

Baseline Analyses of SIG Applications and SIG-Eligible and SIG-Awarded Schools

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May 2011

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Disclosure of Potential Conflicts of Interest

The research team for this study consists of a prime contractor, American Institutes for Research (AIR), and three subcontractors, Mathematica Policy Research, Inc., Decision Information Resources, Inc., and Education Northwest. None of these organizations or their key staff has financial interests that could be affected by findings from the Baseline Analyses of SIG Applications and SIG-Eligible and SIG-Awarded Schools, as part of the Study of School Turnaround.

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1. Introduction

The Study of School Turnaround (SST) is an examination of the implementation of School Improvement Grants (SIG) authorized under Title I section 1003(g) of the *Elementary and Secondary Education Act (ESEA)*. SIG is funded through *ESEA* and has been supplemented by the *American Recovery and Reinvestment Act of 2009 (ARRA)*. This baseline report provides an overview of the state policies and practices for SIG implementation as well as a description of the first round of SIG awards made to Local Education Agencies (LEAs) and SIG-eligible schools. The report focuses on two key questions:

1. What SIG-related policies and practices do states intend to implement based on their SIG applications?
2. What are the characteristics of SIG-eligible and SIG-awarded schools?

The report is divided into four sections, organized to mirror the flow of SIG funds as they are disbursed from the federal government to states and then from states to districts and schools. Accordingly, Section 2 provides an overview of the key elements of the SIG program. Section 3 provides an analysis of state SIG applications approved by the U.S. Department of Education (ED), focusing on the definition and identification of SIG-eligible schools, how states determine district capacity and how states are monitoring and supporting SIG implementation. Section 4 reviews descriptive data on the characteristics of SIG-eligible schools identified by states, as well as the characteristics of SIG-awarded schools. Section 5 concludes by synthesizing the key findings from the report.

2. Policy Overview

Authorized under Title I section 1003(g) of *ESEA* and supplemented by *ARRA*, the SIG program will target \$3.5 billion over the next three years toward the goal of turning around the nation's lowest-performing schools. Each state's allotment of SIG funds is determined by formula based on Title I allocations. In turn, state education agencies (SEAs) award funds to LEAs with eligible schools, based on a competitive application process. According to ED guidelines, states may award LEAs up to \$2,000,000 annually to each qualified SIG school.¹ States may award SIG funds to LEAs and schools that meet criteria established by the federal guidelines and in accordance with state determinations of LEA capacity and commitment to support school turnaround.

The final rules issued by ED define both the criteria for selecting eligible schools and the authorized intervention models. Eligible schools are defined as belonging to one of three categories:

- **Tier I**, which includes any Title I school in improvement, corrective action, or restructuring that (1) is among the lowest-achieving five percent of those schools in the state; or (2) is a high school that has had a graduation rate below 60 percent for a number of years. States have the option of identifying Title I eligible elementary schools that (1) are no higher achieving than the highest-achieving school identified as a persistently lowest-achieving school in Tier I; and that

¹ The *Consolidated Appropriations Act of 2010* raised the maximum funding amount for a participating school from \$500,000 to \$2,000,000 per year.

(2) have not made AYP for at least two consecutive years; or are in the state’s lowest quintile based on proficiency rates.

- **Tier II**, which includes any secondary school that is eligible for, but does not receive, Title I, Part A funds and (1) is among the lowest-achieving five percent of such secondary schools in the state; or (2) had a graduation rate below 60 percent for a number of years. States may also identify as Tier II schools Title I eligible secondary schools that (1) are no higher achieving than the highest-achieving school identified as a persistently lowest-achieving school in Tier II; or that had a graduation rate of less than 60 percent over a number of years; and that (2) have not made AYP for at least two consecutive years; or are in the state’s lowest quintile based on proficiency rates.
- **Tier III**, which includes the remaining Title I schools in improvement, corrective action, or restructuring that are not Tier I schools. States have the option of identifying as Tier III schools (1) Title I eligible schools that do not meet the requirements to be in Tier I or Tier II; and (2) have not made AYP for at least two consecutive years; or are in the state’s lowest quintile based on proficiency rates.

For each Tier I and II school identified in an LEA’s SIG subgrant application, the LEA must specify one of four improvement models to be implemented in an effort to turn around the school. The key elements for each of the four models include:

1. **Turnaround model:** replace the principal and no less than 50 percent of the staff; and introduce significant instructional reforms, increase learning time, and provide flexibility and support
2. **Restart model:** reopen the school under the management of a charter school operator, charter management organization, or an education management organization
3. **School closure:** close the school and reassign students to higher achieving schools
4. **Transformation model:** replace the principal, introduce significant instructional reforms, increase learning time, and provide flexibility and support

These models are consistent with those defined in other *ARRA*-funded initiatives, including Race to the Top (RTT) and the State Fiscal Stabilization Funds (SFSF)—Phase 2.

According to the federal rules, SIG funds may be awarded to LEAs to support Tier III schools implementing improvement strategies. However, Tier I and II schools must be served first, and SEAs must define in their applications how they will prioritize the disbursement of funds to eligible Tier III schools. Federal rules do not require Tier III schools to implement one of the four models.

3. Analysis of State SIG Applications

By November 2010, ED had approved SIG applications from all 50 states and the District of Columbia. An analysis of these state applications is presented in this section, which addresses the report's first key question and the following related questions:

- How are the persistently lowest-achieving Tier I and Tier II schools defined and identified by states? Which intervention models are allowable in each state?
- How are states prioritizing the awarding of funds to Tier I, Tier II and Tier III schools?
- How are states determining whether a LEA has the capacity to support a Tier I or Tier II school?
- How are states monitoring and supporting SIG implementation?

Section 3.1 provides a description of the methodology used to review the 51 SIG applications, and Sections 3.2, 3.3, 3.4 and 3.5 present the results from this review in the context of the questions above.

Key Findings

- **Identifying SIG schools.** Twenty-seven states and the District of Columbia reported using three years of achievement data to identify persistently lowest-achieving schools. Ten states reported using one year of data, eight states reported using two years of data, and one state reported using seven years of data.
- **Intervention models.** The turnaround, transformation and closure models are authorized in all 50 states and the District of Columbia. Four states will exclude the restart model, and four states plan to modify the SIG-defined intervention models.
- **Determining LEA capacity.** Twenty states plan to use the LEA applications for SIG funds as the primary evidence of LEA capacity, in which LEAs are to provide a self-report on their own capacity levels. Seventeen states plan to use a district audit or needs assessment.
- **Monitoring LEA progress.** Eighteen states plan to monitor progress in SIG-awarded LEAs and schools more than once each year. Thirty-nine states plan to monitor SIG implementation through site visits to SIG-awarded schools.
- **State support for SIG implementation.** Twenty-six states plan to enhance existing supports to assist SIG schools. Nineteen states plan to assign a school or district coach, and twelve states plan to provide technical assistance teams to support SIG schools.

3.1. Methodology

For the review of SIG applications, three researchers from the American Institutes for Research (AIR) led the process: Kerstin Carlson Le Floch, project director, Susan Bowles Therriault, senior researcher and Susan Cole, senior researcher. Dr. Therriault developed and facilitated the coding and quality control process. Dr. Le Floch and Ms. Cole provided guidance and feedback, and both participated in the quality control data check processes. All three researchers analyzed and synthesized the data.

3.1.1. Step 1: Data collection and capture

The primary data source for the analysis was SIG applications approved by ED for all 51 SEAs.² Researchers downloaded all but one of the state SIG applications from ED's Web site.³ Tennessee's SIG application was listed on the Web site but had a faulty link. This application was obtained directly from Tennessee's SEA Web site.

To prepare for data capture, the three lead researchers reviewed ED's *Guidance on School Improvement Grants*,⁴ ED's *School Improvement Grants Application*,⁵ and the first set of nine approved SEA SIG applications in June 2010. Based on these resources and a review of the state SIG application form released by ED,⁶ the lead researchers identified four topic areas which cover the key elements of the state applications:

- SEA definitions and identification of persistently lowest-achieving schools;
- SEA SIG priorities (e.g., whether all, some or none of the eligible Tier I, Tier II, and Tier III schools would be served; availability of SIG models; and SEA elected waivers);
- LEA requirements (e.g., determining LEA capacity, metrics for measuring progress, reporting requirements); and
- SEA strategies for building LEA capacity (e.g., use of the five percent reserve funds, mechanisms for supporting SIG implementation, etc.).

Data were collected from the following sections of Part I SEA Requirements: A. Eligible Schools, B. Evaluation Criteria, C. Capacity, D. Descriptive Information, F. SEA Reservation and H. Waivers. Sections on Assurances and Consultation with Stakeholders were standard requirements for approval of the SIG application and were excluded because there was no variation in these sections among states. Data from Part II LEA Requirements (specifically A. Schools to be Served, B. Descriptive Information and C. Budget) were used only to supplement or verify information gathered from Part I of the applications, as these sections focus on district rather than state policies.

² State education agencies include all 50 states and the District of Columbia.

³ U.S. Department of Education (2010). School Improvement Fund: Summary of Applicant Information. Retrieved from: <http://www2.ed.gov/programs/sif/summary/index.html#nm> on September 25, 2010.

⁴ U.S. Department of Education. (2010). Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965.

⁵ Ibid.

⁶ U.S. Department of Education. (2010). School Improvement Grants Application: Section 1003(g) of the Elementary and Secondary Education Act, CFDA Numbers: 84.377A; 84.388A.

The lead researchers developed an Excel-based data capture workbook to record the data compiled on these key topics. The data capture tool was divided into worksheets for each topic, with one row for each state. For some data elements, the research team entered text data (cut and pasted from the SIG application). For other elements, the research team inserted numbers, yes or no responses, or short answers. The cells with closed-ended questions had drop-down menus with response options. Because the state SIG applications followed the outline provided by ED, information was found in the same section of the application across states. Thus, in each column of the data capture workbook, the relevant section of the SEA application was noted. For a full list of the elements examined in the data capture workbook, see Appendix A.

The lead researchers piloted the workbook, reviewing four randomly selected SEA applications and identifying topics in the application that were not captured. Based on the test cases, the researchers refined the data capture workbook by adding data elements. For example, after testing the data capture tool, the lead researchers added fields to include information on whether a SEA is able to take over schools and the waivers for which SEAs applied.

Three strategies were used in Step 1 to ensure reliability of the data capture process: training of all researchers, on-going guidance, and continuous data checks.

Training. After the data capture workbook was developed, a total of eight researchers were trained to individually review applications and capture data in the workbook. The training consisted of a review of ED's SIG guidelines and the state application form, discussion and guidance on the data capture workbook, and a group exercise focused on capturing the data from one SEA application. During the process, team members were trained to read their assigned SEA applications at least twice: once to get an overview of the state's approach, and a second time while completing the data capture workbook. For specific sections, the team members were instructed to quote directly from applications (see Appendix A for more details). The lead researchers provided one-on-one guidance and reviewed the initial entries of all researchers.

On-going guidance. To ensure reliable data entry, the team leader provided team members with on-going guidance. Team members participated in ten meetings over three months to discuss specific SEA applications and data capture categories to clarify coding categories and identify data entry discrepancies. Once discrepancies were resolved, team members returned to earlier applications to add or clarify information as appropriate. For example, the team members found that some SEAs plan to use a rubric for determining LEA capacity, others plan to use a rubric for reviewing LEA applications, and still others plan to use the same rubric to determine LEA capacity and review applications. Upon a review of all data entries, the team leader clarified the differences among each of the three categories, and each member went back to the SEA applications to confirm the accuracy of data entries.

Continuous data-checks. On a weekly basis, the team leader reviewed all entries to ensure consistency across the SEA applications for which data were entered and across data capture categories. Each team member reviewed from two to ten SEA applications. Upon completion of the data capture from all 51 SEA applications, the team leader and another senior team member conducted a final review of all data to cross-check the entries and to ensure consistency of the data captured. During this process, at least one entry from each researcher was selected for a second review. The secondary reviewers then added or corrected information in the entry within the data capture workbook.

3.1.2. Step 2: Data coding and analysis

Once data capture workbooks were completed for all states and the District of Columbia, the three lead researchers developed a coding and analysis plan. First, the researchers reviewed the data capture elements to determine which categories needed further specification (in Appendix A, all of those with a “short answer” or “cut and paste from application”). For example, the narrative from each SEA application included several strategies for monitoring the implementation of the intervention models in SIG-awarded schools. To determine the prevalence of different strategies, the study team reviewed the application text from all states and identified the following top three categories: use of on-line monitoring tools, informal “check-in” meetings or conference calls, and monitoring site visits to SIG schools.

For all components of the state SIG applications that required a more detailed level of coding, the lead researchers identified a list of potential codes based on a review of the data elements across SEA applications. The researchers then developed a master list of codes with associated definitions. Next, the researchers developed state-by-state tables with the relevant application text for each state, and the coding categories in columns. The text for each state was reviewed and assigned a category (or multiple categories, if they were not mutually exclusive) listed in the columns; results were tallied for all state applications.

Reliability and validity. To ensure a reliable and valid coding process, at least two researchers reviewed each data element in the state-by-state coding tables.

First, two researchers coded all of the short answer or text data for each of the states. The codes for these two researchers were compared to identify discrepancies. The initial inter-rater reliability rating was determined based on the first round of coding, by calculating the proportion of codes on which the two researchers agreed. Across all of the data elements, the average inter-rater agreement was 96 percent. The range among the elements coded was between 93 percent and 100 percent.

For the cases in which the first two researchers disagreed on the code, a third researcher coded the text as well and reconciled the discrepancy. When the codes were finalized, the states in each category were tallied; the results of these coding analyses are presented in the following sections.

3.2. Identifying SIG Schools and Intervention Models

3.2.1. Defining persistently lowest-achieving schools

To determine SIG eligibility, SEAs must define and identify the *persistently lowest-achieving schools*, the definitions of which vary across states. ED’s *Guidance on School Improvement Grants* requires states to use three common elements to identify the lowest-performing schools: (1) a school’s overall academic achievement level, (2) whether there is a “lack of progress” in the school, and (3) for high schools, whether the school has a graduation rate below 60 percent.⁷ However, within each of these elements there is variation across SEAs.

⁷ U.S. Department of Education. (2010). *Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965*.

Schools’ academic achievement level. All 50 states and the District of Columbia used student assessment results in reading/English language arts and mathematics to determine whether a school is persistently lowest-achieving (no other content areas were used). To determine the achievement level of SIG-eligible schools, states analyzed 2.7 years of data on average. Exhibit 1 lists the number of years of data used by each state. Twenty-seven states and the District of Columbia reported using three years of achievement data to identify the SEA’s persistently lowest-achieving schools. Ten states reported using one year of data, and eight states reported using two years of data. One state, Florida, used seven years of achievement data.

Exhibit 1. Number of Years of Assessment Data States Used to Identify Persistently Lowest-Achieving Schools			
Number of Years of Data	Number of SEAs	Percent of SEAs	SEAs
1	10	20%	AL, GA, NV, NY, OH, OK, PA, RI, SD, WY
2	8	15%	AK, MS, OR, TN, TX, VT, VA, WV
3	28	55%	AL, AR, CA, CO, CT, DE, D.C., HI, ID, IL, IN, IA, KS, KY, LA, ME, MD, MI, MN, MO, MT, NE, NJ, NC, ND, SC, WA, WI
4	3	6%	MA, NH, UT
5	1	2%	NM
7	1	2%	FL

Exhibit reads: Ten states used one year of achievement data to determine if a school is persistently lowest-achieving.
Source: Approved State SIG applications (N = 50 states and D.C.).
Notes: One state (VT) used four years of data for elementary and middle schools and two years of data for high schools—it has been included in the two year count.

Lack of progress. To determine if a school is eligible for SIG, SEAs are required to determine whether the school demonstrated a lack of progress on the reading/English language arts and mathematics assessments in the “all students” group. Each SEA developed its own criteria and thresholds for lack of progress. Thirty-eight states used either two or three years of data to determine lack of progress in schools. Another six states used either four or five years of data, and one state, Florida, used seven years of data (see Exhibit 2).

Exhibit 2.
**Number of Years of Assessment Data States Used to Determine “Lack of Progress”
Among Persistently Lowest-Achieving Schools**

Number of Years of Data	Number of SEAs	Percent of SEAs	SEAs
2	12	24%	AK, GA, IL, MN, MS, NH, NC, OR, RI, SD, TX, WV
3	26	51%	AL, AZ, AR, CO, CT, DE, ID, IN, IA, KS, KY, LA, ME, MD, MI, MT, NE, NM, ND, PA, SC, TN, UT, WA, WI, WY
4	3	6%	MA, NV, NY
5	3	6%	CA, OH, OK
7	1	2%	FL
Not specified	5	10%	D.C., HI, MO, NJ, VA
Missing data	1	2%	VT

Exhibit reads: Twelve states used two years of achievement data to determine a school’s lack of progress.

Source: Approved State SIG applications (N = 50 states and D.C.).

Notes: In NH (included in the two year count), the number of years to determine lack of progress for elementary and middle schools is five years and for high schools is two years. In NM (included in the three year count), the number of years to determine lack of progress for elementary and middle schools is five years and for high schools is three years.

