in Step 4, Montana applied the second factor—lack of progress—to the list identified in Step 7.

Step 9: After applying lack of progress, Montana started with the school at the bottom of the list and counted up to the number ten as determined in Step 2 to obtain the list of the lowest-achieving five percent Title I schools in improvement, corrective action, or restructuring. Schools previously served as Tier I schools were omitted since they cannot receive funds again.

Step 10: Montana examined the Title I high schools in improvement, corrective action, or restructuring to determine if any had a graduation rate of less than 60 percent over a number of years (as defined in Step 1) that were not captured in the list of schools identified in Step 9.

Step 11: One Title I high school in improvement, corrective action, or restructuring that has consistently had a graduation rate of less than 60% was added to the Tier I list.

Steps 12 - 15: There is one secondary school in Montana that is eligible for, but does not receive, Title I funds. The list of schools resulting from Step 11 will constitute the Tier I schools and there is one school resulting from Steps 12 – 15 to constitute the Tier II schools for purposes of using school improvement funds under section 1003(g) of the ESEA. All Title I participating schools in improvement, corrective action, or restructuring that are not on the list resulting from Step 11 will constitute Tier III schools for purposes of using school improvement funds under section 1003(g) of the ESEA.

In summary these are the methods that Montana used to produce its list of *Persistently Lowest Achieving Schools*.

Tier I: Lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring, obtained by:  
Ranking the Title I schools in improvement, corrective action, or restructuring from highest to lowest based on academic achievement of the “all students” groups;  
Applying lack of progress to the rank order list; and  
Counting up from the bottom of the list.

Plus Title I high schools in improvement, corrective action, or restructuring that have had a graduation rate less than 60 percent over a number of years (to the extent not already included).

Tier II: There is one secondary school that is eligible for, but does not receive, Title I funds.

No “newly eligible” schools were added as Tier I, II, or III using the additional guidance issued January 15, 2010.

### **Appendix C – List of Eligible Schools**

[http://opi.mt.gov/Programs/TitlePrgms/TitleIA/TitleIA.html#gpm1\\_6](http://opi.mt.gov/Programs/TitlePrgms/TitleIA/TitleIA.html#gpm1_6).