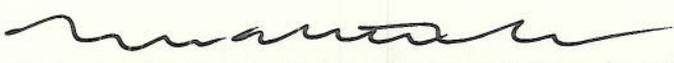


APPLICATION COVER SHEET  
SCHOOL IMPROVEMENT GRANTS

<b>Legal Name of Applicant:</b> Utah State Office of Education	<b>Applicant's Mailing Address:</b> 250 East 500 South PO Box 144200 Salt Lake City, UT 84114-4200
<b>State Contact for the School Improvement Grant</b>  Name: <b>Ann G. White</b>  Position and Office: State Title I Educational Coordinator School and District Support  Contact's Mailing Address: Utah State Office of Education 250 East 500 South PO Box 144200 Salt Lake City, UT 84114-4200  Telephone: 801-538-7827  Fax: 801-538-7804  Email address: <a href="mailto:ann.white@schools.utah.gov">ann.white@schools.utah.gov</a>	
<b>Chief State School Officer (Printed Name):</b> Martell Menlove, Ph. D State Superintendent of Public Instruction	<b>Telephone:</b> 801-538-7510
<b>Signature of the Chief State School Officer:</b>  X 	<b>Date:</b> November 12, 2013
The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.	

School Improvement Grants

# Application for FY 2013 New Awards Competition

Section 1003(g) of the  
Elementary and Secondary Education Act

Fiscal Year 2013

CFDA Number: 84.377A

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**State of Utah**



U.S. Department of Education  
Washington, D.C. 20202

OMB Number: 1810-0682  
Expiration Date: September 30, 2016

#### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 74 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is mandatory required to obtain or retain benefit and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1810-0682. Note: Please do not return the completed FY 2013 School Improvement Grant application to this address.

## SCHOOL IMPROVEMENT GRANTS

### **Purpose of the Program**

School Improvement Grants (SIG), authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants to State educational agencies (SEAs) that SEAs use to make competitive subgrants to local educational agencies (LEAs) 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 students in their lowest-performing schools. Under the final requirements published in the *Federal Register* on October 28, 2010 (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>), school improvement funds are to be focused on each State's "Tier I" and "Tier II" schools. Tier I schools are the lowest-achieving five percent of a State's Title I schools in improvement, corrective action, or restructuring, Title I secondary schools in improvement, corrective action, or restructuring with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain Title I eligible (and participating) elementary schools that are as low achieving as the State's other Tier I schools ("newly eligible" Tier I schools). Tier II schools are the lowest-achieving five percent of a State's secondary schools that are eligible for, but do not receive, Title I, Part A funds, secondary schools that are eligible for, but do not receive, Title I, Part A funds with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain additional Title I eligible (participating and non-participating) secondary schools that are as low achieving as the State's other Tier II schools or that have had a graduation rate below 60 percent over a number of years ("newly eligible" Tier II schools). An LEA also may use school improvement funds in Tier III schools, which are Title I schools in improvement, corrective action, or restructuring that are not identified as Tier I or Tier II schools and, if a State so chooses, certain additional Title I eligible (participating and non-participating) schools ("newly eligible" Tier III schools). In the Tier I and Tier II schools an LEA chooses to serve, the LEA must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model.

### **ESEA Flexibility**

An SEA that has received ESEA flexibility no longer identifies Title I schools for improvement, corrective action, or restructuring; instead, it identifies priority schools, which are generally a State's lowest-achieving Title I schools. Accordingly, if it chooses, an SEA with an approved ESEA flexibility request may select the "**priority schools list waiver**" in Section H of the SEA application for SIG funds. This waiver permits the SEA to replace its lists of Tier I, Tier II, and Tier III schools with its list of priority schools.

Through its approved ESEA flexibility request, an SEA has already received a waiver that permits its LEAs to apply for SIG funds to serve priority schools that are not otherwise eligible to receive SIG funds because they are not identified as Tier I, Tier II, or Tier III schools. The waiver offered in this application goes beyond this previously granted waiver to permit the SEA to actually use its priority schools list as its SIG list.

### **Availability of Funds**

The Consolidated and Further Continuing Appropriations Act, 2013, provided \$506 million for School Improvement Grants in fiscal year (FY) 2013.

FY 2013 SIG funds are available for obligation by SEAs and LEAs through September 30, 2015.

### **State and LEA Allocations**

Each State (including the District of Columbia and Puerto Rico), the Bureau of Indian Education, and the outlying areas are eligible to apply to receive a SIG grant. The Department will allocate FY 2013 SIG funds in proportion to the funds received in FY 2013 by the States, the Bureau of Indian Education, and the outlying areas under Parts A, C, and D of Title I of the ESEA. An SEA must allocate at least 95 percent of its SIG funds directly to LEAs in accordance with the final requirements (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>). The SEA may retain an amount not to exceed five percent of its allocation for State administration, evaluation, and technical assistance.

### **Consultation with the Committee of Practitioners**

Before submitting its application for a SIG grant to the Department, an SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein. The Department recommends that the SEA also consult with other stakeholders, such as potential external providers, teachers' unions, and business, civil rights, and community leaders that have an interest in its application.

## FY 2013 NEW AWARDS APPLICATION INSTRUCTIONS

This application is for use only by SEAs that will make new awards. New awards are defined as an award of SIG funds to an LEA for a school that the LEA was not previously approved to serve with SIG funds in the school year for which funds are being awarded—in this case, the 2014–2015 school year. New three-year awards may be made with the FY 2013 funds or any unobligated SIG funds from previous competitions not already committed to grants made in earlier competitions.

The Department will require those SEAs that will use FY 2013 funds solely for continuation awards to submit a SIG application. However, those SEAs using FY 2013 funds solely for continuation purposes are only required to complete the Continuation Awards Only Application for FY 2013 School Improvement Grants Program located at the end of this application.

## SUBMISSION INFORMATION

### **Electronic Submission:**

The Department strongly prefers to receive an SEA's FY 2013 SIG application electronically. The application should be sent as a Microsoft Word document, **not** as a PDF.

The SEA should submit its FY 2013 application to [OESE.OST@ed.gov](mailto:OESE.OST@ed.gov).

In addition, the SEA must submit a paper copy of the cover page signed by the SEA's authorized representative to the address listed below under "Paper Submission."

### **Paper Submission:**

If an SEA is not able to submit its application electronically, it may submit the original and two copies of its SIG application to the following address:

Carlas McCauley, Group Leader  
Office of School Turnaround  
U.S. Department of Education  
400 Maryland Avenue, SW, Room 3W320  
Washington, DC 20202-6132

Due to potential delays in government processing of mail sent through the U.S. Postal Service, SEAs are encouraged to use alternate carriers for paper submissions.

### **Application Deadline**

Applications are due on or before November 15, 2013.

### **For Further Information**

If you have any questions, please contact Carlas McCauley at (202) 260-0824 or by e-mail at [Carlas.Mccauley@ed.gov](mailto:Carlas.Mccauley@ed.gov).



## PART I: SEA REQUIREMENTS

As part of its application for a School Improvement Grant under section 1003(g) of the ESEA, an SEA must provide the following information.

### A. ELIGIBLE SCHOOLS

**Part 1 (Definition of Persistently Lowest-Achieving Schools):** Along with its list of Tier I, Tier II, and Tier III schools, the SEA must provide the definition that it used to develop this list of schools. If the SEA's definition of persistently lowest-achieving schools that it makes publicly available on its Web site is identical to the definition that it used to develop its list of Tier I, Tier II, and Tier III schools, it may provide a link to the page on its Web site where that definition is posted rather than providing the complete definition. If an SEA is requesting the priority schools list waiver, it need not provide this definition, as its methodology for identifying its priority schools has already been approved through its ESEA flexibility request.

**Part 2 (Eligible Schools List):** As part of its FY 2013 application an SEA must provide a list, by LEA, of each Tier I, Tier II, and Tier III school in the State or, if it is requesting the priority schools list waiver, of each priority school in the State. (A State's Tier I and Tier II schools are its persistently lowest-achieving schools and, if the SEA so chooses, certain additional Title I eligible schools that are as low achieving as the State's persistently lowest-achieving schools or that have had a graduation rate below 60 percent over a number of years.) In providing its list of schools, the SEA must indicate whether a school has been identified as a Tier I or Tier II school solely because it has had a graduation rate below 60 percent over a number of years.

**Directions:** SEAs that generate new lists should create this table in Excel using the format shown below. An example of the table has been provided for guidance.

LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY (if applicable)	GRAD RATE
*San Juan	4900900	Tse/bii/nidzsigai Elementary		SIG Cohort 2	
*Ogden		George Washington High		SIG Cohort 2	30%
Granite	4900360	Roosevelt Elementary	490036000259	Priority	
Salt Lake	4900870	Lincoln Elementary	490087000666	Priority	
San Juan	4900900	Monument Valley High	490090000802	Priority	65%
Granite	4900360	Lincoln Elementary	490036000238	Priority	
Canyons	4900142	Copperview Elementary	490014200296	Priority	
Dual Immersion	4900073	Dual Immersion Academy	490007301187	Priority	
Salt Lake	4900870	Meadowlark Elementary	490087000509	Priority	
San Juan	4900900	Whitehorse High	490090000667	Priority	76.5%
Utah Virtual	4900130	Utah Virtual Academy	490013001196	Priority	30%
San Juan	4900900	Montezuma Creek Elementary	490090000534	Priority	
Granite	4900360	Oquirrh Hills Elementary	490036000250	Priority	
Weber	4901200	Roy Elementary	490120000636	Priority	
C S Lewis Academy	4900074	C S Lewis Academy	490007401190	Priority	

\*These two schools are not eligible to make a new application since they are both in SIG Cohort 2. The 15 required Priority Schools in Utah are listed in rank order.

**EXAMPLE:**

SCHOOLS ELIGIBLE FOR FY 2013 SIG FUNDS									
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	PRIORITY	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##		X				
LEA 1	##	MADISON ES	##		X				
LEA 2	##	TAYLOR MS	##				X		X

**Part 3 (Terminated Awards):** All SEAs are required to list any LEAs with one or more schools for which funding under previously awarded SIG grants will not be renewed for the 2014-2015 school year. For each such school, note the amount of unused remaining funds and explain how the SEA or LEA plans to use those funds.

