

**OKLAHOMA LEA  
APPLICATION INSTRUCTIONS  
SCHOOL IMPROVEMENT GRANTS 1003(g) AND  
AMERICAN RECOVERY AND REINVESTMENT ACT**

**PURPOSE OF THE SCHOOL IMPROVEMENT GRANT (1003(G) PROGRAM**

School Improvement Grants, authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants, through State educational agencies (SEAs), to local educational agencies (LEAs) for use in Title I schools identified for improvement, corrective action, or restructuring that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of their students so as to enable the schools to make adequate yearly progress and exit improvement status.

Under the interim final requirements, published in the Federal Register in January 2010, school improvement funds are to be focused on each State's Tier I, Tier II, and Tier III schools.

Tier I schools are a State's persistently lowest-achieving Title I schools in improvement, corrective action, or restructuring.

Tier II schools are a State's persistently-lowest achieving secondary schools that are eligible for, but do not receive, Title I, Part A funds, secondary schools that have had a graduation rate below 60 percent over a number of years and secondary Tier I schools that are in the lowest quintile of schools in the state. Tier II schools are also any secondary school that receives Title I funds and has an achievement rate for reading and mathematics combined that is in the lowest quintile of schools in the State.

Tier III schools are any Title I school in improvement, corrective action, or restructuring that have not been identified as a Tier I school.

**FOUR INTERVENTION MODELS:**

Any Tier I and Tier II schools an LEA chooses to serve must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model. A more detailed description of each model can be found in Appendix A of this application.

Turnaround model – Replace the principal (although a recently hired principal where a turnaround, restart, or transformation was instituted in the past two years may be retained) and rehire no more than 50% of the staff; grant greater autonomy to the principal.

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

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

Transformation model - Implement each of the following strategies: (1) replace the principal (although a principal recently hired where a turnaround, restart, or transformation was instituted in the last two years may be retained) and implement a rigorous staff evaluation and development system; (2) institute comprehensive instructional reforms; (3) increase learning time and apply community-oriented schools strategies; (4) reward staff who increase student achievement and graduation rates and remove staff who have not improved after ample opportunity; and (4) provide operational flexibility and sustained support.

**Note: An LEA with nine or more Tier I or Tier II schools, including both schools that are being served with FY2009 SIG 1003(g) funds and schools that are eligible to receive FY2010 SIG 1003(g) funds, may not implement the transformation model in more than 50 percent of those schools.**

### **ADDITIONAL OKLAHOMA REQUIREMENTS OF THE 1003(g) GRANT**

Turnaround Office(r) – LEAs must employ an FTE (percentage of FTE will be contingent upon LEA capacity) as an LEA based Turnaround Office or Turnaround Officer(s) that will be responsible for the day-to-day management of the reform efforts at the site level. This office will also be responsible for coordinating and communicating with the Oklahoma State Department of Education (OSDE) about the LEAs progress and efforts toward meeting the goals of the 1003(g) grant.

Job Description of Turnaround Officer –

- Work with the superintendent and district leadership team to manage, oversee, and monitor the implementation of the School Improvement Grant.
- Work closely with the principal and the central office to support day-to-day needs of the school, discuss progress, and identify and overcome barriers to implementation.
- Ensure alignment between the activities of the School Improvement Grant, district initiatives, and external providers.
- Manage delivery of services from external providers.
- Provide technical assistance and support to the schools served with SIG 1003(g) funds.
- Liaise between the OSDE, School Support Teams, central office, and the schools served with SIG 1003(g) funds.
- Meet at least quarterly with OSDE staff to discuss progress of each school served with SIG 1003(g) funds.
- Provide quarterly status reports to OSDE.
- Attend all required professional development and meetings.

Collaboration Time – LEAs must provide at least 90 minutes of scheduled and protected collaboration time per week for each teacher in a Tier I and Tier II school.

Professional Development – LEAs must provide at least five (5) days of site-based training on initiatives to support the goals of the application for each teacher in a Tier I and Tier II school.

Additionally, the LEA must provide a five (5) day teacher academy or institute to provide training in school improvement initiatives and information about the requirements of the 1003(g) grant. More information about job-embedded professional development can be found at <http://www.tqsource.org/publications/JEPD%20Issue%20Brief.pdf>.

New Teachers – LEAs must provide additional training beyond the required five (5) days of site-based training and the five (5) day teacher institute for new teachers that join after the start of implementation of the selected intervention model. New teachers should be provided training on initiatives to support school improvement efforts and the process and requirements of the 1003(g) grant.

Resources and meetings – LEAs must utilize the OSDE’s State System of Support technical assistance. School Support Teams will be provided for each Tier I, Tier II, and Tier III school receiving 1003(g) funds, based on priority need. These teams will meet on site at least three (3) times per year to provide technical assistance and support to schools and to conduct an external evaluation of the school based on Oklahoma’s Nine Essential Elements. Schools in Tier I, Tier II and Tier III will also be required to use Oklahoma’s online planning and coaching tool, Ways to Increase School Effectiveness (WISE). This online planning and coaching tool designed to help schools focus on Oklahoma’s Nine Essential Elements and provides a framework for progress monitoring for continuous school improvement.

Additionally, LEAs and staff from schools in Tiers I, II, and III will be required to attend Implementation Meetings with representatives from the Oklahoma State Department of Education. These meetings will focus on progress made toward goals, fidelity of implementation of the selected intervention model, and data related to the improvement indicators.

**REQUIRED APPLICATION COMPONENTS**

Instructions for completing the LEA application should be carefully read and followed. Incomplete applications may not be submitted to the review team.

This application includes an LEA section, a school section to be duplicated for each Tier I and Tier II school served, and a budget section. Each LEA is to complete the LEA section, one school application for each Tier I and Tier II school to be served, and the budget section. See the application checklist below for required application forms and documentation.

<b>Required Component/Documentation</b>	<b># of Pages</b>
<b>LEA Section</b>	
Application Cover Sheet	1
Assurances	1
Waivers	1
Schools to be Served	2
LEA Capacity	Up to 5 pages
LEA Procedures/Policy for External Providers	Attachment
LEA Integration of Services Chart	Up to 5 pages
LEA Modification of Policies and Procedures	Up to 5 pages

LEA Sustainability Efforts	Up to 5 pages
LEA Application for Tier III Schools	Up to 5 pages
<b>School Section (to be duplicated for each Tier I and Tier II school served)</b>	
Application Cover Sheet	1
School Needs Assessment	Up to 5 pages
School Identification of Intervention Model	Up to 5 pages
School SMART Goals	Up to 5 pages
School Integration of Services Chart	Up to 5 pages
School Modifications of Policies and Procedures	Up to 5 pages
School Sustainability Efforts	Up to 5 pages
School Action Plan for Pre-Implementation	Up to 5 pages
School Action Plan for Selected Model	As Needed
<b>Budget</b>	
LEA Budget Narrative	Up to 5 pages
School Budget Narrative (to be duplicated for each Tier I and Tier II school served)	Up to 5 pages each
LEA Summary Budget and Justification Pages	Attachment
School Summary Budget and Justification Pages	Attachment

### **APPLICATION SUBMISSION AND DUE DATE**

Grant applications must be received by the Oklahoma State Department of Education no later than Friday, March 11, 2011. Grant applications may be submitted in person or via postal mail with original signatures to the contact listed on the application. Grant applications will be screened for completeness upon submission. Incomplete applications may not be forwarded for review. Factors that may delay application review include:

- Missing required materials or documents
- Incorrect budget information (i.e., request exceed maximum amount)
- No signature or signatures are not original

Complete applications will be forwarded for review. Additional information or clarification may be requested before approval is granted.

Successful grant applicants will be notified within four weeks. Applicants may be partially or fully funded, depending on the availability of funds. All decisions made by OSDE are final. Selected applicants must wait until they receive an official award letter before incurring any expenditures. Expenditures incurred before approval are not reimbursable.

### **APPLICATION RESOURCES**

A list of links to helpful information regarding 1003(g) grants can be found in Appendix B of this application.

## **APPLICATION REVIEW**

The LEA application for 1003(g) will undergo a rigorous review process by a review panel including external reviewers at the SEA. LEA applications will be reviewed according to the rubric included in Appendix C of this application. In the event the SEA does not have sufficient funds to serve all eligible schools for which each LEA applies, the SEA will prioritize schools that demonstrate: The greatest overall need as evidenced by student academic progress over a number of years.

## **APPLICATION CONTACT**

LEAs requiring assistance or with questions about the application should contact the OSDE Office of School Support.

Mary Colvin, Executive Director, Title I/School Support/ARRA  
[Mary\\_Colvin@sde.state.ok.us](mailto:Mary_Colvin@sde.state.ok.us)  
405-522-3253

**APPLICATION INSTRUCTIONS  
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**LEA APPLICATION SECTION**

**LEA APPLICATION CHECKLIST**

LEAs applying for 1003(g) funds must complete the LEA section of the application and submit any required documentation (listed below as attachment). The LEA is required to only submit one (1) LEA section regardless of number of Tier I, Tier II, and Tier III schools to be served.

Required Component/Documentation	# of Pages
<b>LEA Section</b>	
<input type="checkbox"/> Application Cover Sheet	1
<input type="checkbox"/> Assurances	1
<input type="checkbox"/> Waivers	1
<input type="checkbox"/> Schools to be Served	2
<input type="checkbox"/> LEA Capacity	Up to 5 pages
<input type="checkbox"/> LEA Procedures/Policy for External Providers	Attachment
<input type="checkbox"/> LEA Integration of Services Chart	Up to 5 pages
<input type="checkbox"/> LEA Modification of Policies and Procedures	Up to 5 pages
<input type="checkbox"/> LEA Sustainability Efforts	Up to 5 pages
<input type="checkbox"/> LEA Application for Tier III Schools	Up to 5 pages

**APPLICATION COVER SHEET**

LEAs must complete one (1) application cover sheet regardless of number of Tiers I, II, and III schools to be served. Applicants should ensure that all information is complete and correct and original signatures are included on the submitted application.