Eleven states used a student-level growth measure to determine whether a school had made progress. For example, the Colorado SEA developed school level growth scores from the states’ student growth percentile (SGP), which is assigned based on how a student’s performance compares to the academic progress of the student’s peers.⁸ For schools, growth scores were aggregated at the grade level within each school by taking the median of all SGPs for students in a given grade across three years (2007, 2008, and 2009) separately for each content area resulting in the median growth percentile (MGP). The MGP was then combined with the school-level percent proficient, with extra weight given to the growth measure resulting in a standardized performance index score. Using the index, the lowest five percent of eligible schools were identified.⁹ The remaining 39 states and the District of Columbia took a somewhat different approach focusing on school-level improvement over time. For example, in New York, a school must have failed to make at least a 25 point gain for the “all students group” between 2005–06 and 2008–09 on the English language arts and mathematics assessments to be designated as “not making progress.”

Graduation rates. To determine a school’s graduation rate for the purposes of SIG, SEAs used between two and seven years of data, averaging the graduation rates across years (see Exhibit 3). Forty states and the District of Columbia used two or three years of data. One state, Florida used seven years of graduation rate data. Four states (Maine, Ohio, Vermont and West Virginia) did not specify the number of years of data used. In Hawaii there are no Title I eligible high schools in improvement, corrective action or restructuring.

⁸ According to the February 2010 Colorado state SIG application, “Colorado has developed its own measure of student academic progress, the Colorado Growth Model, which has been approved for use in the AYP growth pilot. This growth model assigns each individual a student growth percentile (SGP)...[and] are reported on a scale of 1–99, with 50 being typical growth representing a year’s worth of academic progress in a year’s time...In order to calculate a growth percentile, a student must follow a traditional grade progression and have test scores for at least the two most recent years. Additional prior years of test scores yield better growth estimates, and are used whenever available.” (p. 37).

⁹ For more information on the Colorado SEA’s lack of progress indicator, see pages 37 and 38 of their state application at <http://www2.ed.gov/programs/sif/summary/coapp.pdf>.

Exhibit 3.
**Number of Years of Graduation Rate Data States Used to Identify Persistently
 Lowest-Achieving Schools**

Number of Years of Data	Number of SEAs	Percent of SEAs	SEAs
2	12	24%	D.C., LA, MA, MS, NJ, OR, PA, RI, TN, TX, VA, WY
3	29	57%	AL, AK, AZ, AR, CT, DE, GA, ID, IL, IN, IA, KS, KY, MD, MI, MN, MO, MT, NE, NH, NM, NY, NC, ND, SC, SD, UT, WA, WI
4	3	6%	CA, CO, NV
5	1	2%	OK
7	1	2%	FL
Not specified	4	8%	ME, OH, VT, WV
Not applicable	1	2%	HI

Exhibit reads: Eleven states and the District of Columbia used two years of graduation rate data to determine if a school is persistently lowest-achieving.
Source: Approved State SIG applications (N = 50 states and D.C.).
Notes: In three states (PA, TN, and WY), a school was identified as persistently lowest-achieving if its graduation rate was below 60 percent for any two of the three years of data examined. These states are included in the two year count.

Three states expanded the graduation rate definition for SIG-eligible high schools. For example, Nebraska raised the SIG threshold from 60 to 75 percent. The Vermont SEA had no schools with graduation rates below 60 percent, and thus included schools with higher graduation rates. Rhode Island also had no Title I-eligible high schools with a graduation rate below 60 percent.

Each of the three states with expanded graduation rate definitions devised its own system for determining schools' eligibility for SIG. For example, Rhode Island used the following point system for determining SIG eligibility among high schools:

- 2 points were assigned when the school's graduation rate was more than 1 standard deviation below the overall state average of 73.9 percent.
- 1 point was assigned when the school's graduation rate was between the overall state average and 1 standard deviation.
- 0 points were assigned when the school's graduation rate was higher than the overall state average or when the school proficiency rates for math or reading were above state averages of 52 percent and 68 percent respectively.¹⁰

Using the cumulative criteria described above (overall achievement level, lack of progress, and graduation rates), states ranked schools within each eligible pool to identify Tier I, Tier II and Tier III schools.

3.2.2. SIG-eligible schools by Tier

SEAs defined the SIG-eligible schools by Tier in the state applications.

¹⁰ Rhode Island Department of Elementary and Secondary Education, Application for School Improvement Grants, p.23.

- Tier I Schools.** Tier I schools are selected from the pool of Title I schools that are in improvement, corrective action or restructuring. Title I high schools with a graduation rate below 60 percent are also eligible for Tier I. Five states and the District of Columbia weighted a school’s ranking based on the school’s improvement status. For example, Tennessee first ranked all Title I “high priority” schools based on their mathematics and reading/language arts assessment scores for all students. If a Title I school had failed to make AYP for six years or more (and thus was in restructuring status), then the school’s rank was multiplied by six to determine a school’s priority in the list of persistently lowest-achieving schools.
- Tier II Schools.** Tier II schools include secondary schools that are eligible for, but not funded by Title I, that are also among the state’s persistently lowest-achieving schools. On the SIG applications, SEAs are required to define “secondary school” for the purposes of identifying Tier II schools. Twenty-three states defined secondary schools as a high school or a school serving 9th through 12th grades. Twenty-seven states and the District of Columbia defined secondary school as including both middle and high school levels, or those schools serving 6th through 12th grades. Eighteen states included newly eligible schools as part of the Tier II eligible schools.
- Tier III Schools.** Tier III schools include all Title I schools that are identified for improvement, corrective action or restructuring and that are not included in the list of Tier I schools. SEAs developed different criteria for awarding SIG funds to Tier III schools, including commitment to implementing one of the intervention models, schools in greatest academic need, a school’s improvement status under *ESEA*, schools in LEAs with Tier I and Tier II schools, schools with the highest score on the LEA application, and schools that are feeder schools for Tier I or II schools (see Exhibit 4).

Exhibit 4. Number of States With Various Approaches for Prioritizing LEAs With Eligible Tier III Schools			
Priority	Number of SEAs	Percent of SEAs	SEAs
Tier III schools that commit to implementing one of the four intervention models	17	33%	AZ, D.C., DE, IN, LA, ME, MO, MS, NE, NH, NY, OR, SD, TX, UT, WV, WY
Lowest-achieving Tier III schools (greatest academic need based on persistently lowest-achieving ranking)	14	27%	AL, AR, CA, FL, ME, NC, NE, NH, NY, OK, OR, RI, UT, WI
Tier III schools’ improvement status based on state and/or federal accountability system	13	25%	AK, CA, CT, FL, GA, IA, MD, MO, MS, NC, VA, WV, WY
Tier III schools that are part of LEAs with Tier I and Tier II schools	9	18%	CT, DE, HI, NV, OH, SC, SD, VT, WI
Tier III school with the highest score on LEA application	7	14%	CA, IN, ND, NM, OH, PA, WI
Tier III schools that are feeder schools for Tier I or Tier II schools	6	12%	MO, MS, MT, NM, NV, SC
<p>Exhibit reads: Seventeen SEAs will prioritize Tier III schools that commit to implementing one of the four intervention models under SIG. Source: Approved State SIG applications (N = 50 states and D.C.). Notes: SEAs may have identified more than one priority area for funding Tier III schools; therefore, SEAs may be listed more than once.</p>			

“Newly Eligible” Schools. When identifying persistently lowest-achieving schools, SEAs are required to indicate if they are including a school that is newly eligible to receive SIG funds. According to ED guidance, the Consolidated Appropriations Act of 2010 modified the SIG program to allow “SEAs and LEAs to use SIG funds to serve certain ‘newly eligible’ schools (i.e., certain low-achieving schools that are not Title I schools in improvement, corrective action, or restructuring).”¹¹ (See Exhibit 5.)

Exhibit 5. Definitions of Schools “Newly Eligible” for SIG Funding, by Tier	
Tier I	Title I eligible elementary schools that are no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(1)(i) in the definition of “persistently lowest-achieving schools” <u>and</u> that: <ul style="list-style-type: none"> • are in the bottom 20 percent of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two consecutive years.
Tier II	Title I eligible secondary schools that are (1) no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(2)(i) in the definition of “persistently lowest-achieving schools” or (2) high schools that have had a graduation rate of less than 60 percent over a number of years <u>and</u> that: <ul style="list-style-type: none"> • are in the bottom 20 percent of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two consecutive years.
Tier III	Title I eligible schools that do not meet the requirements to be in Tier I or Tier II <u>and</u> that: <ul style="list-style-type: none"> • are in the bottom 20 percent of all schools in the State based on proficiency rates; <u>or</u> • have not made AYP for two years.
Source: Appendix C of the U.S. Department of Education. (January 2010). School Improvement Grants Application, Section 1003(g) of the Elementary and Secondary Education Act.	

SEAs are authorized to include newly eligible schools in each of the tiers. Of the twenty-one states that identified newly eligible schools, five states included newly eligible schools in all tiers. The remaining states identified newly eligible schools in two of the three tiers (eight states) or one tier only (eight states). Twenty-eight states and the District of Columbia did not include any newly eligible schools, and one state did not report whether schools were newly eligible.¹²

Exclusions. Twenty-three states chose to exclude schools from the pool of eligible persistently lowest-achieving schools. Reasons for excluding schools varied, but the two most commonly cited reasons concerned small school size or schools that were primarily alternative schools designed to transition students back to a home school. Sixteen states excluded schools with low enrollment. For example, Kansas excluded schools that had less than 30 students in the “all students” category in the most recent administration of its state assessment. The exclusion of schools based on low enrollment ranged from a school size of 100 students in California to 10 students in South Dakota, Tennessee, and Wisconsin. Ten states excluded alternative schools from the eligibility list. For example, Colorado excluded alternative education campuses (AECs) that serve special needs or at-risk students because these schools are focused on re-engagement of students to transition back to their base schools.

“Start Over” and “Schoolwide Eligibility” Waivers. In their applications, states had the option to apply for waivers to allow Tier I and Tier II schools to “start over” in the *ESEA* school accountability timeline. Forty-seven states (all but Montana, Tennessee, and Vermont) and the District of Columbia applied for a waiver to allow Tier I and Tier II schools to “start over” in the improvement timeline if they implemented a turnaround or restart model (*ESEA*, section 1116(b)(12)). Through this waiver, schools that previously

¹¹ U.S. Department of Education (2010). Guidance on School Improvement Grants Under Section 1003(g) of the Elementary and Secondary Education Act of 1965. Washington, D.C.: Author.

¹² In the South Dakota state application, there is a link to a website for the list of persistently lowest-achieving schools. The list did not have a column for “newly eligible.”

had been identified for improvement, corrective action, and restructuring under *ESEA* would no longer be so identified, thus, these schools would no longer be required to offer supplemental educational services, Title I choice, and other accountability requirements associated with Title I, Part A, of *ESEA*. A school that receives this waiver in the 2010–11 school year would not even be eligible to enter into the first year of improvement until the beginning of the 2012–13 school year. Another waiver option gave SEAs the option to waive the 40 percent poverty eligibility threshold to permit LEAs to implement a school-wide program in a Tier I or Tier II Title I participating school that does not meet the poverty threshold. Forty-four states (all but the District of Columbia, Hawaii, Montana, Pennsylvania, South Dakota, Vermont, and West Virginia) sought to waive the 40 percent poverty eligibility threshold in order to implement a school-wide Title I program.

3.2.3. Intervention models authorized by states

The *Guidance on School Improvement Grants* from ED specifies the four intervention models to be implemented in schools that receive SIG funds. However, because of state policy or context, some models are not allowable. The turnaround, transformation and closure models are authorized in all 50 states and the District of Columbia. The restart model is authorized in 46 states and the District of Columbia (all but Mississippi, North Dakota, Vermont, and West Virginia).

In the four states in which the restart model is not an available option for LEA SIG grants, charter schools are not authorized by state statute, or there are no charter management or education management organizations in operation. For example, the Vermont state SIG application explains:

In the restart model, an LEA would close a school and reopen it under a charter school operator, a CMO, or an EMO. This option is not currently available in Vermont because no charter entities are available to work to provide these services. The low population, small schools, 94% white demographic and relatively high educational outcomes overall makes Vermont a poor location for supporting charter and/or education management organizational services (p.52).

Four states (Alabama, Mississippi, Texas, and Virginia) modified aspects of one or more of the federal intervention models by adding or focusing requirements within the models to align with state priorities. For example, the Texas SEA enhanced and customized both the transformation and turnaround models by focusing the goals of the models and prescribing specific supports (referred to as the *TEA Designed Model for Turnaround* and the *TEA Designed Model for Transformation*). The SEA's modifications to the transformation model are intended to align with three principles: 1) improving student achievement, career, and college readiness; 2) improving school climate; and 3) supporting districts to transform schools. To accomplish this, the model requires staff to participate in training on data use, develop an evaluation system, and conduct a needs assessment. The support to be provided through the model includes the assignment of a case manager, online professional development, and partnerships with the regional support network and other community stakeholders. The Texas SEA's transformation model includes a two-year leadership program in partnership with institutions of higher education. This program is intended to build LEA and school-level capacity through the establishment of a talent pool for the recruitment, selection, and development of highly qualified and effective leaders; mentoring and coaching principals to develop the knowledge, skills, and resources to accelerate and sustain increases in student achievement; and integrating research-based best practices in turnaround efforts.

In two states, the SEA added a model that is designed to enhance the transformation or turnaround models in Tier I and Tier II schools, or to serve as the improvement strategy in Tier III schools. The

Alabama SEA added the “Alabama Transformation Model” to the list of potential models, which integrates the SEA’s Response to Instruction¹³ (Rtl) framework. LEAs selecting this model are required to hire a “District Grant Coach,” who will be trained by the SEA in the school improvement process and Rtl. The District Grant Coach will work directly with LEA personnel to build instructional capacity in Tier I, II and III schools. Virginia, too, has added a “state transformation model” for Tier III schools. The Virginia model requires LEAs to hire a coach who will work with each Tier III school on the area(s) associated with the school’s chronically low performance.

3.2.4. State priorities for awarding funds to Tier I, Tier II, and Tier III schools

In their SIG applications, all SEAs were required to specify how they would prioritize SIG grants to LEAs if the SEA did not have sufficient funds to serve all eligible schools for which each LEA applies. The federal rules require that all qualified Tier I schools be served before serving Tier II schools, and that both Tier I and Tier II schools must be served prior to awarding funds to Tier III schools. Additionally, the rules require states to describe how they will prioritize Tier III schools, anticipating that states may not be able to fund all Tier III schools.

According to state SIG applications, all states and the District of Columbia planned to fund Tier I schools (as required), and 46 states planned to fund Tier II schools. Of the four states and the District of Columbia that were not anticipating funding Tier II schools, Colorado and Rhode Island indicated that they would serve Tier II schools only if funds were available; the District of Columbia, Hawaii, and Montana did not identify Tier II schools. Twenty-five states indicated that they would serve Tier III schools as well, and twenty-one states and the District of Columbia planned to serve Tier III schools only if funds were available. Four states reported that they would not fund Tier III schools.

SIG funding extension. In their applications, SEAs had the option to apply for waivers to extend the period of availability of FY 2009 SIG funds for two additional years, through September 30, 2013. Forty-nine states (all but Montana) and the District of Columbia applied for a waiver to extend the period of availability of school improvement funds (General Education Provisions Act, 20 U.S.C. 1225(b) section 421(b)).

3.3. Determining LEA Capacity

As part of the criteria for evaluating LEA subgrant applications, each SEA was required to explain how they would determine whether an LEA applicant had demonstrated the commitment and capacity to use the SIG funds to support Tier I and Tier II schools.¹⁴ SEAs’ strategies for identifying evidence of LEA capacity varied in specificity and breadth. For example, 20 states plan to use the LEA applications for SIG funds as the primary evidence of LEA capacity; in these applications LEAs are to self-report on their own capacity levels. Other states plan to use approaches that would involve sources of information beyond applications, such as a district audit or needs assessment, indicators of past performance (whether academic or financial), SEA-designed rubrics, or plans for SEA staff to meet with LEA administrators to ascertain capacity (see Exhibit 6).

¹³ Alabama’s SIG application refers to *Response to Instruction* not the more commonly known *Response to Intervention*.

¹⁴ U.S. Department of Education. (2010). *State School Improvement Grant Application*. Washington, D.C.: U.S. Department of Education.

For example, in the spring of 2010, the Kentucky SEA conducted audits in all LEAs that had Tier I or Tier II schools. Using the state standards for school improvement and a survey of working conditions, the Kentucky audit team was required to provide data regarding each LEA’s capacity to support SIG interventions in Tier I and Tier II schools. In Maryland, LEAs applying for SIG funds are required to conduct a needs assessment for each SIG-eligible school as well as a self-assessment that articulates the strengths and areas of need of the LEA.

