

This working document has been developed by the Executive Office of Education and the Department of Elementary and Secondary Education. June 2010

Innovation Schools: Frequently Asked Questions and Answers

Approval Process

1. What are the essential features of an Innovation School?

An Innovation School (either a conversion of an existing school or a new school) is an in-district public school that can be established by a wide range of applicants, may utilize increased autonomy and flexibility in six areas (curriculum, budget, schedule and calendar, staffing, professional development, and district policies), and is authorized by the local school committee. In exchange for increased ownership, discretion, and authority to establish and operate an Innovation School, eligible entities will be held responsible for improving student learning and school performance in accordance with measurable annual goals. Two goals of establishing these schools are to foster innovation across the state and increase students' access to excellent educational opportunities – while retaining funding within public school districts.

2. Why would I want to create an Innovation School?

Innovation Schools represent a chance for local school committees, in cooperation with superintendents, teachers' unions, parents, outside partners and others, to internally charter their own schools. The new law gives traditional schools and educators the chance to develop the autonomy and flexibility to compete with charter schools and eliminate the need for school funding to leave the districts. This initiative represents both a challenge to and an opportunity for local educators to implement innovative practices within traditional public school settings and control their own curricula, staffing, schedules, budgets, and professional development. As noted above, in exchange for the much broader authority and discretion required to run their own school, these pioneering educators will be held responsible, under the innovation plan agreed to by the local school committee, for advancing student learning and school performance.

Innovation Schools will allow for deeper engagement in core subjects, more enrichment activities, longer school days, schools with particular instructional themes or areas of focus, and freedom from certain district rules and/or contract provisions. Innovation Schools provide teachers and others with an unprecedented opportunity to increase ownership of their schools and to take charge of both academic programming and operations. Applicants can operate schools under the terms and conditions that will best meet the needs of their students, as they will have the authority and flexibility to adopt curricula, implement instructional and assessment practices that they think will ensure students learn. As a result, Innovation Schools can dramatically increase opportunities for teacher leadership and deepen teacher professionalism.

Another exciting feature of these schools is that every aspect of the work is local. Proposals to establish either new schools or convert existing schools will be generated at the local level.² This working document has been developed by the Executive Office of Education and the Department of Elementary and Secondary Education. June 2010

reviewed and approved by local stakeholders, and the Innovation School will be authorized and evaluated by the local school committee and superintendent respectively.

3. What is the process for establishing and approving an Innovation School?

The process for establishing and approving an Innovation School is as follows.

- Step 1: An eligible applicant develops and submits initial prospectus.
 - Eligible applicants are parents, teachers, parent-teacher organizations, principals, superintendents, school committees, teacher unions, colleges and universities, non-profit community-based organizations, non-profit business or corporate entities, non-profit charter school operators, non-profit education management organizations, educational collaboratives, consortia of these groups, and other non-profit entities.
- Step 2: The screening committee (consisting of the superintendent or his/her designee, a school committee member or a designee selected by the school committee, and a representative of the local teacher's union) votes on the initial prospectus; two-thirds approval is required.
- Step 3: An innovation plan committee must be established within 30 days, and this committee develops and internally approves innovation plan; a majority vote is required.
 - While the size and composition of the innovation plan can be determined by the applicant, it must not include more than 11 individuals, and must include the following: the applicant; the superintendent or designee; a school committee member or designee; a parent who has 1 or more children enrolled in the school (or in the case of a new school, in the district); a principal employed by the district; and 2 teachers employed by the district.
 - The parent will be selected among nominees submitted by parent-teacher organizations in the district (if these organizations exist), or among volunteers in the area or community that the proposed school will serve.
 - The principal and 1 teacher will be selected from volunteers in the district, and the other teacher will be selected among nominees submitted by the local teacher's union.
- Step 4a: For the conversion of existing schools, upon completion of the innovation plan, the school's current teachers vote on the plan; two-thirds approval is required.
 - If approved by two-thirds of the teachers, the innovation plan must be submitted to the school committee.
- Step 4b: For new schools, upon completion of the innovation plan, the applicant, local teacher's union, and superintendent must negotiate proposed waivers or modifications to the collective bargaining agreement (if applicable); if agreement is not reached within 40 days, the statute spells out an arbitration process.

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- Upon completion of the negotiation or arbitration, as applicable, the innovation plan is submitted to the school committee.
- Step 5: The school committee must hold at least one public hearing on the innovation plan, and then must, within 60 days of receiving the plan, conduct its vote on whether or not to approve the plan; a simple majority is required for approval.
- Step 6: If approved by the school committee, the Innovation School is authorized for up to five years.