**ASSURANCES FOR OKLAHOMA LEA APPLICATION**

LEAs applying for a 1003(g) grant must read carefully and sign the Assurances Agreement. Signature certifies that the LEA/school will comply with all applicable federal, state, and local laws pertaining to the application and with all requirements of the 1003(g) School Improvement Grant.

Assurances –

- A. Grantees will fully and effectively implement one of the intervention models, turnaround, transformation, restart, or school closure, with fidelity as described in the final requirements of the School Improvement Grant 1003(g) and Appendix A of this application.

- B. Grantees will establish three year goals for student achievement on the State’s academic assessments in reading/language arts, mathematics, and graduation rate, if applicable.
- C. Grantees will include in any contract with a charter management organization (CMO), education management organization (EMO), or charter organization, accountability for complying with the final requirements of the School Improvement Grant 1003(g).
- D. Grantees will report school level data, including trend data over a number of years in the following areas:
  - a. Number of minutes in the school year;
  - b. Participation rate by subgroup on State assessments in reading/language arts and mathematics;
  - c. Dropout rate;
  - d. Graduation rate;
  - e. Student attendance rate;
  - f. Number and percentage of students enrolled in advanced coursework or dual enrollment classes;
  - g. Discipline incidents;
  - h. Truancy rate;
  - i. Distribution of teachers by experience and student achievement; and
  - j. Teacher attendance rate.
- E. Grantees will meet the additional Oklahoma requirements of the 1003(g) grant as listed below:
  - a. Establish an FTE (percentage of FTE will be contingent upon LEA capacity) for an LEA based Turnaround Office or Turnaround Officer(s) that will be responsible for the day-to-day management of reform efforts at the site level and coordinate and communicate with the SEA;
  - b. Provide at least 90 minutes per week of protected collaboration time for each teacher to work in Professional Learning Communities;
  - c. Provide at least five (5) days of site based training as well as a five (5) day teacher academy or institute for each teacher in each Tier I and Tier II school to be served; and
  - d. Provide additional training on the selected intervention model and process aligned to the selected intervention model for new teachers that join turnaround schools after the start of implementation.
- F. Grantees must utilize the technical assistance of the SEA provided School Support Team and Educational Leadership Coaching, as applicable.
- G. Grantees must commit to attend all required SEA school improvement meetings and conferences including, but not limited to, What Works in Schools: Phases I and II, data reviews, and 1003(g) Implementation Meetings.

- H. Grantees must ensure that any Tier I or Tier II school receiving 1003(g) funds that does not receive Title I, Part A funds receives all the State and local funds it would have received in the absence of 1003(g) funds.
- I. Grantees cannot use 1003(g) funds to support district-level activities for schools that are not receiving 1003(g) funds as part of this application.
- J. Grantees receiving a waiver allowing Tier I and Tier II schools to “start over” in the school improvement timeline will begin the new timeline in the first year of implementation of the selected intervention model.

## **WAIVERS**

LEAs awarded a 1003(g) grant are eligible to receive waivers made available with the 1003(g) grant. The LEA must indicate the waiver it plans to implement. If not all waivers will be implemented at all Tier I, Tier II, and Tier III schools, the LEA must indicate which schools are applying for which waivers.

Waivers available to LEAs applying for 1003(g) funds are:

- Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY2009 carryover for the SEA and all of its LEAs to September 30, 2014.
- Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Tier I and Tier II Title I participating schools that will implement a turnaround or restart model to “start over” in the school improvement timeline.
- Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the poverty threshold.

## **SCHOOLS TO BE SERVED**

An LEA funded by the 1003(g) grant must serve all its eligible Tier I and Tier II schools unless the LEA demonstrates a lack of capacity to serve all such schools. Tier III schools may be served only after all eligible Tier I and Tier II schools are served.

When completing the Schools to be Served section of this application, LEAs must first list all schools within the LEA that are being served with FY2009 SIG 1003(g) funds. In the second chart, the LEA must list all Tier I and Tier II schools that are eligible to receive FY2010 SIG 1003(g) funds and indicate the Tier status and the selected intervention model for the school, if applicable. If the school is eligible, but is not applying for FY2010 SIG 1003(g) funds, the LEA must check column marked “Will Not Be Served” and include them in the third chart. The LEA must provide specific and detailed information about the lack of capacity to serve all eligible Tier I or Tier II schools. LEAs should take into consideration the Capacity Indicators Chart located in the LEA Capacity Section of this document. Address all indicators, as necessary, when claiming lack of capacity.



More detailed information about selecting an intervention model is found in the Application Instructions for the School Section of this application.

**LEA CAPACITY**

The LEA must demonstrate it has the capacity to use 1003(g) funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA’s application in order to implement fully and effectively the selected intervention at each of those schools.

LEAs should consider school, district, and community capacity when selecting an intervention model as each intervention model requires unique responsibilities of those involved. The criteria the SEA will use to evaluate LEA capacity are included in the chart below. The LEA must address all criteria in the LEA Capacity section of this application providing specific and detailed information.

If after SEA review of the claim of Lack of Capacity, the SEA determines an LEA has more capacity than it has claimed, the SEA will:

1. Notify the LEA of the SEA’s decision and require the LEA to provide additional evidence to support the lack of capacity claim within two weeks of such notice.
2. Provide technical assistance and support to the LEA to increase capacity to serve eligible Tier I and Tier II schools.
3. Require the LEA to submit a revised LEA application including the eligible schools. LEAs will have a two-week time period in which to submit an amended application.

Indicators	Model(s) of Intervention
<ul style="list-style-type: none"> <li>• The LEA has outlined its design and implementation activities for each intervention model. A detailed and realistic timeline has been established. The person/position for providing leadership for each requirement of the intervention has been determined.</li> </ul>	All Models
<ul style="list-style-type: none"> <li>• The LEA has demonstrated that it has involved and received commitment to support from relevant stakeholders, including administrators, teachers, teachers’ unions (if appropriate), parents, students, and outside community members in activities related to decision making, choosing an intervention model, and/or development of the model’s design.</li> </ul>	All Models
<ul style="list-style-type: none"> <li>• Staff with the credentials and capacity to implement the selected intervention successfully has been identified. More information regarding turnaround leader competencies can be found on the Public Impact Web site at <a href="http://www.publicimpact.com">www.publicimpact.com</a>.</li> </ul>	All Models
<ul style="list-style-type: none"> <li>• The ability of the LEA to serve the identified Tier I and Tier II schools has been addressed.</li> </ul>	All Models
<ul style="list-style-type: none"> <li>• The ability to recruit new principals with the necessary credentials and capacity has been demonstrated.</li> </ul>	All Models

For information about turnaround leaders see <a href="http://publicimpact.com/images/stories/publicimpact/documents/Turnaround_Leader_Compencies.pdf">http://publicimpact.com/images/stories/publicimpact/documents/Turnaround_Leader_Compencies.pdf</a>	
<ul style="list-style-type: none"> <li>The LEA has conducted a strategic planning process that supports the selection and implementation of the chosen model.</li> </ul>	All Models
<ul style="list-style-type: none"> <li>The LEA has developed three-year budgets that directly align to the activities and strategies stated in the plan.</li> </ul>	Turnaround, Transformation, Restart
<ul style="list-style-type: none"> <li>The LEA has developed a monitoring plan that encompasses multiple visits to each school and requires evidence of effective LEA interventions if there is limited student academic success.</li> </ul>	Turnaround, Transformation, Restart
<ul style="list-style-type: none"> <li>The LEA has plans to adopt alternative/extended school-year calendars that add time beyond the instructional day for each identified Tier I and Tier II school to be served.</li> </ul>	Transformation
<ul style="list-style-type: none"> <li>The LEA has established an FTE for an LEA Turnaround Office or Officer(s) that will be responsible for the day-to-day management of reform efforts at the school level and coordinating with the SEA.</li> </ul>	Turnaround, Transformation, Restart
<ul style="list-style-type: none"> <li>The LEA has made a commitment to expand teachers' capacity to plan collaboratively in the academic areas where students fail to make Adequate Yearly Progress.</li> </ul>	Turnaround, Transformation, Restart
<ul style="list-style-type: none"> <li>The LEA has identified a 1003(g) Turnaround Office(r) that meets regularly with SEA staff to discuss progress of schools. Turnaround Office(r)s are highly knowledgeable educators who specialize in school improvement, understand culture and climate, relate well to stakeholders, and understand the scope of Oklahoma's Nine Essential Elements. The Turnaround Office(r) must also demonstrate that they communicate regularly with the LEA administrative team, including the LEA Superintendent.</li> </ul>	Turnaround, Transformation, Restart
<ul style="list-style-type: none"> <li>The LEA has demonstrated, through past grant applications, that they have sound fiscal management with limited audit findings.</li> </ul>	All Models
<ul style="list-style-type: none"> <li>The LEA has completed a self assessment of its own capacity to design, support, monitor and assess the implementation of the models and strategies that it selects for its Tier I, Tier II, and Tier III schools.</li> </ul>	All Models
<ul style="list-style-type: none"> <li>The LEA has demonstrated a commitment to the sustainability of the intervention model after the funding is no longer available.</li> </ul>	Turnaround, Transformation, Restart
<ul style="list-style-type: none"> <li>The LEA has access and proximity to higher achieving schools, including but not limited to charter schools or new schools for which achievement data are not yet available.</li> </ul>	School Closure
<ul style="list-style-type: none"> <li>The LEA completes the grant application within the timelines set forth in the application.</li> </ul>	All Models
<ul style="list-style-type: none"> <li>Assurances are signed and submitted with the application.</li> </ul>	All Models

**LEA PROCEDURES/POLICES FOR EXTERNAL PROVIDERS**

LEAs applying for 1003(g) funds must have in place a written procedure/policy to recruit, screen, and select external providers, if applicable. This written policy should include how the LEA will analyze the operational needs of the school and the goals and expectations for the provider, how the LEA will research and prioritize available providers, how LEAs will engage parents and other stakeholders in the review and selection process, how the external provider’s progress towards goals will be reviewed, and define consequences for the provider if the goals and expectations are not met. For this section, LEAs must attach the written procedure/policy to recruit, screen, and select external providers.