Exhibit 6. Number of States Using Various Evidence of LEA Capacity			
Evidence of LEA Capacity	Number of SEAs	Percent of SEAs	SEAs
LEA self-report of capacity	20	39%	AK, AR, CO, DE, FL, ID, IN, MI, MO, NE, NJ, NM, NY, NC, ND, OH, OK, VT, WA, WI
Needs assessment/audit*	17	33%	AZ, AR, CA, D.C., ID, IL, KY, LA, MD, MS, NE, NV, NC, PA, RI, TX, WY
Prior LEA performance/action	15	29%	AK, CT, FL, GA, KS, ME, MI, MO, MT, NH, ND, OK, SC, WV, WI
Evidence of community support	9	18%	AZ, AR, FL, GA, ME, MI, NM, PA, VA
SEA meeting with LEA	7	14%	AL, AZ, D.C., HI, KS, KY, NE
<p>Exhibit reads: Twenty SEAs reported that they will determine LEA capacity through an LEA self-report. Source: Approved State SIG applications (N = 50 states and D.C.). Notes: These strategies are not mutually exclusive, since some SEAs identified more than one strategy for determining LEA capacity. * Needs assessments and audits include LEA self-assessments, recent audits, or new audits of LEAs.</p>			

Fifteen states plan to review LEAs’ past performance or history as a factor in determining LEA capacity, including prior academic performance, management of grants, and past efforts to recruit effective principals. For example, the Alaska SEA will also consider evidence of the LEA’s previous actions taken to improve achievement in its schools, any growth in student achievement, and use of federal grants awarded to the LEA within the past two school years.

In determining LEA capacity, nine states require that the LEA submit evidence of engagement on the part of community stakeholders, including parents, unions, or the local school board. Seven states plan to meet with LEA staff to determine their capacity to support SIG schools. For example, in Arizona the SEA plans to meet with the LEA team to develop qualitative reports of LEA capacity. This information will supplement the LEA’s application and claims of capacity.

In order to synthesize the evidence of LEA capacity, fourteen states developed rubrics to assess LEA capacity during the SIG application review. For example, Arizona developed a rubric for *Capacity and Commitment* which covers five areas reflected in the Arizona Standards for District and School improvement. The five categories include: 1) LEA and School Leadership; 2) Curriculum, Instruction and Professional Development; 3) Classroom and School Assessments; 4) School Culture and Climate; and 5) Communication and Resource Management. The LEA must then meet a minimum score to be considered as having capacity to support school improvement.

3.4. Monitoring LEAs’ Progress

All SEAs are required to evaluate LEA and SIG-awarded schools’ progress on an annual basis to determine if SIG funding should continue. SEAs are allowed, but not required, to monitor LEAs more

frequently than once a year. State officials reported that they intend to monitor either weekly, monthly, quarterly, twice each year or annually (see Exhibit 7).

Exhibit 7. Frequency of State Monitoring of SIG-Awarded LEAs and Schools			
Frequency	Number of SEAs	Percent of SEAs	SEAs
At least monthly	8	16%	AZ, CO, KS, KY, MI, NE, VT, WV
Quarterly	9	18%	AL, LA, NV, NJ, OH, OK, RI, TN, UT,
Twice per year	1	2%	WI
Annually	33	65%	AK, AR, CA, CT, DE, D.C., FL, GA, HI, ID, IL, IN, IA, ME, MD, MA, MN, MS, MO, MT, NH, NM, NY, NC, ND, OR, PA, SC, SD, TX, VA, WA, WY

Exhibit reads: Eight SEAs intend to monitor SIG-awarded schools at least monthly.
Source: Approved State SIG applications (N = 50 states and D.C.).

3.4.1. Monitoring strategies

SEAs reported a variety of strategies to monitor LEAs’ progress in implementing SIG intervention models. Strategies include in-person site visits, designation of staff assigned to specific LEAs or schools, and online tools (see Exhibit 8).

Site visits. Thirty-nine states plan to conduct site visits to monitor progress toward SIG goals at some point during the SIG implementation process. For example, the Arizona SEA requires school improvement specialists from the SEA to conduct monthly site visits to SIG-funded LEAs. These specialists must use an implementation checklist based on LEA priorities identified in the online school turnaround implementation plans. In California, representatives from the state and regional consortia intend to conduct site visits to a “selected representative sample” of LEAs and schools in order to validate information submitted by LEAs and to gather additional information from interviews and observations.

Designated staff. Thirty states intend to designate specific staff from the SEA, regional offices, LEA or external providers as responsible for monitoring the progress of SIG schools. For example, in South Dakota, a state Title I staff member assigned to each LEA will be responsible for providing monthly monitoring reports to the SEA and conducting regular conference calls and site visits. In Indiana, the SEA plans to assign each school to an external provider who will be responsible for monitoring and reporting progress.

Check-in meetings. Sixteen states plan to “check-in” with LEAs to obtain progress reports and identify challenges prior to the annual renewal of the SIG funds. These check-in meetings are less formal than site visits, involve fewer staff, and may not include face-to-face meetings. For example, in Idaho, personnel from the Student Achievement and School Improvement Division of the SEA will conduct conference calls and in-person meetings with key LEA and school leaders to monitor progress. In Maine, the SEA requires that a Title I school improvement consultant provide a variety of supports, including quarterly check-in meetings to identify LEA and school needs and monitor implementation.

Online/electronic tools. Sixteen states plan to use online tools and data systems to monitor progress. For example, in Virginia, the SEA will monitor progress and provide feedback to LEAs and SIG schools through the *Indistar* online school improvement system developed jointly with the Center on Innovation

and Improvement. In Oklahoma, the LEAs and SIG schools will use the WISE online planning and coaching tool to monitor progress on a quarterly basis.

Exhibit 8.			
SEA Strategies for Monitoring LEA Progress			
Frequency	Number of SEAs	Percent of SEAs	SEAs
Site visits	39	76%	AL, AK, AZ, AR, CA, CO, D.C., FL, GA, HI, ID, IL, IN, IA, ME, MD, MA, MI, MS, MO, MT, NV, NH, NJ, NY, NC, OK, PA, RI, SC, SD, TN, TX, UT, VT, VA, WA, WV, WI
Designated staff	30	59%	AZ, AR, CT, FL, GA, HI, ID, IL, IN, IA, KS, KY, LA, ME, MD, MN, MO, MT, NE, NH, NJ, NM, NY, OH, OR, SD, TN, VT, WV, WY
Check-in meetings (e.g., in-person, telephone)	16	31%	AK, AZ, AR, CT, CO, FL, GA, ID, ME, MO, MT, NE, NH, SC, SD, WA
Online/electronic tools	16	31%	AL, AZ, DE, D.C., ID, KS, LA, MS, NM, NY, ND, OH, RI, VA, WA, WY
Exhibit reads: Eight SEAs intend to monitor SIG-awarded schools at least monthly.			
Source: Approved State SIG applications (N = 50 states and D.C.).			

3.4.2. Monitoring measures

ED’s *Guidance on School Improvement Grants* delineates a combination of achievement and leading indicators for Tier I and Tier II SIG schools. These indicators are clustered in the following categories: 1) school data, 2) student outcomes and academic progress, 3) student connection and school climate, and 4) talent (see Exhibit 9).

Exhibit 9. Achievement and Leading Indicators for Tier I and Tier II Schools		
Metric	Achievement Indicators	Leading Indicators
School Data		
AYP status	✓	
Which AYP targets the school met and missed	✓	
School improvement status	✓	
Number of minutes within the school year		✓
Percentage of students at or above each proficiency level on State assessments in reading/language arts and mathematics (e.g., Basic, Proficient, Advanced), by grade and by student subgroup	✓	
Student participation rate on State assessments in reading/language arts and in mathematics, by student subgroup		✓
Average scale scores on State assessments in reading/language arts and in mathematics, by grade, for the “all students” group, for each achievement quartile, and for each subgroup	✓	
Percentage of English Learners who attain English language proficiency	✓	
Graduation rate	✓	
Dropout rate		✓
Student attendance rate		✓
Number and percentage of students completing advanced coursework (e.g., AP/IB), early-college high schools, or dual enrollment classes		✓
College enrollment rates	✓	
Student Connection and School Climate		
Discipline incidents		✓
Truants		✓
Talent		
Distribution of teachers by performance level on LEA’s teacher evaluation system		✓
Teacher attendance rate		✓
Source: U.S. Department of Education. (2010). Final Requirements for School Improvement Grants, as Amended in January 2010.		

In addition to these indicators, an SEA may identify additional measures to evaluate a SIG school’s progress. All but seven states reported additional monitoring measures to evaluate progress and to determine if SIG funding should continue. In states that added monitoring measures, these focused on assessing implementation progress as opposed to academic outcomes. For example, the Ohio SEA developed an electronic implementation monitoring tool and the Florida SEA established a “Performance Expectations for Intervention Model” flowchart that guides LEAs and schools in how to establish annual performance goals. Some SEAs that added measures developed them based on specific goals in SIG schools’ improvement or turnaround plans (15 states) or model-specific implementation goals developed by the state or LEA (12 states and the District of Columbia). Two states (Florida and Louisiana) plan to examine the distribution of effective teachers in an LEA using value-added teacher evaluation models.

3.5. State Support for SIG Implementation

SEAs are able to reserve up to five percent of SIG funds for administration, evaluation and the provision of technical assistance to SIG-awarded schools. Twenty-six states intend to use all or a portion of these funds to enhance their existing state systems of support to better assist SIG schools. Twelve states are

creating new offices specifically designed to support state SIG efforts. For example, the Kentucky SEA intends to create a new Office of Educational Recovery Services to build LEA and SIG school capacity. With regard to direct assistance to schools, the primary categories of support include: state designated support staff, quality control measures for external providers, targeted professional development, improvement tools, and strategies to engage community stakeholders (see Exhibit 10).

Exhibit 10. SEA Strategies to Support SIG Implementation			
Frequency	Number of SEAs	Percent of SEAs	SEAs
SEA Restructuring/Enhancement			
<i>Enhancing the existing state system of support to target SIG LEAs and schools</i>	26	51%	AK, AZ, AR, CA, DE, D.C., FL, IL, IA, LA, ME, MD, MA, MN, MS, NM, NY, NC, OH, OK, OR, PA, RI, TN, TX, WV
<i>Plans to reorganize or create a new office within the SEA to support SIG schools.</i>	12	24%	AZ, AR, CO, DE, ID, IL, KY, LA, MA, MN, NY, RI
<i>Designated liaison to monitor and support SIG implementation (state and local)</i>	12	24%	AL, AZ, AR, CO, FL, ME, MD, MI, MS, NH, ND, TN
Designated Support Staff			
<i>School or District Coaches (e.g., leadership coaches, instructional coaches, etc.)</i>	20	39%	AL, AK, AZ, CO, D.C., GA, KS, KY, ME, MN, NE, NV, NH, NJ, NM, ND, OH, OK, PA, WI
<i>District/School Support Team to support SIG implementation (state and local)</i>	13	25%	AZ, AR, CT, DE, HI, IA, MD, NY, OH, OK, SD, VT, WV
Quality Control Measures for External Providers			
<i>Provides quality control measures for identifying external providers (e.g., SEA approved list)</i>	18	35%	AR, CO, DE, IL, IN, LA, MA, MI, MO, NE, NV, NH, OH, RI, UT, VA, WA, WV
Professional Development			
<i>Targeted professional development for SIG LEAs and schools</i>	16	31%	AL, AK, AZ, AR, FL, HI, IN, IA, LA, ME, NH, NY, OH, OK, PA, WA
Improvement Tools			
<i>Developed or mandated School/District Improvement Tools</i>	10	20%	CO, IL, IN, KS, MA, NM, ND, OH, PA, VA
Engaging Stakeholders			
<i>Support state or regional networks of SIG LEAs/schools to improve capacity</i>	8	16%	KS, MI, NE, NJ, NM, NY, OR, SC
<i>Plans to enlist institutions of higher education to support SIG LEAs and schools (e.g., leadership academies, staff training)</i>	5	10%	IL, KY, LA, MN, NY
Exhibit reads: Twenty-six SEAs will support SIG schools by enhancing the existing statewide system of support.			
Source: Approved State SIG applications (N = 50 states and D.C.).			

State designated support staff. Nineteen states intend to assign a coach or facilitator to work with specific LEAs and SIG schools. For example, the Maine SEA plans to hire additional staff and Title I school improvement consultants to act as liaisons between the SEA and SIG grantees. In Kansas implementation coaches will visit each school every other week and work with the principal and leadership team to ensure implementation of the school improvement plan and SIG. Oklahoma plans to hire district Educational Leadership Coaches for principals, and in Kentucky, Educational Recovery Specialists will focus on coaching, mentoring and modeling effective instructional practices to increase the effectiveness of the school’s staff. Thirteen states plan to use technical assistance teams to support LEAs and SIG schools.

Quality control measures for external providers. Eighteen states plan to support LEAs in accessing external providers and evaluating their quality. For example, the Colorado SEA plans to host an External Providers' fair so that LEAs may attend the fair and obtain information on potential external partners. The Massachusetts SEA plans to qualify external providers based on the providers' ability to support the "Essential Conditions" that the SEA has identified as critical to turning around schools. In Indiana, the SEA plans to approve LEAs' external provider selections.

Customized professional development. Sixteen states plan to customize professional development based on specific LEA and SIG school needs. For example, the Pennsylvania SEA intends to offer the Pennsylvania Inspired Leadership Initiative, which is designed to provide SIG-school leaders with knowledge and skills to implement standards-based reform and use data to inform decision-making.

Improvement tools. Ten states will provide tools to support SIG school activities, including school improvement planning templates, needs assessments, budgeting documents, data analysis tools, teacher evaluations, and suggested guidelines for hiring new staff. For example, the New Mexico SEA developed the *Web Educational Plan for Student Success* (Web EPSS) tool which guides schools and districts through the process of conducting a school-wide needs assessment, and then tracking actions, responsibilities and progress toward increasing student achievement. The Ohio SEA plans to customize and enhance existing tools to target SIG-schools. One such tool is the *Implementation Management/Monitoring* (IMM) tool, which provides a way for Ohio LEAs to document how improvement plans will be implemented and how implementation will be measured. The IMM tool also provides an opportunity for LEAs and schools to identify needed resources, to assign individual responsibilities, and to set a timeline for implementation. In another example, the Colorado SEA developed the Expedited Diagnostic Review (EDR) for LEAs to identify the needs of Tier I and Tier II schools. Colorado School Support Team standards, indicators, and protocols were used to develop a review process with the primary goal of identifying root causes of a school's poor academic performance and the best improvement strategy for the school.

Engaging stakeholders. Thirteen states plan to provide support to districts and schools by engaging stakeholders. Among these thirteen states, eight plan to facilitate support networks of SIG LEAs and schools. For example, Kansas will draw from an existing collaborative district and school improvement model—the Kansas Learning Network—to identify coaches for LEAs and SIG schools. The remaining five states plan to enlist partners, including institutions of higher education to support LEAs and SIG schools. For example, Minnesota plans to work with the University of Minnesota to develop the Minnesota Principals Academy for turnaround principals in order to increase the pool of high-caliber principals available for SIG schools in the state.

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4. Analyses of SIG-Eligible and SIG-Awarded Schools

This section addresses the report's second key question, which includes the following related questions:

- How many SIG-eligible and SIG-awarded schools are in each state? How are they distributed by Tier and by model?
- What are the characteristics of SIG-eligible and SIG-awarded schools? How do they compare to schools nationwide?
- What is the level of SIG funding to awarded schools, overall and per pupil?

Section 4.1 describes how the data were collected, and Sections 4.2, 4.3 and 4.4 explore the questions above with these data.

Key Findings

- 15,277 schools, or 16 percent of all schools nationwide, were eligible for SIG.
- Given the program's intent, SIG-awarded schools were, as expected, more likely to be high-poverty, high-minority, urban schools in comparison to elementary and secondary schools nationwide. They were also more likely to be high schools.
- Nearly three-quarters (74 percent) of SIG-awarded Tier I and Tier II schools are implementing the transformation model.
- School-level SIG award amounts varied by Tier and by state. The average total award among Tier I and Tier II schools was \$2.54 million, compared to \$520,000 among Tier III schools. Additionally, the average three-year award for Tier I and Tier II schools in Illinois was \$4.63 million compared to \$620,000 in Vermont.
- The percentage increase in per-pupil funding associated with SIG varied across states. For example, Tier I and Tier II schools receiving SIG awards in Montana increased their per-pupil funding by 58 percent, while the increase was 3 percent in Vermont.

4.1. Data Sources

The American Institutes for Research compiled a database of SIG-eligible and SIG-awarded schools. Information on SIG-eligible schools was obtained from state SIG applications for all 50 states and the District of Columbia on ED's Web site (<http://www2.ed.gov/programs/sif/summary/index.html>). Data on SIG-awarded schools, including school names, intervention models, and award allocations, were derived from information available on the SEA Web sites. As of March 21, 2011, 49 states and the District of Columbia had provided information on SIG awards to LEAs and schools.¹⁵ The availability of specific data elements differed across states: for instance, data on intervention models were available for 48 states and the District of Columbia and total award allocations for 43 states and the District of Columbia.

