

**NO CHILD LEFT BEHIND  
SUPPLEMENTAL EDUCATIONAL SERVICES  
2011-12**

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**Policy and Implementation Manual  
For Providers and School Administrators**

CALENDAR

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- Subject to change

<b>SES PROGRAM TIMELINE FOR 2011-2012</b>	
<b>September 2011</b>	<i>SES information package back-packed home with eligible students in State-identified SINI schools</i>
<b>September-October 2011</b>	<i>SINI schools hold NCLB information session/Provider Fair. Parents meet with and/or contact providers.</i>
<b>October 17 to November 4, 2011</b>	<i>Providers/Schools submit enrollment forms for processing</i>
<b>November, 7, 2011</b>	<b><i>Supplemental Educational Services may begin</i></b>
<b>TBD</b>	<i>Second enrollment period for eligible students in <b>newly identified SINI schools only</b></i>
<b>TBD</b>	<i>Last day of services for students enrolled in schools that will be removed from the SINI list of SES schools (Prior to Winter Break)</i>
<b>January 18 to February 7, 2012</b>	<i>Spring enrollment. Providers/Schools submit enrollment forms for processing.</i>
<b>June 15, 2012</b>	<b><i>Last day of school year SES services</i></b>
<b>June 30, 2012</b>	<b><i>Last day for submission of certified invoices for FY 2012</i></b>
<b>August 2012</b>	<b><i>Providers submit Part C of NYSED End of Year Report to the SES Program Office</i></b>

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## Forward

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The New York City Department of Education (NYCDOE) has successfully enrolled over 500,000 students in Supplemental Educational Services (SES) programs since the inception of the program in 2002. The NYCDOE has embraced the spirit of SES by setting a positive tone about the importance of SES and by building strong relationships with SES providers. This manual was developed to assist schools and providers in understanding and following the NCLB statute, state regulations and the NYCDOE's policies and procedures for implementation of the SES program.

In doing so, it has drawn on our work with schools, our interaction with parents, our collaborative relationship with the New York State Education Department, and our relationship with SES providers.

We hope this manual is helpful to providers, principals, parent coordinators and other school staff in their work to improve student achievement and to support the NYCDOE's reform efforts to create a system of great schools.

We would like to thank you all for your cooperation in the implementation of Supplemental Educational Services in New York City. Your efforts are greatly appreciated.

## 1.0 OVERVIEW OF NCLB AND SES

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### 1.1 No Child Left Behind Act (NCLB)

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The No Child Left Behind Act of 2001 (NCLB), signed into law by President George Bush on Jan 8, 2002, is the latest revision of the Elementary and Secondary Education Act (ESEA). The ESEA was first enacted in 1965 and encompasses Title I, the federal government's flagship aid program for disadvantaged students.

At the core of the No Child Left Behind Act are a number of measures designed to hold states and schools accountable for the academic achievement of all students, ensure that the teaching and paraprofessional staff is highly qualified, and provide parents with access to information and choice.

Since the law's enactment, the New York City Department of Education has been working with the New York State Education Department, districts and schools to implement several key provisions of the law. These include disseminating information about school performance, recruiting and hiring highly qualified teachers, and notifying parents about public school choice and Supplemental Educational Services.

► **WEBLINK:** Click here for the US Dept of Ed NCLB website <http://www.ed.gov/nclb>

### 1.2 Supplemental Educational Services (SES)

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Supplemental Educational Services (SES) provides tutoring by an "approved provider" outside of the regular school day. SES can take place before or after school or on weekends. SES is an option for parents of students in grades K-12 who are enrolled in Title I schools identified as "In Need of Improvement – Year 1 & 2, Corrective Action or Restructuring" and who are free or reduced lunch eligible under federal guidelines.

SES is a resource that can be coordinated with academic intervention services and extended day programs to provide multiple opportunities for intervention. The array of provider programs allows for parents to select the most appropriate program to meet the unique learning needs of their children. Parents will look to their child's school for recommendations and advice. When asked, school staff can assist parents to make informed decisions by becoming familiar with the SES programs that are available in NYC.

► **WEBLINK:** Click here to view the Provider Directory  
<http://schools.nyc.gov/RulesPolicies/NCLB/SES/Parents/ProviderDirectory/ProviderDirectory.htm>

### 1.3 SES Providers

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- Providers are approved by the New York State Education Department (NYSED). Providers in New York City include community and faith-based organizations, and non-profit and for-profit education organizations. An approved SES provider must meet specific criteria for providing services in English Language Arts (including reading), and/or Mathematics in order to help students achieve New York's learning standards, as demonstrated by improved scores on required State assessments in those areas.
- SES provider programs vary in experience, organizational capacity, program design, program length, and the qualifications and experience of their supervisory staff and instructors. Some providers have had long-standing relationships with our schools as part of the out-of-school time programs; others are retired school supervisors and administrators who have started their own enterprises in academic

intervention. Many of the providers employ only certified teachers; others have a combination of experienced teachers and college students (undergraduates and graduate); still others train high school students or senior citizens in innovative inter-generational programs.

## 2.0 ROLES AND RESPONSIBILITIES OF KEY PARTIES

Local Education Agency (LEA)	Schools	Providers	Families
<ul style="list-style-type: none"> <li>Identify eligible students.</li> <li>Notify families about provider options.</li> <li>Contract with and pay providers.</li> <li>Work with providers, schools, and families to set goals for each student.</li> <li>Protect the privacy of students receiving SES.</li> <li>Provide data to the state.</li> </ul>	<ul style="list-style-type: none"> <li>Designate an SES liaison responsible for assisting with implementing the requirements of SES.</li> <li>Select providers that will work in the school building using fair &amp; objective criteria.</li> <li>Distribute SES materials to eligible students.</li> <li>Conduct an NCLB information session &amp; SES provider fair.</li> </ul> <p style="text-align: center;">Assist parents in the provider selection process, as needed.</p>	<ul style="list-style-type: none"> <li>Apply to the state.</li> <li>Connect with schools, districts, and families.</li> <li>Contract with districts.</li> <li>Offer clear details about their services.</li> <li>Measure student progress and inform families, and schools.</li> <li>Protect the privacy of students receiving SES</li> </ul>	<ul style="list-style-type: none"> <li>Choose a provider from the Parent Guide.</li> <li>Support child's progress and attendance.</li> <li>Arrange transportation, if not offered by the provider.</li> <li>Receive information about child's progress from the SES provider.</li> </ul>

► **REMINDER: Students with Disabilities:** In the case of a student with a disability, the achievement goals, measurement and reporting of progress, and timetable must be consistent with (although not included in) the student's Individualized Education Program under Section 614(d) of the IDEA. In the case of a student covered by Section 504, they must be consistent with (although not included in) the student's individualized services under Section 504.

**In addition, providers are required to:**

- Target outreach only to parents.
- Provide accurate and appropriate program information to parents in understandable language.
- Ensure the program is under the general supervision of a New York State certified teacher (not a DOE employee).
- Maintain accurate attendance and academic records (subject to review at any time).
- Attendance on NYCDOE forms, not customized sheets; students must sign in and show time, and then sign out after the session, and show time again. Providers may NOT allow staff to sign for student or enter time, or they will risk sanctions.
- Prepare and *submit* quarterly progress/ reports to: The NYCDOE, the parent/guardian and the child's school.
- Submit final report.

## 3.0 IDENTIFICATION OF SCHOOLS AND ELIGIBLE STUDENTS

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### 3.1 SINI School Designation

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Each year, as required under the federal No Child Left Behind Act, the New York State Education Department identifies Title I public schools in New York City as “Schools In Need of Improvement” (SINI). According to NCLB standards, these are schools that have not made “Adequate Yearly Progress” (AYP). They have not reached student achievement targets which are set for every school.

**Under NCLB, a school’s AYP is determined based on:**

- Meeting the state proficiently level for all students in English Language Arts, Mathematics, Science and/or high school graduation rates
- Performance of all students including low-income students, students with disabilities, and English Language Learners
- 95% student participation rate on state assessments

**Under New York State’s Differentiated Accountability Plan, All school(s) in any stage of improvement status, from the first year of improvement status until return to good academic standing, must offer SES**

#### **Notification of SINI Status**

Parents of free or reduced lunch eligible students in grades K-12 in an SES eligible school will once again have the opportunity to enroll their children in an SES program. Pending official notification regarding 2011-12 SINI status, schools will initiate the program in September 2011.

As soon as NYSED issues the official list of SINI schools, principals will receive communication from Central regarding the specifics of their school’s NCLB improvement status with instructions for further actions that they will need to take.

Schools which undergo a status change and are removed from the SINI list during the school year and listed as “Schools In Good Standing” will be notified when to discontinue offering SES.

### 3.2 Student Identification

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Eligible students are students in grades K-12 from low-income families who attend Title I schools that are in their second year of school improvement, in corrective action, or in restructuring.

The NYCDOE identifies eligible students in grades K-12 from low-income families using the meal code indicators in ATS for “free or reduced lunch”:

Students in grades K-12 enrolled in Schools in Need of Improvement who are free or reduced lunch eligible are eligible for SES. These students have **meal code indicators “A”, “1” or “2” in ATS.**

Eligibility is not dependent on whether the student is a member of a subgroup that caused the school to not make AYP or whether the student is in a grade that takes the statewide assessments. Eligibility is also not based on academic need.

However, if the funds available are insufficient to provide Supplemental Educational Services to each eligible student whose parent requests those services, the NYCDOE must give priority to providing services to the lowest-achieving eligible students. The NYCDOE is confident that all requests for SES will be accommodated.

- Students in grades K-12 enrolled in Schools that are Universal Meal Sites are all eligible.
- Students new to the school who do not have meal code information must complete a lunch form to confirm eligibility.
- Schools should outreach only to the parents of eligible students to offer SES services

► **REMINDER: Pre-K students are NOT eligible for SES services.**

## 4.0 ENROLLMENT PROCESS

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### 4.1 Parent Selection

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- Once parents receive the SES information package, they will review the parent guide and the provider information. They may contact providers by phone, email or arrange a visit to the provider site or attend a provider fair to learn more about the various provider programs and to determine which program would best meet the needs of their child.
- If requested by the parents, school staff may assist in helping parents select the most appropriate program for their children. However, **the parent makes the final decision.**
- Parents may select only one provider program in the academic year.
- In order to ensure that parents do not submit multiple enrollment forms and thereby delay the processing of the application, **enrollment forms are not to be duplicated.** If a parent loses their enrollment form or claims never to have received one, the school may request a replacement form by emailing the SES Program Office at [NCLBSESProgramSupport@schools.nyc.gov](mailto:NCLBSESProgramSupport@schools.nyc.gov) or contacting the SES Program Office at (718) 935-2424.
- Parents are instructed to return their signed enrollment form to the provider.

► **EXHIBIT A: SAMPLE OF SES ENROLLMENT FORM AND INSTRUCTIONS**

### 4.2 Marketing Programs in Schools

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- During the enrollment period, information about **all** providers (not only the providers that will be located in the school) must be made available to parents.
- Providers may market their program outside of schools but there is no obligation for the school to allow providers in the building to market to parents.
- Providers may not market directly to students, nor offer any kind of incentive or promise of an incentive to a student, parent or other family member, including token gifts such as caps, water bottles, pens, etc. (**Providers are prohibited from offering any type of incentive or rewards to students except providers that have a state approved program that includes a rewards program for attendance and/or achievement and is of a nominal value (no more than \$25.00). Providers with approved rewards programs are required to submit a description of their program to the NYCDOE for review as part of the contracting process.**)
- If the school has a parent room or center or even a table that is located where parents congregate, provider brochures and other materials may be displayed without preference to the provider programs that will be located in the school.
- The principal should ensure that provider information distributed at the school to parents in the school is accurate (proper eligibility criteria, selection process, due dates, etc.) and, for those providers on-site, consistent with any arrangements made with the school regarding the agreed upon schedule (days and hours of instruction, room numbers, etc.).
- Principals who have any concerns with provider marketing tactics or program operations should contact the SES Program Director for assistance.

Please be advised that "SERVICES" Section 3(E) of your No Child Left Behind "NCLB" agreement with the NYC DOE reads in relevant part as follows:

The provider is prohibited from making any offer or advertisement of rewards, gifts, incentives, gratuities, payments, or compensation of any kind to parents, students, the Board, the Board's staff and/or school staff for purposes of, or tending to have the effect of, soliciting enrollment, encouraging parents to switch providers once students are enrolled, and/or attempting to influence parents, students, the Board, the Board's staff and/or school staff; provided that nothing herein shall be deemed to prohibit the use, as part of the instructional program, of nominal rewards or incentives as defined in 8 NYCRR section 120.4(f)(8)(xvii). A nominal reward or incentive is defined as an award or incentive that: (1) does not exceed a total value of \$ 25 per student per year; (2) is directly linked to documented meaningful attendance benchmarks and/or completion of assessment and program objectives; and (3) is approved by the commissioner as part of the provider's instructional program.

The Contractor shall not offer any rewards, gifts, and/or incentives to Students for any reason whatsoever pertaining to services rendered under this Agreement unless said rewards, gifts and/or incentives is part of Contractor's State approved program. Contractor will remain obligated to (1) submit a written description to the Board before implementing any rewards program; (2) update the Board if said program is changed for any reason; and (3) comply with the State law and/or rule/regulation and/or policy. Contractor's failure to submit written description and/or update will result in the withholding of payment and/or termination of this Agreement.

#### **4.3 Submission and Processing of SES Enrollment Forms**

- Providers may assist parents in completing the enrollment form to ensure that the correct provider name, provider ID and provider service code number (as listed in the provider directory) are correctly entered. Parents should update their contact information in the appropriate section of the enrollment form.
- Parents return completed forms to their selected provider. Principals can review student enrollment by accessing the NCLB/SES Administrative Database.
- Providers should keep photocopies of completed enrollment forms before submitting to the SES Program Office to keep track of students seeking enrollment.
- The provider submits forms to the **SES Enrollment Center, 28-11 Queens Plaza North, Room 523 Long Island City, NY 11101** or the SES Program Office at 65 Court Street, Room 1803D, Brooklyn, NY 11201 for processing. Enrollment forms accepted at the SES Program Office at 65 Court Street, will be sent to the LIC center for processing. **Providers are therefore urged to submit forms directly to Long Island City to avoid enrollment delays.**
- How the enrollment form is processed at the Processing Center:
  - The enrollment form is reviewed to ensure the proper label is affixed, that the provider ID and Service code are correct, and that the form has been signed by the parent and provider representative. Photocopies of enrollment forms or forms that bear any sign of tampering will not be processed.
  - The Student ID is entered into the NCLB/SES Attendance online system.
  - The provider and program service ID is entered which then creates an "association" and this record is then imported into the provider's account.
  - The date of the parent's signature is entered into the system and constitutes the "approval date"
- Forms will be accepted up until the deadlines. Providers are encouraged to submit completed forms as soon as possible to the SES Program Office. **Forms will not be accepted after the close of business on the deadline dates: November 4, 2011 and February 7, 2012. An enrollment period will be scheduled for the newly identified schools when the NYCDOE receives official communication from the New York State Education Department.**
- **All SES programs must conclude by *June 15, 2012*.**

► **WEBLINK:** [Click here](#) to download the parent guide

<http://schools.nyc.gov/RulesPolicies/NCLB/SES/Parents/ProviderDirectory/ProviderDirectory.htm>

#### 4.4 School Provider Fairs or Information Sessions

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- Schools must schedule an NCLB information session informing parents of their options, including SES. Schools should also hold an SES provider information fair, which can be coordinated with a PA/PTA meeting, open school night or any other activity or event where parents are likely to attend. Schools must ensure that all providers are invited, not just the providers who will be housed in the building. Schools will be provided with an email distribution list for all NYC SES providers. This is especially important for parents whose children cannot participate in an on-site program – they can select a home-tutoring, on-line tutoring or community-center tutoring provider. Additionally, parents should be able to enroll their children with the provider of their choice. **This often means that parents must be reminded to bring their SES enrollment materials with them to this event.**

##### **Guidelines for school sponsored provider information sessions:**

- Provider displays and comportment at school provider fairs or information sessions should allow for equal access to all parents.
- Displays should be of uniform size so as not to obscure or block access to provider tables or exhibits.
- Provider staff must approach parents within the confines of the area designated for the provider or information fair.