The LEA must also submit a detailed justification for the selection of each provider included in the application. The justification should include any information related to the documentation of research proven history of success of this provider, the alignment of the external provider with existing LEA services or initiatives, the capacity of this provider to perform the services at the Tier I or Tier II school, and the data-based evidence of the provider’s success with similar populations.

**INTEGRATION OF SERVICES**

The LEA must complete an Integration of Services Chart showing how the LEA will align other available federal, state, and local resources to the selected intervention models. The LEA should also consider the alignment of resources to support the initiatives implemented in any Tier III schools the LEA plans to serve. Resources LEAs may consider when completing the Integration of Services Chart include:

<b>Resource</b>	<b>Model(s)</b>	<b>Examples of Alignment with 1003(g)</b>
Title I, Part A	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>• Stipends for teachers attending professional development</li> <li>• Supplemental instructional materials for extended school hours</li> </ul>
Title II, Part A	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>• Registration and travel for teachers attending National Conferences and Workshops</li> <li>• Salary for instructional facilitator to provide ongoing professional development and coaching</li> </ul>
Title II, Part D	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>• Instructional technology to be integrated into core subjects</li> <li>• Increased capacity of</li> </ul>

		current data system to promote use of data by all teachers
Title III, Part A	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>Professional development in strategies for English language learners</li> </ul>
Oklahoma State Triple A Award	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>Monetary state award for: highest overall student achievement or highest annual improvement in reading and math.</li> </ul>

### **LEA MODIFICATION OF POLICIES AND PROCEDURES**

The LEA may need to modify its policies and practices to enable the schools to effectively implement the selected intervention models. LEAs must submit a narrative explaining its plans to modify policies or practices. Examples of modifications an LEA may make include providing flexibility in hiring practices at the site level, scheduling protected collaboration time, or adopting an alternate/extended calendar for Tier I and Tier II schools, and/or change the structure of a high school to enhance learning opportunities (i.e., small learning communities, dual-enrollment, credit recovery programs).

### **LEA SUSTAINABILITY EFFORTS**

The LEA must submit a plan for sustaining the reforms after the funding period for 1003(g) ends. In this plan, LEAs must address how all stakeholders were involved in the planning phase of the intervention model and will share leadership throughout implementation; the written plans for transitions of staff, funding and the exit of external providers; the strategic planning process the LEA has in place and how it incorporates the Ways to Improve School Effectiveness (WISE) online planning and coaching tool into that process; the formative and summative data system the LEA has in place; any other funding sources that have been secured or are being actively sought to enable the school to continue initiatives; and how the Title I, Part A schoolwide/school improvement plan incorporates the goals and action steps of the 1003(g) application.

### **LEA APPLICATION FOR TIER III SCHOOLS**

The LEA must provide a narrative naming the Tier III schools it wishes to serve, the needs assessment conducted at the Tier III schools, the interventions the LEA proposes to provide at the Tier III schools, the SMART goals established for the Tier III schools, an action plan for each goal, and a timeline for implementation. The LEA should include budgetary information for Tier III schools on the LEA summary budget and justification pages.

**APPLICATION INSTRUCTIONS  
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AMERICAN RECOVERY AND REINVESTMENT ACT**

**SCHOOL APPLICATION SECTION**

**SCHOOL SECTION CHECKLIST**

For **each** Tier I and Tier II school to be served, the LEA should provide the information included in the School Section Checklist.

<b>School Section (to be duplicated for each Tier I and Tier II school served)</b>	
<input type="checkbox"/> Application Cover Sheet	1
<input type="checkbox"/> School Needs Assessment	Up to 5 pages
<input type="checkbox"/> School Identification of Intervention Model	Up to 5 pages
<input type="checkbox"/> School SMART Goals	Up to 5 pages
<input type="checkbox"/> School Integration of Services Chart	Up to 5 pages
<input type="checkbox"/> School Modifications of Policies and Procedures	Up to 5 pages
<input type="checkbox"/> School Sustainability Efforts	Up to 5 pages
<input type="checkbox"/> School Action Plan for Pre-Implementation	Up to 5 pages
<input type="checkbox"/> School Action Plan for Selected Model	As Needed

**APPLICATION COVER SHEET**

For each Tier I and Tier II school served, the LEA should provide an application cover sheet. LEAs should ensure all information provided is correct and complete.

**SCHOOL NEEDS ASSESSMENT**

The LEA must describe how it has consulted with relevant stakeholders regarding the LEA’s application and implementation of school improvement models in its Tier I and Tier II schools.

For each Tier I and Tier II school, the LEA must conduct a comprehensive needs assessment, utilizing external evaluators as necessary, to identify the strengths, weaknesses, and areas of critical need. For each Tier I and Tier II school, the LEA must describe the needs assessment process and summarize the results of the data analysis. The LEA must identify the intervention model selected for each Tier I and Tier II school and the relationship between the results of the needs assessment and this selected intervention model.

LEAs must include in the description of the needs assessment:

- A list of the multiple sources of data used which could include, but is not limited to student and staff profiles, student achievement data, graduation rate, curriculum analysis data, instructional practices inventories, focus walk data, school culture surveys, student,

family and community surveys, professional development inventories and evaluations, leadership evaluations, and budget analysis;

- A list of who was involved in the needs assessment and the role each person involved played in the process;
- A description of the process used by those conducting the needs assessment to collect, analyze and report data.

LEA must provide in its summary of the data analysis:

- A summary of the results including strengths, weaknesses, and areas of critical need as evidenced by the data; and
- The provided summary chart showing the results of the needs assessment as related to Oklahoma's Nine Essential Elements.

### **SCHOOL IDENTIFICATION OF INTERVENTION MODEL**

Selecting the appropriate intervention model for each Tier I and Tier II school as evidenced by data will be critical to the success of the intervention. For this reason, the LEA should ensure the selected intervention model is closely aligned with the needs of each site. To assist LEAs in this selection, the National Center on Innovation and Improvement in its *Handbook on Effective Implementation of School Improvement Grants* has provided some guiding questions for each model:

#### **Turnaround Model**

- How will the LEA select a new leader for the school, and what experience, skills, and training will the new leaders possess?
- How will the LEA assign effective teachers and leaders to the lowest achieving schools?
- How will the LEA begin to develop a pipeline of effective teachers and leaders to work in turnaround schools?
- How will staff replacement take place?
- What supports will be provided to staff being assigned from other schools?
- What are the budgetary implications of this model?
- What is the LEA's capacity to execute and support this model?
- What changes in operational practice must accompany the infusion of human capital?

#### **Restart Model**

- What qualified charter management organizations (CMOs) or education management organizations (EMOs) are willing to partner with the LEA to start a new school?
- Based on supply and capacity, which option is most likely to result in acceptable student growth for the student population to be served – home grown charter school, CMO, or EMO?
- How will support be provided to staff that are reassigned to other schools as a result of the restart?
- What is the LEA's capacity to support the charter school?
- How will the SEA assist the restart?

- What performance expectations will be contractually specific for CMOs, EMOs, or charter organizations and what will the contractual consequences be if the expectations are not met?

#### Transformation Model

- How will the LEA select a new leader for the school and what experience, training, and skill will the new leader be expected to possess?
- How will the LEA enable the new leader to make staff replacements?
- What is the LEA's capacity to support the transformation?
- What changes in policies and procedures must accompany the transformation?
- What changes in operational practice must accompany the transformation; and, how will these changes be brought about and sustained?

#### School Closure Model

- What are the metrics to identify schools to be closed?
- What steps are in place to make certain closure decisions are based on tangible data and readily transparent to the community?
- How will the students and their families be supported by the LEA through the re-enrollment process?
- Which higher achieving schools have the capacity to receive students from schools being considered for closure?
- How will the receiving schools be staffed with quality staff to accommodate the increase in students?
- What safety and security considerations might be anticipated for students of the school to be closed and the receiving school?
- What are the budgetary implications?
- How does school closure fit within the LEA's overall reform effort.

Based on the results of the needs assessment, the LEA must identify an intervention model for each Tier I and Tier II school to be served and provide in the application a narrative describing the correlation between the results of the data analysis and the selected intervention.

**Note: An LEA with nine or more Tier I or Tier II schools, including both schools that are being served with FY2009 SIG 1003(g) funds and schools that are eligible to receive FY2010 SIG 1003(g) funds, may not implement the transformation model in more than 50 percent of those schools.**

#### **SCHOOL SMART GOALS**

LEAs must establish three-year goals for each Tier I and Tier II school in the areas of reading, mathematics, and graduation rate, if applicable. These goals should identify the desired increase in student achievement and will focus the entire school on improvement activities. These goals should also be SMART:

Strategic and Specific  
Measurable  
Attainable

**Results Based**  
**Time Bound**

**Strategic** – Strategic goals reflect the areas of highest need, the area where the gap between the school’s vision and current reality is the greatest. To be strategic means that a goal also aligns with other initiatives, such as those in the district.

**Specific** – Specific goals identify with sufficient detail the who and what the school needs to target. Specificity allows schools to focus resources and attention for the greatest benefit.

**Measurable** – A measurable goal is one that defines the starting point and the final value to be achieved. By using measurable goals, school can adjust resources or reforms based on continuous evaluation and feedback.

**Attainable** – Attainable goals are those that have a final value, a measure, that is reachable within the given time frame. Attainable goals, however, are not goals that are aimed low, but rather are goals that stretch the previous achievement level.

