

NYC Department of Education Supplemental Education Services Beginning of Year Conference

St. Francis College - Founders Hall
180 Remsen Street
Brooklyn, NY 11201
August 31, 2010
10:00 – 1:00



Joel I. Klein, Chancellor



Agenda

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2. Changes for FY10	pp. 9 -12
3. SES Program Components	pp. 13 - 32
4. Contract process, additional resources, survey	pp. 33 - 35

SES Program Staff

- Sherry Hawn – Program Director/Chief Administrator DCP
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- Betty Arce – Monitoring and Invoice Sampling
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- Caveat – The information contained in this package is subject to change without notice.

1. Overview of SES

The No Child Left Behind Act of 2001 (NCLB) reauthorized the Elementary and Secondary Education Act (ESEA) -- the main federal law affecting education from kindergarten through high school. January 2009 Guidance reinforced law.

NCLB is built on four principles:

- Accountability for results
- More choices for parents
- Local control and flexibility
- Emphasis on doing what works

Overview of NCLB and SES

Under federal law, each State develops assessments in basic skills, to be given to students in certain grades in order to receive funding. Standards are set by each State.

In NY, schools must make “Adequate Yearly Progress” (AYP), which is a minimum performance level in reading, language arts, math and science.

Schools receiving Title I funds that fail to show AYP for two years in a row in the same subject and grade are considered “in need of improvement.” These schools are required to offer SES.

- State proficiency in ELA, math, science and/or high school graduation rates determine need
- All students including ELLs, low-income students and those with disabilities are also evaluated
- 95% of students per school participate in testing

Overview of NCLB and SES

Differentiated Accountability (DA) Model

Under the differentiated accountability pilot model employed in New York state, the following school categories must offer SES to disadvantaged students:

- Improvement – Years 1 & 2
- Corrective Action – Years 1 & 2
- Restructuring – Year 1 or 2
- Advanced Restructuring
- School under registration review (SURR) in any of the above categories

Overview of NCLB and SES

What is SES?

 **FACTOID** - SES is a tutoring program focused solely on ELA/Math academics; it is **NOT** a summer camp, science fair, or social studies project – this is defined in the regulations. Even though schools are evaluated on reading, language arts, math and science, the tutoring is **ONLY** permitted in reading, English language arts and math!! Make sure your advertising is **NOT** misleading!!

Free, optional academic tutoring programs for free-lunch-eligible students in SES-eligible schools for disadvantaged students, enabling them to excel in regular school classes during the year.

- Provided by diverse organizations
 - Community-based, Faith-based, for-profit and not-for-profit companies.
- Offered before/after school/on weekends
 - Schools, homes, on-line, at community centers.
- Parents choose ONE provider program from State approved and NYC contracted providers per year.
- Program choice is made once per school year and not changed; most programs run during the school-year from October to June.
- Program housed in NYC DOE Division of Contracts and Purchasing

Overview of NCLB and SES

Program Statistics

	<u>2009-10*</u>	<u>2008-09</u>
# Enrolled Students	75,906	85,500
# Eligible Students	183,861	201,000
# Eligible Schools	282	274
# Active Providers	52	43

*As of 8/02/10

2. Program FY11

1. **Incentives** – Work plan includes information describing incentives and proof of State approval.
2. **Reconciliation** – To reconcile attendance batches, invoices, or billing history, please purchase and use Vendor Web Interface. It is available 24 hours a day, 7 days a week. We do not provide accounting reconciliations.
3. **ID badges** – Please have staff wear visible identification badges when tutoring at-home or in-community.
4. **Marketing tactics** – Please refer to the new “Marketing Tactics” list to familiarize yourself with behaviors that are unacceptable.
5. **Progress Reports** – Must be provided on quarterly basis. No exceptions – these will be requested during monitoring visits including proof that the school and parent received a copy.

Program FY11

6. Engagement notice – Copies of the executed engagement notice must be sent to the program office, the DSSI/CFN, and DCP within 5 days of school signature. These should be completed in September 2010.

