

2010-11 Massachusetts School & District Accountability and Assistance Levels & Required Action

Required Actions for Schools

Accountability and Assistance Level	Occurs When	Planning Requirements	Communication Requirements	Fiscal Requirements
Level 1 and Charter Schools	A school has no NCLB Accountability Status or is identified for Improvement Year 1 or Improvement Year 2 under NCLB (Aggregate or Subgroups)	<ul style="list-style-type: none"> Review the Conditions for School Effectiveness Self-Assessment and revise the School Improvement Plan accordingly. 	<ul style="list-style-type: none"> Notify parents/guardians of school's NCLB Accountability Status, if necessary. Notify parents/guardians of NCLB Choice options (Title I schools in Improvement or higher) and Supplemental Educational Services (SES) options (Title I schools in Improvement Year 2 or higher). 	<ul style="list-style-type: none"> Dedicate 10 percent of each school's Title I allocation to professional development (Title I schools identified for Improvement Year 1 or 2 only). Reserve 20 percent of district's Title I allocation for NCLB Choice and/or SES, if the district has any Title I schools with an NCLB Accountability Status.
Level 2 and Charter Schools	A school is identified for Corrective Action or Restructuring under NCLB (Aggregate or Subgroups)	<ul style="list-style-type: none"> Consider using the Conditions for School Effectiveness Self-Assessment and other models and tools to strengthen their implementation. Revise the School Improvement Plan accordingly to reflect the planning or implementation of one or more corrective actions or restructuring steps based on NCLB Accountability Status. 	<ul style="list-style-type: none"> Notify parents/guardians of school's NCLB Accountability Status. Notify parents/guardians of NCLB Choice and Supplemental Educational Services (SES) options (Title I schools only). 	<ul style="list-style-type: none"> Reserve 20 percent of district's Title I allocation for NCLB Choice and SES, if the district has any Title I schools with an NCLB Accountability Status.
Level 3	A school in any NCLB Accountability Status scores in the lowest 20 percent statewide of schools serving common grade levels	<ul style="list-style-type: none"> Complete the Conditions for School Effectiveness Self-Assessment with assistance from the appropriate District and School Assistance Center (DSAC), and use this information to inform revision of the School Improvement Plan. Continue to address all planning, communication, and fiscal responsibilities according to NCLB Accountability Status above. 		
Level 4	A Level 3-eligible school is placed in Level 4 by the Commissioner	<ul style="list-style-type: none"> Develop a redesign plan (that incorporates the state Turnaround Plan required by law) that address the implementation of Conditions for School Effectiveness. Continue to address all planning, communication, and fiscal responsibilities according to NCLB Accountability Status above. 		
Level 5	A school in any NCLB Accountability Status is declared by the Board as requiring " Joint District-ESE Governance "	<ul style="list-style-type: none"> Operate under joint district-ESE governance. Continue to address all planning, communication, and fiscal responsibilities according to NCLB Accountability Status above. 		

NOTES: Under NCLB, a **school** identified for improvement, corrective action, or restructuring making AYP for one year stays at the previous year's status. If the school makes AYP for two years in a row, it is assigned to the positive *No Status* category. **Charter Schools** are not assigned an Accountability and Assistance Level, but must comply with required actions for schools based on NCLB status.

Required Actions for Districts

Accountability and Assistance Level	Occurs When	Planning Requirements	Communication Requirements	Fiscal Requirements
Level 1 and Charter Schools	The most serious designation of any school in the district is Level 1	<ul style="list-style-type: none"> Review and revise District and School Improvement Plans with respect to the level of implementation of District Standards and Indicators and the Conditions of School Effectiveness. 	<ul style="list-style-type: none"> Districts identified for Improvement or in Corrective Action must notify parents/guardians of each child enrolled in the district of district's NCLB Accountability Status. 	<ul style="list-style-type: none"> Districts identified for Improvement must reserve not less than 10 percent of their Title I, Part A funds for high-quality professional development specifically designed to address the academic achievement problems that caused the district to be identified. Districts identified for Improvement may transfer no more than 30 percent of the funds allocated to them under Titles II-A, II-D, and IV. Moreover, all transferred funds must be used for improvement activities as outlined in the district's improvement plan. Districts in Corrective Action may not transfer funds between Titles II-A, II-D, and IV while in Corrective Action.
Level 2 and Charter Schools	The most serious designation of any school in the district is Level 2	<ul style="list-style-type: none"> Use online models and tools such as the District Analysis and Review Tool (DART) to review and revise District and School Improvement Plans with respect to the level of implementation of District Standards and Indicators and the Conditions of School Effectiveness. Consider using ESE's District Self-Assessment (available winter 2010-2011). 		
Level 3	The most serious designation of any school in the district is Level 3	<ul style="list-style-type: none"> Review and revise District and School Improvement Plans with respect to the level of implementation of District Standards and Indicators and the Conditions of School Effectiveness. With assistance from the appropriate District and School Assistance Center (DSAC), use ESE's Conditions for School Effectiveness Self-Assessment to fulfill the requirement to complete an ESE-approved self-assessment process at the district level. 		
Level 4	The most serious designation of any school in the district is Level 4 , or the district is placed in Level 4 as the result of a district review	<ul style="list-style-type: none"> If the district has been placed in Level 4 based on findings from a district review, collaborate with ESE in revising the District Improvement Plan to implement strategies for meeting priority District Standards and Indicators. For Level 4 schools, create and implement the state Turnaround Plan. 		
Level 5	The most serious designation of any school in the district is Level 5 , or the district is placed in Level 5 as the result of a district review	<ul style="list-style-type: none"> Operate under joint district-ESE governance (meets corrective action requirement under NCLB). 		