**Results-Based** – Results-based goals are those that have built in benchmarks or progress monitoring checks to measure efforts. Assessments, evaluation tools and responsible parties are all assigned before efforts begin.

**Time Bound** – A time bound goal is one that has a specific time frame. This is critical as it builds internal accountability and motivates those involved to take action.

**Examples of SMART Goals** –

- The percentage of all students in Grades 3-5 at Anytown Elementary who score satisfactory or above in reading on the Oklahoma Core Curriculum Test (OCCT) will increase from the current 67% to 75% in the 2011-2012 school year.
- The API mathematics score for students in the All Students subgroup will increase from 894 to the identified state performance benchmark of 1074 in the 2011-2012 school year.

On the application, the LEA must identify three-year SMART goals for each Tier I and Tier II school in the areas of reading and mathematics in the All Students subgroup. The LEA must also provide a written rationale for the established goals as they relate to the comprehensive needs assessment. High schools must also include three-year SMART goals for graduation rate.

**SCHOOL INTEGRATION OF SERVICES CHART**

The LEA must complete for each Tier I and Tier II school an Integration of Services Chart showing how the LEA will align other available federal, state, and local resources to the selected intervention models. The LEA should also consider the alignment of resources to support the initiatives implemented in any Tier III schools the LEA plans to serve.

Resources LEAs may consider when completing the Integration of Services Chart include:



<b>Resource</b>	<b>Model(s)</b>	<b>Examples of Alignment with 1003(g)</b>
Title I, Part A	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>• Stipends for teachers attending professional development</li> <li>• Supplemental instructional materials for extended school hours</li> </ul>
Title II, Part A	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>• Registration and travel for teachers attending National Conferences and Workshops</li> <li>• Salary for instructional facilitator to provide ongoing professional development and coaching</li> </ul>
Title II, Part D	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>• Instructional technology to be integrated into core subjects</li> <li>• Increased capacity of current data system to promote use of data by all teachers</li> </ul>
Title III, Part A	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>• Professional development in strategies for English Language Learners</li> </ul>
Oklahoma State Triple A Award	Turnaround, Transformation, Restart	<ul style="list-style-type: none"> <li>• Monetary state award for: highest overall student achievement or highest annual improvement in reading and math.</li> </ul>

### **SCHOOL MODIFICATION OF POLICIES AND PROCEDURES**

In addition to the policies and procedures that may need to be modified by the LEA, the Tier I or Tier II school may also need to modify its policies and practices to enable the school to effectively implement the selected intervention models. LEAs must submit a narrative explaining the school's plans to modify policies or practices. Examples of modifications a school may make include providing flexibility in hiring practices at the site level, scheduling protected collaboration time, or adopting an alternate/extended calendar for Tier I and Tier II schools, and/or change the structure of a high school to enhance learning opportunities (i.e., small learning communities, dual-enrollment, credit recovery programs).

## **SCHOOL SUSTAINABILITY EFFORTS**

In addition to the plans the LEA must submit information for sustaining the reforms after the funding period for 1003(g) ends. The Tier I or Tier II school must address how it is involving all stakeholders in the implementation and the efforts at the school level that are being made to plan for transition including: written plans for transitions of staff, funding and the exit of external providers; a strategic planning process; incorporation of the Ways to Improve School Effectiveness (WISE) online planning and coaching tool into that process; a formative and summative data system; any other funding sources that have been secured or are being actively sought to enable the school to continue initiatives; how the school is building capacity through collaborative leadership; and how the Title I, Part A schoolwide/school improvement plan incorporate the goals and action steps of the 1003(g) application

## **SCHOOL ACTION PLAN FOR PRE-IMPLEMENTATION**

LEAs may use FY2010 SIG 1003(g) funds for pre-implementation. This period of time enables an LEA to prepare for full implementation of the chosen intervention model at the start of the 2011-2012 school year. **Please note, funds requested for pre-implementation are included as part of the LEA's first year award.**

LEAs will be required to submit an action plan for each Tier I or Tier II school served by FY2010 SIG 1003(g) funds. This action plan is in addition to the School Action Plan for the Intervention Model. LEAs will also be required to submit a separate budget justification worksheet for the pre-implementation period. More information on the budget justification worksheet is included in the budget section of this document.

According to Section J of the Guidance on Fiscal Year 2010 School Improvement Grants, allowable activities for pre-implementation include:

- Family and Community Engagement Activities
- Rigorous Review of External Providers
- Staffing
- Instructional Programs (i.e., remediation and enrichment)
- Professional Development and Support
- Preparation for Accountability Measures

Proposed expenditures will be reviewed and determined as allowable if they 1) directly relate to the full and effective implementation of the intervention model; 2) address the needs identified by the LEA in the comprehensive needs assessment; 3) advance the overall goal of the SIG program and support the school goals as indicated in the SIG application; 4) represent a meaningful change that will help improve student achievement; 5) are supported by scientifically based research; 6) are reasonable and necessary as defined in the general cost principals governing the SIG program; and 7) are supplemental and in no way supplant funds.

Activities that are not allowable during this period include paying unassigned teachers, buying out the remainder of a principal's contract, and conducting a needs assessment.

In this section of the application, the LEA should explain in detail the plans for pre-implementation including specific strategies, persons responsible, and a timeline for actions.

### **SCHOOL ACTION PLAN FOR INTERVENTION MODEL**

The LEA must submit for each Tier I and Tier II school to be served a three-year action plan for the selected intervention model. This action plan includes the required components of the selected model, the action steps the school plans to take to meet the requirements of the model, a timeline for the actions, and identification of the person(s) responsible to carry out the action steps. These action plans must include specific and detailed information regarding the LEAs commitment to implement the selected intervention model with fidelity.

Action plans can be expanded as needed and should be duplicated for each Tier I and Tier II school.

**APPLICATION INSTRUCTIONS  
SCHOOL IMPROVEMENT GRANTS 1003(g) AND  
AMERICAN RECOVERY AND REINVESTMENT ACT**

**BUDGET SECTION**

**BUDGET SECTION CHECKLIST**

An LEA must submit the requirements listed on the budget checklist for the LEA and for **each** Tier I and Tier II school to be served. The budget pages should be no more than 5 pages for the LEA and 5 pages for each Tier I and Tier II school to be served plus attachments.

<b>Budget</b>	
LEA Budget Narrative	Up to 5 pages
School Budget Narrative (to be duplicated for each Tier I and Tier II school served)	Up to 5 pages
LEA Summary Budget and Justification Pages	Attachment
School Summary Budget and Justification Pages	Attachment

**LEA BUDGET NARRATIVE**

The LEA budget narrative must describe, in detail, the needs of the LEA for district level activities, a description of the proposed initiatives, services, and/or materials, and the commitment of the LEA to timely distribution of funds during each of the three years over the period of availability of the grant (2011-2012, 2012-2013, 2013-2014). The LEA budget narrative must also describe how the LEA will meet and fund the additional requirements of the grant:

- Establish an FTE (the percentage of FTE will be contingent upon LEA capacity) for an LEA based Turnaround Office or Turnaround Officer(s) that will be responsible for the day-to-day management of reform efforts at the site level and coordinate and communicate with the SEA.
- Provide oversight and monitoring of school implementation of intervention model(s).

**SCHOOL BUDGET NARRATIVE**

The LEA must provide a budget narrative for each Tier I and Tier II school to be served. The budget narrative must describe, in detail, the needs of the school to fully implement the intervention model and a detailed description of the proposed initiatives, services, and/or materials. The school budget narrative must also describe how the school will meet and fund the additional requirements of the grant:

- Provide at least ninety (90) minutes of protected collaboration time per week for each teacher to work in professional learning communities;
- Provide at least five (5) days of site based training as well as a five (5) day teacher academy or institute for each teacher in each Tier I and Tier II school to be served;

- Provide additional training on the chosen intervention model and process aligned to the chosen model for new teachers that join turnaround schools after the start of implementation;

In this narrative, the LEA must provide a detailed plan for pre-implementation. The plan must include specific strategies that will occur, an explanation of how the strategies will ensure full implementation of the model in the 2011-2012 school year, an identification of persons responsible for the actions, and a detailed timeline.

### **LEA SUMMARY BUDGET AND JUSTIFICATION**

The LEA must submit a summary budget page and justification pages for the planned district level activities and interventions planned for the Tier III schools to be served for each year of the grant. Budgets submitted for Tier III schools should not be less than the minimum of \$50,000 and should not exceed the maximum of \$2,000,000 allowable per year over the period of grant availability for each identified Tier III school.

The LEA must also submit a comprehensive Summary Budget page totaling the district Summary Budget Page and the school Summary Budget Pages for all Tier I and Tier II schools. The Summary Budget Pages must be signed by the LEA Superintendent and the designated financial officer.

Budgets will be reviewed by the Titles I, II, and VI office for accuracy.

### **SCHOOL SUMMARY BUDGET AND JUSTIFICATION**

The LEA must submit for each Tier I and Tier II school to be served, a Summary Budget and Justification Page for each year of the grant.

On the specified justification page, the LEA must include any activities budgeted in OSDE FY2011 for the purpose of pre-implementation. Activities included in this budget worksheet must align with the written description of activities and be allowable under the Guidance on Fiscal Year 2010 School Improvement Grants.

Budgets submitted for Tier I and Tier II schools should not be less than the minimum of \$50,000 and should not exceed the maximum of \$2,000,000 allowable per year over the period of grant availability for each identified Tier I and Tier II schools.

### **PRE-IMPLEMENTATION BUDGET**

The LEA must also provide a budget narrative for each of the Tier I or Tier II schools planning pre-implementation activities. The LEA must include a description of any expenditures budgeted on the pre-implementation justification page and how they align to the activities described in this application. Expenditures included in this budget worksheet must align with the written description of activities and be allowable under the Guidance on Fiscal Year 2010 School Improvement Grants.

