

# School Improvement Grants: Analyses of State Applications and Eligible and Awarded Schools

# School Improvement Grants: Analyses of State Applications and Eligible and Awarded Schools

October 2012

**Steven Hurlburt**  
**Susan Bowles Therriault**  
**Kerstin Carlson Le Floch**  
American Institutes for Research

**Thomas E. Wei**  
*Project Officer*  
Institute of Education Sciences

**U.S. Department of Education**

Arne Duncan  
*Secretary*

**Institute of Education Sciences**

John Q. Easton  
*Director*

**National Center for Education Evaluation and Regional Assistance**

Ruth Curran Neild  
*Commissioner*

**October 2012**

This report was prepared for the Institute of Education Sciences under Contract ED-04-CO-0025/0022. The project officer is Thomas E. Wei in the National Center for Education Evaluation and Regional Assistance.

This report is in the public domain. Authorization to reproduce it in whole or in part is granted. While permission to reprint this publication is not necessary, the citation should be:

Hurlburt, S., Therriault, S.B., and Le Floch, K.C. (2012). *School Improvement Grants: Analyses of State Applications and Eligible and Awarded Schools* (NCEE 2012-4060). Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education.

**To order copies of this report,**

- Write to ED Pubs, Education Publications Center, U.S. Department of Education, P.O. Box 22207, Alexandria, VA 22304.
- Call in your request toll free to 1-877-4ED-Pubs (1-877-433-7827). Those who use a telecommunications device for the deaf (TDD) or a teletypewriter (TTY) should call 1-877-576-7734. If 877 service is not yet available in your area, call 1-800-USA-LEARN (1-800-872-5327).
- Fax your request to 703-605-6794.
- Order online at [www.edpubs.gov](http://www.edpubs.gov).

This report also is available on the IES website at <http://ies.ed.gov/ncee>.

Upon request, this report is available in alternate formats such as Braille, large print, or computer diskette. For more information, please contact the Department's Alternate Format Center at 202-260-0852 or 202-260-0818.

## Acknowledgments

We wish to thank the many individuals who contributed to the completion of this report. Researchers who provided useful assistance for this report include Molly Abend, Brian Lundgren, Jennifer Scala, and Jayne Sowers of AIR. The authors also appreciate the helpful feedback and guidance from the study's principal investigators, Jennifer O'Day and Beatrice Birman, as well as thoughtful reviewer comments from Mike Garet, all of AIR.

We are also grateful to staff at the Office of Elementary and Secondary Education at the U.S. Department of Education, who provided the initial data on schools eligible for School Improvement Grants (SIG). We also appreciate the efforts of state administrators with responsibility for SIG who provided data on SIG awards and reviewed our data files to ensure accuracy and completeness.

While we appreciate the assistance and support of all of the above individuals, any errors in judgment or fact are, of course, the responsibility of the authors.

## Disclosure of Potential Conflicts of Interest

The research team for this study consists of a prime contractor, American Institutes for Research, 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 *School Improvement Grants: Analyses of State Applications and Eligible and Awarded Schools*, as part of the Study of School Turnaround.

# Contents

1. Introduction.....	1
2. Policy Overview .....	2
3. State Applications for SIG.....	5
3.1. Summary of State SIG Applications to ED.....	6
3.2. Identifying SIG Schools .....	8
3.3. Determining Funding and Capacity .....	9
3.4. State Role in SIG Implementation.....	11
4. Schools Eligible for and Awarded SIG .....	17
4.1. Data Sources .....	18
4.2. Overview of Eligible and Awarded SIG Schools .....	18
4.3. Characteristics of Eligible and Awarded SIG Schools.....	26
4.4. SIG Funding to Schools .....	29
5. Summary.....	35
References .....	36
Appendix A.....	A-1
Appendix B.....	B-1
Appendix C.....	C-1

## List of Exhibits

Exhibit 1. Annual Federal Appropriations for SIG .....	3
Exhibit 2. Overview of Modifications in State SIG Policies Proposed in Cohort II State SIG Applications .....	7
Exhibit 3. States That Adopted Specific Priority Criteria for Funding Tier I and Tier II Schools in Cohort II.....	9
Exhibit 4. Number of States that Planned to Use Specific Criteria to Determine District Capacity for Cohorts I and II .....	11
Exhibit 5. Number of States That Planned to Adopt Specific Supports for Cohorts I and II .....	13
Exhibit 6. Number of States That Planned to Adopt Specific Indicators to Monitor Implementation for Cohorts I and II.....	15
Exhibit 7. Number of SIG-Eligible and SIG-Awarded Schools in Cohorts I and II .....	19
Exhibit 8. Number of Cohort I and II SIG-Eligible Schools .....	20
Exhibit 9. Number of Cohort I and II SIG-Awarded Schools.....	21
Exhibit 10. Number and Percentage of SIG-Awarded Schools in Tier I, II, and III.....	22
Exhibit 11. Number and Percentage of SIG-Awarded Schools Implementing Selected Intervention Models.....	23
Exhibit 12. SIG Application and Award Rates for Cohort II .....	25
Exhibit 13. Characteristics of the Universe of Schools, SIG-Eligible Schools, and SIG-Awarded Schools ...	26
Exhibit 14. Number and Percentage of SIG-Awarded Schools that are Rural in Cohorts I and II .....	28
Exhibit 15. Cohort II Total SIG Award and Annual Per-Pupil Award, by Selected Characteristics .....	30
Exhibit 16. Average Total Award and Annual Per-Pupil Award for Tier I and Tier II SIG Schools in Cohort II.....	31
Exhibit 17. Size of SIG Award as a Percentage of Overall Annual Per-Pupil Spending for Tier I and Tier II Awarded Schools in Cohort II .....	34
Exhibit A-1. Cohort II State SIG Application Data Capture Elements (From Data Capture Workbook) .....	A-3
Exhibit B-1. Number and Percentage of SIG-Eligible Schools Overall and by Tier .....	B-1
Exhibit B-2. Number of SIG-Eligible Schools by Poverty Level, Minority Level, and Urbanicity .....	B-3
Exhibit B-3. Number of SIG-Eligible Schools by School Level and School Size .....	B-5
Exhibit B-4. Number of SIG-Eligible Schools by School Type and for Charter Schools .....	B-7

Exhibit C-1. Number of SIG-Awarded Schools Overall and by Tier, Poverty Level, and Minority Level .... C-1

Exhibit C-2. Number of SIG-Awarded Schools by Urbanicity, School Level, and School Size ..... C-3

Exhibit C-3. Number of SIG-Awarded Schools by School Type and for Charter Schools ..... C-5

Exhibit C-4. Number of SIG-Awarded Schools by Intervention Model ..... C-7

# 1. Introduction

The School Improvement Grants (SIG) program was first authorized in 2001 under Title I section 1003(g) of the Elementary and Secondary Education Act (ESEA) and provides formula-based federal funds to states that then competitively award these funds to districts applying for SIG on behalf of their low-performing schools. These schools use the funds to implement reforms to turn themselves around. SIG funding was substantially increased and SIG requirements were substantially modified with the passage of the American Recovery and Reinvestment Act of 2009 (ARRA). These modifications were designed to better target SIG to the nation’s lowest-achieving schools and to ensure that more aggressive improvement strategies are adopted for such schools than had been previously adopted. Thus far, since the passage of ARRA, two cohorts of schools have received SIG. Cohort I grantees include schools that received SIG during the fiscal year 2009 competition cycle to implement reforms beginning in the 2010–11 school year. Cohort II grantees include schools that received SIG during the fiscal year 2010 competition cycle to implement reforms beginning in the 2011–12 school year. Both cohorts were funded through ESEA. In addition, Cohort I funding was supplemented by ARRA.

This report focuses on two key questions:

1. Based on states’ Cohort II SIG applications to the U.S. Department of Education, what SIG-related policies and practices did states intend to implement, and how do they compare to the policies and practices in states’ Cohort I SIG applications? (States were required to submit an application to obtain a formula-based share of federal SIG funds that they then awarded competitively to districts applying for SIG on behalf of their eligible schools.)
2. What are the characteristics of the persistently lowest-achieving schools identified by states as eligible for SIG and of the schools awarded SIG funds in Cohort II, and how do they compare to schools in Cohort I?

The remainder of the report is divided into four sections. Section 2 provides an overview of SIG. Section 3 addresses the first key question based on information contained in state SIG applications submitted to and approved by the U.S. Department of Education (ED). The analysis focuses on how states identified SIG-eligible schools, how states determined whether districts had the capacity to support SIG implementation in their schools, and how states reported monitoring and supporting SIG implementation. Section 4 addresses the second key question through a descriptive analysis of extant data on the characteristics of SIG-eligible schools identified by states, as well as the characteristics of SIG-awarded schools. Section 5 summarizes the report’s key findings.

## 2. Policy Overview

The SIG program aims to catalyze school turnaround in the nation's persistently lowest-achieving schools. With the passage of ARRA, the SIG program underwent three major shifts. First, ARRA boosted total SIG funding in fiscal year 2009 to about six-and-a-half times what was originally appropriated in that year through ESEA Title I section 1003(g) funds. These funds were to be distributed to states by formula based on each state's Title I share. States were then to distribute these federal SIG funds to districts with eligible schools through a competitive application process. Second, ARRA targeted funds to a smaller segment of low-performing schools: those schools that were in the bottom 5 percent of performance and had been low performing for an extended period of time. Third, there was a prescribed set of four intervention models that could be selected for schools receiving SIG. For the most part, these schools were required to implement one of the prescribed models, believed to be more aggressive and comprehensive than those generally adopted under prior policies. The subsections below provide additional details on the major SIG provisions with regard to funding, targeting, and improvement models. With few exceptions, these requirements remained unchanged from Cohort I to Cohort II.

**Funding.** Each state's allotment of SIG funds was determined by a formula based on their Title I allocation. States then awarded these funds competitively to districts that chose to apply on behalf of some or all of their SIG-eligible schools. According to ED guidelines, states may award districts up to \$6 million over three years for each of their eligible schools.<sup>1</sup> States awarded SIG funds for schools that met eligibility and prioritization criteria established by federal SIG guidelines and in accordance with state determinations of district capacity and commitment to support school turnaround.

Although Title I section 1003(g) has previously awarded funds to support improvement efforts in schools that were identified for improvement under ESEA, funding levels prior to ARRA were substantially lower. For instance, ED appropriated \$491,265 in fiscal year 2008, whereas in fiscal year 2009 they appropriated more than \$3.5 billion to states to be used over a three-year implementation period by Cohort I schools (2010–11 to 2012–13 school years). In fiscal years 2010, 2011, and 2012, a total of \$1.6 billion were appropriated to fund a second round of SIG schools (Cohort II).<sup>2</sup> Because of the smaller appropriations in each year, fiscal year 2010 funds were intended to support the first implementation year for Cohort II schools (2011–12 school year), while fiscal year 2011 and 2012 funds were to serve as continuation funds for the second and third implementation years for Cohort II SIG schools (2012–13 and 2013–14 school years). These annual appropriations for SIG are summarized in Exhibit 1.

---

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

<sup>2</sup> States were also allowed to use fiscal year 2009 carryover funds not obligated to schools during the Cohort I SIG competition cycle to award new three-year grants in the Cohort II SIG competition cycle.

<b>Exhibit 1.</b>		
<b>Annual Federal Appropriations for SIG</b>		
Fiscal Year	Amount	What the Funds Pay For
2007	\$125,000,000	Pre-ARRA grantees
2008	\$491,265	Pre-ARRA grantees
2009	\$3,546,000,000*	Cohort I grantees: <i>Years 1,2,3 of implementation (2010–11 to 2012–13)</i>
2010	\$546,000,000	Cohort II grantees: <i>Year 1 of implementation (2011–12)</i>
2011	\$535,000,000	<i>Year 2 of implementation (2012–13)</i>
2012	\$535,000,000	<i>Year 3 of implementation (2013–14)</i>
<p><b>Source:</b> U.S. Department of Education School Improvement Grants Web site:  <a href="http://www2.ed.gov/programs/sif/funding.html">http://www2.ed.gov/programs/sif/funding.html</a>.</p> <p><b>Notes:</b> Each grantee school typically receives an award to implement reforms for three years. States with fiscal year 2009 carryover funds (i.e., unused funds from their Cohort I competition) were allowed to use these funds to make similar three-year awards in their Cohort II competition. Thus, Cohort II grantees also include schools awarded SIG through carryover funds from fiscal year 2009.</p> <p>*Includes the regular appropriation of \$546 million from Title I section 1003(g), as well as \$3 billion from ARRA.</p>		

**Targeting.** SIG is targeted at the persistently lowest-achieving schools in each state. According to the final rules issued by ED for Cohorts I and II, persistently lowest-achieving schools are defined as schools that are among the lowest-performing 5 percent or five schools, whichever number is greater, in terms of overall academic performance for all students *and* schools that exhibit a lack of progress toward achievement goals. Persistently lowest-achieving schools are categorized in one of three SIG eligibility tiers. ED rules require states to prioritize the award of SIG to Tier I, then Tier II, and finally Tier III schools. Schools that do not fall in one of these three tiers are ineligible for SIG.

- **Tier I** includes any Title I school in improvement, corrective action, or restructuring that (1) is among the lowest-achieving 5 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<sup>3</sup> elementary schools that (1) are not higher achieving than any Title I school in Tier I; and (2) have not made adequate yearly progress (AYP) for at least two consecutive years or are in the state’s lowest quintile based on proficiency rates.
- **Tier II** includes any secondary school that is eligible for but does not receive Title I, Part A funds and (1) is among the lowest-achieving 5 percent of such secondary schools in the state; or (2) has had a graduation rate below 60 percent for a number of years. States also may 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 have had a graduation rate of less than 60 percent over a number of years; and (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** 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 Title I eligible schools that (1) do not meet the requirements to be in Tier I or Tier II; and (2) have not made

<sup>3</sup> Title I eligible schools refer to those schools that do not receive Title I funds but may meet the criteria for obtaining the funds.

AYP for at least two consecutive years, or are in the state's lowest quintile based on proficiency rates.

**Improvement Models.** According to the final rules issued by ED for Cohorts I and II, one of four improvement models must be specified for implementation in each Tier I and Tier II school identified in a district's SIG application to their state for funding:

1. **Restart model:** Reopen the school under the management of a charter school operator, a charter management organization, or an education management organization.
2. **School closure:** Close the school and reassign students to higher-achieving schools.
3. **Transformation model:** Replace the principal, develop a teacher- and leader-evaluation system that takes student progress into account, introduce significant instructional reforms, increase learning time, and provide flexibility and support.
4. **Turnaround model:** Replace the principal and no less than 50 percent of the staff, 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 and the State Fiscal Stabilization Funds—Phase 2. The requirement to implement one of these four models applies only to SIG-awarded Tier I and Tier II schools.

**Changes from Cohort I to Cohort II in ED Guidance to States.** Much of the SIG guidance, as summarized above, is the same for Cohort I and Cohort II, with the exception of the following new provisions for Cohort II:

- For Cohort II, states had the option to revise their Cohort I definition of persistently lowest-achieving schools (for example, what data and how many years of the data are used to identify their persistently lowest-achieving schools).
- For Cohort II, states had the option to reuse their Cohort I SIG-eligibility list of Tier I, Tier II, and Tier III schools. However, states were required to submit a new list in Cohort II if: (1) the state had fewer than five Tier I or five Tier II schools that had not been awarded Cohort I SIG funds; or (2) the state had revised its definition of persistently lowest-achieving schools; and
- Unlike Cohort I districts and schools, those in Cohort II were permitted to use a portion of their first-year SIG funds for pre-implementation activities such as engaging families and communities, recruiting and hiring staff, providing staff with training and professional development, and offering remediation and enrichment opportunities to students (U.S. Department of Education, 2011).

### 3. State Applications for SIG

As of March 30, 2012, ED had received and approved SIG applications from 45 states and the District of Columbia for the Cohort II competition cycle.<sup>4</sup> States were required to complete these applications to ED to receive their formula-based share of federal SIG funds, which they then disbursed on a competitive basis to districts that applied for SIG on behalf of some or all of their eligible schools. Each state was required to describe in its application how it planned to administer SIG. This included describing how states would identify eligible schools and prioritize funding, how states would evaluate district applications for SIG on behalf of their schools, and how states would support SIG recipients after award. Analyses of the Cohort II state applications to ED and analogous results from Cohort I's state applications<sup>5</sup> are presented in this section to address the report's first key question and the following related questions:

- How were the persistently lowest-achieving schools identified by states in Cohort II compared to Cohort I?
- How did states prioritize the award of funds to Tier I, Tier II, and Tier III schools in Cohort II compared to Cohort I?
- How did states determine whether a district had the capacity to support a SIG school in Cohort II compared to Cohort I?
- How have states planned to monitor and support SIG implementation in Cohort II (through the use of the 5 percent reserve) compared to Cohort I?

#### Key Findings

- **Identifying SIG schools.** Based on data from 45 states and the District of Columbia, 39 states and the District of Columbia developed new lists of SIG-eligible schools in Cohort II. Of these, 25 states and the District of Columbia were required to do so either because they had fewer than 5 unfunded Tier I and II schools remaining on their Cohort I list (12 states and the District of Columbia), or because they changed how they defined persistently lowest-achieving schools (13 states).
- **Determining district capacity.** For Cohort II, 25 states modified their Cohort I methods for determining district capacity; 22 of these states added new criteria to their Cohort I criteria.
- **State support for SIG implementation.** For Cohort II, 42 states and the District of Columbia appeared to make revisions to their Cohort I plans for supporting SIG implementation, encompassing the areas of state restructuring/enhancement, designated support/monitoring staff, quality control measures for external providers, professional development, improvement tools, and creating networks.

<sup>4</sup> The phrase "45 states and the District of Columbia" is interpreted as 45 states + 1 District of Columbia, or in other words, 46 entities. This approach to counting applies throughout the report.

<sup>5</sup> See Appendix A for details on the methodology used to conduct these analyses. Cohort II analyses are based on state SIG applications posted on ED's website (<http://www2.ed.gov/programs/sif/index.html#map>). The analyses exclude Alabama, Hawaii, Rhode Island, Tennessee, and Vermont, since their Cohort II SIG applications were unavailable as of March 30, 2012. Cohort I results are drawn from Hurlburt et al. (2011) and Cohort I state SIG applications.

### 3.1. Summary of State SIG Applications to ED

In their SIG application to ED, states were essentially required to describe how they would administer the SIG program using their formula-based share of federal SIG funds. This plan included how they would identify schools that were eligible for SIG (by defining persistently lowest-achieving schools and applying the definition to create a list of eligible schools), how they would prioritize the award of SIG funds to districts with eligible schools, how they would evaluate SIG applications from districts on behalf of some or all of their eligible schools, and how they would monitor and support the implementation of SIG after awards were made. This basic structure and set of requirements for the state SIG application was in place for Cohort I and Cohort II. However, for Cohort II states were allowed (or sometimes required) to make adjustments in a few of these key areas, including: how they defined persistently lowest-achieving schools, whether they created a new list of SIG-eligible schools as opposed to simply reusing their list from the Cohort I competition, what criteria they planned to use to award and renew SIG funds to districts, how they planned to determine whether a district had the capacity to support school improvement with SIG funds, and how they planned to use the 5 percent reserve funds to monitor and support SIG implementation. Exhibit 2 provides additional details on these areas, as well as counts of how many states made modifications to these areas in their SIG applications to ED for the Cohort II competition cycle.