7. School Year – Sept 8 – June 28; program starts October 18 and runs through June 24.

8. Automated “pending” – Any student in pending status longer than 5 days after DSSI/CFN enters the executed enrollment agreement into the system will be returned to the eligible pool for re-enrollment with another vendor. Vendors must accept students right away, and start services asap. No wait-listing.

9. Monitoring – Any provider for whom more than one complaint is registered with the SES program office during the school year, will be placed on a monitoring “hot list.”

10. Enhanced monitoring – SES is closely overseen by SES monitors, DOE auditors, and State and Federal officials. Monitors will be scrutinizing attendance records closely for compliance. Non-compliance will result in sanctions.

11. PETS – Make sure your rosters are kept up-to-date. There will be no payment for personnel deemed PETS ineligible who provide services during ineligible time frame. The onus is on the provider to stay current.

Program FY11

12. Enrollment form security – Forms have been redesigned with new security features for FY11. They may not be reproduced. Only DOE-issued originals, signed by listed parents are valid. None others will be accepted – no exceptions.

13. Enrollment form signatures – Forms must be signed only by the parent whose name appears on the ATS label. If forms are signed by anyone other than parent, they will be rejected. SES is a parent choice program.

14. NYC DOE SES Website – Will house updated Parent Guide to reflect provider information received after May 7, 2010.

15. Foreign languages – The DOE website has information on SES availability in 8 languages.

16. Eligible schools – NYSED will publish the list of SES eligible schools later than last year's August 27th date – likely during fall 2010. We will use the prior year list of 282 schools to start. Check our website.

Program for FY11

17. Revised Parent Guide – Now combined English and Spanish, including process flowchart to help parents understand their role.

18. Revised Administrative Manual – Please review the “What’s new?” section for FY11 highlights, and the detailed pages within for more information.

19. Complaint form – We now have a standardized complaint form schools and parents can use to notify of any problems in addition to e-mail and telephone.

3. Program Components

School and Student Identification: The program office identifies eligible students once SES-schools are listed by NYSED. We will use the FY10 list to start program year FY11 since State lists are not yet available as of August.

Notification of Parents: Parents receive an SES Parent Guide including notification letter, program and provider information, and enrollment form at the beginning of school year (September). This is backpacked home with each eligible student.

- Other notices: DOE website, orientation, provider fairs, PTA events

Program Components

Contract

- Providers apply to NYSED for approval – not all providers are approved
- Only State-approved providers may contract with NYCDOE
- DOE 3 year contract ensures instruction is consistent with state standards and NYCDOE curriculum and that providers comply with other applicable local, state and federal regulations
- DOE contract includes Code of Ethics – Please read
- DOE reserves the right to terminate a contract *for convenience* with 30 days written notification to the Contractor

Marketing

- > Providers must not interfere with or disrupt school operations when marketing – see guidelines

Enrollment, Student Attendance, Certification and Payment

- Secure enrollment forms are completed by parents, executed by providers and processed by school support staff. Only parents identified on the pre-glued ATS label should sign.
- Providers should offer services w/30 days of acceptance; acceptance w/5 days of enrollment
- The DOE has a strict attendance policy – only DOE attendance forms will be processed for payment. Pre-printed forms will not be honored.
- Providers manage student enrollment and attendance using the NCLB/SES proprietary database

Program Components

Monitoring - Field monitors observe and report on the quality and effectiveness of SES implementation, including attendance forms used by each provider and whether students sign in and out separately each time and are present in class, as well as adherence to other contractual obligations. Information gathered is reported to NYSED and used by the program office to shape compliance.