**OKLAHOMA LEA APPLICATION  
SCHOOL IMPROVEMENT GRANT 1003(G) AND  
AMERICAN RECOVERY AND REINVESTMENT ACT**

**LEA SECTION**

Legal Name of Applicant:	Applicant's Mailing Address:
<p>Local Educational Agency Contact for the School Improvement Grant</p> <p>Name:</p> <p>Position and Office:</p> <p>Contact's Mailing Address:</p> <p>Telephone:</p> <p>Fax:</p> <p>Email address:</p>	
Superintendent (Printed Name):	Telephone:
Signature of the Superintendent	Date:
<p>X _____</p>	
<p>The Local Educational Agency (LEA), through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grant (SIG) program, including the assurances contained herein and the conditions that apply to any waivers that the LEA receives as result of this application.</p>	

## **ASSURANCES FOR OKLAHOMA LEA APPLICATION**

Read carefully the assurances below and provide an original signature certifying that the LEA will comply with all applicable federal, state, and local laws and fulfill all requirements specific to the 1003(g) grant.

- A. Grantees will fully and effectively implement one of the intervention models, turnaround, transformation, restart, or school closure, with fidelity as described in the final requirements of the School Improvement Grant 1003(g) and Appendix A of this application.
- B. Grantees will establish three-year goals for student achievement on the State's academic assessments in reading/language arts, mathematics, and graduation rate, if applicable.
- C. Grantees will include in any contract with a CMO, EMO, or charter organization, accountability for complying with the final requirements of the School Improvement Grant 1003(g).
- D. Grantees will report school level data, including trend data over a number of years in the following areas:
  - a. Number of minutes in the school year;
  - b. Participation rate by subgroup on State assessments in reading/language arts and mathematics;
  - c. Dropout rate;
  - d. Graduation rate;
  - e. Student attendance rate;
  - f. Number and percentage of students enrolled in advanced coursework or dual enrollment classes;
  - g. Discipline incidents;
  - h. Truancy rate;
  - i. Distribution of teachers by experience and student achievement; and
  - j. Teacher attendance rate.
- E. Grantees will meet the additional Oklahoma requirements of the 1003(g) grant as listed below:
  - a. Establish an FTE (percentage of FTE will be contingent on LEA capacity) for an LEA based Turnaround Office or Turnaround Officer(s) that will be responsible for the day-to-day management of reform efforts at the site level and coordinate and communicate with the SEA;
  - b. Provide at least 90 minutes per week of protected collaboration time for each teacher to work in Professional Learning Communities;
  - c. Provide at least five (5) days of site-based training as well as a five (5) day teacher academy or institute for each teacher in each Tier I and Tier II school to be served; and

- d. Provide additional training on the selected intervention model and process aligned to the selected intervention model for new teachers that join turnaround schools after the start of implementation.
- F. Grantees must utilize the technical assistance of the SEA provided School Support Team and Educational Leadership Coaching, as applicable.
- G. Grantees must commit to attend all required SEA school improvement meetings and conferences including, but not limited to, What Works in Schools: Phases I and II, data reviews, and 1003(g) Implementation Meetings.
- H. Grantees must ensure that any Tier I or Tier II school receiving 1003(g) funds that does not receive Title I, Part A funds receives all the State and local funds it would have received in the absence of 1003(g) funds.
- I. Grantees cannot use 1003(g) funds to support district-level activities for schools that are not receiving 1003(g) funds as part of this application.
- J. Grantees receiving a waiver allowing Tier I and Tier II schools to “start over” in the school improvement timeline will begin the new timeline in the first year of implementation of the selected intervention model.

\_\_\_\_\_  
Signature of Superintendent

\_\_\_\_\_  
Date

**WAIVERS**

Indicate in the box below the waivers for which the LEA is applying and the Tier I and Tier II schools that will implement the waiver.

<input type="checkbox"/> Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of school improvement funds for the SEA and all of its LEAs to September 30, 2014.  Identify the schools that will implement the waiver: <i>Start typing here.</i>
<input type="checkbox"/> Waive section 1116(b) (12) of the ESEA to permit LEAs to allow their Tier I and Tier II Title I participating schools that will implement a turnaround or restart model to “start over” in the school improvement timeline.  Identify the schools that will implement the waiver: <i>Start typing here.</i>
<input type="checkbox"/> Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the poverty threshold.  Identify the schools that will implement the waiver: <i>Start typing here.</i>



**SCHOOLS TO BE SERVED**

In the chart below, indicate the schools the LEA will serve by completing the table below. For Tier I and Tier II schools, identify the Intervention Model Selected for each school.

**Note: An LEA with nine or more Tier I or Tier II schools, including both schools that are being served with FY2009 SIG funds and schools that are eligible to receive FY2009 SIG funds, may not implement the transformation model in more than 50 percent of those schools.**

**Schools Served With FY2009 SIG funds:**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	INTERVENTION MODEL			
					Turnaround	Restart	School Closure	Transformation

**Schools Eligible for FY2010 SIG Funds: add more rows as needed.**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	INTERVENTION MODEL				
					Turnaround	Restart	School Closure	Transformation	Will Not be Served

Complete the table below if the LEA has elected **not** to serve one or more of the eligible Tier I or Tier II schools. Add rows as needed. Explain in detail why the LEA lacks capacity to serve the Tier I or Tier II schools listed below.

SCHOOL NAME	NCES ID #	TIER I	TIER II	REASON LEA LACKS CAPACITY TO SERVE THE SCHOOL

**LEA CAPACITY**

In the chart below, address the LEA’s capacity in regards to the required indicators. Be specific and detailed in the narrative, providing evidence the LEA has the capacity to fully and effectively implement the selected intervention model.

Indicators	LEA Narrative
<ul style="list-style-type: none"> <li>The LEA has outlined its design and implementation activities for each intervention model. A detailed and realistic timeline has been established. The person/position for providing leadership for each requirement of the intervention has been determined.</li> </ul>	
<ul style="list-style-type: none"> <li>The LEA has demonstrated that it has involved and received commitment to support from relevant stakeholders, including administrators, teachers, teachers’ unions (if appropriate), parents, students, and outside community members in activities related to decision making, choosing an intervention model, and/or development of the model’s design.</li> </ul>	
<ul style="list-style-type: none"> <li>Staff with the credentials and capacity to implement the selected intervention successfully has been identified. More information regarding turnaround leader competencies can be found on the Public Impact Web site at <a href="http://www.publicimpact.com">www.publicimpact.com</a>.</li> </ul>	
<ul style="list-style-type: none"> <li>The ability of the LEA to serve the identified Tier I and Tier II schools has been addressed.</li> </ul>	
<ul style="list-style-type: none"> <li>The ability to recruit new principals with the necessary credentials and capacity has been demonstrated. For information about turnaround leaders see <a href="http://publicimpact.com/images/stories/publicimpact/documents/Turnaround_Leader_Compencies.pdf">http://publicimpact.com/images/stories/publicimpact/documents/Turnaround_Leader_Compencies.pdf</a></li> </ul>	
<ul style="list-style-type: none"> <li>The LEA has conducted a strategic planning process that supports the selection and implementation of the chosen model.</li> </ul>	

<ul style="list-style-type: none"> <li>• The LEA has developed three-year budgets that directly align to the activities and strategies stated in the plan.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA has developed a monitoring plan that encompasses multiple visits to each school and requires evidence of effective LEA interventions if there is limited student academic success.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA has plans to adopt alternative/extended school-year calendars that add time beyond the instructional day for each identified Tier I and Tier II school to be served.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA has established an FTE for an LEA Turnaround Office or Officer(s) that will be responsible for the day-to-day management of reform efforts at the school level and coordinating with the SEA.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA has made a commitment to expand teachers' capacity to plan collaboratively in the academic areas where students fail to make Adequate Yearly Progress.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA has identified a 1003(g) Turnaround Office(r) that meets regularly with SEA staff to discuss progress of schools. Turnaround Office(r)s are highly knowledgeable educators who specialize in school improvement, understand culture and climate, relate well to stakeholders, and understand the scope of Oklahoma's Nine Essential Elements. The Turnaround Office(r) must also demonstrate that they communicate regularly with the LEA administrative team, including the LEA Superintendent.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA has demonstrated, through past grant applications, that they have sound fiscal management with limited audit findings.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA has completed a self assessment of its own capacity to design, support, monitor, and assess the implementation of the models and strategies that it selects for its Tier I, Tier II, and Tier III schools.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA has demonstrated a commitment to the sustainability of the intervention model after the funding is no longer available.</li> </ul>	
<ul style="list-style-type: none"> <li>• The LEA completes the grant application within the timelines set forth in the application.</li> </ul>	
<b><i>Only For LEAs implementing School Closure</i></b>	
<ul style="list-style-type: none"> <li>• The LEA has access and proximity to higher achieving schools, including but not limited to charter schools or new schools for which achievement data are not yet available.</li> </ul>	

NOTE: If after SEA review of the claim of Lack of Capacity and the required Capacity Chart above, the SEA determines an LEA has more capacity than it has claimed, the SEA will:

1. Notify the LEA of the SEA's decision and require the LEA to provide additional evidence to support the lack of capacity claim within two weeks of such notice.

2. Provide technical assistance and support to the LEA to increase capacity to serve eligible Tier I and Tier II schools.
3. Require the LEA to submit a revised LEA application including the eligible schools. LEAs will have a two-week time period in which to submit an amended application.

**LEA PROCEDURE/POLICIES FOR EXTERNAL PROVIDERS**

LEAs applying for 1003(g) funds must have in place a written procedure/policy to recruit, screen, and select external providers. Attach to this application, a written copy this procedure/policy. **Check the appropriate box below.**

- The LEA does not have a written procedure/policy to recruit, screen, and select external providers.
- The LEA has a written procedure/policy to recruit, screen, and select external providers and a copy is attached to this application.