► **EXHIBIT B:** [Sample Invitations to Provider and Parent for School Provider Fair](#)

## 5.0 INCENTIVES AND REWARDS

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Providers are prohibited from offering any type of incentive or rewards to students unless (1) they have a state approved program that includes a rewards program for specific attendance and/or achievement and (2) is of a nominal value (not to exceed \$25.00). Providers with approved rewards programs are required to submit a description of their program to the NYCDOE for review as part of the contracting process, and may be asked to provide receipts for these incentive items. Providers may not offer gifts as part of their recruitment/marketing efforts. Offering items such as pencils, pens, backpacks, etc. with a provider company logo is considered gifting, and is prohibited.

## 6.0 CONFLICT OF INTEREST WAIVER (HIRING DOE EMPLOYEES)

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### 6.1 The Conflict of Interest Law

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The Conflict of Interest Law, Chapter 68 of the New York City Charter and Chancellor's Regulation [C-110](#), prohibit the hiring of any active NYCDOE employee (or a NYCDOE employee that has been separated from the NYCDOE for less than one year) by any contracted vendor without a waiver from the Conflict of Interest Board.

**[Click here](#) to download the Chancellor's Regulation on Conflicts of Interest on Community Education Council Members, Employment of Family Members.**

► **WEBLINK:** <http://schools.nyc.gov/RulesPolicies/ChancellorsRegulations/default.htm>

## 6.2 Who Can Be Hired

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Because the process for each NYCDOE employee to request a waiver to work for an SES provider may delay services to students, the NYCDOE has requested and received a blanket waiver permitting only the hiring of NYCDOE teachers as instructors and lead teachers, mentors, or instructional coaches. **NOT AS SUPERVISORS**, administrators or coordinators. Guidance Counselors are NOT covered by the waiver. NYCDOE teachers do not need to seek a waiver. Be advised that F-status employees and substitute teachers are considered NYCDOE employees and can only be hired as teachers.

► **REMINDER:** The Conflict of Interest Law prohibits New York City employees from accepting gifts from companies or individuals with current or pending business dealings with the City.

- **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 where their children are enrolled or receive SES.

## 6.3 Who Cannot Be Hired

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Providers may not hire any other NYCDOE employee (principals, assistant principals, district or regional staff, parent coordinators, paras, aides, secretaries, etc.).

If you have any questions, contact Samatha Biletsky, Ethics Officer, at 718-391-8158 and 212-374-3438 or at sbiletsky@schools.nyc.gov.

► **WEBLINK:** [Click here to go to the Conflict of Interest Board website](http://www.nyc.gov/html/conflicts/html/publications/leaflets_dir.shtml)  
[http://www.nyc.gov/html/conflicts/html/publications/leaflets\\_dir.shtml](http://www.nyc.gov/html/conflicts/html/publications/leaflets_dir.shtml)

## 7.0 PROFESSIONAL CODE OF CONDUCT AND ETHICS

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To ensure that SES providers deliver high quality services to eligible students, interact with schools, parents, and each other in a professional manner, and comply with the NYCDOE's rules and regulations, the NYCDOE has adapted the Code of Professional Conduct and Ethics originally developed by the Education Industry Association. SES providers contracted to work in NYC are required to adhere to these standards of ethical behavior which are part of the contract with NYCDOE and to use them to guide their decision-making and performance at all levels of their organizations. All SES provider employees should be familiar with the Professional Code of Conduct and Ethics.

### 7.1 General Guidelines

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In the conduct of business and discharge of responsibilities, Providers commit to:

- Conduct business honestly, openly, fairly, and with integrity.
- Comply with applicable laws, statutes, regulations and ordinances.
- Avoid known conflict of interest situations.
- Not access teacher mailboxes, which are off-limits
- Never offer or accept illegal payments for services rendered.
- Apply these guidelines and standards throughout the company by insuring all employees understand them and act accordingly.
- Refrain from publicly criticizing or disparaging other providers.
- Comply with the confidentiality and non-disclosure provisions of all applicable federal, state and local laws, including those relating to student identity, records, reports, data, scores and other sensitive information.

- Be factual and forthright in reporting and documenting attendance rates, effectiveness of their programs, and in explaining the theoretical/empirical rationale behind major elements of its program, as well as the link between research and program design.
- Take appropriate corrective action against provider employees, consultants or contractors who act in a manner detrimental to the letter or spirit of this code.
- Take immediate steps to correct any actions on its part that willfully or inadvertently violate of the letter or spirit of this code.

## 7.2 Standards Specific to SES

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SES providers will consistently implement the NCLB Supplemental Educational Services provisions and promote full access to SES services.

### **To that end, providers will NOT:**

- Allow PETS-ineligible or inactive employees to have access to or direct contact with students or student information.
- Delay in deactivating ineligible employees.
- Compensate school or district employees in exchange for access to facilities, to obtain student lists, to assist with marketing or student recruitment, to promote enrollment in a provider's program at the exclusion of other providers, to obtain other similar benefits for their SES program, or for any illegal purpose.
- Employ any NYCDOE employees in any capacity, except that current DOE teachers may be employed as instructors or as Lead Teachers.
- Employ any former NYCDOE employees with less than one year of separation from the NYCDOE in any capacity which puts them in any contact with the NYCDOE or its employees – including, but not limited to, meetings, telephone calls, and written communications. However, former NYCDOE teachers with less than one year of separation from the NYCDOE are permitted to work as instructors or Lead Teachers. Waivers are needed for all other hires of NYCDOE employees with less than a year of separation.
- Make payments or in-kind contributions to schools or school personnel, exclusive of customary fees for facility utilization in exchange for access to facilities, to obtain student lists, to increase student enrollment, to obtain other similar benefits for their SES program or for any illegal purpose.
- Misrepresent to anyone, including parents, the location of a provider's program, principal/district or state's approval of a provider, or the likelihood of becoming so approved.
- Offer a parent or student any form of incentive for signing-up with a provider.
- Implement a rewards program for attendance and/or achievement that is not part of the provider's state-approved program and incorporated into its NYCDOE contract.
- Employ an SES enrolled student.
- Use the NYCDOE's enrollment form with the selected provider's name pre-printed as part of the form.
- Photocopy or otherwise procure enrollment forms for distribution to parents, or make provider selection for parents.
- Access teacher mailboxes for ANY reason
- Encourage students/parents to switch providers once enrolled. A student association is considered "locked" once the student has been assigned and accepted by a provider.

► **REMINDER: All providers are required to adhere to the Code of Professional Conduct and Ethics**

► **WEBLINK: [Click here](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Providers/KeyDocumentsandResources/Prov_Resources.htm) to download the Professional Code of Conduct and Ethics [http://schools.nyc.gov/RulesPolicies/NCLB/SES/Providers/KeyDocumentsandResources/Prov\\_Resources.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Providers/KeyDocumentsandResources/Prov_Resources.htm)**

## 8.0 MONITORING OF SES PROVIDER PROGRAMS

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NYCDOE will conduct monitoring visits to Title I schools and to off-site programs where SES is being delivered. In addition to visits to schools and non-DOE service sites, monitors will conduct phone

interviews with parents of students enrolled for individual tutoring services (at home, in school, or on-line).

Monitors will review the implementation of provider programs and assess compliance with all applicable federal, state and city regulations and procedures for SES including:

- Accurate attendance record keeping on NYCDOE attendance forms.
- Instructor to student ratio.
- Availability of student plans and progress reports.
- Identifying areas of concern and/or incidents requiring intervention and/or further action.

The monitor will carry a letter of introduction. The monitor will be visiting classrooms, speaking with SES provider staff, the SES liaison, teachers, students and parents.

The monitor will also be asking for copies of attendance sheets. Provider staff will be interviewed and asked to provide a staff roster that should include all personnel assigned to work at the site.

**Reminder: Providers are required to give copies of Student Education Plans and Progress Reports to the schools and parents of students enrolled in their programs. .**

## **9.0 END OF YEAR REPORT AND EVALUATION**

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- Pursuant to the NCLB statute and the Regulations of the Commissioner of Education, the NYCDOE is required to complete a report (in a format provided by the NYSED) for each provider that has provided SES during the school year.
- The report captures information about a provider's performance as it pertains to enrollment, completion rate, services to special education students and English Language Learners, complaints, and compliance with contractual and regulatory stipulations, policies and procedures.
- The NYCDOE includes feedback from principals, parents and the monitors regarding these areas, as well as recommendations for removal from the state's approved list. Principals can report complaints, comments and observations about any aspect of the provider programs to the SES Program Office.

## **10.0 CHANGE OF PROVIDER REQUESTS**

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The NYCDOE is not required to allow parents to change providers. We will do so only to correct errors in assigning students to the wrong provider or for compelling reasons. A change of provider may only be requested by the parent and submitted to the SES Implementation Office for review and consideration.

**SES vendors should review all student enrollment requests prior to accepting the student. Service codes will not be changed.**

## **SECTION B – PROVIDER INFORMATION**

### **1.0 TIMELINESS OF SERVICE PROVISION**

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Since the main purpose of the SES program is to increase student achievement through specifically targeted Federal funds, we as fund stewards, must ensure that SES eligible students receive as much tutoring in one provider program as is feasible within the school year.

Based upon this principle, and on prior program operations, the SES Program Office will review the NCLB SES application to check for students whose parents have authorized program participation within a certain vendor's program but who are not accepted or rejected.

These “pending” students are essentially left in limbo – unable to choose another vendor, yet still not receiving services. That is unacceptable.

If you notice that a parent has chosen you as service provider, you must take action on the student information by accepting or rejecting them in the NCLB SES system within 5 business days and then provide the first service session within 30 days of acceptance.

If you experience any difficulties, such as not being able to contact the parent by phone or mail, please reach out to the Parent Coordinator of the school.

## 2.0 BECOMING AN APPROVED SES PROVIDER

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### 2.1 Application to the NYSED

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- Interested parties must apply to the New York State Education Department by submitting an application in response to a "Request for Qualifications" (RFQ) during the NYSED's Application Period.
- SES providers must meet specific criteria to provide services in English Language Arts (including reading) and/or mathematics in order to help students achieve New York's learning standards.
- Approved applicants will be placed in NYSED's "Approved Supplemental Educational Services Provider" (ASESP) catalog. Visit the NYSED's website for further information and periodic updates.

► **WEBLINK:** [Click here to view NYSED list of approved providers](http://www.emsc.nysed.gov/nyc/SES/ApprovedProviders/AlphaList.html)  
<http://www.emsc.nysed.gov/nyc/SES/ApprovedProviders/AlphaList.html>

### 2.2 Application for a Contract with NYCDOE

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- After receiving your approval letter from the NYSED, visit the Division of Contracts and Purchasing (DCP) website to apply for a contract with the NYCDOE to provide SES in NYC.
- The Division of Contracts and Purchasing will issue contracts to those providers that complete the contract process and submit all required documentation **within the required timeline.**
- Currently, applications for contract or amend current contracts are only accepted and processed in the Spring of each year (subject to change).
- When contracts are finalized, they are processed at DCP for registration.
- Services (including enrollment) may not begin until the contract has been registered with DCP.
- Visit the NYCDOE's DCP website periodically for updates on the contracting process.

► **WEBLINK:** [Click here to visit the Division of Contracts and Purchasing website](http://schools.nyc.gov/Offices/DCP/Vendor/NoChildLeftBehind/Default.htm)  
<http://schools.nyc.gov/Offices/DCP/Vendor/NoChildLeftBehind/Default.htm>

### 2.3 NYCDOE Contract Application Process

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- Approved providers submit a completed CONTRACT APPLICATION TO ENTER CONTRACT FOR APPROVED SUPPLEMENTAL EDUCATIONAL SERVICE PROVIDERS (ASESP) to DCP.
- DCP reviews applications to ensure they are complete. An application is not processed until all required documents are submitted.
- DCP initiates budget negotiations with review of work plan, budget and cost summary breakdown.
- The cost of SES: The NCLB statute sets the per-pupil cost for SES as the lesser of the NYCDOE's per-pupil allocation under Part A of Title I or the actual cost of services.
- Once the contract is finalized, the DCP attorney sends a contract to a provider for signatures.
- Provider sends signed contract back to the DCP Attorney.
- DCP acquires all other signatures and sends the contract with insurance to DCP's Vendor Resource Unit.
- The Vendor Resource Unit reviews and enters all documentation in DCP's database for registration.

- DCP notifies the provider that the contract is registered.

► **WEBLINK:** Click here to download the contract application

<http://schools.nyc.gov/NR/rdonlyres/471BEC33-A338-4BB5-9F41-EECDB1708E47/58916/2009CONTRACTAPPLICATION.pdf>

► **REMINDER:** The contract is not fully executed until it is registered with the NYCDOE Division of Contracts and Purchasing and you have a valid contract number. You will not have access to the PETS (Personnel Eligibility Tracking System - employee fingerprint and security clearance system) or the NCLB database without a valid contract number; consequently, you may not enroll students or begin services until your contract is registered.

### 3.0 CONTRACT MODIFICATION AND/OR AMENDMENT

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#### 3.1 Modification of Your New York State Approved Provider Program

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A modification to a provider's official SES program requires **state approval**.

- Technical changes include change of address, contact information, etc.
- Substantial changes include change in program design, grades served, districts served, and curriculum, etc.

Providers that receive approval for their modified technical proposals will need to amend their contracts with the NYCDOE. Providers may not implement their modified program without first amending their contracts with the NYCDOE.

► **REMINDER:** *Modifications/Amendments are accepted only during one of NYSED's application process opportunities. Visit the NYSED SES website periodically for updates and, subsequently, the NYCDOE's contracting period.*

► **Visit the NYSED website**

<http://www.emsc.nysed.gov/nyc/SES/SES.html>

#### 3.2 Amendment to Your SES Contract

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Your application will be reviewed to determine if your amendment is in the best interest of the NYCDOE and any increase in the cost of your current contract is warranted. If it is not in the best interest of the NYCDOE, please continue to provide services under your current contract.

Please be advised that the NYCDOE must adjust the per-pupil allocation for SES (PPA) to reflect changes in our Title I Part A allocations. If your per-pupil costs exceed the PPA for a given year, you will need to amend your contract. Although the Title I Part A allocation may increase yearly, a provider may not increase the cost of the current contract solely on the basis of that increase. Any rate increase must be cost-justified and substantiated.

### 4.0 CONTACT INFORMATION

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You are required to provide contact information for the following categories: SES Administration, Compliance Officer, Instructional Supervisor, Parent Contact, Purchase Orders/Payments, and two Administrative contacts for PETS. **Providers have an ongoing obligation to maintain and update contact information at all times using the NCBL/SES [vendor portal](#).** Please ensure that all email addresses or the subject of the email references the name of your organization. In the event of emergencies, such as health-related school closings, the program office will contact providers via e-mail.

Please keep your contact information current!

- ▶ **WEBLINK:** <https://vendorportal.nycenet.edu>

## **5.0 PARENT GUIDE WITH PROVIDER DIRECTORY**

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Pursuant to the NCLB law, the LEA is required to give parents a brief description of each approved provider program in an easy to understand format. The provider directory is included in the Parent Guide.

### **5.1 Preparing the Provider Directory**

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- A Provider entry is created for each approved provider that has completed the contract application process.
- Provider information features the most critical information needed by parents to make informed selections.
- Information is taken from the NYSED website and the providers' technical proposal.
- After provider information has been finalized, the provider directory is created and made part of the SES information package sent home to parents. The SES provider directory is translated into nine languages and posted on the NYCDOE's NCLB/SES website.

- ▶ **WEBLINK:** To view the [provider directory](#) click below:

<http://schools.nyc.gov/Administration/NCLB/SES/Parents/ProviderDirectory/ProviderDirectory.htm>

## **6.0 FINGERPRINTING AND SECURITY CLEARANCE**

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### **6.1 A Contract Requirement**

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- Pursuant to Education Law, the Regulations of the Commissioner of Education, and Chancellor's Regulations [C-105](#), all individuals employed by a contracted vendor who have direct contact with NYCDOE students or access to student records are subject to fingerprinting. All provider employees that come in direct contact with students or who have access to records must undergo a required security clearance procedure as outlined by the city and arranged through the NYCDOE.