LEA NAME	SCHOOL NAME	DESCRIPTION OF HOW REMAINING FUNDS WERE OR WILL BE USED	AMOUNT OF REMAINING FUNDS
NONE			
<b>TOTAL AMOUNT OF REMAINING FUNDS:</b>			

**B. EVALUATION CRITERIA:** An SEA must provide the criteria it will use to evaluate the information set forth below in an LEA’s application for a School Improvement Grant.

**Part 1:** The three actions listed in Part 1 are ones that an LEA must take prior to submitting its application for a School Improvement Grant. Accordingly, the SEA must describe, with specificity, the criteria the SEA will use to evaluate an LEA’s application with respect to each of the following actions:

- (1) **The LEA has analyzed the needs of each Tier I and Tier II school, or each Priority School, as applicable, identified in the LEA’s application and has selected an intervention for each school.**

The state of Utah requires that any LEA making application for the School Improvement Grants 1003(g) must analyze the needs of each Priority School for which it applies that appears on the state’s identified Priority School list. Included in the analysis of each school, the LEA must consider the following:

- The percent of students scoring proficient in Reading/ Language Arts and Mathematics (LEAs are to consider both overall school and subgroup achievement);
- Trend data for both Reading/Language Arts and Mathematics (LEAs are to consider overall school and subgroup achievement);
- Demographic information relevant to the school’s achievement in Reading/Language Arts and Mathematics;
- Contextual data for the school (attendance, graduation and dropout rates, discipline reports, parent and community surveys);
- Teacher information (teacher attendance, turnover rates, teaching assignments aligned with highly qualified teacher status, teacher education, experience, and performance evaluations);

- Administrator information (how long the administrator has been at the building, or the replacement of the principal as required in the Turnaround or Transformation models, administrator education, experience, and performance evaluations); and
- Effectiveness of prior school reform efforts.

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Descriptive Information Part 1 (A 1) page 2. Only those LEA SIG applications that have combined multiple relevant data sources into a thoughtful analysis to specifically and conclusively justify the fit between the needs of the school and the intervention model chosen will be approvable.

Based on a thorough analysis of the data sources listed above, the LEA must:

- Identify the school(s) for which the LEA is making application.
- Identify the intervention model chosen for each school; and
- Provide the rationale for the model chosen for each school.

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Descriptive Information Part 1 (A 2) page 3. Only those LEA SIG applications that have combined multiple relevant data sources into a thoughtful analysis to specifically and conclusively justify the fit between the needs of the school and the intervention model chosen will be approvable.

- (2) The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school, or each Priority School, as applicable, identified in the LEA's application in order to implement fully and effectively the selected intervention in each of those schools.**

The LEA has identified how it will provide leadership and support to each Priority School identified in the LEA's application. The description must include the following information on how the LEA will successfully implement the school intervention model:

- Identify how the LEA provides leadership and support to each Priority School identified in the application;
- Identify the LEA staff assigned to support implementation of the school intervention model;
- Identify the qualifications and relevant experience of the assigned LEA staff related to prior successful school improvement efforts;
- Describe how the LEA will provide ongoing technical assistance to make sure each school is successful;
- Identify the fiscal resources (state and federal) that the LEA will commit to implementation;
- Identify the process through which the LEA will involve the school/community;
- Describe how the local school board will be engaged to ensure successful implementation (including the prioritization or revision of appropriate board policies and allocation of resources);
- Describe how the LEA will evaluate the effectiveness of the reform strategies;
- Describe how the LEA will monitor student achievement by individual teacher/classrooms; and
- If student achievement results do not meet expected goals, describe how the LEA will assist in necessary plan revisions.
- If the LEA is not applying to serve each Priority School, an explanation is provided regarding why it lacks capacity to serve each Priority School.

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Descriptive Information Part 1 (B) pages 6 and 7. Only those LEA SIG applications that provide thorough and

specific descriptions of ALL of the LEA capacity criteria listed above will be approvable.

- (3) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school, or each priority school, as applicable, identified in the LEA's application, as well as to support school improvement activities in Tier III schools in a State that is not requesting the priority schools list waiver, throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).**

The LEA budget included in the SIG application demonstrates that the LEA has allocated a reasonable amount for LEA support and school intervention model strategies. Quality budgets include the following:

- The LEA provides a budget for each Priority School for the three years of the grant;
- For each school included in the SIG application, the budget includes costs associated with the successful implementation of the intervention model selected (e.g. extended learning time, professional development, teacher recruitment and retention);
- The LEA must include a budget that includes at least \$50, 0000 per school and no more than \$2 million dollars multiplied by the number of schools served or no more than \$6 million per school over three years;
- If the LEA plans to apply for SIG funds to support LEA efforts, the budget includes costs associated with LEA leadership and support of the school intervention models;
- The LEA budget includes costs for purchased professional services to ensure quality consultants to facilitate research-based reform;
- The budget detail provides sufficient information to support budget requests; and
- The LEA has considered any costs associated with program evaluation annually;
- The SEA will annually review each LEAs budget prior to renewal of the grant.

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Budget Information Part 2 (A) page 12.

**Part 2: The actions in Part 2 are ones that an LEA may have taken, in whole or in part, prior to submitting its application for a School Improvement Grant, but most likely will take after receiving a School Improvement Grant. Accordingly, an SEA must describe the criteria it will use to assess the LEA's commitment to do the following:**

**(1) Design and implement interventions consistent with the final requirements;**

The LEA must include in its SIG application information that describes how it will implement with fidelity each of the requirements associated with the intervention model(s) selected for its eligible schools. This information includes the following:

- Describe how the LEA will implement with fidelity each requirement associated with the intervention model(s) selected for its eligible schools.
- Provide sufficient information describing how the LEA will successfully implement each requirement.
- Describe any steps already taken by the LEA to initiate school improvement efforts that align with SIG intervention models.
- Provide a detailed timeline for implementation for the intervention model chosen for each school the LEA intends to serve.
- Describe annual SMART goals for the state's assessment for reading/language arts.

- Describe annual SMART goals for the state’s assessment for mathematics.
- Consult with relevant stakeholders regarding the LEAs application and implementation in its Priority Schools.

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Descriptive Information Part 1 (A 3) page 4 and Part 1 (A 4) page 5.

**(2) Recruit, screen, and select external providers, if applicable, to ensure their quality;**

The LEA must include in its SIG application sufficient information describing how it will select and contract with proven external providers to support the LEA and the school(s) in the implementation of the intervention model(s). This includes the following:

- A description of how the LEA will contract with an external provider, including a description of how the LEA will recruit, screen, and select external providers;
- If the LEA has already selected an external provider, the LEA must provide evidence that the external provider has a demonstrated record of success; and
- A narrative description and budget to support external provider contracts.

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Descriptive Information Part 1(C) pages 8 and 9 to evaluate the LEA’s commitment to recruit, screen, and select external providers, if applicable. Only those LEA SIG applications that meet the external provider selection process criteria described below will be approvable:

- Detailed and relevant criteria for determining the need for external provider contract(s).
- Selecting external providers that take into account the specific needs of the Priority School(s) to be served by external providers. These criteria must include, but are not limited to:
  - Analysis of the LEA’s capacity and operational needs.
  - Researching and prioritizing the external providers available to serve the school:
    - Available providers have been thoroughly researched;
    - Contact with other LEAs currently or formerly engaged with the external provider regarding their experience and effectiveness;
    - The provider identified has a proven track record of success in working with similar schools and/or student populations. For example, success in working with high schools or English Language Learners.
  - Alignment between external provider services and existing LEA services:
    - The responsibilities of the external provider and the LEA are clearly defined and aligned.
  - The LEA has specifically planned how it will hold the external provider accountable to high performance standards.
  - The capacity of the external provider to serve the identified school has been clearly demonstrated.
- LEA provides a description of the reasonable and timely steps it will take to recruit and screen providers to be in place by the beginning of the 2014-2015 school year.

**(3) Align other resources with the interventions;**

The LEA SIG application must demonstrate that the LEA has committed other local, state, and federal resources to support successful implementation of the intervention model. A competitive LEA SIG application must

include the following information:

- A list of the financial resources that will support the intervention model (e.g. local, state, federal funds, and other private grants, as appropriate);
- A description of how each of the financial resources listed above will support the goals of the school reform effort in the improvement plan; and
- A description of how LEA program personnel will collaborate to support student achievement and school reform.

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Budget Information Part 2 (B) page 13.

**(4) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively;**

The LEA SIG application must demonstrate that the LEA has identified potential practices and/or policies that may serve as barriers to successful implementation of intervention strategies. Competitive applications must include the following:

- A list of practices and/or policies that may serve as barriers to successful implementation;
- Proposed steps to modify identified practices and/or policies to minimize barriers;
- A procedure in place to identify and resolve future issues related to practices and/or policies; and
- Description of how the LEA will collaborate with key stakeholders to implement necessary changes (e.g. associations, administrators, local board of education).

In reviewing LEA SIG applications, the USOE will evaluate the LEA's commitment to modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively. Only those LEA SIG applications that provide a thorough description of how the LEA will identify and address potential barriers will be approved.

Approvable applications must address the following:

- The barriers to successful implementation of interventions are clearly defined;
- The plan to address the identified barriers is clearly defined;
- The LEA description demonstrates sufficient commitment to work with key stakeholder groups (i.e. an analysis of charter laws, an LEA's negotiations/agreements with the teacher associations, or an LEA's partnership(s) with outside entities) to modify practices and policies, as necessary; and
- A procedure is in place to identify and resolve future issues related to practices and/or policies.

USOE will use the Utah 2013 LEA SIG Grant Review Checklist Descriptive Information Part 1(D) page 10 to evaluate the LEA's commitment to identify and modify its practices and policies.

**(5) Sustain the reforms after the funding period ends.**

The LEA SIG application must demonstrate that the LEA has a plan to sustain the improvements achieved through the SIG process when the funding period ends. Competitive applications include the following:

- A list of the ongoing supports needed to sustain school improvement after the funding period ends;

- A description of the anticipated local, state, and/or federal resources that will be committed to meet the needs identified above and support continued implementation of the model(s) chosen;
- The written assurance from the district superintendent or charter school leader that s/he will continue to support the implementation and refinement of the intervention model(s) described in the LEA application beyond the period of the grant funding; and
- The written assurance from the local school board that they will continue to support the implementation and refinement of the intervention model(s) described in the LEA application beyond the period of the grant funding.