Demographic data, including school enrollment, grade levels served, minority population, and poverty levels, were obtained from ED's National Center for Education Statistics (NCES) *Common Core of Data* (CCD) for 2008–09. Of the 15,277 schools eligible for SIG awards in 49 states and the District of Columbia, 40 schools were not included in the 2008–09 CCD. Of these 40 schools, 34 were identified as new public schools for the 2009–10 CCD collection. The remaining six had no record in CCD. Not all schools reported all of the data measures in CCD. To facilitate analysis, missing data on selected measures were replaced by 2007–08 CCD data, where possible. The number and percentage of remaining missing values for variables used in the report are as follow: 237 schools (1.6 percent) for the percent of free and reduced-price lunch eligible students, 19 schools (0.1 percent) for the percent of Native American students, 14 schools (<0.1 percent) for the percent of Asian, African-American, Hispanic, and White students and school enrollment.

4.2. Overview of SIG-Eligible and SIG-Awarded Schools

Exhibit 11 summarizes the distribution of SIG-eligible Tier I, II, and III schools for each state. Among 49 states and the District of Columbia, 15,277 schools, or 16 percent of all schools nationwide, are eligible for School Improvement Grants under ARRA. By state, the proportion of schools eligible for SIG awards varies widely, ranging from 2 percent of schools in Oklahoma and South Carolina to over half (56 percent) of schools in the District of Columbia. The majority of SIG-eligible schools (86 percent) are Tier III schools, while Tier I and Tier II schools each represent approximately 7 percent of all eligible schools. California has the largest number of eligible schools, with 2,720 schools, of which 189 are Tier I and Tier II schools. Pennsylvania has the largest combined number of Tier I and Tier II schools (200).

¹⁵ As of March 21, 2011, SIG award information was unavailable for Hawaii, which has therefore been excluded from all analyses of SIG-eligible and SIG-awarded schools.

Exhibit 11.
Distribution of SIG-Eligible Schools in Tiers I, II, and III, by State

States	Total	% of Schools Eligible	Tier I		Tier II		Tier III	
			N	%	N	%	N	%
Total	15,277	15.5%	1,107	7.2%	1,034	6.8%	13,136	86.0%
Alabama	263	16.4%	41	15.6%	7	2.7%	215	81.7%
Alaska	139	27.4%	24	17.3%	7	5.0%	108	77.7%
Arizona	305	13.6%	24	7.9%	6	2.0%	275	90.2%
Arkansas	279	24.7%	14	5.0%	5	1.8%	260	93.2%
California	2,720	27.1%	140	5.1%	49	1.8%	2,531	93.1%
Colorado	280	15.7%	11	3.9%	56	20.0%	213	76.1%
Connecticut	234	20.3%	18	7.7%	5	2.1%	211	90.2%
D.C.	128	55.9%	10	7.8%	0	0.0%	118	92.2%
Delaware	28	11.7%	5	17.9%	6	21.4%	17	60.7%
Florida	829	20.8%	52	6.3%	19	2.3%	758	91.4%
Georgia	217	8.7%	26	12.0%	9	4.1%	182	83.9%
Idaho	165	22.4%	8	4.8%	5	3.0%	152	92.1%
Illinois	738	16.8%	40	5.4%	20	2.7%	678	91.9%
Indiana	290	14.7%	37	12.8%	27	9.3%	226	77.9%
Iowa	130	8.7%	6	4.6%	29	22.3%	95	73.1%
Kansas	49	3.4%	5	10.2%	13	26.5%	31	63.3%
Kentucky	108	7.0%	5	4.6%	5	4.6%	98	90.7%
Louisiana	320	19.5%	24	7.5%	7	2.2%	289	90.3%
Maine	54	8.1%	5	9.3%	5	9.3%	44	81.5%
Maryland	72	4.9%	5	6.9%	11	15.3%	56	77.8%
Massachusetts	676	36.4%	57	8.4%	43	6.4%	576	85.2%
Michigan	228	5.6%	10	4.4%	98	43.0%	120	52.6%
Minnesota	294	13.0%	21	7.1%	13	4.4%	260	88.4%
Mississippi	225	20.7%	7	3.1%	92	40.9%	126	56.0%
Missouri	459	18.9%	21	4.6%	32	7.0%	406	88.5%
Montana	130	15.6%	7	5.4%	0	0.0%	123	94.6%
Nebraska	52	4.6%	9	17.3%	19	36.5%	24	46.2%
Nevada	139	22.5%	11	7.9%	8	5.8%	120	86.3%
New Hampshire	158	32.0%	13	8.2%	5	3.2%	140	88.6%
New Jersey	206	8.0%	20	9.7%	12	5.8%	174	84.5%
New Mexico	32	3.6%	20	62.5%	9	28.1%	3	9.4%
New York	438	9.3%	49	11.2%	8	1.8%	381	87.0%
North Carolina	769	30.0%	8	1.0%	33	4.3%	728	94.7%
North Dakota	72	13.5%	5	6.9%	5	6.9%	62	86.1%
Ohio	786	20.4%	55	7.0%	13	1.7%	718	91.3%
Oklahoma	44	2.4%	11	25.0%	9	20.5%	24	54.5%
Oregon	75	5.7%	6	8.0%	11	14.7%	58	77.3%
Pennsylvania	431	13.3%	93	21.6%	107	24.8%	231	53.6%
Rhode Island	43	13.1%	6	14.0%	5	11.6%	32	74.4%
South Carolina	28	2.3%	15	53.6%	13	46.4%	*	*
South Dakota	61	8.3%	5	8.2%	7	11.5%	49	80.3%
Tennessee	118	6.7%	10	8.5%	5	4.2%	103	87.3%

continued next page

Exhibit 11. (continued)
Distribution of SIG-Eligible Schools in Tiers I, II, and III, by State

States	Total	% of Schools Eligible	Tier I		Tier II		Tier III	
			N	%	N	%	N	%
Total	15,277	15.5%	1,107	7.2%	1,034	6.8%	13,136	86.0%
Texas	1,644	19.3%	69	4.2%	113	6.9%	1,462	88.9%
Utah	60	5.8%	18	30.0%	18	30.0%	24	40.0%
Vermont	69	21.1%	5	7.2%	5	7.2%	59	85.5%
Virginia	65	3.2%	11	16.9%	11	16.9%	43	66.2%
Washington	480	20.6%	26	5.4%	21	4.4%	433	90.2%
West Virginia	33	4.3%	5	15.2%	12	36.4%	16	48.5%
Wisconsin	62	2.7%	5	8.1%	7	11.3%	50	80.6%
Wyoming	52	14.4%	9	17.3%	9	17.3%	34	65.4%

Exhibit reads: 1,107 schools were identified as Tier I, representing 7.2 percent of all SIG-eligible schools nationwide.

Source: Approved state SIG applications.

Notes: The number of SIG-eligible schools included in this exhibit was 15,277 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). The mean number of total SIG-eligible schools per state was 306 (S.D.=456). The mean number of SIG-eligible schools per state was 22 (S.D.=26) for Tier I, 21 (S.D.=27) for Tier II, and 263 (S.D.=423) for Tier III.

*The approved state SIG application for SC did not provide Tier III schools in its list of eligible schools.

Exhibit 12 summarizes the distribution of SIG-awarded Tier I, II, and III schools for each state. Among the 49 states (and the District of Columbia) with available data, 1,228 schools have been awarded SIG funds, of which 42 percent are Tier I schools and 25 percent are Tier II schools. Eleven states awarded SIG funds to Tier III schools. Tier III schools constitute the majority of SIG-eligible schools (86 percent) but the minority of SIG-awarded schools (33 percent). With 105 SIG-awarded schools, Kentucky funded both the largest number of schools and the largest proportion of SIG-eligible schools (97 percent); among states with available information, Delaware has the fewest SIG-awarded schools (2 schools).

Exhibit 12.
Distribution of SIG-Awarded Schools in Tiers I, II, and III, by State

States	Total	Tier I		Tier II		Tier III	
		N	%	N	%	N	%
Total	1,228	514	41.9%	312	25.4%	402	32.7%
Alabama	11	9	81.8%	2	18.2%	0	0.0%
Alaska	7	7	100.0%	0	0.0%	0	0.0%
Arizona	19	14	73.7%	5	26.3%	0	0.0%
Arkansas	7	5	71.4%	2	28.6%	0	0.0%
California	92	67	72.8%	25	27.2%	0	0.0%
Colorado	19	10	52.6%	9	47.4%	0	0.0%
Connecticut	14	10	71.4%	4	28.6%	0	0.0%
D.C.	10	10	100.0%	0	0.0%	0	0.0%
Delaware	2	0	0.0%	2	100.0%	0	0.0%
Florida	77	52	67.5%	19	24.7%	6	7.8%
Georgia	26	21	80.8%	5	19.2%	0	0.0%
Idaho	6	3	50.0%	3	50.0%	0	0.0%
Illinois	10	4	40.0%	6	60.0%	0	0.0%
Indiana	7	4	57.1%	3	42.9%	0	0.0%
Iowa	6	6	100.0%	0	0.0%	0	0.0%
Kansas	6	4	66.7%	2	33.3%	0	0.0%
Kentucky	105	5	4.8%	5	4.8%	95	90.5%
Louisiana	32	1	3.1%	1	3.1%	30	93.8%
Maine	6	3	50.0%	3	50.0%	0	0.0%
Maryland	11	5	45.5%	6	54.5%	0	0.0%
Massachusetts	12	12	100.0%	0	0.0%	0	0.0%
Michigan	28	3	10.7%	25	89.3%	0	0.0%
Minnesota	19	11	57.9%	8	42.1%	0	0.0%
Mississippi	8	2	25.0%	6	75.0%	0	0.0%
Missouri	32	14	43.8%	18	56.3%	0	0.0%
Montana	6	6	100.0%	0	0.0%	0	0.0%
Nebraska	7	7	100.0%	0	0.0%	0	0.0%
Nevada	10	6	60.0%	4	40.0%	0	0.0%
New Hampshire	7	5	71.4%	2	28.6%	0	0.0%
New Jersey	12	4	33.3%	8	66.7%	0	0.0%
New Mexico	9	9	100.0%	0	0.0%	0	0.0%
New York	25	22	88.0%	3	12.0%	0	0.0%
North Carolina	24	6	25.0%	18	75.0%	0	0.0%
North Dakota	38	1	2.6%	0	0.0%	37	97.4%
Ohio	41	25	61.0%	10	24.4%	6	14.6%
Oklahoma	10	10	100.0%	0	0.0%	0	0.0%
Oregon	12	5	41.7%	7	58.3%	0	0.0%
Pennsylvania	58	32	55.2%	26	44.8%	0	0.0%
Rhode Island	6	6	100.0%	0	0.0%	0	0.0%
South Carolina	19	9	47.4%	10	52.6%	0	0.0%
South Dakota	18	1	5.6%	1	5.6%	16	88.9%
Tennessee	72	10	13.9%	2	2.8%	60	83.3%
Texas	66	30	45.5%	18	27.3%	18	27.3%

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Exhibit 12. (continued)
Distribution of SIG-Awarded Schools in Tiers I, II, and III, by State

States	Total	Tier I		Tier II		Tier III	
		N	%	N	%	N	%
Total	1,228	514	41.9%	312	25.4%	402	32.7%
Utah	7	5	71.4%	2	28.6%	0	0.0%
Vermont	66	5	7.6%	5	7.6%	56	84.8%
Virginia	58	11	19.0%	7	12.1%	40	69.0%
Washington	18	8	44.4%	10	55.6%	0	0.0%
West Virginia	15	4	26.7%	11	73.3%	0	0.0%
Wisconsin	46	5	10.9%	6	13.0%	35	76.1%
Wyoming	6	0	0.0%	3	50.0%	3	50.0%

Exhibit reads: 514 Tier I schools were awarded SIG nationwide, representing 41.9 percent of all SIG-awarded schools nationwide.

Source: SEA Web sites.

Notes: The number of SIG-awarded schools included in this exhibit was 1,228 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). The mean number of total SIG-awarded schools per state was 25 (S.D.=25). The mean number of SIG-awarded schools per state was 10 (S.D.=12) for Tier I, 6 (S.D.=7) for Tier II, and 8 (S.D.=19) for Tier III.

4.3. Characteristics of SIG-Eligible and SIG-Awarded Schools

Exhibit 13 provides summary characteristics of SIG-eligible schools, SIG-awarded schools, and all schools nationwide. Compared to the overall population of elementary and secondary schools, SIG-awarded schools in the 49 states (and the District of Columbia) for which data on SIG awards are available are more likely to be high-poverty, high-minority, urban schools.

Exhibit 13.
Characteristics of the Universe of Schools, SIG-Eligible Schools and SIG-Awarded Schools

Characteristics	Universe of Schools	SIG-Eligible Schools	SIG-Awarded Schools
School Level (percent of schools)			
Elementary	54.3%	55.3%	32.2%*
Middle	17.0%	20.1%	22.1%*
High	20.6%	19.1%	40.4%*
Non-standard	8.1%	5.5%	5.2%
School Type (percent of schools)			
Regular	90.0%	93.9%	92.3%
Alternative	6.3%	5.0%	6.1%
Special Education	2.3%	0.8%	0.9%
Vocational	1.4%	0.3%	0.7%*
Charter school status (percent of schools)	4.7%	6.3%	5.5%
Urbanicity (percent of schools)			
Large or Middle-Sized City	26.0%	44.9%	52.5%*
Urban Fringe and Large Town	41.9%	35.2%	24.3%*
Small Town and Rural Area	32.1%	19.9%	23.2%*
Free and Reduced-Price Lunch (school average percent of students)^a	44.7%	68.3%	68.4%
Race/Ethnicity (school average percent of students)^a			
White	55.0%	26.7%	26.5%
African American	17.0%	28.0%	41.9%*
Hispanic	21.5%	39.6%	26.9%*
Native American	1.3%	1.5%	2.1%
Asian	4.7%	3.7%	2.4%*
Total School Enrollment (school average)	516	597	664*

Exhibit reads: 54.3 percent of schools nationwide were elementary schools. Among SIG-eligible schools nationwide, 55.3 percent were elementary schools; among SIG-awarded schools nationwide, 32.2 percent were elementary schools.

Source: 2008–09 *Common Core of Data*; Approved state SIG applications; SEA Web sites.

Notes: Analyses were based on 98,648 schools in 49 states and D.C., 15,237 SIG-eligible schools in 49 states and D.C. (Of the 15,277 schools eligible for SIG awards in 49 states and the District of Columbia, 40 schools were not included in the 2008–09 CCD), and 1,228 SIG-awarded schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). Due to missing data in CCD, analysis samples vary across school characteristics, and thus estimates may contain inaccuracies. For example, 7 percent of the universe of schools, 2.3 percent of SIG-eligible schools, and 1.0 percent of SIG-awarded schools were missing data for at least one of the variables. The variable with the most missing data was percent of free and reduced-price lunch students. Percentage values for characteristics with multiple categories may not sum to 100 due to rounding. Statistical significance was determined based on one-sample tests of proportion for categorical variables and t-tests for continuous variables. All differences between the universe of schools and SIG-eligible schools were significant at the $p \leq .05$ level. All differences between the universe of schools and SIG-awarded schools were significant at the $p \leq .05$ level except for alternative school type and charter school status. For comparisons between SIG-eligible and SIG-awarded schools, two-tailed statistical significance at the $p \leq .05$ level is indicated by an asterisk (*).

Non-standard refers to those schools with a grade configuration not falling within the elementary, middle, or high school categories.

^a Student characteristics are weighted in proportion to the number of students enrolled in a school.

SIG-awarded schools are also more likely to be high schools: high schools constitute 21 percent of schools nationwide and 19 percent of SIG-eligible schools, but constitute 40 percent of SIG-awarded schools. In four states (Alaska, Delaware, Georgia, and Illinois), all of the SIG-awarded schools include

high school grades, and in another four states (New Mexico, Mississippi, Oregon, and Texas), over 75 percent of the SIG-awarded schools are high schools.

Exhibit 14 depicts the poverty levels in SIG-eligible and SIG-awarded schools by tier. Among SIG-eligible and SIG-awarded Tier I schools, 73 percent and 70 percent, respectively, are high poverty (i.e., schools in which at least 75 percent of students received free or reduced-price lunch). Tier II and III schools are less likely to be high poverty than Tier I schools—37 percent of SIG-eligible Tier II schools and 36 percent of SIG-awarded Tier II schools are high poverty; among Tier III schools, 47 percent of SIG-eligible schools have high poverty enrollments, compared to 35 percent of SIG-awarded schools.