**NOTE: Staff under 18 years of age must be entered into PETS but do not require fingerprinting or background check until their 18<sup>th</sup> birthday.**

- ▶ **WEBLINK:** [Click here](#) to go to the Chancellor's Regulation on Background Investigations of Pedagogical and Administrative Applicants and Procedures in Cases of the Arrest of Employees

<http://schools.nyc.gov/RulesPolicies/ChancellorsRegulations/default.htm>

- ▶ **REMINDER:** Providers have a continuing obligation to send appropriate staff for fingerprinting at the NYCDOE's Office of Personnel Investigations Fingerprinting Unit immediately upon staff's employment and must receive clearance prior to working with students or having access to student data. NYCDOE teachers must be entered and cleared in PETS prior to tutoring.

## 6.2 Fingerprinting/Security Clearance Procedures

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- Make an appointment for your staff to be fingerprinted – call the Division of Human Resources HR Connect at (718) 935-4000.
- Each prospective employee must present a referral letter from your agency or organization.
- To receive a complete fingerprinting packet by mail, please contact the Office of Personnel Investigations at [wmorale@schools.nyc.gov](mailto:wmorale@schools.nyc.gov).
- If you have any questions, please contact HR Connect at 718-935-4000.

► **REMINDER:** “SES-NCLB CODE MC” must be written at the top of each referral letter identifying you as an SES – NCLB provider

► **WEBLINK:** [Click here to visit the DHR OPI website regarding Fingerprinting procedures](http://schools.nyc.gov/Offices/DHR/DHRForms/default.htm)

## 6.3 Photo ID Badges

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- Provider non-DOE personnel that have received satisfactory clearance are required to wear photo identification badges while working in a NYCDOE school building. All tutors who provide services at a center or student home must wear photo identification at all times.
- DOE Teachers may be asked to provide photo identification such as Drivers licenses, or Non-Driver identification.
- Schools will be instructed to require that all non-DOE personnel sign the school’s log book upon entering a NYCDOE school building and to display their photo ID badge at all times.
- PHOTO ID BADGES must include recent photo, name of employee, signature of employee, name of provider program and authorized signature, employee’s position, date issued and expiration date.

## 7.0 OBTAINING CLASSROOM SPACE

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### 7.1 Principal Selection Criteria

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Principals are asked to make determinations as to which providers will be in school buildings based on the following guidelines:

- Provider has a track record of demonstrated effectiveness, customer satisfaction, and service delivery.
- Provider’s program can meet the needs of all students, including students with disabilities and ELLs (English Language Learners).
- Provider is flexible in scheduling tutoring sessions.
- For Providers that offered SES in a school building during the previous school year, additional guidelines include:
  - Instructors/Tutors and students were adequately supervised during tutoring sessions, and supervisors or managers were available and accessible.
  - Provider supplied enough materials for every student in their program in a timely manner.
  - Provider took care of the school property and followed school safety and emergency procedures.
  - There was adequate and ongoing communication with school and parents regarding student progress.
  - Providers are not to negotiate special arrangements with principals (e.g. serving a subset of grades for which they are contracted to serve.)

### 7.2 Obtaining Classroom Space in Public Schools

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- If you intend to provide services to students on NYCDOE school premises, you must contact the principal of the school building to apply to use classroom space.

- You are required to complete an Extended Use Permit and submit to the **school principal or authorized designee** for review and consideration. You may contact the school(s) to provide program information responsive to the guidelines described below.

#### Extended Use Permit Rate Structure

- Fees are “flat rates” based on the type of room and hours requested.
- There are no separate rates for space and labor.
- Permit application must be paid in full prior to the use of the building.
- Between the hours of 3:00 p.m. and 6:00 p.m. weekdays during the school year, space maybe free.

**This extended use system and rate structure is separate and apart from the 9% facilities usage fee. The facilities usage fee will continue to be deducted from invoices for SES programs operated in NYC public school facilities.**

#### **NO SERVICES MAY BEGIN UNTIL AN EXTENDED USE PERMIT IS REGISTERED AND PAID FOR**

- ▶ **WEBLINK:** [Click here](http://schools.nyc.gov/Offices/DFO/SOP/SOPChapters/Extendeduse.htm) visit the Extended Use website  
<http://schools.nyc.gov/Offices/DFO/SOP/SOPChapters/Extendeduse.htm>

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### 7.3 Facilities Usage Fee

SES providers that operate their programs in NYCDOE school buildings are subject to a 9% facilities charge, unless grandfathered in under different terms, in addition to any Extended Use fees that may apply. The 9% will be deducted from your payments for services delivered per child in a NYCDOE school building.

**Please be advised that no waivers will be granted.**

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### 7.4 Agreement with Principal

- **Engagement Notice:** Once a permit is approved, the school completes an SES Engagement Notice with each provider.
- Providers on school site may not use services such as: school paper, copier, telephone, or school supplies.
- The principal should arrange a meeting with the provider to discuss supervision, safety and security issues as well as pertinent aspects of their emergency procedures and to schedule sessions and room assignments.
- Principals are encouraged to select more than one provider to offer SES in the building. Providers are expected to cooperate with each other and with other after-school programs in the building.

- ▶ **WEBLINK:** To download the [engagement notice](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resources.htm) click below:  
[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu\\_Resources.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resources.htm)

- ▶ **EXHIBIT C:** [Engagement Notice](#)
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## 8.0 PERSONNEL ELIGIBILITY TRACKING SYSTEM (PETS)

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### 8.1 Purpose of the System

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The Personnel Eligibility Tracking System (PETS) is a New York City Department of Education application that will assist contracted vendors in complying with applicable Education Law, the Regulations of the Commissioner of Education, and Chancellor's Regulations [C-105](#). The aforementioned statutes and regulations state that all individuals employed by a contracted vendor who have direct contact with NYCDOE students or student information are subject to fingerprinting and background checks so they can receive security clearance.

The PETS application:

- Allows vendors (providers) to manage the rosters of employees who deliver services (e.g. after school tutoring) to NYCDOE students.
- Enables NYCDOE to track vendors and their rosters electronically.
- Offers timely information on the security clearance status of employees.
- Automatically notifies vendors of their employee's ineligibility to work in proximity to NYCDOE students or student information.
- Please note that DOE employees who are on the department's ineligible list will not be eligible in PETS even if their finger print results are satisfactory.
  - ▶ **WEBLINK:** [Click here to access the PETS homepage.](https://schools.nyc.gov/offices/dhr/pets) For providers with authorized access only! <https://schools.nyc.gov/offices/dhr/pets>

### 9.2 PETS Requirements

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PETS is a secure site accessible only with a DOE issued username and password. Once your contract is registered with the City Comptroller's office, you will receive a unique user name and password to access the PETS to enter all employees that will be working in your SES program. Access cannot be given before the registration of the contract. **Therefore you may not begin to recruit students or provide services until you have completed a PETS roster.**

- Providers are required to provide the NYCDOE with the names and contact information for at least **two representatives** with responsibility for managing rosters.
- Each prospective employee must present a referral letter from your agency or organization.
- Providers must ensure that ineligible employees do not continue to work with students or have access to student information as soon as they receive notification from OPI. Please see SES-OPI matrix.

Because the information contained in PETS is confidential and may require the removal or termination of an employee, it is strongly recommended that responsibility for managing this application be given to staff that already handles personnel matters for the provider's organization or has the authorization to make independent personnel decisions.

- These representatives must be able to review the site regularly, update the roster as new staff is hired, and be able to take the appropriate actions when instructed by the NYCDOE.
- The contact information will be requested when your profiles are created in PETS and will be shared with the Office of Personnel Investigations (OPI) which will be generating electronic notifications on ineligible employees.
- **Providers have a continuing obligation to review and update their PETS rosters and to send staff for fingerprinting at the NYCDOE OPI Fingerprinting Unit immediately upon staff's employment and prior to working with students.**

## SES – OPI Matrix

ARREST	OPI	PETS	SES	VENDOR	EMPLOYEE*
	<ul style="list-style-type: none"> <li>Notified that person been arrested.</li> <li>Updates DOE's HR systems (makes person ineligible to work in PETS)</li> <li>Notify vendor and SES via e-mail.</li> <li>Send employee* request for disposition letter via mail.</li> <li>Place on Ineligible list</li> </ul>	<ul style="list-style-type: none"> <li>Auto-generated email sent to vendor and SES program manager updating employee* eligibility to work (not sent to notify that the employee is cleared to return-see below)</li> </ul>	<ul style="list-style-type: none"> <li>Receive arrest notification from OPI.</li> <li>Send 2nd email to vendor:               <ul style="list-style-type: none"> <li>Informing of arrest</li> <li>Requesting suspension.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Advise employees of requirement to notify OPI of arrest</li> <li>Receive emails from PETS, OPI and SES.</li> <li>Remove employee* from DOE work location immediately after first notification.</li> <li>Fax filled-out action taken memo OPI w/5 days.</li> </ul>	<ul style="list-style-type: none"> <li>Must immediately notify OPI in writing of arrest (Chancellor's Regulation C-105)</li> <li>Submit criminal court complaint or police report to OPI once available.</li> </ul>
POST-DISPOSITION	EMPLOYEE*	OPI	SES/ VENDOR	PETS	
	<ul style="list-style-type: none"> <li>Mail certificate of disposition to OPI within three days of court case resolution.</li> </ul>	<ul style="list-style-type: none"> <li>Reviews case file.</li> <li>Makes clearance decision.</li> <li>If cleared:               <ul style="list-style-type: none"> <li>Update HR systems(makes person eligible to work in PETS)</li> <li>Remove from IL</li> <li>Notify vendor and SES via e-mail.</li> </ul> </li> <li>If not cleared, employee* remains ineligible to work</li> </ul>	<ul style="list-style-type: none"> <li>If cleared, SES program manager and vendor decide if employee* can return to work.</li> <li>If returning to work, vendor updates PETS to indicate that employee* is active.</li> <li>If not cleared, employee* can not work in a DOE setting.</li> </ul>	N/A	

\* Employee refers to the person working for a vendor under the SES program. They may or may not be a DOE employee.

► **REMINDER:** *The failure to ensure that all staff members have satisfactory clearance prior to any contact with students or student data will result in the withholding of payment and/or termination of contract.*

If you experience problems with the database or need technical support, please contact PETS technical support at [petstechnicalsupport@schools.nyc.gov](mailto:petstechnicalsupport@schools.nyc.gov)

► **WEBLINK:** To download the [PETS User Guide](#) click below:

[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Providers/KeyDocumentsandResources/Prov\\_Resources.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Providers/KeyDocumentsandResources/Prov_Resources.htm)

### 8.3 PETS UPGRADES

• **Integration with DOE Systems:** PETS will interact with internal DOE HR applications seamlessly. If you enter a social security number/last name for someone who exists in our HR systems, PETS will capture their biographical information (eliminating the need for you to manually enter existing data). If you enter someone into PETS that does not exist in our HR systems, PETS will push this information into our HR systems (ensuring data consistency across applications). **Please note** -- it becomes even more important for you, the vendor, to input social security numbers and last names into PETS correctly, otherwise the system will be clogged with erroneous records and you may get false-negative eligibility responses.

• **Required Field in the Employee Profile:** The 'email' field has been moved from an optional field to a mandatory field. For all new persons added to PETS, you are required to provide a unique email address for each person. Email addresses already listed on someone else's record will be rejected. For existing records, if you will need to update a person in any way, PETS will require a unique email address to be added before the changes can be saved.

- **Viewing Social Security Numbers:**

**1. Social Security Numbers No Longer Displayed in the Search Roster Screen:** Social Security Numbers will no longer be displayed on the search roster result grid and roster reports created by the search roster option. This is a data security-requested change to protect Social Security numbers from misuse.

**2. Social Security Numbers on EMPLOYEE PROFILE Screen:** You will continue to be able to view a Social Security Number on the Employee Profile screen.

- **Eligibility Message Standardized:** All users of PETS will see the same message to determine a person's eligibility to provide services. If you have questions, you should email the PETS Admin Support email account.

- **Add Employee Screen Change:** When adding an employee to a roster, the screen will now say 'SSN/keycard #' instead of SSN. This change is related to the new program being added to PETS. Continue to use social security numbers.

- **Start/End Dates:** Within the contract section of the employee's profile, two new fields ("Start Date" and "End Date") will be displayed. Again, this change is related to the new program being added to PETS. They are optional fields and you should not need to use them.

If you experience any unexpected issues, please email the PETS Technical Support at ([PETSTechnicalSupport@schools.nyc.gov](mailto:PETSTechnicalSupport@schools.nyc.gov)) and PETS ADMIN Support ([PetsAdminSupport@schools.nyc.gov](mailto:PetsAdminSupport@schools.nyc.gov)) where the issue(s) will be researched and resolved.

## **9.0 NCLB/SES ATTENDANCE DATABASE – a User Guide with complete information is available through the Vendor Portal.**

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### **9.1 Purpose of the System**

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The NCLB/SES Attendance Database is an online application developed by the NYCDOE's Division of Financial Operations (DFO). Providers receive access to the online system once their contract is registered.

The NCLB/SES Attendance Database:

- Processes SES enrollment forms by assigning eligible students to the provider selected by the parents.
- Allows providers to record student attendance in SES programs.
- Generates Student Education Plans and Attendance/Progress Reports
- Monitors costs of provider programs.
- Generates invoices for payment.
- Maintains data for reports to the US Department of Education, NYSED and the NYCDOE.

### **9.2 Vendor Portal Requirements**

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- Providers manage their student attendance using the NCLB/SES [vendor portal](#) database. Once your contract is approved by the Division of Contracts and Purchasing you will be given a username and password to access the Vendor Portal.
- In order to view and confirm the enrollment of eligible students in your program, you will need to access the Vendor Portal.
- In order to use the Vendor Portal and PETS Database, your computer systems must meet the minimum requirements:
  - Internet Explorer 6.0, 6.0+
    - Cookie enabled in browser
    - Client script enabled (JavaScript) in browser
  - Internet access
  - Microsoft Excel, Microsoft Word and Adobe Acrobat Reader 6.0+ installed to read SES related documents and information distributed

### 9.3 “Provider Contact Details”

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- When you access the [NCLB Vendor Portal](#), enter/review/update “Provider Contact Details” to ensure all information listed is accurate.
- **It is very important that you confirm the accuracy of the information regarding Program Services, Rates and Hours to avoid any problems with enrollment and payments.**

### 9.4 Provider’s Approved Students List

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- Once student enrollment forms are submitted to the SES Processing Center for processing, providers can review pending students, confirm and accept the enrollment assignments. These confirmations constitute the “**approved students**” list.
- From the approved list, providers can view student information such as:
  - ELL/Special Education Status
  - Scale Scores in ELA and/or Math
  - Parent contact information- *Be sure to compare this information against any updates/changes that parents enter on the enrollment forms.*

► **WEBLINK: To access the [Vendor Portal](#):**

<https://vendorportal.nycenet.edu>

► **REMINDER: Do not accept any student if incorrectly assigned. Once you confirm, the association is locked. We will not change the service code assignments.**

If you have a question about a particular student assignment, please contact the SES Program Office.

You must confirm students by checking each one. Confirmed students will be assigned to your program and the “association record will be locked,” meaning that student may not be assigned to any other provider. You must accept/reject students within 5 business days.

- Once you confirm assignments, **you must notify parents** of these students to make arrangements for the start of services.
- Services must begin within 30 calendar days of assignment confirmation.
- Providers can export student information to an excel spreadsheet.
- If you experience problems with the database or need technical support, please contact NCLB technical support at [nclbses@schools.nyc.gov](mailto:nclbses@schools.nyc.gov)

### 9.5 Recording Student Attendance by Providers

---

- Providers are required to use the Vendor Portal to record the actual time of student attendance. All payments are generated from electronic records that are created using the Vendor Portal.
- Providers use the internet application to record student attendance and to invoice for payment.
- Providers are paid for student attendance only.
- **Students must sign in and out at the start and end of each tutoring session. All providers must use the NYCDOE [Daily Student Sign-In Sheet](#). (See Exhibit D for daily student sign-in sheet for in home) service.**
- Students must enter the precise time the individual student began and ended the tutoring session on the online attendance system.
- Tutoring sessions cannot exceed 180 minutes in one day and a student may receive only one session per day. (Please note, the NYCDOE believes it is educationally effective to keep private tutoring to 120 minutes per day and to realize younger students may also have difficulty with attention over longer time frames).
- Tutoring can only take place outside of the regular school day, before 8 am and after 3 pm during the school week. This applies to all SES provider programs, group, individual, and online

- Tutoring may be conducted between the hours of 8:00 am – 3:00 pm on Saturdays, Sundays, school holidays, and during Winter, Mid-Winter, and Spring Recess periods.
  - Both tutor and supervisor signatures must appear on the same time sheets
  - Parents of students enrolled for individual tutoring are to sign only for sessions that are conducted in the home.
  - If individual tutoring is conducted at a location other than the home, the attendance sheet should be signed by the tutor and supervisor only.
  - Periodic audits of provider programs and documents verify the accuracy of the information will occur.
- ▶ **REMINDER:** Providers must retain all records relevant to supplemental educational services for a period of six (6) years, hard copy not electronic, for both home and onsite services.