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Descriptive Information Part 1(E) page 11.

**B-1. ADDITIONAL EVALUATION CRITERIA: In addition to the evaluation criteria listed in Section B, the SEA must evaluate the following information in an LEA's budget and application:**

- (1) How will the SEA review an LEA's proposed budget with respect to activities carried out during the pre-implementation period<sup>2</sup> to help an LEA prepare for full implementation in the following school year?**

An LEA receiving the Title I School Improvement Grant must submit a proposed budget to the Utah State Office of Education for approval before any activities may be carried out during the pre-implementation period. The LEAs proposed budget must assure that funds have been requested for the first year that covers full implementation of the selected intervention model through the 2014-2015 school year in addition to any allowable activities the LEA plans to implement prior to the 2014-2015 school year. **A reminder: The LEA may apply for a minimum of \$200,000 per year per school for each of the three years of the grant up to a maximum of \$300,000 per year per school for each of the three years for a total of no more than \$900,000 over three years.**

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Budget Information Part 2 (A) page 12.

- (2) How will the SEA evaluate the LEA's proposed activities to be carried out during the pre-implementation period to determine whether they are allowable?**

USOE will ensure that all activities proposed by the LEA receiving the SIG award are allowable expenditures to assist the LEA and school(s) in preparing for full implementation when the 2014-2015 school year begins. USOE has developed a Checklist to review the pre-implementation activities proposed by LEAs as a feedback resource to the LEA. This page of the Checklist will not be added to the overall score of the LEA application as this section is optional. The activities listed below are intended to be examples only. The focus of the activity should be its relationship to the needs of the school and the intervention model chosen for the school. Examples of allowable pre-implementation activities:

In reviewing LEA SIG applications, the USOE will use the Utah 2013 LEA SIG Grant Review Checklist Budget Information Checklist Part 2 (C) page 14.

- **Family and Community Engagement:** Hold community meetings to review school performance, discuss the school intervention model to be implemented, and develop school improvement plans in line with the intervention model selected; survey students and parents to gauge needs of students, families, and the

community; communicate with parents and the community about school status, improvement plans, choice options, and local service providers for health, nutrition, or social services through press releases, newsletters, newspaper announcements, parent outreach coordinators, hotlines, and direct mail; assist families in transitioning to new schools if their current school is implementing the closure model by providing counseling or holding meetings specifically regarding their choices; or hold open houses or orientation activities specifically for students attending a new school if their prior school is implementing the closure model.

- **Rigorous Review of External Providers:** Properly recruit, screen, and select any external providers that may be necessary to assist in planning for the implementation of an intervention model.
- **Staffing:** Recruit and hire the incoming principal, leadership team, instructional staff, and administrative support; or evaluate the strengths and areas of need of current staff.
- **Instructional Programs:** Provide remediation and enrichment to students in schools that will implement an intervention model at the start of the 2014-2015 school year through programs with evidence of raising achievement; identify and purchase instructional materials that are research-based, aligned with State academic standards, and have data-based evidence of raising student achievement; or compensate staff for instructional planning, such as examining student data, developing a curriculum that is aligned to State standards and aligned vertically from one grade level to another, collaborating within and across disciplines, and devising student assessments.
- **Professional Development and Support:** Train staff on the implementation of new or revised instructional programs and policies that are aligned with the school's comprehensive instructional plan and the school's intervention model; provide instructional support for returning staff members, such as classroom coaching, structured common planning time, mentoring, consultation with outside experts, and observations of classroom practice, that is aligned with the school's comprehensive instructional plan and the school's intervention model; or train staff on the new evaluation system and locally adopted competencies.
- **Preparation for Accountability Measures:** Develop and pilot a data system for use in SIG-funded schools; analyze data on leading baseline indicators; or develop and adopt interim assessments for use in SIG-funded schools.
- **Other Allowable Activities to be described by the LEA**

<sup>2</sup> "Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2014–2015 school year. For a full description of pre-implementation, please refer to section J of the SIG Guidance.

### **C. TIMELINE: An SEA must describe its process and timeline for approving LEA applications.**

**The SEA has established the following timeline to disseminate information to eligible LEAs, provide training, review applications, approve LEA applications, and award SIG 2013 funds:**

- Identify potential Priority Schools that fall within the lowest-performing 5% of Title I Schools: November 2013
- Notify Superintendents/Charter Leaders of schools identified as Priority Schools: November 2013
- Individuals contacted to serve on the external Review Panel: December 2013

- Develop the online application process: December 2013
- Hold a pre-bidders' conference: December 11, 2013
- Hold a bidders' conference: January 15, 2014
- Meet with Review Panel: January 16, 2014
- Applications available: January 15, 2014 to February 14, 2014
- Applications due: February 14, 2014
- Review SIG applications: February 18 to February 28, 2014
- Convene Review Panel for recommendations on applications: March 3, 2014
- Notify SIG award recipients: March 7, 2014
- Approved SIG applicants may choose to do pre-implementation activities beginning March 2014
- Approved SIG applicants begin implementation in the fall of 2014

**D. DESCRIPTIVE INFORMATION: An SEA must include the information set forth below.**

**(1) Describe the SEA's process for reviewing an LEA's annual goals for student achievement for its Tier I and Tier II schools, or for its priority schools, as applicable, and how the SEA will determine whether to renew an LEA's School Improvement Grant with respect to one or more Tier I or Tier II schools, or one or more priority schools, in at LEA that is not meeting those goals and making progress on the leading indicators in section III of the final requirements.**

During the annual progress review process, the SEA will analyze the student achievement goals set by the LEA for each Priority School(s) according to the following process:

- Annually review school achievement data to determine if the participating school(s) are achieving expected improvement aligned with goals;
- Require a full school appraisal using USOE Title I school improvement appraisal tools in the first year of the intervention (if one has not been completed within the last two years); and
- Require detailed school improvement plan using the school improvement plan template formulated with results from the school appraisal (if one has not been completed within the last two years).

If participating school(s) is not meeting achievement goals after the first year, the following procedure will be followed:

- The SEA will support the LEA in conducting a more thorough review of student achievement data;
- An instructional audit will be conducted by external consultant(s) in consultation with USOE to focus on the quality of instruction and the fidelity of the implemented curriculum aligned to the Utah Core Standards;
- The LEA will hire external consultant(s) in consultation with USOE to assist the LEA and school to revise plans, goals, and strategies to address increased student achievement;
- Quarterly reports on the implementation of the school improvement plan strategies/activities will be submitted by the external consultant to support, monitor, and report the progress being made in the implementation of the intervention model; and

- If the SEA determines that the LEA and school are not making adequate progress in the implementation of the intervention model, the SIG grant for the subsequent year may be reduced or eliminated.
- (2) Describe the SEA’s process for reviewing the goals an LEA establishes for its Tier III schools (subject to approval by the SEA) and how the SEA will determine whether to renew an LEA’s School Improvement Grant with respect to one or more Tier III schools in the LEA that are not meeting those goals. If an SEA is requesting the priority schools list waiver, it need not provide this information, as it will have no Tier III schools.**

Due to the Utah State Office of Education’s approved ESEA Flexibility Waiver, USOE is applying for a waiver to replace its PLA List with its Priority School list. Therefore, Utah will no longer serve any Tier III schools.

- (3) Describe how the SEA will monitor each LEA that receives a School Improvement Grant to ensure that it is implementing a school intervention model fully and effectively in the Tier I and Tier II schools, or the Priority Schools, as applicable, the LEA is approved to serve.**

During the annual progress review process, the SEA will analyze the student achievement goals set by the LEA for each Priority School(s) according to the following process:

- Annually review school achievement data to determine if the participating school(s) are achieving expected improvement aligned with goals;
- Require a full school appraisal using USOE Title I System of Support appraisal tools in the first year of the intervention (if one has not been completed within the last two years); and
- Require detailed school improvement plan using the school improvement plan template formulated with results from the school appraisal (if one has not been completed within the last two years).
- SEA Title I School Improvement personnel will make two half-day annual site visits to each SIG school (fall and spring) to monitor implementation and provide technical assistance.
- During annual fall SEA site visits to each SIG school, SEA personnel meet with LEA and school administrators to offer technical assistance and conduct classroom observations.
- During annual spring SEA site visits to each SIG school, SEA personnel conduct structured interviews with LEA and school administrators and conduct focus groups with teachers, parents, and students. The monitoring protocols developed by USED are used during this process.
- School Support Team Leaders (SSTL) make site visits at least quarterly to each SIG school they are working with to document progress toward implementation, problem-solve, and provide technical assistance.
- SSTL provides and reviews each quarterly report with LEA and school administrators and submits electronic copies to the SEA.

If the school is not meeting goals after the first year the following procedure will be followed:

- The SEA will support the LEA in conducting a more thorough review of student achievement data;

- An instructional audit will be conducted by external consultant(s) in consultation with USOE to focus on the quality of instruction and the fidelity of the implemented curriculum aligned to the Utah Core Standards;
- The LEA will hire external consultant(s) in consultation with USOE to assist the LEA and school to revise goals, plans, and strategies to address increased student achievement;
- Quarterly reports on the implementation of the school improvement plan strategies/activities will be submitted by the external consultant to support, monitor, and report the progress being made in the implementation of the intervention model; and
- If the SEA determines that the LEA and school are not making adequate progress in the implementation of the intervention model, the SIG grant for the subsequent year may be reduced or eliminated.

**(4) Describe how the SEA will prioritize School Improvement Grants to LEAs if the SEA does not have sufficient school improvement funds to serve all eligible schools for which each LEA applies.**

The SEA commits to serve all Priority Schools for which the LEA has submitted an approvable application. The SEA will utilize the scoring rubrics to evaluate the following elements in the application approval process:

- Prioritize LEA SIG applications that have the greatest promise of success in improving low-performing schools based on commitment, capacity, and well-defined plans and budgets;
- Prioritize schools with the greatest need based on student achievement over a four year time frame;
- Prioritize based on where the school falls within the lowest 5% of Title I schools;
- Prioritize based on the poverty level of the schools within the LEA;
- Prioritize schools and LEAs with the greatest commitment to fully implement the selected intervention models as defined by the LEA application;
- Prioritize schools that reflect the largest gap between the whole school and subgroup achievement; and
- Prioritize LEAs who demonstrate the commitment to serve, provide technical assistance, and monitor the schools for which it applies.