NOTES: Under NCLB, a **district** is newly identified for improvement if it fails to make AYP in the same subject area and all grade-spans, for students in the aggregate or any subgroup, for two consecutive years. A district will have no accountability status if it makes AYP in the same subject area for at least one grade-span for two consecutive years. If the district is identified for **Corrective Action**, the State must take at least one corrective action specified by NCLB. **Charter Schools** are not assigned an Accountability and Assistance Level, but must comply with required actions for schools based on NCLB status.

Planning Requirements

The **District Improvement Plan**¹ is the comprehensive, three-year improvement plan each district is required to develop under state law. In revising the plan based on the district’s Accountability and Assistance Level and/or NCLB Accountability Status, district planners should use the **District Standards and Indicators**²—effective policies and practices developed by ESE in partnership with the field—as the basis for data analysis and in assessing the actions the district and its schools must take to improve their performance. The District Standards are grouped into six categories, with a total of 24 indicators:

- Leadership and Governance
- Curriculum and Instruction
- Assessment
- Human Resources and Professional Development
- Student Support
- Financial and Asset Management

In addition to the three-year district improvement plan, state law also requires a **School Improvement Plan** to be formulated annually that is consistent with the goals articulated in the district’s improvement plan. School improvement planning should be guided by the **Conditions for School Effectiveness**, eleven elements that ESE and its partners have identified as characteristics of effective schools:

1. Effective district systems for school support and intervention
2. Effective school leadership
3. Aligned curriculum
4. Effective instruction
5. Student assessment
6. Principal’s staffing authority
7. Professional development and structures for collaboration
8. Tiered instruction and adequate learning time
9. Students’ social, emotional, and health needs
10. Family-school engagement
11. Strategic use of resources and adequate budget authority

In revising the district improvement plan, the district is also assessing the extent to which the Conditions for School Effectiveness are present in each school. The table below shows the relationship between the District Standards and Indicators and the Conditions for School Effectiveness:

District Standards	Conditions for School Effectiveness
• Leadership and Governance	I. Effective district systems for school support and intervention
	II. Effective school leadership
• Curriculum and Instruction	III. Aligned curriculum
	IV. Effective instruction
• Assessment	V. Student assessment
• Human Resources and Professional Development	VI. Principal’s staffing authority
	VII. Professional development and structures for collaboration
• Student Support	VIII. Tiered instruction and adequate learning time
	IX. Students’ social, emotional, and health needs
	X. Family-school engagement
• Financial and Asset Management	XI. Strategic use of resources and adequate budget authority

¹ If the district has been placed in Level 4, then the turnaround strategies for the district or its schools are incorporated into the District Improvement Plan.

² The District Standards and Indicators also serve as the basis for ESE district reviews. The full version of the 2010-2011 District Standards and Indicators is posted to ESE’s website at: <http://www.doe.mass.edu/sda/review/district/>.

Districts and schools can use **Conditions for School Effectiveness Self-Assessment**³ to review each school's current practices and assess their progress in implementing each condition (except for the first one, dealing with district systems of support, which is addressed in the District Self-Assessment). The Conditions for School Effectiveness self-assessment is not required for Level 1 or Level 2 schools, but is required for schools placed in Level 3.⁴

The crosswalk on the next page shows where the Conditions for School Effectiveness align with federal Title I and NCLB improvement plan requirements. The crosswalk demonstrates that by addressing the Conditions, a district is likely addressing planning requirements related to various federal accountability statuses, enabling a district to consolidate plans. The Conditions for School Effectiveness Self-Assessment provides further guidance and explanation for what each of the Conditions looks like in practice. However, despite this detail, in some cases the description of the federal criteria might be more explicit than the state guidance for the Conditions.