## 9.6 Ineligible Students

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During the school year, a provider may receive a request for SES from a student whose eligibility status has changed or a student who is not actually eligible for service. Reasons why a student may not be eligible for SES:

- The student does not qualify for free or reduced lunch or the parent or guardian may not have submitted a lunch form to the school.
- The child has transferred to a non-SES eligible school.
- The child has been discharged from the NYCDOE public school system.
- The child is enrolled in a private or parochial school.
- The child is enrolled in a Pre-Kindergarten program. SES is only available to students in grades K-12.

## 10.0 TUTORING SESSIONS

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### 10.1 The First Tutoring Session and Student Education Plan (SEP)

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- The provider must conduct a pre-assessment at the start of the SES program to determine the specific areas for improvement (goals) for each student. The pre-assessment must be the measurement approved in the NYSED Plan.
- Your instructional program should be linked to the Pre-assessments.
- **Student Education Plans** must be completed within the first 3 tutoring sessions, and to the extent possible, with parental consultation, stating (1) the specific achievement goals based on the student's individual educational needs, (2) the timetable for improving achievement and (3) a description of how student progress will be measured.
- **Student Education Plans must be developed using the NCLB-SES Create Student Education Plan function** and be based on the needs of the student as indicated by the results of the pre-assessment.
- Providers must complete all the data elements included in the template.
- The SEP must be signed by the provider and the parent.
- Providers may ask parents to share information such as report cards, IEPs and other information that will guide in the development of the student plan.
- **A copy of EACH Student Education Plan must be given to the parent and must be SIGNED by the parent. Providers are required to have the Student Education Plan signed by the parent for every child receiving services in their program. Providers offering group, individual, and online services whether at school, at home, or at another location, must give copies of the SEP to the parents and students' schools. To the extent possible, providers should maintain copies of student plans at the school site throughout the service period for review by DOE, state and/or federal monitors.**
- Tutoring services must begin within 30 calendar days of confirming the student assignment.

## 10.2 Providers of At-Home/Individual Tutoring Services

Providers of At-Home/Individual Tutoring Services will ensure that each tutor presents a letter of introduction to the parents on the first visit and a copy of the letter is given to parents for their records.

The letter should include the following:

- Student Name & ID
- Name and contact information for the tutor
- Assurances that the tutor has a satisfactory security clearance and is wearing photo ID (DOE teachers hired to work as at-home tutors should be issued photo ID's)
- Information about the administration of pre-tests and the development of the SEP
- Informs parents that tutor will work collaboratively on a convenient schedule that is also appropriate for the child's age and grade. The NYCDOE recommends private tutoring not exceed 120 minutes a day however, sessions may run up to 180 minutes;
- Reminds parents that an adult must be present at all times during the tutoring sessions.
- Informs parents that students in the household enrolled with the same provider will not be tutored at the same time
- Informs parents that they are not to sign the SES attendance forms until the session has been completed.
- Informs parents that they are not to sign the SES attendance form if there is any disagreements about the service dates, hours, or times of service
- Informs parents if individual tutoring will be taking place in a location other than home (i.e., school, library, community center, provider site)
- Provides parents with contact information to register a complaint or concern, or to discuss the tutor's performance.

### NOTE:

- Providers have an obligation to notify parents, to the extent possible in advance, when tutors are unable to attend or a new tutor has been assigned.
- Providers must indicate the precise location of individual tutoring if the sessions do not take place in the home. Parents are not to verify attendance if tutoring is conducted at a location other than the home or where the parent was not present to confirm the dates and times of service.

### REMINDERS:

- Providers must give a copy of the SEP and Attendance/Progress Reports for students receiving individual tutoring to parents and the student's school
- Providers must give a copy of the letter of introduction to the parent

## 10.3 Daily Student Attendance

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- Daily student attendance must be recorded for each student. At the start and end of each tutoring session, students are to sign the Daily Student Attendance Sheet, recording times of arrival and departure. Providers must use this form only. **No other form is acceptable.**

► **WEBLINK:** [Click here](#) to download the Daily Student Sign-in Template

[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Providers/KeyDocumentsandResources/Prov\\_Resources.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Providers/KeyDocumentsandResources/Prov_Resources.htm)

► **EXHIBIT D:** [Daily Student Sign-In Template](#) (Individual)

► **EXHIBIT E:** [Daily Student Sign-In Template](#) (On Site)

## 10.4 Safety Procedures

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The safety of our students is always our paramount concern and we are sure that you also share the same concern.

To that end, SES providers & their employees who work in our schools should become familiar with a school's safety plan and the procedures for emergency evacuations, fire drills, and ensuring appropriate actions are taken in a medical or health emergency. Please ensure that you request a copy from the school principal at the time that the engagement notice is signed. Schools are required to update plans annually so be certain to obtain the latest version if you continue to work in the same school(s).

- **Providers shall maintain up-to-date parent contact information on site at all times, and must not rely on the school's Blue Cards maintained in the school office.**

## 10.5 Dismissal

---

The following guidelines have been established regarding the supervision of children beyond the program's regular hours of operation or the release of children when parents are late.

- All students enrolled in your program must remain under your supervision until the conclusion of your SES sessions for the given day.
- Students who are routinely picked up by a parent/guardian or other authorized person will remain under the supervision of the Provider's staff until picked up by parent/guardian or other designated individual.
- If the parent/guardian has not picked up a student within 10 minutes, a phone call should be placed to the parent/guardian at all phone numbers listed in provider's contact file.
- If the parent/guardian is reached and can pick up the student within a reasonable time frame, the Provider staff-member will stay with the student until the student is picked up.
- When a child is released to a designated emergency caregiver, the provider must request photo identification, and suggest that the individual sign a release form
- If the parent/guardian has still not picked up the student after a half hour, the Provider staff member will again call the parent/guardian, and if no one is reached, will get in touch with their supervisor or emergency contact
- If the parent/guardian cannot be reached, the Provider staff member shall contact their supervisor or emergency contact.
- The provider shall notify the school principal and the SES Implementation office.
- Any student who is not picked up by the parent/guardian will remain under the supervision of the Provider staff member at all times; if absolutely necessary the emergency contact may place a call to the local precinct or dial 911 to report potential abandonment.

## 10.6 Quarterly Progress/Attendance Reports

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- SES vendors must also submit quarterly Progress reports to the DOE, parents and schools with information about student attendance and academic improvement. **These reports are to be developed using the NCLB-SES Create Quarterly Progress/Attendance Report function in the vendor portal.** Copies of these progress reports and evidence that these have been shared with parents must be maintained and available for review by city and state monitors. The reports must be signed by the tutor, the supervisor and the parent.
- **TO THE EXTENT POSSIBLE, BOTH SES STUDENT EDUCATION PLANS (SEP) AND PROGRESS REPORTS SHOULD BE ON SITE FOR REVIEW INCLUDING FOR INDIVIDUAL/AT-HOME TUTORING AND OFF SITE SERVICES. MONITORS WILL ASK SCHOOLS TO CONFIRM THAT PROVIDERS HAVE SHARED THESE DOCUMENTS AS REQUIRED.**
- **Payment will be delayed for untimely submission of Quarterly Progress/Attendance Reports.**

## 11.0 PURCHASE ORDERS

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- Purchase orders are issued for each approved and contracted provider that has approved eligible students.
- If you have any questions, please contact the SES Program Office at (718) 935-2424.

## 12.0 CERTIFICATION FOR PAYMENT

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Certification is the process whereby the SES provider invoices for payment using the NCLB system. In lieu of a signed paper invoice, a provider submits an electronic attendance report certifying and attesting to the accuracy and veracity of the information.

All Providers must invoice monthly.

## 13.0 UPLOADING ATTENDANCE

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All SES providers will upload attendance using the NCLB-SES internet site.

- Upload will be on-line real time
- Edit or delete the error records
- Batch must be without error to proceed to next step
- Submit batch to create the invoice number
- Certified invoices will queue the invoice for payment
- Each attendance record will be processed and validated against the business rules that incorporate applicable federal, state and local policies and regulations
- E-commerce providers may upload and certify attendance throughout the month.
- Non-E-commerce providers may upload at any time but can only certify attendance during the first seven 7 days of each month for the previous month's attendance. (See Section 15.0)
- **ALL PROVIDERS CAN AND SHOULD UPLOAD ATTENDANCE THROUGHOUT THE MONTH TO AVOID DELAYS IN CERTIFICATION AND PAYMENTS.**

**The certification language reads as follows:**

NOTE: Only accepted maximum service hours will be paid for.

This is to certify that:

(i) the below named individual is a duly authorized representative ("Representative") of " " and is authorized to submit information to the (DoE) and to make certifications and representations on the Agency's behalf;

(ii) the Representative is aware that this invoice, when submitted to the DoE, becomes a business record of the Department of Education (DoE) and that the DoE relies upon the information contained therein to compute payments to the Agency;

(iii) the Agency and the Representative individually are subject to legal action, including criminal prosecution, if false information is submitted knowingly to the DOE; and

(iv) based upon the books and records of the Agency, the information in this invoice submitted to the DoE is true and accurate and may be relied upon by the DoE to the same extent as an invoice submitted via hardcopy document and signed by an authorized representative of the Agency.

NOTE: Notwithstanding the foregoing, it is understood by the Agency that the Agency is required to maintain a hardcopy record of its invoice submissions and to make them available upon request by the Chancellor or his/her designee.

The DoE will not approve any invoice for hours that exceed the maximum allowable as per the Agency's contract.

► **REMINDER: Invoices must be certified by an authorized representative.**

## 14.0 PAYMENT

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- Payment is based on student attendance on an hourly rate which is negotiated with each provider.
- No payment will be made for SES tutoring provided before the Agency contract is executed or for services provided by the tutors not eligible and active in PETS at the time service was provided.
- No payment will be made for services rendered to ineligible students, students not officially enrolled with the provider, or students whose attendance is duplicate-billed.
- Once attendance records are generated, NCLB Support forwards the file to Accounts Payable for payment.
- Upon certification of attendance in the Vendor Portal, payment is generated **no later than 45 days after certification, provided there are no discrepancies.**
- Should there be any discrepancies, you will be paid only for the attendance of approved students in the Vendor Portal.
- If you have any questions regarding payment, please contact the Division of Financial Operations, at (718) 935- 5645.

## 15.0 E-COMMERCE PROGRAM

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### 15.1 Benefits of Program

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To expedite the payment process, the Division of Financial Operations offers a program which includes the following benefits:

- Upon certification of attendance, the invoice will be processed immediately provided that there are no discrepancies;
- You will be paid within ten business days of invoicing.

### 15.2 Sign-up Procedures

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- If you elect to participate in the E-Commerce program, **you will be charged a 2% service fee,** which will be deducted from the monthly payment. Please contact Donald Russ at [druss@schools.nyc.gov](mailto:druss@schools.nyc.gov) or (718) 935-5636 to enroll in this program.
- If you have a contract pending registration, you cannot enroll in the E-commerce program until after the contract is registered.

## **16.0 VENDOR WEB INQUIRY**

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Please be informed that the Department of Education has established a Vendor Web Inquiry site (VWI), which for an annual fee of \$500.00 (NON REFUNDABLE) allows all registered vendors to view balances, open purchase orders, all purchase orders, all invoices, all checks and all contracts, as follows:

### **VIEW BALANCES**

This inquiry allows the vendor to view the total processed amount as well as the total open balance, for encumbrances, vouchers and payments.

### **VIEW OPEN PURCHASE ORDERS**

While this screen shows amounts processed, its main goal is to show the vendor all documents which still have an open balance amount.

### **VIEW ALL PURCHASE ORDERS**

This inquiry allows the vendor to see all orders regardless of payment status.

### **VIEW ALL INVOICES**

This screen displays the Vendor's Invoice Id number and date; the respective voucher and processing date; the check number, its amount and "clearance" date.

### **VIEW ALL CHECKS**

With this inquiry the vendor is allowed to view all checks issued with respective dates and amounts.

### **VIEW ALL CONTRACTS**

Dept of Ed's Contract numbers are displayed on this screen as well as the City's. In addition there is a brief description of the contracts with respective types (Requirements or Full Values) and amounts. It also displays the beginning and end dates of the contracts.

Although the above inquiries are against "ALL" checks, orders, contracts etc., be informed that inquiries against individual items (one check, one order, one contract etc., may also be performed). Should you have any questions regarding the VWI system you can contact the Vendor/Customer Service Unit at (718) 935-3939.

Should you decide to gain access to the VWI, please fill out the bottom portion of the letter in Exhibit J and overnight it with the non refundable check of \$500.00 made payable to the NYC Department of Education to:

**NYC Department of Education  
Office of Accounts Payable  
65 Court Street, Room 1502  
Brooklyn, NY 11201  
Attn: Donald Russ**

Once the check has cleared, access to the VWI will be given to your company at which time you will be notified.

SHOULD YOU NEED ADDITIONAL INFORMATION AND/OR CLARIFICATION, PLEASE CALL (718) 935-3939.

ONCE YOU'RE GIVEN ACCESS TO THE SYSTEM, SHOULD YOU NEED GUIDANCE LOGGING ONTO THE SYSTEM, YOU CAN CALL (718) 935-5645.

► **EXHIBIT J: SAMPLE VENDOR WEB INQUIRY SYSTEM ACCESS REQUEST**

## 17.0 REPORTING REQUIREMENTS

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### 17.1 Student Education Plans, Attendance/Progress Reports

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Pursuant to Section 1116(e) of the NCLB Act of 2001, SES providers are required, in consultation with the parent, to identify and develop specific academic achievement goals for each student, measures of student progress, and a timetable for improving achievement. In addition, parents must be regularly informed of their child's progress in a format and, to the extent practicable, in a language that the parents can understand.

As previously described, all plans and reports are to be developed using the NCLB-SES online functions.

- SEPs should be developed in the first 3 sessions.
- SEPs are due prior to the first certification.
- Quarterly progress reports are due at intervals based on the program's maximum hours of service. The NCLB database will prompt providers at the appropriate intervals to generate the progress reports. The progress report must be generated in order to certify attendance and receive payment.

### 17.2 PROVIDER ASSURANCE

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For each school or service site, Providers are required to submit an SES Provider Assurance certifying that Student Plans and Attendance/Progress Reports have been developed and distributed to the NCLB-SES Implementation Office, parents and schools for each student enrolled and participating in their SES program in accordance with the No Child Left Behind (NCLB) requirements, along with scanned copies of plans and progress reports pursuant to the following schedule:

Student Plans and Assurances are due prior to the first certification for payment.