Some of the modifications states made in their Cohort II SIG applications had implications for schools in Cohort I and Cohort II. For example, 42 states and the District of Columbia revised the way they planned to use the 5 percent reserve SIG funds, influencing state support and monitoring activities for both cohorts of SIG schools. Other revisions had implications only for Cohort II. For example, 25 states changed the criteria for awarding and renewing SIG funds, and 22 states revised the criteria for determining a district's capacity to support school improvement in SIG-funded schools (a key determinant for states when deciding to which districts and schools to award SIG funds). Sections 3.2, 3.3, and 3.4 describe these aspects of states' SIG applications to ED in more detail for Cohort I, and especially Cohort II.

<b>Exhibit 2. Overview of Modifications in State SIG Policies Proposed in Cohort II State SIG Applications</b>		
<b>Modifications</b>	<b>Description</b>	<b>Number of States Reporting Modifications</b>
Revised definition of persistently lowest-achieving schools	States were required to provide a definition of persistently lowest-achieving Tier I, Tier II, and Tier III schools to be used to determine SIG eligibility. In the Cohort II SIG application, states had the option of using the same (Cohort I) definition or developing a new definition of persistently lowest-achieving schools.	13
Generated new list of eligible Tier I, Tier II, and Tier III schools	States were required to submit a list of eligible Tier I, Tier II, and Tier III schools. States had the option of using the same list from Cohort I or developing a new list for Cohort II, unless a state: <ul style="list-style-type: none"> <li>○ Had fewer than five eligible Tier I and Tier II schools on their Cohort I list (excluding Tier I and Tier II schools that were awarded SIG in Cohort I)</li> <li>○ Revised their definition of persistently lowest-achieving schools</li> </ul> <p>If a state met either of the above criteria, a new list of eligible persistently lowest-achieving schools was required. Additionally, states could elect to create a new list of eligible schools using the Cohort I definition of persistently lowest-achieving schools.</p>	40*
Revised evaluation criteria for awarding and renewing SIG funds	States were required to provide information on the criteria used to determine whether an award should be made to a SIG school (the application review process) as well as the criteria for determining whether the grant should be renewed. States had the option of using the Cohort I criteria or revising the criteria for Cohort II.	25
Employed new strategies to determine districts' capacity to support school improvement	Each state was required to describe how a determination was made about a district's capacity to support school improvement in the awarded schools. States had the option of using the same strategies for determining district capacity as were used for Cohort I or revising the strategies for Cohort II.	22
Revised use of the 5 percent state reserve SIG funds (either enhanced or eliminated support)	States were permitted to reserve up to 5 percent of the SIG allocation for administration, evaluation, and/or support or technical assistance. States were required to indicate whether they planned to use the state reserve funds in the same way as reported in the Cohort I application or if they planned to use these funds differently in Cohort II.	43*
<p><b>Source:</b> Approved Cohort II state SIG applications as of March 30, 2012.  <b>Notes:</b> Includes 45 states and the District of Columbia, but NH was not included in three categories. NH did not report in their Cohort II state SIG application whether they revised Cohort I sections on use of state reserve funds, evaluation criteria for awarding and renewing SIG funds, and determining district capacity.                      *Count includes DC.</p>		

## 3.2. Identifying SIG Schools

### Did states revise their definition of persistently lowest-achieving schools?

The definition of persistently lowest-achieving schools is an important part of determining whether schools are eligible for SIG. ED's *Guidance on School Improvement Grants* requires states to use three common elements in their method for identifying these schools: (1) a school's overall academic achievement level, (2) whether there was a "lack of progress" in the school, and (3) for high schools, whether the school had a graduation rate below 60 percent (U.S. Department of Education, 2010c). States have flexibility in how they make this determination, including what data to use, how many years of data to use, and how to weight the three required elements. In Cohort I, more than three quarters of states and the District of Columbia used three or fewer years of data to measure a school's academic achievement level, lack of progress, and graduation rates. Every state and the District of Columbia in Cohort I used student assessment results for the "all students" group in reading/English language arts and mathematics to determine a school's overall academic achievement level and lack of progress (no other content areas were used).

In Cohort II, as noted in Exhibit 2, 13 states revised their persistently lowest-achieving school definitions, of which 11 did so by changing the number of years of assessment data used and/or using more recent data from state assessments, school performance indicators, or graduation rates.<sup>6</sup> For instance, two states (Louisiana and New Jersey) used fewer years of performance data for Cohort II than for Cohort I to determine "overall academic achievement," while two states (Louisiana and Oklahoma) changed the number of years of performance data used to determine "lack of progress." In addition, Wisconsin had given extra weight to high schools in its definition of persistently lowest-achieving schools in Cohort I but discontinued this prioritization for Cohort II, while Oklahoma added a new component to its Cohort II definition to better distinguish between lack of progress and academic performance.

### Did states develop a new list of SIG-eligible schools?

States used their definition of persistently lowest-achieving schools to create a list of schools that were eligible to receive SIG. States were allowed to reuse their Cohort I eligibility list (minus the Tier I and II schools that received SIG in Cohort I) for Cohort II. States were also allowed to create a new eligibility list for Cohort II using their definition of persistently lowest-achieving schools. However, states were required to create a new list of eligible schools for Cohort II if they revised their definition of persistently lowest-achieving schools or had fewer than five unfunded Tier I and II schools remaining on their Cohort I list.

In Cohort II, six states chose to reuse their Cohort I list of eligible schools. In contrast, 39 states and the District of Columbia developed a new list of SIG-eligible schools (see Exhibit 2). Of these, 12 states and the District of Columbia were required to develop a new list because fewer than five unfunded Tier I and II schools remained on their Cohort I list, while another 13 states were required to develop a new list because they revised their definition of persistently lowest-achieving schools. The remaining 14 states were not required but nevertheless elected to develop a new list of Cohort II SIG-eligible schools using their Cohort I definition of persistently lowest-achieving schools.

---

<sup>6</sup> The remaining two states had incomplete definitions in their applications or had incomplete information about the definition on their Web site.

### 3.3. Determining Funding and Capacity

#### How did states plan to prioritize funding?

Once states established how they would identify SIG-eligible schools in their application to ED, they described how they planned to prioritize funding among these eligible schools. Anticipating that states would generally have insufficient funds to award SIG to all eligible schools, federal SIG guidance required states to prioritize Tier I schools over Tier II schools, and Tier II schools over Tier III schools. However, states had flexibility in determining how to prioritize funds among schools in each tier.

Based on information reported by 50 states and the District of Columbia about how they planned to prioritize funding for Cohort I, 48 states planned to fund both Tier I and Tier II schools if sufficient funds were available. The remaining two states and the District of Columbia did not identify any eligible Tier II schools in Cohort I. Similarly, based on information reported by 45 states and the District of Columbia for Cohort II, 43 states planned to fund both Tier I and Tier II schools if sufficient funds were available. These states planned to use similar methods from Cohort I to prioritize funding among Tier I and Tier II schools in Cohort II. The remaining two states and the District of Columbia did not identify any eligible Tier II schools in Cohort II.

<b>Exhibit 3. States That Adopted Specific Priority Criteria for Funding Tier I and Tier II Schools in Cohort II</b>		
<b>Priority Criteria</b>	<b>Number of States</b>	<b>States</b>
Highest quality SIG school applications were given priority	29	AR, AZ, CT, DC, DE, FL, GA, IA, IL, IN, KS, LA, MD, MI, MN, MO, NC, ND, NJ, NM, NV, NY, OH, OR, PA, SC, TX, UT, WV
Lowest-achieving SIG-eligible schools were given priority	25	AK, CA, DE, GA, IA, IN, KS, KY, MD, ME, MI, MN, MO, MS, MT, NV, NY, OK, OR, UT, VA, WA, WI, WV, WY
Districts that applied for more than one SIG-eligible school were given priority	5	CT, MO, NY, WI, WV
Districts and schools that were already participating in a state initiative or were identified through the state accountability system were given priority	5	DC, DE, IL, MA, MS
Schools with the lowest graduation rates were given priority	2	OR, WY
<b>Source:</b> Approved Cohort II state SIG applications as of March 30, 2012.		
<b>Notes:</b> Includes 45 states and the District of Columbia.		

In total, 41 states and the District of Columbia provided specific criteria for how they would prioritize funding among Tier I and Tier II schools in Cohort II. Exhibit 3 lists the most common criteria and how frequently they were reported by states. Twenty-eight states and the District of Columbia planned to prioritize schools with the highest quality SIG applications, and 25 states planned to prioritize the lowest-achieving schools among the eligible schools that applied for SIG. For example, Utah planned to prioritize funding for schools with the largest achievement gap among student subgroups, and Montana planned to prioritize funding to schools that fed into Cohort I SIG-awarded schools. Of the 41 states and the District of Columbia that identified prioritization criteria for Tier I and Tier II schools, 21 states

identified one criterion, 15 states and the District of Columbia identified two criteria, and 5 states identified three or more criteria. As noted above, for the most part these states used similar methods for Cohort I and Cohort II to prioritize funding among their Tier I and Tier II schools.

### **How did states plan to determine district capacity?**

In addition to prioritizing awards based on which tier an eligible school falls in and any other specific criteria chosen (as listed in Exhibit 3), states were required by SIG guidelines to ensure that awards are made to schools in districts that have “the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the [district’s] application...” (U.S. Department of Education, 2010b, p. 13). States were given flexibility in determining how they would assess district capacity.

Exhibit 4 lists the most common criteria reported in Cohort I and Cohort II state SIG applications for determining district capacity, as well as the total number of states that planned to use these criteria in each cohort. For example, 13 states in Cohort I planned to use information about a district’s past performance on federal grants, improvement efforts, and fiscal management, while 19 states planned to do so in Cohort II. Exhibit 4 also breaks down the total number of states planning to use each criterion into those states that only planned to use the criterion in Cohort I, only planned to use the criterion in Cohort II, or planned to use the criterion in both Cohorts. For example, of the 13 states in Cohort I that planned to use information about a district’s past performance in determining district capacity, all states planned to reuse it in Cohort II. On the other hand, of the 19 states in Cohort II that planned to use a district’s past performance in determining district capacity, 6 planned to begin using this criterion in Cohort II for the first time, while 13 planned to continue using it from Cohort I.

Some states planned to impose requirements on districts to improve district capacity. For example, 8 states in Cohort I and 15 states in Cohort II required districts to designate or add staff, who were primarily responsible for the implementation of SIG. Of the 15 states in Cohort II, 7 had this requirement in Cohort I and planned to continue it in Cohort II, while the other 8 states planned to adopt this requirement for the first time in Cohort II. Just one state from the eight states in Cohort I did not report plans to continue this requirement in Cohort II.

Nine states in Cohort I and seventeen states in Cohort II planned to consider evidence of stakeholder or community support for the SIG models in each school. Stakeholders such as school staff, unions, school boards, and parents were to be involved in the decisions about SIG models and strategies as a key component of district capacity. For example, Maryland planned in Cohort II to require that districts provide evidence of community participation prior to submitting an application. As another example, New York planned in Cohort II to require its districts to submit a letter signed by union and district representatives committing to creating a teacher-evaluation system with 20 percent of the evaluation based on student growth on state assessments.

Ten states in Cohort I and eighteen states in Cohort II indicated that district capacity would be at least partially determined by the capacity of district and school leaders to support improvement. Nine states had used this strategy in Cohort I and planned to continue to do so in Cohort II, while nine states added this criterion for the first time in Cohort II. For example, Kentucky planned in Cohort II to conduct a district- and school-leadership assessment in each of the districts with Tier I and Tier II SIG-eligible schools. The assessment was to incorporate standards for school and district improvement, as well as the results of working-conditions surveys. The state planned to undertake specific steps prior to the

award of SIG funds if the district or school was found to lack capacity. As another example, Montana concluded that all districts with at least one Tier I school lacked leadership capacity, given their history of failing to improve these schools. The state thus intended to take responsibility in Cohort II for implementing SIG intervention models by entering into an agreement with these districts.<sup>7</sup>

<b>Exhibit 4.</b>					
<b>Number of States that Planned to Use Specific Criteria to Determine District Capacity for Cohorts I and II</b>					
Criteria	Total in Cohort I	Total in Cohort II	Planned for Cohort I Only	Planned for Cohort II Only	Planned for Both Cohorts
District’s past performance	13	19	0	6	13
District agrees to add or designate staff to support SIG	8	15	1	8	7
District grants flexibility and autonomy to SIG schools	7	9	1	3	6
District provides evidence of community support	9	17	2	10	7
District and/or school leaders’ capacity to support improvement	10	18	1	9	9
<p><b>Exhibit Reads:</b> 13 states in Cohort I planned to use district past performance as a criterion for determining district capacity, while 19 states in Cohort II planned to do so. Of the 13 states in Cohort I that planned to use this criterion, all states planned to continue to do so in Cohort II. Of the 19 states in Cohort II that planned to use this criterion, 6 planned to do so for the first time in Cohort II, while 13 planned to continue from Cohort I to do so in Cohort II as well.</p> <p><b>Source:</b> Approved Cohort I and Cohort II state SIG applications as of March 30, 2012.</p> <p><b>Notes:</b> Includes 45 states. States that reported a specific criterion in their Cohort I SIG application but did not mention it in their Cohort II SIG application are coded as “Planned for Cohort I Only.” Analogously, states that reported a specific criterion in their Cohort II SIG application but did not mention it in their Cohort I SIG application are coded as “Planned for Cohort II only.” States that reported a specific criterion in both cohort applications are coded as “Planned for Both Cohorts.”</p>					

Overall, the total number of states planning to use each criterion in Exhibit 4 increased from Cohort I to Cohort II. Few states reported plans to discontinue a particular criterion in Cohort I after having used it in Cohort I, while several states reported plans to try new criteria in Cohort II. In particular, 22 states in Cohort II added at least one new criterion to the ones they used in Cohort I to assess district capacity, while 3 states eliminated or did not mention at least one of the criteria they used in Cohort I. Twenty states kept the same criteria for Cohort I and Cohort II.

### 3.4. State Role in SIG Implementation

Once states determined how they were to award SIG funds, they also needed to be prepared to support districts and schools post-award. States were thus permitted to reserve 5 percent of their federal SIG allocation to administer, monitor, and support SIG implementation. States were required to describe in their SIG applications to ED how they intended to support the SIG program after awards were made. Overall, among the 45 states and the District of Columbia with approved Cohort II SIG applications, 42

<sup>7</sup> This agreement allows the Montana Office of Public Instruction to provide direct services to the school in place of the district. This is not considered a state takeover, which is prohibited by Montana state law.

states and the District of Columbia revised their Cohort I descriptions for how these funds were to be used to support SIG implementation.<sup>8</sup> Changes ranged from minor adjustments to major reorganizations within the state.

## **Did states plan new or enhanced structures to support SIG implementation?**

The most common categories of planned state support to SIG schools and districts for Cohort II included: state restructuring/enhancement, designated support staff, quality control measures for external providers, professional development for SIG-awarded districts or schools, and improvement tools. While these categories are not mutually exclusive (for example, designated support staff may provide professional development to districts and schools), they are designed to provide an overview of the type and range of support states planned to offer. Exhibit 5 provides a summary of these categories and associated strategies, the total number of states in each cohort that planned to use these strategies, and a breakdown of how many states planned to use these strategies in Cohort I only, in Cohort II only, or in both cohorts. For example, a total of 14 states in Cohort I and 37 states and the District of Columbia in Cohort II planned to provide professional development. Of these, 1 state did not report plans to continue providing professional development in Cohort II after providing it in Cohort I, 13 states reported providing it in Cohort I and planned to continue to for Cohort II, and 24 states and the District of Columbia planned to begin providing it in Cohort II for the first time.

Overall, five of the eight support structures listed in Exhibit 5 saw increases from Cohort I to Cohort II in the number of states planning to provide these supports. In the case of designating a liaison to monitor and support SIG implementation, providing professional development, and using improvement tools, nearly all of the states that used these structures in Cohort I continued to do so in Cohort II, while 18 to 24 states and the District of Columbia elected to begin using these supports in Cohort II.

In the case of reorganizing or creating a new office within the state to provide support and designating a district/school support team, the number of states that planned to use these two supports fell by more than one half from Cohort I to Cohort II. In both cases, 7 out of 11 states that planned to use these supports in Cohort I did not report plans to continue using these supports in Cohort II. In the case of reorganizing or creating a new office, states may have accomplished this task in Cohort I and therefore did not need to reorganize or recreate the same office in Cohort II. However, interestingly only one state reported plans to try this approach in Cohort II for the first time.

In the case of enhancing the existing state system of support to target SIG districts or schools, 24 states in Cohort I and 20 states in Cohort II planned to provide this support. Even though the total number of states planning to provide this support was similar across both cohorts, there was notable turnover. Fourteen of the twenty-four states that planned this support in Cohort I did not report plans to continue this support in Cohort II, while 10 states elected to provide this support for the first time in Cohort II.

Overall, the total number of states planning to adopt a particular support in each cohort varied, as did both the number of states electing to continue providing a support from Cohort I to Cohort II and the number of states electing to try a new support in Cohort II. The subsections below provide selected examples of these supports, as described in Cohort II state SIG applications. See Section 3.5 in Hurlburt et al. (2011) for analogous examples from Cohort I.

---

<sup>8</sup> New Hampshire did not report whether their description of the use of the state's reserve of 5 percent of SIG funds was revised, although an examination of their Cohort I and II SIG applications reveals that they made no substantive modifications.

<b>Exhibit 5.</b>					
<b>Number of States That Planned to Adopt Specific Supports for Cohorts I and II</b>					
<b>State Support Structure</b>	<b>Total in Cohort I</b>	<b>Total in Cohort II</b>	Planned for Cohort I Only	Planned for Cohort II Only	Planned for Both Cohorts
<b>State Restructuring/Enhancement</b> Enhancing the existing state system of support to target SIG districts or schools	<b>24</b>	<b>20</b>	14	10	10
Plans to reorganize or create a new office within the state to support districts and/or SIG schools	<b>11</b>	<b>5</b>	7	1	4
<b>Designated Support/Monitoring Staff</b> Designated liaison to monitor and support SIG implementation (state and local)	<b>10</b>	<b>32</b>	0	22	10
District/school support team to support SIG implementation (state and local)	<b>11</b>	<b>4</b>	7	0	4
<b>Quality Control Measures for External Providers</b> Provide quality control measures for identifying external providers (e.g., state-approved list)	<b>17</b>	<b>20</b>	3	6	14
<b>Professional Development</b> Targeted professional development for SIG districts and/or schools	<b>14</b>	<b>38*</b>	1	25*	13
<b>Improvement Tools</b> Developed or mandated school/district improvement tools (e.g., online planning documents or data systems)	<b>10</b>	<b>28</b>	0	18	10
<b>Creating Networks</b> Support state or regional networks of SIG districts/schools to improve capacity	<b>8</b>	<b>12</b>	3	7	5
<p><b>Exhibit Reads:</b> 24 states in Cohort I planned to enhance the existing state system of support to target SIG districts or schools, while 20 states in Cohort II planned to do so. Of the 24 states in Cohort I that planned to do so, 14 states did not report planning to continue this practice in Cohort II, while 10 states planned to continue this practice in Cohort II. Of the 20 states in Cohort II that planned to do so, 10 planned to do so for the first time in Cohort II, while 10 planned to continue this practice from Cohort I in Cohort II.</p> <p><b>Source:</b> Approved Cohort I and Cohort II state SIG applications as of March 30, 2012.</p> <p><b>Notes:</b> Includes 45 states and the District of Columbia. States that reported a support structure in their Cohort I SIG application but did not mention it in their Cohort II SIG application are coded as "Planned for Cohort I Only." Analogously, states that reported a support structure in their Cohort II SIG application but did not mention it in their Cohort I SIG application are coded as "Planned for Cohort II only." States that reported a support structure in both cohort applications are coded as "Planned for Both Cohorts."</p> <p>*Count includes DC.</p>					

**State Restructuring/Enhancement.** In their Cohort II state SIG applications, 20 states reported plans to enhance or restructure their existing state systems of support to address SIG implementation in districts and schools, while 5 states reported plans to reorganize or create a new office in their states to better serve their SIG schools. For example, Connecticut planned to merge two formerly separate bureaus—

one focused on school and district improvement and the other focused on accountability and monitoring—into a single Bureau of Accountability and Improvement to provide more coherent support and accountability for their districts and SIG schools. In another example, Kentucky planned to create “District 180” to support SIG schools, with particular emphasis on Tier I and Tier II schools. According to its application:<sup>9</sup>

*Each Tier I and Tier II school will receive the services of three Educational Recovery Staff (ERS). One ERS is an Education Recovery Leader who will mentor and coach the school principal. One ERS is a reading/language arts content specialist and one is a mathematics specialist. The ERS are individuals with specific experience and training in working with teachers to make dramatic improvement in instructional practice that leads to improved student learning. They will focus on coaching, mentoring and modeling effective instructional practices in order to increase the effectiveness of the school’s staff.*

**Designated Support/Monitoring Staff.** For Cohort II, 32 states planned to build state capacity by adding staff or consultants with reserve funds. For example, Maine and Wisconsin planned to hire consultants to work directly with SIG-funded districts and schools. In another example, Missouri planned to hire consultants to build the state staff’s capacity to evaluate applications or develop appropriate monitoring tools. Four states planned to use support teams, and two of these states (Arizona and New York) planned to designate individuals and use teams to support SIG implementation.