**(5) Describe the criteria, if any, which the SEA intends to use to prioritize among Tier III schools. If an SEA is requesting the priority schools list waiver, it need not provide this information, as it will have no Tier III schools.**

Due to the Utah State Office of Education's approved ESEA Flexibility Waiver, USOE is applying for a waiver to replace its PLA List with its Priority School list. Therefore, Utah will no longer serve any Tier III schools.

**(6) If the SEA intends to take over any Tier I or Tier II schools, or any priority schools, as applicable, identify those schools and indicate the school intervention model the SEA will implement in each school.**

The state of Utah does not intend to take over any Priority schools.

**(7) If the SEA intends to provide services directly to any schools in the absence of a takeover, identify those schools and, for Tier I or Tier II schools, or for priority schools, as applicable, indicate the school intervention model the**

**SEA will implement in each school and provide evidence of the LEA's approval to have the SEA provide the services directly.**

**<sup>3</sup> If, at the time an SEA submits its application, it has not yet determined whether it will provide services directly to any schools in the absence of a takeover, it may omit this information from its application. However, if the SEA later decides that it will provide such services, it must amend its application to provide the required information.**

The state of Utah does not intend to take directly provide services to any Priority schools.

**E. ASSURANCES: The SEA must provide the assurances set forth below.**

By submitting this application, the SEA assures that it will do the following (check each box):

- Comply with the final requirements and ensure that each LEA carries out its responsibilities outlined in the final requirements.
- Award each approved LEA a School Improvement Grant in an amount that is of sufficient size and scope to implement the selected intervention in each Tier I and Tier II school, or each priority school, as applicable, that the SEA approves the LEA to serve.
- Monitor and evaluate the actions an LEA has taken, as outlined in its approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality.
- Monitor and evaluate the actions the LEA has taken, as outlined in its approved SIG application, to sustain the reforms after the funding period ends and provide technical assistance to LEAs on how they can sustain progress in the absence of SIG funding.
- If a Tier I or Tier II school, or priority school, as applicable, implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.
- Post on its Web site, within 30 days of awarding School Improvement Grants, all final LEA applications and a summary of the grants that includes the following information: name and NCES identification number of each LEA awarded a grant; total amount of the three year grant listed by each year of implementation; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Tier I and Tier II school or priority school, as applicable.
- Report the specific school-level data required in section III of the final SIG requirements.

**F. SEA RESERVATION: The SEA may reserve an amount not to exceed five percent of its School Improvement Grant for administration, evaluation, and technical assistance expenses.**

**The SEA must briefly describe the activities related to administration, evaluation, and technical assistance that the SEA plans to conduct with any State-level funds it chooses to reserve from its School Improvement Grant allocation.**

The Utah State Office of Education will not reserve more than 5% for administration activities to complete the following activities:

- Provide state level technical assistance to LEAs including:
  - Training for the application process,
  - Training for the implementation phase, and
  - Conduct Leadership Institutes (e.g. LEA and school administrators, instructional coaches, teacher leaders, special educators);
- Review school improvement plans;
- Monitor the budgets and reimbursement requests;
- Conduct site visits to participating schools.

## G. CONSULTATION WITH STAKEHOLDERS

By checking this box, the SEA assures that it has consulted with its Committee of Practitioners regarding the information set forth in its application.

**H. WAIVERS:** SEAs are invited to request waivers of the requirements set forth below. An SEA must check the corresponding box(es) to indicate which waiver(s) it is requesting.

Utah requests a waiver of the State-level requirements it has indicated below. The State believes that the requested waiver(s) will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and raise the academic achievement of students in Tier I, Tier II, and Tier III schools or in its priority schools, as applicable.

### **Waiver 1: Tier II waiver**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2013 competition, waive paragraph (a)(2) of the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and incorporation of that definition in identifying Tier II schools under Section I.A.1(b) of those requirements to permit the State to include, in the pool of secondary schools from which it determines those that are the persistently lowest-achieving schools in the State, secondary schools participating under Title I, Part A of the ESEA that have not made adequate yearly progress (AYP) for at least two consecutive years or are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined.

#### Assurance

The State assures that it will include in the pool of schools from which it identifies its Tier II schools all Title I secondary schools not identified in Tier I that either (1) have not made AYP for at least two consecutive years; or (2) are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined. Within that pool, the State assures that it will identify as Tier II schools the persistently lowest-achieving schools in accordance with its approved definition. The State is attaching the list of schools and their level of achievement (as determined under paragraph (b) of the definition of “persistently lowest-achieving schools”) that would be identified as Tier II schools without the waiver and those that would be identified with the waiver. The State assures that it will ensure that any LEA that chooses to use SIG funds in a Title I secondary school that becomes an eligible Tier II school based on this waiver will comply with the SIG final requirements for serving that school.

### **Waiver 2: n-size waiver**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2013 competition, waive the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and the use of that definition in Section I.A.1(a) and (b) of those requirements to permit the State to exclude, from the pool of schools from which it identifies the persistently lowest-achieving schools for Tier I and Tier II, any school in which the total number of students in the “all students” group in the grades assessed is less than 40.

Assurance

The State assures that it determined whether it needs to identify five percent of schools or five schools in each tier prior to excluding small schools below its “minimum n.” The State is attaching, and will post on its Web site, a list of the schools in each tier that it will exclude under this waiver and the number of students in each school on which that determination is based. The State will include its “minimum n” in its definition of “persistently lowest-achieving schools.” In addition, the State will include in its list of Tier III schools any schools excluded from the pool of schools from which it identified the persistently lowest-achieving schools in accordance with this waiver.

**Waiver 3: Priority schools list waiver**

In order to enable the State to replace its lists of Tier I, Tier II, and Tier III schools with its list of priority schools that meet the definition of “priority schools” in the document titled *ESEA Flexibility* and that were identified in accordance with its approved request for ESEA flexibility, waive the school eligibility requirements in Section I.A.1 of the SIG final requirements.

Assurance

The State assures that its methodology for identifying priority schools, approved through its ESEA flexibility request, provides an acceptable alternative methodology for identifying the State’s lowest-performing schools and thus is an appropriate replacement for the eligibility requirements and definition of persistently lowest-achieving schools in the SIG final requirements.

**Waiver 4: Period of availability of FY 2013 funds waiver**

**Note: This waiver only applies to FY 2013 funds for the purpose of making three-year awards to eligible LEAs.**

Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY 2013 school improvement funds for the SEA and all of its LEAs to September 30, 2017.

**WAIVERS OF LEA REQUIREMENTS**

Utah requests a waiver of the requirements it has indicated below. These waivers would allow any local educational agency (LEA) in the State that receives a School Improvement Grant to use those funds in accordance with the final requirements for School Improvement Grants and the LEA’s application for a grant.

The State believes that the requested waiver(s) will increase the quality of instruction for students and improve the academic achievement of students in Tier I, Tier II, or Tier III schools by enabling an LEA to use more effectively the school improvement funds to implement one of the four school intervention models in its Tier I, Tier II, or Tier III schools. The four school intervention models are specifically designed to raise substantially the achievement of students in the State’s Tier I, Tier II, and Tier III schools.

**Waiver 5: School improvement timeline waiver**

**Note: An SEA that requested and received the school improvement timeline waiver for the FY 2012 competition and wishes to also receive the waiver for the FY 2013 competition must request the waiver again in this application.**

**An SEA that has been approved for ESEA flexibility need not request this waiver as it has already received a waiver of the requirement in section 1116(b) of the ESEA to identify schools for improvement through its approved ESEA flexibility request.**

**Schools that started implementation of a turnaround or restart model in the 2011-2012, 2012-2013, 2013-2014 school years cannot request this waiver to “start over” their school improvement timeline again.**

Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Tier I, Tier II, and Tier III Title I participating schools that will fully implement a turnaround or restart model beginning in the 2014–2015 school year to “start over” in the school improvement timeline.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests the waiver in its application as part of a plan to implement the turnaround or restart model beginning in the 2014–2015 school year in a school that the SEA has approved it to serve. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

**Waiver 6: Schoolwide program waiver**

**Note: An SEA that requested and received the schoolwide program waiver for the FY 2012 competition and wishes to also receive the waiver for the FY 2013 competition must request the waiver again in this application.**

**An SEA that has been approved for ESEA flexibility need not request this waiver as it has already received a waiver of the schoolwide poverty threshold through its approved ESEA flexibility request.**

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, Tier II, or Tier III participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests to implement the waiver in its application. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

**I. ASSURANCE OF NOTICE AND COMMENT PERIOD – APPLIES TO ALL WAIVER REQUESTS**

The State assures that, prior to submitting its School Improvement Grant application, the State provided all LEAs in the State that are eligible to receive a School Improvement Grant with notice and a reasonable opportunity to comment on its waiver request(s) and has attached a copy of that notice as well as copies of any comments it received from LEAs. The State also assures that it provided notice and information regarding the above waiver request(s) to the public in the manner in which the State customarily provides such notice and information to the public (e.g., by publishing a notice in the newspaper; by posting information on its Web site) and has attached a copy of, or link to, that notice.

## PART II: LEA APPLICATION

An SEA must develop an LEA application form that it will use to make subgrants of school improvement funds to eligible LEAs.

### LEA APPLICATION REQUIREMENTS

The LEA application form that the SEA uses must contain, at a minimum, the information set forth below. An SEA may include other information that it deems necessary in order to award school improvement funds to its LEAs.

#### **A. SCHOOLS TO BE SERVED: An LEA must include the following information with respect to the schools it will serve with a School Improvement Grant.**

An LEA must identify each Tier I, Tier II, and Tier III school, or each priority school, as applicable, the LEA commits to serve and identify the model that the LEA will use in each Tier I and Tier II school, or in each priority school, as applicable.