A complete listing of information in the crosswalk is included in the following Appendices:

- **Appendix A:** Conditions for School Effectiveness
- **Appendix B:** Required Components of Schoolwide Programs under Title I, Part A
- **Appendix C:** Required Components of School Improvement Plans for Schools identified for Improvement, Corrective Action, or Restructuring under NCLB

³ More detailed information on using the Conditions for School Effectiveness Self-Assessment is included in the tool. ESE will be working to align new and existing tools and supports to the conditions, and to identify service providers that can deliver robust services aligned to them.

⁴ Please note that a **District Self-Assessment, Self-Assessment Guide**, and an **Effective District Practice Guide** developed by ESE will be posted to the ESE website in the winter of the 2010-2011 school year for districts to use as a pilot. For the 2010-2011 school year, Level 3 districts should use ESE's Conditions for School Effectiveness Self-Assessment to fulfill their requirement to complete an ESE-approved self-assessment process.

Crosswalk of State and Federal School Improvement Plan Requirements

Eleven Condition for School Effectiveness (Appendix A)	Ten Title I Schoolwide Program Plan Requirements (Appendix B)	Nine NCLB Improvement Planning Requirements (Appendix C)
I. Effective district systems for school support and intervention	#1 (comprehensive needs assessment) #2 (schoolwide reform strategies) #7 (student transition plans) #9 (effective, timely student assistance) #10 (local program coordination)	#1 (uses strategies based on scientifically-based research) #3 (addresses achievement problems) #4 (specific, annual measurable objectives) #5 (specifies school, district, and state responsibilities)
II. Effective school leadership	#2 (schoolwide reform strategies) #4 (high quality professional development)	#9 (a teacher mentoring program) #8 (strategies to promote professional development)
III. Aligned curriculum	#2 (schoolwide reform strategies)	#1 (uses strategies based on scientifically-based research) #2 (policies/practices addressing core academic subjects) #3 (directly addresses academic achievement problems) #4 (specific, annual measurable objectives)
IV. Effective instruction	#2 (schoolwide reform strategies) #3 (instruction by highly qualified teachers) #8 (teacher use of assessments) #9 (effective, timely student assistance)	#1 (uses strategies based on scientifically-based research) #2 (policies/practices addressing core academic subjects) #3 (directly addresses academic achievement problems) #4 (specific, annual measurable objectives)
V. Student assessment	#2 (schoolwide reform strategies) #8 (teacher use of assessments) #9 (effective, timely student assistance)	#1 (uses strategies based on scientifically-based research) #2 (policies/practices addressing core academic subjects)
VI. Principal’s staffing authority	#2 (schoolwide reform strategies)	#2 (policies/practices addressing core academic subjects) #5 (specifies school, district, and state responsibilities)
VII. Professional development and structures for collaboration	#2 (schoolwide reform strategies) #3 (instruction by highly qualified teachers) #4 (high quality professional development) #5 (strategies to attract teachers) #8 (teacher decision-making in use of assessments) #10 (local program coordination)	#8 (strategies to promote professional development) #9 (a teacher mentoring program)
VIII. Tiered instruction and adequate learning time	#2 (schoolwide reform strategies) #8 (teacher use of assessments) #9 (effective, timely student assistance)	#2 (policies/practices addressing core academic subjects) #3 (directly addresses academic achievement problems) #7 (opportunities for expanded learning time)
IX. Students’ social, emotional, and health needs	#2 (schoolwide reform strategies)	#6 (strategies to promote parent involvement)
X. Family-school engagement	#2 (schoolwide reform strategies) #6 (strategies to increase parent involvement)	#6 (strategies to promote parent involvement)
XI. Strategic use of resources and adequate budget authority	#2 (schoolwide reform strategies) #10 (local program coordination)	#3 (directly addresses academic achievement problems)

Corrective Actions under NCLB⁵

When any school is identified for corrective action under NCLB, the district must take at least one corrective action specified by the statute. If the school has been placed in Level 2 under the state accountability system, the district should consider using the Conditions for School Effectiveness Self-Assessment to help selecting which corrective action(s) to implement. Use of the CSE Self-Assessment is required for Level 3 schools. Corrective actions specified by NCLB include:

- *Curriculum and Professional Development* - Institute a new curriculum relevant to the school's low performance, that is grounded in scientifically based research, and provide appropriate professional development to support its implementation for all relevant staff
- *Extended Time* - Extend the length of the school year or school day
- *Staffing* - Replace the school staff who are deemed relevant to the school not making adequate progress
- *Management Authority* - Significantly decrease management authority at the school
- *School Structure* - Restructure the internal organization of the school
- *Expert Assistance in Planning and Implementation* - Appoint one or more outside experts to advise the school (1) how to revise and strengthen the improvement plan it created while in school improvement status; and (2) how to address the specific issues underlying the school's continued inability to make AYP.⁶

For more information, please see the Federal Non-Regulatory Guidance on District and School Improvement at <http://www.ed.gov/policy/elsec/guid/schoolimprovementguid.doc>.

