

DRAFT
Revised State Template for the
Consolidated State Plan
The Elementary and Secondary Education Act of 1965, as
amended by the Every Student Succeeds Act



U.S. Department of Education
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Introduction

Section 8302 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA),¹ requires the Secretary to establish procedures and criteria under which, after consultation with the Governor, a State educational agency (SEA) may submit a consolidated State plan designed to simplify the application requirements and reduce burden for SEAs. ESEA section 8302 also requires the Secretary to establish the descriptions, information, assurances, and other material required to be included in a consolidated State plan. Even though an SEA submits only the required information in its consolidated State plan, an SEA must still meet all ESEA requirements for each included program. In its consolidated State plan, each SEA may, but is not required to, include supplemental information, such as its overall vision for improving outcomes for all students and its efforts to consult with and engage stakeholders when developing its consolidated State plan.

Completing and Submitting a Consolidated State Plan

Each SEA must address all of the requirements identified below for the programs that it chooses to include in its consolidated State plan. An SEA must use this template or a format that includes the required elements and that the State has developed working with the Council of Chief State School Officers (CCSSO).

Each SEA must submit to the U.S. Department of Education (Department) its consolidated State plan by one of the following two deadlines of the SEA's choice:

- **April 3, 2017;** or
- **September 18, 2017.**

Any plan that is received after April 3, but on or before September 18, 2017, will be considered to be submitted on September 18, 2017. In order to ensure transparency consistent with ESEA section 1111(a)(5), the Department intends to post each State plan on the Department's website.

Alternative Template

If an SEA does not use this template, it must:

- 1) Include the information on the Cover Sheet;
- 2) Include a table of contents or guide that clearly indicates where the SEA has addressed each requirement in its consolidated State plan;
- 3) Indicate that the SEA worked through CCSSO in developing its own template; and
- 4) Include the required information regarding equitable access to, and participation in, the programs included in its consolidated State plan as required by section 427 of the General Education Provisions Act. See Appendix B.

Individual Program State Plan

An SEA may submit an individual program State plan that meets all applicable statutory and regulatory requirements for any program that it chooses not to include in a consolidated State plan.

¹ Unless otherwise indicated, citations to the ESEA refer to the ESEA, as amended by the ESSA.

If an SEA intends to submit an individual program plan for any program, the SEA must submit the individual program plan by one of the dates above, in concert with its consolidated State plan, if applicable.

Consultation

Under ESEA section 8540, each SEA must consult in a timely and meaningful manner with the Governor, or appropriate officials from the Governor's office, including during the development and prior to submission of its consolidated State plan to the Department. A Governor shall have 30 days prior to the SEA submitting the consolidated State plan to the Secretary to sign the consolidated State plan. If the Governor has not signed the plan within 30 days of delivery by the SEA, the SEA shall submit the plan to the Department without such signature.

Assurances

In order to receive fiscal year (FY) 2017 ESEA funds on July 1, 2017, for the programs that may be included in a consolidated State plan, and consistent with ESEA section 8302, each SEA must also submit a comprehensive set of assurances to the Department at a date and time established by the Secretary. In the near future, the Department will publish an information collection request that details these assurances.

For Further Information: If you have any questions, please contact your Program Officer at [OSS.\[State\]@ed.gov](mailto:OSS.[State]@ed.gov) (e.g., OSS.Alabama@ed.gov).

Cover Page

Contact Information and Signatures	
SEA Contact (Name and Position):	Telephone:
Mailing Address:	Email Address:
<p>By signing this document, I assure that: To the best of my knowledge and belief, all information and data included in this plan are true and correct. The SEA will submit a comprehensive set of assurances at a date and time established by the Secretary, including the assurances in ESEA section 8304. Consistent with ESEA section 8302(b)(3), the SEA will meet the requirements of ESEA sections 1117 and 8501 regarding the participation of private school children and teachers.</p>	
Authorized SEA Representative (Printed Name)	Telephone:
Signature of Authorized SEA Representative	Date:
Governor (Printed Name)	Date SEA provided plan to the Governor under ESEA section 8540:
Signature of Governor	Date:

Programs Included in the Consolidated State Plan

Instructions: Indicate below by checking the appropriate box(es) which programs the SEA included in its consolidated State plan. If an SEA elected not to include one or more of the programs below in its consolidated State plan, but is eligible and wishes to receive funds under the program(s), it must submit individual program plans for those programs that meet all statutory and regulatory requirements with its consolidated State plan in a single submission.

Check this box if the SEA has included all of the following programs in its consolidated State plan.

or

If all programs are not included, check each program listed below that the SEA includes in its consolidated State plan:

- Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies
- Title I, Part C: Education of Migratory Children
- Title I, Part D: Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk
- Title II, Part A: Supporting Effective Instruction
- Title III, Part A: English Language Acquisition, Language Enhancement, and Academic Achievement
- Title IV, Part A: Student Support and Academic Enrichment Grants
- Title IV, Part B: 21st Century Community Learning Centers
- Title V, Part B, Subpart 2: Rural and Low-Income School Program
- Title VII, Subpart B of the McKinney-Vento Homeless Assistance Act: Education for Homeless Children and Youth Program (McKinney-Vento Act)

Instructions

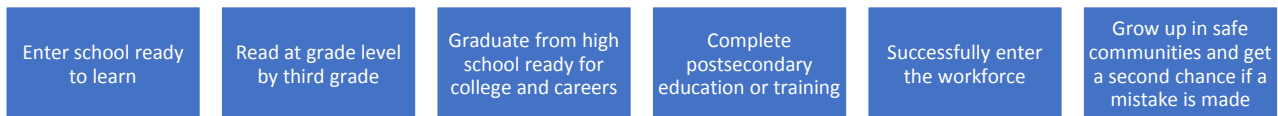
Each SEA must provide descriptions and other information that address each requirement listed below for the programs included in its consolidated State plan. Consistent with ESEA section 8302, the Secretary has determined that the following requirements are absolutely necessary for consideration of a consolidated State plan. An SEA may add descriptions or other information, but may not omit any of the required descriptions or information for each included program.

The mission of the New York State Board of Regents is to ensure that every child has equitable access to the highest quality educational opportunities, services, and supports in schools that provide effective instruction aligned to the state’s standards, as well as positive learning environments so that each child is prepared for success in college, career, and citizenship.

To that end, the Regents and Department of Education seek to address the following goals in this ESSA plan:

- Provide students access to a world-class curriculum aligned to state standards.
- Focus on reducing persistent achievement gaps by promoting the equitable allocation of resources in all public schools and the provision of supports for all students.
- Support educator excellence and equity through the entire continuum of recruitment, preparation, induction, professional learning, evaluation, and career development of teachers and school leaders.
- Build an accountability system that is based upon multiple measures aligned to measures of college, career, and civic readiness.
- Use performance measures that incentivize all public schools to move all students to higher levels of achievement and attainment, and measure student growth from year-to-year.
- Identify low-performing schools by using multiple measures, assist in identifying the root causes of low performance, support school improvement by using a differentiated and flexible support system based upon the individual needs of each school, and ensure that districts are held accountable for the implementation of school improvement plans.
- Recognize the effect of school environment on student academic performance and support efforts to improve the climates of all schools.
- Ensure that all students have access to support for their social-emotional well-being.
- Support student access to extra-curricular opportunities to serve their school and their communities, to participate in community-based internships, and to engage in sports and arts.
- Promote a relationship of trust, cultural responsiveness, and respect between schools and families, recognizing that student achievement and school improvement are shared responsibilities.

The above goals are aligned with those recently articulated by the Board of Regents as part of the My Brother’s Keeper Initiative² that include ensuring that all students:



² New York State, My Brother’s Keeper Initiative, <http://www.nysed.gov/mbk/schools/my-brothers-keeper>.

The Board of Regents is committed to using its ESSA plan and the My Brother's Keeper initiative to mutually support the development and adoption of policies and educational programs that promote the values of socioeconomic, racial, cultural, and other kinds of diversity.

The Board of Regents is also committed to using its ESSA plan to increase equity of outcomes in New York State's schools. Among a wide variety of ways in which New York State envisions that its ESSA plan will promote educational equity, we highlight the following dozen:

1. Publish annually the per-pupil expenditures for each Local Education Agency (LEA) and school in the State to highlight instances where resources must be reallocated to better support those students with the greatest needs.
2. Publish annually a report examining equitable access to effective teachers per district and facilitate the ability of districts to address inequities through strengthening mentoring/induction programs, targeting professional development, or improving career ladders.
3. Use the Needs Assessment process to identify inequities in resources available to schools and require districts to address these inequities in their improvement plans.
4. Reduce inequities in allocation of resources to schools by districts by establishing an annual cycle of resource allocation reviews in districts with large numbers of identified schools.
5. Direct additional support and assistance to low-performing schools, based on school results and the degree to which they are improving.
6. Focus on fairness and inclusion of all New York State students in State assessments through the involvement of educators and the application of Universal Design for Learning concepts in test development.
7. Leverage the creation of P-20 partnerships that explicitly recognize the importance of institutions of higher education and other preparatory programs to improve the quality and diversity of the educator workforce.
8. Require that any teacher transferring from another school in the district to a Comprehensive Support and Improvement school must have been rated as Effective or Highly Effective in the most recent evaluation year.
9. Use Title I School Improvement Funds to support the efforts of districts to increase diversity and reduce socio-economic and racial/ethnic diversity in schools.
10. Develop state and local policies and procedures to ensure that homeless youth are provided the same access to appropriate educational supports, services, and opportunities as their peers.
11. Create uniform transition plans for students exiting neglected or delinquent facilities and require school districts to appoint a transition liaison to ensure the students' successful return to school.
12. Explicitly design the State accountability system to require schools and districts to reduce gaps in performance among subgroups, and incentivize districts to provide opportunities for advanced coursework to all high school students, to continue to support students who need more than four years to meet graduation requirements, and to work with students who have left school so that they can earn a high school equivalency diploma.

Together, these twin sets of goals reflect the State’s commitment to improving student learning results by creating well-developed systems of support for achieving dramatic gains in student outcomes. New York State posits that these goals can be achieved

IF ...

1. New York identifies the characteristics of highly effective schools (See: <http://www.p12.nysed.gov/accountability/essa.html>)
2. Schools, districts, and the state collaborate to determine the degree to which each school demonstrates the characteristics of highly effective schools
3. Schools, districts, and the state collaborate to develop plans to address gaps between the current conditions in schools and the characteristics of highly effective schools
4. Schools and districts are provided with resources, including human capital, to implement these plans
5. These resources are used to effectively implement plans that are assessed regularly and revised as appropriate
6. Additional supports and interventions occur when schools and districts that are low-performing do not improve

... THEN ...

Substantial improvement in teaching and learning will occur

... AND

New York will eliminate gaps in achievement

Initial stakeholder engagement

For the past year, NYSED has intentionally and meaningfully coordinated and engaged diverse groups of stakeholders to solicit a range of thoughts, opinions, and recommendations on how to craft an ESSA plan that best meets the needs of the state’s students, schools, and communities. In these efforts, NYSED:

- Established an **ESSA Think Tank** with representatives from over 100 organizations, including district leaders, teachers, parents, community members, and students. The Think Tank met at least monthly since June 2016 to assist the Department with development of New York State’s ESSA state plan.
- Engaged in **extensive research** to understand the law and the opportunities that it provides, including, but not limited to, meetings with:
 - U.S. Department of Education
 - Brustein & Manasevit – a law firm recognized for its federal education regulatory and legislative practice

- Council of Chief State School Officers (CCSSO), which has provided access to many national experts, including: Brian Gong (National Center for the Improvement of Educational Assessment), Kenji Hakuta (Stanford University), Dr. Pete Goldschmidt (California State University, Northridge), Delia Pompa (Migration Policy Institute), Gene Wilhoit (National Center for Innovation in Education), and Susie Saavedra (National Urban League)
- **Consulted with national education experts** regarding ESSA, including Linda Darling-Hammond (Learning Policy Institute), Scott F. Marion (National Center for the Improvement of Educational Assessment), and Michael Cohen (Achieve).
- Met more than ten times with the **Title I Committee of Practitioners**, a group of teachers, school and district leaders, school board members, parents, and representatives of other educational stakeholders charged with consulting with the Department on issues pertaining to Title I, to discuss ESSA.
- Posted an **online survey** to gather stakeholders’ preferences on potential indicators of school quality and student success, which received over 2,400 responses.
- Held more than **120 fall and winter regional in-person meetings** across the state in coordination with the state’s 37 Boards of Cooperative Educational Services (BOCES) and the superintendents of the state’s five largest City School Districts, which were attended by more than 4,000 students, parents, teachers, school and district leaders, school board members, and other stakeholders.
- Opened an **online survey** to solicit additional individual feedback from meeting participants.

A. Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies (LEAs)

1. **Challenging State Academic Standards and Assessments (ESEA section 1111(b)(1) and (2) and 34 CFR §§ 200.1–200.8.)³**
2. **Eighth Grade Math Exception (ESEA section 1111(b)(2)(C) and 34 CFR § 200.5(b)(4)):**
 - i. **Does the State administer an end-of-course mathematics assessment to meet the requirements under section 1111(b)(2)(B)(v)(I)(bb) of the ESEA?**
 - Yes**
 - No**
 - ii. **If a State responds “yes” to question 2(i), does the State wish to exempt an eighth-grade student who takes the high school mathematics course associated with the end-of-course assessment from the mathematics**

³ The Secretary anticipates collecting relevant information consistent with the assessment peer review process in 34 CFR § 200.2(d). An SEA need not submit any information regarding challenging State academic standards and assessments at this time.

assessment typically administered in eighth grade under section 1111(b)(2)(B)(v)(I)(aa) of the ESEA and ensure that:

- a. The student instead takes the end-of-course mathematics assessment the State administers to high school students under section 1111(b)(2)(B)(v)(I)(bb) of the ESEA;**
- b. The student’s performance on the high school assessment is used in the year in which the student takes the assessment for purposes of measuring academic achievement under section 1111(c)(4)(B)(i) of the ESEA and participation in assessments under section 1111(c)(4)(E) of the ESEA;**
- c. In high school:**
 - 1. The student takes a State-administered end-of-course assessment or nationally recognized high school academic assessment as defined in 34 CFR § 200.3(d) in mathematics that is more advanced than the assessment the State administers under section 1111(b)(2)(B)(v)(I)(bb) of the ESEA;**
 - 2. The State provides for appropriate accommodations consistent with 34 CFR § 200.6(b) and (f); and**
 - 3. The student’s performance on the more advanced mathematics assessment is used for purposes of measuring academic achievement under section 1111(c)(4)(B)(i) of the ESEA and participation in assessments under section 1111(c)(4)(E) of the ESEA.**

Yes

No

- iii. If a State responds “yes” to question 2(ii), consistent with 34 CFR § 200.5(b)(4), describe, with regard to this exception, its strategies to provide all students in the State the opportunity to be prepared for and to take advanced mathematics coursework in middle school.**

New York State currently provides this opportunity to all public school students enrolled in eighth grade as specified in Commissioner’s Regulations 100.4 (d), which states that “public school students in grade 8 shall have the opportunity to take high school courses in mathematics.” The regulation specifies multiple methods by which schools may provide this opportunity to their students, including allowing students to enroll in either “a course in the middle, junior high or intermediate school that has been approved for high school credit” or a course “in a high school with high school students.” The regulation also grants superintendents the authority to “determine whether a student has demonstrated readiness in [mathematics] to begin high school courses in the eighth grade leading to a diploma.”

When a student in middle school takes an advanced mathematics exam (i.e., a Regents examination in mathematics) in lieu of grade-level math assessment, the results from that exam are attributed for accountability purposes to the school in which the student is enrolled (e.g., Algebra 1

exam taken in eighth grade is credited in the student's middle school Math Performance Index), even if the student attended a high school course to prepare for this assessment. This exam may not be credited to the student's high school once it has been credited to the student's middle school. A student who completes an advanced mathematics exam in middle school must take a further advanced mathematics exam in high school in order for that student's assessment outcome to be credited on the Math Performance Index for that student's high school (otherwise, the student will be assigned the lowest performance level in the high school's Performance Index as a non-tested student).

Through the State's previously approved Elementary and Secondary Education Act (ESEA) Flexibility Waiver, New York State also has provided this opportunity to seventh-grade students. Seventh-grade students undergo the same local evaluation as their eighth-grade peers to determine their readiness to begin the high school mathematics courses. We are confident that this method of local determination for advanced math course offerings and assignment of students is successful, based on student data. In the 2014-15 and 2015-16 school years, more than 95% of seventh- and eighth-grade students who took a high school mathematics assessment in lieu of the Grade 7 or 8 math test scored proficient.

NYSED is submitting a waiver request under section 8401 of the ESEA to seek permission from USDE to continue to exempt seventh-grade students who take high school mathematics courses from the mathematics assessment typically administered in seventh grade, provided that the student instead takes the end-of-course mathematics assessment associated with the high school courses in which the students are enrolled, and that the students' performance on those high school assessments will be used for measuring academic achievement and participation toward accountability for the schools in which the students are enrolled. Students who receive this exemption will take an end-of-course assessment in high school that is more advanced than the assessment taken in seventh-grade (and that is more advanced than the assessment taken in eighth-grade, as applicable).