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

Program Components – from NYSED

Districts, providers, and schools are monitored annually on SES implementation. State Monitoring ensures that:

- Districts are notifying parents that their children have a right to SES
- Providers adhere to the LEA/Provider Agreement and provide quality tutoring according to a State- approved program
- Schools are assisting parents in signing up for SES services, and with SES complaints
- Parents are aware that we have a complaint process

Program Components – from NYSED

- A change to your approved program requires a technical modification or substantial change application to the State before implementation.
 - **Technical Modification:** a change of address, phone number, fax number, etc.
 - **Substantial Change:** changes in student grade level to be served, curriculum to be used, etc.
- All Technical and Substantive Change applications are reviewed annually, during the regular application process.

Program Components – from NYSED

1. Providers NOT following State approved plan for deliverables of SES, and instead:

- Offer to use the materials used by the school or make changes to approved program based on conversation with Principal
- Offer credit recovery program

2. Providers NOT communicating with parents and schools regarding Student Education Plans and Progress Reports

3. Providers NOT creating Student Education Plans that are:

- Tied to the state standards
- Individualized for the student, based on assessment data and student needs

Program Components – from NYSED

4. Providers contacting families prior to enrollment using private information NOT given out by the parent.

What actions can the state take if any of these issues is found at your site? Any of the following are possible:

- Use of non-compliance information as factor in future program approval or re-approval decisions
- Requiring the provider to reimburse the district for any monies paid for SES
- Removal of Provider from State Approved Provider List

Program Components

Reporting

- **Student pre-assessment**
 - Pre-assessments must be administered for each student at the **start of the program**
 - The results of this assessment must be included in and drive the Student Education Plan.
 - Assessments named in the RFQ to NYSED must be used.
- **Student Plans, Attendance and Progress Reports**
 - Providers develop individualized Student Education Plans at the start of services (within first 2-3 sessions).
 - Attendance and Progress Reports must be issued on a **quarterly basis** and shared with parents, schools and the SES Implementation Office.
 - Providers of on-line services must maintain hard-copy attendance records for 7 years

Program Components

Reporting

– Provider Payment and Certification Reports

- Providers certify services provided to receive payment.
- False certification is deemed a breach of contract as well as grounds for pursuing criminal and civil penalties

– Annual Reports

- Providers submit final program reports to NYCDOE as part of the annual report to NYSED.

Training

- Orientation at start of school year
- Ongoing program support

Program Components – SEPs, PRs

Student Education Plans (SEPs) and Progress Reports (PRs)

• Submit SEPs/PRs on CD/DVD with an Excel spreadsheet to Juanne Inniss at 65 Court St, Brooklyn, NY 11201, including:

- Provider name
- Student ID
- Student first and last name
- School

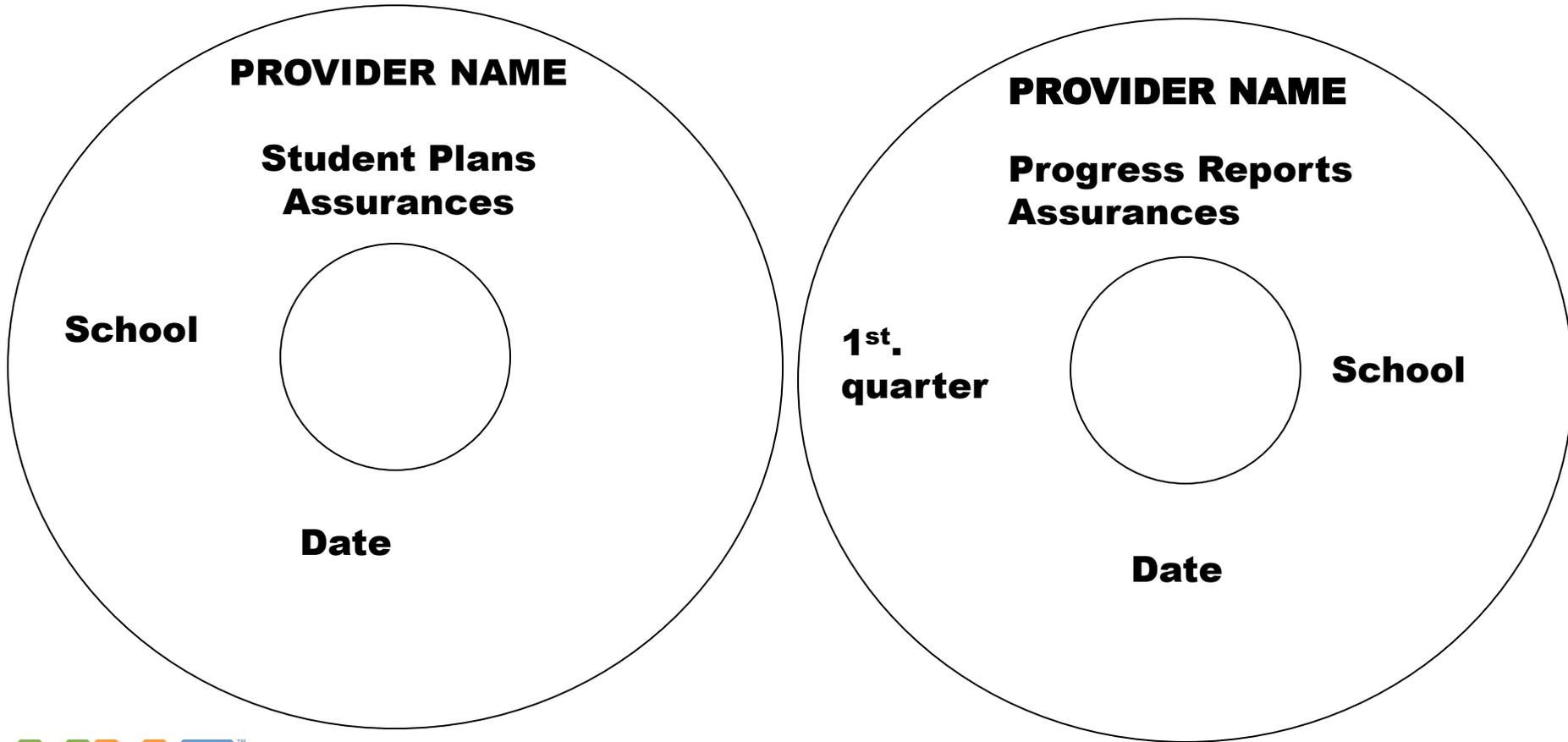
• The SEPs and PRs should be signed by the parent/guardian and accompanied by assurance forms certifying that copies were given to parent/guardian, school, and available or maintained at the service site.



**Department of
Education**

Joel I. Klein, Chancellor

Program Components – Labeling SEP/PR compact discs



Program Components

Providing Services in Schools

- Complete a permit application for each school building in which you will offer SES after hours. Present it to the principal and obtain custodian for approval and reservation of space and any labor required for the tutoring activity.
- Permit cost is calculated on per hour of use/per room basis. Use of space is free between 3:00 - 6:00 p.m. weekdays during school year. There is a minimum permit charge of \$50.00.
- The permit must be paid in full prior to the use of the building.
- Complete information regarding policies, procedures and costs entailed with using school space can be found at <http://schools.nyc.gov/Offices/DFO/PayrollAdministration/AdministrativeSupportPayroll/WebEmployeeSelfService/extusecalc.htm>
- After permit approval, Principal and provider sign an Engagement Notice.

SES Program Components - Conflict of Interest Waiver

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: NYCDOE received a blanket waiver permitting the hiring of NYCDOE teachers as instructors/tutors and lead teachers – but **NOT AS SUPERVISORS**

Note about Parents: if parents are hired by an SES provider, they may not work in the same school where their children are enrolled or receive SES.

- Parents hired may not have direct contact with the parents or staff of the schools in which their children are enrolled or receive SES.

Who Cannot be Hired: Providers may not hire any other NYCDOE employee (including, but not limited to principals, APs, parent coordinators, paras, aides, secretaries, district or regional staff)

Program Components - Background/Security Clearance

The contract states:

Pursuant to Chancellor's Regulation C-105, All staff is required to undergo the Department of Education's security procedure and be cleared to work with Students by the Office of Personnel Investigation prior to commencing services with direct contact with Students or access to confidential student information.