SCHOOL NAME	NCES ID #	PRIORITY	INTERVENTION			
			Turnaround	Restart	Closure	Transformation

#### **B. DESCRIPTIVE INFORMATION: An LEA must include the following information in its application for a School Improvement Grant.**

- (1) For each Priority School, that the LEA commits to serve, the LEA must demonstrate that the LEA has analyzed the needs of each school, such as instructional programs, school leadership and school infrastructure, and selected interventions for each school aligned to the needs each school has identified.
- (2) The LEA must ensure that each Priority School that it commits to serve receives all of the State and local funds it would receive in the absence of the school improvement funds and that those resources are aligned with the interventions.
- (3) The LEA must describe actions it has taken, or will take, to—
  - Determine its capacity to provide adequate resources and related support to each Priority School, identified in the LEA’s application in order to implement, fully and effectively, the required activities of the school intervention model it has selected;
  - Design and implement interventions consistent with the final requirements of the turnaround model, restart model, school closure, or transformation model;
  - Recruit, screen, and select external providers, if applicable, to ensure their quality;
  - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively; and,
  - Sustain the reforms after the funding period ends.

- (4) The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Priority School, identified in the LEA's application.
- (5) The LEA must describe how it will monitor each Priority School, that receives school improvement funds including by-
  - Establishing annual goals for student achievement on the State's assessments in both reading/language arts and mathematics; and,
  - Measuring progress on the leading indicators as defined in the final requirements.
- (6) As appropriate, the LEA must consult with relevant stakeholders regarding the LEA's application and implementation of school improvement models in its Priority Schools, as applicable.

**C. BUDGET: An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Priority School, it commits to serve that includes at least \$50, 000 per school, up to a maximum of \$2 million per school, not to exceed \$6 million over three years.**

The LEA must provide a budget that indicates the amount of school improvement funds the LEA will use each year to—

- Implement the selected model in each Priority School, it commits to serve;
- Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA's Priority Schools; and

Note: An LEA's budget should cover three years of full implementation and be of sufficient size and scope to implement the selected school intervention model in each Priority School the LEA commits to serve. Any funding for activities during the pre-implementation period must be included in the first year of the LEA's three-year budget plan.

An LEA's budget for each year may not exceed the number of Priority Schools (\$50, 000 per school minimum) it commits to serve multiplied by 2 million per school (not to exceed 6 million per school over three years).

**Example:**

LEA XX BUDGET					
	Year 1 Budget		Year 2 Budget	Year 3 Budget	Three-Year Total
	Pre-implementation	Year 1 - Full Implementation			
Tier I ES #1	\$257,000	\$1,156,000	\$1,325,000	\$1,200,000	\$3,938,000
Tier I ES #2	\$125,500	\$890,500	\$846,500	\$795,000	\$2,657,500
Tier I MS #1	\$304,250	\$1,295,750	\$1,600,000	\$1,600,000	\$4,800,000
Tier II HS #1	\$530,000	\$1,470,000	\$1,960,000	\$1,775,000	\$5,735,000
LEA-level Activities	\$250,000		\$250,000	\$250,000	\$750,000
<b>Total Budget</b>	<b>\$6,279,000</b>		<b>\$5,981,500</b>	<b>\$5,620,000</b>	<b>\$17,880,500</b>

**D. ASSURANCES:** An LEA must include the following assurances in its application for a School Improvement Grant.

The LEA must assure that it will—

- (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Priority School, that the LEA commits to serve consistent with the final requirements;
- (2) Establish annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Priority School, that it serves with school improvement funds;
- (3) If it implements a restart model in a Priority School, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;
- (4) Monitor and evaluate the actions a school has taken, as outlined in the approved SIG application, to recruit, select and provide oversight to external providers to ensure their quality;
- (5) Monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding; and,
- (6) Report to the SEA the school-level data required under section III of the final requirements.

**E. WAIVERS:** If the SEA has requested any waivers of requirements applicable to the LEA’s School Improvement Grant, an LEA must indicate which of those waivers it intends to implement.

The LEA must check each waiver that the LEA will implement. If the LEA does not intend to implement the waiver with respect to each applicable school, the LEA must indicate for which schools it will implement the waiver.

- “Starting over” in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.**

In Utah, this is not applicable.

- Implementing a school-wide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.**

In Utah, this is not applicable.

School Improvement Grants

**Application for FY 2013 New Awards Competition**

**Section 1003(g) of the  
Elementary and Secondary Education Act**

Fiscal Year 2013

CFDA Number: 84.377A

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**Utah LEA Application**



*Leadership...Service...Accountability*

U.S. Department of Education  
Washington, D.C. 20202

OMB Number: 1810-0682  
Expiration Date: September 30, 2016

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 74 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is mandatory required to obtain or retain benefit and voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1810-0682. Note: Please do not return the completed FY 2013 School Improvement Grant application to this address.

## UTAH 2013 SCHOOL IMPROVEMENT GRANT (SIG)

Legal Name of Applicant:	Applicant's Mailing Address:
<p>LEA 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>	
LEA Superintendent or Charter School Director (Printed Name):	Telephone:
Signature of the LEA Superintendent or Charter School Director	Date:
<p>X _____</p>	
<p>The LEA, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the LEA receives through this application.</p>	

## STATE OF UTAH SCHOOL IMPROVEMENT GRANT 2013

### LEA APPLICATION: REQUIREMENTS

**SCHOOLS TO BE SERVED: An LEA must include the following information with respect to the schools it will serve with a School Improvement Grant.**

An LEA must identify each Priority School the LEA commits to serve and identify the model that the LEA will use.

SCHOOL NAME	NCES ID #	PRIORITY INTERVENTION			
		Turnaround	Restart	Closure	Transformation

### PART 1: DESCRIPTIVE INFORMATION

The actions listed in Part I are ones that an LEA must take prior to submitting its application for a School Improvement Grant.

**A. The LEA has analyzed the needs of each Priority School identified in the LEA’s application and has selected an intervention for each school.**

1. The state of Utah requires that any LEA making application for the School Improvement Grants 1003(g) must analyze the needs of each Priority School for which it applies that appears on the state’s identified Priority School list. Included in the analysis of each school, the LEA must consider the following:
  - a. The percent of students scoring proficient in Reading/ Language Arts and Mathematics (LEAs are to consider both overall school and subgroup achievement);
  - b. Trend data for both Reading/Language Arts and Mathematics (LEAs are to consider overall school and subgroup achievement);
  - c. Demographic information relevant to the school’s achievement in Reading/Language Arts and Mathematics;
  - d. Contextual data for the school (attendance, graduation and dropout rates, discipline reports, parent and community surveys);
  - e. Teacher information (teacher attendance, turnover rates, teaching assignments aligned with highly qualified teacher status, teacher education, experience, and performance evaluations);
  - f. Administrator information (how long the administrator has been at the building, or the replacement of the principal as required in the Turnaround or Transformation models, administrator education, experience, and performance evaluations); and
  - g. Effectiveness of prior school reform efforts.

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 2 to review this requirement.**

2. Based on the thorough analysis of the above data, the LEA must select, design, and implement interventions consistent with the final federal requirements.
  - a. Identify the school(s) for which the LEA is making application;
  - b. Identify the intervention model chosen for each school; and
  - c. Provide the rationale for the model chosen for each school.

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 3 to review this requirement.**

3. The LEA must include in its SIG application information that describes how it will implement with fidelity each of the requirements associated with the intervention model(s) selected for its eligible schools. NOTE: Please see the LEA Turnaround Model Checklist, the LEA Transformational Model Checklist, or the LEA Closure Model Checklist in the Appendix. In Utah, due to Charter School Legislation, it is not possible to choose the LEA Restart Model.

This information must include the following:

- a. Describe how the LEA will implement with fidelity each requirement associated with the intervention model(s) selected for its eligible schools;
- b. Provide sufficient information describing how the LEA will successfully implement each requirement;
- c. Describe any steps already taken by the LEA to initiate school improvement efforts that align with SIG intervention models; and
- d. Provide a detailed timeline for implementation for the intervention model chosen for each school the LEA intends to serve.

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 4 to review this requirement.**

4. The LEA must describe the annual goals (Goals must be specific, measurable, attainable, realistic and time-based (SMART) for student achievement on the State's assessments in both reading/language arts and mathematics that it has established in order to monitor its Priority Schools that receive school improvement funds.
  - a. Describe annual SMART goals for the state's assessment for reading/language arts; and
  - b. Describe annual SMART goals for the state's assessment for mathematics.

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 5 to review this requirement.**

5. The LEA must consult with relevant stakeholders regarding the LEA's application and implementation of the chosen intervention model in its Priority Schools.
  - a. Identify the process through which the LEA will involve:
    - o School administrators;
    - o Teachers;
    - o Parents; and
    - o School Community Council (SCC).
  - b. Describe how the local school board will be engaged to ensure successful implementation (including the prioritization or revision of appropriate board policies and allocation of resources).

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 6 to review this requirement.**

**B. The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Priority School identified in the LEA's application in order to implement fully and effectively the selected intervention model in each of those schools.**

1. The LEA has identified how it will provide leadership and support to each Priority School identified in the LEA's application. The description must include the following information on how the LEA will successfully implement the school intervention model:
  - a. Identify how the LEA will provide leadership and support to each Priority School identified in the application;
  - b. Identify the LEA staff assigned to support implementation of the school intervention model;
  - c. Identify the qualifications and relevant experience of the assigned LEA staff related to prior successful school improvement efforts;
  - d. Describe how the LEA will provide ongoing technical assistance to make sure each school is successful;
  - e. Identify the fiscal resources (state and federal) that the LEA will commit to implementation;
  - f. Describe how the LEA will evaluate the effectiveness of the reform strategies;
  - g. Describe how the LEA will establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics
  - h. Describe how the LEA will monitor student achievement by individual teacher/classrooms;
  - i. Describe how the LEA will measure progress on the leading indicators as defined in the final requirements;
  - j. Describe the frequency of LEA monitoring;
  - k. Describe the monitoring strategies the LEA will use to monitor the implementation of each requirement of the selected intervention model (Use the model checklists provided as a guide for the monitoring strategies needed); and
  - l. If student achievement results do not meet expected goals, describe how the LEA will assist in making necessary plan revisions.
2. If the LEA is not applying to serve each Priority School, the LEA must explain why it lacks capacity to serve each school.
3. The LEA has identified how it will design and implement interventions consistent with the final requirements of the selected intervention model.
4. Due to the Utah State Office of Education's approved ESEA Flexibility Waiver, USOE is applying for a waiver to replace its PLA List with its Priority Schools list. Therefore, LEAs will no longer be able to apply to serve Tier III schools with SIG funding.