**Quality Control Measures for External Providers.** For Cohort II, 20 states planned to develop a quality control process for identifying external support providers for SIG schools. For example, three states planned to provide vendor lists for districts and schools to assist them in their selection of external support providers.

**Professional Development.**<sup>10</sup> For Cohort II, 37 states and the District of Columbia planned to offer professional development or technical assistance to districts or SIG schools. For example, eight states (Indiana, Minnesota, Nevada, New Jersey, New Mexico, North Carolina, Texas, and Virginia) planned to implement principal- or teacher-leadership institutes. In another example, two states (Indiana and Minnesota) planned to develop and improve the hiring process for principals and teachers. Minnesota planned to improve school leadership by providing professional development and a network of SIG-funded school leaders, and by requiring that all principals of SIG schools be approved by the state before they could be hired.

**Improvement Tools.** For Cohort II, 28 states planned to offer districts and schools improvement tools focused on planning for school improvement and monitoring progress toward school improvement goals. For example, Colorado planned to develop an Expedited Diagnostic Review Tool for districts to use in assessing the needs of SIG-eligible schools, the information from which would help inform selection of an intervention model. In another example, Illinois planned to establish a Center on School Improvement, created in part to “design and support the use of a connected set of tools to improve instructional practice and student performance on a continuing basis” (Illinois State Board of Education, 2011).

---

<sup>9</sup> Kentucky Department of Education (2011), p. 20.

<sup>10</sup> While many of the supports offered by states, including the other categories listed in Exhibit 5, are designed to provide technical assistance and professional development, there are some activities that fall beyond the domain of the previously described support strategies and that are only captured in this category.

**Creating Networks.** For Cohort II, 12 states planned to create networks of stakeholders to support SIG implementation. For example, Arizona planned to hold regionally-based meetings for districts and SIG schools to meet with colleagues who were implementing SIG, to identify promising practices and share SIG-related strategies and activities. These meetings were expected to be held face-to-face as well as through webinars (Arizona Department of Education, 2011). Other states planned to convene administrators from districts or teams of SIG school staff.

### How did states plan to monitor SIG implementation?

All states were required to evaluate each district and their SIG schools’ progress annually to determine whether SIG funding should continue. The SIG Guidance provides a list of indicators that states are required to use to monitor implementation. These indicators include, for example, AYP status, number of minutes within the school year, graduation rates, student attendance rates, dropout rates, college enrollment rates, discipline incidents, truancy rates, and teacher attendance rates. In addition to these indicators, a state could identify other measures to monitor a SIG school’s progress. Exhibit 6 displays the types of additional indicators that states planned to use to monitor progress. These additional monitoring measures focused on assessing implementation progress rather than academic outcomes.

<b>Exhibit 6.</b>					
<b>Number of States That Planned to Adopt Specific Indicators to Monitor Implementation for Cohorts I and II</b>					
<b>Monitoring Indicators</b>	<b>Total in Cohort I</b>	<b>Total in Cohort II</b>	<b>Planned for Cohort I Only</b>	<b>Planned for Cohort II Only</b>	<b>Planned for Both Cohorts</b>
State, district, or school-specific indicators	<b>29</b>	<b>34</b>	1	6	28
SIG-model-specific indicators	<b>13*</b>	<b>16*</b>	0	3	13*
Indicators based on district or school improvement plan	<b>9</b>	<b>15</b>	1	7	8
<p><b>Exhibit Reads:</b> 29 states in Cohort I planned to use state, district, or school-specific indicators to monitor SIG implementation, while 34 states in Cohort II planned to do so. Of the 29 states in Cohort I that planned to do so, 1 state did not report planning to continue this practice in Cohort II, while 28 states planned to continue in Cohort II. Of the 34 states in Cohort II that planned to do so, 6 planned to do so for the first time in Cohort II, while 28 planned to continue this practice from Cohort I in Cohort II as well.</p> <p><b>Source:</b> Approved Cohort I and Cohort II state SIG applications as of March 30, 2012.</p> <p><b>Notes:</b> Includes 45 states and the District of Columbia. States that reported a specific monitoring indicator in their Cohort I SIG application but did not mention it in their Cohort II SIG application are coded as “Planned for Cohort I Only.” Analogously, states that reported a specific monitoring indicator in their Cohort II SIG application but did not mention it in their Cohort I SIG application are coded as “Planned for Cohort II only.” States that reported a specific monitoring indicator in both cohort applications are coded as “Planned for Both Cohorts.”</p> <p>*Count includes DC.</p>					

As Exhibit 6 shows, the additional indicators fall into three categories: 1) state, district, or school-specific metrics; 2) indicators related to the specific SIG model being implemented; and 3) indicators specific to individual district or school improvement plans. Twenty-nine states in Cohort I and thirty-four states in Cohort II planned to use state, district, or school-defined metrics to monitor for renewal. For example, Connecticut planned to impose additional state metrics consistent with the Connecticut Accountability for Learning Initiative. Connecticut districts and schools in Cohort II must measure change in teachers’ practice, including these elements: “1) collaborative work through successful implementation of school

and instructional data teams; 2) actions contributing to a positive school climate; and 3) effective instructional strategies” (Connecticut Department of Education, 2011, Appendix G). Pennsylvania provides an example of district and school-defined metrics. Pennsylvania districts and schools in Cohort II developed their own measures, benchmarks, and goals planned for use by the state to monitor the districts’ and schools’ progress for each of the three annual monitoring periods.

Twelve states and the District of Columbia in Cohort I and fifteen states and the District of Columbia in Cohort II added indicators to monitor the specific SIG model a school was implementing. Nine states in Cohort I and fifteen states in Cohort II also planned to use indicators to monitor the school improvement plans for their SIG schools. For example, Idaho planned to monitor elements of their Cohort II district and school improvement plans through an online system where districts and schools would identify the key areas of improvement from their plans.

Overall, most states in both cohorts planned to use at least one additional monitoring measure (aside from the ones listed in the federal SIG guidance) to evaluate progress and determine if SIG funding should continue. The total number of states using each particular indicator listed in Exhibit 6 increased from Cohort I to Cohort II. This increase is driven by most states electing to continue using the indicator in Cohort II if they had already used it in Cohort I and by a number of states electing to begin using the indicator in Cohort II.

## 4. Schools Eligible for and Awarded SIG

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

- How many Cohort II eligible and awarded SIG schools are in each state? How are they distributed by tier and by model? How does the number of eligible and awarded SIG schools compare between Cohort I and Cohort II, overall and by state, tier, and model?
- What are the demographic characteristics of eligible and awarded SIG schools in Cohort II? How do they compare to schools nationwide and to eligible and awarded SIG schools in Cohort I?
- What is the level of SIG funding to awarded schools in Cohort II, overall and annually per pupil? How does the level of SIG funding to awarded SIG schools compare between Cohort I and Cohort II?

### Key Findings

- Based on data from 41 states and the District of Columbia for Cohort II, 12,445 schools or 14 percent of all public elementary and secondary schools in these states were eligible for SIG; 81 percent of these schools had also been eligible for SIG in Cohort I. Ultimately, 600 of the 12,445 eligible schools were awarded SIG in Cohort II.
- As in Cohort I, the transformation model followed by the turnaround model were the two most commonly adopted intervention models in Cohort II, accounting for 75 percent and 19 percent of SIG-awarded Tier I and Tier II schools nationwide. As in Cohort I, adoption of the turnaround model in Cohort II varied by urbanicity: 22 percent of urban SIG schools adopted the turnaround model while just 4 percent of rural SIG schools adopted it.
- Applications for SIG were submitted for 7 percent of eligible schools nationwide in Cohort II (37 percent of Tier I and II schools, 2 percent of Tier III schools). Funding was awarded to 63 percent of these schools (67 percent of Tier I and II applicants, 50 percent of Tier III applicants). Overall application and award rates varied across states, with application rates ranging from 2 percent to 61 percent and award rates ranging from 29 percent to 100 percent.
- SIG-awarded schools in Cohort II had similar characteristics as Cohort I SIG-awarded schools. Compared to all public elementary and secondary schools, SIG-awarded schools in both cohorts were more likely to be high-poverty, high-minority, urban schools, and were more likely to be high schools.
- School-level SIG amounts varied by state and between cohorts. The average total award for Tier I and II schools ranged from \$0.33 million in Idaho to \$5.91 million in New Jersey. For 13 states, the average total award among Tier I and II schools was larger in Cohort II than in Cohort I, while for 16 states and the District of Columbia, the average total award was smaller. The average annual per-pupil award for Tier I and II schools ranged from \$380 in Nevada to \$4,720 in South Dakota. For 17 states and the District of Columbia, the average annual per-pupil award was larger, while for 12 states, the average annual per-pupil award was smaller.

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

## 4.1. Data Sources

American Institutes for Research compiled a database of eligible and awarded SIG schools for Cohort II (see Hurlburt et al., 2011 for information on an analogous database of Cohort I eligible and awarded SIG schools). Data on eligible schools was obtained from fiscal year 2010 SIG applications for 45 states and the District of Columbia on ED’s Web site (<http://www2.ed.gov/programs/sif/index.html#map>).<sup>11</sup> Data on awarded schools, including school name, intervention model, and award allocation, were derived from information on state Web sites. As of March 30, 2012, 41 states and the District of Columbia had released information on their SIG awards.<sup>12</sup> Some states released more information than others. For instance, data on intervention models were available for 41 states and the District of Columbia, while data on total award allocations were available for 32 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 Common Core of Data (CCD) for 2009–10. Of the 12,445 schools that were eligible for SIG awards in Cohort II in 41 states and the District of Columbia, 5 schools were not included in the 2009–10 CCD. Of these five schools, three were identified as new public schools for the 2010–11 CCD collection. The remaining two had no record in CCD. Not all schools reported all of the data measures in CCD. To facilitate analysis, missing values were replaced by 2008–09 CCD data, where possible. The number and percentage of remaining missing values include: 426 schools (3.4 percent of all SIG-eligible schools) for the percentage of eligible free and reduced-price lunch students, 55 schools (0.4 percent of all SIG-eligible schools) for the percentage of Native American students, 48 schools (0.4 percent of all SIG-eligible schools) for the percentage of Asian, African-American, Hispanic, and White students and school enrollment.

## 4.2. Overview of Eligible and Awarded SIG Schools

### How many schools were eligible for and awarded SIG in Cohorts I and II?

Exhibit 7 summarizes the number of schools that were eligible for and awarded SIG in Cohort I and Cohort II based on available data from 41 states and the District of Columbia. There were 13,741 schools eligible for SIG in Cohort I, of which 1,009 were awarded SIG and 12,732 were not. Of the 1,009 schools awarded SIG in Cohort I, 803 were no longer eligible to receive SIG again in Cohort II while 206 remained eligible for another SIG award. According to federal SIG guidance, Tier III schools awarded in Cohort I could be considered eligible for Cohort II SIG funding, while Tier I and Tier II schools awarded in Cohort I were ineligible for funding in Cohort II.<sup>13</sup> Of the 12,732 eligible schools from Cohort I that were not awarded, 2,829 were no longer eligible for SIG in Cohort II, while 9,903 continued to be eligible for SIG. In addition, 2,336 schools that were ineligible for SIG in Cohort I became eligible for SIG in Cohort II. These three groups—the 2,336 newly eligible schools, along with the 9,903 unfunded and 206 funded

---

<sup>11</sup> FY 2010 SIG applications were unavailable for Alabama, Hawaii, Rhode Island, Tennessee, and Vermont.

<sup>12</sup> Among the 45 states and the District of Columbia that posted FY 2010 SIG applications, SIG award information was unavailable for Minnesota, Missouri, Montana, and New Hampshire. These states have therefore been excluded from analyses of Cohort II eligible and awarded SIG schools in this report.

<sup>13</sup> There is an exception to this rule in Colorado, where several Tier I and Tier II schools were separated by grade span for SIG identification purposes (i.e., K–8 listed twice on the list of eligible schools—once as an elementary school and once as a middle school). For two of these schools, one “grade span” was funded in Cohort I, while the unfunded “grade span” was identified in the Cohort II eligibility list.

schools from Cohort I—comprise the 12,445 total schools that were eligible for SIG in Cohort II. Of these schools, 600 were awarded SIG in Cohort II, while 11,845 were not awarded.

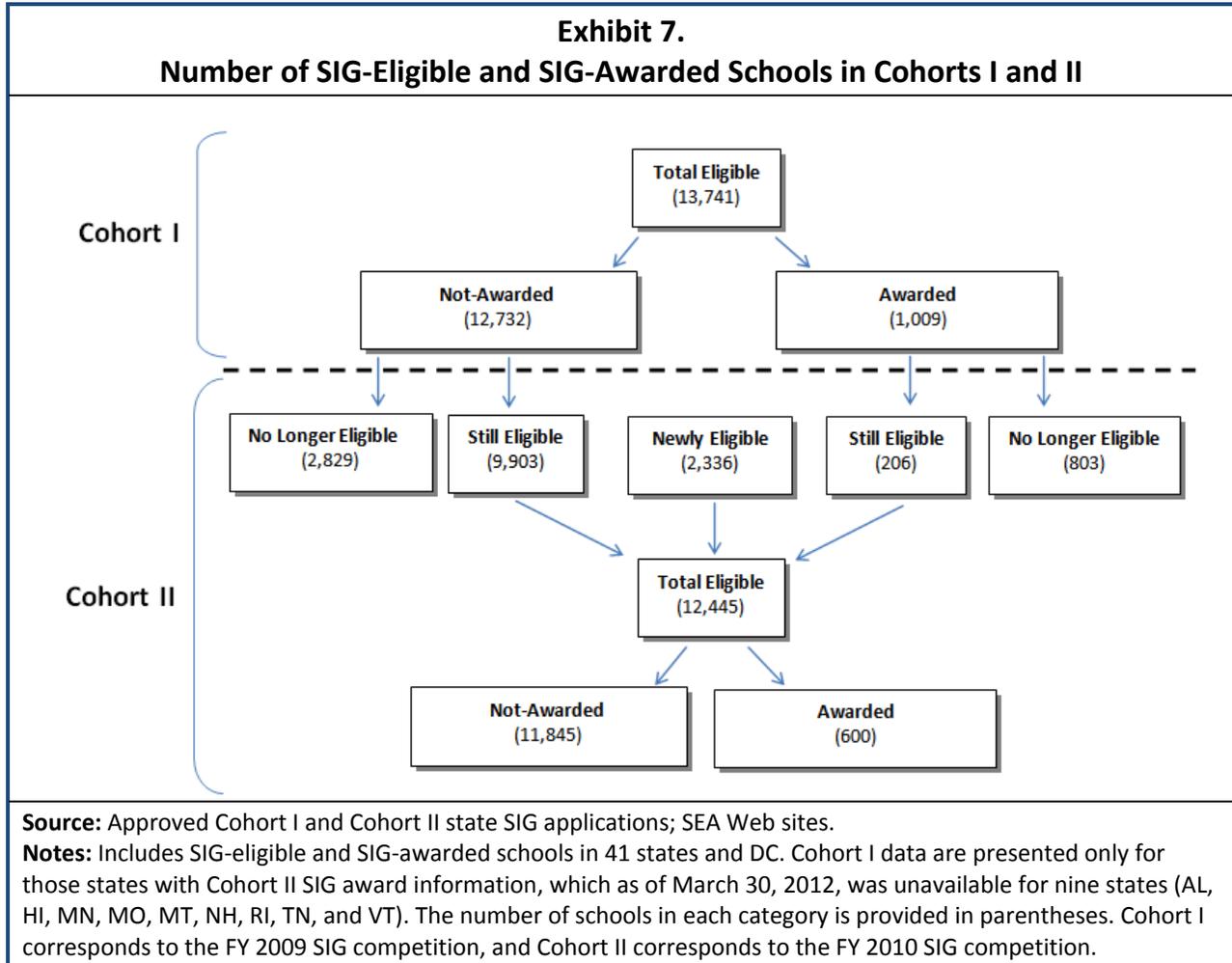
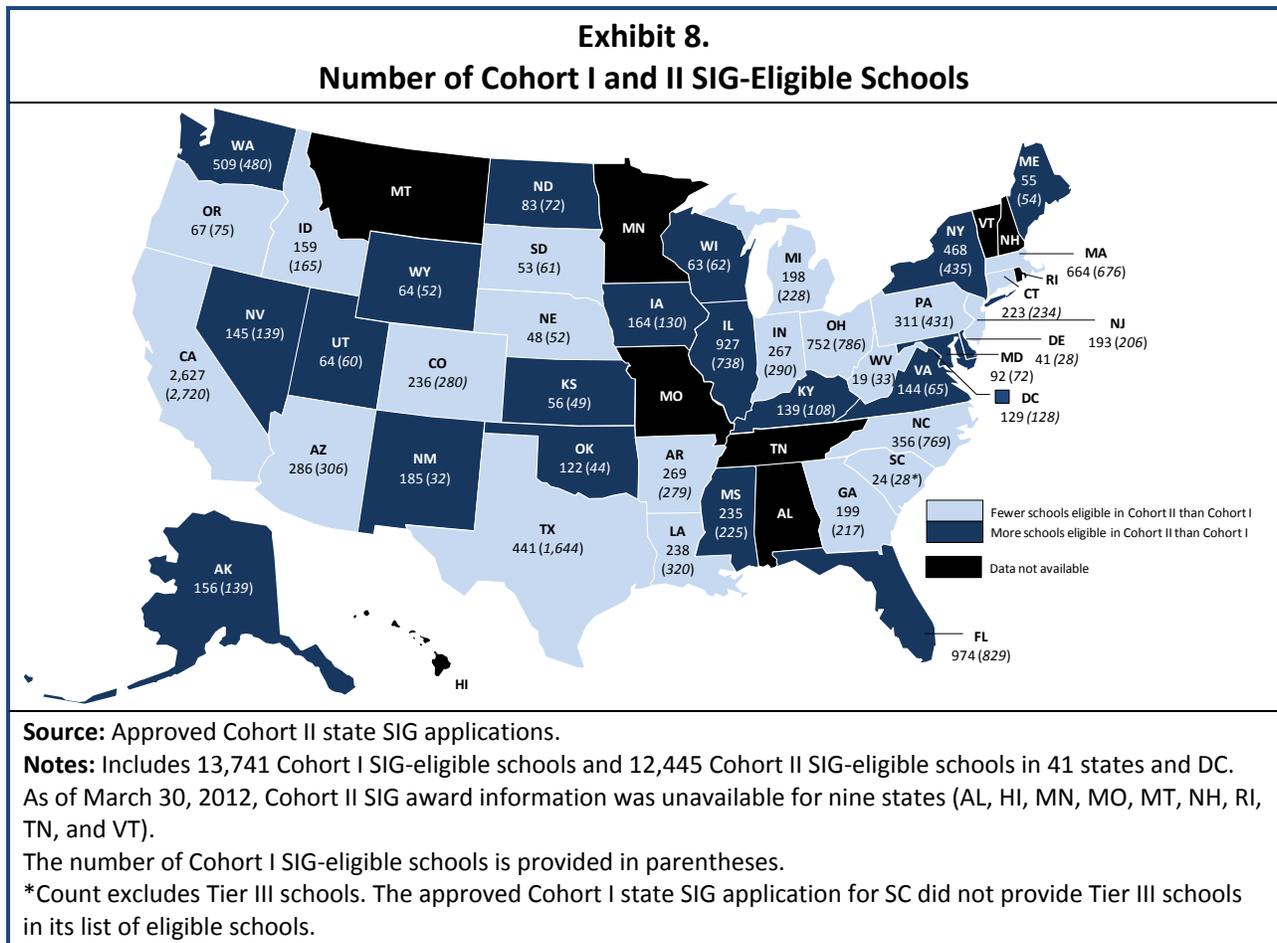