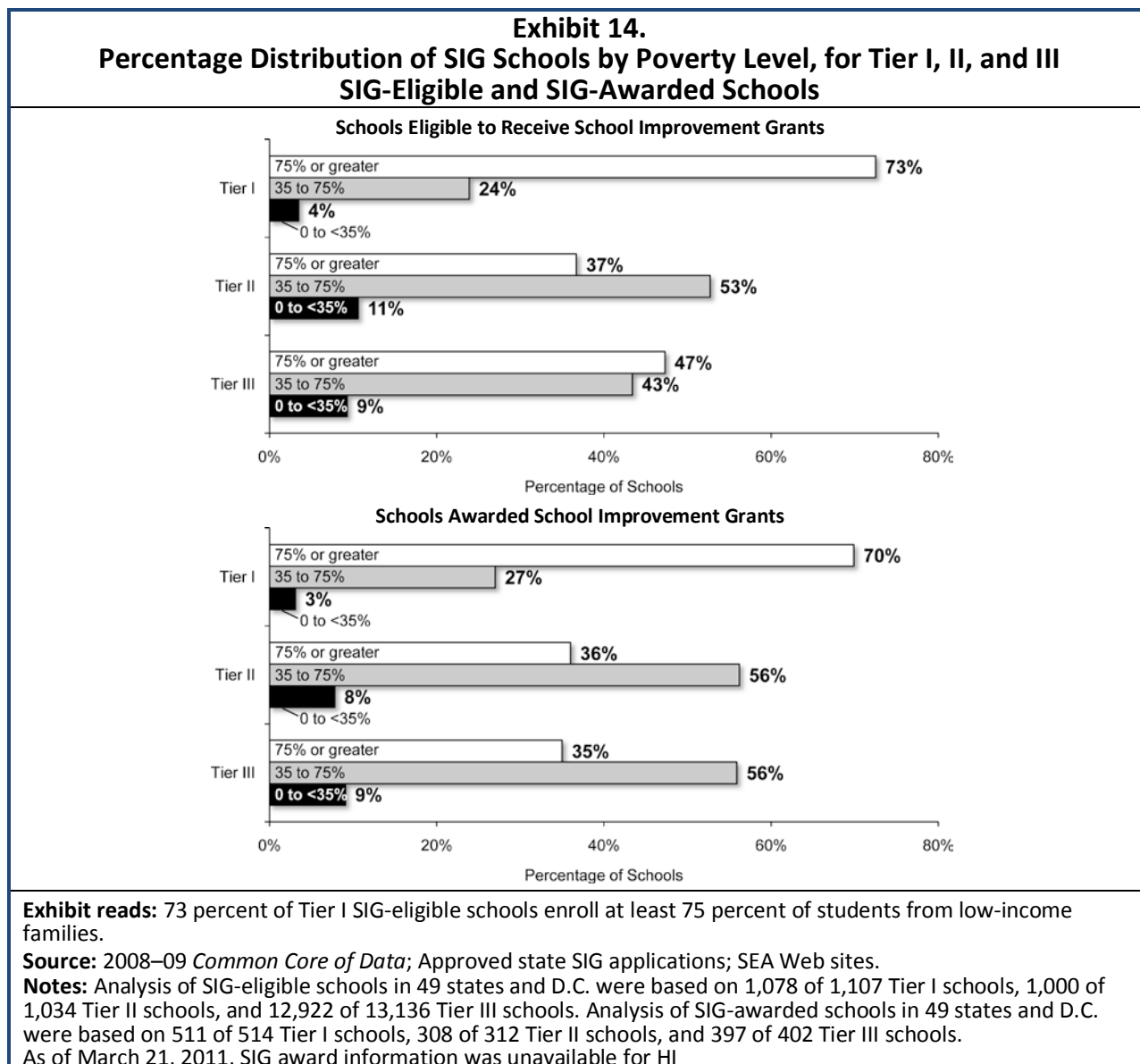
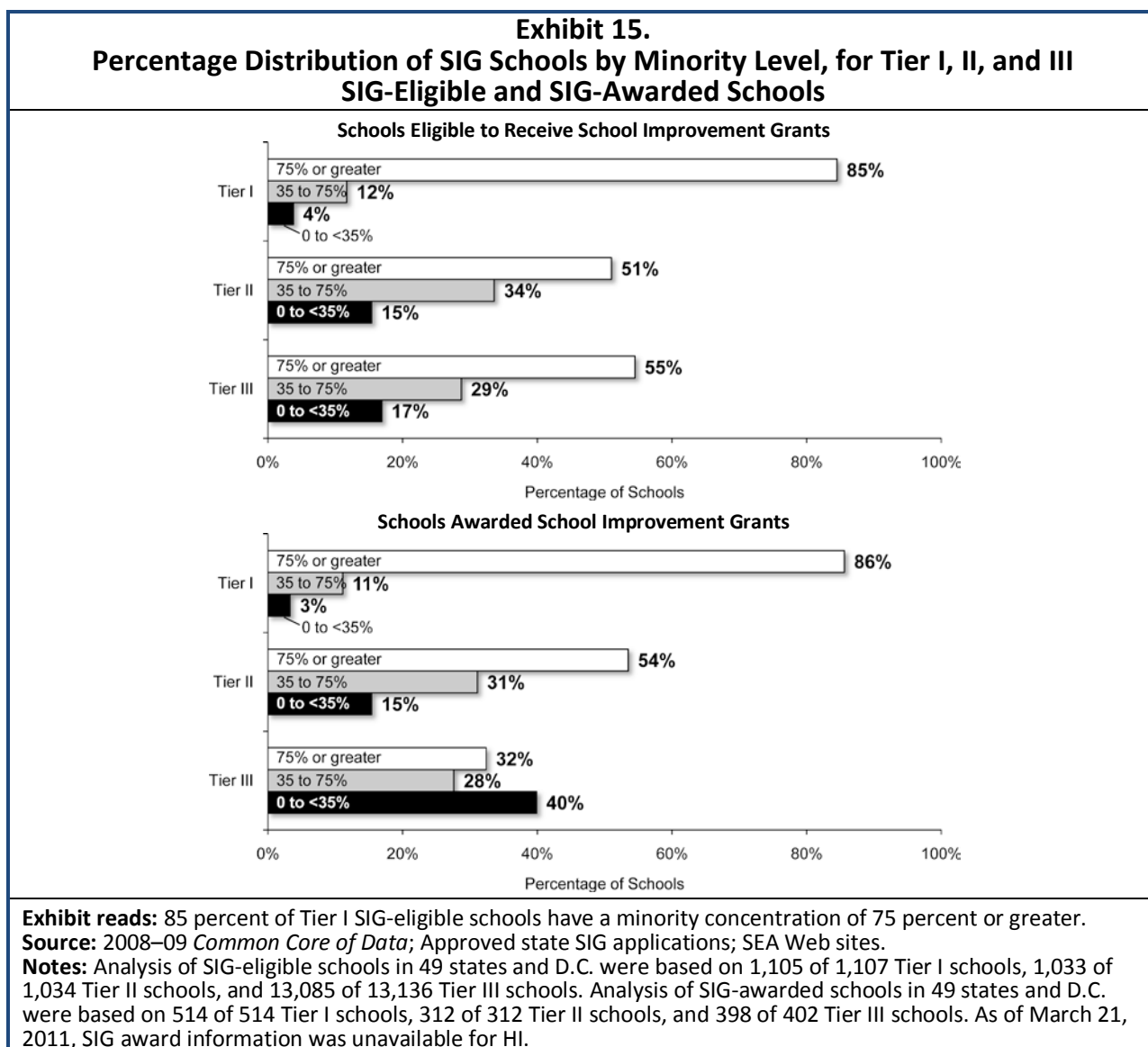


Exhibit 15 shows the minority levels (i.e., the percentage of non-white students) in SIG-eligible and SIG-awarded schools by tier. Among SIG-eligible and SIG-awarded Tier I schools, the percentage of high-minority schools (those with at least 75 percent minority enrollment) is 85 percent and 86 percent, respectively. The percentage of high-minority schools is similar for SIG-eligible (51 percent) and

SIG-awarded (54 percent) Tier II schools, although at levels lower than those observed for Tier I schools. Among Tier III schools, SIG-awarded schools are less likely to be high minority than SIG-eligible schools— 32 percent of SIG-awarded schools were high-minority, compared to 55 percent of SIG-eligible schools.



The SIG Final Requirements (section II.A.2(b)) specify that an LEA with nine or more Tier I and Tier II SIG-awarded schools may not implement the transformation model in more than 50 percent of those schools. Among the states with available data, thirteen districts have nine or more SIG-awarded Tier I and Tier II schools and are subject to this requirement (see Exhibit 16).

Focusing on all three tiers of SIG-awarded schools, the minority of *schools* (359 of the 1,228 SIG-awarded schools, or 29 percent) are the only SIG-awarded school in their district, while the majority of *districts* with SIG-awarded schools (62 percent) have only one SIG-awarded school (see Exhibit 16). In contrast, 43 districts (7 percent of the 576 districts with SIG-awarded schools) across 24 states and the District of Columbia have 5 or more SIG-awarded schools. The district with the largest number of SIG-awarded schools is Milwaukee, Wisconsin, with 46 SIG schools, which accounts for

4 percent of all SIG-awarded schools (see Exhibit 17). Additionally, 170 of the 576 districts with SIG-awarded schools serve only Tier III schools.

Exhibit 16. Number of SIG-Awarded Schools in Districts Receiving SIG Funds				
# of Awarded Schools in District	Districts With At Least One SIG-Awarded Tier I or Tier II School		Districts With At Least One SIG-Awarded School	
	Number of Districts	% of Districts	Number of Districts	% of Districts
1 school	260	64.0%	359	62.3%
2 schools	64	15.8%	105	18.2%
3 schools	37	9.1%	48	8.3%
4 schools	13	3.2%	21	3.6%
5 schools	5	1.2%	8	1.4%
6 schools	9	2.2%	10	1.7%
7 schools	4	1.0%	6	1.0%
8 schools	1	0.2%	1	0.2%
9 or more schools	13	3.2%	18	3.1%

Exhibit reads: Of the 406 districts with at least one SIG-awarded Tier I or Tier II school, 260 districts have one awarded Tier I or Tier II school.
Source: SEA Websites.
Notes: The number of districts included in this exhibit is 406 districts with at least one SIG-awarded Tier I or Tier II school and 576 districts with at least one SIG-awarded school in 49 states and D.C. As of March 21, 2011, SIG award information was unavailable for HI. Geographic districts in New York City were aggregated into a single entity for New York City Public Schools.

Exhibit 17.
Number of SIG-Awarded Schools in Districts With 5 or More SIG-Awarded Schools

District	N	District	N
Milwaukee, WI	46	Pittsburgh, PA	7
Philadelphia, PA	27	Hamilton County, TN	7
Jefferson County, KY	26	Knox County, TN	7
Memphis, TN	20	Santa Ana, CA	6
Davidson County, TN	20	Pueblo, CO	6
Miami-Dade County, FL	19	Osceola County, FL	6
Cleveland, OH	12	Fayette County, KY	6
San Bernardino, CA	11	Detroit, MI	6
Duval County, FL	11	Minneapolis, MN	6
St. Louis, MO	11	Cincinnati, OH	6
New York City, NY	11	Tulsa, OK	6
San Francisco, CA	10	Allentown, PA	6
Hardin County, KY	10	Houston, TX	6
Boston, MA	10	Recovery School District, LA	5
Sioux Falls, SD	10	Terrebonne Parish, LA	5
Los Angeles, CA	9	Grand Rapids, MI	5
Denver, CO	9	Newark, NJ	5
District of Columbia	9	Rochester, NY	5
Burlington, VT	8	Minot, ND	5
Baltimore City, MD	7	Providence, RI	5
Washoe County, NV	7	Kanawha County, WV	5
Columbus, OH	7		

Exhibit reads: Milwaukee, WI has 46 SIG-awarded schools.

Source: SEA Websites.

Notes: The number of districts included in this exhibit is 43 districts in 24 states and D.C. SIG-Awarded schools include Tier I, Tier II, and Tier III schools.

Geographic districts in New York City were aggregated into a single entity for New York City Public Schools.

Exhibit 18 displays the distribution of SIG intervention models adopted for SIG-awarded Tier I and II schools. Among the 49 states and the District of Columbia with available data, the transformation model was the predominant choice: this model was adopted for 603 (74 percent) of the SIG-awarded Tier I and Tier II schools. In 16 states, the transformation model was the only intervention model adopted for SIG-awarded Tier I and II schools (see Appendix C). In 11 states and the District of Columbia, schools are implementing three of the four intervention models, and, in three states—California, Colorado, and Pennsylvania—all four intervention models are represented. The adoption of intervention models varied significantly by urbanicity: the transformation model was adopted for 96 percent of rural SIG-awarded schools, compared to 66 percent of urban SIG-awarded schools. Likewise, while the turnaround model was adopted for 26 percent of urban SIG-awarded schools, it was adopted for just 2 percent of rural SIG-awarded schools (these differences are significant at the $p \leq .05$ level).

Exhibit 18.
Percent and Number of SIG-Awarded Tier I and Tier II Schools Implementing Turnaround, Restart, School Closure, and Transformation Models

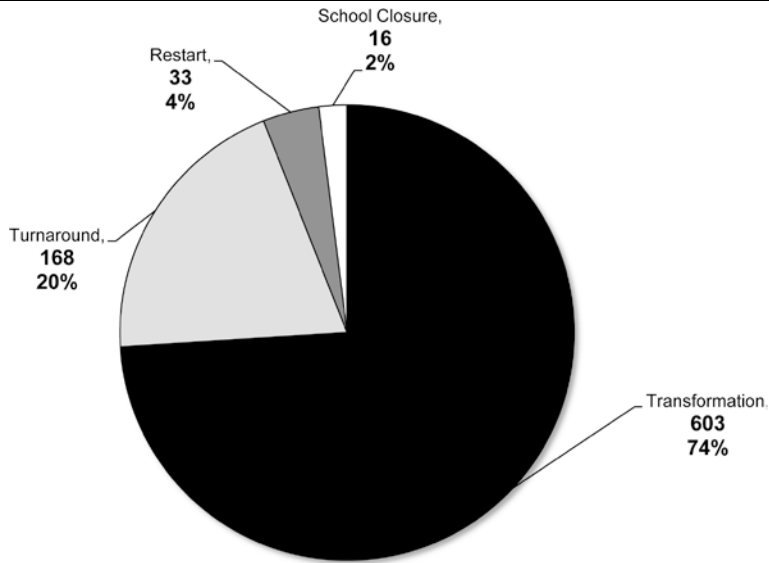


Exhibit reads: 168 Tier I and Tier II schools are implementing the “turnaround” model, representing 20 percent of the 820 Tier I and Tier II SIG-awarded schools nationwide, for which intervention model information was available.

Source: SEA Web sites.

Notes: Analysis was based on 820 SIG-awarded Tier I and Tier II schools in 49 states and D.C. Information on intervention models was not available for all six SIG-awarded schools in RI. As of March 21, 2011, SIG award information was unavailable for HI.

Tier III schools are excluded from the exhibit since federal rules do not require Tier III schools to implement one of the four intervention models.

4.4. SIG Funding to States and Schools

SIG awards were allocated to states based on state Title I funding formulas; the total allocations ranged from \$415.8 million in California to \$8.6 million in Vermont (see Exhibit 19). Overall, ED has disbursed \$3.19 billion in SIG awards to states. The average state award was \$65 million, and the median state award was \$39.7 million.

Exhibit 19. State School Improvement Grant 1003 (g) Program Allocations

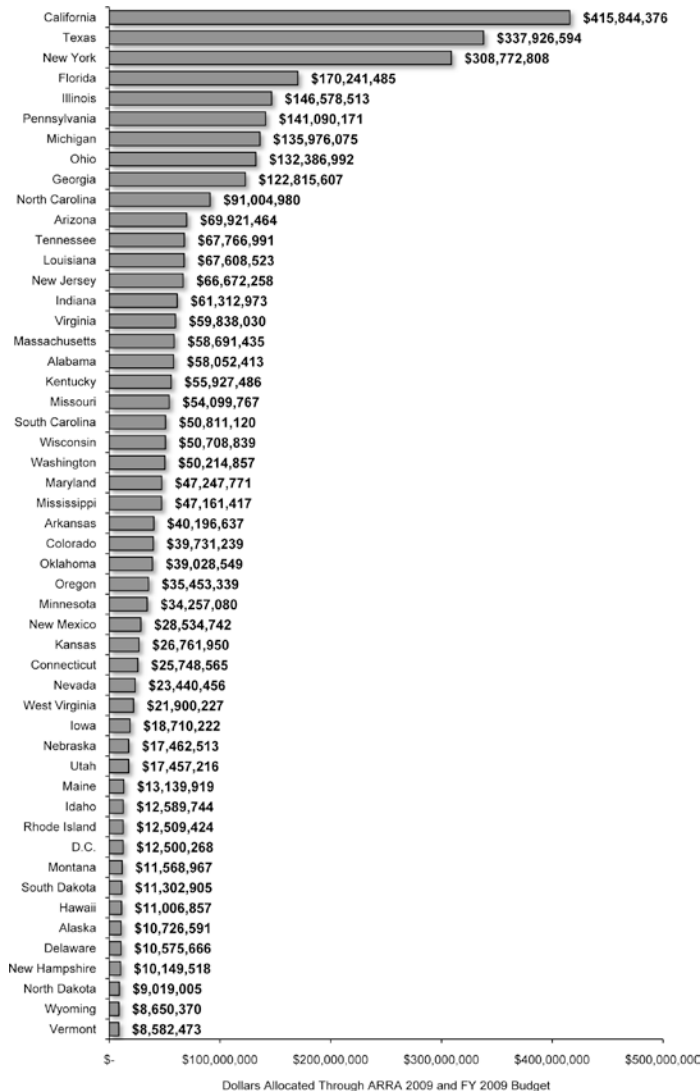


Exhibit reads: California was allocated \$415,844,376 for the School Improvement Grant 1003 (g) program through the American Recovery and Reinvestment Act of 2009 and the FY 2009 budget.