The Innovation School is evaluated annually by the superintendent. At the end of the authorization period, the Innovation School can request that the school committee extend the authorization of the school for an additional period of not more than 5 years; before doing so, the Innovation School leadership must convene a group of stakeholders to discuss potential revisions to the innovation plan.

4. What role will the Department of Elementary and Secondary Education (ESE) have in the approval process for an Innovation School?

Unlike in the charter school approval process, local school committees – not ESE – will have final approval over the authorization of Innovation Schools. However, ESE and the Executive Office of Education (EOE) will support the Innovation Schools initiative by providing technical assistance and support; collecting and disseminating data, research, and best practices; and, if funding is available, providing planning and implementation grants to eligible applicants.

5. What are the required elements of an initial prospectus for an Innovation School?

The prospectus must include, but not be limited to, the following elements:

1) information about whether the school will be a conversion of an existing school or a new school, and the name of the proposed school for conversion or the new location, respectively; 2) the number of students who will be enrolled and the number of staff members who will be employed; 3) the overall vision for the school, including goals for improving student achievement and school performance; 4) the types of autonomy and flexibility that will be utilized to operate the school, and why specific strategies are necessary; 5) the external partners (if any) that will contribute to the establishment and operation of the school; 6) the anticipated components of the innovation plan; 7) specific needs or challenges the school is designed to address; and 8) a preliminary description of the process to involve stakeholders and a proposed timetable for establishing the school. ESE has prepared a suggested template for reference and adaptation by local school districts; please contact Saeyun Lee (saeyun.lee@state.ma.us) or Nick Martinelli (nicholas.martinelli@state.ma.us) at the EOE, or Sarah McLaughlin (sarah.l.mclaughlin@state.ma.us) or Cliff Chuang (cliff.w.chuang@state.ma.us) at ESE for this document.⁴ This working document has been developed by the Executive Office of Education and the Department of Elementary and Secondary Education. June 2010

6. What are the required elements of an innovation plan for an Innovation School?

The innovation plan must include, but not be limited to, the following elements: 1) a curriculum plan that includes detailed information about how the proposed curriculum will improve student achievement and school performance; 2) a budget plan that includes detailed information about how funds will be used differently in the proposed school; 3) a detailed school calendar and schedule plan; 4) a staffing plan that includes detailed information about how the principal, teachers, and other staff members will be recruited, employed, evaluated, and compensated in the proposed school; 5) a detailed description, if applicable, of any proposed waivers or modifications to collective bargaining agreements; 6) a plan that includes detailed information about the unique operational policies and procedures that will be implemented in the school, and how they will support student achievement and school performance; and 7) a professional development plan that includes detailed information about how the proposed school will provide ongoing and high-quality professional development opportunities to administrators, teachers, and other staff members.

In addition, the innovation plan must include measurable annual goals including, but not limited to, the following elements: 1) student attendance, safety, and discipline; 2) promotion, graduation, and dropout rates; 3) student achievement on the MCAS; 4) progress related to identified areas of academic underperformance; 5) progress among subgroups of students (including lower-income students, English Language Learners, and students receiving special education services); and 6) the reduction of achievement gaps among different groups of students.

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7. Is there a specified timeframe in which local school committees must approve an innovation plan?

Once the innovation plan is completed, it must be approved internally by a simple majority of the innovation plan committee. In the case of school conversion, the applicant submits the innovation plan to teachers in the school that is proposed for conversion. Teachers vote by secret ballot within 30 days; a two-thirds majority is required for approval. In the case of a new school, the applicant, local teacher's union, and superintendent must negotiate waivers or modifications to the collective bargaining agreement.

If negotiations have not resulted in an agreement within 40 days, either party may petition the division of labor relations for the selection of an arbitrator. This arbitrator must be selected within three days and must conduct a hearing within 14 days of selection. The arbitrator will submit a final and binding decision within 14 days of this hearing. After the arbitrator's decision, the school committee has 60 days within which to hold a public hearing on the innovation plan and vote to authorize the Innovation School; a simple majority is required to authorize the school.

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In general, it is recommended that applicants initiate the approval process above no later than 6 months prior to the opening of the proposed Innovation School, and that applicants build in additional time (i.e., another 3 to 6 months) for initial development and planning prior to initiating the formal approval process.

8. Does an Innovation School have to open in September 2010?

No. Districts that received planning grants during the summer of 2009 may have the goal of establishing an Innovation School by September 2010 – but if district and school administrators, community partners, and other stakeholders believe that it would be difficult to establish an Innovation School by the fall of 2010, they have the discretion and authority to extend the time frame as necessary.