New York State provides a comprehensive set of accommodations to ensure that Students with Disabilities and/or English Language Learners will have an equitable opportunity to participate in advanced mathematics exams. New York State's testing accommodations for students with disabilities are provided in six major categories: Flexibility in Scheduling/Timing, Flexibility in Setting, Method of Presentation, Method of Response, Other Accommodations, and Accommodations for Physical Education Assessments. Individualized Educational Program (IEP) team members and school administrators are provided extensive guidance on the proper selection of specific accommodations within these categories and the application of accommodations in test administration. Specific testing accommodations are made available for all English Language Learners/Multilingual Learners (ELL/MLLs) and applied by the determination of school administrators, in accordance guidance provided by the NYSED. To further accommodate students with disabilities, NYSED is considering submission of a waiver that would allow schools to administer below-grade level assessments to students with disabilities in the event that such

assessments are consistent with those students' level of instruction and to use these measurements towards accountability.

3. Native Language Assessments (ESEA section 1111(b)(2)(F) and 34 CFR § 200.6(f)(2)(ii)) and (f)(4):

i. Provide its definition for “languages other than English that are present to a significant extent in the participating student population,” and identify the specific languages that meet that definition.

Of the approximately 2.6 million public school students in New York State, 8.8% are English Language Learners/Multilingual Learners (ELLs/MLLs), representing over 245,000 ELLs/MLLs statewide. NYSED is committed to ensuring that all New York State students, including ELLs/MLLs, attain the highest level of academic success and language proficiency. New York State identifies “languages other than English that are present to a significant extent in the participating student population” as those spoken by 5% or more of New York State’s ELLs/MLLs. Currently, these languages are Spanish (64.9%) and Chinese (9.5%), which, together, constitute about three-fourths (74.4%) of all the State’s ELLs/MLLs.

In addition, some Local Education Agencies (LEAs) have significant concentrations of ELLs/MLLs speaking other native/home languages that do not meet the 5% statewide population threshold identified above. For example, 12.3% of Buffalo’s ELLs/MLLs speak Karen, and 12.3% of Rochester’s ELLs/MLLs speak Nepali. In order to ensure accessibility of educational materials for parents and guardians of ELLs/MLLs whose native/home language groups constitute less than 5% of the state’s total ELL/MLL population, but which nonetheless have large and concentrated presences in particular LEAs, New York State seeks to make materials for parents and guardians of ELLs/MLLs accessible in each of the top 10 languages spoken by our State’s ELLs/MLLs. As of 2016-17, these languages are Spanish, Chinese, Arabic, Bengali, Russian, Urdu, Haitian-Creole, French, Karen, and Nepali.

ii. Identify any existing assessments in languages other than English, and specify for which grades and content areas those assessments are available.

New York State currently translates Grades 3-8 Math assessments and Regents Examinations into five languages (Chinese [Traditional], Haitian-Creole, Korean, Russian, and Spanish), and Elementary- and Intermediate-level Science assessments into three languages (Chinese [Traditional], Haitian-Creole, and Spanish). These languages were chosen based on an earlier report commissioned by the New York State Board of Regents identifying after English, Chinese, Haitian-Creole, Korean, Russian, and Spanish as the most commonly reported native/home languages of New York State students, and which, collectively, were the native/home languages of 85% of ELLs/MLLs at that time.

For a number of years, the Department has sought funding from the New York State legislature to expand translations of content-area assessments into additional languages, based on demographic changes within the State’s population. Specifically, the Department is seeking funding from the State legislature to translate all of the above exams into eight languages: Chinese (Traditional), Chinese (Simplified), Haitian-Creole, Korean, Russian, Spanish, Arabic, and Bengali. Currently, 4.9% of New York State’s ELLs/MLLs speak Arabic as a native/home language, and 3% of New York State’s ELLs/MLLs speak Bengali as a native/home language. While content assessments are already translated into Chinese (Traditional), the Department has proposed to add Chinese (Simplified) to expand access for Chinese speakers more familiar with Simplified Chinese characters. The Department’s eventual goal is to translate these assessments into all of the top 10 languages spoken by our State’s ELLs/MLLs.

Additionally, the Department is seeking funding from the New York State legislature to develop Native Language Arts/Home Language Arts (NLA/HLA) exams for Grades 3-8 and for high school. Spanish is the first language in which an NLA/HLA assessment will be developed. Currently, 64.9% of New York’s ELLs/MLLs speak Spanish as a native/home language. Finally, the Department is seeking funding from the New York State legislature to develop four Languages Other Than English (LOTE)/World Languages academic assessments, in Spanish, French, Italian, and Chinese.

iii. Indicate the languages identified in question 3(i) for which yearly student academic assessments are not available and are needed.

The Department is seeking funding from the New York State legislature to expand translation of yearly Math and Science assessments into the following eight languages: Chinese (Traditional), Chinese (Simplified), Haitian-Creole, Korean, Russian, Spanish, Arabic, and Bengali. New York State continues to make every effort to increase the number of languages in which its assessments are available.

iv. Describe how it will make every effort to develop assessments, at a minimum, in languages other than English that are present to a significant extent in the participating student population including by providing

- a. The State’s plan and timeline for developing such assessments, including a description of how it met the requirements of 34 CFR § 200.6(f)(4);**
- b. A description of the process the State used to gather meaningful input on the need for assessments in languages other than English, collect and respond to public comment, and consult with educators; parents and families of English learners; students, as appropriate; and other stakeholders; and**
- c. As applicable, an explanation of the reasons the State has not been able to complete the development of such assessments despite making every effort.**

The Department continues to seek funding from the New York State legislature to translate its Math and Science content assessments into the following eight languages: Chinese (Traditional), Chinese (Simplified), Haitian-Creole, Korean, Russian, Spanish, Arabic, and Bengali. Additionally, the Department is also seeking funding from the New York State legislature to develop Native Language Arts/Home Language Arts (NLA/HLA) exams for Grades 3-8 and for high school. Spanish is the first language in which an NLA/HLA assessment will be developed. Finally, the Department is seeking funding from the New York State legislature to develop four Languages Other Than English (LOTE)/World Languages academic assessments, in Spanish, French, Italian, and Chinese. Once funding is secured to translate the content assessments identified above, translations occur through translation subcontractors who are familiar with this process:

- For the 3-8 State assessments, a back-translation is performed by a separate vendor for validation purposes.
- For Regents exams, an exam editor who is familiar with the test reviews the translated versions of the test for completeness.

For the development of the NLA/HLA and LOTE/World Languages assessments, the Department will:

- Identify and contract with a test development vendor for each assessment via a Request for Proposal (RFP).
- The vendor will work with the Department to develop test specifications by grade level (3, 4, 5, 6,7, 8 and one at the High School level), as well as computer-based testing and scoring platforms.
- The vendor will work on item development (passages, graphics, items, rubrics, scoring, etc.).
- The Department will coordinate with the vendor to hire educators to review content and test items, as well as to conduct field testing (including printing, shipping, and scoring).
- Incorporating the results of the above, the vendor will develop online sample tests, and finally conduct operational testing (including printing, shipping, and scoring).

New York State gathers input regularly regarding native/home language assessment needs from key stakeholders regarding its educational policies affecting ELLs/MLLs. Some of these stakeholders include two ELL/MLL Leadership Councils (consisting respectively of senior leaders and ELL/MLL directors from Local Educational Agencies (LEAs) with high concentrations of ELLs/MLLs and those with lower concentrations of ELLs/MLLs), eight Regional Bilingual Education Resource Networks (RBERNs) funded by New York State (including the Language RBERN at the New York City Metropolitan Center for Urban Education, which focuses specifically on interpretation and translation-related issues), as well as advocates and civil rights organizations throughout the State who represent and advocate for ELLs/MLLs and their families.

If State funding is secured for these assessments in fiscal year 2018, the Department anticipates the first operational assessments will be administered in the 2020-21 school year.

4. Statewide Accountability System and School Support and Improvement Activities (ESEA section 1111(c) and (d)):

i. Subgroups (ESEA section 1111(c)(2)):

a. List each major racial and ethnic group the State includes as a subgroup of students, consistent with ESEA section 1111(c)(2)(B).

New York State includes American Indian or Alaska Native, Black or African American, Hispanic or Latino, Asian or Native Hawaiian/Other Pacific Islander, White, and Multiracial.

b. If applicable, describe any additional subgroups of students other than the statutorily required subgroups (*i.e.*, economically disadvantaged students, students from major racial and ethnic groups, children with disabilities, and English learners) used in the Statewide accountability system.

New York State includes no additional subgroups beyond economically disadvantaged students, students from major racial and ethnic groups, children with disabilities, and English learners in its statewide accountability system.

c. Does the State intend to include in the English learner subgroup the results of students previously identified as English learners on the State assessments required under ESEA section 1111(b)(2)(B)(v)(I) for purposes of State accountability (ESEA section 1111(b)(3)(B))? Note that a student’s results may be included in the English learner subgroup for not more than four years after the student ceases to be identified as an English learner.

Yes

No

d. If applicable, choose one of the following options for recently arrived English learners in the State:

Applying the exception under ESEA section 1111(b)(3)(A)(i); or

Applying the exception under ESEA section 1111(b)(3)(A)(ii); or

Applying the exception under ESEA section 1111(b)(3)(A)(i) or under ESEA section 1111(b)(3)(A)(ii). If this option is selected, describe how the State will choose which exception applies to a recently arrived English learner.

New York State defines “recently arrived ELLs/MLLs” as ELLs/MLLs within 12 months of entry into United States schools. The Department will apply the exception under ESEA section 1111(b)(3)(A)(i) to exempt recently arrived ELLs/MLLs from its State language arts

accountability assessment for one year. Pursuant to this exception, recently arrived ELLs/MLLs will not take New York State’s English Language Arts (ELA) assessment during the first year of enrollment. In their second year of enrollment, ELLs/MLLs will take New York State’s ELA assessment to set a baseline for growth, but not to measure achievement, for accountability purposes. In their third year of enrollment and thereafter, ELLs/MLLs will take New York State’s ELA assessment to measure both growth and achievement for accountability purposes.

ii. Minimum N-Size (ESEA section 1111(c)(3)(A)):

a. Provide the minimum number of students that the State determines are necessary to be included to carry out the requirements of any provisions under Title I, Part A of the ESEA that require disaggregation of information by each subgroup of students for accountability purposes.

New York State plans to continue to use an n-size of 40 for determining participation rate and 30 for measuring performance.

b. Describe how the minimum number of students is statistically sound.

New York State plans to use an n-size of 40 for participation rate in order to ensure that the non-participation of two students does not result in a group of students failing to meet the 95% assessment participation rate requirement.

New York State plans to use an n-size of 30 for performance to ensure maximum subgroup visibility without compromising data reliability. The Institute of Educational Sciences (<https://nces.ed.gov/pubs2017/2017147.pdf>) indicates that, from a population perspective, an n-size in the 30 range is acceptable.

c. Describe how the minimum number of students was determined by the State, including how the State collaborated with teachers, principals, other school leaders, parents, and other stakeholders when determining such minimum number.

New York State analyzed the effect of the use of n-sizes from 10 to 40 in order to determine which size would enable New York State to most effectively support the efforts of schools to close achievement gaps. N-sizes lower than 30 did not lead to the inclusion of significantly more students and schools in the accountability system to warrant lowering the reliability of the resulting decisions.

Stakeholders representing parents, teachers, principals, librarians, students with special needs, and other representative groups generally agreed on the use of an n-size of 40 for participation rate calculations, given the potential for any lower n-size to result in a failure to test 95% of students in a group with the non-participation of two students.

Stakeholders offered additional recommendations that New York State considered before moving forward with the proposal in the plan outlined above. Those recommendations included using a set percentage of the population rather than a set number; lowering the n-size to as low as 10 to allow

for greater subgroup accountability; developing an n-size based on population size, margin of error, confidence interval, and standard deviation; and maintaining the current use of 30. It was determined that using a set percentage of the population rather than a set number would result in different n-sizes for different groups, which is not in compliance with the law. Lowering the n-size to less than 30 did not lead to the inclusion of significantly more students and schools in the accountability system to warrant lowering the reliability of the resulting decisions. Thirty was chosen based on statistical analyses, as requested by the majority of stakeholders.

d. Describe how the State ensures that the minimum number is sufficient to not reveal any personally identifiable information.⁴

New York State does not report outcomes for students in groups whose n-size is under the designated threshold, in order to ensure that personally identifiable information is not revealed.

For annual reporting, New York State does not report the performance results for subgroups with fewer than five tested students. New York State reports data for subgroups within “categories.” For example, American Indian/Alaska Native, Asian/Pacific Islander, Black, Hispanic, White, and Multiracial “subgroups” constitute the racial/ethnic groups “category.” The categories for annual reporting are racial/ethnic groups, disability status, English language learner status, economically disadvantaged status, migrant status, gender, foster care status, homeless status, and status as a child with a parent on active duty in the Armed Forces.

If a subgroup has fewer than five tested students, performance results for that subgroup and the subgroup with the next smallest number tested in the same category will not be reported. (See Asian/Pacific Islander and American Indian/Alaska Native in the example on the next page.) If the sum of the number of tested students in those subgroups is still fewer than five, the performance results for the subgroup with the *next* smallest number tested within that category will also not be reported. (See White in the example on the next page.) This process continues until the sum of the number tested for the subgroups within a category whose performance results are not being reported is equal to or greater than five. This process is used so that the use of simple mathematical computations cannot result in the release of performance results associated with any student, thereby protecting student confidentiality.

For full disclosure purposes, the combined performance results for all of the small subgroups in the cases indicated above are reported as a “Small Group Total.” This is done for the racial/ethnic groups category only, as the “Small Group Total” for all other categories would be the same as that for the All Students group, as all other categories contain only two subgroups. Note that if the number tested for a subgroup in a category with only two subgroups is fewer than five,

⁴ Consistent with ESEA section 1111(i), information collected or disseminated under ESEA section 1111 shall be collected and disseminated in a manner that protects the privacy of individuals consistent with section 444 of the General Education Provisions Act (20 U.S.C. 1232g, commonly known as the “Family Educational Rights and Privacy Act of 1974”). When selecting a minimum n-size for reporting, States should consult the Institute for Education Sciences report “[Best Practices for Determining Subgroup Size in Accountability Systems While Protecting Personally Identifiable Student Information](#)” to identify appropriate statistical disclosure limitation strategies for protecting student privacy.

performance results for both subgroups in that category will not be reported. See the Homeless Status category in the example on the next page. If the identity of the one homeless student were to be known, and results for the not homeless students were reported, using simple subtraction, the results for the homeless student could easily be determined. As such, results for both subgroups are not reported.

Annual Reporting Example:

Subgroup	Number Tested	Number scoring at level:			
		1	2	3	4
All Students	264	13	38	159	54
Racial/Ethnic Groups Category					
American Indian/Alaska Native	3	—	—	—	—
Asian/Pacific Islander	1	—	—	—	—
Black	84	2	12	51	19
Hispanic	74	4	8	37	25
White	50	—	—	—	—
Multiracial	52	6	10	31	5
Small Group Total	54	1	8	40	5
Disability Status Category					
General-Education Students	259	—	—	—	—
Students with Disabilities	3	—	—	—	—
English Language Learner Status Category					
Non-English Language Learners	260	—	—	—	—
English Language Learners	4	—	—	—	—
Economically Disadvantaged Status Category					
Not Economically Disadvantaged	259	12	36	158	53
Economically Disadvantaged	5	1	2	1	1
Gender Category					
Female	180	7	19	81	25
Male	184	6	19	78	29
Migrant Status Category					
Not Migrant	260	—	—	—	—
Migrant	4	—	—	—	—
Foster Care Status Category					
Not Foster	262	—	—	—	—
Foster	2	—	—	—	—
Homeless Status Category					
Not Homeless	263	—	—	—	—
Homeless	1	—	—	—	—
Status as a Child with a Parent on Active Duty in the Armed Forces Category					
Not Armed Forces Child	264	13	38	159	54
Armed Forces Child	0	0	0	0	0

For accountability reporting, if the number of students in a group is fewer than the threshold used for participation, participation rates are not reported for that group. If the number of students in a group is fewer than the threshold used for performance, performance results are not reported for that group. The subgroups for accountability reporting are All Students, American Indian or Alaska Native, Black or African American, Hispanic or Latino, Asian or Native Hawaiian/Other Pacific Islander, White, Multiracial, Students with Disabilities, English Language Learners, and Economically Disadvantaged Students.

Example of Accountability Reporting with Participation Threshold = 40 and Performance Threshold = 30:

Subgroup	Participation Enrollment	Participation Rate	Met Participation Rate Criterion	Performance Enrollment	Performance Index	Met Performance Criterion
All Students	264	95%	Yes	264	180	Yes
American Indian/Alaska Native	30	—	—	30	120	No
Asian/Pacific Islander	29	—	—	29	—	—
Black	39	—	—	39	165	Yes
Hispanic	40	87%	No	40	140	No
White	74	—	—	74	—	—
Multiracial	52	99%	Yes	52	168	Yes
Students with Disabilities	3	—	—	3	—	—
English Language Learners	40	92%	No	40	172	Yes
Economically Disadvantaged	5	—	—	5	—	—

If the State’s minimum number of students for purposes of reporting is lower than the minimum number of students for accountability purposes, provide the State’s minimum number of students for purposes of reporting.