► **EXHIBIT F: Provider Assurance Form – Student Education Plans**

► **EXHIBIT G: Provider Assurance Form – Attendance Progress Reports**

### 17.3 End of Year Report

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- Pursuant to the Regulations of the Commissioner of Education, every LEA in New York State that is required to arrange for the provision of SES with an approved SES provider pursuant to §1116(e) of the No Child Left Behind Act, must complete a report for each provider that has provided SES during the school year.
- The Regulations further provide that a copy of a written report prepared annually by each SES provider and submitted to the NYCDOE be attached to the LEA's monitoring report submitted to the NYSED (see 8 NYCRR §120.4(f)).
- The New York State Education Department has created a reporting form called, "Summary Report of Supplemental Educational Services Providers," which is to be completed by the NYCDOE.
- Two sections of the annual reporting process involve direct input/reporting by the approved SES provider.
- These sections require Providers to submit information regarding complaints, and compliance with contractual and regulatory stipulations, policies and procedures.
- Part C: Performance Summary of Supplemental Educational Services (SES) Provider
- Part D: Supplemental Educational Services (SES) Provider Authorization and Assurances

► **EXHIBIT H: End of Year Report Part D**

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## SCHOOL ADMINISTRATORS

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### 1.0 PREPARING FOR SES 2011-12

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#### *Quick Checklist for Principals and SES Liaisons*

- Review Policy & Implementation Manual for Providers and School Administrators;
- Check for the delivery of SES materials addressed to the school principal;
- Select providers to work in your building using fair and objective criteria;
- Note the SES enrollment dates: October 17 – November 4, 2011 and January 18 – February 7, 2012. An enrollment period for eligible students in newly identified schools only will be scheduled when the SINI list is released.
- SES programs may begin on or after November 7, 2011.
- The last day of school year SES services is June 15, 2012.
- Schools should conduct a Parent Information session(s) and/or Provider Fair before the start of the program. All providers must be invited (SEE SAMPLE INVITATION).
- Print out sufficient quantities of ATS labels for students with Meal code A, 1 & 2 to affix to enrollment forms
- Schools distribute SES information packets to parents during the first weeks of school
- Notify parents of SES providers working in the school building in neutral language (SEE SAMPLE LETTER);
- SES enrollment forms may not be duplicated (Only original enrollment forms will be processed). Contact SES implementation for additional supplies: 718-935-2424 or email: [NCLBSESProgramSupport@schools.nyc.gov](mailto:NCLBSESProgramSupport@schools.nyc.gov).
- Parents must submit completed enrollment forms to the SES provider for signature;
- Completed enrollment forms can be hand-delivered to the SES Program Office at 28-11 Queens Plaza North, 5<sup>th</sup> Floor, Long Island City or to the SES Program Office, 65 Court Street, Room 1803D, Brooklyn, NY
- Providers are required to furnish the Principal/SES Liaison with copies of Student Education Plans and Progress Reports for students enrolled in their programs (**on-site and off-site**);
- Provider may not employ parents in the same school where their child is enrolled or receives SES services;
- Provider cannot employ DOE employees except for teachers as instructor/tutor and/or lead teacher only. **Lead teachers** provide instructional support/professional development and **are not site supervisors**
- Provider staff must adhere to the Code of Ethics outlined in the SES Manual; Providers may not offer incentives or rewards to students or their parents. Unless a state approved incentive program to offer rewards for attendance and/or academic performance, not to exceed \$25.00, was part of their state application. Schools should contact the SES Program Office at (718) 935-2424 with any questions related to incentive/reward programs.
- Principals should report any provider wrongdoing to SES Program Director at [ckaplan3@schools.nyc.gov](mailto:ckaplan3@schools.nyc.gov).

#### 1.1 Key Tasks to Complete Before the Start of SES Program

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- Identify SES providers that will work in your school building.
- Designate an SES liaison responsible for assisting with implementing the requirements of SES.
- Print out ATS labels **for eligible students only (Free and reduced lunch)**.

- Check for delivery of SES materials.
- Affix labels to SES enrollment forms.
- Back-pack SES packages home.

► **EXHIBIT I: [SES NOTIFICATION LETTER](#)**

► **Click here to download template**

[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu\\_Resources.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resources.htm)

► **REMINDER: Please print out sufficient quantities of student labels in the event that student enrollment forms need to be replaced.**

**1.2 Generate ATS Labels for SES Eligible Students (RLBI)**

An ATS Information Label contains the student’s name, ID number, sex, date of birth, address, telephone, parent(s) or guardian(s) name(s), borough, school, grade code, official class, and room. When a student is admitted, users are given the option (after admission) of generating a page of 14 information labels to be used to affix to various forms, cards, cumulative record, etc. There are options to print one information label per student for the entire school, grade, or official class. You also have the option to print by indicator.

**For the purposes of Supplemental Educational Services (SES), you will be creating labels for student with meal code indicators (A, 1, and 2). ONLY STUDENTS WHO HAVE A MEAL CODE INDICATOR A, 1, or 2 QUALIFY FOR SES.**

► **REMINDER: UNIVERSAL MEAL SITE SCHOOLS MAY PRINT OUT RLBI LABELS FOR ALL STUDENTS ENROLLED IN THE SCHOOL.**

• **Label Information:**

- Size: 4" x 1 -1/3"
- Type: Avery 5162 or equivalent
- Purchase using Item Master or at any office supply store

• **From the ATS Primary Menu**

```

PROFILE 30-Q-145      New York City Public Schools      09-09-01 15:00:34
INIT0100-DEMO-Q     Automate The Schools Primary Menu  00156-KGANSER
==>  _

1  NEWS  The Latest News           2  SYCS  Supplemental Services
3  BIOG  Biographical Information   4  HIST  History
5  ATTD  Attendance                 6  REPT  ATS Reports
7  MNTN  Maintenance               8  SBMS  School Based Management
9  PLAC  Middle School Placement    10 MSPA  Middle School SPA
11 ESPA  Elementary School SPA      12 PATD  Period Attendance
13 RSYC  Related Services

Place cursor next to selection desired and press Red enter
F1/Help   F2/      F3/      F4/Lookup  F5/Print news  F6/
F7/      F8/      F9/Refresh  F10/      F11/      F12/Exit

```

- Select **ATS Reports (6 REPT)**
- Press **RIGHT CONTROL (RED ENTER)**

```

PROFILE 30-Q-076      New York City Public Schools      09-11-02 11:34:40
REPT0100-DEMO-Q      ATS Reports Menu                00149-PWEINER
==>

1 RPST Standard          2 RPDI District Level
3 RPBI Biographical      4 RPEX Exam Reports
5 RPAT Attendance        6 RPLG End Of Year
7 RPCL Class Information  8 RLBL Labels
9 RTRN Transportation Reports 10 RPHI History
11 RHLT Health and Immunization 12 RPLC Middle School Placement
13 RMSP Middle School SPA 14 RESP Elementary School SPA
15 SIRS Student Information 16 RPSF Status Reports
17 RPPA Period Attendance 18 RSPM DAA School Profile Reports
19 RPCI City Level        20 RELA Related Services Reports
21 RBSS BESIS Reports

Place cursor next to selection desired and press Red enter
F1/Help   F2/       F3/Quit-return F4/Lookup   F5/       F6/
F7/       F8/       F9/Refresh    F10/        F11/      F12/Exit

```

- Select Labels (**8 RLBL**)
- Press **RIGHT CONTROL (RED ENTER)**

```

PROFILE 30-Q-076      New York City Public Schools      09-11-02 11:40:16
RLBL0100-DEMO-Q      ATS Labels Menu                00149-PWEINER
==> █

1 RLBI Information Labels
2 RLBM Mailing Labels
3 RLFI Future Information Labels
4 RLFM Future Mailing Labels

Place cursor next to selection desired and press Red enter
F1/Help   F2/       F3/Quit-return F4/Lookup   F5/       F6/
F7/       F8/       F9/Refresh    F10/        F11/      F12/Exit

```

- Select **Information Labels (1 RLBI)**
- Press **RIGHT CONTROL (RED ENTER)**
- **INFORMATION LABEL GENERATION SCREEN**

==>

**INFORMATION LABEL GENERATION SCREEN**

SCHOOL NUMBER XXX

SELECTION CRITERIA: (MULTIPLE SELECTIONS MAY BE ENTERED)

**ENTIRE SCHOOL** : y

GRADE CODE :     

GRADE LEVEL :      7 LABELS PER STUDENT:   

OFFICIAL CLASS :      (FOR GRADE OR CLASS ONLY)

STUDENT ID:                                                  

**INDICATOR (PRESS F4, DEFAULT IS ALL)** :   

SORT OPTIONS: (DEFAULT IS ALPHA ONLY)

BY GRADE CODE :   

BY GRADE LEVEL :   

BY OFFICIAL CLASS :   

BY ROOM :    (OVERNIGHT REQUEST)

PRINT OPTION: (ENTER PRINTER INFORMATION)

DIST: 000 LOC: LCL PRINTER: S HOLD: N

Press F6 to execute. Load "14 up" labels before releasing from print queue.

**F1/Help** **F2/** **F3/Quit-return** **F4/Lookup** **F5/** **F6/Execut**  
**F7/** **F8/** **F9/Refresh** **F10/** **F11/** **F12/Exit**

**Selection Criteria:**

**FOR UNIVERSAL MEAL SITES:**

- To create labels for the entire school – enter **Y** in the field.
- **Continue with Print Option (page 8)**

**FOR ALL OTHER SCHOOLS:**

- To create labels for students with meal codes "a" "1" or "2" – place cursor next to **INDICATOR** and press **F4**

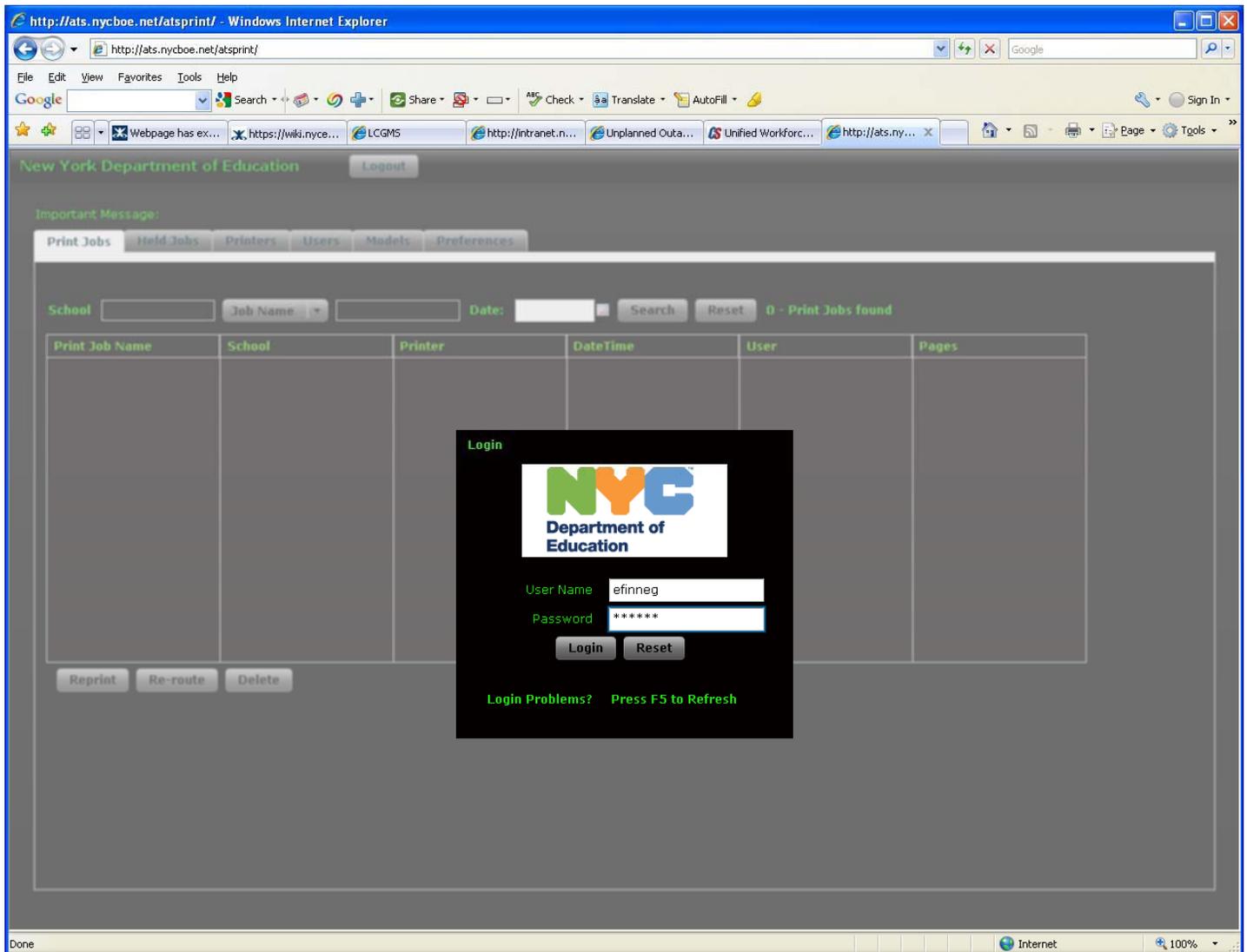
**SCHOOL INDICATOR LISTING SCREEN**

- In the indicator screen – enter **A** next to meal code for Free Lunch HRA match



- **Print Option:**

- Verify that the correct location and printer number have been identified.
- Press (**F6/Execut**) to generate the labels. Labels will be generated and placed on DFS print queue.
- Load label stock face down in the printer drawer used for ATS forms or rosters.
- Release the labels from DFS by following the next steps:
  - Log on to **the DFS Print Queue at <http://ats.nycboe.net/atsprint/>**
  - Use the same User ID and Password that you would normally use to access your school's print queue.



- Place the labels into the printer and then Click on the Held Jobs Tab in the DFS Print Queue.
- Highlite the RLBI job and click the Release button.
- Your labels will begin printing.

**REPEAT THE PROCESS FOR STUDENTS WITH MEAL CODES (1) AND (2).**

New York Department of Education Logout

Important Message:

Print Jobs **Held Jobs** Printers Users Models Preferences

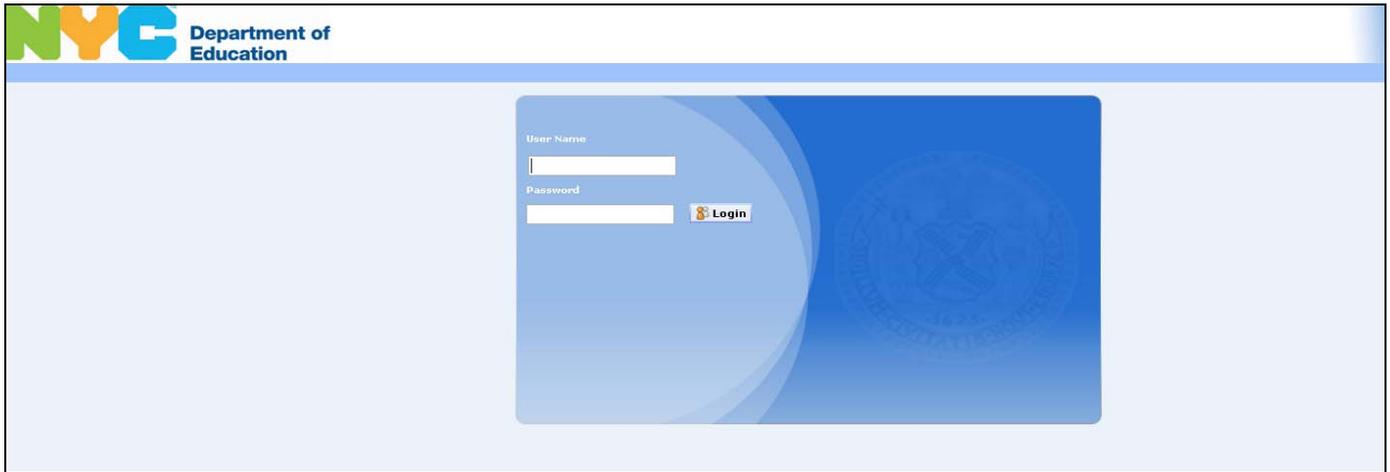
School  Job Name  Date:    1 - Pri

Print Job Name	School	Printer	DateTime	User
RLBI	000LCL	PRT1	07/01/2010 3:45:56 PM	EFINNEG

### 1.3 Print individual ATS Labels from NCLB/SES Admin. Database

ATS labels should be generated first using the RLBI function in ATS. If you need to print labels individually or by grade, it is easier to do this using the [NCLB/SES Administrative Database](#).

- Principals may view their school's SES student enrollment status by accessing the [NCLB database](#).
- To receive access to the NCLB database, School principals should contact the SES program director, Cheryl Kaplan at [ckaplan3@schools.nyc.gov](mailto:ckaplan3@schools.nyc.gov).

