

**NYC Department of Education
Supplemental Educational Services
Beginning of Year Conference**

St. Francis College – Genovesi Center
180 Remsen Street
Brooklyn, NY 11201
August 22, 2011
10:00 am – 1:00 pm



Agenda

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Caveat – All information contained in this package is subject to change without notice.



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Overview

The Role and Responsibility of the Local Educational Agency

The Local Educational Agency (LEA)/DOE will:

- Determine which students are eligible for service
- Notify parents of available services at least once a year
- Help parents select a provider if requested

SINI school Principals:

- Notify parents of eligible students about SES
- Select providers to use classroom on-site space and sign engagement notices
- Distribute SES materials to students
- Advertise SES services through displays, meetings and fairs
- Assist parents in the selection of an SES provider
- Assist SES monitors when they come to the school



Overview

The Role and Responsibility of the SES Providers

SES providers must:

- Meet all the terms and conditions of NCLB-SES law, rules and regulations
- Meet all the terms and conditions of their NYC DOE contract as well as SES policy
- Conduct an assessment test for each enrolled student during the first tutoring session
- Generate a Student Education Plan for each enrolled student within the first three tutoring sessions
- Assess each students' progress on a quarterly basis, informing the DOE, parents and the student's school of their progress
- Maintain the privacy of all students and student information
- Provide SES service consistent with the applicable health, safety and civil rights laws
- Provide SES in a secular, neutral and non-ideological manner

In the case of students with disability, achievement goals, measurements, reporting and scheduling must be consistent with the student's Individual Education Plan (IEP). For students covered by Section 504, they must be consistent with the student's individualized services under Section 504.

Overview

The Role and Responsibility of the SES Providers Continued

SES providers must:

Read and adhere to the Code of Ethics included in the SES contract as well as all other rules and regulations outlined in the SES contract

- Conduct targeted outreach to parents/guardians only (not students).
- Provide accurate/appropriate program information in understandable languages.
- Work with NYC schools to obtain permits and engagement letters for all on premise tutoring.
- Submit Certificates of Occupancy for all off-site tutoring.
- Provide SES services within the parameters of the approved program.
- Provide and maintain complete, accurate and current SES tutoring schedules with the SES Program Office. (*Including DBN, address, service code, start date, end date, days and times.*)
- Maintain accurate and complete attendance and academic records.
- Use only DOE attendance sheets for all SES services.
- Work with SES monitors by providing full access to all tutoring and by having records and reports on site during tutoring sessions.
- **Upload attendance regularly and certify data for payment on a monthly basis.**
- Submit a final report to the SES Program Office.



Program Components

School and Student Identification:

The SES Program Office identifies eligible students once SES-schools are posted by the NYSED. The FY11 list will be used to start the FY12 program as the State's list of new SINI schools is not available until later in 2011.

- Note – Some schools that provided SES services in 2010/2011 will be removed from the list of eligible schools. Students enrolled in SES from these schools will be terminated from SES tutoring at a predetermined date.

Notification of Parents:

Parents/Guardians receive an SES Parent Guide including a notification letter, program and provider information and an SES enrollment form at the beginning of school year (September). This is backpacked home with each eligible student. Other notifications include the DOE website, provider fairs and PTA events.

- Only one enrollment per student should be provided. The first, original enrollment form received by the SES Program Office will be processed.
- Only change requests from parents/guardians will be heard by the SES Program Office.
- Only one SES program per student, per school year, is permitted.
- Valid enrollment forms must have the correct student information label. They must be filled out by the parent/guardian indicating their selection of SES provider and service code, and they must be signed and dated by both the parent/guardian and selected provider.



Program Components

Marketing

- Providers may not interfere with or disrupt school operations when marketing their services.
- Providers may not distribute any type of promotional incentives, food or drink during the marketing process.
- Providers may not discuss program incentives while marketing their services.
- Providers may not solicit business on school premises except during scheduled SES meetings, fairs, conferences or other events.
- Providers may not tamper with any SES documents.

Enrollment, Student Attendance, Certification and Payment

- SES enrollment forms are completed by parents/guardians, executed by providers and processed by school staff. Only parents/guardians identified on the pre-glued ATS label should sign the form.
- Providers must offer services within 30 days of accepting a student. Acceptance must be done within 5 days of the student's enrollment being processed. Students not picked up and served will be placed back in the eligible pool and allowed to select another provider.
- The DOE has a strict attendance policy – *only DOE attendance forms will be processed for payment*. No other forms will be honored.
- Providers manage student enrollment and attendance using the NCLB/SES database.

