

# Title I 1003(g) SIG

## Grant Overview, FAQ's and Step-By-Step Instructions on How to Apply



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## Title I 1003(g) SIG Overview

Title I 1003(g) SIG was authorized under the Elementary and Secondary Education Act of 1965 (Title I or ESEA) to provide grants to State Education Agencies (SEAs) to distribute to Local Education Agencies (LEAs) and are specifically designed to target the state's persistently lowest achieving schools. The grants are intended to provide adequate resources in order to substantially raise achievement of the students in these schools.

Title I 1003(g) SIG funds are limited; therefore, the SEA was required to identify its persistently lowest achieving schools based on 1) a school's proficiency on the State's assessment, 2) the school's lack of progress on the assessments over a number of years, and 3) the school's graduation rate over a number of years. Once the SEA identified these schools, the SEA was required to rank the schools into "tiers" to develop a list of eligible schools of which LEAs may apply for funds. (See Attachment A for a list of eligible schools and their associated tiers). The section of this guidance titled "The Methods the SEA used to Determine Eligible Schools" provides an overview of the criteria used to determine each tier.

LEAs may apply for funds for any of the schools the SEA has identified as eligible. LEAs will, however, have certain parameters to follow when choosing which schools to serve. In addition, the LEA must serve at least one Tier I or Tier II school (unless the LEA has no Tier I or Tier II schools) within the LEA. An LEA may choose not to serve any of the above schools only if it can provide a clear and logical rationale for why it does not have the capacity to serve these schools, including LEA staffing, fiscal, and other resource limitations.

LEAs will be asked to choose among a pre-determined list of intervention models that it commits to implement in its Tier I and Tier II schools over a period of one to three years (depending on the model chosen) using the Title I 1003(g) SIG funds. The interventions the LEA must choose from include turning around the school, restarting the school, closing the school, or transforming the school. Each model has specific requirements which are defined in greater detail in the section below titled "Determining an Intervention Model."

LEAs will be asked a variety of questions in the application regarding how and why the LEA chose particular schools and their interventions, how it will implement the interventions, and how the LEA intends to use its requested budget to implement each intervention. Each LEA

application will need to include specific information in the LEA Success Plan. The LEA must identify specific school needs, formative and summative progress measures and targets, and strategies for implementing the selected intervention model(s). The Title I 1003(g) SIG falls under the Race To The Top Scope of Work Area 12, *Follow the process for turning around schools selected for the Partnership Zone in accordance with State regulations and provide to low-achieving schools*. Strategies for implementing the intervention(s) chosen will need to be added to the Race To The Top Goal 4, *Accelerate achievement and improve student outcomes by turning around low achieving schools* and Objective 8, *Identify and build the capacity to improve and support all schools, especially those low performing schools or schools at risk for identification in the Partnership Zone*. In addition, LEAs applying for Title I 1003(g) SIG funds for schools that do not fall into the state's Partnership Zone as defined by Race To The Top, will be required to develop and submit project management plans through the web-based Education Success Planning and Evaluation System. Project management plans must be submitted within 30 business days after the LEA receives notification of grant award.

SEAs are required to promptly review LEA applications and prioritize the distribution of funds to schools based on a) the greatest need for such funds and b) the strongest commitment to ensuring the funds are used to substantially raise student achievement. The SEA is also required to give priority to LEAs that apply to serve Tier I and Tier II schools. An SEA, therefore, cannot award funds to any LEA for Tier III schools unless and until the SEA has awarded funds to serve all Tier I and Tier II schools across the state that its LEAs have committed to serve. The SEA will also give priority to LEAs choosing to serve Tier III schools using one of the four pre-determined intervention models over LEAs choosing to serve Tier III schools not using one of the four pre-determined intervention models.

### Title I 1003(g) SIG Timeline

1. The Title I 1003(g) SIG Application will open upon approval of the state plan.
2. Applications will be due to the SEA 30 days after the application is opened.
3. SEA reviews and comments on applications within 5 business days of submission.
4. If applications require revisions, LEAs have 2 weeks to revise the applications.

5. SEA will review revisions within 3 business days of receiving revised applications.
6. If application is approvable, it will be submitted to the Associate Secretary for College and Career Readiness and the Secretary of Education. If the grant is signed, all funds will be loaded to the LEA, and the LEA will be notified of the grant award within 5 days of the Secretary's approval.
7. If the application is not approved by the Associate Secretary or the Secretary of Education, LEAs will have 3 business days to revise and resubmit. The process will then revert back to step 5 above.

### Availability of Funds

The State of Delaware Department of Education has received \$1,626,978 in FY 11 Title I 1003(g) SIG. The SEA will set aside \$81,349 for state administration costs (5 percent of the total allocation) and will allocate the remaining 95 percent to eligible LEAs. In addition to the FY 11 allocation, there is an additional \$6,870,000 in carryover funds available from FY 10. The total amount available for allocation is therefore \$8,415,629. LEAs may not apply for less than \$50,000 or more than \$2,000,000 per year for each Tier I, Tier II, and Tier III school it commits to serve. Funds will be available for up to three years but the majority of funds will need to be expended in the first year the grant is implemented. Please see Step 10 of the step-by-step grant instructions for guidance on how to budget items over the three year period. An LEA can apply once for each school as there will be no continuation grants awarded.

### The Method the SEA used to Determine Eligible Schools

The SEA was required to rank its "persistently lowest achieving schools" to determine which schools would be eligible for funds. In order to do so, the SEA reviewed the following data to develop its list of eligible schools: 1) the academic achievement of the "all students" subgroup in each school in terms of proficiency on the assessments in reading and mathematics, 2) the school's lack of progress on those assessments over a period of three school years (2008, 2009, and 2010) in the "all students" subgroup, and 3) the school's graduation rate for 2007, 2008, and 2009.

As required by the Title I 1003(g) SIG guidelines, the SEA then developed a set of tiers to rank schools. The SEA determined that its persistently lowest achieving schools could fall into three tiers as follows:

- Tier I: Any Title I school in improvement, corrective action, or restructuring that:
- (a) 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
  - (b) is a high school that has had a graduation rate that is less than 60 percent for two of the last three years. Graduation rate is defined as the percentage of students measured from the beginning of high school who graduate from high school with a regular diploma (not including an alternative degree that is not fully aligned with the State's academic standards, such as a certificate or a GED) in the standard number of years.

- Tier II: Any secondary school that is eligible for, but does not receive, Title I funds that:
- (a) 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
  - (b) is a high school that has had a graduation rate that is less than 60 percent for two of the last three years. Graduation rate is defined as the percentage of students measured from the beginning of high school who graduate from high school with a regular diploma (not including an alternative degree that is not fully aligned with the State's academic standards, such as a certificate or a GED) in the standard number of years.

*According to new state regulations, secondary schools are defined as schools with a grade configuration including any of the following; grade 6, grade 7, grade 8, grade 9, grade 10, grade 11, or grade 12. However, a school that includes grade 6 may be considered an Elementary School or Middle School.*

- Tier III: Title I schools in improvement, corrective action, or restructuring that are not in Tier I.

In addition to the requirements listed above, the SEA has determined that for purposes of this grant, a school must have a poverty rate of 35 percent or higher to be considered Title I eligible. The SEA was also not permitted to exclude any schools, so any Title I eligible schools that get an accountability rating were also included. Based on the above listed criteria, Delaware has five schools that fall into Tier I, five schools that fall into Tier II, and 31 schools that fall into Tier III. See Attachment A for a list of eligible schools.

### Determining an Intervention Model

LEAs applying for Title I 1003(g) SIG funds must identify which intervention models it will implement in each of its eligible Tier I and Tier II schools. The LEA must choose among the following four intervention models.

**Turnaround model:** Replace the principal and rehire no more than 50 percent of the staff and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student outcomes.

**Restart model:** Convert a school or close and reopen it under a charter school operator, a charter management organization, or an education management organization that has been selected through a rigorous review process.

**School closure:** Close a school and enroll the students who attended that school in other schools in the LEA that are higher achieving.

**Transformation model:** Implement each of the following strategies: (1) replace the principal and take steps to increase teacher and school leader effectiveness; (2) institute comprehensive instructional reforms; (3) increase learning time and create community-oriented schools; and (4) provide operational flexibility and sustained support.

More information on each of the models is available from the following website:

<http://www2.ed.gov/policy/gen/leg/recovery/programs.html>

NOTE: LEAs are not required to choose among the designated intervention models for Tier III schools it commits to serve; however, the LEA must identify the services the school will receive of the activities the school will implement. If an LEA chooses not to serve an eligible Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.

### SEA Grant Review Process

All LEA applications will be reviewed by a team of DDOE staff members including those responsible for Title I, school improvement, accountability, federal finance, and one representative from the Department's Turnaround Unit. Each member will have the opportunity to comment and provide feedback on each section of the application. Each section of the grant will be reviewed using a specific set of evaluation criteria.

### Significant New Guidance

The following excerpts from the US ED non-regulatory guidance on Title I 1003(g) SIG issued November 1, 2010 highlight significant changes from prior year implementation requirements. In addition, an addendum to the November 1, 2010 guidance was released on February 16, 2011. The entire November 1, 2010 guidance document and the February 16, 2011 addendum can be found on the following website: <http://www2.ed.gov/programs/sif/faq.html>

#### **F-7a. In implementing a school intervention model, must an LEA comply with State and local laws and agreements, including collective bargaining agreements?**

Yes. Nothing in the SIG final requirements gives an LEA the authority to take action it is not otherwise permitted to take. Accordingly, an LEA must implement the school intervention models in a manner that complies with all governing laws, regulations, and agreements, which includes providing the rights, remedies, and procedures afforded to LEA employees under existing collective bargaining agreements. For example, in many States, an LEA has an obligation to bargain with its union over issues that are affected by elements of the school intervention models before those elements may be implemented. Some State tenure laws also establish processes with which an LEA must comply before removing staff, which may impact an LEA's ability to implement the models. At the same time, however, an LEA may not fail to

implement specific components of a school intervention model because they conflict with one or more of those rights, remedies, or procedures. For example, under the transformation model, an LEA must implement a teacher evaluation system that includes student growth as a significant factor; an LEA would not be exempt from this requirement because its collective bargaining agreement prohibits teacher evaluation based on student achievement. Therefore, as discussed in F-7, an LEA that has such a collective bargaining agreement and wishes to apply for SIG funds to implement a transformation model must negotiate with its collective bargaining unit to modify the collective bargaining agreement in a manner that enables the LEA to comply with the SIG final requirements without violating the agreement. If an LEA cannot resolve the conflict in a way that permits it to implement one of the school intervention models fully and effectively, it would not be able to apply for SIG funds. (New for FY 2010 Guidance)

**G-1c. How should an LEA determine the number of staff members that must be replaced for purposes of implementing the turnaround model when the LEA is taking advantage of the flexibility to continue an intervention it has begun to implement within the last two years?**

If a Tier I or Tier II school implementing a turnaround model has replaced staff members within the last two years as part of a school reform effort, consistent with G-1b, the school may count the staff it has already replaced in determining the number of additional staff that would have to be replaced in accordance with the model. As described in B-3, in determining the number of staff members that may be rehired, an LEA should count the total number of staff positions (however staff is defined) within the school in which the model is being implemented, including any positions that may be vacant at the time of implementation. For example, if a school has a total of 100 staff positions, including some that may be vacant, the LEA may rehire up to 50 staff members. That means the LEA must replace at least 50 staff members in the school. However, if within the last two years, the school had replaced 20 staff members by using locally-adopted competencies to hire 20 new staff members as part of a school reform effort, consistent with G-1b, the LEA would need to replace an additional 30 staff members. On the other hand, if the school had replaced 20 staff members, but only 10 of those staff members were replaced with new staff that were screened using locally-adopted competencies as part of a school reform effort, consistent with G-1b, the LEA would need to replace an additional 40 staff members to meet the requirements of the turnaround model. In other words, new staff that were screened using locally-adopted competencies and hired within the last two years as part of a school reform effort, consistent with G-1b, do not count as staff that are “rehired.” Rather, although these new staff members may be retained in the school, they count as “replaced” staff. (New for FY 2010 Guidance)

**J. PRE-IMPLEMENTATION\***

(\*Section J from the FY 2009 Guidance, “SIG, Race to the Top, and the State Fiscal Stabilization Fund,” has been removed and replaced with this new Section J for FY 2010.)