Exhibit 7 illustrates a few points. First, a small percentage (less than 7.5 percent in each cohort) of all eligible schools was awarded SIG. Second, although most schools that received SIG in Cohort I became ineligible to receive SIG again in Cohort II (80 percent) and most schools that did not receive SIG in Cohort I remained eligible for SIG in Cohort II (78 percent), there was still a nontrivial percentage of schools that were no longer eligible for SIG in Cohort II despite being unfunded in Cohort I, and schools that remained eligible to receive a second SIG award in Cohort II despite having already been funded in Cohort I. This churn can be partially explained by federal rules allowing Tier III SIG schools to receive multiple awards, by changes in how states defined persistently lowest-achieving schools, and by year-to-year fluctuations in school performance. For example, of the 2,829 schools that were ineligible for SIG in Cohort II despite having been eligible but unfunded in Cohort I, 60 percent (1,702 schools) were from Texas and North Carolina, both of which created a new list of SIG-eligible schools using their Cohort I definition of persistently lowest-achieving schools. Another 6 percent (162 schools) closed after being identified as eligible for SIG in Cohort I. Third, despite some churn, Exhibit 7 nevertheless illustrates an apparent persistence in a school’s eligibility for SIG, as there is considerable overlap in each cohort’s group of eligible schools. In particular, 81 percent of all eligible schools in Cohort II had also been eligible for SIG in Cohort I.

## How are SIG-eligible schools distributed across states?

Among the 49 states and the District of Columbia with available data on Cohort I SIG awards, there were 15,277 schools eligible for SIG, or 15.5 percent of all public elementary and secondary schools in these states.<sup>14</sup> For Cohort II, which had available data for 41 states and the District of Columbia, there were 12,445 schools eligible for SIG, or 14.3 percent of all public elementary and secondary schools in these states. As in Cohort I, there was variation across states in the proportion of schools eligible for SIG in Cohort II, ranging from 2 percent in South Carolina to 60 percent in the District of Columbia. By tier, the nationwide composition of SIG-eligible schools in Cohort II is similar to Cohort I: 6 percent (7 percent) of SIG-eligible schools in Cohort II (Cohort I) were Tier I schools, 8 percent (7 percent) were Tier II, and 86 percent (86 percent) were Tier III.

Exhibit 8 shows the number of SIG-eligible schools in each state for Cohort II (as well as Cohort I in parentheses), and indicates whether the number increased or decreased from Cohort I to II. As in Cohort I, California had the largest number of eligible schools in Cohort II, with 2,627 schools, of which 96 were Tier I or Tier II schools. Texas had the largest number of Tier I and Tier II schools, with 274 schools out of a total 441 SIG-eligible schools (see Exhibit B-1 for the number of SIG-eligible schools by tier for each state in Cohort II).

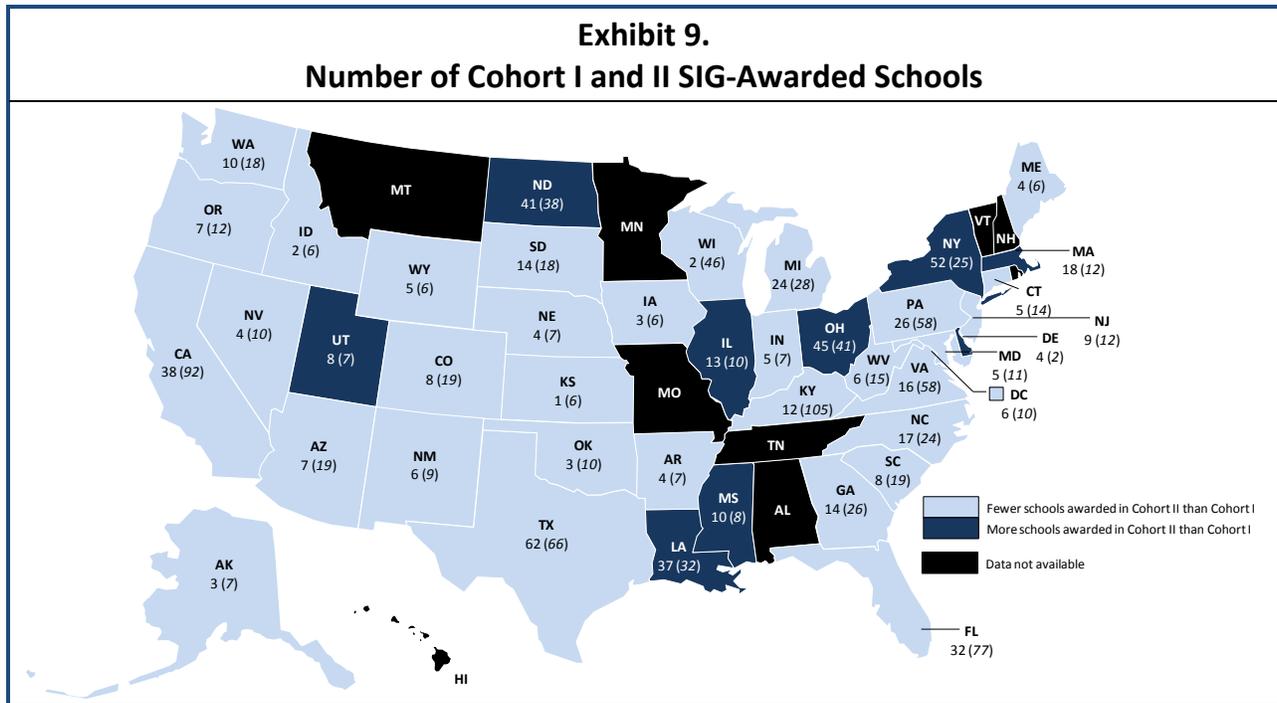


<sup>14</sup> Cohort I SIG award information was unavailable for Hawaii as of March 21, 2011 (Hurlburt et al., 2011).

Overall, 21 states identified fewer eligible schools in Cohort II than in Cohort I, while the remaining 20 states and the District of Columbia identified more. Of the 23 states and the District of Columbia that used their Cohort I definition of persistently lowest-achieving schools to create a new list of SIG-eligible schools for Cohort II, 11 states and the District of Columbia identified more schools in Cohort II than in Cohort I, while 12 states identified fewer. Florida, in particular, added a net of 145 schools, while North Carolina and Texas had net losses of 413 and 1,203 schools. Of the 13 states that revised their definition of persistently lowest-achieving schools, 8 states identified more schools in Cohort II than in Cohort I, while 5 states identified fewer. Illinois, in particular, added a net of 189 schools.

### How are SIG-awarded schools distributed across states?

Exhibit 9 shows the number of SIG-awarded schools in each state for Cohort II (as well as Cohort I in parentheses), and indicates whether the number increased or decreased from Cohort I to II. Texas funded the largest number of schools in Cohort II (62), while Kansas funded the fewest (1). States made fewer awards in Cohort II than in Cohort I. In particular, despite having similar numbers of eligible schools across both Cohorts, California awarded 38 schools in Cohort II after awarding 92 in Cohort I, while Kentucky reduced its grantees from 105 to 12. Delaware, Illinois, Louisiana, Massachusetts, Mississippi, New York, North Dakota, Ohio, and Utah were in the minority of states that made more awards in Cohort II than in Cohort I. New York, in particular, awarded 52 schools in Cohort II compared to 25 schools in Cohort I, despite having similar numbers of eligible schools in both cohorts.



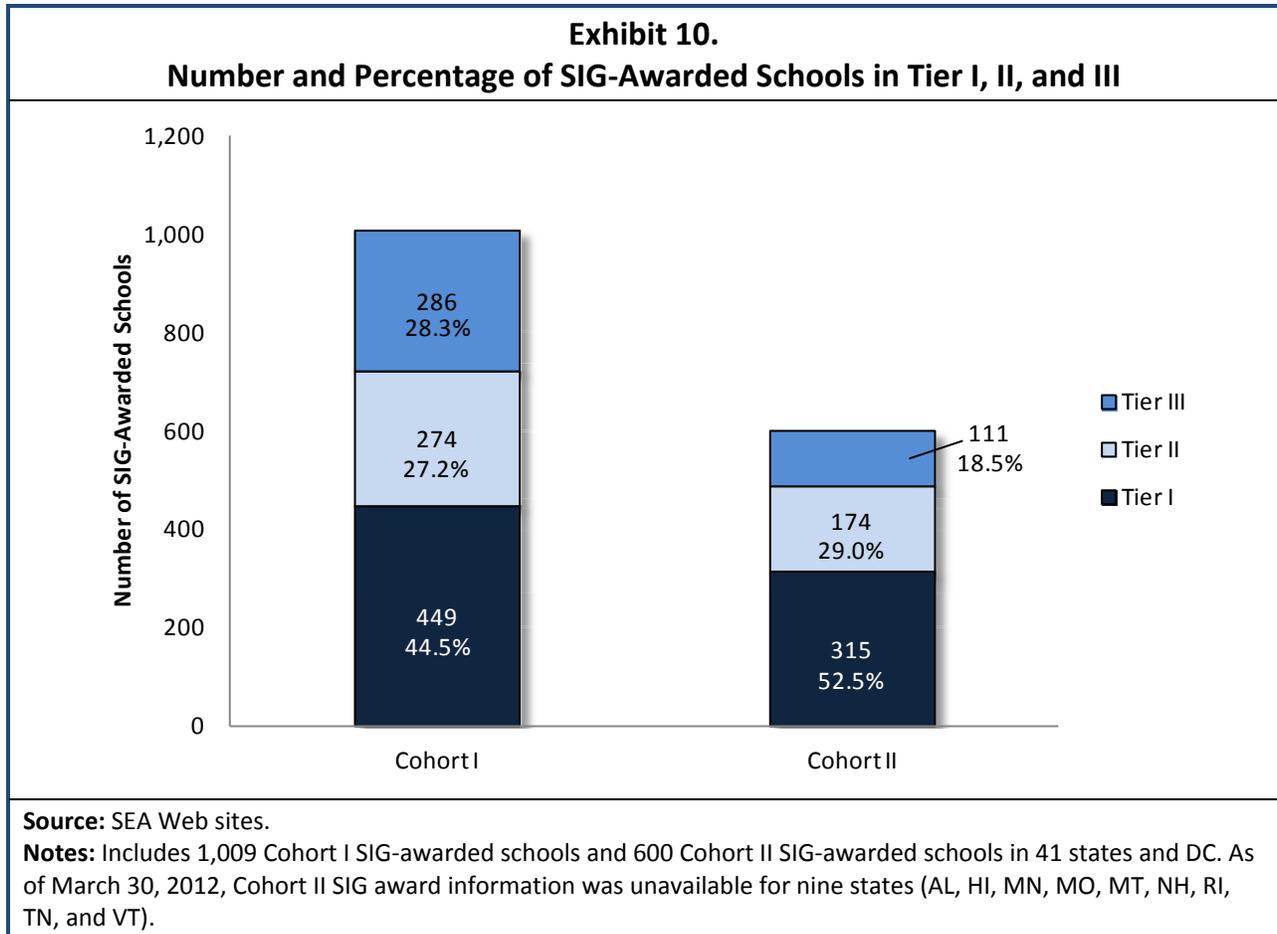
**Source:** SEA Web sites.

**Notes:** Includes 1,009 Cohort I SIG-awarded schools and 600 Cohort II SIG-awarded schools in 41 states and DC. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, and VT).

The number of Cohort I SIG-awarded schools is provided in parentheses.

## How are SIG-awarded schools distributed across tiers?

Exhibit 10 shows the number of Tier I, II, and III SIG-awarded schools for Cohorts I and II (see Exhibit C-1 for the number of SIG-awarded schools by tier for each state in Cohort II; an analogous exhibit is also available for Cohort I in Hurlburt et al., 2011). Among the 41 states and the District of Columbia with available data, Cohort II had roughly 40 percent fewer awarded schools than Cohort I (600 vs. 1,009 schools). There was a smaller percentage of Tier III SIG-awarded schools in Cohort II (19 percent or 111 schools) relative to Cohort I (28 percent or 286 schools). This difference appears to be driven almost entirely by four states (Kentucky, Ohio, Virginia, and Wisconsin) that awarded a total of 7 Tier III schools in Cohort II after awarding 176 of them in Cohort I. There were 34 Tier III SIG-awarded schools in Cohort I that also received funds in Cohort II. Of these, 10 were reclassified as Tier I schools in Cohort II while the other 24 remained as Tier III schools. Most of these schools (24) were from North Dakota, which exclusively served Tier III schools in Cohort II, while 6 were from Kentucky, 1 from South Dakota, and 3 from Virginia. Overall, just eight states awarded Cohort II SIG funds to Tier III schools.



## What intervention models are SIG schools implementing?

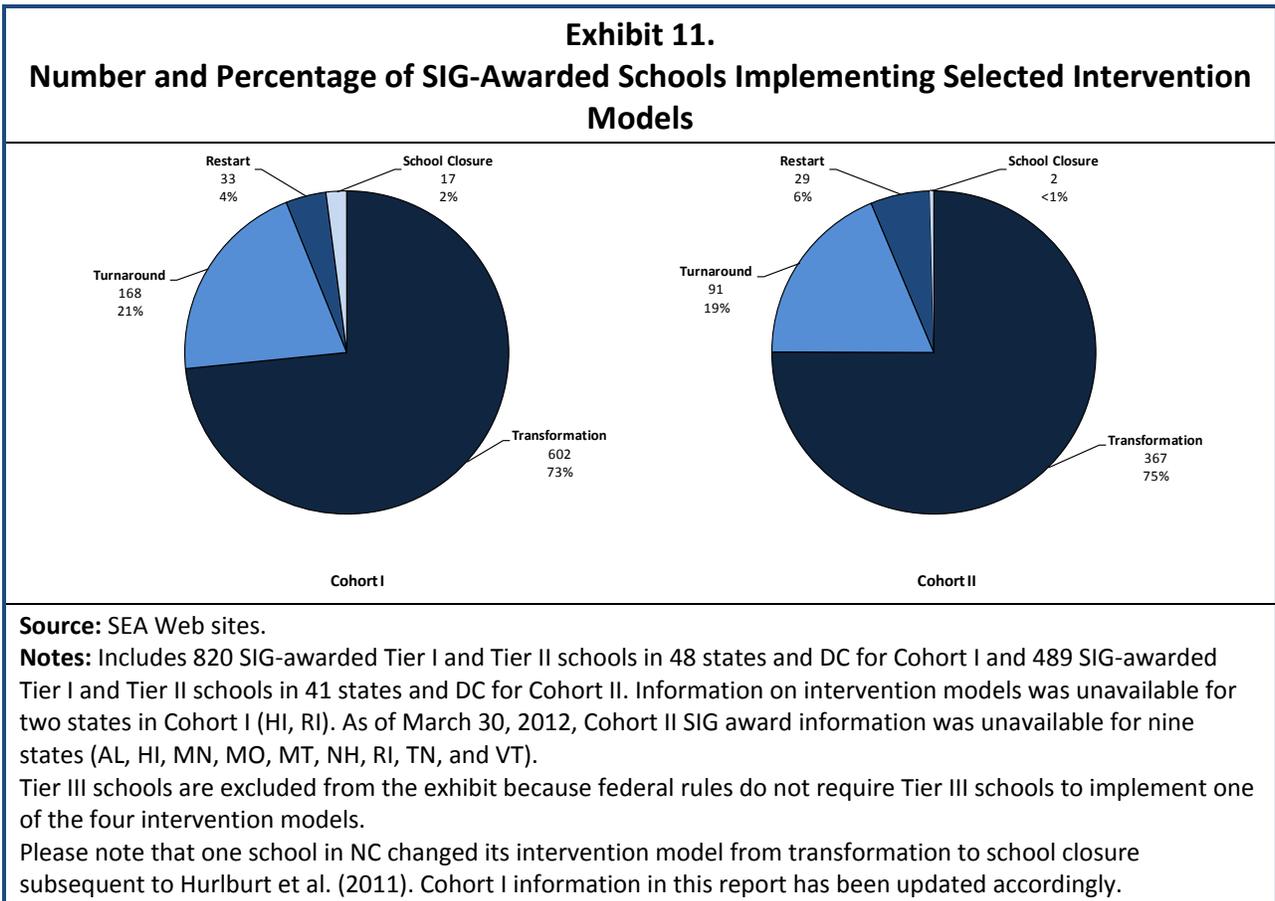
Exhibit 11 displays the number and percentage of SIG-awarded Tier I and Tier II schools for which each of the four SIG intervention models<sup>15</sup> were adopted for Cohort I (among the 48 states and the District of

<sup>15</sup> Federal rules do not require Tier III schools to implement one of the four intervention models.

Columbia with available data) and for Cohort II (among the 41 states and the District of Columbia with available data).<sup>16</sup> The percentage of Cohort II schools for which each of the four models were adopted is similar to the percentage for Cohort I schools: in both Cohorts, transformation was the most prevalent model, adopted for 602 (73 percent) and 367 (75 percent) of SIG-awarded schools in Cohort I and Cohort II.

For Cohort II, the transformation model was the only intervention model adopted for SIG-awarded schools in 17 states (see Exhibit C-4). Eight states (California, Connecticut, Florida, Louisiana, Massachusetts, New York, Ohio, and Pennsylvania) and the District of Columbia had Cohort II SIG-awarded schools implementing three of the four intervention models, while no state had all four models being implemented for Cohort II.