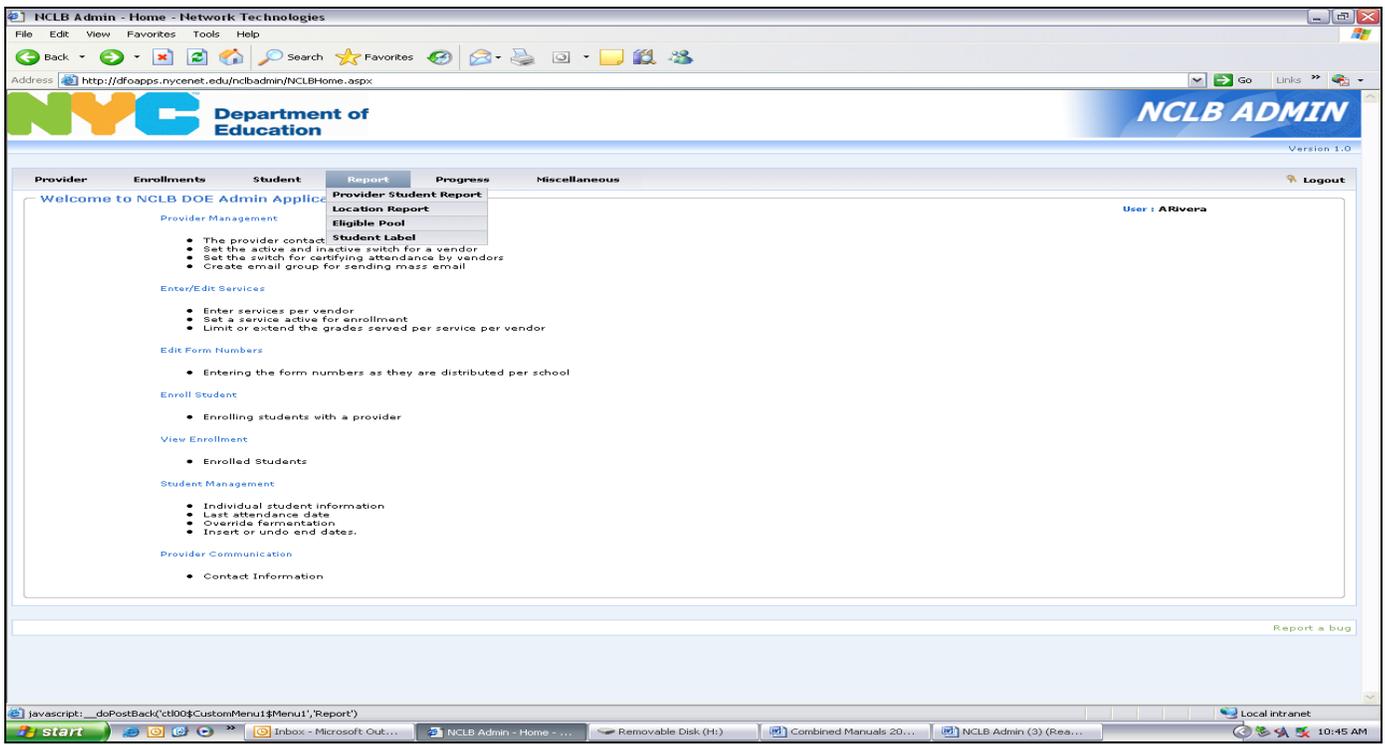


NCLB DOE admin can be accessed by clicking on the following link:

<http://dfoapps.nycenet.edu/nclbadmin/Login.aspx>

## **Student Label**

The Student label function will enable the user to print student labels by school or by student.



Please check the website for instructions on how to print labels using the NCLB-SES database.

► **REMINDER:** If you are unable to access the website, please contact Juaane Inniss at [jinniss@schools.nyc.gov](mailto:jinniss@schools.nyc.gov)

► **WEBLINK:** [Click here](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resources.htm) to download the instructions for generating ATS labels using RLBI [http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu\\_Resources.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resources.htm)

## 2.0 SELECTING PROVIDERS TO USE CLASSROOM SPACE

### 2.1 Principal Guidelines for Selecting Providers in Schools

- Please alert Director of SES if you have any issues or concerns related to contract or vendor status

NCLB Supplemental Educational Services Non-Regulatory Guidance (January 14, 2009) provides in pertinent part: "an LEA should select providers to operate on-site in a manner that is fair, transparent, and objective. Whatever the system an LEA uses, it should strive to provide parents with as diverse and large a group of on-site providers as possible... However, if many providers are approved to serve an LEA, or if other after-school programs use an LEA's schools, it may not be possible to have all providers provide SES in an LEA's school buildings."

These guidelines are intended to assist principals in accommodating interested SES providers in school locations. Principals should use the guidelines to select providers to work in their school buildings.

Principals should make determinations based on the following:

- Provider has a track record of demonstrated effectiveness, customer satisfaction, and service delivery.
- Provider's program can meet the needs of all students, including students with disabilities and ELLs.
- Provider is flexible in scheduling tutoring sessions.
- For Providers that offered SES in your school building during the previous school year, please take the following into consideration:
  - Instructors/Tutors and students were adequately supervised during tutoring sessions, and supervisors or managers were available and accessible.
  - Provider supplied enough materials for every student in their program in a timely manner.
  - Provider took care of the school property and followed school safety and emergency procedures.
  - There was adequate and ongoing communication with school and parents regarding student progress.

## 2.2 Selecting On-Site Providers

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- Coordinate the SES program(s) with other after-school programs operating in your building. In order to maximize the benefit of the SES programs for students and to minimize competition for staff and space, principals are advised to schedule SES sessions on days when few programs are in operation. Please give some thought to the logistics of hosting an overabundance of after-school programs. Although each provider is required to provide adequate supervision for their respective program, you may find it necessary to have a supervisor to ensure that all of your extended day programs are operating smoothly.
- Keep in mind how the 37.5 minutes of extended academic intervention may impact the SES programs. If the provider employs DOE teachers, the program may not be able to begin until the conclusion of the extended day program.
- Consider a variety of SES programs to meet the diverse academic needs and family circumstances of eligible students:
  - Before or After-school
  - Weekend
  - Individualized tutoring may take place in the school library/auditorium or other appropriate, well-supervised area and can be scheduled prior to the start of the school day as well as after-school.

Students mandated to attend the extended day program should be encouraged to enroll in SES programs to maximize their learning opportunities.

- Be mindful of the number of hours and/or weeks offered by the providers. The frequency and duration of tutoring sessions varies greatly with every provider program depending on their contractual agreement with the NYCDOE. **These hours cannot be increased or altered in any way.**
- Principals may not restrict the offering of services to certain grades as a condition to working in your school building.
- Providers may not alter the design of the approved program or curriculum materials.
- The employment of provider staff, including teachers, is determined solely by the provider and should not be a condition for working in your building.

► **WEBLINK:** [Click here](#) to view the guidelines

[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu\\_Resouces.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resouces.htm)

► **REMINDER:** A student is enrolled in only one SES program for the year. Once a student completes the SES program, he/she cannot enroll with another program.

► **REMINDER:** No matter which providers you select to have in your building, it is the parent who chooses which program his/her child will attend.

## 2.3 Agreement with Principal

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Once an extended use permit is approved, the school completes an **SES Engagement Notice** with each provider.

► **WEBLINK:** [Click here](#) to download the engagement notice

[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu\\_Resouces.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resouces.htm)

► **EXHIBIT C:** [Engagement Notice](#)

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- Principals should arrange a meeting with the selected providers to discuss supervision, safety and security issues as well as to become familiar with the school's safety plan & emergency procedures; discuss pertinent aspects of their program schedule and room assignments.

### 3.0 PREPARATION AND DISTRIBUTION OF SES MATERIALS

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Principals will receive SES parent information packages in boxes during the first weeks of the school year.

The boxes will be labeled as follows –

<p style="text-align: center;"><u>ATTN: SCHOOL PRINCIPAL</u> URGENT – IMPORTANT TIME SENSITIVE MATERIAL <u>ENGLISH/SPANISH</u> <i>SES PARENT INFORMATION</i> CONTENTS: 1. SES Parent Guide 2011-12  2. Enrollment Forms</p>
---

- School staff should become familiar with the contents and information contained in the packet.
- The materials are also available, except for the Provider Enrollment form, in nine other languages and can be downloaded from the SES website as needed.

► **WEBLINK:** [Click here](#) to download the notification letter, provider directory and parent guide

[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu\\_Resouces.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resouces.htm)

- Schools will receive sufficient quantities of materials in English and Spanish to distribute to students identified as eligible for free lunch.
- New admits to your school that have no meal code information in ATS will not be eligible until the parents or guardians submit lunch forms to verify income eligibility as per the federal guidelines.
- As soon as your school has received the materials, you should begin to affix ATS information labels to the enrollment forms for eligible students.
- Download the SES flyer; distribute and post in your school. (See Exhibit K: SES Flyer)
- **Posters will be mailed to your school;** please display in a prominent location in your school.
- Once you have selected the providers to work in your building, please send home a letter that notifies parents of the providers in the building using neutral language and indicating only the name(s) of the programs while reminding parents of their options to select any other providers.
- Postcards will be mailed home to parents informing them of SES services by the SES Program Office.
- **If you require additional Parent Information packages, please contact the NCLB SES Program Office at 718-935-2424.**

► **WEBLINK:** [Click here](#) to download the SES Parent Flyer

[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu\\_Resouces.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resouces.htm)

▶ **EXHIBIT K: SES FLYER**

▶ **WEBLINK:** Click here to download the Sample letter to Parents Regarding Providers in Schools

[http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu\\_Resources.htm](http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/Edu_Resources.htm)

▶ **EXHIBIT L: Sample Letter to Parents Regarding Providers in School Buildings**

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▶ **REMINDER:** Enrollment forms are to be given to parents only, not SES providers. ATS Labels for eligible students are to be affixed to enrollment forms. Labels with student information are not to be given to providers. If parents lose their forms or claim not to have received a enrollment form, it is the school's responsibility to replace and/or provide another enrollment form with the appropriate student information label. Copies are not to be used.

- To ensure that applications are processed expeditiously at the SES Program Office, we recommend that schools print out sufficient quantities of the student labels. **The SES Processing Center will not process applications without the proper ATS label.** It is the provider's only assurance that the student is eligible for SES.
- Begin distribution of these materials to parents of all eligible students as soon as they arrive

▶ **REMINDER:** Contact the SES Program Office if you need additional materials at [nclbseprogramsupport@schools.nyc.gov](mailto:nclbseprogramsupport@schools.nyc.gov)

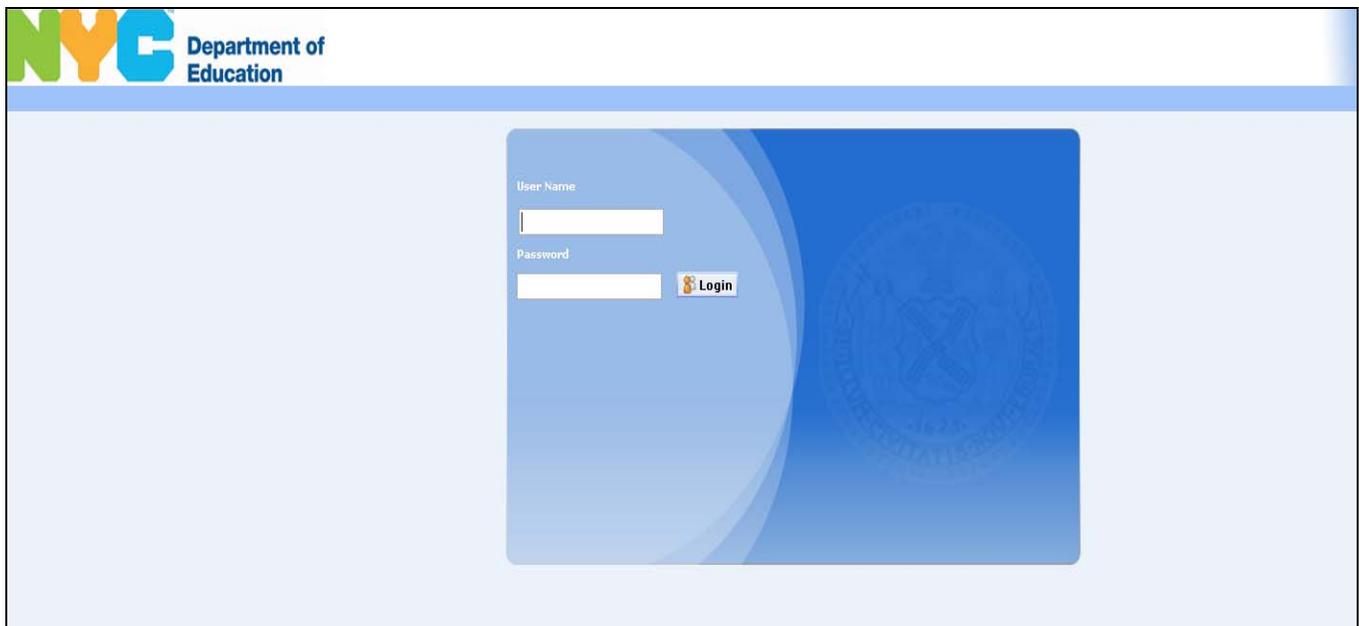
#### **4.0 NCLB/SES Administrative Database**

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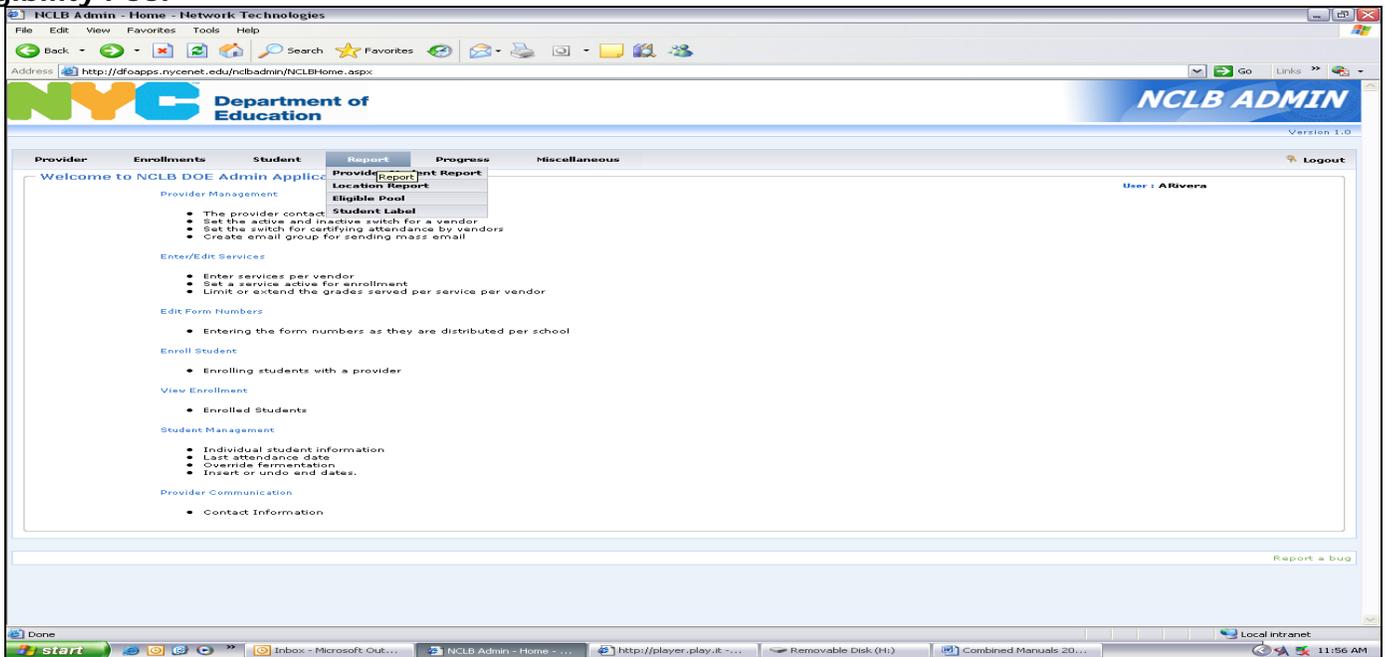
Principals can have access to and can review a list of eligible students and current enrollment by accessing the NCLB/SES Administrative database.