9. What role do teachers’ unions have in the Innovation Schools approval process?

In general, ESE and EOE encourage districts to involve all appropriate stakeholders, including teachers’ union leaders and members, in the process of establishing an Innovation School. The law requires that a representative from the leadership of the local teacher’s union sit on the screening committee that approves or rejects an applicant’s prospectus. In addition, for the establishment of new Innovation Schools, the union must participate in negotiations required for any waivers or modifications to the applicable collective bargaining agreement. Note: for the conversion of an existing school, the innovation plan must be approved by two-thirds of the current teachers.

10. In the case of the conversion of part of a school, what is the teacher voting unit?

The legislation authorizing Innovation Schools does not specify the teacher voting unit in the case of a conversion of part of a school; guidance issued by the ESE and EOE will address this issue. In general, ESE and EOE advise districts to involve teachers from both the part of a school being proposed for conversion, as well as the part of the school that would not be converted, in the development process for the conversion of a part of a school, to help ensure appropriate understanding of how the proposed conversion would affect students and educators in both parts of the school.

11. Will Innovation Schools have a school-based governing body separate from school and district leadership?

The statute authorizes Innovation School founders to create an advisory board of trustees, but they can also operate under traditional or other school leadership structures. The applicants for the school have the discretion to determine the leadership structure they choose, subject to final approval by the local school committee. The statute also requires that the school committee and superintendent hold the school accountable for meeting the terms of its innovation plan.

12. How are Innovation Schools different from the multiple types of Horace Mann charters, Pilot schools, and other non-traditional models?

There are several major distinctions and some minor distinctions between these types of schools in 6 This working document has been developed by the Executive Office of Education and the Department of Elementary and Secondary Education. June 2010

the areas of approval process, accountability, funding, and student admissions processes, among others. Primarily, Innovation Schools differ from Horace Mann charters in two ways: (1) in that they do not require approval at the state-level; and (2) depending on the type of Horace Mann, in that there are differences in the procedures related to the local teachers' union. While the recent Achievement Gap legislation created multiple types of Horace Mann charters (traditional, "conversion" and "the 14 new Horace Mann charter schools"), all of these Horace Mann charter schools require approval from the state Board of Elementary and Secondary Education (BESE). Innovation Schools, on the other hand, solely require approval of the local school committee, and there is no state involvement in the initial approval. Additionally, traditional Horace Mann charter schools continue to require union approval before the application goes before the BESE.

Innovation Schools, on the other hand, require approval of the innovation plan by vote of 2/3 of the teachers in the case of a conversion school. In the case of a new Innovation School, the statute requires the applicant to negotiate with the local teachers' union regarding any modifications or waivers to the collective bargaining agreement. EOE has prepared a fact sheet that provides further details regarding the primary differences among these types of schools; this document is available at

<http://www.mass.gov/?pageID=eoehomepage&L=1&L0=Home&sid=Eeoe> in the Legislation & Policy section.

Funding

13. What state or federal funds, if any, will be provided to support the establishment or operation of Innovation Schools?

Innovation Schools are intended to be a fiscally neutral school redesign model, in which long-term support for new or different programs or services primarily will be supported through increased flexibility in the school's existing budget. At the same time, EOE and ESE are eager to provide new resources to support these initiatives. Consequently, we are working to secure sources of private, state and federal funding to support the planning and initial implementation of Innovation Schools. In some cases, eligibility for funding may be dependent on Title I and accountability status. In the case of new schools, funding may be available if the school is being established to replace a school that has been identified for restructuring/closure. Funding sources may include the ARRA "Race to the Top" funding and/or the ARRA Investing in Innovation ("i3") Fund, among others. The amount and duration of grant funding has not yet been determined.

14. What amount of funding will an Innovation School receive for each school year? Can an Innovation School secure additional funding through other public or private sources?

The statute states that: "An Innovation School shall receive each school year from the school committee the same per pupil allocation as any other district school receives." ESE and EOE are currently developing guidance to elaborate on this provision. Additionally, the statute provides that any unused funds may be retained and used in subsequent school years. The statute also provides that an Innovation School may do its own fundraising and may establish a non-profit to

assist with fundraising, and the district may not reduce the yearly allocation to the school as a result of the school's fundraising activities.⁷ This working document has been developed by the Executive Office of Education and the Department of Elementary and Secondary Education. June 2010

15. Can an Innovation School serve students from more than one district?

Yes. An Innovation School can enroll students from two or more districts, but each sending district must abide by all provisions related to the establishment, operation, and assessment of the school. ESE and EOE are currently developing guidance to elaborate on this provision.

16. If an Innovation School proposes an extended day or year, will it be eligible for state Expanded Learning Time (ELT) grant funding?

No new ELT schools are being funded at the present time. However, should grant funds become available, approved Innovation Schools will be eligible to apply for ELT funds.

Other

17. Do autonomies in all of the areas – curriculum, budget, schedule, staffing, professional development, and district policies – have to be implemented by a proposed Innovation School?