New York State uses an n-size of five when reporting annual data.

iii. Establishment of Long-Term Goals (ESEA section 1111(c)(4)(A)):

a. Academic Achievement. (ESEA section 1111(c)(4)(A)(i)(I)(aa))

1. Describe the long-term goals for improved academic achievement, as measured by proficiency on the annual statewide reading/language arts and mathematics assessments, for all students and for each subgroup of students, including: (i) baseline data; (ii) the timeline for meeting the long-term goals, for which the term must be the same multi-year length of time for all students and for each subgroup of students in the State; and (iii) how the long-term goals are ambitious.

New York State is committed to establishing ambitious goals for improving student academic achievement and promoting greater equity in educational outcomes. In general, New York State has sought to establish goals that stretch beyond historical patterns of improvement in outcomes for students, but are realistic if New York State is able to successfully implement its theory of action for improving student outcomes.

New York State has established the following methodology to create ambitious long-term goals and measures of interim progress for language arts and math:

Step 1: Establish the State’s “end” goal for the indicator. This “end” goal is the level of performance that, in the future, the State wishes each subgroup statewide and each subgroup within each school to achieve. For example, the end goal for performance in English language arts and mathematics is for each subgroup statewide and each subgroup within each school to achieve a Performance Index of 200. (See Section below on Academic Achievement Indicators for an explanation of how the Performance Index is computed.)

Step 2: Set the time period for establishing the first long-term goal toward achieving the “end” goal. New York State has set the 2021-2022 as the year in which New York State will establish its first long-term goal.

Step 3: Set a target for the amount by which New York State plans to close the gap between the “end” goal and the first long-term goal. New York State has established a 20% gap closing target for ELA and mathematics. For example, the baseline performance for the All Students group in English language arts is a Performance Index of 91. The end goal is a Performance Index of 200, which would result in almost all students being proficient. The gap between the end goal and the baseline performance is 109 Index points. Twenty percent of 109 is 22 Index Points, rounded to the nearest whole number.

Step 4: Add the baseline Performance Index to the Gap Closing amount to establish the 2021-22 school year long-term goal. In the example above, the 2021-22 school year long-term goal for the All Students group in ELA would be 113 (base year performance of 91 + 22-point gap reduction target of 20%).

Step 5: Repeat this process for other subgroups.

Step 6: Each year, set a new long-term goal so that the long-term goal is always established five years in the future. The previously established long-term goal becomes the measure of interim progress for that year. For example, following the 2017-18 school year, a new long-term goal for the 2022-23 school year will be set and the 2021-22 school year long-term goal will become the measure of interim progress for that year. This methodology allows the long-term goals to be adjusted to reflect the rapidity with which schools and subgroups are making progress toward achieving the end goals established by the State.

Using this methodology, the statewide long-term goal for Grades 3-8 English language arts is:

Group	Baseline 2015-16	2021-22 Goal	End Goal
All Students	91	112	200
Asian	130	144	200
Black	80	104	200
Economically Disadvantaged	77	102	200
English language learners	37	69	200
Hispanic	83	107	200
Multiracial	96	117	200
Native American	86	109	200
Students with Disabilities	37	70	200
White	93	115	200

For Grades 3-8 mathematics it is:

Group	Baseline 2015-16	2021-22 Goal	End Goal
All Students	94	115	200
Asian	143	154	200
Black	75	100	200
Economically Disadvantaged	79	103	200
English language learners	55	84	200
Hispanic	83	107	200
Multiracial	99	119	200
Native American	86	109	200
Students with Disabilities	43	75	200
White	99	119	200

For High School language arts:

Group	Baseline 2015-16	2021-22 Goal	End Goal
All Students	167	174	200
Asian	185	188	200
Black	155	164	200
Economically Disadvantaged	156	165	200
English language learners	53	82	200
Hispanic	158	166	200
Multiracial	183	186	200
Native American	156	165	200
Students with Disabilities	101	121	200
White	178	182	200

For High School Mathematics:

Group	Baseline 2015-16	2021-22 Goal	End Goal
All Students	137	150	200
Asian	169	175	200
Black	118	134	200
Economically Disadvantaged	126	141	200
English language learners	71	97	200
Hispanic	124	139	200
Multiracial	145	156	200
Native American	126	141	200
Students with Disabilities	81	105	200
White	147	158	200

2. Provide the measurements of interim progress toward meeting the long-term goals for academic achievement in Appendix A.

3. Describe how the long-term goals and measurements of interim progress toward the long-term goals for academic achievement take into account the improvement necessary to make significant progress in closing statewide proficiency gaps.

The gap reduction methodology is explicitly designed to ensure that those subgroups with the largest gaps between the baseline performance of the subgroup and the long-term goal must show the greatest gains in terms of achieving the measures of interim progress and the long-term goals. For example, in Grades 3-8 ELA, there is a 93-point difference in the baseline performance between the highest-achieving subgroup (Asians) and the lowest-achieving subgroup (English language learners). By 2021-2022, while the Asian subgroup is expected to make a 14-point gain, the English language learner group is expected to make a 32-point gain, more than double that of the Asian group, resulting in an 18-point reduction in the gap between the two groups.

b. Graduation Rate. *(ESEA section 1111(c)(4)(A)(i)(I)(bb))*

1. Describe the long-term goals for the four-year adjusted cohort graduation rate for all students and for each subgroup of students, including: (i) baseline data; (ii) the timeline for meeting the long-term goals, for which the term must be the same multi-year length of time for all students and for each subgroup of students in the State; and (iii) how the long-term goals are ambitious.

New York State is committed to establishing ambitious goals for improving graduation rates and promoting greater equity in educational outcomes. In general, New York State has sought to establish goals that stretch beyond historical patterns of improvement in outcomes for students, but are realistic if New York State is able to successfully implement its theory of action for improving student outcomes.

New York State has established the following methodology to create ambitious long-term goals and measures of interim progress for graduation rate.

Step 1: Establish the State’s “end” goal for the indicator. This “end” goal is the level of performance that, in the future, the State wishes each subgroup statewide and each subgroup within each school to achieve. The end goal for the 4-year adjusted cohort graduation rate is 95%.

Step 2: Set the time period for establishing the first long-term goal toward achieving the “end” goal. New York has set the 2021-2022 as the year in which New York State will establish its first long-term goal.

Step 3: Set a target for the amount by which New York State plans to close the gap between the “end” goal and the first long-term goal. New York State has established a 20% gap closing target. For example, the baseline performance for the All Students group is a graduation rate of 82%. The end goal is a 4-year graduation rate of 95%. The gap between the end goal and the baseline performance is 13%. Twenty percent of 13% is 3% percent.

Step 4: Add the baseline graduation rate to the Gap Closing amount to establish the 2021-22 school year long-term goal. In the example above, the 2021-22 school year long-term goal for the All Students group for 4-year adjusted cohort graduation rate would be 85 (base year performance of 82 + 3 percent reduction target of 20%).

Step 5: Repeat this process for other subgroups.

Step 6: Each year, set a new long-term goal so that the long-term goal is always established five years in the future. The previously established long-term goal becomes the measure of interim progress for that year. For example, following the 2017-18 school year, a new long-term goal for the 2022-23 school year will be set, and the 2021-22 school year long-term goal will become the measure of interim progress for that year. This methodology allows the long-term goals to be adjusted to reflect the rapidity with which the schools and subgroups are making progress toward achieving the end goals established by the State.

Using this methodology, the statewide long-term goals for the 4-year adjusted cohort graduation rates are:

Subject	Group Name	2021-22		
		2015-16 Baseline	Long-Term Goal	End Goal
4-Yr Graduation Rate	All Students	82.4%	84.9%	95%
	American Indian/Alaska Native	70.3%	75.2%	95%
	Asian	87.7%	89.1%	95%
	Black	71.1%	75.9%	95%
	Economically Disadvantaged	74.0%	78.2%	95%
	English Language Learners	45.9%	55.7%	95%
	Hispanic	69.9%	74.9%	95%
	Multiracial	84.0%	86.2%	95%
	Students With Disabilities	60.2%	67.2%	95%
	White	91.2%	92.0%	95%

2. If applicable, describe the long-term goals for each extended-year adjusted cohort graduation rate, including (i) baseline data; (ii) the timeline for meeting the long-term goals, for which the term must be the same multi-year length of time for all students and for each subgroup of students in the State; (iii) how the long-term goals are ambitious; and (iv) how the long-term goals are more rigorous than the long-term goal set for the four-year adjusted cohort graduation rate.

The long-term goals for the adjusted 5-year cohort graduation rate are as follows:

Subject	Group Name	2021-22		
		2015-16 Baseline	Long-Term Goal	End Goal
5-Yr Graduation Rate	All Students	85.2%	87.4%	96.0%
	American Indian/Alaska Native	72.5%	77.2%	96.0%
	Asian	89.1%	90.4%	96.0%
	Black	76.0%	80.0%	96.0%
	Economically Disadvantaged	78.6%	82.0%	96.0%
	English Language Learners	52.8%	61.4%	96.0%
	Hispanic	74.8%	79.0%	96.0%
	Multiracial	83.9%	86.4%	96.0%
	Students With Disabilities	67.3%	73.1%	96.0%

Subject	Group Name	2021-22		
		2015-16 Baseline	Long- Term Goal	End Goal
	White	92.3%	93.0%	96.0%

The long-term goals for the 6-year extended year graduation rate are as follows:

Subject	Group Name	2015-16 Baseline	2021-22 Target	End Goal
6-Yr Graduation Rate	All Students	86.0%	88.2%	97.0%
	American Indian/Alaska Native	73.0%	77.8%	97.0%
	Asian	89.8%	91.3%	97.0%
	Black	77.9%	81.7%	97.0%
	Economically Disadvantaged	80.2%	83.6%	97.0%
	English Language Learners	50.0%	59.4%	97.0%
	Hispanic	76.3%	80.4%	97.0%
	Multiracial	84.0%	86.6%	97.0%
	Students With Disabilities	68.6%	74.3%	97.0%
	White	92.6%	93.5%	97.0%

The long-term goals for the 5-year and 6-year extended graduation rates are more ambitious than the 4-year rate, as the 5-year rate is computed using an end goal of 96% and the 6-year rate is computed using an end goal of 97%, as opposed to the 4-year rate, which is computed using a 95% end goal.

3. Provide the measurements of interim progress toward the long-term goals for the four-year adjusted cohort graduation rate and any extended-year adjusted cohort graduation rate in Appendix A.

4. Describe how the long-term goals and measurements of interim progress for the four-year adjusted cohort graduation rate and any extended-year adjusted cohort graduation rate take into account the improvement necessary to make significant progress in closing statewide graduation rate gaps.

The gap reduction methodology is explicitly designed to ensure that those subgroups with the largest gaps between the baseline performance of the group and the long-term goal must show the greatest gains in terms of achieving the measures of interim progress and the long-term goals. For

example, for the 6-year adjusted graduation rate, there is a 43% difference in the baseline performance between the highest-achieving subgroup (Whites) and the lowest-achieving subgroup (English language learners). By 2021-2022, while the White subgroup is expected to make approximately a 1% gain, the English language learner group is expected to make a 11% gain, resulting in an 9% reduction in the gap between the two groups.

c. English Language Proficiency. (ESEA section 1111(c)(4)(A)(ii))

1. Describe the long-term goals for English learners for increases in the percentage of such students making progress in achieving English language proficiency, as measured by the statewide English language proficiency assessment including: (i) baseline data; (ii) the State-determined timeline for such students to achieve English language proficiency; and (iii) how the long-term goals are ambitious.

New York State is committed to establishing ambitious goals for improving educational outcomes for ELLs/MLLs. In general, New York State has sought to establish goals that stretch beyond historical patterns of improvement in outcomes for students, but are realistic if New York State is able to successfully implement its theory of action for improving student outcomes for ELLs/MLLs, noted below.

New York State has established the following methodology to create ambitious long-term goals and measures of interim progress for increases in the percentage of ELLs/MLLs making progress in achieving English proficiency.

Step 1: Establish the State’s “end” goal for the indicator. This “end” goal is the level of performance that, in the future, the State wishes to achieve. The end goal for the percentage of students making progress in achieving English proficiency is 95%.

Step 2: Set the time period for establishing the first long-term goal toward achieving the “end” goal. New York State has set five years as the time period for its first goal. Therefore, the 2021-2022 school year will be the year for which first long-term goal will be established.

Step 3: Set a target for the amount by which New York State plans to close the gap between the “end” goal and the first long-term goal. New York has established a 20% gap closing target. For example, the baseline performance for students making progress in achieving English language proficiency is 49%. The gap between the end goal and the baseline performance is 46%. Twenty percent of 46% is 9%, rounded to the nearest whole percent.

Step 4: Add the baseline to the Gap Closing amount to establish the 2021-22 school year long-term goal. In the example above, the 2021-22 school year long-term goal would be 58% (base year performance of 49% + 9% percent reduction target of 20%).

Step 5: Each year, set a new long-term goal so that the long-term goal is always established five years in the future. The previously established long-term goal becomes the measure of interim progress for that year. For example, following the 2017-18 school year, a new long-term goal for the 2022-23 school year will be set and the 2021-22 school year long-term goal will become the

measure of interim progress for that year. This methodology allows the long-term goals to be adjusted to reflect the rapidity with which the schools and subgroups are making progress toward achieving the end goals established by the State.

The Department has identified that ELLs/MLLs generally become English proficient in three to five years on average, based on a longitudinal analysis of all ELLs/MLLs in a particular cohort, with factors such as initial English Language Proficiency (ELP) level at entry determining the specific number of years within which a student is expected to become English proficient. The Department has developed this theory of action regarding ELL/MLL progress:

- New York State holds that all students who are not proficient in English must be provided specific opportunities to progress toward and meet English language proficiency requirements. This is important because students who are not English proficient will not be able to fully demonstrate what they know and can do in English Language Arts and Mathematics delivered in English.
- Developing language proficiency is a cumulative process that occurs over time and should occur in a timely manner. ELLs/MLLs should make meaningful progress toward English proficiency, and the New York State accountability system is designed to monitor schools' efforts in facilitating ELL/MLL progress.

Based on this theory of action, the Department has reviewed data regarding achievement and proficiency of New York State ELLs/MLLs to identify a model for incorporating their progress into State accountability determinations, as well as to identify research-based student-level targets and goals/measures of interim progress. The Department reviewed several different models for examining and measuring ELP progress, guided by New York State's theory of action, soundness, and context, and assessed each model for robustness, transparency, and usefulness. In addition, the Department compared its yearly statewide ELP assessment (the New York State English as a Second Language Achievement Test, or NYSESLAT) with its State English Language Arts (ELA) assessment to empirically validate whether NYSESLAT exit standards are appropriate. The results were consistent with expectations and with relationships observed across the United States. The department further analyzed the time that it generally takes ELLs/MLLs to reach English proficiency in order to identify important factors that contribute to the time that it takes New York State's students to reach English language proficiency. Analyses reveal that the initial ELP level is the most important factor influencing a student's time to English language proficiency.

Based on the previous actions, the Department selected Transition Matrix model for incorporating ELLs/MLLs' attainment of ELP into State accountability determinations. The Transition Matrix model is based on initial English proficiency level and evaluates **expected** growth per year against **actual** growth. Under the Transition Matrix model, growth expectations can mirror the natural language development trajectory. The Transition Matrix links initial English proficiency level to the time, in years, that a student is an ELL/MLL. Table 1 provides an example of the growth that could be expected based on a five-year trajectory, which would inform the values in the Transition Matrix. For example, for a student who initially scores in the *Entering* performance level, the target growth for his/her second year would be 1.25 performance levels. The next two years, the

target growth would be 1 level each year, and finally, in the student’s fifth year, the target growth would slow to 0.75 performance levels. Credit would be awarded based on a student’s growth over administrations of the NYSESLAT, and whether that student meets the expectations of growth based on his/her initial level of English proficiency. The Department is currently examining the stability and consistency of results, using multiple years of data. These analyses will be conducted again in two years, once more NYSESLAT data is available to ensure that expectations for student progress are appropriate. Stakeholder input will be gathered when this analysis is conducted.

Table 1. Non-linear growth to target based on five-year trajectory

Initial ELP	Year 2	Year 3	Year 4	Year 5
<i>Entering</i>	1.25	1	1	0.75
<i>Emerging</i>	1.25	1	0.75	
<i>Transitioning</i>	1	1		
<i>Expanding</i>	1			

The baseline is 49%, and the gap closing amount is 20%. Consequently, the “end goal” is 95% of student demonstrate progress using the above table, and the long-term goal for 2021-22 is for 58% of students to demonstrate progress.

2. Provide the measurements of interim progress toward the long-term goal for increases in the percentage of English learners making progress in achieving English language proficiency in Appendix A.