Source: Fiscal Year 2009-FY 2011 President’s Budget State Tables for the U.S. Department of Education (<http://www2.ed.gov/about/overview/budget/statetables/11stbyprogram.pdf>)

Notes: This exhibit includes all 50 states and D.C.

Exhibit 20 presents school and per-pupil average SIG award amounts by tier, intervention model, school size, and school level. The SIG Final Requirements (section II.B.5) specify that the LEA’s total SIG subgrant must be between \$50,000 and \$2,000,000 per year for each SIG-awarded Tier I, Tier II, and Tier III school. On average, Tier I and II schools received total awards of \$2.6 million and \$2.47 million, respectively. In terms of annual per-pupil allocations, Tier I schools received the largest awards (\$1,490 per pupil), and Tier III schools received the smallest allocation (\$330 per pupil). Among the different intervention models, turnaround schools received the largest total awards (\$2.96 million per school),

while closure schools, not surprisingly, received the lowest level of funding.¹⁶ By school level, high schools received the largest total allocation (\$2.37 million), whereas non-standard schools (i.e., schools with a grade configuration not falling within the elementary, middle, or high school categories) receive the highest per-pupil grants (\$1,880).

Exhibit 20.					
Average Total SIG Award and Annual Per-Pupil Award, by Tier, SIG Model, School Size, and School Level					
	N	Total Award Per School (in millions of dollars)		Annual Per-Pupil Award	
		Mean	S.D.	Mean	S.D.
Tier					
Tier I	397	\$2.60	1.49	\$1,490	1,210
Tier II	260	\$2.47	1.53	\$1,130	1,450
Tier III	354	\$0.52	0.84	\$330	410
Intervention Model					
Turnaround	131	\$2.96	1.53	\$1,630	1,590
Restart	31	\$2.71	1.59	\$1,210	910
Closure	11	\$0.10	0.10	\$380	360
Transformation	484	\$2.48	1.45	\$1,270	1,280
Tier III SI Strategies	354	\$0.52	0.84	\$330	410
School Size					
200 or fewer students	142	\$1.42	1.18	\$3,860	4,300
201-400 students	250	\$1.37	1.28	\$1,540	1,400
401-600 students	238	\$1.57	1.47	\$1,070	990
601 or more students	377	\$2.48	1.87	\$760	570
School Level					
Elementary	334	\$1.37	1.42	\$1,100	1,100
Middle	236	\$1.61	1.66	\$1,020	1,090
High	383	\$2.37	1.67	\$910	1,140
Non-standard	54	\$1.99	1.33	\$1,880	2,780

Exhibit reads: Among Tier I SIG-awarded schools nationwide, the average total award was \$2.6 million per school.
Source: 2008–09 *Common Core of Data*; SEA Web sites.
Notes: Analyses were based on 1,011 SIG-awarded schools in 43 states and D.C. Total SIG awards were not available for AR, FL, MO, NY, RI and WI (NY and WI are approving funds for schools on a year-by-year basis, and thus have announced year 1 award allocations only). Additionally, school-level award allocations were unavailable for 2 schools in CA, 7 schools in GA, and 15 schools in TX. The analysis sample for school size, school level, and annual per-pupil awards was 1,007 SIG-awarded schools, since 4 Tier III schools in LA did not have records in the 2008–09 CCD. As of March 21, 2011, SIG award information was unavailable for HI.
Tier III SI strategies refer to all school improvement strategies adopted for SIG-awarded Tier III schools (Federal rules do not require Tier III schools to implement one of the four intervention models).
Non-standard refers to those schools with a grade configuration not falling within the elementary, middle, or high school categories.
*Annual per-pupil awards were calculated for each SIG-awarded school by dividing the total SIG award by the number of years of the grant (3 years for 907 schools, 2 years for 1 school, and 1 year for 99 schools) and then by the school’s student enrollment. Per-pupil amounts were then averaged, weighting each school’s per-pupil award amount in proportion to the number of students enrolled.

¹⁶ Schools that are closing receive one-year SIG awards, in contrast to the three-year awards typically granted to schools implementing one of the three other intervention models. Costs associated with school closure include notifying parents and the community of closure, transferring students, teachers, and other school staff to new schools, and supporting schools receiving transferred students.

Exhibit 21 shows the average total per-school and per-pupil SIG awards for each state's Tier I and II schools only. (Because Tier III schools received smaller SIG awards, on average, these data are presented separately in Exhibit 22.) Overall, the average total award is \$2.54 million per school, while the annual per-pupil award is \$1,330. In five states, the average annual per-pupil award exceeded \$3,000, while in three states, the annual per-pupil award was less than \$600. Among the 43 states and the District of Columbia with available data, average total school-level SIG awards varied, ranging from \$620,000 in Vermont to \$4.63 million in Illinois.

Exhibit 21.					
Average Total SIG Award and Annual Per-Pupil Award for SIG-Awarded Tier I and II Schools, Overall and by State					
States	N	Total Award Per School (in millions of dollars)		Annual Per-Pupil Award	
		Mean	S.D.	Mean	S.D.
Total	657	\$2.54	1.51	\$1,330	1,330
Alabama	11	\$3.76	1.09	\$3,740	4,550
Alaska	7	\$1.46	0.27	\$2,690	520
Arizona	19	\$2.29	1.08	\$2,660	1,710
California	90	\$4.14	1.58	\$1,420	1,060
Colorado	19	\$1.74	0.89	\$1,050	550
Connecticut	14	\$1.67	0.42	\$800	550
D.C.	10	\$1.15	0.46	\$870	540
Delaware	2	\$1.59	0.30	\$640	30
Georgia	19	\$2.95	0.68	\$1,160	770
Idaho	6	\$0.53	0.09	\$650	610
Illinois	10	\$4.63	1.34	\$1,220	890
Indiana	7	\$4.23	1.97	\$2,570	1,950
Iowa	6	\$2.94	0.67	\$1,680	930
Kansas	6	\$4.24	1.75	\$3,150	1,190
Kentucky	10	\$1.32	0.08	\$660	320
Louisiana	2	\$1.08	0.27	\$380	20
Maine	6	\$1.78	0.90	\$1,560	760
Maryland	11	\$2.71	0.78	\$1,560	480
Massachusetts	12	\$2.15	0.82	\$1,180	390
Michigan	28	\$2.96	1.54	\$1,420	900
Minnesota	19	\$1.25	0.27	\$1,040	490
Mississippi	8	\$4.06	1.10	\$2,030	1,020
Montana	6	\$1.83	1.29	\$8,620	2,730
Nebraska	7	\$1.81	0.71	\$3,650	1,790
Nevada	10	\$1.53	0.54	\$580	420
New Hampshire	7	\$1.03	0.09	\$1,010	820
New Jersey	12	\$3.77	1.17	\$1,590	980
New Mexico	9	\$2.95	1.35	\$2,540	960
North Carolina	24	\$2.38	0.79	\$1,470	1,720
North Dakota	1	\$1.06	0.00	\$7,510	0
Ohio	35	\$2.43	0.94	\$1,450	1,480
Oklahoma	10	\$3.69	0.91	\$1,740	1,150
Oregon	12	\$2.73	1.11	\$1,760	1,170
Pennsylvania	58	\$1.77	0.83	\$670	400

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Exhibit 21. (continued)
**Average Total SIG Award and Annual Per-Pupil Award for SIG-Awarded
Tier I and II Schools, Overall and by State**

States	N	Total Award Per School (in millions of dollars)		Annual Per-Pupil Award	
		Mean	S.D.	Mean	S.D.
Total	657	\$2.54	1.51	\$1,330	1,330
South Carolina	19	\$1.72	0.49	\$1,270	490
South Dakota	2	\$0.63	0.23	\$2,780	370
Tennessee	12	\$2.13	0.06	\$820	230
Texas	40	\$3.18	1.74	\$2,410	3,330
Utah	7	\$1.76	0.54	\$800	400
Vermont	10	\$0.62	0.11	\$410	210
Virginia	18	\$2.03	1.47	\$1,130	930
Washington	18	\$2.22	1.19	\$1,310	530
West Virginia	15	\$0.98	0.31	\$690	300
Wyoming	3	\$1.12	0.28	\$2,240	400

Exhibit reads: Among Tier I and II SIG-awarded schools nationwide, the average total school award was \$2.54 million, and the average annual per-pupil award was \$1,330.

Source: 2008–09 *Common Core of Data*; SEA Web sites.

Notes: Analyses were based on 657 SIG-awarded Tier I and II schools in 43 states and D.C.

Total SIG awards were not available for AR, FL, MO, NY, RI and WI (NY and WI are only approving funds for schools on a year-by-year basis, and thus have announced year 1 award allocations only). Additionally, school-level award allocations were unavailable for 2 schools in CA, 7 schools in GA, and 8 schools in TX. As of March 21, 2011, SIG award information was unavailable for HI.

*Annual per-pupil awards were calculated for each SIG-awarded school by dividing the total SIG award by the number of years of the grant (3 years for 646 schools and 1 year for 11 schools) and then by the school's student enrollment. Per-pupil amounts were then averaged, weighting each school's per-pupil award amount in proportion to the number of students enrolled.

Relative to Tier I and Tier II SIG-awarded schools, an average Tier III SIG-awarded school received less funding, often because states opted to allocate the SIG funds across large numbers of Tier III schools. For example, Kentucky and Vermont funded 97 percent and 95 percent of their Tier III schools, resulting in annual per-pupil awards of \$180 and \$150, respectively. However, 3 states (Ohio, Texas, and Wyoming) funded 11 Tier III schools or fewer, and the Tier III SIG-awarded schools received larger awards—as much as \$1,520 per-pupil in Ohio. The average total award amount for Tier III schools in Texas was \$4.51 million, while the next highest average award was \$1.66 million in Ohio (see Exhibit 22).

Exhibit 22.
Average Total SIG Award and Annual Per-Pupil Award for SIG-Awarded Tier III Schools, Overall and by State

States	N	Total Award Per School (in millions of dollars)		Annual Per-Pupil Award	
		Mean	S.D.	Mean	S.D.
Total	354	\$0.52	0.84	\$330	410
Kentucky	95	\$0.35	0.19	\$180	110
Louisiana	30	\$0.91	0.26	\$900	460
North Dakota	37	\$0.15	0.07	\$490	260
Ohio	6	\$1.66	1.15	\$1,520	880
South Dakota	16	\$0.42	0.13	\$320	230
Tennessee	60	\$0.38	0.38	\$150	160
Texas	11	\$4.51	1.37	\$1,130	740
Vermont	56	\$0.06	0.01	\$150	90
Virginia	40	\$0.55	0.10	\$350	160
Wyoming	3	\$0.82	0.46	\$910	390

Exhibit reads: Among Tier III SIG-awarded schools nationwide, the average total award was \$0.52 million, and the average annual per-pupil award was \$330.

Source: 2008–09 *Common Core of Data*; SEA Web sites.

Notes: Analyses were based on 354 SIG-awarded schools in 10 states that awarded SIG to Tier III schools.

Total SIG awards were not available for two states that awarded SIG to Tier III schools—FL and WI (WI is only approving funds for schools on a year-by-year basis, and thus has announced year 1 award allocations only).

Additionally, school-level award allocations were unavailable for 7 Tier III schools in TX. As of March 21, 2011, SIG award information was unavailable for HI. The analysis sample for annual per-pupil awards was 350 SIG-awarded schools, since 4 Tier III schools in LA did not have records in the 2008–09 CCD.

*Annual per-pupil awards were calculated for each SIG-awarded school by dividing the total SIG award by the number of years of the grant (3 years for 265 schools, 2 years for 1 school, and 1 year for 88 schools) and then by the school's student enrollment. Per-pupil amounts were then averaged, weighting each school's per-pupil award amount in proportion to the number of students enrolled.

Exhibit 23 displays the average percentage increase in per-pupil spending from the SIG award over the baseline spending level (given in parentheses) for Tier I and Tier II SIG-awarded schools in each state. The unweighted average increase among the 43 states (and the District of Columbia) is 18.6 percent, while the weighted average (by student enrollment) represents a 15.1 percent increase in per-pupil funding across states.

Exhibit 23.
Percentage Increase in Annual Per-Pupil Funding from SIG Funding for SIG-Awarded Tier I and II Schools, by State

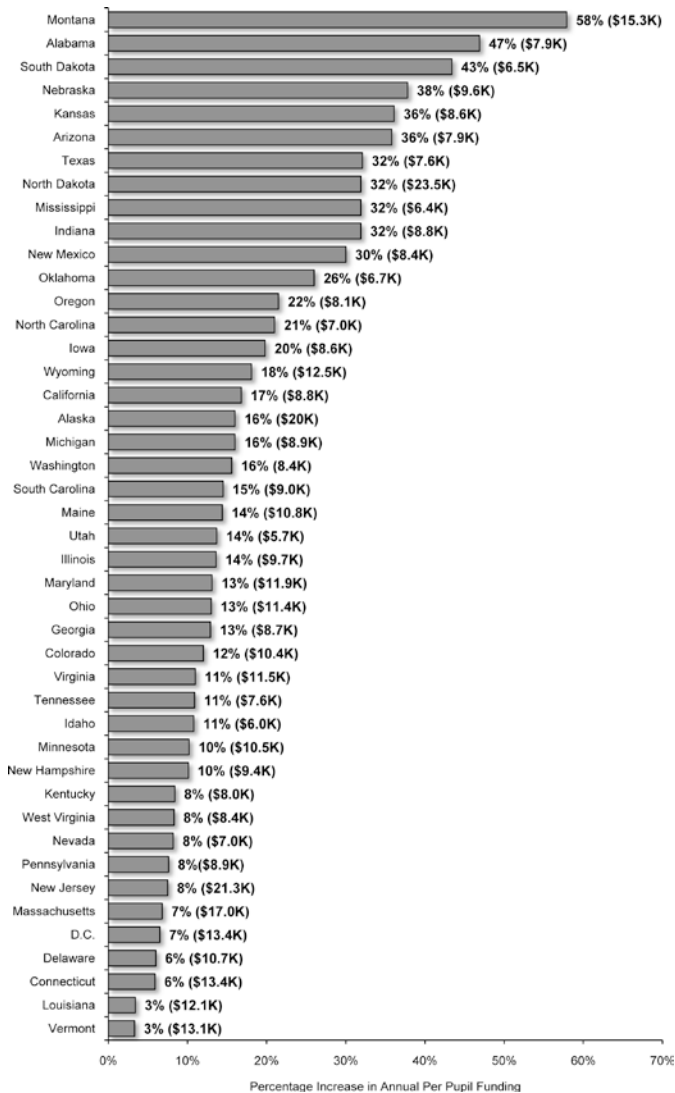


Exhibit reads: Among SIG-awarded Tier I and II schools in Montana, the average per-pupil SIG award represents a 58 percent increase in annual per-pupil funding.

Source: 2008–09 *Common Core of Data*; SEA Web sites.

Notes: Analyses were based on 651 SIG-awarded Tier I and II schools in 43 states and D.C. Total SIG awards were not available for AR, FL, MO, NY, RI and WI (NY and WI are only approving funds for schools on a year-by-year basis, and thus have announced year 1 award allocations only). Additionally, school-level award allocations were unavailable for 2 schools in CA, 7 schools in GA, and 8 schools in TX. Base per-pupil funding was unavailable for 6 schools (2 schools in CA, 2 schools in GA, and 2 schools in IN).

Annual per-pupil awards were calculated for each SIG-awarded school by dividing the total SIG award by the number of years of the grant (3 years for 640 schools and 1 year for 11 schools) and then by the school’s student enrollment.

The percentage increase in annual per-pupil funding for each school is calculated as the percentage of the school’s annual SIG per-pupil award relative to the annual per-pupil spending on instruction, support services (student support services, instructional staff, and school administration), and operation and maintenance *for the district in which the school is located*. This district measure is used as a proxy for per-pupil school-level spending (2008–09 base per-pupil spending figures from the CCD are CPI-adjusted to 2010 dollars). State averages were then calculated, weighting each school’s percentage increase in proportion to the number of students enrolled.

Because states' funding strategies for Tier III schools differ from those for Tier I and Tier II schools, the percentage increase in annual per-pupil funding from SIG for Tier III schools are presented separately in Exhibit 24. The unweighted average increase in per-pupil funds among the ten states is 4.1 percent, while the weighted average (by student enrollment) is 7.2 percent. Thus, Tier I and Tier II SIG-awarded schools received, on average, greater funding increases over baseline spending with SIG than Tier III schools. However, there are variations by state: Tier III schools in Ohio received a greater funding increase (19 percent) than Tier I and Tier II schools in Ohio (13 percent). Also, although the average total award for SIG-awarded Tier III schools in Texas was over \$4 million per school, Ohio still ranks higher in terms of the percentage increase in annual per-pupil funding from SIG.