Restructuring Steps under NCLB

When any school is identified for Restructuring (Year 1) under NCLB, the district must plan to take at least one restructuring step specified by the statute. When any school in the district is identified for Restructuring (Year 2) under NCLB, the district must implement the restructuring step. If the school has been placed in Level 2 under the state accountability system, the district should consider using the Conditions for School Effectiveness Self-Assessment to help selecting which restructuring steps to implement. Use of the CSE Self-Assessment is required for Level 3 schools. Restructuring steps specified by NCLB include:

- *Reopen the school as a public charter school;*
- *Replace all or most of the school staff, which may include the principal, who are relevant to the school's inability to make AYP;*
- *Enter into a contract with an entity, such as a private management company, with a demonstrated record of effectiveness, to operate the school as a public school;*
- *Turn the operation of the school over to the state if the state agrees; or*
- *Implement any other major restructuring of the school's governance arrangement that is consistent with the NCLB principles of restructuring.* This restructuring option provides the district the flexibility to choose additional reform solutions that best meet the needs of students in the school and community. Examples of such efforts may include: change the governance structure of the school in a significant manner that either diminishes school-based management and decision making or increases control, monitoring, and oversight of the school's operations and educational program by the district; close the school and reopen it as a focus or theme school with new staff or staff skilled in the focus area (e.g., math and science, dual language, communication arts); reconstitute the school into smaller autonomous learning communities (e.g., school-within-a-school model, learning academies, etc.); dissolve the school and assign students to other schools in the district; pair the school in restructuring with a higher performing school so that K-3 grades from both

⁵ When any district is identified for corrective action, the State is also required to take at least one corrective action. For more information, please see the Federal Non-Regulatory Guidance on District and School Improvement at <http://www.ed.gov/policy/elsec/guid/schoolimprovementguid.doc>.

⁶ Providers of technical assistance should have experience in complex problem analysis; effective, scientifically based curriculum and instruction; and working with teachers to create positive change. See footnote 3 for further information. Massachusetts Department of Elementary and Secondary Education

schools are together and the 4-5 grades from both schools are together; and expand or narrow the grades served, for example, narrowing a K-8 school to a K-5 elementary school.

In choosing a restructuring step, the district should consider what has occurred in the school that resulted in its being identified for restructuring, and take into account the actions initiated in prior years. In other words, the actions might be seen as deeper, broader, or more targeted to meet identified needs. For example, the district should make distinctions between schools in restructuring status that have experienced some improvement in student achievement and those that do not, and tailor the restructuring interventions accordingly. The district should consider using models, tools, and information such as AYP results, Learning Walkthrough observations, the Conditions for School Effectiveness Self-Assessment, and the District Analysis and Review Tool (DART) to target the unique needs of a school's students to improve its ability to teach *all* children and achieve annual academic performance targets.

For more information, please see the Federal Non-Regulatory Guidance on District and School Improvement at <http://www.ed.gov/policy/elsec/guid/schoolimprovementguid.doc>.

Communication Requirements

Parent/Guardian Notification of School NCLB Accountability Status

When any school in the 2010-2011 school year is identified for improvement, corrective action, or restructuring under NCLB—regardless of whether it receives Title I, Part A funds—the district must promptly provide the following information to the parents of each child enrolled in the school:

- An explanation of what the identification means and how the school their child attends compares to other elementary and secondary schools served by the district and the state in terms of the academic achievement of its students;
- The reason(s) for the identification, such as insufficient participation in assessments or one or more subgroups not meeting academic proficiency targets; and
- An explanation of how parents can become involved in addressing the academic issues that led to identification.

A sample NCLB Accountability Status letter for non-Title I Schools is posted to ESE's website at http://www.doe.mass.edu/nclb/reportcard/letters/pgnotification_nt1status.doc.

Parent/Guardian Notification of School NCLB School Choice Options

When a school receiving Title I, Part A funds in the 2010-2011 school year is identified for improvement, corrective action, or restructuring under NCLB, the district must, in addition to the information listed above, promptly provide the following information to the parents of each child enrolled in the school:

- An explanation of the parents' option to transfer their child to another school in the district that has not been identified for identified for improvement, corrective action, or restructuring. The notification must provide parents with enough relevant information to help them decide what school is best for their child and be made at least 14 days before the beginning of the school year in which this option will be available, so that if parents choose to do so, they have sufficient time to exercise their choice option prior to the beginning of the school year.
- Information about the academic achievement level of students at the school or schools to which their child may transfer, but it may also choose to include other information, such as a description of special academic programs, facilities, before-or-after school programs, the professional qualifications of teachers in the core academic subjects, or parent involvement opportunities.
- An explanation that the district will provide their child with transportation to the schools that the district identifies as options.