Based on extant data from New York State ELL/MLLs, the Department has worked to develop a set of annual targets for interim progress of ELLs/MLLs. The expected growth target is meant to meaningfully differentiate growth not only by performance level, but also by fractional performance level. This is done by dividing those levels into sub-levels for the purpose of accountability. This allows New York State to measure incremental growth that occurs within performance levels. The model also allows New York State to set growth expectations that reflect the natural language development trajectory of more rapid initial growth and slower growth over time.

iv. Indicators (ESEA section 1111(c)(4)(B))

a. Academic Achievement Indicator. Describe the Academic Achievement indicator, including a description of how the indicator (i) is based on the long-term goals; (ii) is measured by proficiency on the annual Statewide reading/language arts and mathematics assessments; (iii) annually measures academic achievement for all students and separately for each subgroup of students; and (iv) at the State’s discretion, for each public high school

in the State, includes a measure of student growth, as measured by the annual Statewide reading/language arts and mathematics assessments.

New York State is committed to building an accountability system of multiple measures aligned to college, career, and civic readiness. New York State has been diligent in soliciting extensive feedback from stakeholders through online surveys and dozens of meetings across the State to inform this design. In particular, stakeholders have provided detailed feedback on the selection of indicators that will incentivize all public schools to move all students to higher levels of achievement. The State also is committed to measuring student growth from year-to-year. Throughout, New York State is committed to using valid and reliable indicators.

The assessment tools used by New York State support the criteria that are set forth in the Standards for Educational and Psychological Testing (AERA, APA, NCME, 2014). The validity and reliability evidence that is collected for each assessment supports the specific uses and interpretations of scores for each tool, and are therefore described in detail in each technical report.

Links to technical reports and corresponding sections for reliability and validity:

- Grades 3-8 ELA & Math (Sections 3 & 7):
<http://www.p12.nysed.gov/assessment/reports/ei/tr38-15w.pdf> (2015)
- NYSAA (Chapters 10 & 12):
<http://www.p12.nysed.gov/assessment/reports/nysaa/nysaa-tr-14w.pdf>
- NYSESLAT (Chapters 5 and 6):
<http://www.p12.nysed.gov/assessment/reports/nyseslat/nyseslat-tr-15w.pdf> (2015)

Consistent with New York State’s long-term goals, New York State uses Performance Indices in English language arts, mathematics, and science at the elementary/middle school level and English language arts, mathematics, science, and social studies at the high school level to measure academic achievement.

The Performance Index is based upon measures of proficiency on State assessments and gives schools “partial credit” for students who are partially proficient (Accountability Level 2), “full credit” for students who are proficient (Accountability Level 3), and “extra credit” for students who are advanced (Accountability Level 4). The Performance Index will be a number between 0-250. In a school in which all of the students are proficient, the school would have an Index of 200. In a school in which half of the students were proficient and half of the students were partially proficient, the Index would be 150.

When an accountability system is based on whether students are proficient, this creates a potential incentive for schools to focus on those students who are closest to becoming proficient and a potential disincentive to focus efforts on students who are far from the standard of proficiency. Providing partial credit for students who are partially proficient gives schools as much incentive to move students from Level 1 to Level 2 as it does to move students from Level 2 to Level 3. In schools most at risk of being identified for support and improvement, the degree to which schools

are moving students from Level 1 to Level 2 is a more precise way to judge improvement and progress than the ability of the school to move students from Level 2 to Level 3.

The Department’s rationale for use of a Performance Index is supported by the public comments provided to the USDE on draft ESSA regulations from prominent psychometricians at the Learning Policy Institute regarding use of scale scores and Performance Indices, as well as an article describing the work of psychometrician and Harvard professor Andrew Ho, entitled “When Proficiency Isn’t Good,” which can be found at <https://www.gse.harvard.edu/news/uk/15/12/when-proficient-isnt-good>.

The goal of an accountability system should be to incentivize schools to have all students reach their maximum potential. Under No Child Left Behind, schools were given strong incentives to work to have as many students as possible reach proficiency, but few incentives to have students reach levels beyond proficiency. An August 2016 report issued by the Thomas Fordham Institute, entitled “High Stakes for High Achievers: State Accountability in the Age of ESSA,” (see: <https://edex.s3-us-west-2.amazonaws.com/publication/pdfs/08.31%20-%20High%20Stakes%20for%20High%20Achievers%20-%20State%20Accountability%20in%20the%20Age%20of%20ESSA.pdf>) asserts that “NCLB meant well (as did many state accountability systems that preceded it), but it had a pernicious flaw. Namely, it created strong incentives for schools to focus all their energy on helping low-performing students get over a modest ‘proficiency’ bar, while ignoring the educational needs of high achievers, who were likely to pass state reading and math tests regardless of what happened in the classroom. This may be why the United States has seen significant achievement growth for its lowest-performing students over the last twenty years but smaller gains for its top students.” The report also states that “research from Fordham, the Jack Kent Cooke Foundation, and elsewhere shows that these low-income ‘high flyers’ are likeliest to ‘lose altitude’ as they make their way through school. The result is an ‘excellence gap’ rivaling the ‘achievement gaps’ that have been our policy preoccupation.” A Performance Index that gives extra credit to students who score advanced on state assessments provides schools an incentive to move all students to higher levels of performance. To ensure that schools did not divert attention away from students at lower levels of performance, the index gives additional credit to schools for increasing the percentage of students at Level 4 compared to Level 3, but not as much credit as for moving students from Level 1 to Level 2 or from Level 3 to Level 4.

All continuously enrolled students in the tested elementary and middle level grades (Grades 3-8 for ELA and mathematics and Grades 4 and 8 for science) and all students in the annual high school cohort for ELA, mathematics, science, and social studies are included in the Performance Index. For each subject (ELA, mathematics, science, and social studies) a Performance Index is computed for each subgroup of students for which a school or district meets the minimum n-size requirements.

Computation of the Performance Index: A Performance Index (PI) is a value from 0 to 250 that is assigned to an accountability group, indicating how that group performed on a required State test (or approved alternative) in English language arts, mathematics, science, and social studies. Student scores on the tests are converted to performance levels.

In elementary/middle- and secondary-level ELA and mathematics, and elementary/middle-level science, the performance levels are:

- Level 1 = Basic
- Level 2 = Basic Proficient
- Level 3 = Proficient
- Level 4 = Advanced

The Performance Index is computed two ways:

$$PI-1 = [(number\ of\ continuously\ enrolled\ tested\ students\ scoring\ at\ Level\ 2 + (Level\ 3 * 2) + (Level\ 4 * 2.5) \div the\ greater\ of\ the\ number\ of\ continuously\ enrolled\ tested\ students\ or\ 95\% \ of\ continuously\ enrolled\ students] \times 100$$

$$PI-2 = [(number\ of\ continuously\ enrolled\ tested\ students\ scoring\ at\ Level\ 2 + (Level\ 3 * 2) + (Level\ 4 * 2.5) \div the\ number\ of\ continuously\ enrolled\ tested\ students] \times 100$$

The Department uses both PI-1 and PI-2 to identify schools for Comprehensive Support and Improvement and Targeted Support and Improvement.

The PI for secondary-level ELA, mathematics, science and social studies is calculated using the following equation:

$$PI = [(number\ of\ accountability\ cohort\ members\ scoring\ at\ Level\ 2 + (Level\ 3 * 2) + (Level\ 4 * 2.5) \div number\ of\ accountability\ cohort\ members] \times 100$$

The weighted average of a subgroup’s Performance Indices is used to create the subgroup’s Achievement Index as illustrated below:

Example of Elementary/Middle School Achievement Index for PI-1

Accountability Group	Subject	# of Continuously Enrolled Students	# of Continuously Enrolled Tested Students	# Level 1	# Level 2	# Level 3	# Level 4	Numerator	Denominator	PI
Low-Income	Math	102	100	10	30	40	20	160	100	160
Low-Income	ELA	100	90	10	20	30	20	130	95	137
Low-Income	Science	40	40	0	10	14	16	78	40	195
Low-Income	Index	242	230	20	60	84	56	368	235	157

In the above example, the numerator for the Performance Index is the sum of the number of students at Level 2, plus the number of students who scored Level 3, multiplied by two, plus the number of students who scored at Level 4, multiplied by 2.5. This number is then multiplied by

100. The denominator is number of Continuously Enrolled Tested Students, except for ELA, where the denominator for PI-1 is 95, since only 90% of Continuously Enrolled Students were tested. To calculate the Achievement Index for the low-income subgroup, the numerators for mathematics, ELA, and science are summed and then divided by the denominators for these three subjects.

PI-2 is computed in a similar manner except that the number of Continuously Enrolled Tested Students is used as the denominator. Thus for this calculation, 368 is divided by 230 resulting a PI-2 Performance Index of 160.

For purposes of school differentiation, the Performance Index for the all students group and each subgroup in a school is converted to an Achievement Index Level that ranges from 1-4.

Subgroup Percentile Rank on Achievement Level	Achievement Level
10% or Less	1
10.1 to 50%	2
50.1 to 75%	3
Greater than 75%	4

Notes:

- Students who take the New York State Alternate Achievement Test are included in the Performance Index based on their achievement level on that examination.
- Students in Grades 7 and 8 who score at Accountability Level 2 on Regents Exams in Mathematics and Science are included at Level 3 when computing Elementary/Middle Performance Index. Students in Grades 7 and 8 who score at Accountability Levels 3 and 4 on Regents Exams in Mathematics and Science are included at Level 4 when computing the Elementary/Middle Performance Index.

Through New York State’s Progress Measure, described below, New York State’s academic achievement indicators are explicitly linked to New York State’s long-term goals and measures of interim progress.

Example of High School Performance Index

Accountability Group	Subject	# of Students in Accountability Cohort	# Level 1	# Level 2	# Level 3	# Level 4	Numerator	Denominator	PI
Low-Income	Math	100	10	30	40	20	160	100	160
Low-Income	ELA	100	10	20	30	40	180	100	180
Low-Income	Science	100	40	30	20	10	95	100	95
Low-Income	Social Studies	100	25	25	25	25	138	100	138

Note: All students in the accountability cohort who do not take a Regents exam, the New York State Alternate Assessment, or an approved alternative to the Regents are counted as Level 1.

The school accountability cohort consists of all students who first entered Grade 9 anywhere four years previously (e.g., the 2013 accountability cohort consists of students who first entered Grade 9 during the 2013-14 school year), and all ungraded students with disabilities who reached their 17th birthday in that same school year, who were enrolled for more than half of the current school year and did not transfer to another district’s or school’s diploma-granting program. Students who earned a high school equivalency diploma from or were enrolled in an approved high school equivalency preparation program on June 30 of the current school year are not included in the school accountability cohort.

The High School Achievement Index is computed by multiplying a school’s ELA Performance Index by 3, Math Index by 3, Science Index by 2, and Social Studies Index by 1, summing this result and dividing it by nine.

Accountability Group	Subject	PI	Weighting	Weighted Value
Low-Income	Math	160	3	480
Low-Income	ELA	180	3	540
Low-Income	Science	95	2	190
Low-Income	Social Studies	138	1	138
Low-Income	Index	150	9	1348

For purposes of school differentiation, the Performance Index for each subgroup in a high school is converted to an Achievement Level Index Level that ranges from 1-4 as follows:

Subgroup Percentile Rank on Achievement Level	Achievement Level
10% or Less	1
10.1 to 50%	2
50.1 to 75%	3
Greater than 75%	4

Indicator for Public Elementary and Secondary Schools that are Not High Schools (Other Academic Indicator). Describe the Other Academic indicator, including how it annually measures the performance for all students and separately for each subgroup of students. If the Other Academic indicator is not a measure of student growth, the description must include a demonstration that the indicator is a valid and reliable statewide academic indicator that allows for meaningful differentiation in school performance.

New York State will use a measure of student growth as one indicator for public elementary and secondary schools that are not high schools.

New York State’s current accountability system, pursuant to its ESEA Flexibility waiver, uses Mean Growth Percentiles (MGP) for ELA and mathematics in Grades 4-8 to measure student growth in elementary and middle schools. MGPs are computed for students who have a valid test score in the subject in the current year and a valid test score in that same subject in the prior year in the grade immediately below the student’s current grade (e.g., the student has a Grade 5 math assessment result in 2017 and a Grade 4 assessment result in 2016).

The MGP model is typically referred to as a covariate adjustment model (McCaffrey, Lockwood, Koretz & Hamilton, 2004), as the current year observed score is conditioned on prior levels of student achievement. At the core of the New York State growth model is the production of a Student Growth Percentile (SGP). This statistic characterizes the student’s current-year score relative to other students with similar prior test score histories. For example, an SGP equal to 75 denotes that the student’s current-year score is the same as or better than 75 percent of the students in the State with similar prior test score histories. Once SGPs are estimated for each student, group-level (e.g., subgroups or school-level) statistics can be formed that characterize the typical performance of students within a group. New York State’s growth model Technical Advisory Committee recommended using a mean SGP. Hence, group-level statistics are expressed as the mean SGP within a group. This statistic is referred to as the MGP. The New York State Education Department reports unadjusted growth scores that include only prior achievement as predictor variables and adjusted growth scores including additional predictor variables. Unadjusted scores are reported for informational purposes to educators and are used for school accountability in Grades 4–8. Detailed information regarding New York State’s model can be found at: <https://www.engageny.org/resource/technical-report-growth-measures-2015-16>

Although New York State anticipates using its current growth model to make differentiations between schools, based on 2017-18 school year data, New York State is currently evaluating this model to identify improvements and is exploring potential alternative models for determining student growth that New York State may seek to use in future years.

For school accountability purposes, New York State currently uses a school’s or subgroup’s unweighted two-year average MGP in ELA and mathematics for school accountability. To further increase the stability and reliability of this measure, New York State plans, under ESSA, to use an unweighted three-year average MGP in ELA and mathematics to create the subgroup for the school Growth Index. An example of how the Growth Index is computed is shown below:

Year	ELA MGP	Math MGP
2017-18	50	60
2016-17	40	50
2015-16	45	40
3 Year Average MGP	45	50
Growth Index	48	

In the example above, the three-year unweighted ELA MGP and the three-year unweighted Math MGP are computed, and these two numbers are averaged to determine the school’s Growth Index. For purposes of school differentiation, the Performance Index for each subgroup in a school is converted to an Achievement Level Index Level that ranges from 1-4, as follows⁵:

Subgroup MGP	Level
45% or Less	1
45.1 to 50%	2
50.1 to 54%	3
Greater than 54%	4

At both the elementary and middle school level, New York State will also compute a Progress Measure. The Progress Measure is how a subgroup performs in relation to the State’s long-term goals for the subgroup, the state’s Measure of Interim Progress (MIP) in that year, and the school-specific measure of interim progress for the subgroup in that school year. A confidence interval is used to determine whether a subgroup did not meet or exceed the long-term goal. The Progress Measure results in a score of between 1-4 as follows:

	Did not meet Goal	Met Long-Term Goal	Exceeded Long-Term Goal
Did not meet an MIP	1	3	3
Met lower MIP	2	3	4
Met higher MIP	3	4	4

Additional Rules:

SAFE HARBOR: Using a subgroup’s baseline performance (i.e., 2016-17 school year results), a school will receive measures of interim progress for each subgroup for which the school was accountable in language arts and mathematics for the 2017-2018 through 2021-22 school years. Beginning in the 2018-19 school year, a subgroup that does not meet the lower MIP, but increases

⁵ New York is continuing its modeling and will establish the final levels for these indicators prior to submission of the plan in September.

its Performance Index by an amount equal to the difference between its current year MIP and prior year MIP, will be assigned to Level 2. For example, if the All Students group has an ELA Performance Index of 69 in the baseline, the subgroup’s MIP would be the following:

Group Name	2015-16 Baseline	2017- 18 MIP	2018- 19 MIP	2019- 20 MIP	2020- 21 MIP	2021- 22 MIP
All Students	69	74	79	84	90	95

If the All Students subgroup continues to perform at 69 in the 2017-18 school year, the subgroup will be Level 1. However, if, in 2018-19, the subgroup improves to 74 or higher, it would be Level 2.

ACCELERATED PROGRESS: If a school makes progress that is equivalent to 3 times the lower MIP but not sufficient progress to meet the higher MIP, then the school will be awarded a 3.

Example 1: High-Performing School

School Baseline for 2017-18 = 154

School MIP for 2018-19 (higher MIP) = 155

State MIP for 2018-19 (Lower MIP) = 120

State long-term goal = 133

Exceeding State long-term goal, based on confidence interval = 140

	Did not meet State Goal	Met Long-Term State Goal (133)	Exceeded Long-Term State Goal (140)
Did not meet an MIP <120	<120	N/A	N/A
Met lower MIP >120	120-132	133-139	>140
Met higher MIP >154	N/A	N/A	>154

Achievement Index	Level
Less than 120	1
Greater than or equal to 120 and less than 133	2
Greater than or equal to 133 and less than 140	3
Greater than or equal to 140	4

In this example, the subgroup in the 2017-8 school year is already substantially exceeding the Long-Term State Goal. Therefore, as long as the subgroup in the 2018-19 school year continues to exceed that goal (a PI of 140), the subgroup will be a Level 4. If the school declines so that it is no longer exceeding the Long-Term State Goal, but still meets the Long-Term State Goal, the subgroup will be Level 3. If the subgroup declines to the point that it is no longer above the Long-Term State Goal, but remains above the State measure of interim progress, the school would be a

Level 2. Finally, if the school falls below the State measure of interim progress, the school would be Level 1.