Turnaround Model:

- Replace and support principal
- Grant greater flexibility to principal (e.g. staffing, calendars, budget)
- Locally develop and adopt competencies to screen existing staff
- Identify and replace 50% of the existing staff, using locally adopted competencies
- Select and hire new staff
- Implement strategies to recruit, place, and retain staff
- Provide ongoing job-embedded professional development
- Adopt a new governance structure
- Use data to identify and implement an instructional program that is research-based, vertically aligned, and aligned with Utah Core Standards.

- Promote the continuous use of student data to inform and differentiate instruction to meet the academic needs of individual students
- Establish schedule and implement strategies that increase learning time
- Provide appropriate social/emotional and community oriented services and supports for students
- Other permissible strategies (please specify)

#### Transformational Model:

- Replace the principal who led the school prior to commencement of Transformational Model
- Use rigorous, transparent, and equitable evaluation systems that take into account data on student growth and are designed and developed with teacher and principal involvement
- Identify and reward school leaders, teachers, and other staff who have increase student achievement; remove those who have not done so
- Provide staff ongoing, high quality, job-embedded professional development
- Implement strategies designed to recruit, place, and retain staff (e.g. additional compensation, institute a system for measuring changes in instructional practices, etc.)
- Use data to identify and implement an instructional program that is research-based, vertically aligned, and aligned with Utah Core Standards
- Promote the continuous use of student data (formative, interim, and summative assessments) to inform and differentiate instruction (e.g. curriculum review, UMTSS model, additional supports for students with disabilities and English language learners)
- Provide additional support and professional development to teachers and principal to support students with disabilities and English language learners
- Use and integrate technology-based support and intervention as part of the instructional program
- Secondary Schools only: Increase rigor by offering opportunities for students to enroll in advanced coursework (provide multiple opportunities for all students)
- Secondary Schools only: Improve student transitions from middle school to high school
- Secondary Schools only: Increase graduation rate through a variety of methods
- Secondary Schools only: Establish early warning systems to identify students at-risk of failing to graduate
- Establish schedules and strategies that provide increased learning time
- Provide ongoing mechanisms for family and community engagement (e.g. partnerships with parents and community to create safe schools, extended or restructured school day, approaches to improved climate and school discipline, full day or pre-kindergarten)
- Give the school sufficient operational flexibility (e.g. staffing, calendar/time, budgeting)
- Ensure that the school receive ongoing, intensive technical assistance from the LEA, SEA, or external consultant organization) e.g. new governance arrangement, weighted per pupil budget formula

#### Restart Model:

- Develop, communicate, and implement the decision-making process for selecting the Restart Model
- Develop and implement a rigorous review process for selecting: charter school operator; charter school management organization; and/or educational management organization
- Develop and implement a process for monitoring and evaluating the Restart Model to ensure that it serves and benefits students
- Other strategies (please specify)

Closure Model:

- Develop and implement a process for ensuring that all students are accommodated at higher-achieving schools
- Develop and implement a communication plan to inform parents and the community about the Closure Model
- Provide support for students who are transitioning to new schools (e.g. transportation, class assignments, etc.)
- Other strategies (please specify)

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 7 to review this requirement. The checklists for each intervention model are included in this application.**

**C. The LEA has considered the needs of the school(s) in relation to the chosen intervention model and must describe the process used to recruit, screen, and select external providers.**

1. A description of how the LEA will contract with an external provider, including a description of how the LEA will recruit, screen, and select external providers;
  - a. If the LEA has already selected an external provider, the LEA must provide evidence that the external provider has a demonstrated record of success and the expected services that the contractor will provide;
  - b. A narrative description to support external provider contracts, if applicable; and
  - c. The LEA is required to use an experienced School Support Team Leader who is external to the LEA. An SST Leader could assist the school in the implementation of the intervention model. A list of approved School Support Team Leaders is available upon request of USOE staff.
2. In selecting external providers, the LEA must take into account the specific needs of the Priority School(s) to be served. These criteria must include, but are not limited to:
  - a. Researching and prioritizing external providers available to serve the school;
  - b. Contact with other LEAs currently or formerly engaged with the external provider regarding their effectiveness; and
  - c. The provider identified has a proven track record of success in working with similar schools and/or student populations (e.g. success working with high schools or English language learners).
3. The LEA must describe the alignment between external provider services and existing LEA services:
  - a. The responsibilities of the external provider and LEA are aligned and clearly defined;
  - b. The LEA has specifically planned how it will hold the external provider accountable to high performance standards; and
  - c. The capacity of the external provider to serve the specific needs of the identified school(s) has been clearly demonstrated.
4. The LEA must describe the reasonable and timely steps it will take to recruit and screen providers to be in place by the beginning of the 2014-15 school year.

**The USOE will use the Utah 2013 LEA SIG Review Checklist pages 8-9 to review this requirement.**

**D. The LEA must describe how it will modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.**

1. The LEA SIG application must demonstrate that the LEA has identified potential practices and/or policies that may serve as barriers to successful implementation of intervention strategies. Competitive applications must include the following:
  - a. A list of practices and/or policies that may serve as barriers to successful implementation;
  - b. Proposed steps to modify identified practices and/or policies to minimize barriers;
  - c. A procedure in place to identify and resolve future issues related to practices and/or policies; and
  - d. Description of how the LEA will collaborate with key stakeholders to implement necessary changes (e.g. associations, administrators, local board of education).

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 10 to review this requirement.**

**E. The LEA must include information regarding how it will sustain the reforms after the SIG funding period ends.**

1. The LEA SIG application must demonstrate that the LEA has a plan to sustain the improvements achieved through the SIG process when the funding period ends. Competitive applications include the following:
  - a. A list of the ongoing supports needed to sustain school improvement after the funding period ends;
  - b. A description of the anticipated local, state, and/or federal resources that will be committed to meet the needs identified above and support continued implementation of the model(s) chosen;
  - c. The written assurance from the district superintendent or charter school leader that s/he will continue to support the implementation and refinement of the intervention model(s) described in the LEA application beyond the period of the grant funding; and
  - d. The written assurance from the local school board that they will continue to support the implementation and refinement of the intervention model(s) described in the LEA application beyond the period of the grant funding.

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 11 to review this requirement.**

## **Part II: BUDGET**

**An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Priority School it commits to serve. NOTE: The amount of funds applied for must include a planned budget for each year of the three years of the grant. The LEA may apply for a minimum of \$50,000 per year per school for each of the three years of the grant up to a maximum of \$2,000,000 per year per school for each of the three years for a total of no more than \$6,000,000 over three years.**

1. The LEA budget included in the SIG application demonstrates that the LEA has allocated a reasonable amount for LEA support and school intervention model strategies. Quality budgets include the following:
  - a. The LEA provides a budget for each Priority School for the three years of the grant;
  - b. For each school included in the SIG application, the budget includes costs associated with the successful implementation of the intervention model selected (e.g. extended learning time, professional development, teacher recruitment and retention);

- c. If the LEA plans to apply for SIG funds to support LEA efforts, the budget includes costs associated with LEA leadership and support of the school intervention models;
- d. The LEA budget includes costs for purchased professional services to ensure quality consultants to facilitate research-based reform;
- e. The budget detail provides sufficient information to support budget requests; and
- f. The LEA has considered any costs associated with program evaluation annually.

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 12 to review this requirement.**

**NOTE: The SEA will annually review each LEAs budget prior to renewal of the grant.**

- 2. The LEA SIG application must demonstrate that the LEA has committed other local, state, and federal resources to support successful implementation of the intervention model. A competitive LEA SIG application must include the following information:
  - a. A list of the financial resources that will support the intervention model (e.g. local, state, federal funds, and other private grants, as appropriate);
  - b. A description of how each of the financial resources listed above will support the goals of the school reform effort in the improvement plan; and
  - c. A description of how LEA program personnel will collaborate to support student achievement and school reform.

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 13 to review this requirement.**

3. USOE will ensure that all activities proposed by the LEA receiving the SIG award are allowable expenditures to assist the LEA and school(s) in preparing for full implementation when the 2014-2015 school year begins. USOE has developed a Checklist to review the pre-implementation activities proposed by LEAs as a feedback resource to the LEA. This page of the Checklist will not be added to the overall score of the LEA application as this section is optional. The activities listed below are intended to be examples only. The focus of the activity should be its relationship to the needs of the school and the intervention model chosen for the school. Examples of allowable pre-implementation activities:

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 14 to review this requirement.**

- Family and Community Engagement:** Hold community meetings to review school performance, discuss the school intervention model to be implemented, and develop school improvement plans in line with the intervention model selected; survey students and parents to gauge needs of students, families, and the community; communicate with parents and the community about school status, improvement plans, choice options, and local service providers for health, nutrition, or social services through press releases, newsletters, newspaper announcements, parent outreach coordinators, hotlines, and direct mail; assist families in transitioning to new schools if their current school is implementing the closure model by providing counseling or holding meetings specifically regarding their choices; or hold open houses or orientation activities specifically for students attending a new school if their prior school is implementing the closure model.
- Rigorous Review of External Providers:** Properly recruit, screen, and select any external providers that may be necessary to assist in planning for the implementation of an intervention model.
- Staffing:** Recruit and hire the incoming principal, leadership team, instructional staff, and administrative support; or evaluate the strengths and areas of need of current staff.
- Instructional Programs:** Provide remediation and enrichment to students in schools that will implement an intervention model at the start of the 2014-2015 school year through programs with evidence of raising achievement; identify and purchase instructional materials that are research-based, aligned with State academic standards, and have data-based evidence of raising student achievement; or compensate staff for instructional planning, such as examining student data, developing a curriculum that is aligned to State standards and aligned vertically from one grade level to another, collaborating within and across disciplines, and devising student assessments.
- Professional Development and Support:** Train staff on the implementation of new or revised instructional programs and policies that are aligned with the school's comprehensive instructional plan and the school's intervention model; provide instructional support for returning staff members, such as classroom coaching, structured common planning time, mentoring, consultation with outside experts, and observations of classroom practice, that is aligned with the school's comprehensive instructional plan and the school's intervention model; or train staff on the new evaluation system and locally adopted competencies.
- Preparation for Accountability Measures:** Develop and pilot a data system for use in SIG-funded schools; analyze data on leading baseline indicators; or develop and adopt interim assessments for use in SIG-funded schools.
- Other Allowable Activities to be described by the LEA**

"Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2014-2015 school year. For a full description of pre-implementation, please refer to section J of the SIG Guidance.