The notification must:

- Be in a comprehensive, easy-to-understand format and, to the extent practicable, in a language the parents can understand;

- Inform parents that their child is eligible to attend another public school due to the identification of the current school as in need of improvement;
- Give the names of two schools in the district that are not identified for improvement, in corrective action, or in restructuring to which such parents may transfer their children. The choices may include non-Title I schools that are not identified for improvement, in corrective action, or in restructuring, but these choices must include non-Title I schools if less than two Title I schools not identified for improvement, in corrective action, or in restructuring are available as transfer options;
- Describe the district's policy for funding choice-related transportation costs. For instance, students whose parents/guardians exercised the choice option one year may remain enrolled in the new school the next year, even if the sending school is no longer identified for improvement, corrective action, or restructuring. However, districts are not required to pay for choice-related transportation beyond the period in which the sending school is identified for improvement, corrective action, or restructuring;
- Include information on the academic achievement of the schools that the parent may select; and
- Include an explanation of why the choices made available to parents may have been limited.

If necessary, the district may prioritize students with low student performance from low-income families who wish to transfer. In addition, to the extent practicable, the district must inform parents/guardians of arrangements with neighboring districts to accept students who wish to transfer if the district cannot offer receiving schools not in improvement status at the appropriate grade level(s), and maintain documentation of outreach efforts to neighboring districts.

A sample NCLB Accountability Status /NCLB School Choice letter is posted to ESE's website at

http://www.doe.mass.edu/nclb/news08/pgnotification_t1status.doc.

For information related to the implementation of NCLB School Choice, including the Federal Non-Regulatory Guidance on Public School Choice under NCLB, please visit ESE's website at

<http://www.doe.mass.edu/sda/choice.html>.

Parent/Guardian Notification of School Supplemental Educational Services (SES) Options

When a school receiving Title I, Part A funds in the 2010-2011 school year is identified for improvement (year 2), corrective action, or restructuring under NCLB, the district must, in addition to the NCLB Accountability Status and NCLB School Choice information listed above, provide the following information to the parents of eligible (low income) children enrolled in the school, The availability of free tutoring, called supplemental educational services (SES), for their children. The notification must:

- Be in a comprehensive, easy-to-understand format and, to the extent practicable, in a language the parents can understand;
- Identify each provider approved to serve children in the district;
- Describe the services, qualifications and evidence of effectiveness for each provider;
- Describe the procedures and timelines parents must follow in selecting a provider, including contact information; and
- Prioritize eligible students with low student performance if needed.

A sample SES letter is posted to ESE's website at <http://www.doe.mass.edu/ses/samples/notification.doc>.

For information related to the implementation of SES, including the Federal Non-Regulatory Guidance on SES, please visit ESE's website at <http://www.doe.mass.edu/ses/>.

Parent/Guardian Notification of District NCLB Accountability Status

When any district is identified for improvement or corrective action under NCLB, the district must promptly notify the parents of each student enrolled in the schools served by the district. In the notification, the district must explain the reasons for the identification, how parents can participate in improving the district, and what corrective actions the district will take to improve student performance.

The notification must:

- Notify parents/guardians at or near the beginning of the school year;
- Be easy to understand and, to the extent practicable, in a language the parents/guardians can understand;
- Give the reason(s) for the district being identified for improvement, such as insufficient participation in assessments or one or more subgroups not meeting academic proficiency targets; and
- Explain how parents/guardians can become involved in addressing the academic issues that led to identification.

A sample district notification letter is posted to ESE's website at <http://www.doe.mass.edu/sda/ayp/2010/default.html>.

Fiscal Requirements under NCLB

Ten Percent Reservation of School's Title I Allocation for Professional Development

When a school receiving Title I, Part A funds in the 2010-2011 school year is identified for improvement under NCLB, it must reserve not less than 10 percent of its Title I Part A funds for high-quality professional development specifically designed to address the academic achievement problems that caused the school to be identified. The school must continue to reserve and use these funds for this purpose during each fiscal year it is identified for improvement. (The requirement does not apply to schools identified for corrective action or restructuring.)

For more information, please see the Federal Non-Regulatory Guidance on District and School Improvement at <http://www.ed.gov/policy/elsec/guid/schoolimprovementguid.doc>.

Ten Percent Reservation of District's Title I Allocation for Professional Development

When a district receiving Title I, Part A funds in the 2010-2011 school year is identified for improvement under NCLB, it must reserve not less than 10 percent of its Title I Part A funds for high-quality professional development specifically designed to address the academic achievement problems that caused the district to be identified. The district must continue to reserve and use these funds for this purpose during each fiscal year it is identified for improvement. The requirement does not apply to districts identified for corrective action.

For more information, please see the Federal Non-Regulatory Guidance on District and School Improvement at <http://www.ed.gov/policy/elsec/guid/schoolimprovementguid.doc>.