Example 2: Low-Performing School

School Baseline for 2017-18 = 69

School MIP for 2018-19 (Lower MIP) = 74

State MIP for 2018-19 (High MIP) = 120

State long-term goal = 133

Exceeding Long-Term State Goal, based on confidence interval = 140

	Did not meet Goal <133	Met Long-Term Goal (133)	Exceeded Long-Term Goal (140)
Did not meet an MIP <74	<74	N/A	N/A
Met lower MIP >74	74-119	N/A	N/A
Met higher MIP >120	120-132	>133	>140

Achievement Index	Level
Less than 74	1
Greater than or equal to 74 and less than 89	2
Greater than or equal to 89 and less than 119	3
Greater than or equal to 120	4

*If the school scored at or above 84 in year 2, the subgroup would be classified as a 3.

In this example, the subgroup is substantially below the Long-Term State Goal. Therefore, in order to be a Level 2, the school must achieve its school MIP of 74. To be Level 3, the school would normally have to meet the State MIP of 120. However, because of the “Acceleration Rule,” if the school improves by three times the difference between its prior-year MIP and the current-year MIP, the school would need to achieve only an 84 to become Level 3. Level 4 requires the school to meet the Long-Term State Goal of 133.

Language arts and mathematics Progress Levels are computed separately and then averaged, resulting in the overall Progress Level for the subgroup.

As noted previously, New York State’s Progress Measure explicitly links New York State’s academic achievement measures to New York State’s long-term goals and measures of interim progress.

c. Graduation Rate. Describe the Graduation Rate indicator, including a description of (i) how the indicator is based on the long-term goals; (ii) how the indicator annually measures graduation rate for all students and separately for each subgroup of students; (iii) how the indicator is based on the four-year adjusted cohort graduation rate; (iv) if the State, at its

discretion, also includes one or more extended-year adjusted cohort graduation rates, how the four-year adjusted cohort graduation rate is combined with that rate or rates within the indicator; and (v) if applicable, how the State includes in its four-year adjusted cohort graduation rate and any extended-year adjusted cohort graduation rates students with the most significant cognitive disabilities assessed using an alternate assessment aligned to alternate academic achievement standards under ESEA section 1111(b)(2)(D) and awarded a State-defined alternate diploma under ESEA section 8101(23) and (25).

At the secondary level, New York State will use three cohorts to determine if an accountability group met the criterion in graduation rate. These are the four-year adjusted cohort graduation rate and the five-year and six-year extended adjusted cohort graduation-rate. The four-year adjusted cohort graduation-rate consists of all students who first entered Grade 9 anywhere four years previously school and who were enrolled in the school/district. The five-year and six-year extended adjusted cohort graduation-rate consists of all students who first entered Grade 9 anywhere in the five years previously and six years previously and who were enrolled in the school/district. Data for these cohorts are captured as of August 31. For accountability purposes, data are lagged by one year so that, for example, the four-year adjusted cohort graduation rate that will be used for accountability determinations based upon 2017-18 school year results is computed using graduation outcomes as of August 31, 2017 for students who first entered grade 9 in the 2013-14 school year. Students who earn a Regents or Local Diploma or students who are enrolled in a P-Tech⁶ or dual high school college program⁷ and have met all requirements for high school graduation are counted as high school completers.

For purposes of school differentiation, the Graduation Rate Index for each subgroup in a school is converted to a Graduation Rate Index Level that ranges from 1-4 for each graduation rate cohort as follows:

Progress Measure Results in a score of between 1-4 as follows:

	Met Neither Goal	Met Long-Term State Goal	Exceeded State Goal
Did not meet an MIP	1	3	3
Met lower MIP	2	3	4
Met higher MIP	3	4	4

⁶ [NYS Pathways in Technology \(P-TECH\)](#) is a six-year program in collaboration with an IHE and industry partner designed to have students graduate with a high school and associate’s degrees and an offer of employment.

⁷ Institutions of Higher Education (IHEs) partner with public school districts to create early college high schools that provide students with the opportunity and preparation to accelerate the completion of their high school studies while concurrently earning a minimum of 24 but up to 60 transferable college credits.

The unweighted average for the graduation rate cohorts is used as Graduation Rate Level for a subgroup. For example, if a subgroup’s four-year Graduation Rate Level is 4, its five-year Graduation Rate Level is 3, and its six-year Graduation Rate Level is also 3, then the overall Graduation Rate Level is 3. In New York State’s data dashboard, the actual graduation rates for each cohort and the associated measures of interim progress and State long-term goals will be reported.

d. Progress in Achieving English Language Proficiency (ELP) Indicator. Describe the Progress in Achieving ELP indicator, including the State’s definition of ELP, as measured by the State ELP assessment.

New York State utilizes five levels of proficiency (Entering, Emerging, Transitioning, Expanding, and Commanding). On the initial English language proficiency assessment – New York State Identification Test for English Language Learners (NYSITELL) – students are identified as ELLs/MLLs if they score at the Entering, Emerging, Transitioning, or Expanding Levels, and those who score Commanding on the NYSITELL are not identified as ELLs/MLLs.

Once identified, all ELLs/MLLs take the State’s ELP assessment, the New York State English as a Second Language Achievement Test (NYSESLAT), yearly to determine placement for the following year. Students may exit ELL/MLL status by demonstrating English proficiency in one of two ways: 1) by obtaining an overall score in the Commanding range on the NYSESLAT, or 2) by obtaining an overall score in the Expanding range on the NYSESLAT AND scoring above designated cut points on the Grades 3-8 English Language Arts Assessment or Regents Exam in English.

The Department has identified that ELLs/MLLs generally become English proficient in three to five years, based on a longitudinal analysis of all ELLs/MLLs in a particular cohort, with factors such as initial ELP level at entry determining the specific number of years within which a student is expected to become English proficient. The Department has reviewed data regarding achievement and proficiency of New York State ELLs/MLLs to identify a model for incorporating their progress into State accountability determinations, as well as to identify research-based student-level targets and goals/measures of interim progress. The Department reviewed several different models for measuring ELP progress, guided by New York State’s theory of action, soundness, and context, and assessed each model for robustness, transparency, and usefulness. In addition, the Department compared its NYSESLAT with its State English Language Arts (ELA) and Mathematics assessments, and examined ELLs/MLLs’ mean time to proficiency, including consideration of initial ELP level.

After concluding this analysis, the Department selected a Transition Matrix Table for incorporating ELLs/MLLs’ attainment of ELP into State accountability determinations. The Transition Matrix Table model is based on initial English proficiency level and incorporates **expected** growth per year against **actual** growth. Under the Transition Matrix Table model, growth expectations can mirror the natural language development trajectory. The Transition Matrix Table appears as a grid,

and links English proficiency levels to the time in years that a student is an ELL/MLL. “Points” are awarded based on a student’s growth from one level to the next, over the course of years in the New York State school system. The Department is currently examining the stability and consistency of results, using multiple years of data. These analyses will be conducted again in two years, once more NYSESLAT data is available, to ensure that expectations for student progress are appropriate.

e. School Quality or Student Success Indicator(s). Describe each School Quality or Student Success Indicator, including, for each such indicator: (i) how it allows for meaningful differentiation in school performance; (ii) that it is valid, reliable, comparable, and statewide (for the grade span(s) to which it applies); and (iii) of how each such indicator annually measures performance for all students and separately for each subgroup of students. For any School Quality or Student Success indicator that does not apply to all grade spans, the description must include the grade spans to which it does apply.

New York State’s selection of measure of school quality and student success was informed by extensive stakeholder engagement. More than 2,400 stakeholders responded to an online survey, and more than 1,000 persons attended regional meetings at which participants responded to direct questions about indicators of school quality and student success. New York State solicited feedback about indicators that could be used beginning with 2017-18 school year results as well as those that might be added to the system in the future.

At the elementary, middle school and high school levels, New York State initially will use chronic absenteeism as its measure of school quality and student success. Research shows that both student engagement and regular school attendance are highly correlated with student success. Students who miss more than 10% of instruction have dramatically lower rates of academic success than do students who are not chronically absent.⁸ Using chronic absenteeism to differentiate between schools is intended to encourage schools to engage in aggressive efforts to ensure that students do not miss large amounts of instruction. In a survey conducted by the New York State Education Department, to which more than 2,400 persons responded, more than two-thirds strongly supported or supported the use of chronic absenteeism as a measure of school quality and student success.

The chronic absenteeism rate for a school is defined as the number of students who have been identified as chronically absent (excused and unexcused absences equaling 10% or more of enrolled school days) as a percentage of the total number of students enrolled during the school year (denominator). Chronically absent students will be identified as such based on the number of days that a student is enrolled. This is significant because students may enroll in a school or district during different points in the school year. For example, a student who misses four days of school

⁸ Balfanz, R., & Byrnes, V. (2012). The Importance of Being in School: A Report on Absenteeism in the Nation’s Public Schools. Baltimore: Johns Hopkins University Center for Social Organization of Schools. Available at http://new.every1graduates.org/wpcontent/uploads/2012/05/FINALChronicAbsenteeismReport_May16.pdf

Attendance Works. (2015). Mapping the Early Attendance Gap. Retrieved from <http://www.attendanceworks.org/wordpress/wp-content/uploads/2015/07/Mapping-the-Early-Attendance-Gap-Final-4.pdf>

and was enrolled from September 1 through January 31 would not be considered chronically absent. However, a student who is enrolled only for the month of December, yet missed four days of school, may be categorized as such. This definition has the advantage of identifying chronically absent students regardless of the point in time at which they enter the district or school.

Suspensions will not be considered absences because suspended students must receive alternate instruction, as long as the student is of compulsory school age. Similarly, a student who is not present in school for an extended period of time for medical reasons would receive instruction at home and would not be reported as absent.

Additionally, at the high school level, New York State will initially use a College, Career, and Civic Readiness Index as a measure of school quality and student success. Such an indicator drew substantial support from respondents to the survey mentioned above, with two-thirds strongly supporting or supporting the use of a College, Career, and Civic Readiness Index. New York State believes that a measure that incentivizes schools to ensure that students graduate with the most rigorous possible high school credential will enable more students to succeed than a measure that merely values completion. In addition, research demonstrates that students benefit from participation in advanced coursework, even if students are unable to achieve college-ready scores on exams associated with such coursework or to earn college credit when enrolled in a course that offers both high school and college credit.

New York State's College, Career, and Civic Readiness Index will give credit to schools for students who pass high school courses and additional credit for students who achieve specified scores on nationally recognized exams associated with these courses or who earn college credit for participation in dual enrollment course. Including this indicator as a measure of school quality and student success will encourage more schools to offer advanced coursework to more students. Additional elements of the index will include successful completion of a career technical course of study, receipt of an industry-recognized credential, and completion of the Seal of Biliteracy. Alternative means to create an indicator of civic engagement will also be pursued.

The College, Career, and Civic Readiness Index is a number that will range from 0 to 200⁹ and will be computed by multiplying the number of students in an accountability cohort demonstrating college and career readiness by the weighting for the method by which the student demonstrated college and career readiness, divided by the number of students in the accountability cohort¹⁰:

Readiness Measure	Weighting
Regents Diploma with Advanced Designation Regents Diploma with CTE Endorsement Regents Diploma with Seal of Biliteracy Regents Diploma and score of 3 or higher on an AP exam Regents Diploma and score of 4 or higher on IB exam Regents Diploma and the issuance of college credit earned through a dual enrollment course from an accredited college or university. Regents Diploma and the receipt of an industry-recognized credential or passage of nationally certified CTE examination	2
Regents Diploma and high school credit earned through participation in an AP, IB, or dual enrollment course. Regents Diploma with CDOS endorsement	1.5
Regents or Local Diploma	1
High School Equivalency Diploma	.5
No High School or High School Equivalency Diploma	0

Note: Students who participate in the New York State Alternate Assessment will be removed from the computation of the College, Career, and Civic Readiness Index. The College, Career, and Civic Readiness Index will be reported on the same timeline as the graduation rate index.

New York State is exploring the possibility of providing additional points for students who meet more than one college, career, and civic readiness measure. Over time, this Index may be expanded to include such measures as post-secondary enrollment and persistence, college preparatory coursework completed, and successful completion of coursework leading to graduation. The

⁹ It is theoretically possible for a subgroup to have an Index of more than 200 if all students in the accountability cohort for a subgroup graduate with a readiness measure than is weighed as a 2 and the subgroup also has students from a prior cohort who earn a high school equivalency diploma and are added to the index. Should this occur, the index will be capped with a score of 200.

¹⁰ The weighting given to students who earn a high school equivalency diploma is not based on accountability cohort membership. Instead a school earns credit for the student in the year in which the student earns his or her high school equivalency diploma so long as the student earns the diploma within 24 months of the date in which the student was articulated by the high school to a high school equivalency program.

Regents may also consider creating a State Seal of Civic Engagement, similar to the Seal of Biliteracy, and including that in the Index.

For purposes of school differentiation, the chronic absenteeism indicator and College, Career, and Civic Readiness Index for each subgroup in a school is converted to an Index Level that ranges from 1-4 for each graduation rate cohort as follows:

	Met Neither Goal	Met Long-Term State goal	Met end goal
Did not meet an MIP	1	3	3
Met lower MIP	2	3	4
Met higher MIP	3	4	4

The Board of Regents is committed to over time incorporating additional measures of school quality and student success into the State’s accountability system. The Regents plan to establish a workgroup that will be tasked with making recommendations regarding additional measures to incorporate into the accountability system, the way in which data about these measures should be gathered and the measures computed, the conditions necessary for the field to prepare for the use of these measures for accountability, and the timeline for incorporating these measures into the State accountability system.

In addition to indicators that may be added to the accountability system and used for identifying schools for support and intervention, the Department will regularly publish a set of indicators that highlight school conditions and students’ opportunities to learn. These will be used for diagnosing needs and progress in achieving quality and equity at the school, district, and State levels.

Among the measures that the Board of Regents will ask the workgroup to consider for accountability or reporting purposes are:

Indicator	Measure
Opportunity to Learn Indicators	
School Climate School Safety	Student experiences of school Incident rates
Suspension Rates	Suspension rates can be reported as the percentage of students suspended at least once at a school or the total number of days of suspension or a combination of both.
Per Pupil School Funding	Reported by function (e.g., total, instructional, capital, non-capital) spending.

Access to Specific Learning Opportunities	Student access to types of courses/curriculum (e.g. preschool, full-day kindergarten, STEM, arts, physical education, history/ social studies) measured either through school reports of hours taught, # of courses offered, or # of students enrolled, or through student survey results)
Student Access to Highly Qualified Teachers	% of fully certified/effective teachers % of in-field teachers in each school % experienced teachers (e.g., with 3+ years of experience)
Access to Staffing Resources	Student's class size Number of counselors per student
Integration of Students	A measure of the extent to which students of different subgroups (by race/ethnicity, socioeconomic status, English language learners and students with disabilities) are in schools and classrooms together relative to their presence in the district as a whole.
Middle School, High School, and Postsecondary Success	
High school readiness indicator	An index of factors predicting high school success. For example, California's CORE districts report the % of 8th graders who have a grade point average (GPA) of 2.5 or better; attendance rate of 96% or better; no D's or F's in ELA or math; and no suspensions. ⁱ
High School Credit Accumulation / Completion of Required Credits / Successful completion of coursework for graduation	Average credit accumulation per year % of students reaching a specified # of credits % of students in a high school cohort who have successfully completed all credits for graduation
Student Attainment of Industry- Approved Licenses or Certificates	Percentage of students acquiring an industry-recognized license of certificate.
Post-Graduation Outcomes	Percentage of students going onto college or employment
Postsecondary Enrollment Rates	Percentage of students enrolling in 2- or 4-year colleges within set time after graduation
Postsecondary Persistence Rates	Percentage of students who persist to a 2 nd or 3 rd year of college
Teacher/Parent Engagement	
Teacher Turnover -----	% of teachers leaving each year
Teacher Absences	Average # of teacher absences per year
Teaching Conditions	Teacher Survey, such as TELL or similar tool
Parent Involvement and Engagement	Parent surveys; local evidence of participation

While these indicators are being considered for inclusion in the accountability and reporting systems, the Department will develop a data dashboard that will be used to provide stakeholders with a transparent and intuitive way to assess the performance of schools in relation to a variety of metrics that include both those that are used for accountability and those that measure important aspects of schooling, but are not appropriate to be used for high stakes decisions.

v. Annual Meaningful Differentiation (ESEA section 1111(c)(4)(C))

a. Describe the State’s system of annual meaningful differentiation of all public schools in the State, consistent with the requirements of section 1111(c)(4)(C) of the ESEA, including a description of (i) how the system is based on all indicators in the State’s accountability system, (ii) for all students and for each subgroup of students. Note that each state must comply with the requirements in 1111(c)(5) of the ESEA with respect to accountability for charter schools.

New York State will differentiate all public schools in the State, including charter schools, into the following categories using each of the indicators specified in Section iv for which a subgroup will be held accountable: Comprehensive Support and Improvement Schools, Targeted Support and Improvement Schools, Schools in Good Standing, and Recognition Schools. In order to determine the category into which a subgroup will be differentiated, New York State assigns a Performance Level from 1-4 for each measure for which a subgroup in a school is held accountable.

b. Describe the weighting of each indicator in the State’s system of annual meaningful differentiation, including how the Academic Achievement, Other Academic, Graduation Rate, and Progress in ELP indicators each receive substantial weight individually and, in the aggregate, much greater weight than the School Quality or Student Success indicator(s), in the aggregate.