Similar to Cohort I, the adoption of intervention models for Cohort II varied by urbanicity: the transformation model was adopted for 95 percent of rural SIG-awarded schools, compared with 69 percent of urban SIG-awarded schools; the turnaround model was adopted for 22 percent of urban SIG-awarded schools compared with 4 percent of rural SIG-awarded schools. For Cohort I, these percentages were 96, 66, 26, and 2. One of the primary differences between the transformation and turnaround models is whether at least 50 percent of the teachers must be replaced.



<sup>16</sup> With the exception of Oklahoma—which authorized the school closure model for Cohort I but not Cohort II—all states for which we have information continued to authorize the school closure, turnaround, and transformation models for Cohort II. Likewise, of the 45 states and the District of Columbia with available information, the 42 states and the District of Columbia that authorized the restart model for Cohort I continued to authorize it for Cohort II.

## How likely were SIG applications to be submitted and awarded for eligible schools?

Exhibit 12 shows the number and percentage of eligible schools for which applications were submitted for Cohort II SIG funds and the number and percentage of these applications that were funded in Cohort II (analogous information on application rates was unavailable for Cohort I). Applications for SIG were submitted for just 7 percent of all eligible schools from the 33 states and the District of Columbia with available data in Cohort II. Twenty of these states and the District of Columbia had an overall application rate below 10 percent, while North Dakota had the highest application rate at 61 percent. This seemingly low overall application rate can be explained by the fact that most eligible schools (85 percent) are Tier III schools, and that federal SIG guidelines require states to prioritize awards for Tier I and II schools over Tier III schools. Thus, it is unsurprising that few SIG applications were submitted for Tier III schools (2 percent), driving down the overall application rate. In fact, 21 states and the District of Columbia had no Tier III applications, while just 4 states (Louisiana, North Dakota, South Dakota, and Texas) had more than 3 Tier III applications. On the other hand, SIG applications were submitted for 37 percent of all Tier I and II schools. This rate varied among states, however, with West Virginia having applications for all of its 6 Tier I and II schools and North Dakota having applications for none of its 10 Tier I and II schools.

Of the 749 schools for which SIG applications were submitted from the 33 states and the District of Columbia with available data, 469 schools (63 percent) were awarded SIG. There is variation across states in the overall award rate. Some states (Colorado, Connecticut, Georgia, Kansas, Wisconsin, and Wyoming) and the District of Columbia awarded SIG funds for all schools that applied, while other states (Arkansas, Indiana, Iowa, Louisiana, Michigan, and Texas) awarded SIG funds for no more than half of the schools that applied. Interestingly, 50 percent of all Tier III applications were awarded SIG, while the award rate for Tier I and II applications was 67 percent. The seemingly high award rate for Tier III schools relative to Tier I and II schools appears to be driven by three states (Louisiana, North Dakota, and South Dakota). There were just a handful of Tier I and II applications (10, 0, and 3 schools) in these states, ostensibly freeing up SIG resources for more Tier III applications. Among the 4 remaining states with Tier III awards, all had 10 or fewer Tier I and II applications with the exception of Texas. Texas had 68 Tier I and II applications, of which 71 percent were awarded SIG, and 55 Tier III applications, of which 26 percent were awarded SIG.

<b>Exhibit 12.</b>						
<b>SIG Application and Award Rates for Cohort II</b>						
States	Application Rate (# applied / # eligible)			Award Rate (# awarded / # applied)		
	Overall	Tier I and II	Tier III	Overall	Tier I and II	Tier III
<b>Total</b>	<b>7%</b> <b>(749/10,154)</b>	<b>37%</b> <b>(542/1,484)</b>	<b>2%</b> <b>(207/8,670)</b>	<b>63%</b> <b>(469/749)</b>	<b>67%</b> <b>(365/542)</b>	<b>50%</b> <b>(104/207)</b>
Alaska	3% (4/156)	13% (4/31)	0% (0/125)	75% (3/4)	75% (3/4)	n/a
Arizona	3% (8/286)	32% (8/25)	0% (0/261)	88% (7/8)	88% (7/8)	n/a
Arkansas	3% (8/269)	62% (8/13)	0% (0/256)	50% (4/8)	50% (4/8)	n/a
California	2% (58/2,627)	60% (58/96)	0% (0/2,531)	66% (38/58)	66% (38/58)	n/a
Colorado	3% (8/236)	22% (8/37)	0% (0/199)	100% (8/8)	100% (8/8)	n/a
Connecticut	2% (5/223)	29% (5/17)	0% (0/206)	100% (5/5)	100% (5/5)	n/a
DC	5% (6/129)	86% (6/7)	0% (0/122)	100% (6/6)	100% (6/6)	n/a
Delaware	15% (6/41)	60% (6/10)	0% (0/31)	67% (4/6)	67% (4/6)	n/a
Georgia	7% (14/199)	82% (14/17)	0% (0/182)	100% (14/14)	100% (14/14)	n/a
Illinois	3% (24/927)	25% (24/98)	0% (0/829)	54% (13/24)	54% (13/24)	n/a
Indiana	6% (17/267)	27% (16/59)	0.5% (1/208)	29% (5/17)	31% (5/16)	0% (0/1)
Iowa	4% (6/164)	16% (6/37)	0% (0/127)	50% (3/6)	50% (3/6)	n/a
Kansas	2% (1/56)	5% (1/20)	0% (0/36)	100% (1/1)	100% (1/1)	n/a
Louisiana	35% (82/238)	83% (10/12)	32% (72/226)	45% (37/82)	50% (5/10)	44% (32/72)
Maine	11% (6/55)	50% (5/10)	2% (1/45)	67% (4/6)	60% (3/5)	100% (1/1)
Massachusetts	4% (27/664)	30% (26/88)	<1% (1/576)	67% (18/27)	69% (18/26)	0% (0/1)
Michigan	32% (64/198)	83% (63/76)	<1% (1/122)	38% (24/64)	38% (24/63)	0% (0/1)
Mississippi	8% (18/235)	29% (18/63)	0% (0/172)	56% (10/18)	56% (10/18)	n/a
Nebraska	13% (6/48)	24% (6/25)	0% (0/23)	67% (4/6)	67% (4/6)	n/a
Nevada	4% (6/145)	32% (6/19)	0% (0/126)	67% (4/6)	67% (4/6)	n/a
New Mexico	5% (9/185)	27% (9/34)	0% (0/151)	67% (6/9)	67% (6/9)	n/a
North Carolina	7% (25/356)	56% (25/45)	0% (0/311)	68% (17/25)	68% (17/25)	n/a
North Dakota	61% (51/83)	0% (0/10)	70% (51/73)	80% (41/51)	n/a	80% (41/51)
Ohio	6% (47/752)	76% (47/62)	0% (0/690)	96% (45/47)	96% (45/47)	n/a
Oregon	15% (10/67)	46% (10/22)	0% (0/45)	70% (7/10)	70% (7/10)	n/a
Pennsylvania	11% (35/311)	25% (35/141)	0% (0/170)	74% (26/35)	74% (26/35)	n/a
South Carolina	46% (11/24)	61% (11/18)	0% (0/6)	73% (8/11)	73% (8/11)	n/a
South Dakota	38% (20/53)	25% (3/12)	42% (17/41)	70% (14/20)	67% (2/3)	71% (12/17)
Texas	28% (123/441)	25% (68/274)	33% (55/167)	50% (62/123)	71% (48/68)	26% (14/55)
Utah	17% (11/64)	48% (10/21)	2% (1/43)	73% (8/11)	70% (7/10)	100% (1/1)
Washington	3% (17/509)	32% (16/50)	<1% (1/459)	59% (10/17)	63% (10/16)	0% (0/1)
West Virginia	47% (9/19)	100% (6/6)	23% (3/13)	67% (6/9)	100% (6/6)	0% (0/3)
Wisconsin	3% (2/63)	15% (2/13)	0% (0/50)	100% (2/2)	100% (2/2)	n/a
Wyoming	8% (5/64)	13% (2/16)	6% (3/48)	100% (5/5)	100% (2/2)	100% (3/3)

**Source:** SEA Web sites.

**Notes:** Includes 10,154 SIG-eligible schools in 33 states and DC. Excludes 3 schools (1 in LA and 2 in TX) that were identified as having an application for Cohort II SIG funds, but were not identified as eligible for SIG in their state's SIG application to ED. As of March 30, 2012, school application information was unavailable for 17 states (AL, FL, HI, ID, KY, MD MN, MO, MT, NH, NJ, NY, OK, RI, TN, VA, and VT).

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

Exhibit 13 provides characteristics of SIG-eligible schools, SIG-awarded schools, and all schools nationwide for Cohort I and Cohort II. Consistent with the findings for Cohort I reported in Hurlburt et al. (2011), both eligible and awarded SIG schools in Cohort II are more likely to be high-poverty, high-minority, urban schools with higher average student enrollments relative to the population of public elementary and secondary schools nationwide. However, Cohort I and Cohort II SIG-awarded schools are more likely to be high schools relative to both schools nationwide and Cohort I and Cohort II SIG-eligible schools. Three states (Arkansas, Georgia, and Illinois) awarded SIG only to high schools (see Exhibit C-2).

Relative to Cohort I SIG-awarded schools, Cohort II SIG-awarded schools have somewhat lower percentages of students eligible for free and reduced-price lunch (68 percent versus 73 percent), are somewhat more likely to be elementary schools than high schools (38 percent elementary and 36 percent high versus 32 percent elementary and 40 percent high), somewhat less likely to be in rural areas (19 percent versus 24 percent), somewhat more likely to serve Hispanic students (33 percent versus 27 percent), and somewhat less likely to serve white students (20 percent versus 26 percent). Still, the characteristics of SIG-awarded schools in Cohort I appear comparable overall to those in Cohort II, as do the characteristics of SIG-eligible schools in Cohort I relative to SIG-eligible schools in Cohort II.

<b>Exhibit 13.</b>					
<b>Characteristics of the Universe of Schools, SIG-Eligible Schools, and SIG-Awarded Schools</b>					
<b>Characteristics</b>	<b>Universe of Schools</b>	<b>SIG-Eligible</b>		<b>SIG-Awarded</b>	
		<b>Cohort I Schools</b>	<b>Cohort II Schools</b>	<b>Cohort I Schools</b>	<b>Cohort II Schools</b>
<b>Free and Reduced-Price Lunch (school average percent of students)<sup>a</sup></b>	47.1%	70.8%	72.0%	72.5%	68.2%
<b>Race/Ethnicity (school average percent of students)<sup>*</sup></b>					
White	54.0%	26.3%	26.3%	26.4%	20.2%
African American	16.8%	27.4%	26.3%	41.1%	40.6%
Hispanic	22.1%	39.8%	41.0%	27.2%	33.4%
Native American	1.3%	1.5%	1.6%	2.0%	2.2%
Asian	5.1%	4.4%	4.0%	2.9%	3.4%
<b>Urbanicity (percent of schools)</b>					
Large or midsized city	26.1%	44.8%	44.9%	52.4%	52.1%
Urban fringe and large town	41.5%	35.3%	37.6%	24.1%	28.8%
Small town and rural area	32.4%	19.8%	17.5%	23.6%	19.0%
<b>School level (percent of schools)</b>					
Elementary	54.6%	54.8%	57.0%	32.4%	37.9%
Middle	17.2%	20.1%	19.7%	22.0%	21.4%
High	21.3%	19.2%	17.5%	39.8%	35.5%
Nonstandard	6.9%	5.9%	5.8%	5.8%	5.1%

continued next page

**Exhibit 13. (continued)  
Characteristics of the Universe of Schools, SIG-Eligible Schools, and  
SIG-Awarded Schools**

Characteristics	Universe of Schools	SIG-Eligible		SIG-Awarded	
		Cohort I Schools	Cohort II Schools	Cohort I Schools	Cohort II Schools
<b>School type (percent of schools)</b>					
Regular	90.7%	94.2%	94.4%	92.8%	93.7%
Alternative	6.0%	4.8%	4.6%	5.7%	3.9%
Special education	1.9%	0.7%	0.7%	0.8%	1.9%
Vocational	1.4%	0.3%	0.2%	0.7%	0.5%
<b>Charter School Status (percent of schools)</b>	5.0%	6.4%	6.3%	5.9%	7.0%
<b>Total School Enrollment (school average)</b>	515	586	593	641	685

**Source:** 2009–10 CCD; approved Cohort I and Cohort II state SIG applications; SEA Web sites.

**Notes:** Includes 98,172 schools in 50 states and DC for the universe of schools; 15,352 of 15,393 SIG-eligible schools and 1,230 of 1,235 SIG-awarded schools in 50 states and DC for Cohort I; and 12,440 of 12,445 SIG-eligible schools and 583 of 600 SIG-awarded schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, and VT).

Due to missing data in CCD, analysis samples may vary across school characteristics, and thus estimates may contain inaccuracies. For example, 6.6 percent of the universe of schools were missing data for at least one of the variables.

Among Cohort I schools, the missing rate was 2.6 percent for SIG-eligible schools and 0.2 percent for SIG-awarded schools; among Cohort II schools, the missing rate was 3.5 percent for SIG-eligible schools and 4.8 percent for SIG-awarded schools. The variable with the most missing data was percentage of free and reduced-price lunch students. Percentage values for characteristics with multiple categories may not sum to 100 percent due to rounding.

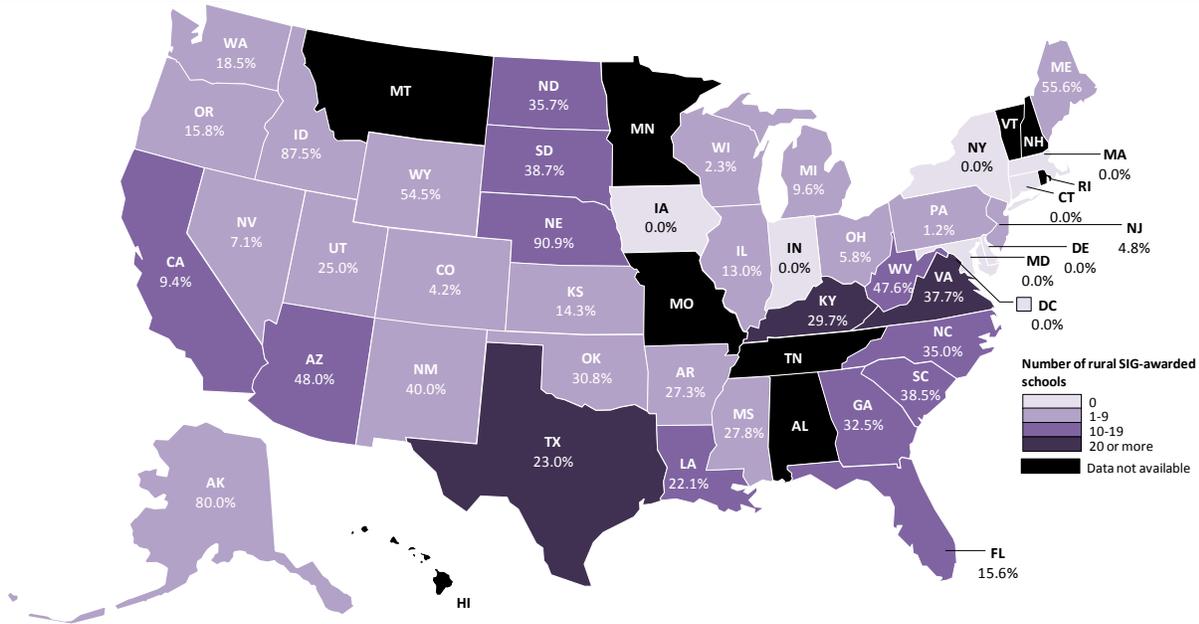
Nonstandard refers to those schools with a grade configuration not falling within the elementary, middle, or high school categories.

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

**How are rural SIG schools distributed across states?**

Some rural schools have reported that they would face specific challenges with recruiting and retaining quality teachers and with absorbing the impact that large-scale staff replacement (as required by one of the SIG intervention models) would have on the local economy (Rosenberg, 2011). Teachers and administrators in rural schools earn, on average, less than those in non-rural schools, and rural isolation may be unappealing to some staff (Hammer, 2005). Overall, about 20 percent of all SIG-awarded schools in Cohorts I and II combined are located in rural areas. Exhibit 14 shows the number and percentage of SIG-awarded schools located in rural areas that were receiving SIG in the 2011–12 school year (either through Cohort I or Cohort II awards). Three states (Kentucky, Texas, and Virginia) had 20 or more SIG-awarded rural schools, which represented 30, 23, and 38 percent of SIG-awarded schools in the state. An additional 11 states awarded SIG to between 10 and 19 rural schools, while 7 states and the District of Columbia did not award SIG to any rural schools (note: the District of Columbia does not have any SIG-eligible rural schools).

**Exhibit 14.**  
**Number and Percentage of SIG-Awarded Schools that are Rural in Cohorts I and II**



**Source:** 2009–10 CCD; SEA Web sites.

**Notes:** Includes 1,523 of 1,528 SIG-awarded schools in 41 states and DC for Cohorts I and II combined. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, and VT).

Schools awarded funds in Cohort I that selected the school closure model or received only a one-year grant were excluded from the exhibit as they were no longer receiving SIG in the 2011–12 school year.

## 4.4. SIG Funding to Schools

### What is the level of SIG funding for schools in Cohort II?

Exhibit 15 presents school and per-pupil average SIG amounts by tier, intervention model, school size, school level, and urbanicity for Cohort II. As with Cohort I, federal SIG guidance for Cohort II stipulates that the district's total SIG subgrant must be between \$50,000 and \$2 million per year, up to three years, for each awarded Tier I, Tier II, and Tier III school. Most states made fewer SIG awards in Cohort II than in Cohort I, but on average, total award and annual per-pupil award amounts were larger in Cohort II.<sup>17</sup> Cohort II Tier I and Tier II schools, on average, received total awards of \$2.63 million (\$1,690 annually per pupil) and \$3.17 million (\$1,480 per pupil), compared to average total awards of \$2.60 million (\$1,490 annually per pupil) and \$2.47 million (\$1,130 annually per pupil) for Cohort I Tier I and Tier II schools. Cohort II Tier III schools, on average, received total awards of \$0.81 million (\$870 annually per pupil), compared to average total awards of \$0.52 million (\$330 annually per pupil) for Cohort I Tier III schools (see Hurlburt et al., 2011 for additional findings on Cohort I).

Among the four intervention models, transformation schools, on average, received the largest total awards (\$2.87 million) in Cohort II, while turnaround schools, on average, had the largest total awards in Cohort I (\$2.96 million). Closure schools, on average, continued to receive the lowest level of funding—\$0.10 million in Cohort I and \$0.27 million in Cohort II.<sup>18</sup>

---

<sup>17</sup> In general, SIG awards cover a three-year period—of the schools with available data, 781 of 830 Cohort I SIG-awarded schools and 357 of 406 Cohort II SIG-awarded schools received three-year awards.

<sup>18</sup> 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 transfer students.