Exhibit 24.
Percentage Increase in Annual Per-Pupil Funding from SIG Funding for SIG-Awarded Tier III Schools, by State

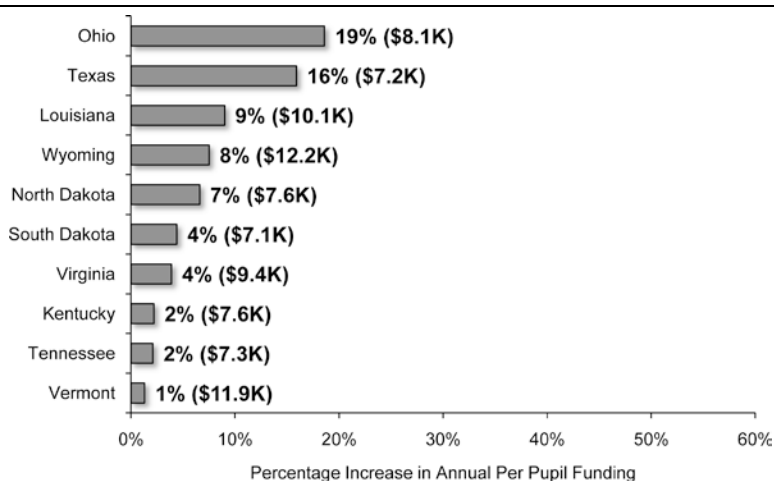


Exhibit reads: Among SIG-awarded Tier III schools in Ohio, the average per-pupil SIG award represents a 19 percent increase in annual per-pupil funding.

Source: 2008–09 *Common Core of Data*; SEA Web sites.

Notes: Analyses were based on 346 SIG-awarded Tier III schools in 10 states that awarded SIG to Tier III schools. Total SIG awards were not available for two states that awarded SIG to Tier III schools—FL and WI (WI is only approving funds for schools on a year-by-year basis, and thus has announced year 1 award allocations only). Additionally, school-level award allocations were unavailable for 7 Tier III schools in TX. Base per-pupil funding was unavailable for 8 Tier III schools in LA. As of March 21, 2011, SIG award information was unavailable for HI. Annual per-pupil awards were calculated for each SIG-awarded school by dividing the total SIG award by the number of years of the grant (3 years for 257 schools, 2 years for 1 school, and 1 year for 88 schools) and then by the school's student enrollment.

The percentage increase in annual per-pupil funding for each school is calculated as the percentage of the school's annual SIG per-pupil award relative to the annual per-pupil spending on instruction, support services (student support services, instructional staff, and school administration), and operation and maintenance *for the district in which the school is located*. This district measure is used as a proxy for per-pupil school-level spending (2008–09 base per-pupil spending figures from the CCD are CPI-adjusted to 2010 dollars). State averages were then calculated, weighting each school's percentage increase in proportion to the number of students enrolled.

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5. Summary

By September 2010, all states and the District of Columbia had applied for Title I School Improvement Grants and received approval from ED. By January 2011, all states and the District of Columbia (with the exception of Hawaii) had awarded SIG funds to eligible schools. Data on these activities, collected and analyzed in this report, offer a first glimpse at the implementation of the SIG program. Through these initial steps in identifying, funding, and establishing supports for SIG schools, states have set the parameters that will define the next phase of SIG implementation.

A key finding is that states vary in their *planned* approach to implementing SIG. For example, state strategies for monitoring local implementation of SIG vary in both frequency and depth (8 SEAs plan to monitor LEAs monthly, while 33 SEAs plan to monitor LEAs annually; Arizona plans to conduct site visits, designate staff for monitoring, hold check-in meetings, and use electronic/online tools, while Delaware just plans to use electronic/online tools). With regard to supports for SIG schools, some states have proposed a comprehensive network of intensive supports, while others plan to offer more limited assistance (for instance, Oregon plans to enhance or restructure their SIG office and engage stakeholders, while New York plans to do all that in addition to designating district/school support teams and providing targeted professional development).

Another key finding is that states vary in how they distributed SIG funds to schools. In Kentucky, SIG funds were awarded to 105 of 108 schools (97 percent of all their SIG-eligible schools), while Illinois funded 10 of 738 schools (1 percent of all their SIG-eligible schools). Although the average annual per-pupil SIG award is \$1,330 nationwide, in two states the average per-pupil award exceeded \$7,000. In another two states the per-pupil award was less than \$500. SIG funds do not always constitute a substantial relative spending boost: in four states, Tier I and Tier II SIG funds represent an increase of six percent or less in annual per-pupil funding. In contrast, Tier I and Tier II SIG schools in eleven states will receive an increase in funding of 30 percent or more as a result of SIG. Thus, the absolute and relative funding levels among SIG schools are variable.

Despite all these variations, commonalities also exist among SIG-awarded schools: for instance, most SIG schools (74 percent) are implementing the transformation model, and they are more likely to be high schools (40 percent of SIG-awarded schools are high schools compared to 21 percent nationwide). Finally, compared to elementary and secondary schools nationwide, SIG-awarded schools are more likely to be high-poverty (68 percent of students in SIG schools are eligible for free and reduced price lunch compared to 45 percent of students nationwide), high-minority (73 percent of students in SIG schools are non-white compared to 45 percent of students nationwide), urban schools (53 percent of SIG schools are in large or middle-sized cities compared to 26 percent of schools nationwide).

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Appendix A.

Exhibit A-1. Baseline Data Report—State School Improvement Grant (SIG) Data Capture Elements (from Data Capture Workbook)	
Data Category	Coding Options
Definitions and identification of persistently lowest-achieving schools	
Are there persistently lowest-achieving schools that are excluded from the pool of SIG-eligible schools [e.g., small schools, alternative schools, other?]	short answer
Are exclusions different for Tier I and Tier II schools?	yes or no
Achievement data in content areas included in determination	
ELA/Reading	yes or no
Mathematics	yes or no
Sciences	yes or no
History/SS	yes or no
Other	short answer
Achievement data used	
Number of years of achievement data used to calculate current achievement level [#]	number of years
Achievement data from grade levels (grades 1–12)?	yes or no, for each grade level (1–12)
Achievement data—Other comments	short answer
Achievement data in content areas included in determination	
ELA/Reading	yes or no
Mathematics	yes or no
Sciences	yes or no
History/SS	yes or no
Other	short answer
Lack of progress	
Number of years of achievement data used to calculate “lack of progress” [#]	number of years
Growth measure used?	yes or no
Describe growth measure	short answer
Graduation rate	
Number of years of data used to calculate graduation rate [#]	number of years
State has HS w/ 60% or less grad rate [y/n]	yes or no
Different than 60% grad rate [y/n]	yes or no
If graduation rate is different, describe	short answer
Tier I	
Tier I 5% or 5?	%, 5 or both
Comments	short answer
Role of being IFI school in ranking [describe]	short answer
Ranking of Tier I schools [describe]	cut and paste from application
Cut-off point(s) for Tier I schools [describe]	cut and paste from application
Other notes	short answer
WAIVER Tier I New Eligible Schools?	yes or no

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Exhibit A–1. (continued)	
Baseline Data Report—State School Improvement Grant (SIG)	
Data Capture Elements (from Data Capture Workbook)	
Data Category	Coding Options
Tier II	
Tier II 5% or 5?	%, 5 or both
Tier II 5% or 5—if “both” include comments	short answer
Role of being IFI school in ranking [describe]	short answer
State has high schools with 60% or less graduation rate?	yes or no
State uses different graduation rate than 60% grad rate?	yes or no
If the graduation is different than 60% graduation rate, describe	short answer
Describe ranking of Tier II schools	cut and paste from application
Describe cut-off point(s) for Tier II schools	cut and paste from application
WAIVER Tier II New Eligible Schools?	yes or no
Tier III	
State has a different way of prioritizing Tier III schools?	yes or no
Schools in LEAs w/ Tier I & II schools?	yes or no
Tier III schools that are willing to adopt one of the models?	yes or no
Schools that feed into Tier I or II Schools?	yes or no
Other—describe other Tier III prioritization strategies?	short answer
WAIVER Tier III New Eligible Schools?	yes or no
States serving schools, by Tiers	
State will serve Tier I schools	yes, no, or other
State will serve Tier II schools	yes, no, if funding is available
State will serve Tier III schools	yes, no, if funding is available
Comments	short answer
Number of Tier I, II, and III schools	
Number of Tier I schools	number
Number of Tier II schools	number
Number of Tier III schools	number
Total number of schools	number
SIG Funding Priorities	
Funding distributed based on number of students?	yes or no
Funding distributed based on the year of implementation?	yes or no
Funding limits for particular models (if yes, explain in comments)?	yes or no
Other funding priorities?	short answer
Comments	short answer
Intervention Models Available	
Turnaround	yes or no
Transformation	yes or no
Restart (CMO)	yes or no
Close	yes or no
Comments	short answer
Model Modifications?	yes or no
Additional Models?	yes or no
Description of modifications and/or additional models	short answer

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Exhibit A–1. (continued)	
Baseline Data Report—State School Improvement Grant (SIG)	
Data Capture Elements (from Data Capture Workbook)	
Data Category	Coding Options
State Review of LEA Capacity and LEA Applications	
Components of Determining LEA Capacity (from the LEA Capacity Section of the Applications, and when included from the LEA Applications—often in appendices)	short answer
Evaluation of LEA Applications	short answer
Key Features of LEA application review process	short answer
Review Rigor (low, med, high)	pull-down menu
Timeline for LEA applications	
Announcement of SIG funding	date
LEA application due	date
LEA awards announced	date
Comments on aspects of the timeline for the LEA application to SEA	short answer
SEA Monitoring	
Metrics (in addition to SIG established indicators) [source: <i>indicators and renewal process</i>]	short answer
Reporting processes	short answer
Monitoring strategies	short answer
Comments about SEA monitoring	short answer
Process for Withholding Funds (annually)	short answer
State Reserve—Building Capacity	
Mechanisms for building LEA Capacity	short answer
Strategies for building LEA Capacity	short answer

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Appendix B.

**Exhibit B-1.
Characteristics of SIG-Eligible Schools, by State:
Number of SIG-Eligible Schools Overall and by Poverty Level, Minority Level,
and Urbanicity**

States	Number of SIG-Eligible Schools	Poverty Level			Minority Level			Urbanicity		
		Low (0 to <35%)	Medium (35 to <75%)	High (75 to 100%)	Low (0 to <25%)	Medium (25 to <75%)	High (75 to 100%)	Urban	Suburban	Rural
Total	15,277	1,341	6,397	7,262	2,406	4,231	8,586	6,848	5,363	3,026
Alabama	263	1	94	167	34	61	167	95	48	120
Alaska	139	30	41	66	10	38	89	26	16	96
Arizona	305	12	107	186	4	64	237	160	66	79
Arkansas	279	4	151	124	69	121	89	71	93	115
California	2,720	79	954	1,687	32	560	2,128	1,347	1,131	242
Colorado	280	45	112	118	36	106	137	125	108	47
Connecticut	234	34	102	98	29	76	129	128	98	8
D.C.	128	6	39	81	0	3	125	128	0	0
Delaware	28	0	21	7	0	19	9	9	19	0
Florida	829	1	304	524	32	251	546	296	453	80
Georgia	217	3	112	101	15	76	125	58	91	68
Idaho	165	12	137	16	86	75	4	32	59	74
Illinois	738	46	189	460	63	121	554	435	266	37
Indiana	290	12	134	144	124	78	88	146	99	45
Iowa	130	5	102	23	43	83	4	75	29	26
Kansas	49	0	8	41	2	22	25	38	8	3
Kentucky	108	1	74	33	60	42	6	28	43	37
Louisiana	320	1	31	284	2	66	248	149	105	62
Maine	54	9	42	3	48	6	0	8	11	35
Maryland	72	0	24	48	1	4	67	54	17	1
Massachusetts	676	228	215	201	260	202	182	208	397	42
Michigan	228	12	119	97	56	44	128	134	65	29
Minnesota	294	30	149	115	74	97	123	142	92	60
Mississippi	225	1	40	184	9	47	169	14	98	113
Missouri	459	93	247	119	193	97	169	167	170	122
Montana	130	26	61	43	62	25	43	15	44	71
Nebraska	52	12	27	13	25	18	9	14	9	29
Nevada	139	1	87	51	0	44	95	60	66	13
New Hampshire	158	94	61	3	145	13	0	16	74	68
New Jersey	206	0	79	127	1	22	183	87	114	5
New Mexico	32	1	10	21	0	6	26	5	9	18
New York	438	13	130	295	29	61	348	372	54	12
North Carolina	769	40	392	221	48	375	339	258	200	310
North Dakota	72	21	32	17	39	8	23	10	12	48
Ohio	786	129	323	334	252	234	300	460	231	95
Oklahoma	44	1	12	31	1	21	22	25	9	10

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Exhibit B–1. (continued)
Characteristics of SIG-Eligible Schools, by State:
Number of SIG-Eligible Schools Overall and by Poverty Level, Minority Level,
and Urbanicity

States	Number of SIG-Eligible Schools	Poverty Level			Minority Level			Urbanicity		
		Low (0 to <35%)	Medium (35 to <75%)	High (75 to 100%)	Low (0 to <25%)	Medium (25 to <75%)	High (75 to 100%)	Urban	Suburban	Rural
Total	15,277	1,341	6,397	7,262	2,406	4,231	8,586	6,848	5,363	3,026
Oregon	75	0	42	33	19	44	12	31	30	14
Pennsylvania	431	28	131	212	81	100	250	279	114	38
Rhode Island	43	1	10	32	3	7	33	29	13	1
South Carolina	28	0	7	21	0	4	24	7	9	12
South Dakota	61	5	21	33	12	17	30	15	5	40
Tennessee	118	1	60	53	22	38	58	78	18	22
Texas	1,644	220	901	523	135	510	999	740	446	458
Utah	60	6	23	31	5	35	20	25	28	7
Vermont	69	16	50	2	66	3	0	8	27	34
Virginia	65	4	45	16	7	25	33	22	16	27
Washington	480	35	276	167	110	238	130	151	216	111
West Virginia	33	0	28	5	30	3	0	5	13	15
Wisconsin	62	1	12	49	2	5	55	59	2	1
Wyoming	52	21	29	2	30	16	6	4	22	26

Source: 2008–09 *Common Core of Data*; approved state SIG applications.

Notes: The number of SIG-eligible schools included in this exhibit was 15,277 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). Due to missing data in CCD, the number of schools across school characteristic categories may not sum to the total number of SIG-eligible schools.

**Exhibit B-2.
Characteristics of SIG-Eligible Schools, by State:
Number of SIG-Eligible Schools by School Level and School Size**

States	School Level				School Size			
	Elementary	Middle	High	Other	200 students or less	201 to 400 students	401 to 600 students	601 students or greater
Total	8,418	3,067	2,916	836	1,843	3,619	4,340	5,421
Alabama	93	81	54	35	24	109	79	50
Alaska	33	3	12	90	82	38	17	0
Arizona	129	80	80	16	67	40	50	148
Arkansas	148	74	55	2	27	98	86	68
California	1,643	611	380	86	161	356	733	1,470
Colorado	145	32	67	36	80	72	84	43
Connecticut	176	36	18	4	8	72	98	56
D.C.	83	18	20	7	22	70	22	14
Delaware	7	8	11	2	3	5	5	15
Florida	583	144	62	40	59	91	235	444
Georgia	23	73	103	18	8	29	36	143
Idaho	107	40	13	5	33	48	52	32
Illinois	465	91	173	9	29	147	207	355
Indiana	232	23	21	14	17	99	106	68
Iowa	88	29	10	3	11	55	40	24
Kansas	19	13	15	2	9	18	10	12
Kentucky	20	53	32	3	2	14	41	51
Louisiana	164	66	72	14	23	119	103	71
Maine	19	16	16	3	6	32	12	4
Maryland	50	16	4	2	4	25	26	17
Massachusetts	453	114	54	26	120	168	209	147
Michigan	53	19	139	17	68	53	41	66
Minnesota	204	27	53	10	56	105	81	52
Mississippi	60	59	96	10	12	72	73	68
Missouri	346	71	31	11	57	208	136	58
Montana	54	43	33	0	45	54	18	13
Nebraska	18	6	28	0	22	12	9	9
Nevada	94	32	7	6	4	5	26	104
New Hampshire	103	37	18	0	29	53	57	19
New Jersey	124	53	24	5	9	49	73	75
New Mexico	10	6	15	1	11	9	2	10
New York	181	108	126	23	12	72	143	211
North Carolina	467	132	116	53	76	193	256	237
North Dakota	44	11	15	0	40	15	11	4
Ohio	496	126	103	61	109	267	275	135
Oklahoma	12	16	16	0	7	14	11	12
Oregon	35	21	15	4	7	32	21	15
Pennsylvania	210	82	111	28	16	95	132	188
Rhode Island	22	5	14	2	2	15	14	12
South Carolina	3	11	11	3	7	6	8	7
South Dakota	35	14	10	1	29	16	11	3

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Exhibit B–2. (continued)
Characteristics of SIG-Eligible Schools, by State:
Number of SIG-Eligible Schools by School Level and School Size

States	School Level				School Size			
	Elementary	Middle	High	Other	200 students or less	201 to 400 students	401 to 600 students	601 students or greater
Total	8,418	3,067	2,916	836	1,844	3,618	4,341	5,420
Tennessee	38	25	48	7	4	17	32	65
Texas	607	393	505	139	343	301	359	641
Utah	40	4	14	2	8	8	19	25
Vermont	48	11	9	1	8	42	8	11
Virginia	39	12	12	2	4	17	24	20
Washington	324	94	32	28	35	125	215	103
West Virginia	19	11	1	2	0	15	14	4
Wisconsin	29	7	24	2	6	21	16	19
Wyoming	23	10	18	1	22	23	4	3

Source: 2008–09 *Common Core of Data*; approved state SIG applications.