Program Components

Providing Services in Schools

- A permit application must be presented to each Principal at schools where services will be provided. Providers must also obtain the custodian's approval to reserve space so any labor required for the SES programs will be covered.
- Permit costs are calculated on a per hour/per room basis however, depending on other activities in the school and the times of each SES service, use of school space may be free between 3:00 - 6:00 p.m. Monday through Friday, during the school year, on scheduled school days.
- There is a minimum permit charge of \$50.00.
- All permits must be obtained and paid in full prior to the use of the building.
- After permit approval, each Principal and provider must sign an Engagement Notice. (*Copies of signed Engagement Notices should be sent to the SES Program Office at 65 Court Street.*)
- Complete information regarding policies, procedures and costs entailed with using school space can be found at:
<http://schools.nyc.gov/Offices/DFOPayrollAdministration/AdministrativeSupportPayroll/WebEmployeeSelfService/extusecalc.htm>

Program Components

Monitoring

Field monitors observe and report on the implementation of SES services on-site, off-site and, via phone, in-home. Field monitors will look for:

- Start and end times of each SES service
- DOE attendance forms and whether students sign in and out properly
- Students signed in are actually present in class
- If the number of instructors to students adheres to the contracted ratio
- Proper identification for each SES employee
- Availability of SEPs, progress reports and other necessary documentation

Information gathered is used by the SES Program Office to shape compliance and may result in financial penalties and/or reporting to the NYS Education Department.

A violation of any of the provider's responsibilities referenced in NYSED RFQ could be grounds for immediate removal from the State's approved list and DOE sanctions.



Program Components

Reporting

Student pre-assessments and Student Education Plans:

- Pre-assessments must be administered for each student at the start of the program.
- The results of the assessment must be included in, and drive, the Student Education Plan (SEP), which must be completed within the first 3 SES sessions.
- Assessments identified in the RFQ to NYSED must be used.

Attendance and Progress Reports

- Attendance and progress reports must be issued on a quarterly basis determined by the total hours of each program.
- Attendance and progress reports must be shared with parents/guardians and schools.
- Providers of on-line services must maintain hard-copy DOE attendance records for 7 years.

Program Components

Reporting

Provider Payment and Certification Reports

- Providers may up-load attendance to the NCLB-SES database at any time.
- Certification of attendance may be done by e-commerce providers at any time during the month.
- Certification of attendance for all other providers must occur only during the first 7 days of each month for the previous month's attendance.
- Providers must certify attendance/services provided in order to receive payment.
- False certification will be deemed a material breach of contract and may be considered grounds for pursuing criminal and/or civil penalties.

Annual Reports

- Providers submit final program reports to the SES Program Office as part of the NYC DOE's annual report to the NYSED.



Program Components

Final Program Reports

Student Education Plans and Progress Reports are submitted at the close of SES services in June on CD/DVD with an Excel spreadsheet to:

Juanne Inniss
65 Court St, Room 1803D
Brooklyn, NY 11201

Submissions must include:

- The Provider's name
- Student IDs (OSIS numbers)
- Student's first and last names
- The School by district, borough and number

All SEPs and PRs should be signed by the parent/guardian and accompanied by assurance forms certifying that copies were given to the parent/guardian, school, and available/maintained at the provider's service site.

Program Components

Incentives

- Providers are prohibited from offering incentives/rewards, including food/drinks unless:
 - They are State approved and included in the approved NYC DOE work plan.
 - They are for attendance and/or academic achievement.
 - They are of a nominal cost, \$25 or less.
 - They are educational in nature – pencils, pens, book bags, books, etc. (No Provider names or logos.)
 - They are not promoted or promised during the recruitment/marketing periods.

Providers with incentives/rewards may be asked to provide receipts for these items at a future date.

Personnel Eligibility Tracking System (PETS)

- All employees must be fingerprinted and cleared prior to being allowed to work with any DOE students or on any DOE business.
- All employees must be entered in your PETS roster and the roster must be kept up-to-date.
- No payments will be made for personnel that haven't already been deemed eligible and active.



Program Notes

1. Enrollment forms – The forms are designed with security features and may not be reproduced. Only DOE originals, signed and dated by the parent/guardian on the ATS label, are valid. No others will be accepted.

2. Foreign Languages – The DOE website has SES information in 9 languages including English while the Parent Guide is printed in English and Spanish.

3. Vendor Web Inquiry – The Vendor Web Inquiry site is available for \$500 (non-refundable) and allows vendors to view balances, all POs, invoices, checks and contracts.

Schedule -

September 2011: SES Information back-packed home with all eligible students.

September/October 2011: NCLB information sessions and fairs are conducted.

October 17 – November 4, 2011: First enrollment processing period.

November 7, 2011: SES services may begin.

TBD: Second enrollment processing period for newly identified SINI school only

TBD: Last day of services for students enrolled in schools removed from the SINI list.

January 18 – February 7, 2012: Spring enrollment.

June 15, 2012: Last day of SES school year services.

April 2012: Deadline for applications for new and/or amending contracts to be received by the Division of Contracts and Purchasing.

The Division of Contracts & Purchasing contracts with providers who submitted *all* required documentation within the required submission period and have met the standards of budget and work plan reviews.



Program Components – NYSED

A change/modification to your State program requires a new application to the State and an amendment to your DOE contract before implementation.

- **Technical Modification:** Change of address, phone number, fax number, etc.
- **Substantial Change:** Changes in student grade level to be served, curriculum, etc.

All technical and substantial change applications to the State, if approved, are reviewed by the DOE annually, during the regular application process.