**J-1. May an LEA use FY 2010 and/or FY 2009 carryover SIG funds for “pre-implementation”?**

Yes. Carrying out SIG-related activities during a —pre-implementation period enables an LEA to prepare for full implementation of a school intervention model at the start of the 2011–2012 school year. To help in its preparation, an LEA may use FY 2010 and/or FY 2009 carryover SIG funds in its SIG schools after the LEA has been awarded a SIG grant for those schools based on having a fully approvable application, consistent with the SIG final requirements. As soon as it receives the funds, the LEA may use part of its first-year allocation for SIG-related activities in schools that will be served with FY 2010 and/or FY 2009 carryover SIG funds. (New for FY 2010 Guidance)

## **J-2. What are examples of SIG-related activities that may be carried out in the 2010–2011 school year in preparation for full implementation in the 2011–2012 school year?**

This section of the guidance identifies possible activities that an LEA may carry out using SIG funds in the spring or summer prior to full implementation. The activities noted should not be seen as exhaustive or as required. Rather, they illustrate possible activities, depending on the needs of particular SIG schools:

- **Family and Community Engagement:** Hold community meetings to review school performance, discuss the school intervention model to be implemented, and develop school improvement plans in line with the intervention model selected; survey students and parents to gauge needs of students, families, and the community; communicate with parents and the community about school status, improvement plans, choice options, and local service providers for health, nutrition, or social services through press releases, newsletters, newspaper announcements, parent outreach coordinators, hotlines, and direct mail; assist families in transitioning to new schools if their current school is implementing the closure model by providing counseling or holding meetings specifically regarding their choices; or hold open houses or orientation activities specifically for students attending a new school if their prior school is implementing the closure model.
- **Rigorous Review of External Providers:** Conduct the required rigorous review process to select a charter school operator, a CMO, or an EMO and contract with that entity (see C-5); or properly recruit, screen, and select any external providers that may be necessary to assist in planning for the implementation of an intervention model (see H- 19a).
- **Staffing:** Recruit and hire the incoming principal, leadership team, instructional staff, and administrative support; or evaluate the strengths and areas of need of current staff.
- **Instructional Programs:** Provide remediation and enrichment to students in schools that will implement an intervention model at the start of the 2011–2012 school year through programs with evidence of raising achievement; identify and purchase instructional materials that are research-based, aligned with State academic standards, and have data-based evidence of raising student achievement; or compensate staff for instructional planning, such as examining student data, developing a curriculum that is aligned to State standards and aligned vertically from one grade level to another, collaborating within and across disciplines, and devising student assessments.

- **Professional Development and Support:** Train staff on the implementation of new or revised instructional programs and policies that are aligned with the school’s comprehensive instructional plan and the school’s intervention model; provide instructional support for returning staff members, such as classroom coaching, structured common planning time, mentoring, consultation with outside experts, and observations of classroom practice, that is aligned with the school’s comprehensive instructional plan and the school’s intervention model; or train staff on the new evaluation system and locally adopted competencies.
- **Preparation for Accountability Measures:** Develop and pilot a data system for use in SIG-funded schools; analyze data on leading baseline indicators; or develop and adopt interim assessments for use in SIG-funded schools. As discussed in F-4, in general, SIG funds may not be used to supplant non-Federal funds, but only to supplement non-Federal funding provided to SIG schools. In particular, an LEA must continue to provide all non-Federal funds that would have been provided to the school in the absence of SIG funds. This requirement applies to all funding related to full implementation, including pre-implementation activities. (New for FY 2010 Guidance)

**J-3. When may an LEA begin using FY 2010 and/or FY 2009 carryover SIG funds to prepare for full implementation of an intervention model in the 2011–2012 school year?**

An LEA may begin using FY 2010 and/or FY 2009 carryover SIG funds after the SEA has awarded the LEA a SIG grant based on the LEA’s having met all requirements for having a fully approvable SIG application, including conducting a needs assessment and identifying the model that will be implemented in each school the LEA will serve with SIG funds. (New for FY 2010 Guidance)

**J-4. Is there a limit on the amount of SIG funds that an LEA may spend during the pre-implementation period that begins when it receives FY 2010 and/or FY 2009 carryover SIG funds?**

There is no specific limit on the amount of SIG funds that an LEA may spend during pre-implementation. However, funds for activities that are designed to prepare for full implementation in the 2011–2012 school year come from the LEA’s first-year SIG grant, which may be no more than \$2 million per school being served with SIG funds. Therefore, the LEA needs to be thoughtful and deliberate when developing its budget and should consider, at a minimum, the following:

- SIG funds awarded for the first year must cover full and effective implementation through the duration of the 2011–2012 school year, in addition to preparatory activities carried out during the pre-implementation period.
- All activities funded with SIG funds must be reasonable and necessary, directly related to the full and effective implementation of the model selected by the LEA, address the needs identified by the LEA, and advance the overall goal of the SIG program of

improving student academic achievement in persistently lowest-achieving schools (see also I-30). (New for FY 2010 Guidance)

### **Staffing**

#### **J-5. May SIG funds be used to recruit and hire the incoming principal and leadership team, who will begin planning for full implementation in the 2011–2012 school year?**

Yes. Once it receives FY 2010 and/or FY 2009 carryover SIG funds, an LEA may use those funds to recruit and hire the incoming principal and leadership team so that they may begin planning for full and effective implementation of one of the four intervention models at the beginning of the 2011–2012 school year. However, an LEA that will be bringing on a new principal should be sure to consider and address the following issues with respect to State and local laws and requirements:

- the authority of the incoming principal in relation to the current-year principal; and
- the timeframe within which the incoming principal may make human resource decisions regarding current and newly recruited school staff. (New for FY 2010 Guidance)

#### **J-6. May SIG funds be used to continue paying unassigned teachers who have been removed from the classroom?**

No, SIG funds may not be used to continue paying unassigned teachers who have been removed from the classroom and are not participating in activities to prepare their school for full implementation of a school intervention model. According to Office of Management and Budget Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* (2004) (OMB Circular A-87), Attachment A, C.3.a, “a cost may only be charged to a Federal program *in accordance with relative benefits received*” (emphasis added). Continuing to pay unassigned teachers who have been removed from the classroom would not provide any benefits to improve the academic achievement of students through SIG funds. Thus, SIG funds may not be allocated for this purpose. (New for FY 2010 Guidance)

#### **J-7. May an LEA use SIG funds to buy out the remainder of the current principal’s contract?**

No, an LEA may not use SIG funds to buy out the remainder of the current principal’s contract. As noted above (see J-6), in accordance with OMB Circular A-87, Attachment A, C.3.a, “a cost may only be charged to a Federal program in accordance with relative benefits received.” Although a principal may need to be replaced in order to fully implement a SIG intervention model, buying out the remainder of the current principal’s contract would not provide any benefits to improve the academic achievement of students and, therefore, SIG funds may not be allocated for this purpose. (New for FY 2010 Guidance)

### **Development of External Partnerships**

**J-8. For a school implementing the restart model, may an LEA use SIG funds to conduct the rigorous review process required to select a charter school operator, a CMO, or an EMO?**

Yes, an LEA may use SIG funds to conduct the required rigorous review process for selecting a charter school operator, CMO, or EMO to implement the restart model, and to contract with the selected entity. Conducting the rigorous review process during pre-implementation should enable the LEA to ensure that the charter school operator, CMO, or EMO it selects to implement the restart model will be ready to begin full implementation by the start of the 2011–2012 school year. (See C-5.)

**J-9. May an LEA use SIG funds to hire external providers to assist in planning for and carrying out activities necessary for full implementation of a school intervention model in the following year?**

Yes, an LEA may use SIG funds to hire external providers to assist in planning for and carrying out activities necessary for full implementation of a school intervention model in the following year. However, the LEA should bear in mind that the SIG funds it is awarded for the first year of implementation must fund both activities carried out during pre-implementation and full and effective implementation for the duration of the following school year. Therefore, the LEA should be careful in using its SIG funds for activities such as hiring external providers for planning purposes to ensure that it has sufficient funds to fully implement its intervention models. Additionally, an LEA should be sure that all external providers with which it contracts are screened to ensure their quality. Like the rigorous review process for charter school operators, CMOs, and EMOs, screening other external providers enables an LEA to ensure that a provider with which it contracts is qualified to assist the LEA in making meaningful changes and implementing comprehensive reform in the Tier I and Tier II schools the LEA serves with SIG funds (see H-19a; I-24a). (New for FY 2010 Guidance)

**Instructional Programs**

**J-10. May an LEA use SIG funds prior to full implementation to provide supplemental remediation or enrichment to students in schools that will begin full implementation of a SIG model at the beginning of the 2011–2012 school year?**

Yes, an LEA may use SIG funds to provide supplemental remediation or enrichment services to students enrolled in a school that will begin full implementation of a SIG model at the beginning of the 2011–2012 school year. Within those schools, an LEA may use SIG funds, for example, for supplemental activities, including summer school for rising ninth-graders, designed to prepare low-achieving students to participate successfully in advanced coursework, such as AP or IB courses, early-college high schools, or dual enrollment in postsecondary credit-bearing courses; or to provide after-school tutoring for low-achieving students. Note that, to be supplemental, the remediation or enrichment supported with SIG funds must be in addition to what would otherwise be offered to students in the school (*e.g.*, SIG funds may not be used to support a program that would supplant a regular summer school program offered to all students). (New for FY 2010 Guidance)

## **Professional Development and Support**

### **J-11. May an LEA use SIG funds to pilot an evaluation system for teachers and principals at schools receiving SIG funds to implement a transformation model?**

Yes, an LEA may use SIG funds to pilot the rigorous, transparent, and equitable evaluation systems for teachers and principals that are required in schools implementing the transformation model. To meet the requirements of the transformation model, the pilot evaluation system must take into account data on student growth as a significant factor as well as other factors, such as multiple observation-based assessments of performance, on-going collections of professional practice reflective of student achievement, and high school graduation rates. The pilot evaluation system must also be designed and developed with teacher and principal involvement. Although an LEA might want to establish and implement a teacher and principal evaluation system that includes all teachers and principals within the LEA, SIG funds may not be used for district-wide activities.