Notes: The number of SIG-eligible schools included in this exhibit was 15,277 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). Due to missing data in CCD, the number of schools across school characteristic categories may not sum to the total number of SIG-eligible schools.

**Exhibit B-3.
Characteristics of SIG-Eligible Schools, by State:
Number of SIG-Eligible Schools by School Type and Charter School**

States	School Type				Charter School
	Regular	Special Education	Vocational	Alternative/Other	
Total	14,301	127	47	762	957
Alabama	256	5	0	2	0
Alaska	113	2	0	23	2
Arizona	296	1	2	6	62
Arkansas	279	0	0	0	1
California	2,536	7	1	176	103
Colorado	212	7	4	57	32
Connecticut	229	1	3	1	8
D.C.	124	3	0	1	41
Delaware	23	2	2	1	3
Florida	794	13	1	21	46
Georgia	211	6	0	0	0
Idaho	157	0	0	8	3
Illinois	738	0	0	0	14
Indiana	281	1	0	8	23
Iowa	129	0	0	1	2
Kansas	48	0	0	1	1
Kentucky	108	0	0	0	0
Louisiana	280	0	0	36	34
Maine	54	0	0	0	0
Maryland	70	0	0	2	6
Massachusetts	612	16	5	14	21
Michigan	147	13	1	67	26
Minnesota	282	0	0	12	53
Mississippi	225	0	0	0	0
Missouri	451	4	0	4	21
Montana	130	0	0	0	0
Nebraska	52	0	0	0	0
Nevada	139	0	0	0	1
New Hampshire	158	0	0	0	0
New Jersey	202	0	3	1	14
New Mexico	30	0	0	2	1
New York	420	0	14	4	1
North Carolina	723	13	0	32	24
North Dakota	70	0	0	0	0
Ohio	763	21	0	2	164
Oklahoma	43	0	0	1	1
Oregon	69	0	0	6	6
Pennsylvania	421	2	8	0	40
Rhode Island	37	1	1	4	1
South Carolina	28	0	0	0	4
South Dakota	59	0	0	1	0
Tennessee	113	2	2	1	0

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Exhibit B–3. (continued)
Characteristics of SIG-Eligible Schools, by State:
Number of SIG-Eligible Schools by School Type and Charter School

States	School Type				Charter School
	Regular	Special Education	Vocational	Alternative/Other	
Total	14,301	127	47	762	957
Texas	1,403	6	0	235	178
Utah	56	0	0	4	3
Vermont	69	0	0	0	0
Virginia	62	0	0	3	0
Washington	463	1	0	14	0
West Virginia	33	0	0	0	0
Wisconsin	61	0	0	1	15
Wyoming	42	0	0	10	2

Source: 2008–09 *Common Core of Data*; approved state SIG applications.

Notes: The number of SIG-eligible schools included in this exhibit was 15,277 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). Due to missing data in CCD, the number of schools across school characteristic categories may not sum to the total number of SIG-eligible schools.

Appendix C.

Exhibit C-1. Characteristics of SIG-Awarded Schools, by State: Number of SIG-Awarded Schools Overall and by Tier, Poverty Level, and Minority Level										
States	Number of SIG-Awarded Schools	Tier			Poverty Level			Minority Level		
		Tier I	Tier II	Tier III	Low (0 to <35%)	Medium (35 to <75%)	High (75 to 100%)	Low (0 to <25%)	Medium (25 to <75%)	High (75 to 100%)
Total	1,228	514	312	402	76	533	607	224	264	736
Alabama	11	9	2	0	0	1	10	0	1	10
Alaska	7	7	0	0	0	2	5	1	1	5
Arizona	19	14	5	0	1	4	14	1	4	14
Arkansas	7	5	2	0	0	2	5	0	0	7
California	92	67	25	0	0	21	71	0	3	89
Colorado	19	10	9	0	0	6	13	0	6	13
Connecticut	14	10	4	0	0	2	12	0	1	13
D.C.	10	10	0	0	0	3	7	0	0	10
Delaware	2	0	2	0	0	2	0	0	2	0
Florida	77	52	19	6	1	38	38	3	22	52
Georgia	26	21	5	0	0	8	18	3	7	16
Idaho	6	3	3	0	0	5	1	1	4	1
Illinois	10	4	6	0	0	6	4	0	1	9
Indiana	7	4	3	0	0	1	6	0	3	4
Iowa	6	6	0	0	0	4	2	0	6	0
Kansas	6	4	2	0	0	2	4	1	1	4
Kentucky	105	5	5	95	1	71	33	57	42	6
Louisiana	32	1	1	30	0	3	25	0	7	21
Maine	6	3	3	0	1	4	1	4	2	0
Maryland	11	5	6	0	0	6	5	0	0	11
Massachusetts	12	12	0	0	0	2	10	0	0	12
Michigan	28	3	25	0	2	11	15	4	9	15
Minnesota	19	11	8	0	0	8	11	4	2	13
Mississippi	8	2	6	0	0	0	8	0	0	8
Missouri	32	14	18	0	11	6	15	0	1	31
Montana	6	6	0	0	0	0	6	0	0	6
Nebraska	7	7	0	0	0	2	5	1	2	4
Nevada	10	6	4	0	0	5	5	0	4	6
New Hampshire	7	5	2	0	2	5	0	5	2	0
New Jersey	12	4	8	0	0	7	5	0	0	12
New Mexico	9	9	0	0	0	3	6	0	0	9
New York	25	22	3	0	0	13	12	0	2	23
North Carolina	24	6	18	0	4	10	7	1	11	12
North Dakota	38	1	0	37	12	17	9	24	5	9
Ohio	41	25	10	6	7	21	13	4	9	28

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Exhibit C–1. (continued)
Characteristics of SIG-Awarded Schools, by State:
Number of SIG-Awarded Schools Overall and by Tier, Poverty Level, and Minority Level

States	Number of SIG-Awarded Schools	Tier			Poverty Level			Minority Level		
		Tier I	Tier II	Tier III	Low (0 to <35%)	Medium (35 to <75%)	High (75 to 100%)	Low (0 to <25%)	Medium (25 to <75%)	High (75 to 100%)
Total	1,228	514	312	402	76	533	607	224	264	736
Oklahoma	10	10	0	0	0	0	10	0	3	7
Oregon	12	5	7	0	0	8	4	3	7	2
Pennsylvania	58	32	26	0	1	14	39	2	12	44
Rhode Island	6	6	0	0	0	1	5	0	0	6
South Carolina	19	9	10	0	0	4	15	0	1	18
South Dakota	18	1	1	16	1	11	6	3	11	4
Tennessee	72	10	2	60	1	50	21	16	21	35
Texas	66	30	18	18	9	25	32	1	10	55
Utah	7	5	2	0	1	0	6	0	1	6
Vermont	66	5	5	56	15	48	2	63	3	0
Virginia	58	11	7	40	4	38	16	6	23	29
Washington	18	8	10	0	1	9	8	0	6	12
West Virginia	15	4	11	0	0	13	2	13	2	0
Wisconsin	46	5	6	35	0	6	40	0	1	45
Wyoming	6	0	3	3	1	5	0	3	3	0

Source: 2008–09 *Common Core of Data*; SEA Web sites.

Notes: The number of SIG-awarded schools included in this exhibit was 1,228 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). Due to missing data in CCD, the number of schools across school characteristic categories may not sum to the total number of SIG-awarded schools.

Exhibit C-2.											
Characteristics of SIG-Awarded Schools, by State:											
Number of SIG-Awarded Schools by Urbanicity, School Level, and School Size											
States	Urbanicity			School Level				School Size			
	Urban	Suburban	Rural	Elementary	Middle	High	Other	200 students or less	201 to 400 students	401 to 600 students	601 students or greater
Total	641	297	284	394	271	495	64	155	292	283	494
Alabama	5	0	6	1	7	1	2	1	6	3	1
Alaska	0	1	6	0	0	1	6	4	3	0	0
Arizona	8	2	7	5	1	11	2	10	4	3	2
Arkansas	5	0	2	1	3	3	0	2	2	0	3
California	53	29	10	44	22	25	1	2	17	22	51
Colorado	15	3	1	7	7	5	0	1	6	6	6
Connecticut	12	2	0	9	0	5	0	2	1	6	5
D.C.	10	0	0	4	0	5	1	3	2	3	2
Delaware	0	2	0	0	0	2	0	0	0	0	2
Florida	29	33	15	19	12	42	4	0	5	18	54
Georgia	11	8	7	0	0	24	2	2	3	1	20
Idaho	0	1	5	2	4	0	0	3	2	0	1
Illinois	5	3	2	0	0	10	0	2	0	0	8
Indiana	6	1	0	1	2	3	1	1	3	0	3
Iowa	5	0	1	2	3	1	0	1	1	1	3
Kansas	4	1	1	1	3	2	0	0	4	0	2
Kentucky	28	42	35	20	51	31	3	2	14	41	48
Louisiana	17	2	9	18	4	3	3	4	14	6	4
Maine	2	1	3	2	0	4	0	0	4	1	1
Maryland	7	4	0	2	8	1	0	0	2	5	4
Massachusetts	11	1	0	7	3	2	0	0	5	2	5
Michigan	17	6	5	4	7	16	1	1	6	7	14
Minnesota	9	2	8	6	1	12	0	4	10	1	4
Mississippi	1	7	0	1	1	6	0	0	1	4	3
Missouri	21	11	0	8	13	10	1	3	15	4	10
Montana	0	0	3	1	1	4	0	6	0	0	0
Nebraska	1	0	6	5	0	2	0	5	1	1	0
Nevada	9	0	1	5	4	1	0	0	1	3	6
New Hampshire	3	2	2	2	3	2	0	3	2	1	1
New Jersey	8	3	1	3	1	7	1	0	3	3	6
New Mexico	1	3	5	3	2	3	1	2	3	2	2
New York	23	2	0	4	1	19	1	1	0	5	19
North Carolina	9	7	8	2	2	14	6	13	2	2	7
North Dakota	7	12	19	25	8	5	0	16	10	9	3
Ohio	33	6	2	15	4	17	5	5	15	9	12
Oklahoma	9	0	1	2	3	5	0	0	4	1	5
Oregon	7	4	1	1	0	9	2	3	3	3	3
Pennsylvania	47	10	1	15	9	33	1	2	8	14	34
Rhode Island	5	1	0	2	1	3	0	0	3	1	2
South Carolina	5	6	8	2	9	6	2	2	5	8	4

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Exhibit C–2. (continued)
Characteristics of SIG-Awarded Schools, by State:
Number of SIG-Awarded Schools by Urbanicity, School Level, and School Size

States	Urbanicity			School Level				School Size			
	Urban	Suburban	Rural	Elementary	Middle	High	Other	200 students or less	201 to 400 students	401 to 600 students	601 students or greater
Total	641	297	284	394	271	495	64	155	292	283	494
South Dakota	13	1	4	15	1	2	0	3	6	7	2
Tennessee	47	9	16	1	22	46	3	0	7	16	49
Texas	43	12	11	6	3	49	8	26	5	8	27
Utah	4	3	0	4	2	1	0	1	0	1	5
Vermont	8	25	33	45	11	9	1	8	40	7	11
Virginia	17	16	25	37	12	7	2	4	14	24	16
Washington	10	7	1	5	10	2	1	1	4	6	7
West Virginia	2	6	7	6	6	1	2	0	7	6	2
Wisconsin	46	0	0	21	4	20	1	4	15	12	15
Wyoming	3	0	3	3	0	3	0	2	4	0	0

Source: 2008–09 *Common Core of Data*; SEA Web sites.

Notes: The number of SIG-awarded schools included in this exhibit was 1,228 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). Due to missing data in CCD, the number of schools across school characteristic categories may not sum to the total number of SIG-awarded schools.

Exhibit C-3.					
Characteristics of SIG-Awarded Schools, by State:					
Number of SIG-Awarded Schools by School Type and Charter School					
States	School Type				Charter School
	Regular	Special Education	Vocational	Alternative/Other	
Total	1,130	11	9	74	67
Alabama	10	0	0	1	0
Alaska	5	0	0	2	0
Arizona	17	0	0	2	6
Arkansas	7	0	0	0	0
California	90	0	0	2	3
Colorado	18	0	0	1	2
Connecticut	14	0	0	0	1
D.C.	7	2	0	1	1
Delaware	2	0	0	0	0
Florida	77	0	0	0	0
Georgia	24	2	0	0	0
Idaho	6	0	0	0	0
Illinois	10	0	0	0	0
Indiana	7	0	0	0	2
Iowa	6	0	0	0	0
Kansas	6	0	0	0	0
Kentucky	105	0	0	0	0
Louisiana	19	0	0	9	9
Maine	6	0	0	0	0
Maryland	10	0	0	1	0
Massachusetts	11	1	0	0	0
Michigan	25	2	0	1	1
Minnesota	19	0	0	0	1
Mississippi	8	0	0	0	0
Missouri	32	0	0	0	5
Montana	6	0	0	0	0
Nebraska	7	0	0	0	0
Nevada	10	0	0	0	0
New Hampshire	7	0	0	0	0
New Jersey	10	0	2	0	0
New Mexico	9	0	0	0	1
New York	21	0	4	0	0
North Carolina	13	1	0	10	0
North Dakota	38	0	0	0	0
Ohio	38	2	0	1	2
Oklahoma	10	0	0	0	0
Oregon	8	0	0	4	2
Pennsylvania	56	1	1	0	3
Rhode Island	5	0	0	1	0
South Carolina	19	0	0	0	0
South Dakota	18	0	0	0	0
Tennessee	70	0	2	0	0

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Exhibit C-3. (continued)
Characteristics of SIG-Awarded Schools, by State:
Number of SIG-Awarded Schools by School Type and Charter School

States	School Type				Charter School
	Regular	Special Education	Vocational	Alternative/Other	
Total	1,130	11	9	74	67
Texas	35	0	0	31	20
Utah	7	0	0	0	0
Vermont	66	0	0	0	0
Virginia	55	0	0	3	0
Washington	17	0	0	1	0
West Virginia	15	0	0	0	0
Wisconsin	45	0	0	1	8
Wyoming	4	0	0	2	0

Source: 2008–09 *Common Core of Data*; SEA Web sites.

Notes: The number of SIG-awarded schools included in this exhibit was 1,228 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). Due to missing data in CCD, the number of schools across school characteristic categories may not sum to the total number of SIG-awarded schools.

**Exhibit C-4.
Characteristics of SIG-Awarded Schools, by State:
Number of SIG-Awarded Schools by Intervention Model**

States	Intervention Model				Tier III School Improvement Strategies
	Turnaround	Restart	School Closure	Transformation	
Total	168	33	16	603	402
Alabama	0	0	0	11	0
Alaska	0	1	0	6	0
Arizona	7	0	0	12	0
Arkansas	0	0	0	7	0
California	29	5	2	56	0
Colorado	6	1	3	9	0
Connecticut	6	1	0	7	0
D.C.	4	3	0	3	0
Delaware	0	0	0	2	0
Florida	17	0	0	54	6
Georgia	2	0	0	24	0
Idaho	0	0	0	6	0
Illinois	4	1	0	5	0
Indiana	3	0	0	4	0
Iowa	0	0	0	6	0
Kansas	1	0	0	5	0
Kentucky	6	0	0	4	95
Louisiana	0	0	0	2	30
Maine	1	0	0	5	0
Maryland	6	5	0	0	0
Massachusetts	5	0	0	7	0
Michigan	9	0	0	19	0
Minnesota	3	0	0	16	0
Mississippi	0	0	0	8	0
Missouri	14	0	1	17	0
Montana	0	0	0	6	0
Nebraska	0	0	0	7	0
Nevada	3	0	0	7	0
New Hampshire	0	0	0	7	0
New Jersey	3	1	0	8	0
New Mexico	1	0	0	8	0
New York	5	0	0	20	0
North Carolina	6	1	0	17	0
North Dakota	0	0	0	1	37
Ohio	8	0	0	27	6
Oklahoma	1	0	0	9	0
Oregon	0	0	0	12	0
Pennsylvania	6	7	2	43	0
Rhode Island	0	0	0	0	0
South Carolina	0	0	1	18	0
South Dakota	1	0	0	1	16

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Exhibit C-4. (continued)
Characteristics of SIG-Awarded Schools, by State:
Number of SIG-Awarded Schools by Intervention Model

States	Intervention Model				
	Turnaround	Restart	School Closure	Transformation	Tier III School Improvement Strategies
Total	168	33	16	603	402
Tennessee	6	0	0	6	60
Texas	2	0	0	46	18
Utah	0	0	0	7	0
Vermont	0	0	0	10	56
Virginia	0	5	2	11	40
Washington	3	0	1	14	0
West Virginia	0	0	0	15	0
Wisconsin	0	2	4	5	35
Wyoming	0	0	0	3	3

Source: SEA Web sites.

Notes: The number of SIG-awarded schools included in this exhibit was 1,222 schools in 49 states and D.C. (As of March 21, 2011, SIG award information was unavailable for HI). Information on intervention models was not available for all six SIG-awarded schools in RI.