It is too late for changes to this year's programs.



Security and Compliance

The SES contract states:

Pursuant to Chancellor's Regulation C-105, all staff is required to undergo the DOE's security procedures and must be fingerprinted and cleared to work prior to commencing services with direct student contact or with access to any confidential student information.

This obligation applies regardless of whether an individual has been fingerprinted by another agency – such as the NYC Department of Investigations or a private security firm.

If a staff member has been fingerprinted by the DOE after March, 1990, the staff member does not have to be reprinted however, the Provider must place every staff member on their PETS Roster and ensure that the staff member is currently cleared to work **prior to** providing any services or having any access to private student information in accordance with the Chancellor's Regulations.

Providers have an on-going obligation/duty to have all new staff fingerprinted and cleared before working with NYC DOE students and/or having access to student information.



Security and Compliance

Staff includes all contractors ‘ and subcontractors’ employees, officers, directors, members, partners, agents, tutors or consultants who have the following types of contact at any time during the term of this agreement:

- Direct student contact either at a DOE facility or other location
- Student contact via any work or visits unless such contact is incidental and supervised
- On-line services to students or contact with students via telephone, email and/or internet
- Access to confidential student information

Personnel Eligibility Tracking System (PETS)

PETS is an online application managed by the DOE’s Human Resource department that allows vendors to manage employees working on NYC DOE SES programs.

Security and Compliance

PETS

**COPY OR CREATE STAFF ROSTERS TO THE NEW CONTRACT ASAP
TO ENSURE PROPER PAYMENT FOR SERVICES !!!**

- Once your contract is fully executed , you will obtain PETS access in order to enter your staff information and review clearance eligibility.
- Providers must update and review their rosters on an on-going basis.
- Each individual listed in the PETS roster must be both “active” and “eligible” in order to work.
- Even current NYC DOE teachers must be entered in your PETS roster , cleared as eligible and made active prior to any tutoring of students.
- Failure to have all staff members cleared prior to any contact with students or student information will result in the withholding of payment, non-payment and/or the termination of contract.



Security and Compliance

Compliance Reviews

The Law:

NYC Conflict of Interest law prohibits the hiring of any DOE employee by any contracted vendor without a waiver from the Conflict of Interest Board.

Who Can be Hired:

The NYC DOE received a blanket waiver permitting the hiring of NYC DOE teachers as instructors/tutors and lead teachers – but **NOT AS SUPERVISORS**.

Note about Parents:

Parents may not work in the same school where their children are enrolled or receive SES. Additionally, parents working for SES providers may not have direct contact with the SES staff in schools in which their children are enrolled or receive SES.

Who Cannot be Hired:

Providers may not hire any other NYC DOE employee including, but not limited to, Principals, APs, Parent Coordinators, Paras, Aides, Secretaries and District/Regional staff.

NCLB-SES VENDOR PORTAL

Minimum System Requirements

- Internet explorer 7.0 or higher
 - Cookie enabled in browser
 - Client script enabled (Java script) in browser
- Internet access
- Microsoft Excel (Office 2003 or later),
- Microsoft Word (Office 2003 or later), and
- Adobe Acrobat Reader 6.0+ to read SES documents and information.

NOTE – PETS only supports Internet Explorer 6.0 or higher

Technical guidelines and instructions are available on the DOE website



NCLB-SES VENDOR PORTAL

The NCLB-SES database handles the following functions:

- Processing of SES enrollment forms
- Housing and tracking vendor-developed SEPs
- Housing and tracking vendor-developed Progress Reports
- Recording attendance and validating up-loads of enrolled students
- Automating vendor payments through invoice generation
- Monitoring provider program costs
- Providing reports to the USDOE, NYSED and NYCDOE, including internal and external auditors

Instructions are available on the NCLB-SES Vendor Portal User Guide. Please do not contact the SES Program Office for technical assistance unless you have read the User Guide and are still unable to resolve any issues you may have with the Vendor Portal.



NCLB-SES VENDOR PORTAL

Common problems with the up-load and certification for payment:

- The student is not enrolled with your SES company
- The student is not eligible for SES services or has been discharged from their present SES eligible school
- The instructor code is incorrect
- The instructor is not active and eligible in PETS at the time the SES service was provided
- The date and/or time of service is not valid
- An SEP has not been completed
- Progress Reports are missing or have been entered incorrectly
- The student has already received the full amount of hour allotted
- There is duplication in the information entered

Additional Resources

New York City Dept of Education

- **NYCDOE SES website:** <http://schools.nyc.gov/RulesPolicies/NCLB/SES/>
- **NYCDOE DCP website:**
<http://schools.nyc.gov/Offices/DCP/Vendor/NoChildLeftBehind/Default.htm>
- **Vendor portal:** <http://vendorportal.nycenet.edu/vendorportal/login.aspx>
- **PETS:** <https://www.nycenet.edu/offices/DHR/PETS/login.aspx>

New York State Dept of Education

- **NYSED website:** www.emsc.nysed.gov/nyc/SES/SES.html

United States Dept of Education

- **DE website:** www.ed.gov