Provide in the space below a detailed justification for the selection of providers that includes the following information:

- Documentation of research proven history of success working with the LEA, school or particular population;
- Alignment of external provider and existing LEA services or initiatives; and
- Capacity of external provider to serve the identified Tier I and Tier II schools and their selected intervention models.
- Data-based evidence of success working with similar populations.

*Start typing here.*

**INTEGRATION OF SERVICES**

Complete the following Integration of Services chart showing how the LEA will align any other federal, state, and local resources to the selected intervention models. You may add boxes as necessary. Examples can be found in the Application Instructions: LEA Section.

Resource	Alignment with 1003(g)
Title I, Part A	
Title II, Part A	
Title II, Part D	
Title III, Part A	
Other Federal Resources <ul style="list-style-type: none"> <li>• <i>List here.</i></li> </ul>	
State Resources <ul style="list-style-type: none"> <li>• <i>List here.</i></li> </ul>	
Local Resources <ul style="list-style-type: none"> <li>• <i>List here.</i></li> </ul>	

**LEA MODIFICATION OF POLICIES AND PROCEDURES**

In the space below, provide a narrative describing the steps the LEA has taken or will take to modify its policies and procedures to enable the schools to effectively implement the selected intervention models.

*Start typing here.*

**LEA SUSTAINABILITY EFFORTS**

In the space below provide the LEA plan for sustaining the reform efforts after the funding period ends. Provide in the narrative, evidence of the following:

- All stakeholders were involved in the planning phase and will share leadership throughout the implementation;
- There are written plans in place for transitions;
- The LEA has in place a strategic planning process utilizing Oklahoma’s WISE planning and coaching tool;
- The LEA has a system of formative and summative data collection in place;
- Other funding sources have been secured or are being actively sought to enable the school to continue the initiatives; and
- The Title I, Part A schoolwide/school improvement plan includes goals and action steps that will sustain reform efforts.

*Start typing here.*

**LEA APPLICATION FOR TIER III SCHOOLS**

In the space below, provide a narrative describing 1) the Tier III schools to be served, 2) the needs assessment process conducted at each of the Tier III schools and the interventions the LEA plans to implement in each Tier III school.

*Start typing here.*

Duplicate and complete the chart provided for each Tier III school to be served. List the SMART Goals established for the school, the action plan for the goal, and the timeline for implementation.

<b>Tier III School Action Plan: <i>Insert School Name Here</i></b>
SMART Goals:
2011-2012 –
2012-2013 –

2013-2014 –	
Action Plan	Timeline for Implementation
Resources Needed	

**OKLAHOMA LEA APPLICATION  
SCHOOL IMPROVEMENT GRANT 1003(G) AND  
AMERICAN RECOVERY AND REINVESTMENT ACT**

**SCHOOL SECTION**

LEAs must duplicate the School Section of this application for **each** Tier I and Tier II school to be served.

<b>School Name:</b> <b>Address:</b>	<b>SIG Site Contact:</b> <b>Name &amp; Position:</b>  <b>Phone#:</b> <b>Email Address:</b>
<b>Grade levels enrolled (SY10-11):</b>	<b>Number of Students Enrolled (SY10-11):</b>

<b>Tier Level</b> <b>Tier I</b> _____ <b>Tier II</b> _____ <b>Tier III</b> _____	<b>Title I Status:</b> _____ <b>Schoolwide Program</b> _____ <b>Targeted Assistance Program</b> _____ <b>Title I Eligible School</b>								
<b>School Improvement Status</b> _____ <b>School Year 1</b> _____ <b>School Year 2</b> _____ <b>Corrective Action</b> _____ <b>Restructuring Planning</b> _____ <b>Restructuring Implementation</b>	<b>Intervention Model Selected:</b> _____ <b>Turnaround Model</b> _____ <b>Closure</b> _____ <b>Restart</b> _____ <b>Transformation</b>								
<b>Waiver Request:</b> _____ <b>Requested for this School</b> _____ <b>Not Requested for this School</b>	<b>Amount the LEA is requesting from 2009 Title I 1003(g) School Improvement Funds for the next three years.</b> <table border="1"> <tr> <td><b>Year 1: SY 2011-12</b></td> <td></td> </tr> <tr> <td><b>Year 2: SY 2012-13</b></td> <td></td> </tr> <tr> <td><b>Year 3: SY 2013-14</b></td> <td></td> </tr> <tr> <td><b>Total Amount of Funding Requested for this School</b></td> <td></td> </tr> </table>	<b>Year 1: SY 2011-12</b>		<b>Year 2: SY 2012-13</b>		<b>Year 3: SY 2013-14</b>		<b>Total Amount of Funding Requested for this School</b>	
<b>Year 1: SY 2011-12</b>									
<b>Year 2: SY 2012-13</b>									
<b>Year 3: SY 2013-14</b>									
<b>Total Amount of Funding Requested for this School</b>									

**SCHOOL NEEDS ASSESSMENT**

Describe how the LEA has consulted with relevant stakeholders regarding the LEA’s application and implementation of school improvement models in its Tier I and Tier II schools.

*Start typing here.*

Complete the chart below showing the data sources used as part of the comprehensive needs assessment. Rows may be added as needed.

<b>Student Achievement Data</b> (OCCT, Benchmarks, District Assessments, Report Cards)	<b>Perception Data</b> (Staff/Student/Parent Surveys, Self Assessments, Meeting Minutes)	<b>Demographic Data</b> (Attendance, Truancy, Ethnicity, Low-Income, Special Education)


Complete the chart below by providing a list of the stakeholders involved in the needs assessment process.

Name	Title	Stakeholder Group

Provide in the space below a narrative describing the needs assessment **process** the LEA used to collect, analyze, and report data.

*Start typing here.*

Provide in the chart below a **summary of the results** of the comprehensive needs assessment including strengths, weaknesses and areas of critical need as indicated by the data.

Areas to be considered as part of the comprehensive needs assessment.	Summary of analysis of each of the areas considered as part of the comprehensive needs assessment.
<b>School Profile:</b> Includes student and staff data.	
<b>Curriculum:</b> Includes academic expectations, alignment to PASS, and the process to monitor, evaluate and review curriculum.	
<b>Classroom Evaluation/Assessment:</b> Includes classroom assessments, alignment to PASS, and use of assessment data.	
<b>Instruction:</b> Includes the varied strategies used in the classroom, integration of technology, and teacher collaboration.	
<b>School Culture:</b>	



Includes learning environment, leader and teacher beliefs, and value of equity and diversity.	
<b>Student, Family, and Community Support:</b> Includes communication methods and including parents as partners.	
<b>Professional Growth, Development, and Evaluation:</b> Includes professional development plan, capacity building, and evaluation process.	
<b>Leadership:</b> Includes process for decision making, policies and procedures, and the shared vision.	
<b>Organizational Structure and Resources:</b> Includes use of resources, master schedule, staffing, and teaming.	
<b>Comprehensive and Effective Planning:</b> Includes the process for collaboration, use of data, development of school goals, and continuous evaluation.	

**SCHOOL IDENTIFICATION OF INTERVENTION MODEL**

In the space below, provide a **detailed narrative** describing how the selected intervention model was chosen and the correlation between the selected intervention model and the results of the comprehensive needs assessment.

<i>Start typing here.</i>
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**SCHOOL SMART GOALS**

Complete the charts below by providing three-year SMART Goals in Reading/Language Arts, Mathematics, and Graduation Rate, if applicable for the All Students subgroup. See the Application Instructions for the School Section for more information on SMART Goals.

SMART Reading/Language Arts Goals
Goal for 2011-2012:
Goal for 2012-2013:
Goal for 2013-2014:
Rationale:

SMART Mathematics Goals
Goal for 2011-2012:
Goal for 2012-2013:

Goal for 2013-2014:
Rationale:

<b>SMART Graduation Rate Goals</b>
Goal for 2011-2012:
Goal for 2012-2013:
Goal for 2013-2014:
Rationale:

**INTEGRATION OF SERVICES**

Complete the following Integration of Services chart showing how the school will align any other federal, state, and local resources to the selected intervention models. You may add boxes as necessary. Examples can be found in the Application Instructions: School Section.

<b>Resource</b>	<b>Alignment with 1003(g)</b>
Title I, Part A	
Title II, Part A	
Title II, Part D	
Title III, Part A	
Other Federal Resources <ul style="list-style-type: none"> <li>• <i>List here.</i></li> </ul>	
State Resources <ul style="list-style-type: none"> <li>• <i>List here.</i></li> </ul>	
Local Resources <ul style="list-style-type: none"> <li>• <i>List here.</i></li> </ul>	

**SCHOOL MODIFICATION OF POLICIES AND PROCEDURES**

In the space below, provide a narrative describing the steps the school has taken or will take to modify its policies and procedures to enable the schools to effectively implement the selected intervention models.

<i>Start typing here.</i>
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**SCHOOL SUSTAINABILITY EFFORTS**

In the space below provide the school plan for sustaining the reform efforts after the funding period ends. Provide in the narrative, evidence of the following:

- All stakeholders were involved in the planning phase and will share leadership throughout the implementation;
- There are written plans in place for transitions;
- The school has in place a strategic planning process utilizing Oklahoma’s WISE planning and coaching tool;

- The school has a system of formative and summative data collection in place;
- Other funding sources have been secured or are being actively sought to enable the school to continue the initiatives; and
- The Title I, Part A schoolwide/school improvement plan includes goals and action steps that will sustain reform efforts.

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### **SCHOOL ACTION PLAN FOR PRE-IMPLEMENTATION**

In the space below, provide a narrative that describes, in detail:

1. the needs of the school for pre-implementation initiatives;
2. the proposed pre-implementation activities;
3. the person(s) responsible for each of the pre-implementation activities;
4. the expected timeline for the activities; and
5. the materials and resources necessary to implement the activities.

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### **SCHOOL ACTION PLAN**

For each Tier I and Tier II school, complete a **three-year** action plan for the selected intervention model. Be specific and provide detailed information regarding action steps, timelines, and person(s) responsible. Action plans can be expanded as needed.