No. The innovation plan must articulate the desired autonomy and flexibility in 1 or more of these areas. However, if an applicant chooses to include multiple areas of autonomy and flexibility in the initial prospectus and innovation plan, ESE and EOE encourage the applicant to connect proposed strategies in different areas to maximize the benefit to the school. For example, the implementation of innovative strategies with regard to curriculum should be connected to a robust staffing plan, and the implementation of innovative strategies with regard to staffing should be connected to a strategic budget plan.

18. What rules will govern admission to an Innovation School?

Any student who is enrolled in a school that is subsequently established as an Innovation School will retain the ability to remain enrolled in the school. Innovation Schools also must comply with applicable state and federal laws regarding the enrollment of students with disabilities, English Language Learners, and other categories of students. Beyond the requirements of state and federal law with respect to specific populations of students, the applicant(s) may determine procedures for admission to a newly established Innovation School, subject to final approval by the school committee.

19. What constitutes an Innovation “School” as opposed to a program at a school?

- A school is generally characterized as an entity with a high degree of independent management prerogative, with leader(s) that report directly to a district-level supervisor or an oversight board. Entities which are recognized by the ESE as public elementary or secondary schools have the following responsibilities:

- Have an assigned principal who holds a valid Massachusetts license to serve as principal (with the exception of charter schools), is employed under an independently negotiated

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contract, has authority over and responsibility for all budget, personnel, educational, and operational matters at the school;

- Operate at least 180 days in a school year;

- Provide a minimum of 900 hours per school year of structured learning time to every student (if an elementary school) and provide a minimum of 990 hours per school year of structured learning time to every student (if a secondary school) per 603 CMR 27.02;

- Administer the MCAS at the appropriate grade levels; and

- Submit all required ESE school-level data reports (e.g., SIMS, EPIMS, Schedule 3 of the EOYPR, etc.) linked to a school code. The district may complete the actual submission of the report, but the data must be reported by school and for each school. The school will be reported separately for the purposes of enrollment, accountability, and other school-level determinations.

For further information, please refer to the following website:

http://www.doe.mass.edu/infoservices/data/diradmin/new_public.doc

The legislation authorizing Innovation Schools permits the establishment of academies within existing public schools; these academies are subject to the same approval process as Innovation Schools (and ESE will issue additional guidance and/or regulations with respect to these structures), and like an Innovation School, they will also feature an innovation plan.

20. What are the consequences for the school or external partner for failure to meet the terms of the innovation plan?

If the school committee determines, on the advice of the superintendent, that the school has not met one or more goals in the innovation plan, the school committee has the authority to amend the innovation plan. If the school committee determines, on the advice of the superintendent, that the school has substantially failed to meet multiple goals in the innovation plan, the school committee can 1) limit one or more components of the innovation plan if necessary; 2) suspend one or more components of the plan; or 3) terminate the authorization of the school. The limitation or suspension cannot take place before the end of the second full year of operation, and the authorization cannot be terminated before the end of the third full year of operation.

21. If a district is proposing a “school within a school” Innovation model, what happens to the schools’ Title I status?

If the new school is operating under a separate school code, it will receive its own Title I status based on the poverty percentage in the new school. If the school does not have a separate school code, it retains the parent school’s Title I status. In either case, the district’s overall Title I entitlement grant allocation would not be affected.⁹ This working document has been developed by the Executive Office of Education and the Department of Elementary and Secondary Education. June 2010

22. If there are issues related to funding, governance, or other factors that affect the operation of the proposed school that are not included in the legislation, how should applicants proceed with establishing an Innovation School?

All applicants must comply with all state and federal statutes regarding the operation of a public school, and ESE will issue regulations and guidance in the forthcoming weeks to provide additional information about the establishment and operation of an Innovation School. If applicants have specific questions or concerns, they should contact Saeyun Lee (saeyun.lee@state.ma.us) or Nick Martinelli (nicholas.martinelli@state.ma.us) at the EOE, or Sarah McLaughlin (sarah.l.mclaughlin@state.ma.us) or Cliff Chuang (cliff.w.chuang@state.ma.us) at the ESE.

23. What will happen if someone (or a group of people) does not abide by the required process for establishing and approving an Innovation School?

The process for establishing and approving an Innovation School is entirely locally based, and dependent upon the cooperation and collaboration of different members of the community. Therefore, any issues or concerns related to these processes must be addressed and resolved at the local level by appropriate members of the community. ESE and EOE will further address this question in forthcoming guidance.

Note: after the initial period of authorization, should a majority of the school committee not approve of an extension of the period of authorization of an Innovation School, the leadership of the school may seek authorization from the board of elementary and secondary education for the extension.