**Exhibit 15.  
Cohort II Total SIG Award and Annual Per-Pupil Award, by Selected Characteristics**

	N	Total Award Per School (in millions of dollars)		Annual Per-Pupil Award	
		Mean	S.D.	Mean	S.D.
<b>Tier</b>					
Tier I	177	\$2.63	1.55	\$1,690	1,120
Tier II	119	\$3.17	1.57	\$1,480	1,190
Tier III	110	\$0.81	0.85	\$870	770
<b>Intervention model</b>					
Restart	8	\$2.34	1.75	\$1,420	590
School Closure	1	\$0.27	n/a	\$1,250	n/a
Transformation	249	\$2.87	1.55	\$1,630	1,180
Turnaround	38	\$2.83	1.72	\$1,340	1,050
Tier III strategies*	110	\$0.81	0.85	\$870	770
<b>School size</b>					
200 or fewer students	63	\$1.18	1.07	\$3,660	3,270
201–400 students	92	\$1.60	1.33	\$1,750	1,320
401–600 students	110	\$2.02	1.45	\$1,460	1,030
601 or more students	140	\$3.44	1.61	\$1,240	660
<b>School level</b>					
Elementary	176	\$1.65	1.35	\$1,380	990
Middle	85	\$2.28	1.61	\$1,710	1,210
High	128	\$3.17	1.76	\$1,320	1,110
Nonstandard	16	\$2.21	1.57	\$1,940	1,710
<b>Urbanicity</b>					
Large or midsized city	187	\$2.64	1.73	\$1,390	890
Urban fringe and large town	120	\$2.05	1.61	\$1,290	1,140
Small town and rural area	98	\$1.89	1.52	\$1,840	1,640

**Source:** 2009–10 CCD; SEA Web sites.

**Notes:** N = number of schools; S.D. = standard deviation. Includes 406 SIG-awarded schools for Cohort II in 32 states and DC. Total SIG awards were not available for 18 states (AL, AR, CA, DE, HI, KY, MD, MN, MO, MT, NH, NM, NY, OH, RI, TN, VT, and WA). AR, CA, NY, and OH were approving funds for schools on a year-by-year basis and thus had announced year-one award allocations only. Additionally, school-level award allocations were unavailable for 1 school in FL, 14 schools in MI, 1 school in TX, and 2 schools in UT. The analysis sample for school size, school level, urbanicity, and annual per-pupil award amounts was 405 SIG-awarded schools, as 1 school in PA did not have a record in the 2009–10 CCD. Annual per-pupil awards were calculated for 293 SIG-awarded schools by dividing the average yearly award amount by the school’s student enrollment. For the 112 SIG-awarded schools without yearly allocation data, annual per-pupil awards were calculated by dividing the total SIG award by the number of years of the grant (3 years for 63 schools and 1 year for 49 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.

\*Tier III 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.)

## Do SIG award amounts vary across states for Cohort II Tier I and Tier II schools? How do these amounts compare to Cohort I?

Exhibit 16 shows the average total per-school and annual per-pupil SIG awards for each state’s Cohort II Tier I and Tier II schools. Overall, the average total award for Tier I and Tier II schools was \$2.84 million per school, while the annual per-pupil award was \$1,580. Among the 31 states and the District of Columbia with available data, average total school awards ranged from \$0.33 million in Idaho to \$5.91 million in New Jersey. The average annual per-pupil award exceeded \$3,000 in three states (Nebraska, Oklahoma, and South Dakota) but was less than \$600 in two states (Idaho and Nevada).

Exhibit 16 also shows the difference from Cohort I to Cohort II in average total per-school and per-pupil SIG awards for each state. For instance, among the 29 states and the District of Columbia with data in both cohorts, Cohort II Tier I and Tier II schools, on average, received larger awards than Cohort I Tier I and Tier II schools in 13 states and smaller awards in 16 states and the District of Columbia. Among the states with higher average total awards in Cohort II, the average total award was higher by \$0.99 million. Among the states with lower average total awards in Cohort II, the average total award was lower by \$0.45 million.

States	N	Total Award Per School (in millions of dollars)			Annual Per-Pupil Award		
		Mean	S.D.	Difference of Means (Cohort II – Cohort I)	Mean	S.D.	Difference of Means (Cohort II – Cohort I)
<b>Total</b>	<b>296</b>	<b>\$2.84</b>	<b>1.58</b>	<b>\$0.30</b>	<b>\$1,580</b>	<b>1,160</b>	<b>\$250</b>
Alaska	3	\$1.44	0.08	-\$0.02	\$920	\$1,120	-\$1,770
Arizona	7	\$2.26	0.94	-\$0.03	\$2,110	\$1,330	-\$550
Colorado	8	\$0.74	0.21	-\$1.00	\$700	\$30	-\$350
Connecticut	5	\$2.32	0.14	\$0.65	\$1,160	\$450	\$360
DC	6	\$1.00	0.32	-\$0.15	\$1,000	\$310	\$130
Florida	31	\$3.07	0.77	n/a	\$1,980	\$580	n/a
Georgia	14	\$3.95	1.06	\$1.00	\$1,570	\$670	\$410
Idaho	2	\$0.33	0.05	-\$0.20	\$490	\$310	-\$160
Illinois	13	\$5.05	1.25	\$0.42	\$1,760	\$910	\$540
Indiana	5	\$5.24	0.61	\$1.01	\$2,890	\$1,670	\$320
Iowa	3	\$2.61	0.26	-\$0.33	\$1,950	\$730	\$270
Kansas	1	\$1.70	n/a	-\$2.54	\$940	n/a	-\$2,210
Louisiana	5	\$1.19	0.29	\$0.11	\$910	\$640	\$530
Maine	3	\$1.69	0.97	-\$0.09	\$1,340	\$800	-\$220
Massachusetts	18	\$1.48	0.18	-\$0.67	\$950	\$260	-\$230
Michigan	10	\$4.30	1.40	\$1.34	\$1,960	\$950	\$540

continued next page

**Exhibit 16. (continued)**  
**Average Total SIG Award and Annual Per-Pupil Award for SIG-Awarded Tier I and Tier II Schools in Cohort II**

States	N	Total Award Per School (in millions of dollars)			Annual Per-Pupil Award		
		Mean	S.D.	Difference of Means (Cohort II – Cohort I)	Mean	S.D.	Difference of Means (Cohort II – Cohort I)
Mississippi	10	\$3.00	0.69	-\$1.06	\$2,460	\$1,020	\$430
Nebraska	4	\$1.39	0.22	-\$0.42	\$3,330	\$1,120	-\$320
Nevada	4	\$2.18	0.75	\$0.65	\$380	\$90	-\$200
New Jersey	9	\$5.91	0.25	\$2.14	\$2,100	\$990	\$510
North Carolina	17	\$2.96	1.25	\$0.58	\$1,550	\$900	\$80
Oklahoma	3	\$5.68	0.46	\$1.99	\$4,600	\$440	\$2,860
Oregon	7	\$2.22	1.19	-\$0.51	\$1,840	\$510	\$80
Pennsylvania	26	\$2.54	1.23	\$0.77	\$900	\$510	\$230
South Carolina	8	\$3.65	1.79	\$1.93	\$2,190	\$1,770	\$920
South Dakota	2	\$0.62	0.16	-\$0.01	\$4,720	\$1,100	\$1,940
Texas	48	\$3.11	1.51	-\$0.07	\$1,970	\$1,730	-\$440
Utah	5	\$1.59	0.48	-\$0.17	\$1,380	\$210	\$580
Virginia	9	\$1.88	0.61	-\$0.15	\$940	\$520	-\$190
West Virginia	6	\$1.32	0.34	\$0.34	\$1,050	\$320	\$360
Wisconsin	2	\$2.36	0.01	n/a	\$1,270	\$1,100	n/a
Wyoming	2	\$0.83	0.60	-\$0.29	\$1,860	\$2,290	-\$380

**Source:** 2009–10 CCD; SEA Web sites.

**Notes:** N = number of schools; S.D. = standard deviation. Includes 296 SIG-awarded Tier I and Tier II schools for Cohort II in 31 states and DC. Total SIG awards were not available for 18 states (AL, AR, CA, DE, HI, KY, MD, MN, MO, MT, NH, NM, NY, OH, RI, TN, VT, and WA). In addition, one state (ND) served only Tier III schools in Cohort II. AR, CA, NY, and OH were approving funds for schools on a year-by-year basis and thus had announced year-one award allocations only. Additionally, school-level award allocations were unavailable for 1 school in FL, 14 schools in MI, and 2 schools in UT. Annual per-pupil award amounts were unavailable for one school in PA that had no record in the 2009–10 CCD. Cohort I SIG award information was unavailable for FL and WI.

Annual per-pupil awards were calculated for 264 SIG-awarded schools by dividing the average yearly award amount by the school’s student enrollment. For the 31 SIG-awarded schools without yearly allocation data, annual per-pupil awards were calculated by dividing the total SIG award by the number of years of the grant (3 years for 30 schools and 1 year for 1 school) 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.

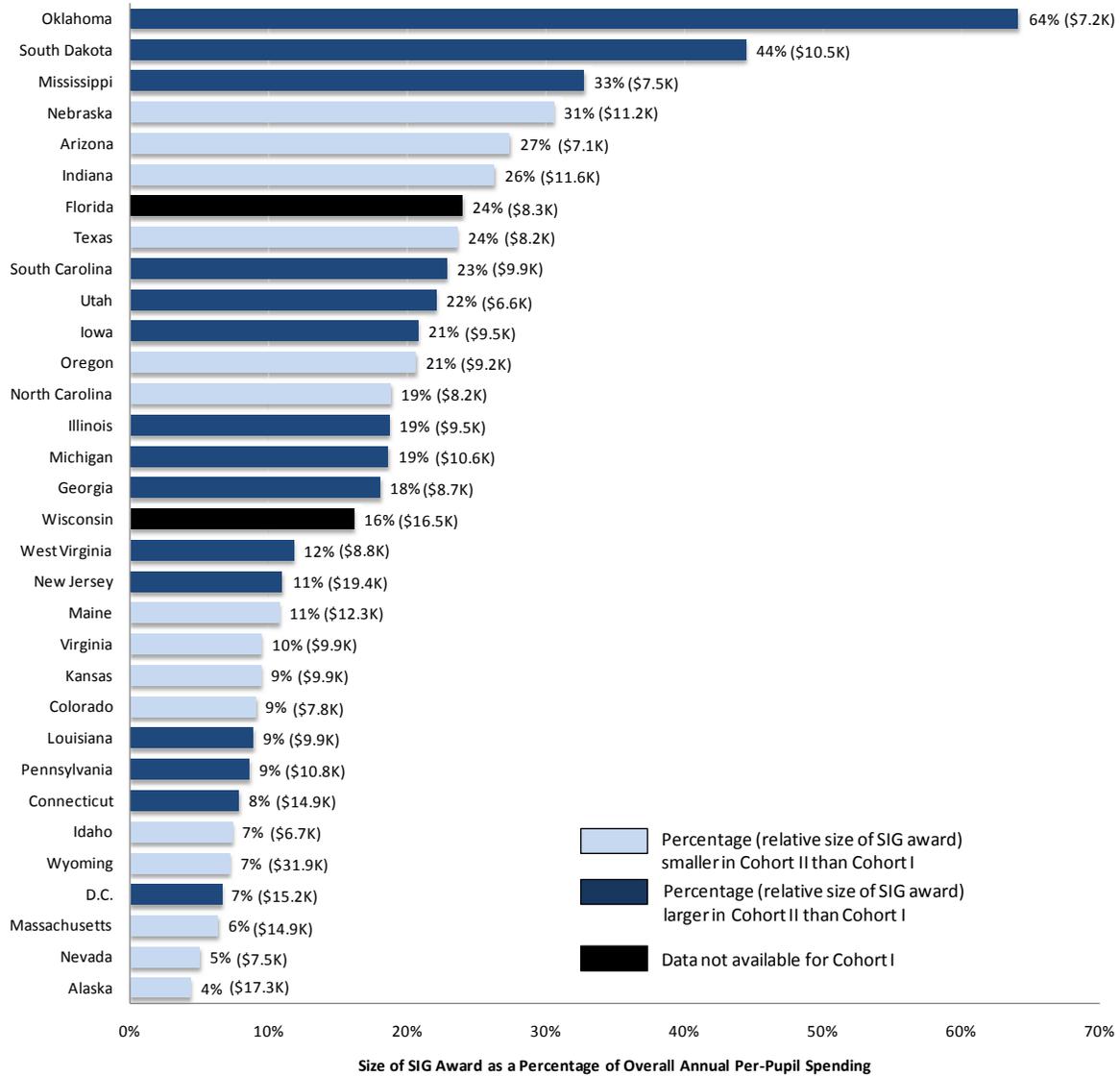
**What is the size of SIG awards relative to overall annual per-pupil spending for Cohort II Tier I and Tier II schools? How does the relative size of the SIG award vary across states and compare to Cohort I?**

Exhibit 17 displays for each state the average annual per-pupil amount of the SIG award as a percentage of the estimated overall annual per-pupil spending during the 2009–10 school year in Cohort II Tier I and

Tier II SIG-awarded schools. The percentages represent the size of the SIG awards relative to the overall baseline per-pupil spending in SIG-awarded schools. For example, on average, Cohort II SIG schools in Oklahoma received awards of \$4,600 per pupil per year, while in 2009–10 (prior to SIG) these schools spent approximately \$7,200 overall per pupil. Thus, on average, SIG awards in Oklahoma were worth approximately 64 percent of what was spent overall in 2009–10 per pupil. Among the 31 states and the District of Columbia with available data, the unweighted average size of the annual per-pupil SIG award was equivalent to 20 percent of overall per-pupil spending in 2009–10, while the average percentage weighted by student enrollment was equivalent to 17 percent. The average size of the annual per-pupil SIG award ranged from being equivalent to 4 percent of overall per-pupil spending in 2009–10 in Alaska to 64 percent in Oklahoma.

Among the 29 states and the District of Columbia with available data for both cohorts, Cohort II SIG provided awards that were worth the same or a higher percentage of overall 2009–10 per-pupil spending than Cohort I awards for 14 states and the District of Columbia. On average, Cohort II percentages exceeded Cohort I's by 6 percentage points for these states, ranging from being higher by 0 percentage points in the District of Columbia to 38 percentage points in Oklahoma. In contrast, Cohort II SIG provided awards that were worth a lower percentage of overall 2009–10 per-pupil spending than Cohort I awards for 15 states. On average, Cohort II percentages were lower than Cohort I's by 6 percentage points for these states, ranging from being lower by 1 percentage point in Oregon, Virginia, and Massachusetts to 27 percentage points in Kansas.

### Exhibit 17. Size of SIG Award as a Percentage of Overall Annual Per-Pupil Spending for Tier I and Tier II Awarded Schools in Cohort II



**Source:** 2009–10 CCD; SEA Web sites.

**Notes:** Includes 293 SIG-awarded Tier I and II schools for Cohort II in 31 states and DC. Per-pupil spending in 2009–10 was unavailable for one school in AZ and one school in WI. See notes for Exhibit 16 for more information on missing or excluded data. Annual per-pupil awards were calculated for 262 SIG-awarded schools by dividing the average yearly award amount by the school’s student enrollment. For the 31 SIG-awarded schools without yearly allocation data, annual per-pupil awards were calculated by dividing the total SIG award by the number of years of the grant (3 years for 30 schools and 1 year for 1 school) 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.

The percentage for each school was computed as the SIG school’s annual SIG per-pupil award as a percentage of the per-pupil spending on instruction, support services (student support services, instructional staff, and school administration), and operation and maintenance for the 2009-10 school year, *for the district in which the school is located*. The district measure is a proxy for per-pupil school-level spending (2009–10 base per-pupil spending figures from CCD are CPI-adjusted to 2011 dollars). This pre-SIG per-pupil spending is shown in parentheses. State averages were then calculated, weighting each school’s percentage from SIG in proportion to the number of students enrolled.

## 5. Summary

As of March 30, 2012, 45 states and the District of Columbia had received ED approval for their Cohort II SIG applications. These applications described how states planned to implement the second round of the SIG program (e.g., for the fiscal year 2010 SIG competition) and were required to obtain their formula-based share of federal SIG funds. These applications showed that 39 states and the District of Columbia developed new lists of schools that were eligible for SIG in Cohort II. While 14 of these states voluntarily developed new lists, another 25 states and the District of Columbia were required to do so either because there were fewer than 5 unfunded Tier I and II schools remaining on their Cohort I list or because they changed their definition of persistently lowest-achieving schools.

Another key finding from the review of Cohort II state SIG applications is that states and the District of Columbia planned to refine the SIG practices reported in their Cohort I applications. For example, 25 states modified their Cohort I criteria for determining whether a district had the capacity to support SIG implementation. The Cohort II applications also show that nearly all of the states (42 states and the District of Columbia out of the 45 states and the District of Columbia with available applications) appeared to make some revisions to their Cohort I plans for supporting SIG implementation in Cohort II, encompassing the areas of state restructuring/enhancement, designated support/monitoring staff, quality control measures for external providers, professional development, improvement tools, and creating networks.

In the analysis of Cohort II SIG awards, many of the findings parallel those reported for Cohort I in Hurlburt et al. (2011). The transformation model was again the most widely adopted model, being implemented for 75 percent of SIG-awarded Tier I and Tier II schools in Cohort II. Compared to elementary and secondary public schools nationwide, SIG-awarded schools were again more likely to be high-poverty (68 percent of students in Cohort II SIG schools were eligible for free or reduced-price lunch compared to 47 percent of students nationwide), high-minority (80 percent of students in Cohort II SIG schools were nonwhite compared to 46 percent of students nationwide), urban schools (52 percent of Cohort II SIG schools were in large or midsized cities compared to 26 percent of schools nationwide).

Although Cohort II SIG schools are similar to their Cohort I counterparts in many regards, there are a few differences. First, Cohort II is smaller than Cohort I as most states made awards for fewer schools. Second, the difference in average award levels between Cohort I and Cohort II SIG schools varied by state. Of the 29 states and the District of Columbia with available data, 13 states provided larger average total awards for Tier I and Tier II schools in Cohort II than Cohort I, while 16 states and the District of Columbia allocated smaller average awards in Cohort II than Cohort I. Third, compared to Cohort I, Cohort II featured a higher percentage of elementary schools (38 percent of Cohort II SIG-awarded schools compared to 32 percent in Cohort I), a lower percentage of rural schools (19 percent of Cohort II SIG-awarded schools compared to 24 percent in Cohort I), a higher percentage of Hispanic students (33 percent of students in Cohort II SIG-awarded schools compared to 27 percent in Cohort I schools), and a lower percentage of students eligible for free and reduced-price lunch (68 percent of students in Cohort II SIG-awarded schools compared to 73 percent in Cohort I schools).

## References

- Arizona Department of Education. (2011). Arizona School Improvement Grant application (Cohort II). Retrieved from: <http://www2.ed.gov/programs/sif/summary2010/azapp10.pdf>.
- Connecticut Department of Education. (2011). Connecticut School Improvement Grant application (Cohort II). Retrieved from: <http://www2.ed.gov/programs/sif/summary2010/ctapp10.pdf>.
- Hammer, P. (2005). *Rural teacher recruitment and retention practices: A review of the research literature, national survey of rural superintendents, and case studies of programs in Virginia*. Charleston, WV: Appalachia Educational Laboratory at Edvantia.
- Hurlburt, S., Le Floch, K., Therriault, S., and Cole, S. (2011). *Study of School Turnaround: Baseline analyses of SIG applications and SIG-eligible and SIG-awarded schools*. Washington, DC: U.S. Department of Education.
- Illinois State Board of Education. (2011). Illinois School Improvement Grant application (Cohort II). Retrieved from: <http://www2.ed.gov/programs/sif/summary2010/ilapp10.pdf>.
- Kentucky Department of Education. (2011). Kentucky School Improvement Grant application (Cohort II). Retrieved from: <http://www2.ed.gov/programs/sif/summary2010/kyapp10.pdf>.
- Rosenberg, S. J. (2011). *The challenges in implementing School Improvement Grant models in rural high schools*. Durham, NC: Alliance for Excellent Education.
- U.S. Department of Education. (2010a). Fiscal year 2011 state SIG application. Retrieved from: <http://www2.ed.gov/programs/sif/applicant.html>.
- U.S. Department of Education. (2010b). *Final requirements for School Improvement Grants, as amended in January 2010*.
- U.S. Department of Education. (2010c). *Guidance on School Improvement Grants under Section 1003(g) of the Elementary and Secondary Education Act of 1965*.
- U.S. Department of Education. (February 2011). *Guidance on fiscal year 2010 School Improvement Grants under Section 1003(g) of the Elementary and Secondary Education Act of 1965*. Washington, DC. Retrieved from: <http://www2.ed.gov/programs/sif/sigguidance02232011.pdf>.
- U.S. Department of Education. (February 16, 2011). *Addendum to guidance on fiscal year 2010 School Improvement Grants under Section 1003(g) of the Elementary and Secondary Education Act of 1965*. Washington, DC. Retrieved from: <http://www2.ed.gov/programs/sif/faqaddendum02162011.pdf>.

