

THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT

To: PLA Group (Cohort II)
See List Below

Date: March 23, 2011

From: Roberto Reyes 

Subject: Final Application Submission Instructions for 2011-12
SIG Application

SIG Cohort II Application Submission and Instructions

Based on our on-going conversations with USED, we have learned that there will not be any further changes to the LEA level application draft that we shared with you during the March 2nd technical assistance session. Accordingly, we have removed the “draft” status of the application and have posted it on the following website for your use <http://www.p12.nysed.gov/nclb/programs/titleia/sig1003g/1112/1112sig1003g.html> . On the website you will also find copies of the PowerPoint presentation and Field Guidance #2011/1 that contains general information about the School Improvement Grants (SIG), eligibility requirements, identification of Persistently Low Performing schools (PLAs), pre-implementation activities, etc.

Additionally, as the result of a clarifying conversation with USED, SED has learned that the USED will be issuing additional guidance regarding state’s interpretation of the “two year rule.” The new guidance will indicate that LEAs can retain current PLA school principals as long as the principal was not the school leader at the end of the 2007-08 school year and the LEA can provide evidence that the principal was hired as part of a school intervention effort. Once we receive this guidance officially, we will make it available to you in order to assist in your intervention model selection and implementation planning.

Prior to the April 30th application submission deadline, we will be scheduling meetings with each of the eligible district application teams to discuss:

- use of the Joint Intervention Team findings in identifying models and planning for model implementation in PLA schools;
- information gathered during this year’s PLA implementation monitoring visits (for those LEAs with PLAs identified in February 2010); and
- any questions that you would like answered that may help with you intervention model selection, planning, and implementation.

Final Application Submission Instructions:

As was discussed during the March 2nd orientation, the application deadline is April 30, 2011.

NOTE: The USED has informed states that SIG awards under Section 1003(g) must be made no later than July 31, 2011. There will be no exceptions to this requirement. NYSED will accept and review applications on a rolling basis anytime after April 30th.

Your complete application submission package must consist of the following:

1. A paper copy of the application and all of its required components including the budget narrative and three (3) copies of the FS-10. Your FS-10 should reflect the total district amount that is being requested.
2. The certifications regarding the collective bargaining changes necessary to implement a teacher and principal evaluation system, based in part on student growth, as required in the transformation model. Please see the attached document, **Required Certifications for 1003(g) School Improvement Grant Applications** for more information on the certifications and suggested language.
3. As an addendum, you must include individual building-level budgets, which should clearly describe the allocation amounts for each of the individual buildings and the activities that are planned. Use of the FS-10 form is required.
4. Your budget narrative and FS-10 must clearly identify all planned district level activities and expenditures, and be aligned directly with the information provided in your application and model implementation plans.
5. Copies of your application, budget narrative, and budgets on CD, to facilitate electronic transfers between review teams and your district.

Application Review Process:

Each LEA application will be assigned to a review team that will conduct the initial review of the application and generate a set of questions and Request for Information (RFI). The RFI will then be shared with the district for use in guiding the Application Review Consultation. The Application Review Consultation will be a two-hour meeting during which the LEA will have an opportunity to clarify and/or provide additional information regarding issues identified in the RFI.

After the Application Review Consultation the LEA will be required to amend the respective section/s of the application where changes were necessitated as a result of the consultation and in answer to the Request for Information. Required changes to the application must be made within the original application submission and be highlighted, noting the date of the change.

Once NYSED receives the amended application the team will review the changes and generate a recommendation to senior management regarding approval or denial. Based on senior management review, a final determination letter will be issued. The LEA application, whether approved or denied, will be posted on our website and submitted to USED for posting.

All approved applicants are required to initiate implementation by July 1, 2011.

Prior to submitting your application, please be sure that:

1. You have clearly documented the consultation process you used at the building level.
2. Provided justification for selection of a school leader.
3. Your budgets take student enrollments and disproportion into consideration.
4. You demonstrate how lessons learned from Year 1 implementation are being integrated into your application.
5. You demonstrate how the LEA plans to sustain implementation beyond the expiration of SIG funds.

**Required Certifications for the
2011-2012 1003(g) School Improvement Grant Application**

Pursuant to USDE guidance, states must approve all applications for 2011-2012 SIG funding Under section 1003(g) of ESEA by July 31, 2011. Because the SIG transformation model is tied to implementation of New York State's teacher and principal evaluation law and regulations, the Department is requiring that school districts applying for SIG funding to implement the Transformation model in the 2011-2012 school year and school districts whose applications for such funding are approved by the Department provide the signed certifications described below.

(1) Certification required to be Submitted by April 30, 2011 as a Condition for Approval of SIG Grant

Together with its SIG application (which must be submitted to the Department no later than **April 30, 2011**), school districts seeking to implement the Transformation model must provide a document signed by the superintendent and the local teachers union leader, and where applicable a document signed by the superintendent and the leader of the union representing building principals, committing to the following:

By signing this document, the school district and its collective bargaining agent(s) hereby agree that, by no later than January 1, 2012, all new and/or existing collective bargaining agreements for classroom teachers and building principals assigned to schools in which the district is receiving §1003(g) funds to implement the Transformation model will be consistent with and/or amended and/or modified as necessary to require that, beginning in the 2011-2012 school year, all classroom teachers and building principals in such schools are evaluated in accordance with the provisions of Education Law §3012-c and Commissioner's regulations.

(2) Certification Required to be Submitted by January 1, 2012 in Order For Subsequent Program Expenditures to be Approved.

School districts that are approved for SIG funding to implement the Transformation model in the 2011-2012 school year must provide the Department with the following certification signed by the superintendent and the local teachers union leader, and where applicable a document signed by the superintendent and the leader of the union representing building principals. Please note that the failure of such districts to provide this certification to the Department by January 1, 2012 will result in disallowance and or disapproval of any program expenditures beyond January 1, 2012 until such time as the required certifications are in-place. Pending completion of this certification requirement, initial expenditures will be capped at up to twenty-five percent of approved award amounts. Failure to have the certifications in-place may also result in disapproval of subsequent years funding.

By signing this document, the school district and its collective bargaining agent(s) hereby certify that all new and/or existing

collective bargaining agreements for classroom teachers and building principals assigned to schools in which the district is receiving §1003(g) funds to implement the Transformation model are consistent with and/or have been amended and/or modified as necessary to require that all classroom teachers and building principals in such schools are evaluated, beginning in the 2011-2012 school year, in accordance with the provisions of Education Law §3012-c and Commissioner's regulations.

Eligible List:

Albany
Buffalo
George Jr, Republic
Greenburgh 11
Mt. Pleasant Cottage
New York City
Poughkeepsie
Rochester
Roosevelt*
Schenectady
Syracuse

*Pending USDOE approval

Cc: Ira Schwartz
Sally Bachofer
Sharon Holder
Owen Donovan
Alexandra Pressley