<b>Name of School:</b>		<b>Tier:</b>	
<b>Turnaround Model</b>	<b>LEA Design and Implementation of the Intervention Model (include alignment of additional resources)</b>	<b>Timeline for Implementation</b>	<b>Name and Position of Responsible Person(s)</b>
<b>Requirements for the Turnaround Model (LEA must implement actions 1-9)</b>			
1. Replace the principal and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach in order to substantially improve student achievement outcomes and increase high school graduation rates.			
2. Use locally adopted competencies to measure the effectiveness of staff who can work within the turnaround environment to meet the needs of students. (A) Screen all existing staff and rehire no more than 50 percent; and B) Select new staff.			
3. Implement such strategies as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the students in the turnaround school.			
4. Provide staff with ongoing, high-quality, job-embedded professional development that is aligned with the school's comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies.			

<b>Name of School:</b>		<b>Tier:</b>	
<b>Turnaround Model</b>	<b>LEA Design and Implementation of the Intervention Model (include alignment of additional resources)</b>	<b>Timeline for Implementation</b>	<b>Name and Position of Responsible Person(s)</b>
5. Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new “turnaround office” in the LEA or SEA, hire a “turnaround leader” who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability.			
6. Use data to identify and implement an instructional program that is research-based and “vertically aligned” from one grade to the next as well as aligned with State academic standards.			
7. Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.			
8. Establish schedules and implement strategies that provide increased learning time.			
9. Provide appropriate social-emotional and community-oriented services and supports for students.			
10. List any additional permissible strategies the LEA will implement as a part of the turnaround model. 1. 2. 3. 4.			

<b>Name of School:</b>		<b>Tier:</b>	
<b>Transformation Model</b>	<b>LEA Design and Implementation of the Intervention Model (include alignment of additional resources)</b>	<b>Timeline for Implementation</b>	<b>Name and Position of Responsible Person(s)</b>
<b>Requirements for the Transformation Model (LEA must implement actions 1-11)</b>			
1. Replace the principal who led the school prior to commencement of the transformation model.			
2. Use rigorous, transparent, and equitable evaluation systems for teachers and principals that: <ul style="list-style-type: none"> <li>a. Take into account data on student growth (as defined in this notice) as a significant factor as well as other factors such as multiple observation-based assessments of performance and ongoing collections of professional practice reflective of student achievement and increased high-school graduations rates; and</li> <li>b. Are designed and developed with teacher and principal involvement.</li> </ul>			

<b>Name of School:</b>		<b>Tier:</b>	
<b>Transformation Model</b>	<b>LEA Design and Implementation of the Intervention Model (include alignment of additional resources)</b>	<b>Timeline for Implementation</b>	<b>Name and Position of Responsible Person(s)</b>
3. Identify and reward school leaders, teachers, and other staff who, in implementing this model, have increased student achievement and high-school graduation rates and identify and remove those who, after ample opportunities have been provided for them to improve their professional practice, have not done so.			
4. Provide staff with ongoing, high-quality, job-embedded professional development ( <i>e.g.</i> , regarding subject-specific pedagogy, instruction that reflects a deeper understanding of the community served by the school, or differentiated instruction) that is aligned with the school’s comprehensive instructional program and designed with school staff to ensure they are equipped to facilitate effective teaching and learning and have the capacity to successfully implement school reform strategies.			

<b>Name of School:</b>		<b>Tier:</b>	
<b>Transformation Model</b>	<b>LEA Design and Implementation of the Intervention Model (include alignment of additional resources)</b>	<b>Timeline for Implementation</b>	<b>Name and Position of Responsible Person(s)</b>
5. Implement such strategies such as financial incentives, increased opportunities for promotion and career growth, and more flexible work conditions that are designed to recruit, place, and retain staff with the skills necessary to meet the needs of the student in a transformation school.			
6. Use data to identify and implement an instructional program that is research-based and “vertically aligned” from one grade to the next as well as aligned with State academic standards.			
7. Promote the continuous use of student data (such as from formative, interim, and summative assessments) to inform and differentiate instruction in order to meet the academic needs of individual students.			
8. Establish schedules and implement strategies that provide increased learning time.			
9. Provide ongoing mechanisms for family and community engagement.			



<b>Name of School:</b>		<b>Tier:</b>	
<b>Transformation Model</b>	<b>LEA Design and Implementation of the Intervention Model (include alignment of additional resources)</b>	<b>Timeline for Implementation</b>	<b>Name and Position of Responsible Person(s)</b>
10. Give the school sufficient operational flexibility (such as staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student achievement outcomes and increase high school graduation rates.			
11. Ensure that the school receives ongoing, intensive technical assistance and related support from the LEA, the SEA, or a designated external lead partner organization (such as a school turnaround organization or an EMO).			
12. List any additional permissible strategies the LEA will implement as a part of the transformational model. 1. 2. 3. 4. 5.			

<b>Name of School:</b>		<b>Tier:</b>	
<b>Closure Model</b>	<b>LEA Design and Implementation of the Intervention Model</b> <b>(include alignment of additional resources)</b>	<b>Timeline for Implementation</b>	<b>Name and Position of Responsible Person(s)</b>
<b>Provide detailed information regarding the plan to close a Tier I or Tier II school.</b>			
1. The schools chosen to receive students from the school closure are within close proximity and are higher achieving than the school to be closed.			
2. Representatives from all stakeholder groups were consulted and involved in the decision making process.			
3. Parent and community outreach will be provided to inform parents and students about the closure and assist in the transition process.			

<b>Name of School:</b>		<b>Tier:</b>	
<b>Restart Model</b>	<b>LEA Design and Implementation of the Intervention Model</b> <b>(include alignment of additional resources)</b>	<b>Timeline for Implementation</b>	<b>Name and Position of Responsible Person(s)</b>
<b>Provide detailed information regarding the plan to restart a Tier I or Tier II school.</b>			
1. The LEA has a pool of potential partners (CMO, EMO, charter organizations) that have expressed interest in and have exhibited the ability to restart the school.			
2. The LEA has developed a rigorous review process for potential partners.			
3. Representatives of all stakeholder groups were involved in consultation and development of restart plan.			

**APPLICATION INSTRUCTIONS  
SCHOOL IMPROVEMENT GRANTS 1003(g) AND  
AMERICAN RECOVERY AND REINVESTMENT ACT**

**BUDGET SECTION**

**LEA BUDGET NARRATIVE**

In the space below, provide a narrative that describes, in detail, the needs of the LEA for district level initiatives, the proposed initiatives, and/or materials and resources necessary to implement initiatives. Include in the narrative, the process the LEA will use to ensure timely distribution of funds during each year of the grant.

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In the space below, provide a narrative describing how the LEA will meet the additional Oklahoma requirement listed below:

- The LEA will establish an FTE (percentage of FTE will be contingent on LEA capacity) for an LEA based Turnaround Office or Turnaround Officer(s) that will be responsible for the day-to-day management of reform efforts at the site level and coordinate and communicate with the SEA.

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The LEA must complete and attach the budget pages required for the LEA Section of the application:

- Summary Budget page and Justification page each year\* of the grant for the LEA activities including those proposed for Tier III schools;
- Summary Budget page totaling the amounts shown on the LEA Summary Budget page and each of the Summary Budget pages for the Tier I and Tier II schools for each year of the grant.

*\* Note that the budget for the school closure model may be lower than the amount required for the other models and would typically cover only one year.*

**SCHOOL BUDGET NARRATIVE**

Provide in the space below, a budget narrative for **each** Tier I and Tier II school to be served. The narrative must describe in detail the needs of the school to implement the selected intervention model and the proposed initiatives, services, and/or resources. The school budget narrative must also address how the school will fund the additional Oklahoma requirements of the grant:

- Provide at least 90 minutes of protected collaboration time per week for each teacher to work in Professional Learning Communities;
- Provide at least five (5) days of site based training as well as a five (5) day teacher academy or institute for each teacher in Tier I and Tier II school to be served;
- Provide additional training on the selected intervention model and process aligned to the selected intervention model for new teachers that join turnaround schools after the start of implementation.

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In the space below, provide a budget narrative for each of the Tier I or Tier II schools planning pre-implementation activities. The LEA must include a description of any expenditures budgeted on the pre-implementation justification page and how they align to the activities described in this application. Expenditures included in this budget worksheet must align with the written description of activities and be allowable under the Guidance on Fiscal Year 2010 School Improvement Grants. **Please note, funds requested for pre-implementation are included as part of the LEA's first year award.**

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The LEA must complete and attach the budget pages required by the School Section of the LEA application:

- Summary Budget page and Justification page for each year of the grant for each Tier I and Tier II school to be served.
- Total Summary Budget page for all requested funds for the LEA for each year of the grant.

## APPENDIX A

### **FINAL REQUIREMENTS FOR SCHOOL IMPROVEMENT GRANTS**

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

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

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

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

(c) Tier III schools: A Tier III school is a Title I school in improvement, corrective action, or restructuring that is not a Tier I school. An SEA may establish additional criteria to use in setting priorities among LEA applications for funding and to encourage LEAs to differentiate among these schools in their use of school improvement funds.

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

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

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

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

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

(B) Select new staff;

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

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

(v) Adopt a new governance structure, which may include, but is not limited to, requiring the school to report to a new "turnaround office" in the LEA or SEA, hire a "turnaround leader"

who reports directly to the Superintendent or Chief Academic Officer, or enter into a multi-year contract with the LEA or SEA to obtain added flexibility in exchange for greater accountability;

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

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

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

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

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

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

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

(b) Restart model: A restart model is one in which an LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO) that has been selected through a rigorous review process. (A CMO is a non-profit organization that operates or manages charter schools by centralizing or sharing certain functions and resources among schools. An EMO is a for-profit or non-profit organization that provides “whole-school operation” services to an LEA.) A restart model must enroll, within the grades it serves, any former student who wishes to attend the school.