# Appendix A.

## Methodology for Analyses of State Applications for SIG

### Step 1: Data Collection and Capture

The primary data source for the analysis described in Section 3 was Cohort II SIG applications approved by ED for 45 states and the District of Columbia.<sup>19</sup> Information was collected from state SIG applications on the following five topics:

- Definitions of persistently lowest-achieving schools and state decisions about developing a new list of persistently lowest-achieving schools for Cohort II
- 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 state-elected waivers)
- Evaluation criteria for awarding and renewing SIG funds to districts and schools
- Requirements for districts to receive SIG funds (e.g., determining district capacity, metrics for measuring progress, reporting requirements)
- Strategies for supporting SIG implementation (e.g., use of the state 5 percent reserve funds, mechanisms for supporting SIG implementation)

A team composed of a lead researcher and four other researchers adapted the Excel-based data capture tool that was originally developed for the Cohort I state SIG application analyses to compile data on the above topics.<sup>20</sup> The data capture tool was divided into worksheets for each topic, with one row for each state. The worksheets included categories from the Cohort I analysis and new categories identified through the analysis of Cohort II state SIG applications. For some data elements, the researchers entered text data (cut and pasted from the SIG application). For other elements, the researchers inserted numbers, yes or no responses, or short answers. Data elements with short answers were followed by open-ended text boxes to capture quotes from the state applications and any additional supporting information. Because the state SIG applications followed the outline provided by ED, analogous information was found in the same sections of the application across states (U.S. Department of Education, 2010a). See Exhibit A-1 for a full list of the data elements.

The research team piloted the data capture tool, and each team member reviewed a state application, identifying topics in the application that were not captured or needed to be modified in the tool. For example, closed-ended fields were subsequently added to capture information about whether a state created a new list of persistently lowest-achieving schools for Cohort II or maintained the same list from Cohort I.

The team used three strategies in Step 1 to ensure reliability of the data capture process: training of researchers, ongoing guidance, and continuous data checks.

**Training.** After the data capture tool was developed, the lead researcher trained the four other researchers to review applications and capture data in the workbook. The training consisted of a review

---

<sup>19</sup> State SIG applications are available for download on ED's Web site (<http://www2.ed.gov/programs/sif/index.html#map>). Five states (AL, HI, RI, TN, VT) did not have approved Cohort II SIG applications posted on ED's Web site as of March 30, 2012.

<sup>20</sup> See Section 3.1 and Appendix A in Hurlburt et al. (2011).

of ED's SIG guidelines for the state application and *Baseline Analyses of SIG Applications and SIG-Eligible and SIG-Awarded Schools* (Hurlburt et al., 2011), guidance on the data capture workbook, and a group exercise on how to code information from one state application. Researchers were trained to read state applications at least twice: once to get an overview of the state's approach and a second time while completing the data capture workbook. The lead researcher provided one-on-one guidance and reviewed the initial entries.

**Ongoing guidance.** To ensure reliable data entry, the lead researcher provided the study team with ongoing guidance. Team members participated in seven meetings over three months to discuss specific state applications and data capture categories, and to clarify coding categories and identify data capture discrepancies. Once discrepancies were resolved, team members returned to earlier applications to add or clarify information as appropriate.

**Continuous data checks.** The data entries were checked regularly using multiple methods. First, the lead researcher reviewed all entries weekly to ensure consistency of data capture and coding among team members and across the state applications. Second, pairs of research team members met weekly to provide a quality review of each other's data capture for one of the SIG applications coded that week.<sup>21</sup> Last, the lead researcher and a second research team member conducted a final review of all data to cross-check the entries. When they observed discrepancies in data entries, the state SIG application was reviewed and coded again as appropriate.

## Step 2: Data Coding and Analysis

Once data capture workbooks were completed for all states and the District of Columbia, the lead researcher and a research team member developed a coding and analysis plan. First, they reviewed the data capture elements and the analysis from the Cohort I SIG applications to determine which categories would be retained for the Cohort II analyses and which needed further specification. For example, in the description of how states planned to use the 5 percent reserve of SIG funds, the Cohort I coding was still relevant. However, additional categories of state activities were necessary, including approving the list of restart providers, approving SIG school principal hires, and offering a leadership institute.

For all new components of the Cohort II state SIG applications, two researchers identified a list of codes based on a review of the data elements across SIG applications. They then updated the master list of codes with associated definitions from the Cohort I analyses. Next, the researchers updated the state-by-state tables with the relevant application text for each state, with the coding categories reflected in the spreadsheet columns. They reviewed the text for each state and assigned a category (or multiple categories if they were not mutually exclusive) listed in the columns. Results were then tallied for all state applications.

**Reliability.** To ensure reliable coding, three researchers reviewed each data element in the state-by-state coding tables. Two researchers each initially coded all of the short answer or text data for all of the states. The codes for these two researchers were then compared and an inter-rater agreement rating calculated. Across all of the data elements, the average agreement on codes was 98 percent. The range among the elements coded was between 96 percent and 100 percent. When the two researchers disagreed on a code, a third researcher coded the text and reconciled the discrepancy. When the codes were finalized, the states in each category were tallied.

---

<sup>21</sup> On average, each team member coded between one and three state SIG applications per week.

<b>Exhibit A-1.</b>	
<b>Cohort II State SIG Application Data Capture Elements (From Data Capture Workbook)</b>	
<b>Revised Sections of Cohort I State SIG Application</b>	
B. Additional evaluation criteria	yes or no
C. LEA capacity	yes or no
D1. Timeline	yes or no
D. Descriptive information	yes or no
E. Assurances	yes or no
F. SEA reserve funds	yes or no
G. Consultation with stakeholders	yes or no
<b>Definitions and Identification of Persistently Lowest-Achieving Schools</b>	
Revised Cohort I definition of persistently lowest-achieving schools?	yes or no
New list of eligible persistently lowest-achieving schools?	yes or no
If yes,	
... Required to submit a new list because of new persistently low-achieving school definition?	yes or no
... Required to submit a new list because fewer than five schools remained on the Cohort I list?	yes or no
... Voluntarily elected to submit a new list?	yes or no
<b>Achievement Data Used</b>	
Number of years of achievement data used to calculate current achievement level [#]—Cohort I, Cohort II	number of years
Achievement data—other comments	short answer
<b>Lack of Progress</b>	
Number of years of achievement data used to calculate “lack of progress” [#]—Cohort I, Cohort II	number of years
Lack of progress—other comments	short answer
<b>Graduation rate</b>	
Number of years of data used to calculate graduation rate [#]—Cohort I, Cohort II	number of years
<b>Tier I</b>	
WAIVER Tier I new eligible schools?	yes or no

continued next page

<b>Exhibit A–1. (continued)</b>	
<b>Cohort II State SIG Application Data Capture Elements (From Data Capture Workbook)</b>	
<b>Tier II</b>	
State is serving Tier II schools?	yes or no
WAIVER Tier II new eligible schools?	yes or no
<b>Prioritizing Tier I and Tier II Schools</b>	
State will serve Tier I schools	yes, no, or other
State will serve Tier II schools	yes, no, if funding is available
<b>Tier III</b>	
State has a different way of prioritizing Tier III schools?	yes or no
Schools in LEAs with Tier I and Tier 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 Tier II schools?	yes or no
Other—describe other Tier III prioritization strategies?	short answer
WAIVER Tier III new eligible schools?	yes or no
<b>SIG Funding Priorities</b>	
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
<b>Intervention Models Available</b>	
Turnaround	yes or no
Transformation	yes or no
Restart (CMO)	yes or no
Close	yes or no
Comments	short answer
Description of modifications and/or additional models	short answer
<b>State Review of LEA Capacity and LEA Applications</b>	
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
Rubric for capacity	yes or no
LEA self-report	yes or no
SEA meeting with LEA	yes or no
Completion of a needs assessment/audit	yes or no
Past performance with grants, funds, initiatives	yes or no
School improvement efforts	yes or no
Willingness to hire additional staff (LEA)	yes or no
Grant flexibility/autonomy to the SIG schools	yes or no

continued next page

<b>Exhibit A–1. (continued)</b>	
<b>Cohort II State SIG Application Data Capture Elements (From Data Capture Workbook)</b>	
<b>Timeline for LEA Applications</b>	
Pre-implementation funds available to LEAs?	yes or no
Timing of awards	month
Dependent on approval of state SIG application?	yes or no
Comments on aspects of the timeline	short answer
<b>State Monitoring</b>	
Metrics (in addition to SIG-established indicators) [source: <i>indicators and renewal process</i> ]	short answer
Reporting processes	short answer
Monitoring strategies	short answer [cut and paste]
Online/electronic	yes or no
Site visits	yes or no
Meetings	yes or no
Designated staff	yes or no
Additional support	yes or no
Phone call/check in	yes or no
No change between Cohort I and Cohort II	yes or no
Comments about state monitoring	short answer
<b>State Reserve—Building Capacity</b>	
Mechanisms for building district capacity	short answer
Strategies for building LEA Capacity	short answer
Administration/monitoring	yes or no
Approve list of restart providers	yes or no
Leadership institute/training	yes or no
Approve principals (hiring at SIG schools)	yes or no
Enhanced state system of support	yes or no
Liaison assigned to LEA/SIG school (one or more)	yes or no
Support team for LEA/SIG school	yes or no
Professional development/technical assistance offered	yes or no
Tools	yes or no
Reorganization of SEA office to support SIG	yes or no
Higher education engagement/partner	yes or no
Networks of SIG awardees (e.g., principal network, learning community, etc.)	yes or no
Approval/quality control of external partners	yes or no

## Appendix B.

<b>Exhibit B-1.</b>								
<b>Number and Percentage of SIG-Eligible Schools Overall and by Tier</b>								
States	Number of SIG-Eligible Schools	Percent of All Public Schools Eligible	Tier I		Tier II		Tier III	
			<i>n</i>	Percent of SIG-Eligible Schools	<i>n</i>	Percent of SIG-Eligible Schools	<i>n</i>	Percent of SIG-Eligible Schools
<b>Total</b>	<b>12,445</b>	<b>14.3%</b>	<b>795</b>	<b>6.4%</b>	<b>955</b>	<b>7.7%</b>	<b>10,695</b>	<b>85.9%</b>
Alaska	156	31.3%	21	13.5%	10	6.4%	125	80.1%
Arizona	286	12.5%	19	6.6%	6	2.1%	261	91.3%
Arkansas	269	24.2%	9	3.3%	4	1.5%	256	95.2%
California	2,627	26.4%	72	2.7%	24	0.9%	2,531	96.3%
Colorado	236	13.3%	10	4.2%	27	11.4%	199	84.3%
Connecticut	223	19.6%	12	5.4%	5	2.2%	206	92.4%
DC	129	59.7%	7	5.4%	0	0.0%	122	94.6%
Delaware	41	19.3%	5	12.2%	5	12.2%	31	75.6%
Florida	974	25.5%	37	3.8%	47	4.8%	890	91.4%
Georgia	199	8.8%	11	5.5%	6	3.0%	182	91.5%
Idaho	159	21.6%	5	3.1%	2	1.3%	152	95.6%
Illinois	927	21.2%	46	5.0%	52	5.6%	829	89.4%
Indiana	267	13.9%	36	13.5%	23	8.6%	208	77.9%
Iowa	164	11.2%	7	4.3%	30	18.3%	127	77.4%
Kansas	56	4.0%	5	8.9%	15	26.8%	36	64.3%
Kentucky	139	9.0%	7	5.0%	5	3.6%	127	91.4%
Louisiana	238	16.3%	12	5.0%	0	0.0%	226	95.0%
Maine	55	8.5%	5	9.1%	5	9.1%	45	81.8%
Maryland	92	6.5%	6	6.5%	13	14.1%	73	79.3%
Massachusetts	664	36.5%	45	6.8%	43	6.5%	576	86.7%
Michigan	198	5.2%	5	2.5%	71	35.9%	122	61.6%
Mississippi	235	21.7%	26	11.1%	37	15.7%	172	73.2%
Nebraska	48	4.3%	6	12.5%	19	39.6%	23	47.9%
Nevada	145	23.1%	13	9.0%	6	4.1%	126	86.9%
New Jersey	193	7.5%	25	13.0%	8	4.1%	160	82.9%
New Mexico	185	20.9%	33	17.8%	1	0.5%	151	81.6%
New York	468	10.0%	60	12.8%	8	1.7%	400	85.5%
North Carolina	356	14.0%	20	5.6%	25	7.0%	311	87.4%
North Dakota	83	16.6%	5	6.0%	5	6.0%	73	88.0%
Ohio	752	20.1%	47	6.3%	15	2.0%	690	91.8%
Oklahoma	122	6.8%	6	4.9%	18	14.8%	98	80.3%
Oregon	67	5.2%	6	9.0%	16	23.9%	45	67.2%
Pennsylvania	311	9.8%	55	17.7%	86	27.7%	170	54.7%
South Carolina	24	2.0%	9	37.5%	9	37.5%	6	25.0%
South Dakota	53	7.4%	5	9.4%	7	13.2%	41	77.4%

continued next page

<b>Exhibit B-1. (continued)</b>								
<b>Number and Percentage of SIG-Eligible Schools Overall and by Tier</b>								
<b>States</b>	<b>Number of SIG-Eligible Schools</b>	<b>Percent of All Public Schools Eligible</b>	<b>Tier I</b>		<b>Tier II</b>		<b>Tier III</b>	
			<b><i>n</i></b>	<b>Percent of SIG-Eligible Schools</b>	<b><i>n</i></b>	<b>Percent of SIG-Eligible Schools</b>	<b><i>n</i></b>	<b>Percent of SIG-Eligible Schools</b>
<b>Total</b>	<b>12,445</b>	<b>14.3%</b>	<b>795</b>	<b>6.4%</b>	<b>955</b>	<b>7.7%</b>	<b>10,695</b>	<b>85.9%</b>
Texas	441	5.2%	38	8.6%	236	53.5%	167	37.9%
Utah	64	6.2%	7	10.9%	14	21.9%	43	67.2%
Virginia	144	7.5%	7	4.9%	12	8.3%	125	86.8%
Washington	509	22.1%	27	5.3%	23	4.5%	459	90.2%
West Virginia	19	2.6%	5	26.3%	1	5.3%	13	68.4%
Wisconsin	63	2.8%	5	7.9%	8	12.7%	50	79.4%
Wyoming	64	17.9%	8	12.5%	8	12.5%	48	75.0%

**Source:** Approved Cohort II state SIG applications.

**Notes:** *n* = number of schools. Includes 12,445 SIG-eligible schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, VT).

<b>Exhibit B-2.</b>									
<b>Number of SIG-Eligible Schools by Poverty Level, Minority Level, and Urbanicity</b>									
<b>States</b>	<b>Poverty Level</b>			<b>Minority Level</b>			<b>Urbanicity</b>		
	<b>Low (0 to &lt;35%)</b>	<b>Medium (35 to &lt;75%)</b>	<b>High (75 to 100%)</b>	<b>Low (0 to &lt;25%)</b>	<b>Medium (25 to &lt;75%)</b>	<b>High (75 to 100%)</b>	<b>Urban</b>	<b>Suburban</b>	<b>Rural</b>
<b>Total</b>	<b>795</b>	<b>4,564</b>	<b>6,655</b>	<b>1,801</b>	<b>3,500</b>	<b>7,091</b>	<b>5,585</b>	<b>4,674</b>	<b>2,181</b>
Alaska	33	55	68	16	47	93	25	23	108
Arizona	24	92	166	7	63	216	149	69	68
Arkansas	2	140	127	66	123	80	64	95	110
California	41	775	1,768	36	520	2,028	1,304	1,094	229
Colorado	16	91	128	16	98	121	112	98	26
Connecticut	31	94	98	28	76	119	112	104	7
DC	2	32	92	0	1	126	129	0	0
Delaware	1	27	12	1	26	13	14	24	3
Florida	15	294	665	50	308	616	322	534	118
Georgia	2	94	103	15	81	103	46	75	78
Idaho	5	137	17	80	76	3	33	56	70
Illinois	59	222	590	106	187	634	499	369	59
Indiana	6	109	152	101	76	90	143	84	40
Iowa	6	122	36	71	88	5	86	45	33
Kansas	1	18	37	12	27	17	34	12	10
Kentucky	1	102	36	86	49	4	29	56	54
Louisiana	1	19	217	2	34	201	116	88	34
Maine	4	49	2	51	4	0	6	14	35
Maryland	0	17	75	1	10	81	57	34	1
Massachusetts	232	213	219	267	212	185	211	405	48
Michigan	5	98	95	48	39	111	120	56	22
Mississippi	0	48	187	14	57	164	27	96	112
Nebraska	13	25	10	24	19	5	13	9	26
Nevada	2	87	54	1	48	96	57	72	16
New Jersey	0	47	146	0	12	181	87	104	2
New Mexico	1	36	148	0	24	161	46	57	82
New York	15	67	78	24	68	373	391	60	14
North Carolina	4	183	168	14	184	158	126	92	138
North Dakota	20	45	16	47	10	24	15	16	50
Ohio	111	315	326	259	232	261	421	248	83
Oklahoma	2	32	88	9	69	44	45	25	52
Oregon	3	30	31	19	38	10	23	30	14
Pennsylvania	17	120	173	68	70	173	195	85	31
South Carolina	0	9	15	0	10	14	2	10	12
South Dakota	4	19	30	11	15	27	2	8	43
Texas	55	219	167	17	122	302	236	97	108
Utah	2	26	36	18	33	13	17	25	22
Virginia	10	103	30	29	67	48	51	42	51

continued next page

<b>Exhibit B-2. (continued)</b>									
<b>Number of SIG-Eligible Schools by Poverty Level, Minority Level, and Urbanicity</b>									
<b>States</b>	<b>Poverty Level</b>			<b>Minority Level</b>			<b>Urbanicity</b>		
	<b>Low (0 to &lt;35%)</b>	<b>Medium (35 to &lt;75%)</b>	<b>High (75 to 100%)</b>	<b>Low (0 to &lt;25%)</b>	<b>Medium (25 to &lt;75%)</b>	<b>High (75 to 100%)</b>	<b>Urban</b>	<b>Suburban</b>	<b>Rural</b>
<b>Total</b>	<b>795</b>	<b>4,564</b>	<b>6,655</b>	<b>1,801</b>	<b>3,500</b>	<b>7,091</b>	<b>5,585</b>	<b>4,674</b>	<b>2,181</b>
Washington	27	290	188	128	252	129	155	225	129
West Virginia	0	16	3	16	3	0	2	9	8
Wisconsin	1	12	50	2	7	54	59	2	2
Wyoming	21	35	8	41	15	8	4	27	33

**Source:** 2009–10 CCD; approved Cohort II state SIG applications.

**Notes:** Includes 12,445 SIG-eligible schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, VT). 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.