### PART III: ASSURANCES

#### An LEA must include the following assurances in its application for a School Improvement Grant.

The LEA must assure that it will follow U.S. Department of Education assurances:

- Use its School Improvement Grant to implement fully and effectively an intervention in each Priority School that the LEA commits to serve consistent with the final requirements;
- Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Priority School that it serves with school improvement funds;
- If the LEA implements a Restart Model in a Priority School the LEA must include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements
- The LEA must monitor and evaluate the actions the school has taken, as outlined in approved SIG application, to recruit, select, and provide oversight to external providers to ensure their quality.
- The LEA must monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding.
- Report to the SEA the school-level data required under section III of the final requirements.

Utah State Office of Education assurances:

- The written assurance of the superintendent/charter school leader and the local school board that continued support will be provided.
- The LEA must assure that a school appraisal will be conducted using the USOE Title I System of Support Handbook tools. The LEA is required to use an experienced School Support Team Leader who is external to the LEA. An SST Leader could assist the school in the implementation of the intervention model. A list of approved School Support Team Leaders is available upon request of USOE staff.

#### Waivers:

1. LEAs may "start over" in the school improvement timeline for Priority or Tier I and Tier II Title I participating schools implementing a Turnaround or Restart Model. (This provision is not applicable in Utah due to the State's approved ESEA Flexibility waiver.)
2. LEAs may implement a schoolwide program in a Priority, Tier I or Tier II Title I participating school that does not meet the 40% poverty eligibility threshold. . (This provision is not applicable in Utah due to the State's approved ESEA Flexibility waiver.)

**The USOE will use the Utah 2013 LEA SIG Review Checklist page 15 to review this requirement.**

**The SEA has established the following timeline to disseminate information to eligible LEAs, provide training, review applications, approve LEA applications, and award SIG 2013 funds:**

- Identify potential Priority Schools that fall within the lowest-performing 5% of Title I Schools: November 2013
- Notify Superintendents/Charter Leaders of schools identified as Priority Schools: November 2013
- Individuals contacted to serve on the external Review Panel: December 2013
- Develop the online application process: December 2013
- Hold a pre-bidders' conference: December 11, 2013
- Hold a bidders' conference: January 15, 2014
- Meet with Review Panel: January 16, 2014
- Applications available: January 15, 2014 to February 14, 2014
- Applications due: February 14, 2014
- Review SIG applications: February 18 to February 28, 2014
- Convene Review Panel for recommendations on applications: March 3, 2014
- Notify SIG award recipients: March 7, 2014
- Approved SIG applicants may choose to do pre-implementation activities beginning March 2014
- Approved SIG applicants begin implementation in the fall of 2014

# Utah 2013 LEA School Improvement Grant Review Checklist

## COVER SHEET

LEA Name: \_\_\_\_\_

Reviewer Number: \_\_\_\_\_

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Points awarded to this application	<u>      </u> / 181

Reviewer's overall comments:

## Utah 2013 LEA School Improvement Grant Review Checklist

### Descriptive Information Part I (A 1)

The LEA has analyzed the needs of each Priority School identified in the LEA's application.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

**0= provides no data 1=provides limited data 2=provides most data 3=provides all data**

The percent of students scoring proficient for Language Arts and Mathematics includes overall school and subgroup achievement.	Rating: 0 1 2 3 Comments:
Trend data for both Language Arts and Mathematics for the overall school and subgroup achievement is included.	Rating: 0 1 2 3 Comments:
Demographic information is complete and includes all relevant data.	Rating: 0 1 2 3 Comments:
Contextual data is complete and includes all relevant data.	Rating 0 1 2 3 Comments:
Teacher information is complete and includes all relevant data.	Rating: 0 1 2 3 Comments:
Administrator information is complete and includes all relevant data.	Rating: 0 1 2 3 Comments:
Effectiveness of prior school reform efforts is included.	Rating: 0 1 2 3 Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

**Descriptive Information Part I (A 2)**

The LEA has selected an intervention model for each identified Priority School.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

**0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale**

Identify the school(s) for which the LEA is making application.	Rating: 0 1 2 3 Comments:
Identify the intervention model chosen for each school; and	Rating: 0 1 2 3 Comments:
Provide the rationale for the model chosen for each school.	Rating: 0 1 2 3 Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

**Descriptive Information Part 1 (A 3)**  
 Based on the analysis of the data, select, design, and implement the interventions consistent with the final federal requirements.

<b>LEA Name:</b> _____ <b>Reviewer Number:</b> _____ <b>0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale</b>	
Describe how the LEA will implement with fidelity each of the requirements associated with the intervention model(s) selected its eligible schools.	Rating: 0 1 2 3 Comments:
Provide sufficient information describing how the LEA will successfully implement each requirement.	Rating: 0 1 2 3 Comments:
Describe any steps already taken by the LEA to initiate school improvement efforts that align with SIG intervention models.	Rating: 0 1 2 3 Comments:
Provides a detailed timeline for implementation of the school intervention model chosen for each school the LEA intends to serve.	Rating: 0 1 2 3 Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

**Descriptive Information Part 1(A 4)**

Based on the analysis of the data, the LEA will design annual SMART goals in reading/language arts and mathematics.

**LEA Name:** \_\_\_\_\_ **Reviewer Number:** \_\_\_\_\_

**0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale**

The LEA has described annual SMART goals on the state's assessment in reading/language arts.	Rating: 0 1 2 3 Comments:
The LEA has described annual SMART goals on the state's assessment in mathematics.	Rating: 0 1 2 3 Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

**Descriptive Information Part 1 (A 5)**

The LEA has consulted with relevant stakeholders regarding the LEAs SIG application and implementation in its Priority Schools.

**LEA Name:** \_\_\_\_\_ **Reviewer Number:** \_\_\_\_\_

**0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale**

The LEA has identified the process through which it will involve administrators.	Rating: 0 1 2 3 Comments:
The LEA has identified the process through which it will involve teachers.	Rating: 0 1 2 3 Comments:
The LEA has identified the process through which it will involve parents.	Rating: 0 1 2 3 Comments:
The LEA has identified the process through which the local school board will be engaged to ensure successful implementation (including the prioritization or revision of appropriate board policies and allocation of resources).	Rating: 0 1 2 3 Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

### Descriptive Information Part I (B 1)

The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Priority school(s) identified in the LEA's application in order to implement fully and effectively the selected intervention model in each of those schools.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale

The LEA has identified how it provides leadership and support to each Priority School identified in the application.	Rating: 0 1 2 3 Comments:
The LEA has identified LEA staff assigned to support implementation of the school improvement model.	Rating: 0 1 2 3 Comments:
Identify the qualifications and relevant experience of the assigned LEA staff related to prior successful school improvement efforts;	Rating: 0 1 2 3 Comments:
The LEA has described how it will provide technical assistance to ensure each school is successful.	Rating: 0 1 2 3 Comments:
The LEA has identified the fiscal resources (local, state, and federal) that will be committed to ensure full implementation.	Rating: 0 1 2 3 Comments:
The LEA describes the process to involve the school and the community in full implementation of the school's plan.	Rating: 0 1 2 3 Comments:
The LEA has described how the local school board will be engaged to ensure successful implementation (including the prioritization or revision of appropriate board policies and allocation of resources).	Rating: 0 1 2 3 Comments:
The LEA has described how it will evaluate the effectiveness of the reform strategies.	Rating: 0 1 2 3 Comments:
The LEA has described how it will monitor student achievement by individual teacher/classrooms.	Rating: 0 1 2 3 Comments:
If student achievement results do not meet expected goals, the LEA has a plan to make necessary revisions.	Rating: 0 1 2 3 Comments:
If the LEA is not applying to serve each Priority School, an explanation is provided regarding why it lacks capacity to serve each Priority School.	Applicable to this applicant and has been addressed: Yes No Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

### Descriptive Information Part 1 (C)

The LEA has declared its intention to contract with an external provider.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale

Contracting with external providers:

- A description of how the LEA will contract with an external provider, including a description of how the LEA will recruit, screen, and select external providers;
- If the LEA has already selected an external provider, the LEA must provide evidence that the external provider has a demonstrated record of success and the expected services that the contractor will provide; and
- A **narrative description and budget** to support external provider contracts, if applicable.
- The LEA must assure that a school appraisal will be conducted using the USOE Title I System of Support Handbook tools. This appraisal must be conducted by an experienced School Support Team leader who is external to the LEA. A list of approved School Support Team Leaders is available upon request of USOE staff.

Rating: 0 1 2 3

Comments:

- Selecting external providers that take into account the **specific needs** of the Priority School(s) to be served by external providers. These criteria must include, but are not limited to:
  - Researching and prioritizing the external providers available to serve the school:
  - Available providers have been **thoroughly** researched;
    - Contact with other LEAs currently or formerly engaged with the external provider regarding their experience and effectiveness;
    - The provider identified has a proven track record of success in working with **similar schools and/or student populations**. For example, success in working with high schools or English Language Learners.

Rating: 0 1 2 3

Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

Descriptive Information Part 1 (C) continued

The LEA has declared its intention to contract with an external provider.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale

Alignment between external provider services and existing LEA services:

- The responsibilities of the external provider and the LEA are **clearly defined** and aligned.
- The LEA has **specifically** planned how it will hold the external provider accountable to high performance standards.
- The capacity of the external provider to serve the specific needs of the identified school(s) has been **clearly demonstrated**.

Rating: 0 1 2 3

Comments:

- LEA provides a description of the reasonable and timely steps it will take to recruit and screen providers to be in place by the beginning of the 2014-2015 school year.