However, prior to launching a district-wide teacher and principal evaluation system, an LEA may use SIG funds to pilot the system for teachers and principals only at schools that are being served with SIG funds to ensure that the system is a useful tool that operates as intended. Similarly, an LEA may use SIG funds to support the salaries of evaluators who, as part of the LEA's preparation to fully implement an intervention model, observe and evaluate teachers in schools that are receiving SIG funds to begin implementing an intervention model at the beginning of the 2011– 2012 school year. An LEA might also consider using SIG funds to provide additional training to the individuals who will be observing and evaluating teachers in schools receiving SIG funds. (New for FY 2010 Guidance)

## **Preparation for Accountability Measures**

### **J-12. May an LEA use SIG funds to pay for a needs assessment in order to select appropriate school intervention models for inclusion in the LEA's SIG application?**

No, an LEA may not use SIG funds to pay for a needs assessment in order to determine which model to implement in particular schools prior to submitting its SIG application. As specified in J-2, an LEA may use SIG funds only after the LEA has received a grant award of FY 2010 or FY 2009 carryover SIG funds based on the LEA's fully approvable SIG application. An SEA may use its section 1003(a) funds or part of the SIG funds it may reserve for administration, evaluation, and technical assistance expenses to support a needs assessment in its LEAs. (New for FY 2010 Guidance)

## **Other**

### **J-13. May an LEA use SIG funds during pre-implementation in a targeted assistance school that will fully implement a school intervention model through a schoolwide waiver beginning in the 2011–2012 school year?**

Yes. As discussed in F-1, the Secretary is inviting requests for waivers to enable a Tier I or Tier II Title I participating school operating a targeted assistance program to operate a schoolwide program so that it can implement a school intervention model. A targeted assistance school that receives FY 2010 or FY 2009 carryover SIG funds to implement a model beginning in the 2011–2012 school year would need to become a schoolwide school, through the schoolwide waiver, beginning in the 2011–2012 school year. Although the school would remain a targeted assistance school throughout the 2010–2011 school year, the Department will construe the schoolwide waiver to apply to SIG-related activities carried out in the 2010–2011 school year using SIG funds if those activities are designed to prepare the LEA to implement an intervention model fully and effectively in the 2011-2012 school year. (New for FY 2010 Guidance)

**J-14. May an LEA use SIG funds for minor remodeling of school facilities to enable the use of technology?**

Yes, an LEA may use SIG funds during pre-implementation to pay for the costs of minor remodeling that is necessary to support technology if the costs are directly attributable to the implementation of a school intervention model and are reasonable and necessary. The overall goal of the SIG program is to improve student academic achievement in persistently lowest-achieving schools through the implementation of one of four school intervention models. If an LEA determines, with an eye toward the ultimate goal of improving student achievement, that the use of new technology is essential for the full and effective implementation of one of the models, it may deem the costs associated with that new technology a reasonable and necessary use of SIG funds. (New for FY 2010 Guidance)

Frequently Asked Questions

The following are excerpts from the USED Non-regulatory guidance on Title I 1003(g) SIG issued November 1, 2010 specific to LEA requirements. The entire guidance document can be accessed at the following link: <http://www2.ed.gov/programs/sif/legislation.html>

*DDOE comments are in blue text.*

**H. LEA REQUIREMENTS**

**H-1. Which LEAs may apply for a SIG grant?**

An LEA that receives Title I, Part A funds and that has one or more Tier I, Tier II, or Tier III schools may apply for a SIG grant. See section II.A.1 of the final requirements. Note that an LEA that is in improvement but that does not have any Tier I, Tier II, or Tier III schools is not eligible to receive SIG funds.

*LEAs with schools listed on the attached document may apply for Title I 1003(g) SIG funds for one or more of its listed schools. LEAs choosing not to serve any Tier I schools must explain why the LEA lacks the capacity to serve all of its Tier I schools in the application.*

**H-2. May an educational service agency apply for a SIG grant on behalf of one or more LEAs?**

Only LEAs are eligible to apply to an SEA for a SIG grant. An educational service agency (ESA) may apply for a SIG grant on behalf of one or more LEAs if the ESA is itself an LEA under the definition in section 9101(26) of the ESEA and each LEA for whom the ESA is applying receives Title I, Part A funds and has at least one Tier I, Tier II, or Tier III school. Moreover, the ESA must have the authority and capability to implement the whole-school intervention models required in the final requirements in Tier I and Tier II schools in the LEAs for which it applies to serve.

*Delaware's SEA cannot apply for Title I 1003(g) SIG grants on behalf of an LEA.*

**H-3. Must an LEA that wishes to receive FY 2010 SIG funds submit a new application?**

Yes. An LEA that wishes to receive FY 2010 SIG funds through the FY 2010 competition to support interventions in schools that are not being served with FY 2009 SIG funds must submit a new application. The LEA should bear in mind that, if it also received FY 2009 SIG funds, renewal of its SIG grant for the schools being funded with FY 2009 SIG funds will be made out of the FY 2009 SIG funds that were reserved by the SEA when it conducted its competition for FY 2009 funds. Funds from the FY 2010 competition, however, could be used by the LEA to support implementation of a school intervention model in additional schools, which may include schools that had not been identified as eligible to receive SIG funds for purposes of the FY 2009 competition but are eligible to receive SIG funds for purposes of the FY 2010 competition as well as schools that the LEA did not previously have the capacity to serve. (Modified for FY 2010 Guidance)

*Eligible LEAs must submit new applications using the new Title I 1003(g) SIG application tool available through DDOE Single Sign On in the Education Success Planning and Evaluation system for 2010-2011 Title I 1003(g) SIG grant funds.*

**H-4. What must an LEA include in its application to the SEA for SIG funds?**

In addition to any other information that the SEA may require, the LEA must:

- (1) Identify the Tier I, Tier II, and Tier III schools the LEA commits to serve;
- (2) Identify the school intervention model the LEA will implement in each Tier I and Tier II school it commits to serve;
- (3) For each Tier I and Tier II school that the LEA commits to serve, demonstrate that the LEA--
  - Has analyzed the needs of each school and selected an intervention for each school.

- Has the capacity to enable each school to implement, fully and effectively, the required activities of the school intervention model it has selected;

(4) If the LEA is not applying to serve each Tier I school, explain why it lacks capacity to serve each Tier I school;

(5) 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 it to implement the interventions fully and effectively; and
- Sustain the reforms after the funding period ends;

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

(7) Describe the annual goals for student achievement on the State's assessments in both reading/language arts and mathematics that it has established in order to monitor its Tier I and Tier II schools that receive SIG funds;

(8) For each Tier III school the LEA commits to serve, identify the services the school will receive or the activities the school will implement;

(9) Describe the goals the LEA has established to hold accountable the Tier III schools it serves with SIG funds;

(10) Include a budget indicating the amount of SIG funds the LEA will use to--

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

(11) Consult with relevant stakeholders, as appropriate, regarding the LEA's application and implementation of school improvement models in its Tier I and Tier II schools;

(12) Include the required assurances; and

(13) Indicate any waivers that the LEA will implement with respect to its SIG funds. See generally sections II.A.2, II.A.4, and II.A.5 of the final requirements.

Note that, even in a State that does not request a waiver to extend the period of availability of its FY 2010 SIG funds, the timeline delineating the steps the LEA will take to implement the selected intervention ((6) above), the required annual goals ((7) and (9) above), and the budget

((10) above) should cover all three years over which the school intervention model will be implemented. (Modified for FY 2010 Guidance)

*Delaware's 2010-2011 Title I 1003(g) SIG grant application requires LEAs to respond to each of the above listed requirements. In addition to the requirements above, each LEA application will also need to include specific information in the LEA Success Plan directly linked to the intervention(s) chosen. The LEA must identify specific school needs, formative and summative progress measures and targets, and strategies for implementing the intervention model(s).*

*LEAs applying for Title I 1003(g) SIG funds for schools that do not fall into the state's Partnership Zone will be required to develop and submit project management plans through the web-based Education Success Planning and Evaluation System. Project management plans must be submitted within 30 business days after the LEA receives notification of grant award.*

*The SEA has applied for the following waivers: To extend the period of availability of school improvement funds for the SEA and all of its LEAs to September 30, 2014; to permit LEAs to allow their Tier I and Tier II Title I participating schools that will implement a turnaround or restart model to "start over" in the school improvement timeline; to waive the 40 percent poverty eligibility threshold to permit LEAs to implement a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the poverty threshold; and to extend the period of availability of FY 2009 carry over school improvement funds to September 30, 2014. The SEA has received prior approval for the following waiver: to waive the definition in section I.A.3 of the final requirements in order to apply a "minimum n" of 30 below which the SEA would not identify a school for Tier I or Tier II proficiency calculations and annual graduation rate calculations.*

**H-4a. Should families and other members of the community be included among the relevant stakeholders with whom an LEA consults regarding its application for SIG funds and implementation of school improvement models in its Tier I and Tier II schools?**

Yes. Family and community engagement is a critical component of a successful intervention in a Tier I or Tier II school. Accordingly, the Department strongly encourages LEAs to engage these stakeholders in the decision-making process regarding an LEA's SIG application. For example, an LEA might hold community meetings to discuss the school intervention model it is considering implementing and the reasons it believes that the model is appropriate; survey families and the community to gauge their needs; or provide updates to families and the community about the application process and status of the LEA's application. Given the importance of family and community engagement to the success of an intervention, the open dialogue and engagement with these stakeholders should not end when an LEA's application is approved, but should continue through the pre-implementation stage and throughout the implementation of the intervention model. (New for FY 2010 Guidance)

**H-5. Must an LEA identify every Tier I, Tier II, and Tier III school located within the LEA in its application for SIG funds?**

No, an LEA need not identify every Tier I, Tier II, and Tier III school located within the LEA in its application; the LEA need only identify the Tier I, Tier II, and Tier III schools that it commits to serve with SIG funds.

**H-6. Must an LEA commit to serve every Tier I school located within the LEA?**

An LEA that applies for a SIG grant must serve each of its Tier I schools—including both Tier I schools that are among the State’s persistently lowest-achieving schools and Tier I schools that are newly eligible to receive SIG funds that the SEA has identified as Tier I schools—using one of the four school intervention models unless the LEA demonstrates that it lacks sufficient capacity to do so. See section II.A.3 of the final requirements. An LEA that is serving some of its schools with FY 2009 SIG funds is not obligated to apply for FY 2010 SIG funds to serve additional schools, but if it chooses to do so, it must meet this requirement to serve each of its Tier I schools unless it lacks sufficient capacity to do so, particularly if the LEA wishes to serve any Tier III schools. (Modified for FY 2010 Guidance)

*LEAs must commit to serve every school listed as Tier I unless it can demonstrate that it lacks sufficient capacity to do so (see H-7).*

**H-7. How might an LEA demonstrate that it lacks sufficient capacity to serve one or more of its Tier I schools?**

An LEA might demonstrate that it lacks sufficient capacity to serve one or more of its Tier I schools by documenting efforts such as its unsuccessful attempts to recruit a sufficient number of new principals to implement the turnaround or transformation model; the unavailability of CMOs or EMOs willing to restart schools in the LEA; or its intent to serve Tier II schools instead of all its Tier I schools (see H-9). An LEA may not demonstrate that it lacks capacity to serve one or more of its Tier I schools based on its intent to serve Tier III schools or the fact that it is currently serving Tier III schools with FY 2009 SIG funds. (Modified for FY 2010 Guidance)

**H-8. Is an LEA obligated to serve its Tier II schools?**

No. Each LEA retains the discretion to determine whether it will serve any or all of its Tier II schools. Moreover, although an LEA must serve all of its Tier I schools unless it lacks sufficient capacity to do so, an LEA has the choice to serve only a portion of its Tier II schools.

**H-9. May an LEA take into account whether it will serve one or more of its Tier II schools in determining its capacity to serve its Tier I schools?**

Yes. An LEA must serve all of its Tier I schools if it has the capacity to do so. However, an LEA may take into consideration, in determining its capacity, whether it also plans to serve one or more Tier II schools. In other words, an LEA with capacity to serve only a portion of its Tier I and Tier II schools may serve some of each set of schools; it does not necessarily have to expend

its capacity to serve all of its Tier I schools before serving any Tier II schools. See section II.A.3 of the final requirements.

**H-10. May an LEA commit to serving only its Tier II schools?**

Yes. Even an LEA that has one or more Tier I schools may commit to serving only its Tier II schools. In particular, an LEA that has one or more Tier I schools may commit to serving only its Tier II schools if serving those schools will result in a lack of capacity to serve any Tier I schools (see H-9).