This obligation applies regardless of whether an individual has been fingerprinted by another agency, (e.g., NYC Department of Investigations or a private security firm).

If a Staff member has been fingerprinted by the Board after July 1, 1990, pursuant to any Agreement with the Department of Education, the staff member does not have to be reprinted. However, the Contractor must add such Staff member to the PETS Roster and ensure that the Staff member is currently cleared to work **prior to** providing any services in accordance with this Section.

Program Components - Background/Security Clearance

Staff includes all contractor's, or subcontractors' **employees, officers, directors, members, partners, agents, tutors, or consultants** who, have the following kind of contact at any time during the term of this agreement. Staff includes anyone who becomes affiliated with Contractor/Sub after execution of this Agreement.

- (i) Direct contact with students
- (ii) Work in/visit a location during times where students are present unless such contact is only on an incidental and supervised basis
- (iii) Provide online services to students or have contact with students via telephone, email or internet
- (iv) Have regular access to student confidential information

Program Components - Background/Security Clearance

Personnel Eligibility Tracking System (PETS)

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

- PETS is an online application managed by DHR that allows vendors to manage employees that provide services to NYCDOE students.
- Once your contract is fully executed you will obtain PETS access to enter your staff and review clearance eligibility.
- Providers must update and review rosters **continually**.
- The failure to have all staff members cleared prior to any contact with students will result in the withholding of payment/non-payment and/or the termination of contract.

Program Components - Background/Security Clearance

- Providers have a ongoing duty to send new staff to DoE HR Connect Background Check Unit - 65 Court Street immediately upon employment.
- Newly hired staff must be entered in PETS and cleared as eligible prior to working with students. **VERY IMPORTANT!!!**
- Current NYCDOE teachers must be entered in PETS and cleared as eligible prior to tutoring students.

Program Components - Compliance Reviews

- SES is a highly visible Title I funded program
- NYS Comptroller, DE federal monitors and NYC DOE Office of the Auditor General oversee SES and may request detailed records.
 - Please meet your contractual obligations and provide complete, timely information.
- In addition, the program office conducts monitoring visits and interviews to ensure program quality and parent satisfaction.

•THERE ARE MULTIPLE UNNANOUNCED REVIEWS

Program Components - 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+ installed to read SES related documents and information.**
- **NOTE – PETS only supports Internet Explorer 6.0 or gigher**

Program Components - NCLB/SES Attendance Database

NCLB/SES database currently has the following functions:

- Process SES enrollments
- House and track vendor-developed Student Education Plan (SEP)
- House and track vendor-developed Progress Reports (PR)
- Record attendance and validate uploads for enrolled students
- Automate vendor payments through invoice generation
- Monitor vendor program costs
- Provide reports to USDOE, NYSED and NYCDOE – including internal and external auditors

4. Contract Timeline – Susan Naste

Date	Activity/Deadline
4/30/10	<p>Deadline for Applications for Contracts received in the Division of Contracts and Purchasing.</p> <p>Note: NYC DOE Division of Contracts and Purchasing will issue contracts to those providers who have completed the contract process and submitted <i>all</i> required documentation within the required timeline.</p>
10/1/10	<p>Contracts should be completed (RA approved internally and executed contract in place) for new FY11 applicants if materials fully submitted before 4/30/10 cut-off.</p>
10/18/10	<p>NCLB-SES Tutoring Services commence for current providers and run through June 24, 2010.</p>

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: <https://vendorportal.nycenet.edu/vendorportal/login.aspx>
- Program support/questions: nclbses@schools.nyc.gov
- 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

Anonymous meeting survey –

Thanks for completing!

Please e-mail us if you have specific questions!

	5	4	3	2	1
	Agree				Disagree
Helpful					
Thorough					
Clear					
Timely					
Useful					