Rating: 0 1 2 3

Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

Descriptive Information Part 1 (D) The LEA's local school board will identify and modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.	
<b>LEA Name:</b> _____ <b>Reviewer Number:</b> _____ <b>0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale</b>	
The LEA has identified and clearly defined practices and/or policies that may serve as barriers to successful implementation.	Rating: 0 1 2 3 Comments:
The LEA has described and clearly defined proposed steps to modify identified practices and/or policies to minimize barriers.	Rating: 0 1 2 3 Comments:
The LEA has described its procedure to identify and resolve future issues related to practices and/or policies that may serve as barriers to full implementation.	Rating: 0 1 2 3 Comments:
The LEA describes how it will collaborate with key stakeholders (e.g., associations, administrators, local board of education, parents and other key stakeholders) to implement necessary changes to practices, policies, and procedures.	Rating: 0 1 2 3 Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

**Descriptive Information Part 1 (E)**

The LEA, with support of the local board of education, has plans for how the reforms will be sustained after the funding period ends.

**LEA Name:** \_\_\_\_\_ **Reviewer Number:** \_\_\_\_\_

**0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale**

The LEA includes a list of the ongoing supports needed to sustain school improvement after the funding period ends.	Rating: 0 1 2 3 Comments:
The LEA describes and enumerates the anticipated resources that will be committed to meet the needs identified above.	Rating: 0 1 2 3 Comments:
The LEA included a written assurance from the superintendent or charter school leader that s/he will continue to support the implementation and refinement of the intervention model(s) described in the LEA application.	Rating: 0 1 2 3 Comments:
The LEA included a written assurance from the local school board that it will continue to support the implementation and refinement of the intervention model(s) described in the LEA application.	Rating: 0 1 2 3 Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

Budget Information Part 2(A) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Priority School identified in the LEA's application.	
<b>LEA Name:</b> _____ <b>Reviewer Number:</b> _____ <b>0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale</b>	
The LEA provides a budget for each of the three years of the grant for each Priority School included in the SIG application. The LEA must include a budget of no less than \$50,000 per school per year and no more than \$2 million dollars per year per school or no more than \$6 million per school over three years.	Rating: 0 1 2 3 Comments:
For each school included in the SIG application, the budget provides costs associated with the successful implementation of the intervention model selected. (e.g., extended learning time, professional development, teacher recruitment and retention, etc.)	Rating: 0 1 2 3 Comments:
If the LEA plans to apply for SIG funds to support LEA efforts, the budget includes costs associated with LEA leadership and support of the school intervention models.	Rating: 0 1 2 3 Comments:
The LEA budget includes costs for purchased professional services to ensure quality consultants to facilitate research-based reform.	Rating: 0 1 2 3 Comments:
Budget details provide sufficient information to support budget requests.	Rating: 0 1 2 3 Comments:
The LEA has considered any costs associated with program evaluation.	Rating: 0 1 2 3 Comments:

## Utah 2013 LEA School Improvement Grant Review Checklist

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**Budget Information Part 2 (B)**

The LEA has aligned other local, state, and federal resources with the SIG award to fund the intervention model it intends to implement.

**LEA Name:** \_\_\_\_\_

**Reviewer Number:** \_\_\_\_\_

**0= provides no information 1=provides limited information 2=provides most information 3=provides all information and rationale**

<p>The LEA has provided a list of the financial resources and the amounts allocated to support the intervention model (e.g. local, state, federal funds, and other private grants, as appropriate).</p>	<p>Rating: 0 1 2 3 Comments:</p>
<p>The LEA has described how each of the financial resources listed above will support the requirements of the selected intervention model(s).</p>	<p>Rating: 0 1 2 3 Comments:</p>
<p>The LEA has described how LEA program personnel will collaborate to support student achievement and school reform.</p>	<p>Rating: 0 1 2 3 Comments:</p>

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## Utah 2013 LEA School Improvement Grant Review Checklist

**Budget Information Part 2 (C)**

The LEA has designed approvable pre-implementation activities to assist the school(s) in preparing for full implementation when the 2014-2015 school year begins. The focus of the activity must be its relationship to the needs of the school and the selected intervention model.

**LEA Name:** \_\_\_\_\_ **Reviewer Number:** \_\_\_\_\_

**1= Directly related to full and effective implementation 2=Addresses the needs identified by the LEA 3=Will advance the overall goal of improved student achievement 4=Reasonable costs associated with the full implementation of the improvement model**

Description and costs associated with family and community engagement activities	Rating: 0 1 2 3 4 Comments:
Description and costs associated with rigorous review of external providers.	Rating: 0 1 2 3 4 Comments:
Description and costs associated with staffing	Rating: 0 1 2 3 4 Comments:
Description and costs associated with instructional programs	Rating: 0 1 2 3 4 Comments:
Description and costs associated with professional development and support	Rating: 0 1 2 3 4 Comments:
Description and costs associated with preparation for accountability measures	Rating: 0 1 2 3 4 Comments:
Description and costs associated with other allowable activities:	Rating: 0 1 2 3 4 Comments:

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## Utah 2013 LEA School Improvement Grant Review Checklist

**ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant.**

The LEA must assure that it will—

- Use its School Improvement Grant to implement fully and effectively an intervention in each Priority School that the LEA commits to serve consistent with the final requirements;
- Establish annual goals for student achievement on the State's assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Priority School that it serves with school improvement funds;
- If the LEA implements a Restart Model in a Priority School the LEA must include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements;
- The LEA must monitor and evaluate the actions the school has taken, as outlined in approved SIG application, to recruit, select, and provide oversight to external providers to ensure their quality;
- The LEA must monitor and evaluate the actions schools have taken, as outlined in the approved SIG application, to sustain the reforms after the funding period ends and that it will provide technical assistance to schools on how they can sustain progress in the absence of SIG funding;
- Include the written assurance of the superintendent/charter school leader and the local school board that continued support will be provided.
- Report to the SEA the school-level data required under section III of the final requirements.
- Conduct a school appraisal using the USOE Title I System of Support Handbook tools. This appraisal must be conducted by an experienced School Support Team leader who is external to the LEA. A list of approved School Support Team Leaders is available upon request of USOE staff.

## Utah LEA SIG Application Transformational Model Requirements

Teacher And School Leader Effectiveness			
<b>Strategy 1.A: Replace the principal who led the school prior to commencement of transformation model.</b>			
Description:			
Implementation Steps	Timeline	Budget	Person Responsible
<b>Strategy 1.B: Use rigorous, transparent, and equitable evaluation systems for teachers and principals that take into account data on student growth and are designed and developed with teacher and principal involvement.</b>			
Description:			
Implementation Steps	Timeline	Budget	Person Responsible
<b>Strategy 1.C: Identify and reward school leaders, teachers and other staff who have increased student achievement; remove those who have not done so.</b>			
Description:			
Implementation Steps	Timeline	Budget	Person Responsible
<b>Strategy 1.D: Provide staff ongoing, high-quality, job-embedded professional development.</b>			
Description:			
Implementation Steps	Timeline	Budget	Person Responsible

<b>Strategy 1.E: Implement strategies designed to recruit, place, and retain staff (e.g. provide additional compensation, institute a system for measuring changes in instructional practices, etc).</b>			
<b>Description:</b>			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Comprehensive Instructional Reform Strategies</b>			
<b>Strategy 2.A: Use data to identify and implement an instructional program that is research-based, vertically aligned, and aligned with Utah Core Standards.</b>			
<b>Description:</b>			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2.B: Promote the continuous use of student data (formative, interim, and summative assessments) to inform and differentiate instruction (e.g. curriculum reviews, UMTSS model, additional supports for students with disabilities and English language learners).</b>			
<b>Description:</b>			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>

<b>Strategy 2.C: Provide additional supports and professional development to teachers and principals to support students with disabilities and English language learners.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2.D: Use and integrate technology-based supports and interventions as part of the instructional program.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2.E.1 (secondary schools only): Increase rigor by offering opportunities for students to enroll in advanced coursework (provide multiple opportunities for all students).</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2.E.2 (secondary schools only): Improve student transition from middle to high school.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>

<b>Strategy 2.E.3 (secondary schools only): Increase graduation rates through a variety of methods.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2.E.4 (secondary schools only): Establish early-warning systems to identify students at risk of failing to graduate.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Learning Time And Community-Oriented Schools</b>			
<b>Strategy 3.A: Establish schedules and strategies that provide increased learning time.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 3.B: Provide ongoing mechanisms for family and community engagement (e.g. partnerships with parents and community to create safe schools, extended or restructured school day, approaches to improve school climate and discipline, full day or pre-kindergarten).</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>

**Operational Flexibility And Sustained Support**

**Strategy 4.A: Give the school sufficient operational flexibility (e.g. staffing, calendars/time, budgeting).**

**Description:**

Implementation Steps	Timeline	Budget	Person Responsible

**Strategy 4.B: Ensure that the school receives ongoing, intensive technical assistance from the LEA, SEA, or external consultant organizations (e.g. new governance arrangement, weighted per-pupil budget formula).**

**Description:**

Implementation Steps	Timeline	Budget	Person Responsible

## LEA SIG Application Restart Model

<b>Strategy 1: Develop, communicate and implement the decision making process for selecting the restart model.</b>			
<b>Description:</b>			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2: Develop and implement a rigorous review process for selecting: A). Charter School Operator; B). Charter School Management Organizations; and/or C). Educational Management Organization.</b>			
<b>Description:</b>			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 3: Develop and implement a process for monitoring and evaluating the restart model to ensure that it serves and benefits students.</b>			
<b>Description:</b>			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 4: Other strategies.</b>			
<b>Description:</b>			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>

## Utah LEA SIG Application Turnaround Model Requirements

<b>Strategy Strategy1.A: Replace/support principal.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 1.B: Grant greater flexibility to principal (e.g. staffing, calendars, budget).</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2.A: Locally develop and adopt competencies to screen existing staff.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2.B: Identify and replace half the existing staff, using locally-adopted competencies.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 2.C: Select/hire new staff.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>

<b>Strategy 3: Implement strategies to recruit, place and retain staff.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 4: Provide ongoing job-embedded professional development.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 5: Adopt a new governance structure.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 6: Use data to identify and implement an instructional program that is research-based, vertically aligned, and aligned with Utah Core Standards.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 7: Promote the continuous use of student data to inform and differentiate instruction to meet the academic needs of individual students.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>

<b>Strategy 8: Establish schedules and implement strategies that increase learning time.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy 9: Provide appropriate social-emotional and community-oriented services and supports for students.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy: Other permissible strategy.</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy:</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>
<b>Strategy:</b>			
Description:			
<b>Implementation Steps</b>	<b>Timeline</b>	<b>Budget</b>	<b>Person Responsible</b>