To request access, please contact Juanne Inniss at [jinniss@schools.nyc.gov](mailto:jinniss@schools.nyc.gov).

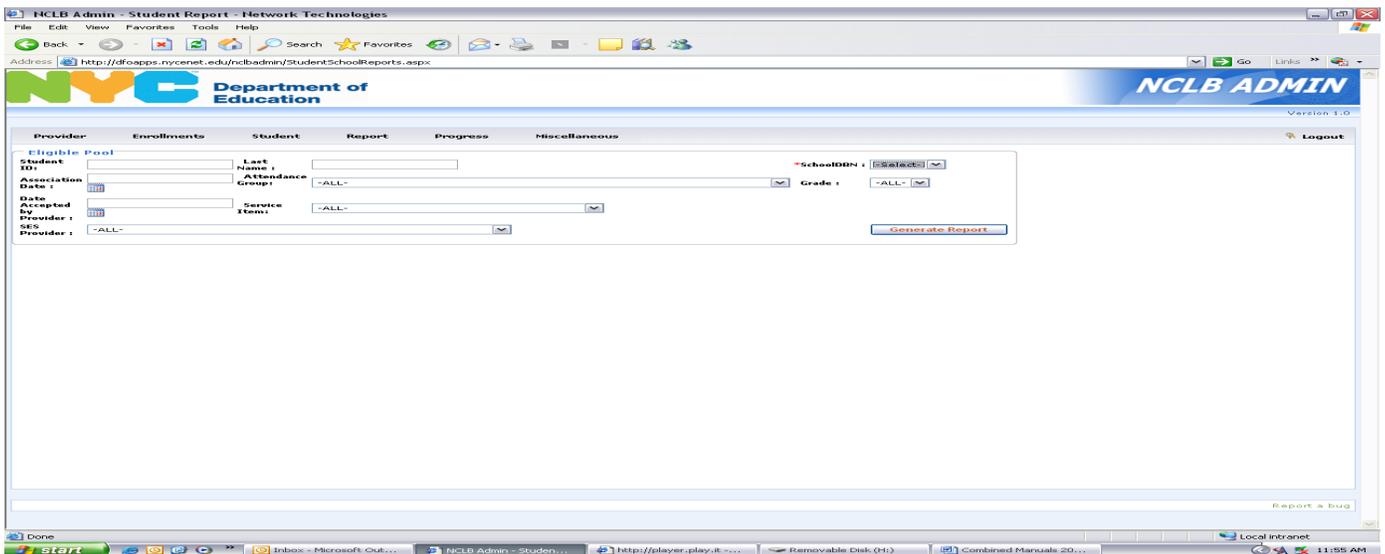
The URL is; <http://dfoapps.nycenet.edu/nclbadmin/Login.aspx>



Once logged in to the database select Report which will give you a dropdown menu then select Eligibility Pool



Enter the your schools DBN and click Generate Report



► WEBLINK: All forms can be found at the below links:

<http://schools.nyc.gov/RulesPolicies/NCLB/SES/Educators/KeyDocumentsandResources/EduResources.htm>

<http://schools.nyc.gov/RulesPolicies/NCLB/SES/Providers/KeyDocumentsandResources/ProvResources.htm>

EXHIBIT A: SAMPLE OF SES ENROLLMENT FORM AND INSTRUCTIONS



**Supplemental Educational Services  
Enrollment Form October 2011-June 2012**

OFFICE USE ONLY  
DATE/TIME RECEIVED \_\_\_\_\_  
RECEIVED \_\_\_\_\_

**PARENTS: PLEASE COMPLETE THIS ENROLLMENT FORM AND RETURN IT TO YOUR SELECTED PROVIDER**

**SCHOOLS: Affix ATS Information Label for eligible students here**

**NOTE: Application will not be processed without an ATS Student Information Label**

**1. Parent/Guardian update your contact information**

First Name										Last Name									
Address															Apt.				
City										State					Zip				
Home Phone					Cell Phone					Email									

**2. PROVIDER SELECTION**

**As a Parent/Guardian of an SES eligible student, I choose the provider shown below based upon my understanding of the services they provide and knowledge of my child's needs. If this form is signed without my vendor selection, or another party completes the vendor selection, this FORM will be null and void.**

Provider Name															ID					Service Code				
---------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	----	--	--	--	--	--------------	--	--	--	--

**3. PROGRAM SERVICE**

**4. CONSENT TO ENROLL STUDENT IN SES PROGRAM AND TO SHARE STUDENT INFORMATION**

I request that my child receive Supplemental Educational Services from the provider listed above. I give permission to the NYCDOE to disclose pertinent information about my child to the service provider. The confidentiality of all student records shall be maintained in compliance with applicable state and federal laws. I also give my permission to the provider to submit this form to the SES Program Office on my behalf.

Parent/Guardian Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**5. PROVIDER SIGNATURE**

By signing this form you agree to provide the services listed above in accordance with your Supplemental Educational Services contract with New York City Public Schools. You also agree that you have sufficient capacity to provide the requested services.

Authorized Provider Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Provider must contact Parent/Guardian to notify them of the start date and location of service.**

**INSTRUCTIONS**

**STEP 1:** Review the provider directory and speak with a representative to find the best SES provider for your child.

**STEP 2:** Fill out the SES Enrollment Form

- CURRENT CONTACT INFORMATION:** Fill out your current contact information for the provider.
- PROVIDER SELECTION:** Find the provider name and provider ID number in the directory and print it in the appropriate sections of the enrollment form in the boxes provided.
- PROGRAM SERVICE SELECTION**  
Once you have decided which provider you would like for your child:
  - Talk with the provider to determine if the program would best suit your child's needs.
  - When you and the provider agree on the program for your child, complete the enrollment form.
  - On the enrollment form, write the name of the provider you have selected, the provider's ID, and the Service Code in the boxes provided.
- CONSENT TO ENROLL STUDENT IN AN SES PROGRAM AND TO SHARE STUDENT INFORMATION**
  - Read the consent statement
  - Sign and date the enrollment form
- PROVIDER SIGNATURE**
  - Provider signs and dates the provider selection form

**STEP 3:** Return the completed SES enrollment form to your selected provider so they can submit it for processing.

Please make sure that signed enrollment forms are given to your selected provider as soon as possible. We require that providers submit enrollment forms to the processing office as quickly as possible.

**STEP 4:** Call or email your selected provider if you haven't heard from them regarding the start date, time and location of their program for your child.

**STEP 5:** On the first day of tutoring, go with your child so that you can help to develop your child's Student Education Plan. Be sure to sign the plan and get a copy.

EXHIBIT B: SAMPLE INVITATION TO PROVIDER & PARENT FOR SCHOOL PROVIDER FAIR

**(Email using Provider Distribution lists.)**

INVITATION TO PROVIDER TO SES FAIR

**[SCHOOL LETTERHEAD]**

Dear SES Providers,

Thank you for your interest in wanting to provide Supplemental Educational Services (SES) to our students.

We want to ensure that all eligible students take full advantage of SES and so our school is scheduling a Provider Fair on **[DATE, TIME, and LOCATION IN THE SCHOOL]** where you will have an opportunity to speak to parents and recruit students for your services.

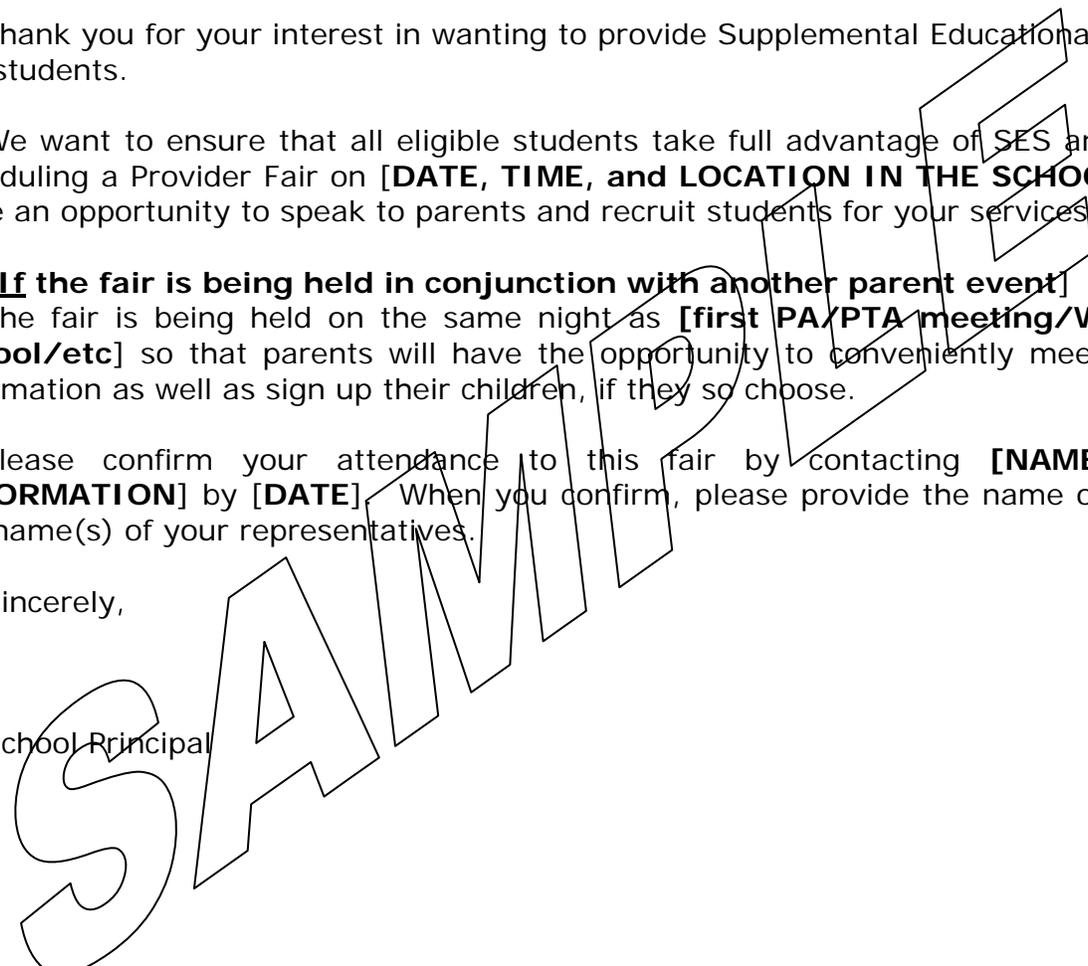
**[If the fair is being held in conjunction with another parent event]**

The fair is being held on the same night as **[first PA/PTA meeting/Welcome Back to School/etc]** so that parents will have the opportunity to conveniently meet with you, obtain information as well as sign up their children, if they so choose.

Please confirm your attendance to this fair by contacting **[NAME]** at **[CONTACT INFORMATION]** by **[DATE]**. When you confirm, please provide the name of your agency and the name(s) of your representatives.

Sincerely,

School Principal



## INVITATION TO PARENT TO SES FAIR

[SCHOOL LETTERHEAD]

Dear Parent or Guardian,

Help your child succeed in school – sign up for free tutoring!

We want to ensure that you take full advantage of SES for your child and so our school is scheduling a Provider Fair where you will have an opportunity to speak to SES providers and sign up your child for free tutoring services.

The fair will take place on [DATE, TIME, and LOCATION IN THE SCHOOL]

**[If the fair is being held in conjunction with another parent event]** The fair is being held on the same night as [first PA/PTA meeting/Welcome Back to School/etc] so that you will have the opportunity to conveniently meet with SES providers, obtain information as well as sign up your child, if you choose. Don't forget to bring your SES Information Package with you to the fair.

I want to encourage all parents of eligible students to attend and to get free academic help for their children.

If you have any questions, please contact [NAME].

Sincerely,

School Principal

**EXHIBIT C: ENGAGEMENT NOTICE**

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**[SCHOOL LETTERHEAD]**

[On school letter head]

**SES ENGAGEMENT NOTICE**

District/Borough/School:  
School:

Date Issued:  
**DATES OF SERVICE**  
FROM: TO:

School Address:  
School SES Liaison  
SES Provider:  
Contract #  
Vendor Contact:

Vendor #:

The Supplemental Education Service Provider (hereinafter, "Provider") shall provide Supplemental Educational Services in the aforementioned school in accordance with the aforementioned contract with the New York City Department of Education (hereinafter, "Department"). *The Principal shall work collaboratively with the SES Provider to ensure both the success of the students and the success of the SES program.*

Notwithstanding anything in the contract to the contrary, the Provider shall adhere to the following requirement:

- a. Provider shall not commence service on school grounds until Provider has: been issued an approved permit; submitted to the Principal proof that all staff providing service on school grounds have been fingerprinted; submitted to the Principal proof of the required liability and property insurance.
- b. The Provider shall limit its use of the Department space to the operation of the SES Program, in accordance with the permit and the terms of its agreement with the DOE.
- c. The Provider is authorized to use rooms specifically designated by the Principal for SES programs. No other room shall be used by the Provider without prior approval from the Principal. If necessary, the Provider shall request additional space from the Principal.
- d. The Provider shall comply with all Department and school procedures, regarding the use of Department space, including but not limited to the school safety plan, copies of which will be provided to the Provider by the Principal.
- e. The Provider may request school storage space to store SES program related materials. Allocation of storage space is subject to availability and may be revoked upon 5 days notice if said space is needed for use by the school. Provider shall not store any material on school grounds during the summer months and further agrees upon expiration of the contract or permit, the Provider shall immediately remove all materials from storage. Provider assumes all risk of loss due to theft, casualty or abandonment of any property stored in the space. Provider agrees to maintain property insurance for any property stored or used on school grounds. Provider releases the City of New York, the Department of Education and all employees, students and visitors from any liability for loss of said property. If provider does not wish to assume all risk of loss, Provider shall store all materials off site.
- f. The Provider shall provide all necessary materials, including materials to each student in the SES Program.

- g. Absent the prior written approval of the school principal, the Provider is not authorized to use school/classroom equipment or materials.
- h. The Provider shall ensure that the operation of its program does not interfere with, disrupt, or impede any other school programs in the school.
- i. The Provider shall ensure adequate staff to instruct and supervise all students in the SES Program.
- j. The Provider shall have a continuing obligation to ensure that only staff that has received fingerprint clearance and background check will be permitted in the school throughout the year.
- k. The Provider shall ensure that members of its staff comply with the Chancellor’s Regulation regarding the report of any and all alleged child abuse and School-related crimes and sexual molestation. The Provider shall inform the principal of any health and/or safety emergency immediately within twenty-four (24) hours of discovery.
- l. Provider agrees that the School may revoke the permit immediately if the Provider violates any provision of the contract or this engagement letter.
- m. Provider shall not enter into any other agreements with the Principal. Provider’s NCLB-SES agreement with the New York City Department of Education provides the general rules of engagement for this program.

SUPPLEMENTAL EDUCATION  
SERVICE PROVIDER

PRINCIPAL

\_\_\_\_\_  
Signature of Authorized Personnel

\_\_\_\_\_  
Signature of Principal

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**Copy of this notice is to be forwarded to the NCLB-SES Program Office at 65 Court Street Room 1803D, Brooklyn NY 11201, ATT: Cheryl Kaplan, SES Program Director**

**EXHIBIT D: DAILY STUDENT SIGN-IN TEMPLATE (Individual and At-Home)**

<b>NYC Department of Education</b>		<b>2011-2012 Supplemental Educational Services Student Sign-In Sheet (Individual)</b>			
<b>Student Details</b>					
Student ID	Student First Name		Student Last Name		Grade
<b>Session Details</b>					
Location of Instruction			Provider Name		Prov ID
Tutor Name			Program Service Name		Service ID
<b>Student &amp; Parent Certification</b>					
Date of Service	Start Time	Student Signature (Start Session)	Student Signature (End Session)	Student Signature (End Session)	Parent/Guardian Signature (only if tutoring conducted in home)
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
15.					
16.					
17.					
18.					
19.					
20.					
21.					
22.					
<b>Instructor &amp; Supervisor Certification</b>					
I hereby certify that I have provided supplemental educational services to the above named students on the date indicated herein. I understand that when completed and filed, this form becomes a record of the Department of Education and that any material misrepresentation may subject me to criminal, civil, and/or administrative action.					
<b>Instructor Name</b>			<b>Instructor Signature</b>		<b>Date</b>
<b>Supervisor Name</b>			<b>Supervisor Signature</b>		<b>Date</b>

## EXHIBIT D1: SAMPLE LETTER OF INTRODUCTION

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### **PROVIDER SHOULD ENSURE THAT THIS LETTER IS TRANSLATED FOR NON-ENGLISH SPEAKING PARENTS**

[PROVIDER LETTERHEAD]

[Parent Name]  
[Address]  
[Address 2]  
[City, State, Zip code]

RE: [Student Name, OSIS #]

Dear Parent/Guardian:

We are very pleased that you have selected [PROVIDER COMPANY NAME] to provide individual tutoring services in [content area] to your child for the 2011-12 academic year.