<b>Exhibit B-3.</b>								
<b>Number of SIG-Eligible Schools by School Level and School Size</b>								
<b>States</b>	<b>School Level</b>				<b>School Size</b>			
	<b>Elementary</b>	<b>Middle</b>	<b>High</b>	<b>Nonstandard</b>	<b>200 students or fewer</b>	<b>201 to 400 students</b>	<b>401 to 600 students</b>	<b>601 students or greater</b>
<b>Total</b>	<b>7,093</b>	<b>2,449</b>	<b>2,182</b>	<b>716</b>	<b>1,458</b>	<b>2,837</b>	<b>3,716</b>	<b>4,381</b>
Alaska	38	3	12	103	101	39	14	2
Arizona	112	76	81	17	71	43	47	125
Arkansas	143	71	52	3	24	98	82	65
California	1,596	589	358	84	160	357	691	1,376
Colorado	158	19	35	24	39	69	87	40
Connecticut	168	36	15	4	4	71	89	59
DC	86	21	16	6	19	68	28	12
Delaware	14	11	14	2	2	6	9	23
Florida	688	149	71	66	102	134	272	466
Georgia	30	51	105	13	8	27	46	118
Idaho	105	37	12	5	29	48	57	25
Illinois	619	106	192	10	44	233	280	370
Indiana	216	18	19	14	13	81	107	66
Iowa	112	36	15	1	18	70	47	29
Kansas	22	11	22	1	12	14	14	16
Kentucky	35	64	37	3	3	26	50	60
Louisiana	135	43	47	13	12	93	83	49
Maine	21	20	11	3	8	30	10	7
Maryland	66	12	7	7	4	33	33	22
Massachusetts	392	121	58	93	126	166	224	148
Michigan	60	12	115	11	59	48	40	51
Mississippi	89	66	69	11	11	77	79	68
Nebraska	14	7	27	0	18	12	9	9
Nevada	98	36	10	1	5	7	31	102
New Jersey	140	43	7	3	4	50	78	61
New Mexico	77	61	44	3	58	54	40	33
New York	174	109	154	28	36	65	156	208
North Carolina	262	59	19	16	25	81	156	94
North Dakota	53	13	15	0	43	20	14	4
Ohio	486	119	94	53	87	260	281	124
Oklahoma	43	26	49	4	44	31	31	16
Oregon	34	14	17	2	10	25	22	10
Pennsylvania	164	54	74	19	10	67	104	130
South Carolina	4	6	13	1	5	7	3	9
South Dakota	26	16	10	1	36	12	4	1
Texas	20	186	186	49	116	70	64	191
Utah	44	0	15	5	19	11	14	20
Virginia	117	12	12	3	1	35	60	48

continued next page

<b>Exhibit B-3. (continued)</b>								
<b>Number of SIG-Eligible Schools by School Level and School Size</b>								
<b>States</b>	<b>School Level</b>				<b>School Size</b>			
	<b>Elementary</b>	<b>Middle</b>	<b>High</b>	<b>Nonstandard</b>	<b>200 students or fewer</b>	<b>201 to 400 students</b>	<b>401 to 600 students</b>	<b>601 students or greater</b>
<b>Total</b>	<b>7,093</b>	<b>2,449</b>	<b>2,182</b>	<b>716</b>	<b>1,458</b>	<b>2,837</b>	<b>3,716</b>	<b>4,381</b>
Washington	359	88	35	27	34	139	236	100
West Virginia	15	3	1	0	0	8	9	2
Wisconsin	28	9	20	6	11	21	11	20
Wyoming	30	16	17	1	27	31	4	2

**Source:** 2009–10 CCD; approved Cohort II state SIG applications.  
**Notes:** Includes 12,445 SIG-eligible schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, VT). 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.

<b>Exhibit B-4.</b>					
<b>Number of SIG-Eligible Schools by School Type and for Charter Schools</b>					
<b>States</b>	<b>School Type</b>				<b>Charter School</b>
	<b>Regular</b>	<b>Special Education</b>	<b>Vocational</b>	<b>Alternative/Other</b>	
<b>Total</b>	<b>11,749</b>	<b>90</b>	<b>28</b>	<b>573</b>	<b>780</b>
Alaska	129	2	0	25	2
Arizona	276	0	2	8	61
Arkansas	269	0	0	0	1
California	2,443	7	1	176	100
Colorado	198	5	2	31	16
Connecticut	220	0	3	0	8
DC	126	0	3	0	53
Delaware	36	2	2	1	6
Florida	885	21	4	64	82
Georgia	194	4	0	1	4
Idaho	151	0	0	8	3
Illinois	927	0	0	0	21
Indiana	263	1	0	3	24
Iowa	162	0	0	2	2
Kansas	55	0	0	1	2
Kentucky	139	0	0	0	0
Louisiana	212	1	0	25	24
Maine	55	0	0	0	0
Maryland	88	1	0	3	7
Massachusetts	630	15	5	14	23
Michigan	141	0	0	57	23
Mississippi	235	0	0	0	0
Nebraska	48	0	0	0	0
Nevada	143	0	0	2	3
New Jersey	193	0	0	0	15
New Mexico	178	0	0	7	13
New York	453	2	1	9	2
North Carolina	356	0	0	0	11
North Dakota	81	0	0	0	0
Ohio	730	21	0	1	152
Oklahoma	120	0	0	2	2
Oregon	58	0	0	9	2
Pennsylvania	305	1	5	0	28
South Carolina	24	0	0	0	3
South Dakota	51	0	0	2	0
Texas	334	3	0	104	67
Utah	54	4	0	6	5
Virginia	143	0	0	1	0

continued next page

<b>Exhibit B-4. (continued)</b>					
<b>Number of SIG-Eligible Schools by School Type and for Charter Schools</b>					
<b>States</b>	<b>School Type</b>				<b>Charter School</b>
	<b>Regular</b>	<b>Special Education</b>	<b>Vocational</b>	<b>Alternative/Other</b>	
<b>Total</b>	<b>11,749</b>	<b>90</b>	<b>28</b>	<b>573</b>	<b>780</b>
Washington	508	0	0	1	0
West Virginia	19	0	0	0	0
Wisconsin	61	0	0	2	13
Wyoming	56	0	0	8	2

**Source:** 2009–10 CCD; approved Cohort II state SIG applications.  
**Notes:** Includes 12,445 SIG-eligible schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, VT). 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.

<b>Exhibit C-1. Number of SIG-Awarded Schools Overall and by Tier, Poverty Level, and Minority Level</b>										
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%)
<b>Total</b>	<b>600</b>	<b>315</b>	<b>174</b>	<b>111</b>	<b>43</b>	<b>185</b>	<b>327</b>	<b>62</b>	<b>121</b>	<b>398</b>
Alaska	3	2	1	0	1	0	2	1	0	2
Arizona	7	5	2	0	0	3	4	0	1	6
Arkansas	4	3	1	0	0	1	3	0	1	3
California	38	31	7	0	0	4	32	0	0	36
Colorado	8	8	0	0	0	1	7	0	2	6
Connecticut	5	2	3	0	1	2	2	0	1	4
DC	6	6	0	0	0	0	6	0	0	6
Delaware	4	4	0	0	0	3	1	0	2	2
Florida	32	32	0	0	0	0	32	0	0	32
Georgia	14	10	4	0	0	8	6	0	7	7
Idaho	2	1	1	0	0	2	0	0	2	0
Illinois	13	8	5	0	0	2	9	1	2	10
Indiana	5	4	1	0	0	2	3	0	1	4
Iowa	3	3	0	0	0	0	3	0	3	0
Kansas	1	1	0	0	0	0	1	0	0	1
Kentucky	12	7	5	0	0	9	3	4	8	0
Louisiana	37	5	0	32	0	4	33	0	4	33
Maine	4	3	0	1	0	3	1	3	1	0
Maryland	5	2	3	0	0	2	3	0	1	4
Massachusetts	18	17	1	0	0	2	16	0	3	15
Michigan	24	0	24	0	0	14	10	0	7	17
Mississippi	10	6	4	0	0	0	10	0	0	10
Nebraska	4	4	0	0	0	2	2	1	1	2
Nevada	4	4	0	0	0	4	0	0	2	2
New Jersey	9	4	5	0	0	5	4	0	0	9
New Mexico	6	5	1	0	0	4	2	0	1	5
New York	52	45	7	0	1	10	3	0	3	33
North Carolina	17	10	7	0	1	7	9	1	2	14
North Dakota	41	0	0	41	8	27	6	24	9	8
Ohio	45	34	11	0	10	6	29	6	14	25
Oklahoma	3	1	2	0	0	0	3	0	0	3
Oregon	7	3	4	0	1	0	5	2	3	2
Pennsylvania	26	8	18	0	0	7	18	1	6	18
South Carolina	8	5	3	0	0	4	4	0	1	7
South Dakota	14	2	0	12	1	7	6	4	6	4

continued next page

<b>Exhibit C-1. (continued)</b>										
<b>Number of SIG-Awarded Schools Overall and by Tier, Poverty Level, and Minority Level</b>										
<b>States</b>	<b>Number of SIG-Awarded Schools</b>	<b>Tier</b>			<b>Poverty Level</b>			<b>Minority Level</b>		
		<b>Tier I</b>	<b>Tier II</b>	<b>Tier III</b>	<b>Low (0 to &lt;35%)</b>	<b>Medium (35 to &lt;75%)</b>	<b>High (75 to 100%)</b>	<b>Low (0 to &lt;25%)</b>	<b>Medium (25 to &lt;75%)</b>	<b>High (75 to 100%)</b>
<b>Total</b>	<b>600</b>	<b>315</b>	<b>174</b>	<b>111</b>	<b>43</b>	<b>185</b>	<b>327</b>	<b>62</b>	<b>121</b>	<b>398</b>
Texas	62	9	39	14	16	20	26	1	11	50
Utah	8	3	4	1	0	2	6	1	4	3
Virginia	16	6	3	7	0	9	7	2	6	8
Washington	10	6	4	0	0	4	5	3	3	4
West Virginia	6	5	1	0	0	4	2	4	2	0
Wisconsin	2	0	2	0	0	0	2	0	0	2
Wyoming	5	1	1	3	3	1	1	3	1	1

**Source:** 2009–10 CCD; SEA Web sites.

**Notes:** Includes 600 SIG-awarded schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, VT). 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.  
Number of SIG-Awarded Schools by Urbanicity, School Level, and School Size**

States	Urbanicity			School Level				School Size			
	Urban	Suburban	Rural	Elementary	Middle	High	Nonstandard	200 students or fewer	201 to 400 students	401 to 600 students	601 students or greater
<b>Total</b>	<b>304</b>	<b>168</b>	<b>111</b>	<b>221</b>	<b>125</b>	<b>207</b>	<b>30</b>	<b>87</b>	<b>118</b>	<b>146</b>	<b>230</b>
Alaska	0	1	2	0	0	0	3	2	0	0	1
Arizona	1	2	4	1	1	5	0	3	2	1	1
Arkansas	1	2	1	0	0	4	0	0	1	1	2
California	19	17	2	15	14	9	0	0	3	11	22
Colorado	2	6	0	8	0	0	0	0	5	3	0
Connecticut	3	2	0	2	0	3	0	0	1	1	3
DC	6	0	0	3	3	0	0	0	5	1	0
Delaware	2	2	0	1	0	3	0	1	1	0	2
Florida	17	13	2	25	7	0	0	2	5	15	10
Georgia	4	4	6	0	0	14	0	0	3	2	9
Idaho	0	0	2	1	1	0	0	1	1	0	0
Illinois	11	1	1	0	0	13	0	1	0	0	12
Indiana	5	0	0	2	2	1	0	0	2	2	1
Iowa	3	0	0	2	1	0	0	0	1	2	0
Kansas	1	0	0	0	1	0	0	0	0	0	1
Kentucky	6	4	2	0	1	11	0	0	0	2	10
Louisiana	17	14	6	21	6	9	1	1	12	16	8
Maine	1	0	3	2	0	2	0	0	2	1	1
Maryland	3	2	0	1	2	1	1	0	2	0	3
Massachusetts	13	5	0	13	3	2	0	0	4	9	5
Michigan	16	8	0	5	8	11	0	0	2	8	14
Mississippi	0	6	4	4	2	3	1	2	4	3	1
Nebraska	0	0	4	2	1	1	0	3	1	0	0
Nevada	3	1	0	1	0	3	0	0	0	1	3
New Jersey	4	5	0	2	1	5	1	0	1	1	7
New Mexico	2	3	1	1	1	4	0	2	0	0	4
New York	34	2	0	0	10	25	1	1	1	5	29
North Carolina	11	0	6	8	0	8	1	3	4	4	6
North Dakota	13	14	14	28	10	3	0	13	13	12	3
Ohio	37	5	3	21	4	11	9	16	13	9	7
Oklahoma	0	0	3	0	1	1	1	0	1	2	0
Oregon	3	2	2	2	1	3	1	3	1	1	2
Pennsylvania	19	6	0	11	3	9	2	1	2	6	16
South Carolina	1	4	3	0	1	7	0	1	3	0	4
South Dakota	1	5	8	7	5	2	0	8	3	2	1
Texas	31	14	17	4	32	22	4	16	5	9	32
Utah	4	2	2	4	0	4	0	1	3	1	3
Virginia	6	8	2	13	0	3	0	0	5	7	4

continued next page

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

States	Urbanicity			School Level				School Size			
	Urban	Suburban	Rural	Elementary	Middle	High	Nonstandard	200 students or fewer	201 to 400 students	401 to 600 students	601 students or greater
<b>Total</b>	<b>304</b>	<b>168</b>	<b>111</b>	<b>221</b>	<b>125</b>	<b>207</b>	<b>30</b>	<b>87</b>	<b>118</b>	<b>146</b>	<b>230</b>
Washington	2	4	4	4	2	1	3	3	2	3	2
West Virginia	1	2	3	5	0	1	0	0	2	4	0
Wisconsin	1	0	1	0	0	1	1	0	1	0	1
Wyoming	0	2	3	2	1	2	0	3	1	1	0

**Source:** 2009–10 CCD; SEA Web sites.

**Notes:** Includes 600 SIG-awarded schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, VT). 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.

<b>Exhibit C-3.</b>					
<b>Number of SIG-Awarded Schools by School Type and for Charter Schools</b>					
<b>States</b>	<b>School Type</b>				<b>Charter School</b>
	<b>Regular</b>	<b>Special Education</b>	<b>Vocational</b>	<b>Alternative/Other</b>	
<b>Total</b>	<b>546</b>	<b>11</b>	<b>3</b>	<b>23</b>	<b>41</b>
Alaska	2	0	0	1	0
Arizona	7	0	0	0	2
Arkansas	4	0	0	0	0
California	38	0	0	0	0
Colorado	8	0	0	0	0
Connecticut	5	0	0	0	0
DC	6	0	0	0	0
Delaware	2	0	1	1	1
Florida	31	0	0	1	1
Georgia	14	0	0	0	0
Idaho	2	0	0	0	0
Illinois	13	0	0	0	1
Indiana	5	0	0	0	0
Iowa	3	0	0	0	0
Kansas	1	0	0	0	0
Kentucky	12	0	0	0	0
Louisiana	33	0	0	4	4
Maine	4	0	0	0	0
Maryland	5	0	0	0	0
Massachusetts	16	1	1	0	0
Michigan	24	0	0	0	0
Mississippi	10	0	0	0	0
Nebraska	4	0	0	0	0
Nevada	4	0	0	0	0
New Jersey	9	0	0	0	0
New Mexico	6	0	0	0	0
New York	35	0	1	0	0
North Carolina	17	0	0	0	1
North Dakota	41	0	0	0	0
Ohio	34	10	0	1	17
Oklahoma	3	0	0	0	1
Oregon	4	0	0	3	0
Pennsylvania	25	0	0	0	4
South Carolina	8	0	0	0	1
South Dakota	13	0	0	1	0
Texas	53	0	0	9	7
Utah	7	0	0	1	0
Virginia	16	0	0	0	0

continued next page

<b>Exhibit C-3. (continued)</b>					
<b>Number of SIG-Awarded Schools by School Type and for Charter Schools</b>					
<b>States</b>	<b>School Type</b>				<b>Charter School</b>
	<b>Regular</b>	<b>Special Education</b>	<b>Vocational</b>	<b>Alternative/Other</b>	
<b>Total</b>	<b>546</b>	<b>11</b>	<b>3</b>	<b>23</b>	<b>41</b>
Washington	10	0	0	0	0
West Virginia	6	0	0	0	0
Wisconsin	2	0	0	0	1
Wyoming	4	0	0	1	0

**Source:** 2009–10 CCD; SEA Web sites.

**Notes:** Includes 600 SIG-awarded schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, VT). 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.

<b>Exhibit C-4.</b>					
<b>Number of SIG-Awarded Schools by Intervention Model</b>					
<b>States</b>	<b>Intervention Model</b>				<b>Tier III School Improvement Strategies*</b>
	<b>Turnaround</b>	<b>Restart</b>	<b>School Closure</b>	<b>Transformation</b>	
<b>Total</b>	<b>91</b>	<b>29</b>	<b>2</b>	<b>367</b>	<b>111</b>
Alaska	0	0	0	3	0
Arizona	2	0	0	5	0
Arkansas	0	0	0	4	0
California	10	5	0	23	0
Colorado	0	0	0	8	0
Connecticut	1	1	0	3	0
DC	3	1	0	2	0
Delaware	0	0	0	4	0
Florida	4	0	1	27	0
Georgia	1	0	0	13	0
Idaho	0	0	0	2	0
Illinois	0	0	0	13	0
Indiana	4	0	0	1	0
Iowa	1	0	0	2	0
Kansas	0	0	0	1	0
Kentucky	7	0	0	5	0
Louisiana	2	2	0	1	32
Maine	1	0	0	2	1
Maryland	2	3	0	0	0
Massachusetts	5	2	0	11	0
Michigan	7	0	0	17	0
Mississippi	2	0	0	8	0
Nebraska	0	0	0	4	0
Nevada	4	0	0	0	0
New Jersey	4	0	0	5	0
New Mexico	1	0	0	5	0
New York	17	12	0	23	0
North Carolina	1	0	0	16	0
North Dakota	0	0	0	0	41
Ohio	9	1	0	35	0
Oklahoma	0	0	0	3	0
Oregon	0	0	0	7	0
Pennsylvania	2	2	0	22	0
South Carolina	0	0	1	7	0
South Dakota	0	0	0	2	12
Texas	0	0	0	48	14
Utah	0	0	0	7	1
Virginia	0	0	0	9	7

continued next page

<b>Exhibit C-4. (continued)</b>					
<b>Number of SIG-Awarded Schools by Intervention Model</b>					
<b>States</b>	<b>Intervention Model</b>				<b>Tier III School Improvement Strategies*</b>
	<b>Turnaround</b>	<b>Restart</b>	<b>School Closure</b>	<b>Transformation</b>	
<b>Total</b>	<b>91</b>	<b>29</b>	<b>2</b>	<b>367</b>	<b>111</b>
Washington	1	0	0	9	0
West Virginia	0	0	0	6	0
Wisconsin	0	0	0	2	0
Wyoming	0	0	0	2	3

**Source:** SEA Web sites.

**Notes:** Includes 600 SIG-awarded schools in 41 states and DC for Cohort II. As of March 30, 2012, Cohort II SIG award information was unavailable for nine states (AL, HI, MN, MO, MT, NH, RI, TN, VT).

\*Tier III school improvement 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.)