Twenty Percent Reservation of District's Title I Allocation for NCLB School Choice and SES

When any school receiving Title I, Part A funds in the 2010-2011 school year is identified for improvement, corrective action, or restructuring under NCLB, the district must reserve up to an amount equal to 20 percent of its Title I, Part A allocation, from which the district shall spend:

- An amount equal to 5 percent for choice-related transportation;
- An amount equal to 5 percent to provide supplemental educational services; and
- An amount equal to the remaining 10 percent for choice-related transportation, supplemental educational services, or both, as the district determines.

The district must spend these sums unless a lesser amount is needed to meet demand for choice-related transportation and to satisfy all requests for supplemental educational services. An amount equal to" means that the funds required to pay the costs of choice-related transportation and supplemental educational services need not come from Title I, Part A allocations, but may be provided from other Federal, State, local, and private sources. A district may spend an amount exceeding 20 percent of its Title I, Part A allocation if additional funds are needed to meet all demands for choice-related transportation and supplemental educational services. Moreover, the district may spend up to 1 percent of its 20 percent obligation on parent outreach and assistance.

If the district intends to spend less than the amount needed to meet its 20 percent obligation on choice-related transportation and supplemental educational services in a given school year, it must meet the following criteria:

- The district must partner, to the extent practicable, with outside groups to help inform eligible students and their families of the opportunities to transfer or to receive supplemental educational services;

- The district must ensure that eligible students and their parents had a genuine opportunity to sign up to transfer or to obtain supplemental educational services;
- The district must ensure that eligible supplemental educational services providers were given access to school facilities using a fair, open, and objective process, on the same basis and terms as are available to other groups that seek access to school facilities; and
- The district must maintain records that it has met these criteria.

For more information, please see the Federal Non-Regulatory Guidance on District and School Improvement at <http://www.ed.gov/policy/elsec/guid/schoolimprovementguid.doc>.

Limitations on Transferability of Funds for Districts Identified for Improvement

When the district is identified for improvement under NCLB, it may transfer no more than 30 percent of the funds allocated to it under Titles II-A, II-D, and IV. Moreover, all transferred funds must be used for improvement activities as outlined in the district's improvement plan. When the district is identified for corrective action under NCLB, it may not transfer funds between Titles II-A, II-D, and IV while in corrective action.

For more information, please see the Federal guidance on transferability at www.ed.gov/programs/transferability/finalsummary04.doc.

Models, Tools, and Resources

The following links lead to both web pages and actual documents related to the Conditions for School Effectiveness. While the list is not comprehensive of all available ESE resources, it can provide access points from which to further explore what ESE has to offer districts and schools. If you would like to recommend other resources for this list, please email districtassist@doe.mass.edu

Overarching:

- Overview of the ESE Framework for District Accountability and Assistance: <http://www.doe.mass.edu/sda/framework/default.html>
- Conditions for School Effectiveness Self-Assessment: <http://www.doe.mass.edu/sda/framework/default.html>

I. Effective district systems for school support and intervention:

- District Self-Assessment (in development)
- Effective District Practice Guide (in development)

II. Effective school leadership:

- Alternative English Language Education Programs in Level 4 Schools: <http://www.doe.mass.edu/sda/framework/level4/AltELE.pdf>
- Alternative English Language Education Program Scenarios for Level 4 Schools: <http://www.doe.mass.edu/sda/framework/level4/ScenariosLEPSchools.pdf>
- Education Data Warehouse: <http://www.doe.mass.edu/infoservices/dw/>
- Exploring Best Practices in School Redesign: Cases from the Field: <http://www.doe.mass.edu/sda/framework/level4/>
- District Analysis and Review Tool (DART): <http://www.doe.mass.edu/sda/dart/>
- District Data Team Toolkit: <http://www.doe.mass.edu/sda/ucd/>
- New Policy Standards for Principals, Superintendents, and Other Leadership Roles: <http://www.doe.mass.edu/edleadership/policy/>

- Performance Improvement Mapping: <http://www.doe.mass.edu/sda/regional/pim/default.html>
- School/District Profiles: <http://profiles.doe.mass.edu/>
- Student Growth Percentile resources: <http://www.doe.mass.edu/mcas/growth/>

III. Aligned curriculum:

- Connecting Math and Literature Library by Grade Level: <http://www.doe.mass.edu/omste/instructional.html>
- Guide for Developing Content-Based English as a Second Language (ESL) Curriculum: <http://www.doe.mass.edu/ell/cdguide/?section=steps>
- Massachusetts Curriculum Frameworks: <http://www.doe.mass.edu/frameworks/current.html>
- Massachusetts PreK-12 Literacy Plan: <http://www.doe.mass.edu/literacy/nga/>
- MCAS performance level descriptions: <http://www.doe.mass.edu/mcas/tdd/pld/>
- English Language Proficiency Benchmarks and Outcomes (ELPBO): <http://www.doe.mass.edu/ell/curriculum.html>
- Sample Ideas for Summer English Language Education Semester Programs: <http://www.doe.mass.edu/sda/framework/level4/SampleSummerPrograms.pdf>
- Science and Technology/Engineering Strand Maps: <http://www.doe.mass.edu/omste/maps/default.html>