New York State does not explicitly weight indicators, but rather uses a series of decision rules to differentiate between schools. These decision rules, when applied, give the greatest weight at the elementary and middle school level to achievement and second highest weight to growth. Progress, English language proficiency, and chronic absenteeism are weighted equally and at a level less than that of achievement and growth. At the high school level, decision rules, when applied, give the greatest weight to achievement and second highest weight to graduation rate. Progress; English language proficiency; chronic absenteeism; and college, career, and civic readiness are weighted equally and at a level less than that of achievement and graduation rate.

c. If the States uses a different methodology or methodologies for annual meaningful differentiation than the one described in 4.v.a. above for schools for which an accountability determination cannot be made (e.g., P-2 schools), describe the different methodology or methodologies, indicating the type(s) of schools to which it applies.

Currently, New York State holds schools in which Grades 1 or 2 are the terminal grade accountable for the performance of their former students when these students take the Grade 3 assessments in another school within the district (i.e., back mapping). These schools are responsible for the performance of students who were continuously enrolled in the school's highest grade (Grade 1 or 2). Schools serving only kindergarten are required to submit nationally normed (if available) achievement test data for English language arts and mathematics to the Department, called the Self-Assessment process. New York State is considering maintaining this current system under ESSA

Currently, schools with any configuration of Grades K through 12 that do not participate in the regular State assessment program are required to submit nationally normed (if available) achievement test data for English language arts and mathematics to the Department. Department staff then review this data to determine the accountability status of the school. New York State is considering maintaining this current system under ESSA.

Schools with fewer than 30 continuously enrolled students who have participated in State assessments during the prior two years combined, or any configuration of Grades K through 12 that do not participate in the regular state assessment program, are required to submit nationally-normed (if available) achievement test data for English language arts and mathematics to the Department, called the Self-Assessment process.

Schools for which data for all indicators are not available will have preliminary determinations made based upon indicators for which information is available as well as alternative metrics mutually agreed upon by the school district and the State. For example, a newly opened high school might substitute the percentage of students who remain enrolled at the end of Grade 9 for the high school graduation rate.

vi. Identification of Schools (ESEA section 1111(c)(4)(D))

a. Comprehensive Support and Improvement Schools. Describe the State's methodology for identifying not less than the lowest-performing five percent of all schools receiving Title I, Part A funds in the State for comprehensive support and improvement, including the year in which the State will first identify such schools.

New York State will identify schools for Comprehensive Support and Improvement (CSI), based on lowest performance and low high school graduation rates, beginning with 2017-18 school year results and every three years thereafter. New York State will identify approximately 5% of the public elementary and middle schools and 5% of the public high schools in the State for Comprehensive Support and Improvement by using the following decision rules:

Decision Rules for Identifying Elementary and Middle Schools Comprehensive Support and Improvement:

- Rank order the schools on the Achievement Index and determine the lowest 10% (Achievement = 1)

- Rank order the schools on the three-year unweighted average Mean Growth Percentile (MGP) and determine the lowest 10% (Growth = 1)
- Add the Achievement Index rank and the Growth Ranks and determine the lowest 10% (Combined Achievement & Growth = 1)
- Use the table below to identify schools for CSI

Classification	Achievement	Growth	Combined Achievement and Growth	Progress*	ELP*	Chronic Absenteeism*
CSI	1	1	1	Any		
CSI	1		1	Any One Level 1		
CSI		1	1	Any Two Level 1		

*If there is insufficient data to calculate a rating for the indicators, then the subgroup will not be able to use those indicators as a means to avoid CSI identification. For example, if a school does not have an ELP or Chronic Absenteeism indicator, but it scores a 1 on Combined Achievement and Growth, it will be identified, unless the subgroup’s Progress is Level 2 or higher. If it does not have any of the other indicators, the school will be identified.

New York State will identify a minimum of 5% of all elementary and middle schools in the State, as well as what has historically been the small number on non-Title I schools in the State that perform at the level that caused Title I schools to be identified.

Decision Rules for Identifying High Schools for Comprehensive Support and Improvement:

- Rank order the schools on the Achievement Index and determine the lowest 10% (Achievement = 1)
- Rank order the schools on the 4-, 5-, and 6-year unweighted graduation rate and determine the lowest 10%
- Add the Achievement Index rank and the Growth Ranks and determine the lowest 10% (Combined Achievement & Growth = 1)
- Use the table below to identify schools for CSI

Classification	Achievement	Graduation Rate	Combined Achievement and Graduation Rate	Progress*	ELP*	Chronic Absenteeism*	College, Career, and Civic Readiness Index*
CSI	1	1	1	Any			
CSI	1		1	Any One Level 1			
CSI		1	1	Any Two Level 1			

*If there is insufficient data to calculate a rating for the indicators, then the subgroup will not be able to use those indicators as a means to avoid CSI identification. For example, if a school does not have an ELP Chronic Absenteeism indicator, but it scores a 1 on combined graduation rate, it will be identified, unless the subgroup’s Progress and College, Career, and Civic Readiness Index is Level 2 or higher. If it does not have any of the other indicators, the school will be identified.

New York State will identify a minimum of 5% of all elementary and middle schools in the State, as well as what has historically been the small number on non-Title I schools in the State that perform at the level that caused Title I schools to be identified.

b. Comprehensive Support and Improvement Schools. Describe the State’s methodology for identifying all public high schools in the State failing to graduate one third or more of their students for comprehensive support and improvement, including the year in which the State will first identify such schools.

All public schools beginning with 2017-18 school year accountability that have a graduation rate below 67% for the four-year graduation rate cohort and do not have a graduation rate at or above 67% for the five- or six-year cohorts will be preliminarily identified for CSI based on graduation rate.

c. Comprehensive Support and Improvement Schools. Describe the methodology by which the State identifies public schools in the State receiving Title I, Part A funds that have received additional targeted support under ESEA section 1111(d)(2)(C) (based on identification as a school in which any subgroup of students, on its own, would lead to identification under ESEA section 1111(c)(4)(D)(i)(I) using the State’s methodology under ESEA section 1111(c)(4)(D)) and that have not satisfied the statewide exit criteria for such schools within a State-determined number of years, including the year in which the State will first identify such schools.

New York State will identify schools with chronically low performing subgroups after a period of three years, if the subgroup(s) for which the school has been identified have not shown a specified level of improvement during that period. All districts will be given an opportunity to appeal the preliminary identification of schools prior to a final determination.

d. Frequency of Identification. Provide, for each type of school identified for comprehensive support and improvement, the frequency with which the State will, thereafter, identify such schools. Note that these schools must be identified at least once every three years.

New York State will identify schools for CSI, based on lowest performance and low high school graduation rates, beginning with 2017-18 school year results and every three years thereafter.

e. Targeted Support and Improvement. Describe the State’s methodology for annually identifying any school with one or more “consistently underperforming” subgroups of students, based on all indicators in the statewide system of annual meaningful differentiation, including the definition used by the State to determine consistent underperformance. (ESEA section 1111(c)(4)(C)(iii))

For Targeted Support and Improvement Schools (TSI), New York State will apply the same decision rules as used for identification of CSI schools to identify the lowest 5% of public schools

annually for the following subgroups: English language learners, low-income students, racial/ethnic groups, and students with disabilities.

If a school had been identified as a Priority or Focus School in the 2017-18 school year, and the school is identified as underperforming based on 2017-18 school year data, the school will be identified as Consistently Underperforming based on 2017-18 school year data. All other schools will be identified as Consistently Underperforming if the school is identified for any subgroup as underperforming for three consecutive years. This determination will be made annually.

f. Additional Targeted Support. Describe the State’s methodology, for identifying schools in which any subgroup of students, on its own, would lead to identification under ESEA section 1111(c)(4)(D)(i)(I) using the State’s methodology under ESEA section 1111(c)(4)(D), including the year in which the State will first identify such schools and the frequency with which the State will, thereafter, identify such schools. (ESEA section 1111(d)(2)(C)-(D))

Beginning with 2020-2021 school year results, New York State will identify any TSI school for additional targeted support if the school remains underperforming for any subgroup for which it has been identified for Targeted Support and Improvement for three consecutive years.

g. Additional Statewide Categories of Schools. If the State chooses, at its discretion, to include additional statewide categories of schools, describe those categories.

New York State will identify schools for recognition in accordance with criteria established by the Commissioner.

Any school that performs at Level 1 on any accountability measure for any subgroup will not be formally designated, but will be required to conduct a needs assessment to determine the additional support that the school needs to improve performance. Based on the school’s needs assessment, the school district, in its State consolidated plan, will be required to identify the additional resources and professional development that the district will provide the school to improve performance. If performance on the measure does not improve, the district shall increase oversight of the school.

New York State also plans to continue to identify Target Districts, based on the following criteria:

- There are one or more Comprehensive or Targeted Support and Improvement Schools in the district, or
- The district is performing at the level that would have caused a school to be identified as TSI or CSI.

In the future, the Department will consider adding additional indicators to the process of identifying Target Districts that are based upon information that can be collected at the district level, but not necessarily disaggregated to students (e.g., teacher engagement, class sizes, number of violent incidents.)

vii. Annual Measurement of Achievement (ESEA section 1111(c)(4)(E)(iii)): Describe how the State factors the requirement for 95 percent student participation in statewide mathematics and reading/language arts assessments into the statewide accountability system.

New York State is considering requiring districts and schools with a consistent pattern of testing fewer than 95% of students in their general population and/or 95% of their students in one or more specific subgroups to create a plan that will address low testing rates resulting directly or indirectly from actions taken by the school or district, which we are calling institutional exclusion, while recognizing the rights of parents and students. New York State is also considering requiring districts that evidence exclusion to implement a corrective measure as part of a plan to be executed over the course of multiple years, such as the one listed below:

- Schools that persistently and substantially fail to meet the 95% participation requirement must conduct a participation rate self-assessment and develop a participation rate improvement plan.
- Schools that implement a school improvement plan and do not improve their participation rate receive a district participation rate audit, and the district must develop an updated participation rate improvement plan for the school.
- Districts with schools that implement the district's improvement plan and do not improve their participation rate must contract with a BOCES to conduct a participation rate audit and develop an updated participation rate improvement plan.
- Districts that have schools that implement the BOCES improvement plan and do not improve their participation rate may be required by the Department to undertake activities to raise student participation in State assessments.

New York State is continuing efforts to increase participation in the Grades 3-8 ELA and mathematics tests across the State:

- Responding to feedback from educators and parents, New York State reduced the number of test questions and converted to untimed testing so that students could work at their own pace and focus on their proficiency in the learning standards.
- New York State is investigating additional changes to the tests, including a further reduction of questions that may eliminate a full day of scheduled testing.
- The Department has engaged the advice of nationally recognized consultants, and its own Technical Advisory Committee, to ensure that the technical quality of the tests is maintained as changes are made.
- In addition, New York State intends to apply for participation in the Innovative Assessment Demonstration Authority, once the application is released. The Department will develop the application in coordination with LEAs to identify innovations that will address participation rates, as well as improve measurement of student proficiency.

The involvement of teachers, school administrators, parents, advocates, and the public in the development of new learning standards and assessments has significantly increased in recent years. Starting in 2015, all questions on the Grades 3-8 ELA and mathematics tests are reviewed by at least 22 New York State educators, and, starting in 2018, all test questions will be written by New York State educators. The Department has also engaged in extensive public outreach including the

AimHIGHNY online survey (<http://www.nysed.gov/aimhighny>), which was completed by 10,500 participants, the creation of an Assessment Toolkit (<http://www.nysed.gov/assessments-toolkit>) providing districts and schools with tools to communicate the importance of State assessments with their constituents, the informational website “Assessments 101” (<https://www.engageny.org/resource/assessment-101>) designed for use by teachers and parents, and direct communications made by the Commissioner of Education through face-to-face meetings and an increased media presence across the State.

viii. Continued Support for School and LEA Improvement (ESEA section 1111(d)(3)(A))

a. Exit Criteria for Comprehensive Support and Improvement Schools. Describe the statewide exit criteria, established by the State, for schools identified for comprehensive support and improvement, including the number of years (not to exceed four) over which schools are expected to meet such criteria.

A CSI school must for two consecutive years be above the levels that would cause it to be identified for CSI status. Schools may exit CSI status if for two consecutive years:

- The school’s achievement index and growth or graduation index are both Level 2 or higher, or
- Both achievement and growth or graduation are higher than at the time of identification; AND either growth/graduation or achievement is Level 2 or higher; AND none of the following is Level 1: Progress; English language proficiency; chronic absenteeism; and college, career, and civic readiness.

Alternatively, if a school is not on the new lists of schools that are created every third year, the school will be removed from identification.

Thus, for example, if a school is identified based on 2017-18 school year results, the school could first be exited if it is above the cut points for identification based on 2018-19 and 2019-20 school year results. It could next be exited if the school is not identified when a new list of schools is promulgated based on 2020-21 school year results.

b. Exit Criteria for Schools Receiving Additional Targeted Support. Describe the statewide exit criteria, established by the State, for schools receiving additional targeted support under ESEA section 1111(d)(2)(C), including the number of years over which schools are expected to meet such criteria.

New York State is considering exit criteria that would require that a school identified for low performing subgroups of students must, for two consecutive years, be above the levels that would cause a school to be identified for low performing subgroups of students. For a school to be removed from TSI status, all identified subgroups must meet the specified exit criteria. .

Alternatively, if a school is not on the new list of schools that is created every third year (i.e., the school/subgroup exceeded the updated identification requirements), the school will be removed from identification.

c. More Rigorous Interventions. Describe the more rigorous interventions required for schools identified for comprehensive support and improvement that fail to meet the State’s exit criteria within a State-determined number of years consistent with section 1111(d)(3)(A)(i)(I) of the ESEA.

If a school identified for Comprehensive Support and Improvement does not meet the exit criteria, and that school is re-identified as a CSI school on the new list of schools that is promulgated every three years, New York State will place the re-identified Comprehensive Support and Improvement school into the New York Receivership Program pursuant to Section 211-f of State Education law (the New York State School Receivership law) and Commissioner’s Regulations 100.19. In addition, if a school that is currently identified as a Priority School does not meet the exit criteria and is identified as a CSI school on the initial ESSA Accountability Designation list, that school will also enter the Receivership program. The Receivership program is outlined in more detail later in this section. This tiered approach toward accountability aligns with the State’s vision that it is there to support schools throughout the identification process and that it should reserve its more intensive supports and interventions for the schools that are struggling to make gains.

NEW YORK STATE’S DIFFERENTIATED SYSTEM OF SUPPORTS AND ACCOUNTABILITY

New York State’s system of differentiated accountability allows the schools identified as having the greatest needs to be the ones that receive the most support from the State. This approach has been developed using the feedback from stakeholders and the lessons that the Department has learned through our previous school improvement efforts.

In general, schools that are having difficulty making gains will receive more support and more oversight than the schools that are showing improvement.

New York State’s Role in School Improvement

The State’s role in School Improvement will be rooted in helping schools identify and implement the specific solutions that they need to address their specific challenges. This approach allows the State to support schools differently, based on the trajectory of the school and the length of time the school has been identified.

Department staff will utilize its collective knowledge, its experience, its access to data, its ability to provide financial supports, and its authority as an oversight entity to support the improvements necessary to increase student outcomes in struggling schools. The ways in which the State helps the school and district find the best solutions will vary. In some cases, the State may be best able to support the school through technical assistance and guidance. In other cases, the State may be best able to support the school through resource support. Additionally, the State may be able to best help the school through organizational shifts, and, when necessary, progressive interventions.

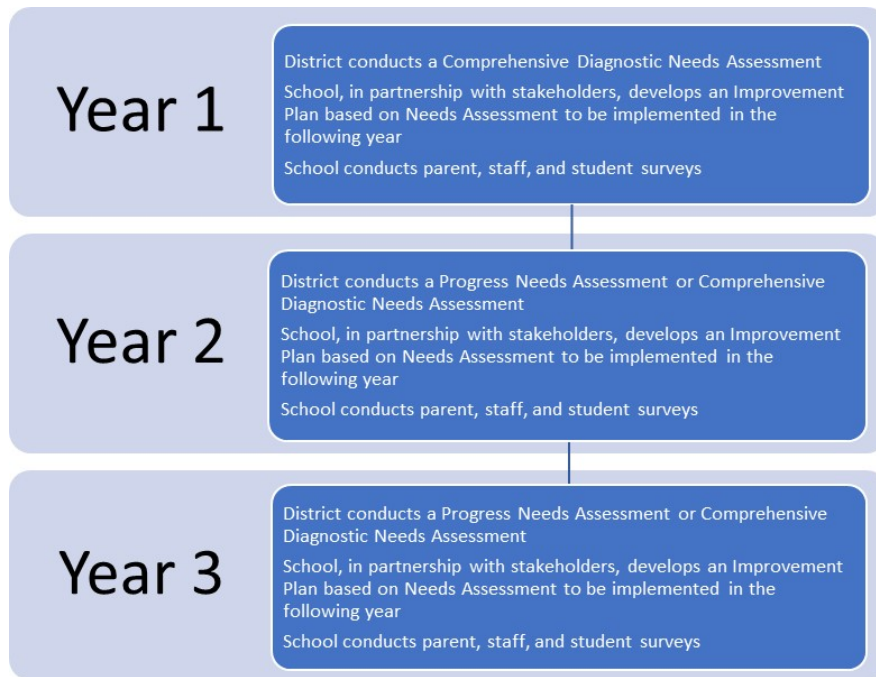
Often, the schools will best benefit from a combination of these supports, which is why the State sees support and technical assistance as being closely linked to oversight and intervention.