**H-11. May an LEA commit to serving only its Tier III schools?**

Only an LEA that has no Tier I schools may commit to serving only Tier III schools. See section II.A.7 of the final requirements. This means that an LEA that has Tier II schools, but no Tier I schools, may commit to serve only its Tier III schools. Note, however, that in awarding SIG funds, an SEA must give priority to an LEA that commits to serve Tier I or Tier II schools over an LEA that commits to serve only Tier III schools (see I-7).

**H-12. May an LEA commit to serving only a portion of its Tier III schools?**

Yes. Just as an LEA has discretion with respect to whether it will serve any Tier II schools and, if so, which ones, an LEA retains discretion with respect to whether it will serve its Tier III schools and, if so, whether it will serve all, only a portion, or any of those schools. Although the final requirements do not impose any restrictions with respect to which Tier III schools an LEA may choose to serve, an SEA may impose requirements that distinguish among Tier III schools (see I- 11). An LEA should review its SEA’s requirements carefully before determining which, if any, Tier III schools it will commit to serve in its application.

**H-12a. May an LEA continue to serve as a Tier III school a school that was previously identified as a Tier III school and is being served in 2010–2011 with FY 2009 SIG funds but is identified as a Tier I or Tier II school for the FY 2010 SIG competition?**

In general, no; if it is to be served, the school must be served as a Tier I or Tier II school and must implement one of the SIG intervention models. If a school that was previously identified as a Tier III school and is being served in 2010–2011 with FY 2009 SIG funds is identified as a Tier I or Tier II school for purposes of the FY 2010 competition for SIG funds, that school may not continue to receive SIG funds as a Tier III school beyond the 2010–2011 school year. (See section II.A.3 of the SIG final requirements, providing that an LEA “may not serve with [SIG] funds ... a Tier I or Tier II school in which it does not implement one of the four interventions ...”) If the LEA in which such a school is located wishes to continue receiving SIG funds for that school, it must apply for SIG funds through the FY 2010 competition to serve the school as a Tier I or Tier II school, as appropriate. The exception to this rule is that a Tier III school that is using SIG funds to implement one of the school intervention models beginning in the 2010–2011 school year may continue to receive FY 2009 SIG funds over the full three years of its grant to support that implementation. (New for FY 2010 Guidance)

**H-12b. May an LEA receive FY 2010 or FY 2009 carryover SIG funds for a Tier III school that also is receiving FY 2009 SIG funds as a result of the FY 2009 competition?**

No. Through the waiver to extend the period of availability, a Tier III school that is receiving SIG funds as a result of the FY 2009 competition will continue to receive FY 2009 SIG funds in the 2011–2012 and 2012–2013 school years, assuming it meets the requirements for having its grant renewed. Therefore, if a school that was previously identified as a Tier III school and is being served with FY 2009 SIG funds is again identified as a Tier III school for purposes of the FY 2010 competition, it may not continue to receive FY 2009 SIG funds and receive, in addition, FY 2010 and/or FY 2009 carryover SIG funds. In other words, the school may not “double dip” to receive SIG funds from both competitions. (New for FY 2010 Guidance)

**H-13. How do the requirements and limitations described in H-6 through H-12c work together to guide an LEA’s determination of which schools it must commit to serve with SIG funds?**

The following chart summarizes how the requirements and limitations described in H-6 through H-12 work together to guide an LEA’s determination of which schools it must commit to serve with SIG funds if it wishes to receive FY 2010 and/or FY 2009 SIG carryover funds:

<b>If an LEA has one or more . . .</b>	<b>In order to get FY 2010 and/or FY 2009 carryover SIG funds, the LEA <u>must</u> commit to serve...</b>
Tier I, Tier II, and Tier III schools	Each Tier I school it has capacity to serve; at a minimum, at least one Tier I school <i>OR</i> at least one Tier II school‡
Tier I and Tier 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 <i>OR</i> 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 Tier III schools, but no Tier I schools	The LEA has the option to commit to serve as many Tier II and Tier III schools as it wishes
Tier I schools only	Each Tier I school it has capacity to serve
Tier II schools only	The LEA has the option to

	commit to serve as many Tier II schools as it wishes
Tier III schools only	The LEA has the option to commit to serve as many Tier III schools as it wishes

† The number of Tier I schools an LEA has capacity to serve may be zero if, and only if, the LEA is using all of the capacity it would otherwise use to serve its Tier I schools in order to serve Tier II schools.

(Modified for FY 2010 Guidance)

**H-14. If an LEA wishes to serve a Tier III school, must it provide SIG funds directly to the school?**

No. An LEA may —serve a Tier III school by providing services that provide a direct benefit to the school. Accordingly, a Tier III school that an LEA commits to serve must receive some tangible benefit from the LEA’s use of SIG funds, the value of which can be determined by the LEA, but the school need not actually receive SIG funds. For example, an LEA might use a portion of its SIG funds at the district level to hire an outside expert to help Tier III schools examine their achievement data and determine what school improvement activities to provide based on that data analysis. Similarly, an LEA might provide professional development at the district level to all or a subset of its Tier III schools.

**H-15. Are there any particular school improvement strategies that an LEA must implement in its Tier III schools?**

No. An LEA has flexibility to choose the strategies it will implement in the Tier III schools it commits to serve. Of course, the strategies the LEA selects should be research-based and designed to address the particular needs of the Tier III schools.

**H-16. May an LEA use SIG funds to continue to implement school improvement strategies that do not meet the requirements of one of the four models but that have helped improve achievement in the LEA?**

Yes. An LEA may use SIG funds for these activities in Tier III schools or may add them to the school intervention models in Tier I or Tier II schools, to the extent they are consistent with the requirements of those models. The LEA may also use other sources of funds, such as school improvement funds it receives under section 1003(a) of the ESEA or under Title I, Part A, for these other strategies.

**H-17. May an LEA implement several of the school intervention models among the Tier I and Tier II schools it commits to serve?**

Generally, yes. An LEA may use whatever mix of school intervention models it determines is appropriate. However, 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 (see H-21).

**H-18. How can an LEA demonstrate that it has the capacity to use SIG 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 school intervention models?**

An LEA can demonstrate that it has the capacity to use SIG funds to provide adequate resources and related support to each Tier I and Tier II school it commits to serve by addressing a number of matters. For example, the LEA might emphasize the credentials of staff who have the capability to implement one of the school intervention models. The LEA might also indicate its ability to recruit new principals to implement the turnaround and transformation models or the availability of CMOs and EMOs it could enlist to implement the restart model. The LEA might also indicate the support of its teachers' union with respect to the staffing and teacher evaluation requirements in the turnaround and transformation models, the commitment of its school board to eliminate any barriers and to facilitate full and effective implementation of the models, and the support of staff and parents in schools to be served. In addition, the LEA should indicate through the timeline required in its application that it has the ability to begin implementing the school intervention model it selects fully and effectively by the beginning of the 2011–2012 school year. (Modified for FY 2010 Guidance)

**H-19. How can an LEA use —external providers to turn around its persistently lowest achieving schools?**

The most specific way an LEA can use —external providers is to contract with a charter school operator, a CMO, or an EMO to implement the restart model in a Tier I or Tier II school. The LEA might also contract with a turnaround organization to assist it in implementing the turnaround model. The LEA might also use external providers to provide technical expertise in implementing a variety of components of the school intervention models, such as helping a school evaluate its data and determine what changes are needed based on those data; providing job-embedded professional development; designing an equitable teacher and principal evaluation system that relies on student achievement; and creating safe school environments that meet students' social, emotional, and health needs.

**H-19a. How should an LEA select external providers to assist it in turning around its persistently lowest-achieving schools?**

As discussed above in Section C of the guidance (see, in particular, C-5), if an LEA wishes to contract with a charter school operator, a CMO, or an EMO to implement the restart model, it must select that charter school operator, CMO, or EMO through a “rigorous review process.” All other external providers must also be screened for their quality. (See section I.A.4(iii) of the final requirements, providing that, in its application for SIG funds, an LEA must describe, among other things, the actions it has taken, or will take, to recruit, screen, and select external providers to ensure their quality.) The purpose of such screening is similar to the purpose of the “rigorous

review process,” in that both processes permit an LEA to examine a prospective provider’s reform plans and strategies. Screening an external provider helps prevent an LEA from contracting with a provider without ensuring that the provider has a meaningful plan for contributing to the reform efforts in the targeted school. In screening a potential external provider, an LEA might, for example, require the provider to demonstrate that its strategies are research-based and that it has the capacity to implement the strategies it is proposing. (New for FY 2010 Guidance)

**H-20. What are examples of “other resources” an LEA might align with the interventions it commits to implement using SIG funds?**

An LEA might use a number of other resources, in addition to its SIG funds, to implement the school intervention models in the final requirements. For example, an LEA might use school improvement funds it receives under section 1003(a) of the ESEA or Title I, Part A funds it received under the ARRA. The LEA might also use its general Title I, Part A funds as well as funds it receives under other ESEA authorities, such as Title II, Part A, which it could use for recruiting high-quality teachers, or Title III, Part A, which it could use to improve the English proficiency of LEP students.

**H-21. What is the cap on the number of schools in which an LEA may implement the transformation model and to which LEAs does it apply?**

An LEA with nine or more Tier I and Tier II schools, including both schools that are being served with FY 2009 SIG funds and schools that are eligible to receive FY 2010 SIG funds, may not implement the transformation model in more than 50 percent of those schools. See section II.A.2(b) of the final requirements. Given that the cap only applies to an LEA with nine or more Tier I and Tier II schools, an LEA with, for example, four Tier I schools and four Tier II schools, for a total of eight Tier I and Tier II schools, would not be impacted by the cap. However, an LEA with, for example, seven Tier I schools and two Tier II schools, for a total of nine Tier I and Tier II schools, would be impacted by the cap. Thus, continuing the prior example, the LEA with seven Tier I schools and two Tier II schools would be able to implement the transformation model in no more than four of those schools. This limitation applies irrespective of whether the Tier I or Tier II schools an LEA applies to serve are among the State’s persistently lowest-achieving schools or whether they are newly eligible schools identified as Tier I or Tier II schools at the State’s option. For example, for FY 2009, LEA 1 had seven Tier I schools and two Tier II schools, so it was impacted by the cap. Using FY 2009 SIG funds, it implemented the transformation model in four of those schools. For FY 2010, LEA 1 has two additional Tier I schools and two additional Tier II schools, so it now has a total of 13 Tier I and Tier II schools, which means it may implement the transformation model in a total of six schools, or two schools in addition to those that are being served with FY 2009 funds. (Modified for FY 2010 Guidance)

**H-21a. If an LEA that was not subject to the nine-school cap for FY 2009 is subject to the cap for FY 2010 because it now has nine or more Tier I and Tier II schools and is already exceeding the cap based on the number of schools in which it is implementing the transformation model in 2010–2011, must it change the model being implemented in some of those schools in order to comply with the cap?**

No. An LEA in this situation need not change the models it is implementing in the schools already being served with SIG funds but, if it is already exceeding the cap, it may not implement the transformation model in any additional schools. For example, for FY 2009, LEA 2 had four Tier I schools and four Tier II schools, so it was not affected by the cap (because it only had eight Tier I and Tier II schools). Using FY 2009 SIG funds, it implemented the transformation model in all four Tier I schools and two Tier II schools. For FY 2010, LEA 2 has three additional schools identified as Tier I, so it now has a total of 11 Tier I and Tier II schools, which means the cap would apply. As a result, it may implement the transformation model in only five of its schools. Under these circumstances, LEA 2 would not be required to stop implementing the transformation model in one of its schools, but it would not be permitted to implement the transformation model in any additional Tier I or Tier II schools that it seeks to serve. (New for FY 2010 Guidance)

**H-22. If an LEA lacks capacity to implement any of the four interventions in all of its Tier I schools, may it apply for SIG funds to provide other services to some of its Tier I schools?**

No. The only services an LEA may provide to a Tier I school using SIG funds are services entailed in the implementation of one of the four interventions described in the final requirements (*i.e.*, turnaround model, restart model, school closure, or transformation model). If an LEA lacks capacity to implement one of those models in some or all of its Tier I schools, the LEA may not use any SIG funds in those schools. See section II.A.3 of the final requirements.