IV. Effective instruction:

- Characteristics of Standards-Based Teaching and Learning: <http://www.doe.mass.edu/sda/ucd/walk/>
- Characteristics of a Standards-Based Mathematics Classroom: http://www.doe.mass.edu/omste/news07/mathclass_char.doc
- Characteristics of a Standards-Based Science Classroom: http://www.doe.mass.edu/omste/news07/scitechclass_char.pdf
- Standards-Based Characteristics of Teaching and Learning Sheltered English: <http://www.doe.mass.edu/sda/framework/level4/SEIContentContinuum.pdf>
- Learning Walkthrough Implementation Guide: <http://www.doe.mass.edu/sda/ucd/>

V. Student assessment:

- District Analysis and Review Tool (DART): <http://www.doe.mass.edu/sda/dart/>
- Education Data Warehouse: <http://www.doe.mass.edu/infoservices/dw/>
- Performance Improvement Mapping (PIM): <http://www.doe.mass.edu/sda/regional/pim/>
- Student Growth Percentile resources: <http://www.doe.mass.edu/mcas/growth/>

VI. Principal's staffing authority:

- Selecting Outstanding Teachers for Level 4 Schools: <http://www.doe.mass.edu/sda/framework/level4/SelectingTeachers.pdf>

VII. Professional development and structures for collaboration:

- Professional Learning Communities Guidance: <http://www.doe.mass.edu/sda/ucd/>
- Common Planning Time Self-Assessment Toolkit: <http://www.doe.mass.edu/sda/ucd/>
- Mathematics Learning Community: Professional Development Curriculum Materials: <http://www.doe.mass.edu/omste/instructional.html>

VIII. Tiered instruction and adequate learning time:

- Expanded Learning Opportunities for Students:
<http://www.doe.mass.edu/sda/framework/level4/LearningOpportunities.pdf>
- Tiered Instruction: Grounding Document and Self-Assessment Instrument:
<http://www.doe.mass.edu/sda/framework/level4/>

IX. Students' social, emotional, and health needs:

- Addressing Students' Social, Emotional, and Health Needs:
<http://www.doe.mass.edu/sda/framework/level4/StudentsNeeds.pdf>
- The Behavioral Health and Public Schools Framework: <http://bhps321.org/viewframework.asp>
- Bullying Prevention and Intervention Resources: <http://www.doe.mass.edu/ssce/bullying/>
- Safe and Healthy Learning Environments: <http://www.doe.mass.edu/ssce/safety.html>

X. Family-school engagement:

- Adult and Community Learning Services (ACLs): <http://www.doe.mass.edu/acls/>
- Massachusetts Family Literacy Consortium: <http://www.doe.mass.edu/familylit/>
- Rubric for Family and Community Engagement: (not yet online)
- Students and Families: http://www.doe.mass.edu/FamComm/f_studentsupport.html

XI. Strategic use of resources and adequate budget authority: (in development)

Appendix A: Conditions for School Effectiveness

- I. *Effective district systems for school support and intervention:* The district has systems and processes for anticipating and addressing school staffing, instructional, and operational needs in timely, efficient, and effective ways, especially for its lowest performing schools.
- II. *Effective school leadership:* The district and school take action to attract, develop, and retain an effective school leadership team that obtains staff commitment to improving student learning and implements a clearly defined mission and set of goals.
- III. *Aligned curriculum:* The school's taught curricula are aligned to state curriculum frameworks and the MCAS performance level descriptions, and are also aligned vertically between grades and horizontally across classrooms at the same grade level and across sections of the same course.
- IV. *Effective instruction:* Instructional practices are based on evidence from a body of high quality research and on high expectations for all students and include use of appropriate research-based reading and mathematics programs; the school staff has a common understanding of high-quality evidence-based instruction and a system for monitoring instructional practice.
- V. *Student assessment:* The school uses a balanced system of formative and benchmark assessments.
- VI. *Principal's staffing authority:* The principal has the authority to make staffing decisions based on the School Improvement Plan and student needs, subject to district personnel policies, budgetary restrictions and the approval of the superintendent.
- VII. *Professional development and structures for collaboration:* Professional development for school staff includes both individually pursued activities and school-based, job-embedded approaches, such as instructional coaching. It also includes content-oriented learning. The school has structures for regular, frequent collaboration to improve implementation of the curriculum and instructional practice. Professional development and structures for collaboration are evaluated for their effect on raising student achievement.
- VIII. *Tiered instruction and adequate learning time:* The school schedule is designed to provide adequate learning time for all students in core subjects. For students not yet on track to proficiency in English language arts or mathematics, the school provides additional time and support for individualized instruction through tiered instruction, a data-driven approach to prevention, early detection, and support for students who experience learning or behavioral challenges, including but not limited to students with disabilities and English language learners.
- IX. *Students' social, emotional, and health needs:* The school creates a safe school environment and makes effective use of a system for addressing the social, emotional, and health needs of its students that reflects the behavioral health and public schools framework.
- X. *Family-school engagement:* The school develops strong working relationships with families and appropriate community partners and providers in order to support students' academic progress and social and emotional well-being.
- XI. *Strategic use of resources and adequate budget authority:* The principal makes effective and strategic use of district and school resources and has sufficient budget authority to do so.