The State's efforts toward supporting identified schools involve eight critical components:

- Supporting the Comprehensive Diagnostic Needs Assessment process
- Supporting the development and implementation of schoolwide plans
- Supporting the implementation of Evidence-based Interventions and Improvement Strategies
- Providing training to districts on supporting their schools
- Providing data to inform plans and call attention to inequities
- Connecting schools and districts with other schools, districts, and professionals
- Allocating and monitoring school improvement funds
- Providing additional support and oversight for schools not making progress

The State will provide ongoing support and guidance to identified schools and districts as they undertake a series of required actions designed to best promote improvement and identify and implement the solutions best suited for each school. Under this model, Targeted Supports and Improvement schools will be supported by the district, which will be responsible for conducting TSI Needs Assessments, and approving and monitoring TSI School Improvement plans. This will allow the State to direct its focus toward Comprehensive Supports and Improvement Schools. After the initial year of identification, the State will focus its attention on the subset of CSI schools that are not making progress.

Improvement Steps for Targeted Supports and Improvements Schools

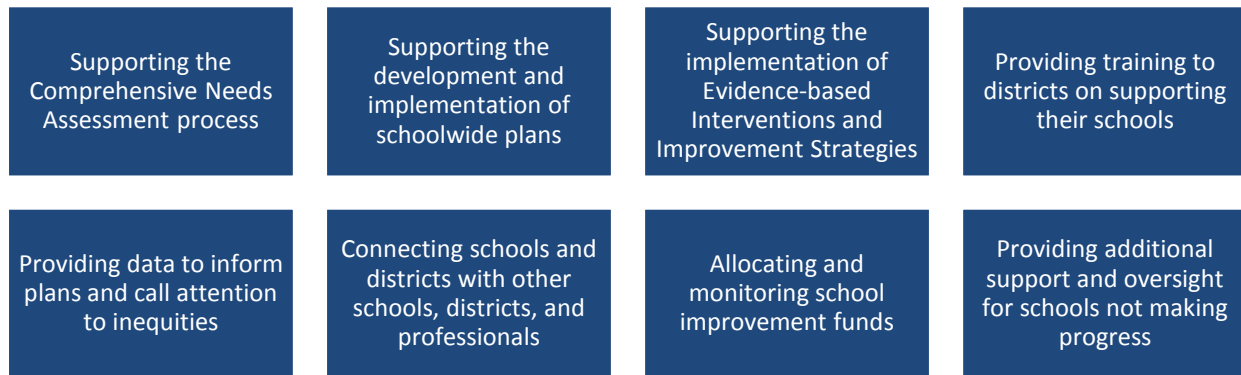


The district will oversee the improvement steps for TSI schools, while the State will monitor and support the improvement steps for CSI schools. The steps are noted below.

Improvement Steps for Comprehensive Supports and Improvement Schools



As stated earlier, the Department will provide support for CSI schools and TSI schools in eight different ways, each of which is outlined below:



Supporting the Comprehensive Diagnostic Needs Assessment Process

In order for the State to help schools identify the best solutions for their specific challenges, the State will support a needs assessment process that thoroughly examines qualitative and quantitative data in conjunction with an on-site analysis of the quality and effectiveness of the

education program in identified schools. In order to develop improvement plans based on the specific needs of each school, CSI and TSI schools will be required to undergo an annual needs assessment. There will be two types of annual needs assessments, a Comprehensive Diagnostic Needs Assessment, which is described below and which will be done by all schools during the first year of identification and, when appropriate, in subsequent years, and a Progress Needs Assessment, which is described in more detail in the *Supporting the Development and Implementation of Schoolwide Plans* section and will be done in the years following the Comprehensive Diagnostic Needs Assessment.

Comprehensive Diagnostic Needs Assessment

- A review of school/district quality using the research-based Diagnostic Tool for School and District Effectiveness (DTSDE)
- A review of select Tier II and Tier III indicators
- A Resource Audit that closely examines both the effectiveness of professional development along with how schools and districts use their time, space and staff in relation to best practices.

**Undertaken by all CSI and TSI schools in Year 1 and as needed in Years 2 and 3*

Progress Needs Assessment

- A Progress Review of the implementation of the School Improvement Plan
- A review of select Tier II and Tier III indicators in comparison to other schools and in comparison to last year
- A Resource Audit that examines the effectiveness of current professional development and compares allocations of time, space and staff from the previous year
- A review of parent, staff, and teacher survey results

**Undertaken by CSI and TSI schools in years when the Comprehensive Diagnostic Needs Assessment is not completed*

The Comprehensive Diagnostic Needs Assessment process in New York State will consist of three components:

- A review of school/district quality, using the research-based Diagnostic Tool for School and District Effectiveness (DTSDE)
- A review of select Tier 2 and Tier 3 indicators, such as suspension data or teacher turnover rates
- A Resource Audit that closely examines both the effectiveness of professional development along with how schools and districts use their time, space and staff in relation to best practices. Schools may also consider how additional time for student learning or teacher collaboration could be added to address the findings of the time audit.

The results of this three-part Comprehensive Diagnostic Needs Assessment will play a critical role in informing the school improvement plan.

To support schools and districts in their effort to identify the best solutions and recommendations for identified schools, the State will provide representatives to conduct the DTSDE review of school quality in all CSI schools and will continue to support districts with training, materials, and guidance, so that LEAs can successfully conduct the DTSDE review of each of their TSI schools. In addition, the State will provide training and guidance to districts, supporting districts' ability to

analyze Tier II and Tier III data and conduct Resource Audits. These two steps of the Comprehensive Diagnostic Needs Assessment will be led by the district.

Diagnostic Tool for School and District Effectiveness

The Diagnostic Tool for School and District Effectiveness (DTSDE) rubric and review protocols will play a critical role in the Comprehensive Diagnostic Needs Assessment process.

The DTSDE was developed in 2012 and has been the cornerstone of New York State’s school and district improvement efforts for the last five years. The DTSDE rubric is a research-based tool that outlines six critical tenets of school and district success, and, within each tenet, five Statements of Practice critical for success in each tenet. The DTSDE Tenets are organized as follows:

- Tenet 1: District Leadership and Capacity
- Tenet 2: School Leader Practices and Decisions
- Tenet 3: Curriculum Development and Support
- Tenet 4: Teacher Practices and Decisions
- Tenet 5: Student Social and Emotional Developmental Health
- Tenet 6: Family and Community Engagement

Since the 2012-13 school year, all Priority and Focus schools have been required to undergo an annual DTSDE review. The Department has led a portion of these reviews each year with the assistance of an Integrated Intervention Team (IIT) consisting of a member from the district, an Outside Educational Expert (OEE) contracted by the State, and, when available, experts from the regional technical assistance centers for students with disabilities and English Language Learners. Since 2012, districts have overseen the reviews of schools not visited by the Department, while the State has conducted approximately 150 DTSDE reviews a year and visited Priority Schools once every three years.

The review process relies on clearly defined protocols to ensure consistency across New York State. Throughout the implementation of the DTSDE, the State has used feedback from the field to enhance the review process. These adjustments include revising the DTSDE Rubric in 2013-14 and modifying the visit protocols in 2014-15. Based on feedback and lessons learned from initial implementation, the State made refinements to the tools used for classroom visits as well as to logistics, including adding an additional day following site visits for teams to discuss evidence and ultimately provide more accurate, immediate, actionable feedback.

In New York State’s effort to ensure that the review process is as beneficial as possible to schools and districts, the State made significant enhancements to the process in 2015. These changes marked a shift from using the rubric and review as an evaluative instrument to using the rubric and review as a technical assistance opportunity. As a result, the review process is now much more of

a collaboration between the IIT and the building principal. The lead reviewer and principal visit classrooms together and discuss potential recommendations throughout the review. With the focus of the IIT shifted from rating the school to identifying the best recommendations for improving student results, the school community is much more willing to openly discuss its challenges and engage in problem-solving with the IIT throughout the review. At the conclusion of every review, the IIT leaves approximately five concrete, actionable recommendations designed to be implemented within a short time frame.

As an additional means of providing technical assistance to building leaders, beginning in 2016-17, all IIT reviews now include a return visit to the school approximately six to eight weeks following the initial review. The return visit provides an opportunity for the principal to share with the lead reviewer the progress made in implementing the recommendations and to determine next steps. A summary of this meeting is included in an addendum to the final report that the school receives.

The shift from using the review process to rate schools toward using the review process to identify barriers and provide technical assistance aligns with the State’s vision for supporting schools and identifying and implementing the best solutions for their circumstances. The feedback regarding this shift toward technical assistance has been overwhelmingly positive. In a survey of 70 principals who received IIT reviews in 2016-17, the Department received the following responses:

- 71% of principals gave the highest rating and an additional 20% of principals gave the second highest rating when asked the extent to which they feel that they can use the recommendations provided to advance the school.
- 78% of principals describe the ideas beyond the recommendations that they have received as a result of the review as “numerous” or “transformative.”
- 83% of principals gave the highest or second highest score when asked if they feel that the review has deepened their understanding of the school and the work ahead.
- More than 81% of principals say their input has been taken into consideration “to a great extent.”

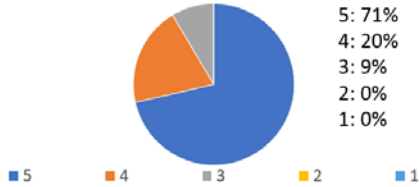
In addition to the survey results, principals from across the State have provided positive feedback about the process.

- *“This had to be one of the best experiences of my career. I beat my head in search of that "tipping point" to increase student achievement. I now have the tools I need to move forward. A very humbling experience and I am grateful to have been a part of it!” - Principal in Brooklyn*
- *“The team was very clear that this process is not meant to be a "gotcha" method. They were very collaborative throughout the entire review asking great probing questions to get myself and staff to think deeper. I felt extremely free to be candid and the strengths and areas of need in the school building. I was able to share where the school has come from and where I want to see the school go. The process was very tightly aligned.” – Principal in Rochester*

- *“I really appreciate this year's format. The team that came to our school was extremely reflective, cooperative, and helpful” – Principal in rural district*

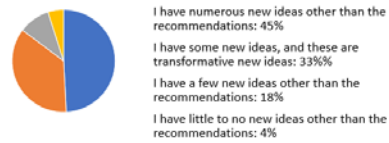
71% of Principals gave the highest rating when asked if they can use the recommendations to advance the school

Principals: On a scale of 1 to 5, to what extent do you feel like you can use the recommendations to move the school forward?



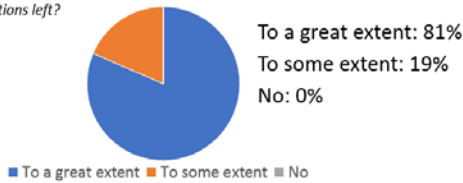
78% of principals describe the ideas beyond the recommendations that they have as a result of the review as “numerous” or “transformative.”

Principals: Do you feel you have insights beyond the recommendations that you will use to move the school forward?



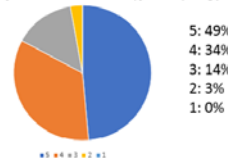
More than 81% of principals say their input has been taken into consideration “to a great extent.”

Principals: Do you feel your input has been taken into consideration with the final recommendations left?



83% of Principals gave the highest or second highest score when asked if they feel the review has deepened their understanding of the school and the work ahead.

Principals: On a scale of 1 to 5, do you feel the review has been helpful in deepening your understanding about your school and the work ahead?



In addition to the direct technical assistance that the State provides to principals through the DTSDE review process, New York State also uses the DTSDE rubric and review process as a means to build the capacity of LEA and school leaders. Since 2012, the State has annually conducted several Focus District Institutes, at which district and school leaders are provided specific guidance concerning promoting school improvement strategies within the DTSDE rubric, conducting DTSDE reviews, serving as a member on a DTSDE IIT, and developing plans based on the DTSDE Needs Assessment.

The State has offered more extensive technical assistance to interested districts and school leaders through the development of Professional Learning Communities and a DTSDE Reviewer Certification program. In addition, to ensure that the DTSDE reviews conducted by LEAs are done with fidelity, the State has developed a Lead Reviewer Credential that must be obtained by any individual conducting two or more district-led DTSDE reviews. In order to receive the credential, reviewers must fulfil a training requirement and a shadowing requirement, in addition to passing an on-line assessment. To ensure that reviewer practices reflect current expectations, the Department requires those with the DTSDE District Lead Credential to renew the credential each

year. In addition, the Department reviews reports submitted from District-led reviews and provides feedback to the district.

The State has partnered with the University of Albany to develop a DTSDE Resource Guide, which identifies research-based interventions and strategies for each of the 30 DTSDE Statements of Practice. The full Resource Guide can be found online at:

<http://www.p12.nysed.gov/accountability/diagnostic-tool-institute/documents/DTSDEResourceGuide.pdf>.

The DTSDE rubric, visit protocols, and subsequent reports have become part of the New York State educational culture and define how the State interacts with schools and districts regarding school improvement. At the State level, the DTSDE enables the Department to communicate with districts and schools, using a shared language/vocabulary of school improvement. Extensive professional development on the DTSDE process and rubric for Department staff has increased the Department's internal capacity to support districts and schools in the school improvement process. At the LEA level, the DTSDE has provided districts with a framework to assess school effectiveness, organize resources, and create targeted improvement plans through the District Comprehensive Improvement Plan (DCIP). Finally, at the school level, the DTSDE rubric and the associated professional development increase the capacity of administrators and staff to self-assess both the strengths and the weaknesses of their educational and student support programs. For example, the University of Rochester, in partnership with the Rochester City School District, has developed a plan to redesign East High School with the explicit intention of creating a school that will be rated "Effective" or "Highly Effective" on each DTSDE statement of practice.

Extensive documentation of the DTSDE process can be found at:

<http://www.p12.nysed.gov/accountability/diagnostic-tool-institute/home.html>

For these reasons, the DTSDE process will continue to serve as the backbone of New York State's school improvement efforts under ESSA.

Supporting the Development and Implementation of Schoolwide Plans

New York State has developed a cycle of continuous school improvement based on identifying school and district needs through the DTSDE review process and then having schools and districts develop improvement plans based on the results of the review. The State has promoted a continuous improvement process based on five essential steps:

1. Identifying needs
2. Strategically identifying solutions to address those needs
3. Identifying benchmarks to determine if the strategies have been successful
4. Monitoring the effectiveness of those strategies being implemented and tracking progress toward benchmarks
5. Revising the strategies when gains are not made and benchmarks are not reached

This process has been formalized through the improvement planning cycle. Under ESSA, identified schools will be required to develop an annual improvement plan, known as a School Comprehensive Educational Plan (SCEP). This plan must:

- Include an analysis of the achievement of previous goals
- Be based on the pertinent data from the school, including, but not limited to, the results of the school’s DTSDE review or Progress Review, tier 2 and tier 3 data, the results of the school’s resource audit, and data from annual surveys
- Identify the measures for which the school has been identified
- Identify the initiatives that will be implemented within each of the six DTSDE Tenets to positively affect student learning
- Explicitly delineate the school’s plan for annually increasing student performance through comprehensive instructional programs and services, as well as the plan for enhancement of teacher and leader effectiveness. The SCEP must focus on the accountability subgroup(s) and measures for which the school has been identified.
- Be developed in consultation with parents, school staff, and others in accordance with the requirements of Commissioner’s Regulations §100.11 pertaining to Shared-Decision Making in order to provide a meaningful opportunity for stakeholders to participate in the development of the plan and comment on the SCEP before it is approved. The plan must be formally approved by the school board and be made widely available through public means, such as posting on the Internet, distribution through the media, and distribution through public agencies.
- Be implemented no later than the beginning of the first day of regular student attendance

The Department has established Quarterly Leading Indicator Reports to provide a single “running record” that documents progress toward achieving the SMART goals identified in the SCEP. The template also serves as a tool to assist in strategic decision making based on concrete data. The report is to be completed by the school leader, in collaboration with the School Leadership Team, and submitted to the superintendent or his/her designee for review and verification each quarter.

The process has been designed to provide a road map for improvement that districts and schools can use throughout the year. In addition, the Department will continue to provide ongoing technical assistance through feedback on plans submitted, statewide trainings and webinars, and individual assistance and support. Under ESSA, the State will be responsible for approving and monitoring the improvement plans at CSI schools, while the district will approve and monitor the improvement plans at TSI schools. The State will provide guidance and support to districts to assist them with this responsibility.

As part of the New York State’s efforts to ensure that the need assessment process results in schools and districts identifying and implementing the best solutions for the challenges that they face, the State will shift the needs assessment process under ESSA.