**H-23. May an LEA use SIG funds to serve a school that feeds into a Tier I, Tier II, or Tier III school, but is not itself a Tier I, Tier II, or Tier III school?**

No. Only a school that is a Tier I, Tier II, or Tier III school may be served with SIG funds. See section II.A.1 of the final requirements.

**H-24. What criteria must an LEA use to monitor each Tier I and Tier II school that receives SIG funds?**

An LEA must monitor each Tier I and Tier II school that receives SIG funds to determine whether the school:

- (1) Is meeting annual goals established by the LEA for student achievement on the State's ESEA assessments in both reading/language arts and mathematics; and
- (2) Is making progress on the leading indicators described in the final requirements. See section II.A.8 of the final requirements.

**H-25. What are examples of the annual goals for student achievement that an LEA must establish for its Tier I and Tier II schools?**

An LEA must establish annual goals for student achievement on the State's ESEA assessments in both reading/language arts and mathematics that it will use to monitor each Tier I and Tier II

school that receives SIG funds. See section II.A.8 of the final requirements. Annual goals that an LEA could set might include making at least one year's progress in reading/language arts and mathematics; reducing the percentage of students who are non-proficient on the State's reading/language arts and mathematics assessments by 10 percent or more from the prior year; or meeting the goals the State establishes in its Race to the Top application. Note that the determination of whether a school meets the goals for student achievement established by the LEA is in addition to the determination of whether the school makes AYP as required by section 1111(b)(2) of the ESEA. In other words, each LEA receiving SIG funds must monitor the Tier I and Tier II schools it is serving to determine whether they have met the LEA's annual goals for student achievement and must also comply with its obligations for making accountability determinations under section 1111(b)(2) of the ESEA. Further, note that the LEA should establish annual goals to cover all three years of implementation of the school intervention model, even if the second and third years will be funded out of continuation grants. (Modified for FY 2010 Guidance)

**H-26. What are examples of the goals an LEA must establish to hold accountable the Tier III schools it serves with SIG funds?**

An LEA must establish, and the SEA must approve, goals to hold accountable the Tier III schools it serves with SIG funds (see section II.C(a) of the final requirements), although the LEA has discretion in establishing those goals. For example, the LEA might establish for its Tier III schools the same student achievement goals that it establishes for its Tier I and Tier II schools, or it might establish for its Tier III schools goals that align with the already existing AYP requirements, such as meeting the State's annual measurable objectives or making AYP through safe harbor. Note that the goals that the LEA establishes must be approved by the SEA.

**H-27. What are the leading indicators that will be used to hold schools receiving SIG funds accountable?**

The following metrics constitute the leading indicators for the SIG program:

- (1) Number of minutes within the school year;
- (2) Student participation rate on State assessments in reading/language arts and in mathematics, by student subgroup;
- (3) Dropout rate;
- (4) Student attendance rate;
- (5) Number and percentage of students completing advanced coursework (e.g., AP/IB), early-college high schools, or dual enrollment classes;
- (6) Discipline incidents;
- (7) Truants;

(8) Distribution of teachers by performance level on an LEA's teacher evaluation system; and

(9) Teacher attendance rate.

See section III.A of the final requirements.

**H-28. Is there a limit on the amount of SIG funds an LEA may carry over?**

No. The provision in section 1127(a) of the ESEA that limits the amount of Title I, Part A funds an LEA may carry over to the subsequent fiscal year does not apply to SIG funds.

**H-29. May an LEA use SIG funds to pay for the costs of minor remodeling necessary to support technology that will be used as part of the implementation of a school intervention model?**

Yes, an LEA may use SIG funds to pay for the costs of minor remodeling that is necessary to support technology if the costs are directly attributable to the implementation of a school intervention model and are reasonable and necessary.

The overall goal of the SIG program is to improve student academic achievement in persistently lowest-achieving schools through the implementation of one of four school intervention models. If an LEA determines, with an eye toward the ultimate goal of improving student achievement, that the use of new technology is essential for the full and effective implementation of one of the models, it may deem the costs associated with that new technology a reasonable and necessary use of SIG funds. For example, if an LEA chooses to accelerate learning by implementing Web-based interim assessments and aligned on-line instructional materials for students and that implementation requires computers placed in classrooms rather than in a computer lab and wireless connectivity, it may use SIG funds to carry out minor remodeling needed to accommodate the computers in the classrooms and the wireless connectivity.

Please note that, under 34 C.F.R. § 77.1(c), "minor remodeling" means "minor alterations in a previously completed building," and also includes the "extension of utility lines, such as water and electricity, from points beyond the confines of the space in which the minor remodeling is undertaken but within the confines of the previously completed building." "Minor remodeling" specifically "does *not* include building construction, structural alterations to buildings, building maintenance, or repairs." (34 C.F.R. § 77.1(c) (emphasis added).)

Any costs for minor remodeling that an LEA wishes to support with SIG funds must be included in the LEA's proposed SIG budget and reviewed and approved by the SEA. In addition, the LEA must keep records to demonstrate that such costs are directly attributable to its implementation of a school intervention model as well as reasonable and necessary.

## Step-by-Step Grant Instructions

### Step 1: Accessing the Title I 1003(g) SIG Grant

#### Registration for Delaware Single Sign-On

Before logging on to the Title I 1003 (g) SIG Grant for the first time, you will need a User Name and Password. The Title I 1003(g) SIG Grant is part of the Education Success Planning & Evaluation System (ESPES) and is accessed through the Delaware Department of Education's Single Sign-On (DDOESSO) system.

You may register for a Single Sign-on account by accessing the DDOESSO page at the following link: <https://login.doe.k12.de.us/DDOESSO>. The following screen will appear. To request an account choose Request Account

Single Sign-On

SignOn ID

Password

Remember My SignOn ID

[Forgot Password](#) | [Request Account](#) | [Contact Us](#)

Authorized Users Only

only by employees of the Department of Education (DOE) and its authorized clients. To protect the system from unauthorized or inappropriate use and to ensure that it is functioning monitored by system administrators at the DOE. By using this system, you expressly consent to such monitoring and waive any privacy claim. Unauthorized or inappropriate use may result in loss of access to the system. Evidence of possible criminal activity will be disclosed to the appropriate law enforcement agency. Anyone using this system expressly consents to comply with the DOE's acceptable use policy. Violation of this policy may result in termination of access to the system and, in the case of employees of the DOE, disciplinary action up to and including termination.

The following screen will appear. Complete the required information and hit submit.

## Step 2: Accessing the Title I 1003(g) SIG Grant

Accessing the Title I 1003(g) SIG Grant from the DDOESSO web site takes three steps:

1. Go to the following URL: <https://login.doe.k12.de.us/DDOESSO>). You will see the DDOE Single SignOn page. You will be prompted to enter your SignOn ID (your email address) and your password.

Authorized Users Only

only by employees of the Department of Education (DOE) and its authorized clients. To protect the system from unauthorized or inappropriate use and to ensure that it is functioning monitored by system administrators at the DOE. By using this system, you expressly consent to such monitoring and waive any privacy claim. Unauthorized or inappropriate use may result in loss of access to the system. Evidence of possible criminal activity will be disclosed to the appropriate law enforcement agency. Anyone using this system expressly consents to comply with the DOE's acceptable use policy. Violation of this policy may result in termination of access to the system and, in the case of employees of the DOE, disciplinary action up to and including termination.

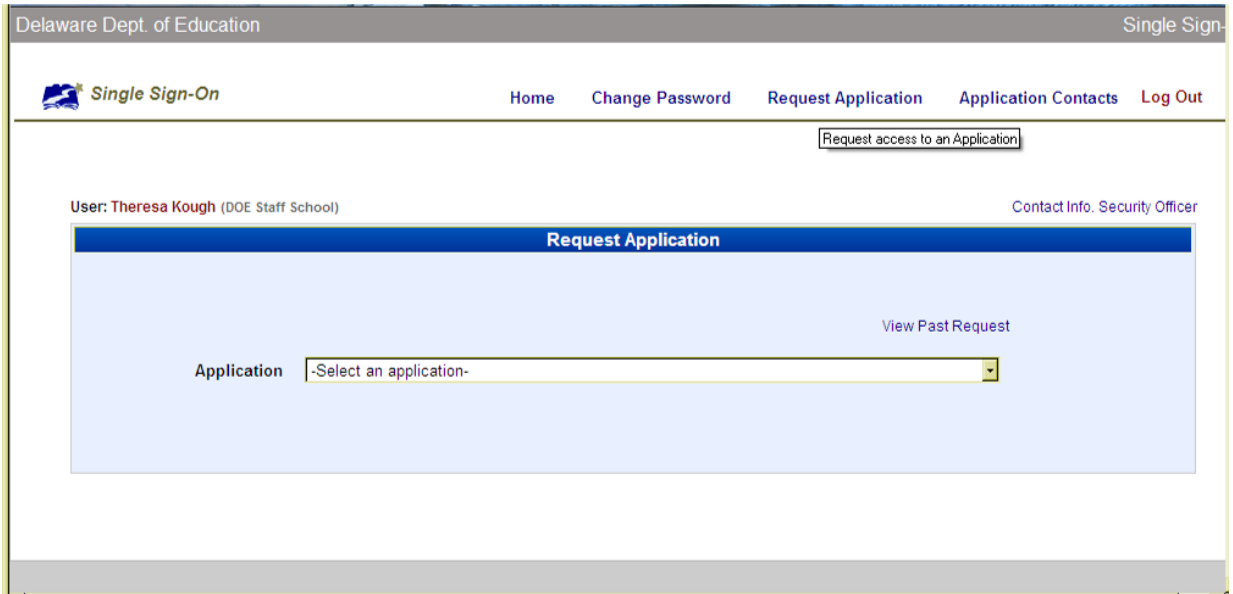
### Step 3: Choosing the Education Success Planning & Evaluation System (ESPES)

Your DDOESSO homepage will list all applications you are authorized to use. If you are only authorized to use the ESPES system, then only ESPES will be listed. Click on ESPES.

Application	Description
Correlates of Achievement v3	This application is used for the school improvement and serves as a decision support tool for Delaware school leaders. The system offers point and click queries on school level factors such as curriculum rigor, teacher preparation, class size, student engagement, some of the DSTP queries, suspension data and high school student's attendance at Delaware institutions of Higher Education
Delaware Educator Data System (DEEDS)	This is a system used by the Department to manage the teacher certification process which includes certification application, course evaluation, and issuance of teacher certificates. This is a public application which allows potential teachers to apply for a certificate to teach in a Delaware School. The application additionally allows current Delaware teachers to maintain their certificates by updating their Professional Development and additional educational experiences on-line through the DEE
Delaware Student Information System (DELSIS)	An on-line student information system designed to allow Delaware public school administrators instant access to basic student information for both the current and past school years. The key feature of this system is generation of a unique student ID that gives the ability to track students throughout their Delaware school career. Tied to Pentamation Pupil Accounting System Data Mart, DSS for Pentamation. Implemented in 2000, updated 2002.
Delaware Student Testing Program Online Reports v9 (DSTP-OR v9)	This application is used by DOE, District, and School staff. It allows DOE Staff to print or display DSTP test booklet images in order to accommodate school or parent test reviews and challenges regarding student performance
Education Success Planning & Evaluation System (ESPES)	This application allows designated district and school staff to better align actions with resources resulting in improved outcomes for all students. The system is intended to improve communication among the organization's staff and constituents and provide a dynamic structure to put the strategic plan into action. The major components of this dynamic system are Planning, Resource Allocation, Evaluation, and Monitoring
Instructional Unit Processing System (IUPS)	This application allows designated users to submit an instructional unit to the Department of Education for jury review by peers
Professional Development Management System Powered by True North Logic	The Professional Development Management System (PDMS) is currently being used to track and manage the professional development clusters and recent professional development opportunities provided by the Department of Education.