Appendix B: Required Components of Schoolwide Programs under Title I, Part A

1. A comprehensive needs assessment of the entire school (including taking into account the needs of homeless and migratory children as defined in Section 1309(2)) that is based on information that includes the achievement of students in relation to state academic standards.
2. Schoolwide reform strategies that:
 - a. Provide opportunities for all students to meet the state's proficient and advanced levels of student academic achievement.
 - b. Use effective methods and instructional strategies that are based on scientifically based research that:
 - i. Strengthen the core academic program in the school.
 - ii. Increase the amount and quality of learning time, such as providing an extended school year and before- and after-school and summer programs and opportunities, and help provide an enriched and accelerated curriculum.
 - iii. Include strategies for meeting the educational needs of historically underserved populations.
 - c. Include strategies to address the needs of all students in the school, but particularly the needs of low-achieving students and those at risk of not meeting the state student academic standards who are members of the target population of any program that is included in the schoolwide program, that may include:
 - i. Counseling, pupil services, and mentoring services.
 - ii. College and career awareness and preparation, such as college and career guidance, personal finance education, and innovative teaching methods, which may include applied learning and team-teaching strategies.
 - iii. The integration of vocational and technical education programs.
Address how the school will determine whether such needs have been met.
 - d. Are consistent with, and are designed to implement, the state and local improvement plans, if any.
3. Instruction by highly qualified teachers.
4. High-quality and ongoing professional development for teachers, principals, and paraprofessionals and, if appropriate, pupil services personnel, parents, and other staff, to enable all students in the school to meet the state's student academic achievement standards.
5. Strategies to attract highly qualified teachers to high-need schools.
6. Strategies to increase parental involvement, such as family literacy services.
7. Plans for assisting preschool children in the transition from early childhood programs, such as Head Start, Even Start, Early Reading First, or a state-run preschool program, to local elementary school programs.
8. Measures to include teachers in the decisions regarding the use of state academic assessments in order to provide information on, and to improve, the achievement of individual students and the overall instructional program.
9. Activities to ensure that students who experience difficulty mastering the proficient or advanced levels of the state academic assessments shall be provided with effective, timely additional assistance that shall include measures to ensure that students' difficulties are identified on a timely basis and to provide sufficient information on which to base effective assistance.
10. Coordination and integration of federal, state, and local services and programs, including programs supported under this Act, violence prevention programs, nutrition programs, housing programs, Head Start, adult education, vocational and technical education, and job training.

Appendix C: Required Components of School Improvement Plans for Schools Identified for Improvement, Corrective Action, or Restructuring under NCLB

When any school in the district is identified for Improvement, Corrective Action, or Restructuring under NCLB, the school improvement plan must be revised to address the reasons why the school did not make AYP. Districts with schools identified for Improvement Year 1 should review ESE's Conditions for School Effectiveness, and districts with schools in Corrective Action or Restructuring should consider using the Conditions for School Effectiveness Self-Assessment in deciding which corrective action(s) or restructuring step(s) to take under NCLB. Districts with schools placed in Level 3 must, however, use the tool to strengthen implementation of these conditions, as reflected in the school improvement plan. The plan must be revised in consultation with parents, school staff, and other stakeholders, and should include the following elements:

1. Strategies based on scientifically based research that will strengthen the core academic subjects in the school and address the specific academic issues that caused the school to be identified;
2. Policies and practices concerning the school's core academic subjects that have the greatest likelihood of ensuring that all groups of students enrolled in the school will reach proficiency and beyond;
3. Directly addresses the academic achievement problem that caused the school to be identified;
4. Specific, annual, measurable objectives for continuous and substantial progress by each group of students enrolled in the school;
5. Implementation responsibilities of the school, the district, and the state serving the school under the plan;
6. Strategies to promote effective parental involvement in the school;
7. Activities before school, after school, during the summer, and during the extension of the school year, as appropriate;
8. Strategies to promote high quality professional development; and,
9. A teacher mentoring program.

For schools placed in Level 4, the Turnaround Plan will serve as the school improvement plan, but must also incorporate the nine federal requirements above.