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

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

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

(i) Required activities. The LEA must--

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

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

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

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

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

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

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

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

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

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

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

(2) Comprehensive instructional reform strategies.

(i) Required activities. The LEA must--

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

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

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

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

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

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

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

(E) In secondary schools--

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

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

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

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

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

(i) Required activities. The LEA must--

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

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

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

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

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

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

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

(4) Providing operational flexibility and sustained support.

(i) Required activities. The LEA must--

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

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

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

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

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

3. Definitions.

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

organizations; and (c) teachers to collaborate, plan, and engage in professional development within and across grades and subjects.

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

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

(i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or

(ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

(2) Any secondary school that is eligible for, but does not receive, Title I funds that--

(i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or

(ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

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

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

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

Student growth means the change in achievement for an individual student between two or more points in time. For grades in which the State administers summative assessments in

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

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

- (i) Analyze the needs of its schools and select an intervention for each school;
- (ii) Design and implement interventions consistent with these requirements;
- (iii) Recruit, screen, and select external providers, if applicable, to ensure their quality;
- (iv) Align other resources with the interventions;
- (v) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively; and
- (vi) Sustain the reforms after the funding period ends.

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

B. Providing flexibility.

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

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

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

4. An SEA may seek a waiver from the Secretary to enable an LEA to use school improvement funds to serve a Tier II secondary school.

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

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



## **APPENDIX B**

### **RESOURCES FOR EVALUATING EXTERNAL PROVIDERS/PARTNERS**

*Lessons Learned: Choosing a School Turnaround Provider* from Education Northwest  
[http://educatonnorthwest.org/webfm\\_send/1032](http://educatonnorthwest.org/webfm_send/1032)

*The Guide to Working With External Providers* by Learning Point Associates  
[www.learningpt.org/expertise/schoolimprovement/externalproviderguide.php](http://www.learningpt.org/expertise/schoolimprovement/externalproviderguide.php)

*Overview of The Guide to Working With External Providers* by Learning Point Associates  
[www.learningpt.org/expertise/schoolimprovement/externalproviderguide.php](http://www.learningpt.org/expertise/schoolimprovement/externalproviderguide.php)

*The Right People for the Job* (Webinar) from the Center on Innovation and Improvement  
<http://www.centerii.org/webinars/>

Selecting the Intervention Model and Partners/Providers for Low-Achieving Schools from the Center on Innovation and Improvement  
<http://www.centerii.org/leamodel/>

### **RESOURCES FOR GRANT APPLICATIONS**

**United States Department of Education**  
<http://www2.ed.gov/programs/sif/index.html>

**Center for Comprehensive School Reform and Improvement**  
[http://www.centerforsri.org/index.php?option=com\\_frontpage&Itemid=1](http://www.centerforsri.org/index.php?option=com_frontpage&Itemid=1)

**Center on Innovation and Improvement**  
<http://www.centerii.org>

**Doing What Works – School Improvement**  
[http://dww.ed.gov/priority\\_area/priority\\_landing.cfm?PA\\_ID=11](http://dww.ed.gov/priority_area/priority_landing.cfm?PA_ID=11)

**National High School Center**  
<http://betterhighschools.org>

**Regional Educational Libraries Program**  
<http://ies.ed.gov/ncee/edlabs/>

**What Works Clearinghouse**  
<http://ies.ed.gov/ncee/wwc/>

## APPENDIX C

### **RUBRIC FOR APPLICATION REVIEW**

**Note that a Level III must be met in all areas before approval is granted.**

#### LEA Capacity

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>Few or none of the indicators for the chosen intervention model have been demonstrated or fully addressed in the LEA application.</li> </ul>	<ul style="list-style-type: none"> <li>Most of the above indicators for the chosen intervention model are demonstrated by the district and have been fully addressed in the LEA application.</li> </ul>	<ul style="list-style-type: none"> <li>All of the above indicators for the chosen intervention model are demonstrated by the district and have been fully addressed in the LEA application.</li> </ul>

#### LEA Procedures/Polices for External Providers

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The LEA has not fully developed a written procedure/policy for recruiting and selecting external providers or no procedure/policy exists</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has a written procedure/policy for recruiting and selecting external providers, but the policy is too general.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has fully developed a clear and specific written procedure/policy for recruiting and selecting external providers.</li> </ul>

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The provider has not fully met the above listed criteria including history of success, alignment with LEA initiatives, capacity to serve, and providing data-based evidence of success in improving achievement.</li> </ul>	<ul style="list-style-type: none"> <li>The provider has met some of the above listed criteria including history of success, alignment with LEA initiatives, capacity to serve, and providing data-based evidence of success in improving achievement.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has fully met all of the above criteria including history of success, alignment with LEA initiatives, capacity to serve, and providing data-based evidence of success in improving achievement.</li> </ul>

LEA Integration of Services

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The LEA has integrated few or no resources to support the selected intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has integrated limited resources to support the selected intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has fully integrated multiple resources to support the selected intervention model.</li> </ul>

LEA Modification of Policies and Procedures

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The LEA has provided little to no policy change to enable schools to implement the selected intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has provided some policy change to enable schools to implement interventions.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has provided multiple policy changes and maximum flexibility to implement interventions, as appropriate.</li> </ul>

LEA Sustainability

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The LEA has addressed few or none of the indicators of sustainability.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has addressed most of the indicators of sustainability.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has fully and thoughtfully addressed all the indicators of sustainability.</li> </ul>

LEA Application for Tier III Schools

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The LEA has addressed few or none of the requirements of the Tier III application.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has addressed most of the Tier III application requirements.</li> </ul>	<ul style="list-style-type: none"> <li>The LEA has fully and thoughtfully addressed all the Tier III application requirements.</li> </ul>

School Needs Assessment and Identification of Intervention Model

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>Data sources used in analysis or summary of analysis is nonexistent or minimal.</li> <li>Needs assessment provided by external evaluator was not considered. (If applicable.)</li> </ul>	<ul style="list-style-type: none"> <li>Few data sources were used in analysis or analysis is lacking.</li> <li>Needs assessment provided by external evaluator was minimally integrated into the overall data analysis. (If applicable.)</li> </ul>	<ul style="list-style-type: none"> <li>Multiple data sources were used and have been summarized into a meaningful analysis.</li> <li>Needs assessment provided by external evaluator was fully and thoughtfully implemented into the</li> </ul>

<ul style="list-style-type: none"> <li>The identified model is not supported by the data analysis or needs assessment or is minimally supported.</li> </ul>	<ul style="list-style-type: none"> <li>The identified model is partially supported by the data analysis and needs assessment.</li> </ul>	<p>overall data analysis. (If applicable.)</p> <ul style="list-style-type: none"> <li>The identified model is fully supported by the data analysis and needs assessment.</li> </ul>
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School SMART Goals

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>Goals do not include or include few components of SMART goals: specific, measurable, attainable, results driven, and time bound.</li> </ul>	<ul style="list-style-type: none"> <li>Goals include most components of SMART goals: specific, measurable, attainable, results driven, and time bound.</li> </ul>	<ul style="list-style-type: none"> <li>Goals are clearly defined and include all components of SMART goals: specific, measurable, attainable, results driven, and time bound.</li> </ul>

School Integration of Services

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The school has integrated few or no resources to support the selected intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>The school has integrated limited resources to support the selected intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>The school has fully integrated multiple resources to support the selected intervention model.</li> </ul>

School Modification of Policies and Procedures

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The school has provided little to no policy change to enable schools to implement the selected intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>The school has provided some policy change to enable schools to implement interventions.</li> </ul>	<ul style="list-style-type: none"> <li>The school has provided multiple policy changes and maximum flexibility to implement interventions, as appropriate.</li> </ul>

School Sustainability

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The school has addressed few or none of the indicators of sustainability.</li> </ul>	<ul style="list-style-type: none"> <li>The school has addressed most of the indicators of sustainability.</li> </ul>	<ul style="list-style-type: none"> <li>The school has fully and thoughtfully addressed all the indicators of sustainability.</li> </ul>

School Action Plan for Pre-Implementation

Level I	Level II	Level III
The LEA has not adequately addressed the plan for the pre-implementation period and/or expenditures are not allowable under Section J of the Non-Regulatory Guidance.	The LEA has addressed the plan for pre-implementation and expenditures are allowable, however, more specific detail is needed.	The LEA has fully developed a plan for the pre-implementation period and all expenditures are allowable under Section J of the Non-Regulatory Guidance.

School Action Plan for Intervention Model

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>The Action Plan is not complete or does not provide adequate information regarding the intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>The Action Plan adequately addresses most of the requirements of the intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>The Action Plan fully addresses all the requirements of the intervention model.</li> </ul>

LEA/School Budget Summary\*

Level I	Level II	Level III
<ul style="list-style-type: none"> <li>Few or none of the required budget criteria are adequately addressed.</li> <li>Few or none of the additional grant requirements have been addressed in the narrative and included in the budget worksheet.</li> <li>The LEA has not sufficiently funded the required components of the chosen intervention model.</li> </ul>	<ul style="list-style-type: none"> <li>Most of the required budget criteria have been adequately addressed.</li> <li>Most of the additional grant requirements have been addressed in the narrative and included in the budget worksheet.</li> <li>The LEA has sufficiently funded most of the required components of the chosen intervention model considering the needs assessment and the LEA's ability to align other resources.</li> </ul>	<ul style="list-style-type: none"> <li>All required budget criteria have been adequately addressed.</li> <li>All of the additional grant requirements have been addressed in the narrative and included in the budget worksheet.</li> <li>The LEA has sufficiently funded all of the required components of the chosen intervention model considering the needs assessment and the LEA's ability to align other resources.</li> </ul>

*\* Note that Summary Budget Pages and Justification Pages for the LEA and Tier I and Tier II schools will be reviewed by the Title I Office for accuracy.*