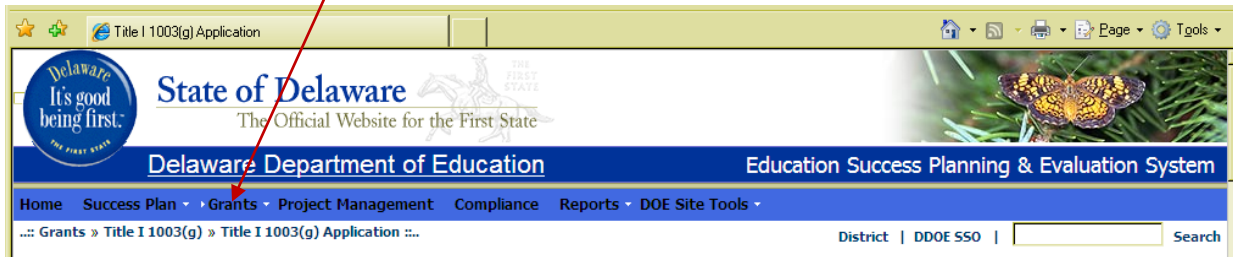
### Step 3: Choosing the Education Success Planning & Evaluation System (ESPES) *Continued*

If you have a single sign-on account and need to get access to the Education Success Planning & Evaluation System, choose “Request Application”. The following screen will appear. Use the drop down button. Select Education Success Planning and Evaluation System from the pick list.

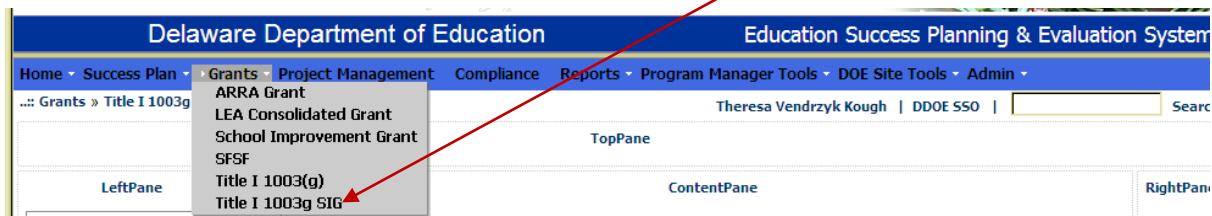


### Step 4: Choosing the Title I 1003(g) SIG Grant

Click on Grant tab



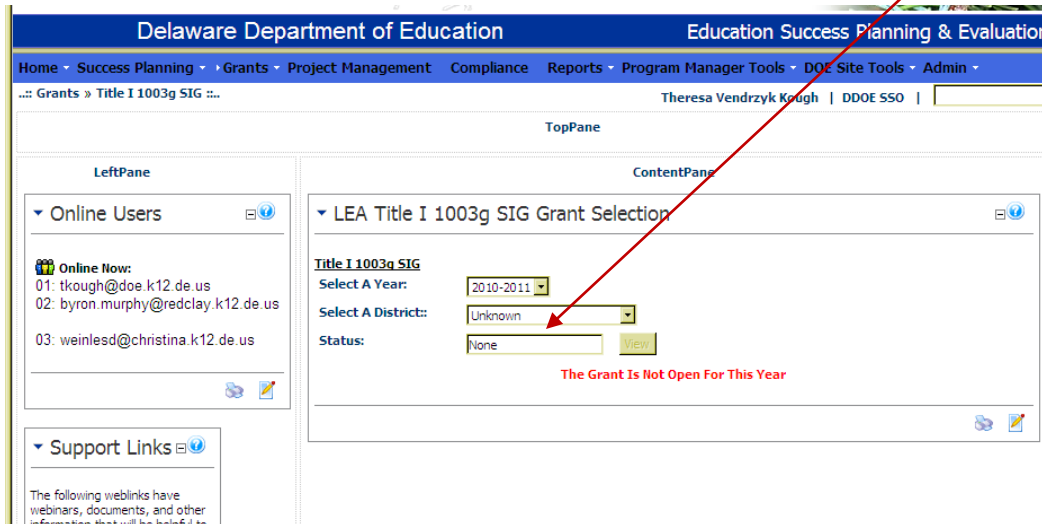
The following screen will appear: Click Title I 1003(g) SIG Grant



## Step 5: Using Title I 1003(g) SIG Grant

After you click on Title I 1003(g) SIG, the following screen will appear. Select the year.

*Unknown is selected for demonstration purposes.* **Reminder:** remember to check the Section Completed box when finished with each section of the grant. The grant will not be able to be submitted unless all sections are marked complete. When the Section Completed box is checked, the item in the menu (far left) will turn green.



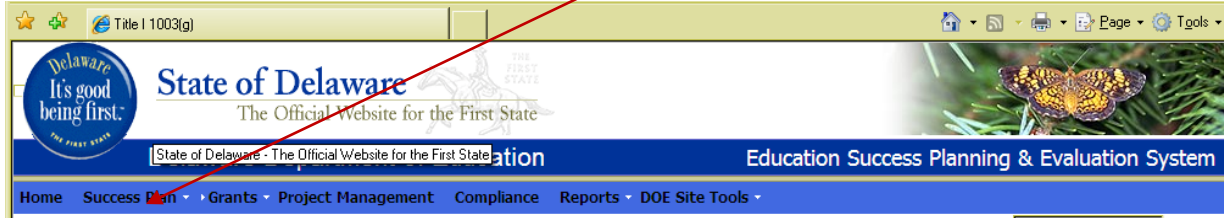
## Step 6: Navigating through the Title I 1003(g) SIG Grant

The new Title I 1003(g) SIG grant application uses the same common layout that is used for the Success Plan and the Consolidated Application. The sections for the Title I 1003(g) SIG grant are on the left. Each section must be completed. **Reminder:** Section 1.0 Success Plan is only a copy of your current success plan.



To make changes to the current success plan, go back to the main menu and select “Success Plan”. From this menu you may edit the current success plan.

Reminder: Each LEA application will also need to include specific information in the LEA Success Plan directly linked to the intervention(s) chosen. The LEA must identify specific school needs, formative and summative progress measures and targets, and strategies for implementing the intervention model(s).



## 1003(g) Success Plan Guidance

1. The LEA must include specific information in their Success Plan.
2. The LEA Success Plan must include strategies that address the intervention(s) selected.
  - a. Turnaround
  - b. Restart
  - c. Closure
  - d. Transformation
3. The intervention must be beyond what the school(s) is already doing.
4. The LEA Success Plan must include
  - a) the identification of school specific needs,
  - b) formative and summative progress measures, and
  - c) strategies directly linked to the
    - (1) specific needs of each school, and
    - (2) selected intervention for each school.
5. LEA responsibilities:
  - a. Set realistic targets
  - b. Ensure strategies are research based
  - c. Oversee implementation of strategies
  - d. Monitor progress during plan implementation using formative measures
  - e. Adjust plan as needed based on formative results
  - f. Monitor progress at the end of year one implementation using summative measures.

## Step 7: Section 2.0 General Information

2.1 Team Members. Choose “Team members” and the following screen will appear.

Reminder: the LEA school support team members must be listed as Team members in this section. You may Add a new Team member or Add members from the current Success Plan.

First Name	Last Name	Title	Email	Phone	Constituency
Amelia	Hodges	Director, Career, Tech, & Title I Resources	ahodges@doe.k12.de.us	857-3320	Administrator

2.2 Program Selection. Choose “Program Selection” and this screen will appear. There are three year-based programs to select (Title I-1003(g) SIG - Year 1, Title I-1003(g) SIG - Year 2, and Title I-1003(g) SIG - Year 3). Normally, the applicant will choose all three. However, in the case where the LEA chooses closure and has only one school, funds would not be required beyond year 1. Click on boxes to select the years for which the LEA is seeking funding.

**Federal Programs:** [Select All]

- Title I-1003(g) SIG - Year 1
- Title I-1003(g) SIG - Year 2
- Title I-1003(g) SIG - Year 3

**State Programs:** [Select All]

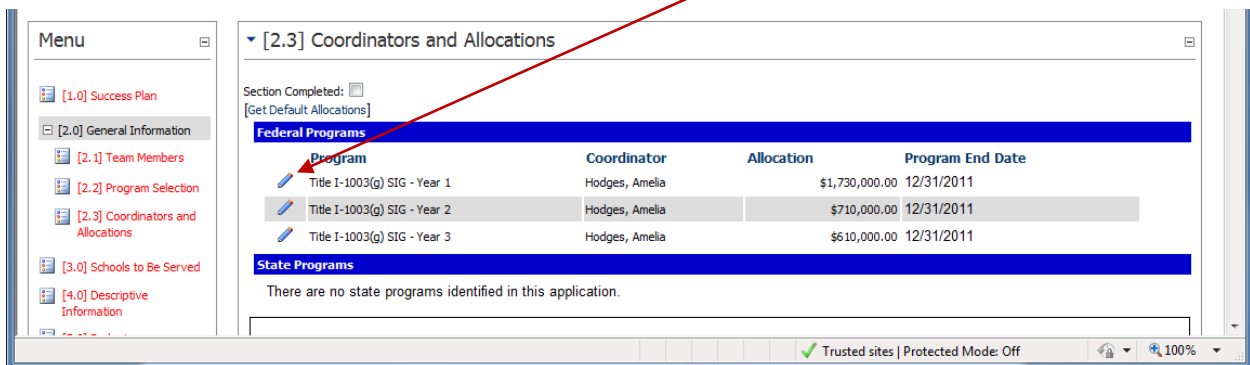
2.3 Coordinators and Allocations.

**It is recommended that applicants start the budget process by developing their plan and detailed budget before entering anything into the system. The next step would be to enter the detailed budget into Section 5.0. Once detailed budget is entered into Section 5.0, run the reports available in the reports dropdown to obtain the summary data to complete the Allocation for each year-based program in Section 2.3.**

## Section 2.0 General Information Continued

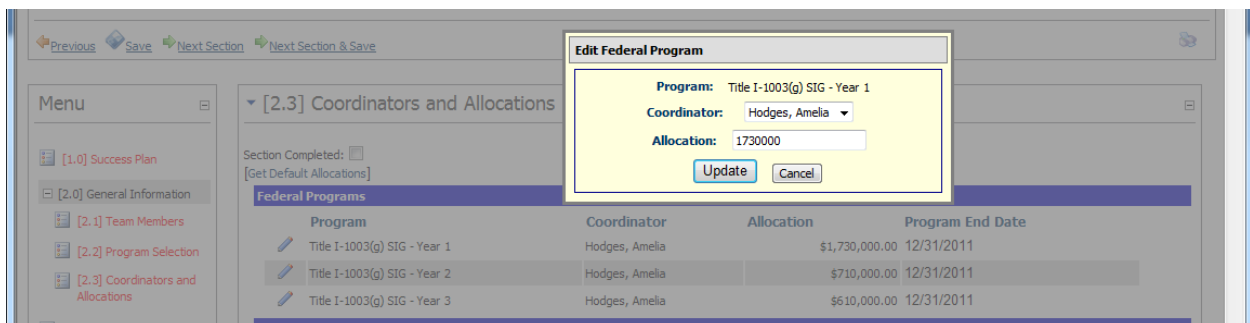
Choose “Coordinators and Allocations” and this screen will appear. As an LEA considers the total amount to allocate to each school, it is important to consider the following: LEAs may not apply for less than \$50,000 or more than \$2,000,000 per year for each Tier I, Tier II, and Tier III school it commits to serve. For example: School District A has three schools that are eligible to receive funds. School 1’s request is for \$50,000 (\$30,000 – Year 1, \$10,000 Year 2 and \$10,000 Year 3), School 2’s request is for \$1,000,000 (\$600,000 Year 1, \$200,000 Year 2 and \$200,000 Year 3), and School 3’s request is for \$2,000,000 (\$1,100,000 Year 1, \$500,000 Year 2 and \$400,000 Year 3),. The district’s request in this example will be \$1,730,000 for Title I-1003(g) SIG - Year 1, \$710,000 for Title I-1003(g) SIG - Year 2 and \$610,000 for Title I-1003(g) SIG - Year 3 for a total budget of \$3,050,000.