This letter introduces [TUTOR'S NAME] who has been assigned to work with [STUDENT'S NAME] in the privacy and convenience of your home [or name and address of location if not in the home]. Please be assured that Mr. /Ms. [TUTOR'S NAME] has security clearance to work with your child. As an added security measure, Mr. /Ms. TUTOR is required to show you his his/her photo ID badge and wear it while in your home.

In preparation to tutor your child, the tutor will first give your child a pre-test and work with you to develop your child's Student Education Plan. Be sure to sign the plan and get a copy. You and the tutor will also work together on a schedule that is convenient for you and your child and is appropriate for your child's age and grade. Each tutoring session should no longer than 3 hours however, for private sessions, the NYCDOE recommends they not exceed 2 hours at a time. Each child in your household enrolled with our program will receive a separate schedule and will be tutored separately.

The tutor will supply an attendance sheet that you will be asked to sign at the completion of each session. Please feel comfortable to ask any questions of the tutor at all times. If the tutoring sessions do not take place in your home, or if you do not agree with any information on the attendance sheet, you should not sign for those days and times.

The tutor is obligated to notify you when he/she will be late or is unable to come to your home. If you have any questions or concerns, please contact our office at [Phone #] for further assistance.

Please keep this letter for your records.

Thank you.

Sincerely,

**ON SITE**



2011-2012

**Supplemental Educational Services - Student Sign-In**

Session Details					
Date of Session	Location of Instruction	Provider Name			Prov ID
Attendance Group Name		Program Service Name	Serv ID	Session Start Time	Session End Time

Student Information					
Name of Student	Student ID	Start Time	Student Signature (Start of Session)	End Time	Student Signature (End of Session)
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

**Instructor & Supervisor Certification**

I hereby certify that I have provided supplemental educational services to the above named students on the date indicated herein. I understand that when completed and filed, this form becomes a record of the Department of Education and that any material misrepresentation may subject me to criminal, civil, and/or administrative action.

<b>Instructor Name</b>	<b>Instructor Signature</b>	<b>Date</b>
<b>Supervisor Name</b>	<b>Supervisor Signature</b>	<b>Date</b>

**EXHIBIT F: PROVIDER ASSURANCE FORM – STUDENT EDUCATION PLANS**



**NCLB/SES Implementation 2011-12  
SES Provider Assurance for Completion of SES Student Plans**

Pursuant to Section 1116(e) of the NCLB Act of 2001, parents whose children receive SES must be regularly informed of their child’s progress in a format and, to the extent practicable, in a language that such parents can understand. The SES Provider should make a concerted effort to have parents sign and return student progress reports. The Provider also needs to ensure that the Principal and the teachers are aware of student progress so that this information might inform regular classroom instruction. Please certify that Student Plans have been developed and distributed to parents and schools.

**Provider Program:**

**School (SSO/District/Number) or Service Site:**

Dates of service:	to	No. of students:
-------------------	----	------------------

I certify (as indicated by my signature below) that the following has been completed for each student enrolled and participating in our SES program at the service site indicated above in accordance with the No Child Left Behind (NCLB) requirements. I understand that I have an ongoing obligation to submit student plans to the NYCDOE for any new students enrolled at this site.

**SES Attendance/Progress Report (please check all that apply):**

- Copies given to parents
- Copies given to school
- Copies available/ maintained at the service site

Number of Attendance/Progress Reports not signed by parents at the time of this submission:

Please sign below and return with scanned copies of student plans on a CD or DVD (in Word, PDF or TIF format) along with an excel spreadsheet that includes (1) student ID and (2) student’s first and last name.

Authorized Provider Signature

Title/Position

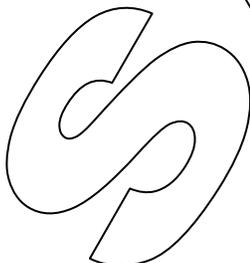
Print Name

Date

**Please be advised that payments will be withheld until all required documentation has been submitted to our satisfaction.**

**Please mail all Progress Reports and Assurances to:**

**NCLB/SES Implementation  
Division of Financial Operations  
NYC Department of Education  
65 Court Street, Room 1803D  
Brooklyn, NY 11201**

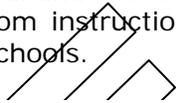


**EXHIBIT G: PROVIDER ASSURANCE FORM – ATTENDANCE PROGRESS REPORTS**



**NCLB/SES Implementation 2011-12  
SES Provider Assurance for Completion of  
SES Attendance/Progress Reports**

Pursuant to Section 1116(e) of the NCLB Act of 2001, parents whose children receive SES must be regularly informed of their child's progress in a format and, to the extent practicable, in a language that such parents can understand. The SES Provider should make a concerted effort to have parents sign and return student progress reports. The Provider also needs to ensure that the Principal and the teachers are aware of student progress so that this information might inform regular classroom instruction. Please certify that Progress Reports have been developed and distributed to parents and schools.



**Provider Program:**

**School (SSO/District/Number) or Service Site:**

<b>Dates of service:</b>	<b>No. of students:</b>
--------------------------	-------------------------

I certify (as indicated by my signature below) that the following has been completed for each student enrolled and participating in our SES program at the service site indicated above in accordance with the No Child Left Behind (NCLB) requirements. I understand that I have an ongoing obligation to submit student plans to the NYCDOE for any new students enrolled at this site.

SES Attendance/Progress Report (**please check all that apply**):

- Copies given to parents
- Copies given to school
- Copies available/ maintained at the service site

Number of Attendance/Progress Reports not signed by parents at the time of this submission:

Please sign below and return with scanned copies of student attendance/progress reports on a CD or DVD (in Word, PDF or TIF format) along with an excel spreadsheet that includes (1) student ID and (2) student's first and last name.

_____ Authorized Provider Signature	_____ Title/Position
_____ Print Name	_____ Date

**Please be advised that payments will be withheld until all required documentation has been submitted to our satisfaction.**

**Please mail all Progress Reports and Assurances to:**

**Office of NCLB/SES Implementation  
NYC Department of Education  
65 Court Street, Room 1803D  
Brooklyn, NY 11201**

**EXHIBIT H: END OF YEAR REPORT PART D**

**SUMMARY REPORT OF SUPPLEMENTAL EDUCATIONAL SERVICE PROVIDERS**

**PART D**

**Supplemental Service Provider Annual Report Authorization/Assurance Form  
(To be completed by SES Provider)**

The undersigned hereby certifies that I am an individual authorized to act on behalf of the supplemental educational services provider in submitting this written report required by the regulations of the Commissioner of Education (8 NYCRR § 120.4(f)(6)(xvi)). I certify that all of the information provided herein is true and accurate. I understand that if any of the information contained herein (including Part C) is found to be untrue, such finding may constitute grounds for termination of provider approval pursuant to the regulations of the Commissioner of Education (8 NYCRR § 120.4(e)).

**Assurances**

Please check the appropriate box. If you check "No" to any item please provide a written explanation.

YES No

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Provider has adequate insurance for liability, property loss and personal injury involving students.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Services were provided outside the regular school day.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Fingerprint requirements have been met.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Provider remains fiscally sound and able to fulfill all agreements to provide services.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Services were provided in locations accessible to individuals with disabilities.   |
| <input type="checkbox"/> | <input type="checkbox"/> | No additional admission criteria were imposed on eligible students.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Federal funds were not used for religious worship or instruction.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Provider complied with the district/charter school's contractual agreement that satisfies all of the requirements contained within the regulations of the Commissioner of Education. |

\_\_\_\_\_  
Typed Name of Organization

\_\_\_\_\_  
Printed Name of Authorized Representative

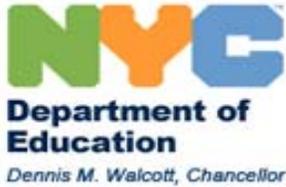
\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Typed Title

\_\_\_\_\_  
Date Signed

## EXHIBIT I: NOTIFICATION LETTER

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September 8, 2011

Dear Parent/Guardian,

As a result of the federal *No Child Left Behind Act*, your child may be eligible for after school help in the areas of math, reading, and English Language Arts. Your child is eligible to receive this free tutoring, called Supplemental Educational Services (SES), if he or she attends a Title I school that is “in need of improvement,” and if he or she is eligible for free or reduced price lunch.

More than 70 state-approved SES organizations are contracted with the Department of Education to offer free programs after school and on weekends in schools, community centers, neighborhood locations and homes, as well as through the Internet.

This parent guide explains how SES works and what you, as a parent or guardian, should do to access these free services. The guide contains a directory of state-approved SES providers, an SES enrollment form, a calendar of important dates and instructions on selecting a provider and completing the enrollment form. In addition, your child’s school has information about the providers offering services in the school building. Of course, you may choose a program offered at other non-school locations too. Just remember that your child can only be enrolled in one SES program per school year.

When deciding which tutoring program is best for your child, please consider your child’s specific learning needs. You may want to consult with your child’s teacher or school for help in making the choice.

Lastly, your school may hold a provider fair so you can talk directly to the providers and decide which program is best for your child. Please visit the No Child Left Behind/Supplemental Educational Services website at <http://schools.nyc.gov/RulesPolicies/NCLB/SES/default.htm> or contact your child’s school if you have any questions about these free tutoring services.

Sincerely,

A handwritten signature in black ink that reads 'Dennis M. Walcott'.

Dennis M. Walcott  
Chancellor

**EXHIBIT J: SAMPLE VENDOR WEB INQUIRY SYSTEM ACCESS REQUEST**

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**VENDOR WEB INQUIRY SYSTEM  
ACCESS REQUEST**

PLEASE COMPLETE THE INFORMATION BELOW AND SUBMIT WITH THE APPROPRIATE CHECK.

Company Name: \_\_\_\_\_

Federal Tax ID No.: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Contact Person

Please Print Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

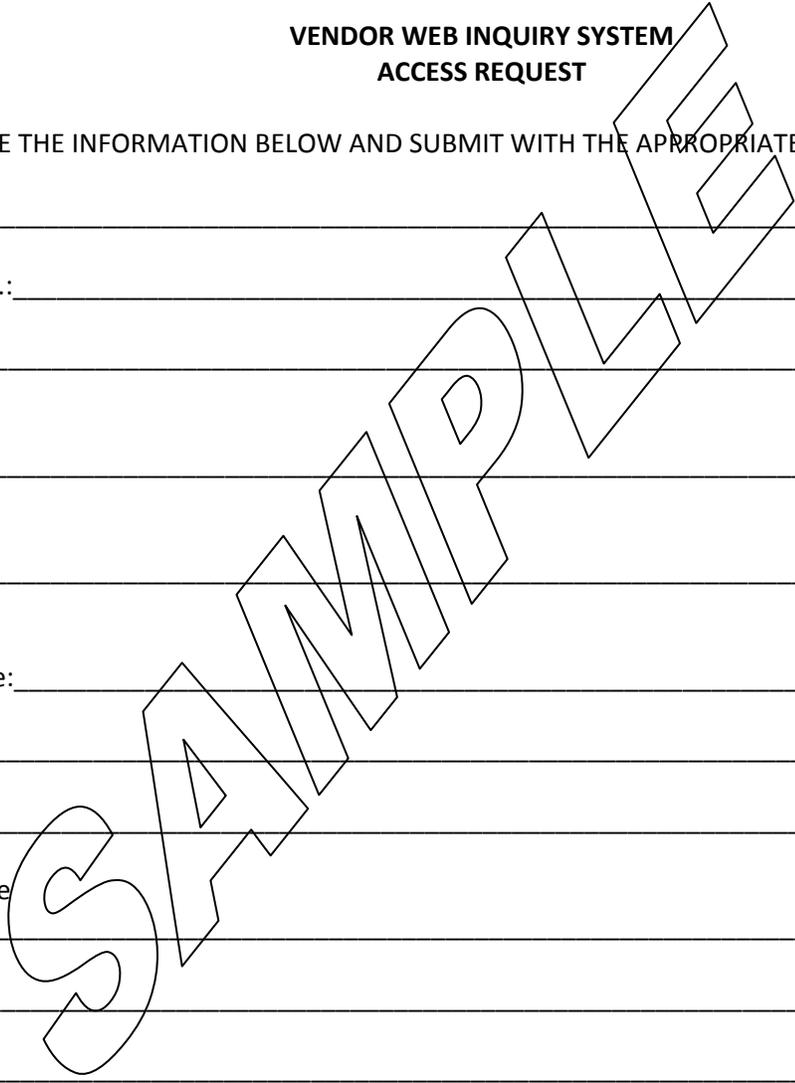
E-Mail Address: \_\_\_\_\_

Authorizer's Name

Please Print: \_\_\_\_\_

Please Sign: \_\_\_\_\_

Phone Number: \_\_\_\_\_



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Submit to:  
**NYC Department of Education  
Office of Accounts Payable  
65 Court Street, Room 1502  
Brooklyn, NY 11201  
Attn: Donald Russ**



# Supplemental Educational Services Free Tutoring

Your child may qualify for **FREE** extra help in reading or math.

**Supplemental Educational Services (or SES)**,  
is offered before or after school or on weekends in small groups,  
one-on-one or on-line.

To find out if your child is eligible for free tutoring, contact your child's  
Principal, Guidance Counselor or Parent Coordinator.

To learn more about the program, visit the website at:  
<http://schools.nyc.gov/RulesPolicies/NCLB/SES/>

Supplemental  
Educational  
Services

**NYC** Department of  
Education  
Dennis M. Walcott, Chancellor

**EXHIBIT L: SAMPLE LETTER TO PARENTS REGARDING PROVIDERS IN SCHOOL BUILDINGS**

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[SCHOOL LETTERHEAD]

Dear Parent or Guardian:

I am writing to you because you are a parent or guardian of a (SCHOOL) student eligible for Supplemental Educational Services (SES). I want to strongly encourage you to review the materials sent home with your child about this program and to take full advantage of the free academic help offered by the providers listed in the directory. SES providers offer their services in many locations, including schools, libraries, community centers, faith-based sites as well at home and over the internet.

The following providers will be located in this school building:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Please remember that you may select any approved provider listed in the directory and you are not obligated to select any of the providers that are located in this school. If you have more than one eligible child in this school, you are not required to select the same provider.

Your choice of provider should be based on meeting the instructional needs of each of your children. I hope that you take full advantage of this free tutoring opportunity for your child. If you have any questions, please see [indicate school staff].

Sincerely,

Principal

## COMMONLY USED ACRONYMS

### Acronyms

ATS	Automate The Schools
AYP	Adequate Yearly Progress
BOY	Beginning of Year
COB	Close of Business
COIB	Conflicts of Interest Board
DBN	District, Borough, Number
DCP	Division of Contracts & Purchasing
DFO	Division of Financial Operations
DIIT	Division of Instructional & Information Technology
DOE	Department Of Education
EOY	End of Year
FAQ	Frequently Asked Questions
IEP	Individualized Education Plan
CFN	Integrated Service Center
LEA	Local Education Agency
NCLB	No Child Left Behind
NYCDOE	New York City Department of Education
NYSIED	New York State Education Department
OFEA	Office of Family Engagement and Advocacy
OSI	Office of Special Investigation
OSIS	Office of Student Information Systems
PETS	Personnel Eligibility Tracking System
SEA	State Education Agency
SED	State Education Department
SEP	Student Education Plan
SES	Supplemental Educational Services
SIS	Student Information System
SSO	School Support Organizations
USDOE	United States Department of Education
UMS	Universal Meal Sites