To enter district coordinator and allocation request, Click on pencil icon.



The following screen will appear. Enter coordinator and total requested district allocation for each year-based program in the pop-up window. *In the example from above, the amount entered will be \$1,530,000 for Title I-1003(g) SIG - Year 1.*

Reminder: Coordinator must be listed as a team member in Section 2.1.



## Step 8: Section 3.0 Schools to be Served

The list of eligible schools and Tier will be populated for you when you click “Import Default Values.”

Menu

- [1.0] Success Plan
- [2.0] General Information
- [3.0] Schools to Be Served
- [4.0] Descriptive Information
- [5.0] Budget
- [6.0] Waivers
- [7.0] Certifications of Compliance and Assurances
- [8.0] Abstract

[3.0] Schools to Be Served

Section Completed:

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 T

[View Remaining Allocations](#)

School Information			
School	NCES ID	Tier	Intervention
ESPES School	9999	3	Transformation

[Import Default Values](#)

Persistently Lowest Achieving Schools are defined as:

**Tier I:** Any Title I school in improvement, corrective action, or restructuring that:

- 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
- is a high school that has had a graduation rate that is less than 60 percent for two of the last three years. Graduation rate is defined as the percentage of students, measured from the beginning of high school, who graduate from high school with a regular diploma (not including an alternative degree that is not fully aligned with the State's academic standards, such as a certificate or a GED) in the standard number of years.

**Tier II:** Any secondary school that is eligible for, but does not receive, Title I funds that:

- 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
- is a high school that has had a graduation rate that is less than 60 percent for two of the last three years. Graduation rate is defined as the percentage of students, measured from the beginning of high school, who graduate from high school with a regular diploma (not including an alternative degree that is not fully aligned with the State's academic standards, such as a certificate or a GED) in the standard number of years.

*Secondary schools are defined as schools with a grade configure including any of the following; grade 6, grade 7, grade 8, grade 9, grade 10, grade 11, or grade 12. However, a school that includes grade 6 may be considered an Elementary School or Middle School.*

**Tier III:** Title I schools in improvement, corrective action, or restructuring that are not in Tier I.

The LEA must also identify the intervention model for each school.

The screenshot shows a web application interface. On the left is a 'Menu' with items: [1.0] Success Plan, [2.0] General Information, [3.0] Schools to Be Served, [4.0] Descriptive Information, [5.0] Budget, [6.0] Waivers, [7.0] Certifications of Compliance and Assurances, and [8.0] Abstract. The main content area is titled '[3.0] Schools to Be Served'. Below the title, there is a 'Section Completed:' checkbox which is checked. A text box contains the instruction: '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 T'. Below this is a link 'View Remaining Allocations'. The main data is presented in a table titled 'School Information' with columns: School, NCES ID, Tier, and Intervention. The table contains one row for 'ESPES School' with NCES ID '9999', Tier '3', and Intervention 'Transformation'. There is an edit icon in the first column and a link 'Import Default Values' at the bottom right of the table.

School	NCES ID	Tier	Intervention
ESPES School	9999	3	Transformation

The model options are as follows:

- None – School will not be served.
- Turnaround
- Restart
- Closure
- Transformation
- Other - Tier III schools only.

Complete information on each of the models is available from the following website:  
<http://www2.ed.gov/policy/gen/leg/recovery/programs.html>

NOTE: LEAs are not required to choose among the designated intervention models for Tier III schools it commits to serve; however, the LEA must identify the services the school will receive of the activities the school will implement. If an LEA chooses not to serve an eligible Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.

## Step 9: Section 4.0 Descriptive Information

There are thirteen sections of questions that must be answered in section 4.0. Choose “Descriptive Information” and the following screen will appear. Complete the information required in each text box. When each section is complete, hit “Next Part” for the next set of questions.

The screenshot shows a web application interface for a school improvement grant application. The main content area is titled "[4.0] Descriptive Information" and is in "Read Only Mode". It contains a list of questions from A to N. Two questions are highlighted with blue boxes: [A.1] and [A.2]. [A.1] asks to identify SIG Tier I and Tier II schools also in the State Partnership Zone. [A.2] asks to describe LEA capacity to use SIG funds for intervention models. A "Next Part" button is located at the bottom right of the question list. The left sidebar shows a menu with sections [1.0] through [6.0], with [4.0] Descriptive Information selected. The top and bottom of the content area have "Previous" and "Next Section" navigation links.

### Please complete Questions A1- N3:

**Question A1:** Identify the School Improvement Grant (SIG) Tier I and Tier II schools that are also identified for the State Partnership Zone.

**Question A2:** Describe the LEA capacity to use School Improvement Grant funds to provide adequate resources and supports to fully and effectively implement intervention models for all schools served under this application.

**Question B1:** If the LEA is not applying to serve all eligible Tier I and Tier II schools, provide clear and logical rationale for the schools it has chosen to serve and for the schools it has chosen not to serve. Include LEA staffing, fiscal, and other resource limitations (capacity constraints) for schools not served.

**Question B2:** Describe the rationale for the intervention model chosen for each School Improvement Grant (SIG) school that the LEA intends to serve.

## Section 4.0 Descriptive Information Continued

**Question C1:** Describe the actions the LEA has taken, or will take, to design and implement the School Improvement Grant (SIG) intervention model(s) chosen and to meet all federal SIG intervention model requirements.

**Question C2:** Describe the actions the LEA has taken, or will take, to recruit, screen, and select external providers, if applicable, to ensure their quality.

**Question D1:** Describe the actions the LEA has taken, or will take, to align other resources with the School Improvement Grant (SIG) intervention model(s).

**Question D2:** Describe the actions the LEA has taken, or will take, to modify its practices or policies, if necessary, to enable its schools to implement the School Improvement Grant (SIG) intervention model(s) fully and effectively.

**Question D3:** Describe the actions the LEA has taken, or will take, to sustain the reforms after the funding period ends.

**Question E1:** If the Education Management Organization (EMO)/Charter Management Organization (CMO) management model is selected, provide evidence of the availability and quality of each EMO or CMO under consideration, including a evidence of interest from potential EMO or CMO partners.

**Question F1:** If the school closure model is selected, provide evidence that students will be enrolled in higher performing schools in the LEA (or LEA of residence in the case of charter schools).

**Question G1:** For each Tier III school the LEA commits to serve, identify the services the school will receive or the activities the school will implement.

**Question H:** Describe how the LEA consults with relevant stakeholders regarding this application and implementation of school improvement models in the LEA's Tier I and Tier II schools.

**Question I1:** Will the LEA be utilizing any 1003(g) SIG funds to carry out pre-implementation activities during the current school year?

**Question I2:** If yes, list those activities below and explain how each activity will help the LEA prepare for full model implementation next school year.

**Question J1:** Provide the 3 digit school code for the first school to be served.

## Section 4.0 Descriptive Information Continued

**Question J2:** For the first school to be served, indicate the school improvement strategies that will be supported by this grant (check all that apply)

- Provide customized technical assistance and/or professional development that is designed to build the capacity of LEA and school staff to improve schools and is informed by student achievement and other outcome-related measures.
- Utilize research-based strategies or practices to change instructional practice to address the academic achievement problems that caused the school to be identified for improvement, corrective action, or restructuring.
- Create partnerships among the SEA, LEAs and other entities for the purpose of delivering technical assistance, professional development, and management advice.
- Provide professional development to enhance the capacity of school support team members and other technical assistance providers who are part of the Statewide system of support and that is informed by student achievement and other outcome-related measures.
- Implement other strategies determined by the SEA or LEA, as appropriate, for which data indicate the strategy is likely to result in improved teaching and learning in school identified for improvement, corrective action, or restructuring (provide description in box below).

**Question J3:** Provide a description of the other strategy(s) if the last option above was selected for the first school to be served.

**Questions K1-N3:** Repeat questions in J1-J3 for additional schools to be served (i.e., second, third, etc.).

## Step 10: Section 5.0 Budget

**It is recommended that applicants start the budget process by developing their plan and detailed budget before entering anything into the system. The next step would be to enter the detailed budget into Section 5.0. Once detailed budget is entered into Section 5.0, run the reports available in the reports dropdown to obtain the summary data to complete the Allocation for each year-based program in Section 2.3.**

Choose “Budget”. The following screen will appear:

Summary			
Total Grant	1003g Year 1	1003g Year 2	1003g Year 3
Allocation	1,730,000.00	710,000.00	610,000.00
Remaining	1,630,000.00	700,000.00	600,000.00

Information is entered on the budget page in the same way as in the Consolidated Application. Please note, however, that the budget section has been revised for the 2011-12 school year. Since this grant covers a three year period, LEAs will need to clearly indicate expenditures for each year. In order to make this process easier, the grant has been set up with year-based three programs (Title I-1003(g) SIG - Year 1, Title I-1003(g) SIG - Year 2, and Title I-1003(g) SIG - Year 3). If a budgeted item will only require funding for one year, applicants will only add funding for the program for the year in question (see Example 1). If a budgeted item spans more than one year, applicants can enter the budgeted item once and add funding from each year in which the item requires funding (see Example 2).

Example Number	Classification	Account	Budgeted Item	1003(g) Year 1	1003(g) Year 2	1003(g) Year 3
1	Contracted Services	Professional Administration	(Pre-implementation) Hire a facilitator to conduct two parent and community meetings to review school performance, discuss the new model to be implemented, and develop school improvement plans in line with the model selected. (2 meetings x 2 hours @ \$100/hour)	\$400.00		
2	Contracted Services	Professional Instruction	Transportation for Summer Bridge program (2 buses)	\$4,200.00	\$4,200.00	\$4,200.00

## Section 5.0 Budget (Continued)

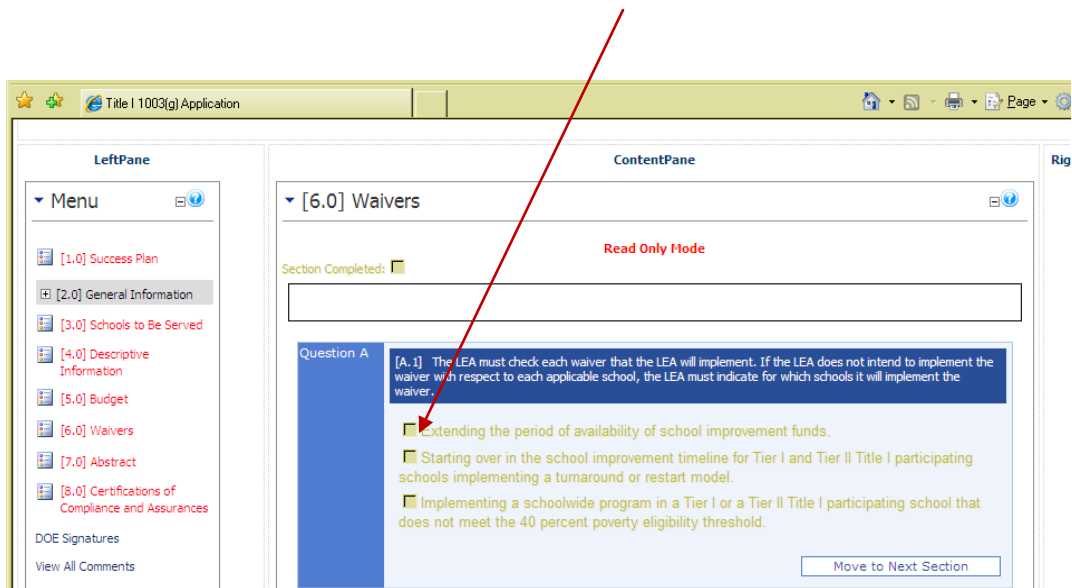
In Example 1 above, note that an activity involving pre-implementation should be included in the first school year and specifically noted as “(Pre-implementation)” at the beginning of the budgeted item description.

The budget section will be reviewed using the following criteria:

- Budgeted items must be clearly and directly linked to the LEA Success Plan strategies
- Budgeted items must clearly and directly address the reason why the school is in improvement (AYP cells missed and other data-determined needs indicated in the needs section)
- Budgeted items must be necessary and reasonable for the proper and efficient performance and administration of the grant award
- Budgeted items must be realistic including
  - Able to be fully expended during the grant period, with the majority of funds to be expended during year one of the grant period as demonstrated in the Distribution of Funds section of the application
  - Of sufficient scope and amount to ensure strategy success (Example: Strategy in plan is to require all ELA teachers to participate in high quality professional development. Budgeted items must clearly show that there are sufficient funds to support all ELA teachers’ participation)
- Budgeted items must be allowable under ESEA cost principles and state law and regulation
- Budgeted items for LEAs choosing the school closure model must not be for more than one year in duration and may only be allocated for costs related to school closure including, but not limited to:
  - parent and community outreach efforts related to school closure
  - parent and student transition services to the new school
  - new school orientation activities for parents and students transferring from the closed school
  - administrative and operational costs, only if they are in excess of normal LEA costs and directly related to the school closure (i.e. transportation costs exceeding normal LEA transportation costs for the students in the closed school)
- Budgeted items comply with supplement, not supplant, provisions of ESEA, including Title I, Part A, §1114(a)(2)(B) and §1120A(b).
- The “pre-implementation” activities and budget will be evaluated using the following criteria:
  - Activities and budgeted items must be clearly and directly linked to the strategies in the LEA’s SIG Objective(s) and requirements of the selected intervention model
  - Activities and budgeted items must be necessary and reasonable for the proper and efficient model implementation during the following school year
  - Activities and budgeted items must be realistic
  - Activities and budgeted items must be allowable under ESEA cost principles and state law and regulation
  - Activities and budgeted items comply with supplement, not supplant, provisions of ESEA, including Title I, Part A, §1114(a)(2)(B) and §1120A(b).

## Step 11: Section 6.0 Waivers

Choose “Waivers”. The following screen will appear. Check each waiver that applies by clicking on the box. Check each box that applies. More than one waiver may be chosen.



The screenshot displays the Title I 1003(g) Application web interface. The browser window title is "Title I 1003(g) Application". The interface is divided into a "LeftPane" and a "ContentPane".

**LeftPane Menu:**

- [1.0] Success Plan
- [2.0] General Information
- [3.0] Schools to Be Served
- [4.0] Descriptive Information
- [5.0] Budget
- [6.0] Waivers
- [7.0] Abstract
- [8.0] Certifications of Compliance and Assurances
- DOE Signatures
- View All Comments

**ContentPane [6.0] Waivers:**

Section Completed:

**Read Only Mode**

Question A

[A.1] 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.

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

Move to Next Section

## Step 12: Section 7.0 Abstract

Choose “Abstract”. The following screen will appear. Enter information in the text box.  
Reminder: The abstract should be brief. It needs to simply provide a summary outlining how the requested funds will be used.

The screenshot shows a web application interface with a header, navigation, and a main content area. The header includes "District:" and "School Year: 2010 - 2011 Status: Draft" on the left, and "AutoSave" and "View Report (PDF)" on the right. Below the header are "Previous" and "Next Section" navigation links. The main content area is divided into three panes: "LeftPane", "ContentPane", and "RightPane". The "LeftPane" contains a "Menu" with a list of sections: [1.0] Success Plan, [2.0] General Information, [3.0] Schools to Be Served, [4.0] Descriptive Information, [5.0] Budget, [6.0] Waivers, [7.0] Abstract, and [8.0] Certifications of Compliance and Assurances. The "ContentPane" is titled "[7.0] Abstract" and shows "Section Completed: [ ]" and "Read Only Mode". It contains a large text box for entering the abstract. The text box has a toolbar with options for "Basic Text Box" and "Rich Text Editor". A red arrow points to the text box. The "RightPane" is currently empty.

## Step 13: Section 8.0 Certifications of Compliance and Assurances

The Certifications of Compliances and Assurances consist of three sections.

- Chief School Officer Certification of Compliance
- Chief Financial Officer Certification of Compliances
- Assurances

Choose “Certification of Compliances and Assurances”. The following screen will appear. Both the Chief School Officer and the Chief Financial Officer must click on “Yes” or “No” at the bottom of their section. If “Yes” is checked, the name of the Chief School Officer will appear and the date of the approval. The same process is followed for the signature of the Chief Financial Officer.

Menu

- [1.0] Success Plan
- [2.0] General Information
- [3.0] Schools to Be Served
- [4.0] Descriptive Information
- [5.0] Budget
- [6.0] Waivers
- [7.0] Abstract
- [8.0] Certifications of Compliance and Assurances
- DOE Signatures

Announcements

The Education Success Plan and Evaluation System Online Tool - Monday,

[8.0] Certifications of Compliance and Assurances

Section Completed:

[Click here for printable signature pages.](#)

**Chief School Officer Certification of Compliance**

I certify that:

1. I am the chief school officer of the LEA. I am authorized to apply for the funds identified in this Application. I am also authorized to obligate the LEA to conduct any program or activity approved under this Application in accordance with all applicable federal and state requirements, including statutory and regulatory requirements, program assurances, and any conditions imposed as part of the approval of this Application.
2. I have read this Application. The information contained in it is true and correct to the best of my knowledge and belief. The LEA is applying for funding under the programs indicated in the program selection section.
3. I have also read the attached Assurances. I understand that those Assurances are incorporated into and made a part of this Application as though they were fully set out in this Application with regard to those programs for which funding is sought.
4. The LEA and each of its schools, programs, and other administrative units, will conduct the programs and activities for which funding is sought in this Application as represented in this Application. Further, the LEA and each of its schools, programs and other administrative units, will comply with all applicable federal and state requirements, including statutory and regulatory requirements, attached Assurances, and any conditions imposed as part of the approval of this Application.
5. I understand that compliance with all applicable federal and state requirements, including statutory and regulatory requirements, attached Assurances and any conditions imposed as part of the approval of this Application, is a condition of receipt of federal and state funding. I understand that such compliance continues through the duration of the funding period, including any extensions to that period.
6. I understand that state and federal funding may be withheld, terminated and recovered, and future funding denied, if the LEA fails to comply with applicable federal and state requirements as promised in this Certification.

Chief School Officer: *User, District* Date Approved: *Wednesday, January 27, 2010*

As the Chief School Officer do you approve the above statement?  Yes OR  No

**Chief Financial Officer Certification of Compliance**

I certify that:

1. I am the chief financial officer of the LEA and I am authorized to submit the budget and financial information contained in this Application on its behalf.
2. I have read this Application and specifically read and reviewed the budget and financial information contained in or made part of the Application. The information contained in the Application it is true and correct to the best of my knowledge and belief.
3. The LEA is applying for funding under the following programs:  
Federal Programs State Programs  
Program Name Title I, Part A - 1003G The grant is not applying for funds from state programs.
4. I have reviewed and approved the submission of the budgets for each of these programs.

Chief Financial Officer: *User, District* Date Approved: *Wednesday, January 27, 2010*

As the Chief Financial Officer do you approved the above statement?  Yes OR  No

## Section 8.0 Certifications of Compliance and Assurances *Continued*

Assurances	
General	
A	It is assured that the LEA will use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
B	It is assured that the LEA will establish annual goals for student achievement on Delaware's assessment, both in reading and mathematics and measure progress the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
C	It is assured that the LEA will, if it implements a restart model in a Tier I or a Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements; and
D	It is assured that the LEA will report to the SEA the school-level data required under section III of the final requirements.

There is no check off for assurances; however, both the Chief School Officer and the Chief Financial Officer should read and agree to the assurances before signing off on the grant.

### Submitting the Title I 1003(g) SIG Grant to DDOE

Each section of the grant must have the Section completed box checked as complete. All sections should be complete before the Chief School Officer and Chief Financial School Officer is asked to sign off. If all section completed boxes are checked as completed, then all sections of the menu will be green.

Previous Save

Menu

- [1.0] Success Plan
- [2.0] General Information
- [3.0] Schools to Be Served
- [4.0] Descriptive Information
- [5.0] Budget

[8.0] Certifications of Compliance and Assurances

Section Completed:

[Click here for printable signature pages.](#)

**Chief School Officer Certification of Compliance**

I certify that:

1. I am the chief school officer of the LEA. I am authorized to apply for the funds identified in this Application. I am also authorized to obligate the LEA to conduct any program or activity approved under this Application in accordance with all applicable federal and state requirements, including statutory and regulatory requirements, program assurances, and any conditions imposed as part of the appro

## Section 8.0 Certifications of Compliance and Assurances Continued

If all sections are complete and the Chief School Officer and the Chief Financial Officer have checked the “yes” box in their section, the following screen will appear. Click on “Submit to DDOE”

The screenshot shows a web application interface for a Title I 1003(g) application. The top navigation bar includes links for Home, Success Plan, Grants, Project Management, Compliance, Reports, and DOE Site Tools. The breadcrumb trail indicates the current location: Grants » Title I 1003(g) » Title I 1003(g) Application. The main content area is titled 'LEA Title I 1003(g)' and contains a form with the following elements:

- District:** A dropdown menu.
- School Year:** 2010 - 2011
- Status:** Draft
- Buttons:** Previous, Save, AutoSave (checked), Submit To DOE, and View Report (PDF).
- Menu:** A sidebar menu with items: [1.0] Success Plan, [2.0] General Information, [3.0] Schools to Be Served, and [4.0] Descriptive Information.
- [8.0] Certifications of Compliance and Assurances:** A section with a 'Section Completed: [checked]' checkbox. Below it is a text area for a signature and a link for printable signature pages.
- Chief School Officer Certification of Compliance:** A section with the text 'I certify that:' followed by a list item: '1. I am the chief school officer of the LEA. I am authorized to apply for the funds identified in this Application. I am also authorized to...'

After the “Submit to DDOE” is selected, the next time you log on to the Title I 1003(g) SIG grant, the following screen will appear. Status has changed from Draft to Submitted.

The screenshot shows the 'LEA Title I 1003(g) Grant Selection' screen. The top navigation bar is the same as in the previous screenshot. The breadcrumb trail is: Grants » Title I 1003(g). The main content area includes an 'Announcements' sidebar and a 'LEA Title I 1003(g) Grant Selection' form with the following elements:

- Announcements:** A sidebar with a message from John Hulsa regarding the Education Success Plan and Evaluation System Online Tool.
- LEA Title I 1003(g) Grant Selection:** A form with the following fields:
  - LEA Title I 1003(g):** A section header.
  - Select A Year:** A dropdown menu showing '2010-2011'.
  - Select A District:** A dropdown menu showing 'Unknown'.
  - Status:** A dropdown menu showing 'Submitted'.
  - Buttons:** A 'View' button.

**Congratulations you have completed the Title I 1003(g) SIG grant.**

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