Currently, identified schools undergo a full diagnostic DTSDE review or a modified DTSDE review each year. Under ESSA, after the initial Comprehensive Diagnostic Needs Assessment, subsequent annual needs assessments will focus on assessing progress to determine the appropriate actions for future improvement plans. These needs assessments, known as Progress Needs Assessments, will consist of four components:

- A Progress Review that looks at the quality and effectiveness of the implementation of the School Improvement Plan
- A review of select Tier II and Tier III that compares the school’s data to other schools and compares the data to the school’s results from previous years.
- A Resource Audit that examines the effectiveness of current professional development and compares allocations of time, space, and staff from the previous year
- A review of parent, staff, and teacher survey results

As part of the Progress Needs Assessment, schools will not receive a full DTSDE review, but will instead receive a “Progress Review” that provides feedback to schools regarding the quality of the implementation of their School improvement plan. This review will help address challenges that schools face and provide feedback to ensure that the plan will result in improved student outcomes. The State will use what it has learned during its implementation of the DTSDE review process and work with stakeholders to ensure that the Progress Review process can provide useful feedback to schools. The additional components of the Progress Needs Assessment will allow the schools to use data to identify needs and to determine the extent to which progress has been made toward goals.

Districts will have the option to revisit their initial Diagnostic DTSDE review and conduct a new Comprehensive Need Assessment in lieu of a Progress Needs Assessment when it has been determined that the initial diagnosis may not have accurately identified the areas in need of support. In addition, all CSI schools that do not make progress in both Year 1 and Year 2 will receive a new Diagnostic DTSDE Review in Year 3 of identification. CSI schools that completed their second Diagnostic DTSDE Review in Year 2 will not be required to receive an additional Diagnostic Review in Year 3. The State will provide support by leading Progress Reviews in some CSI schools in Year 2 and leading second Diagnostic DTSDE Reviews in some schools that do not make progress in both Year 2 and Year 3.

Supporting the Implementation of Evidence-Based Interventions and Improvement Strategies

During conversations with a variety of stakeholders throughout New York State, the Department repeatedly heard that intervention is a serious step that must be applied selectively to schools that are struggling to make gains. The Department also heard from numerous stakeholders that it must remember that the struggles facing a school are often not the result of a lack of effort. Stakeholders suggested that one-size-fits-all requirements can present additional challenges or may not be appropriate for the circumstances of the school, and, therefore, flexibility was necessary in order for districts and schools to identify the best solutions for their specific circumstances.

New York State has incorporated the feedback that it heard from stakeholders with the lessons that it has learned over the years to develop a system that moves away from overly prescriptive requirements upon identification, and instead use its requirements for CSI schools as a way to promote best practices and better position schools and districts to be successful. Additional actions will be necessary for schools that do not show progress, a process that is outlined in the section: *Providing Additional Support and Oversight for Schools not Making Progress*.

Under ESSA, CSI and TSI schools will be required to include at least one evidence-based intervention in their annual plans. Both CSI and TSI schools will be encouraged to utilize the DTSDE Resource Guide (<http://www.p12.nysed.gov/accountability/diagnostic-tool-institute/documents/DTSDEResourceGuide.pdf>) when selecting interventions to address needs that were identified during the Comprehensive Diagnostic Needs Assessment process. In addition, the State will serve as a resource to connect districts and CSI and TSI schools to clearinghouses that have identified Evidence-based Interventions. CSI and TSI schools will have the flexibility to identify an Evidence-based Intervention to address the root causes that they have identified during the needs assessment process.

To promote the adoption of organizational best practices, New York State will require all CSI schools to adopt at least one school-level intervention. To support schools and districts in their efforts to implement these interventions, during the 2017-18 school year, New York State will use data collected from current improvement plans and school-level reviews, along with the State's implementation of the *My Brother's Keeper* initiative, to identify a select number of school-level improvement strategies for which the State will offer learning and implementation assistance to CSI schools as possible interventions to pursue. New York State will offer a professional development series for each of these strategies during the 2018-19 school year to assist districts and schools beginning these interventions. The State will use this training as a means of providing technical assistance and establishing Professional Learning Communities for identified schools implementing similar strategies. CSI schools will have the flexibility to pursue a school-level improvement strategy that is not one of the strategies identified by the State. Within one year of identification, all CSI schools will be required to have begun implementing at least one school-level improvement strategy.

As an additional way to support CSI schools in their improvement efforts and position these schools for success, the State has identified two provisions from the former New York Whole School Reform models that CSI schools will be required to follow. All CSI schools must:

1. Only permit incoming transfers of teachers who have been rated as Effective or Highly Effective in the most recent evaluation year.
2. Provide staff job-embedded, ongoing professional development that is informed by the diagnostic review and the teacher evaluation and support systems and is tied to teacher and student needs.

As a way to empower parents and provide parents from all CSI schools with choices in their child's education, New York State will provide a set amount of funds to all CSI schools and require that CSI schools implement a participatory budgeting process that allows parents to help determine how these funds are spent. As part of the participatory budgeting process, parents will help determine the most appropriate ways for the school to spend the funds connected to the results of the needs assessment. More detailed guidance and training will be provided to districts, school staff, school leadership teams, and parent organizations to support the implementation of the parent participatory budgeting process. In addition to providing parents with a voice in how funds are spent, the participatory budgeting process also addresses an ongoing goal of the State by promoting reciprocal communication and parent engagement.

Based on feedback and experience, the State has concluded that Public School Choice did not always support school improvement or better opportunities for students, as higher-performing schools were not typically available and exits could lead to greater segregation and inequity while increasing financial burdens for districts and schools already facing challenges. The State notes that most of the current districts with identified schools have been unable to offer Public School Choice. In the past, there has been no designated alternative to Public School Choice to empower parents; however, the addition of the Parent Participatory Budgeting process addresses that need and now allows parents in all CSI schools to have a voice. While New York State values parent choice, the Department will work to ensure that the provision of choice supports and does not work at cross-purposes with the goal of improving student outcomes across the district. New York State will make Public School Choice an option, but not a requirement, for any district with a CSI school when the district believes Public School Choice will support stronger outcomes for students and for CSI schools. In districts offering Public School Choice, a parent of a student attending a CSI school may request a transfer to a school classified as In Good Standing. If there are no schools In Good Standing available, the district may offer a transfer to a Targeted Support and Improvement School.

The State wants to ensure that parents of students attending schools experiencing significant decline are provided options. Therefore, in any instances when the Performance Index of a CSI school declines for two consecutive years, the district will be required to offer Public School Choice for parents of students attending that CSI school.

As an additional way to promote best practices and position schools for success, CSI and TSI schools will be required to conduct annual surveys of parents, teachers, and students. Previously, identified schools were required to conduct surveys of just teachers and students. Districts will have the flexibility to determine the survey instrument that best suits the needs of the district, and the State will support districts in identifying possible surveys to pursue. These surveys should be used to measure change over time, assist in the Needs Assessment process, and provide data to inform the annual planning process.

Providing Training to Districts on Supporting their Schools

The Department will continue to convene representatives from LEAs for statewide trainings to provide professional development on how the district can best support its identified schools. These sessions will offer districts guidance on topics such as conducting needs assessments, developing plans based on needs assessments, identifying root causes, addressing root causes through Evidence-based Interventions, and monitoring and revising school-level plans.

New York State will also offer professional development strands based on the schoolwide improvement strategies outlined previously in the Evidence-based Intervention section. The State will provide guidance and training to schools undertaking these interventions. In addition, the State will convene those undertaking these interventions to share their experiences with colleagues as a community of practitioners so that schools can use one another as potential resources.

In addition, New York State plans on identifying districts in need of additional support. Similar to the approach with schools, identified districts will be expected to undertake an annual Needs Assessment and develop an improvement plan based on the results of that Needs Assessment. As part of this plan, districts will be required to identify how they are assessing the capacities of their principals and providing supports to the principals in identified schools. Districts will also be required to review school-level and district-level data and describe how the district will address identified resource inequities.

Providing Data to Inform Plans and Call Attention to Inequities

The Department has access to multiple sources of data that can be helpful for schools and districts seeking to identify areas in need of improvement. The State will share this data so that schools and districts can make comparisons within the district and across the State. This review will help inform the Need Assessment process so that schools and districts can identify specific areas to address and identify specific goals and benchmarks to determine if progress is being made. The State will provide guidance so that schools and districts can analyze this data to determine where improvement is necessary and where inequities have been identified.

As part of the State's ESSA plan, New York State will annually publish on its website the per-pupil expenditures for each local educational agency and each school in the State for the preceding fiscal year, and also publish a State Equity Report, which will identify the rates of assignment to Ineffective, Out-of-field, and Inexperienced teachers between minority and low-income students in Title I schools and non-low-income, non-minority students in non-Title I schools at the LEA level. These data will provide an additional source of information for districts and schools as they attempt to identify and address areas of need.

In addition, New York State will establish annual cycles of resource allocation reviews of districts with significant numbers of Comprehensive and Targeted Support and Improvement Schools. These reviews will include an analysis of the school and district Resource Audits conducted during the Needs Assessment process, along with an analysis of school-level fiscal data, human resource data, and data from certain Opportunity to Learn Standards, and data from the district-level Equity Report described below, to determine if there are gaps in resource allocation among TSI, CSI, and schools in good standing. These data will be presented to LEAs, comparing allocations between

LEAs and within LEAs. Following this review, the State will engage districts in which inequities are identified to determine the most appropriate actions that may be necessary to reduce and eliminate these inequities.

Connecting Schools and Districts with Other Schools, Districts and Professionals

The Department's extensive technical assistance and support allows the Department to be uniquely positioned to learn which schools and districts are attempting to address similar challenges. Through this position, the State is able to connect schools and districts with similar schools and districts to create a community of practitioners. During the first year of identification, the State will form Professional Learning Communities based on the professional development series it will offer for a number of school-level improvement strategies. After the initial year of identification, the State will focus its attention on the schools that have not made gains in subsequent years so that those schools can receive more intensive supports. One way that the State will implement this is by connecting schools and districts that are addressing similar challenges and convening these schools and districts to provide guidance and allow those in the field to share their challenges and work together to think of solutions.

In addition, the State is uniquely positioned to connect CSI schools to schools that have successfully addressed challenges and made gains. The State will connect CSI schools and districts to other schools and districts of similar demographics when the State believes that the CSI schools and districts can learn from the higher-performing schools. One way that the State will do this is by identifying schools that have met certain criteria for success and naming them, "Recognition Schools." From this list, the State will be able to identify Title I Recognition Schools and consider ways to have Recognition Schools provide support to CSI schools. The State is currently conducting a similar program that involves Reward Schools providing direct support to Priority and Focus schools through activities such as mentoring principals and serving as instructional training sites.

The State also has a number of Regional Technical Assistance providers able to provide support to identified schools. The Board of Regents portfolio includes 37 regional Boards of Cooperative Educational Services (BOCES). Each BOCES is led by a District Superintendent who is both its Chief Executive Officer and the Commissioner's representative in the field. This structure is unique within the United States, and it allows the Department to have an unparalleled statewide effect at the local level. The BOCES are linked together through a formal network that includes the Assistant Superintendents of Instruction from each BOCES, instructional administrators from each of the Big 5 city school districts, and Department senior staff. These representatives convene and communicate regularly, serving as a conduit for the exchange of information and best practices across the State. BOCES employ more than 34,000 staff who provide services to school districts and operate 12 Regional Information Centers (RICs) that annually provide districts with over \$300 million in technology-related services. The BOCES governance structure; their statewide presence; and their cadre of practitioners and experts in data analysis, assessment, curriculum and instruction, and technology have made BOCES a reliable and consistent infrastructure for the delivery of professional development programs and technical assistance as New York State.

New York State has a long history of providing extensive specialized Technical Assistance to identified subgroups of students through External Technical Assistance Centers. Regional Special Education Technical Assistance Support Centers (RSE-TASC) and Regional Bilingual Education Resource Networks (RBE-RNs) have continued to provide high-quality technical assistance, professional development, and information dissemination (materials) to school districts. Under ESSA, both the RSE-TASC and RBE-RN will continue to provide representatives for DTSDE reviews. These individuals often provide support to the identified schools prior to the review, and after the review, as well.

Another major resource for teachers in New York State is the State's network of Teacher Centers. Teacher Centers collaborate with teachers, districts, schools, institutions of higher education, and other education stakeholders (including several private sector partners) to provide tens of thousands of professional development opportunities every year. Teacher Centers are primary supporters and trainers of the development and implementation of New York State's Professional Development Plan requirement, and its alignment with the New York State Professional Development Standards. Teacher Centers also support the Department's implementation of APPR requirements.

Allocating and Monitoring School Improvement Funds

New York State recognizes the important role that resources can play in improvement, and the State is committed to ensuring that schools are not just receiving funds for improvement, but that schools are also using their resources strategically to promote success and develop sustainable solutions.

Over the years, New York State has modified the School Improvement Grant (SIG) 1003 (a) and 1003 (g) monitoring process so that attention is focused not just on whether the money is being spent as it was intended, but whether the spending decisions are resulting in improved outcomes. This shift to expecting districts and schools to consider the return on investment has led districts and schools to look more closely at the implementation of their various initiatives. Districts and schools are more focused on improving achievement because the Department is monitoring for results. This shift also allows New York State to identify the districts in which expenditures are not having their desired effects, so that technical assistance can be provided.

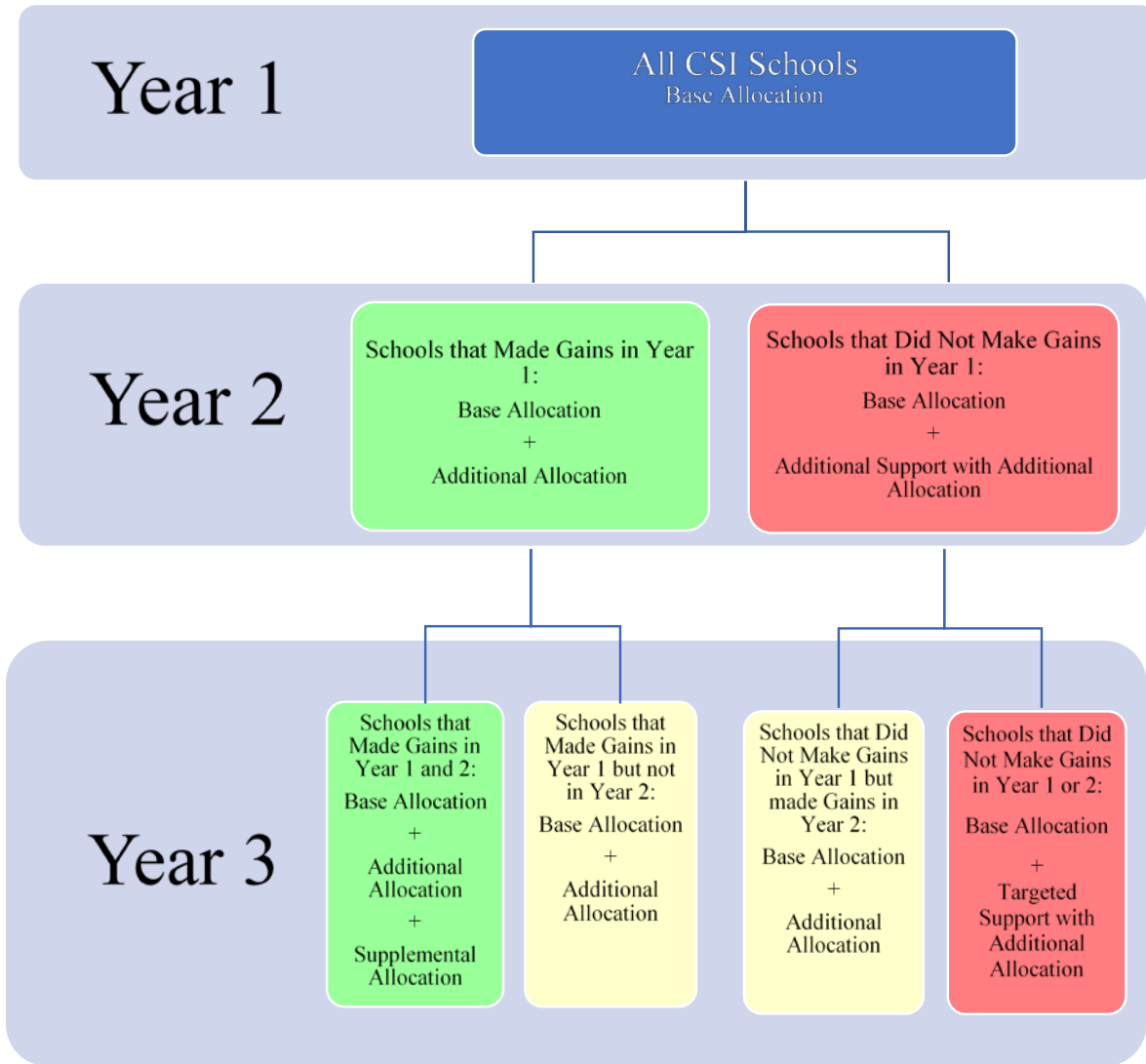
New York State also has found that those receiving school improvement funds need flexibility. With the focus shifting toward ensuring a return on investment, schools and districts need to be able to amend their budgets so that schools and districts can revise their approach when gains are not being made. While the State strongly believes that allocations should be applied to areas identified through a needs assessment, New York State has found that prescribing actions based on the needs assessment can result in spending that may not address school-specific challenges. Several years ago, New York State developed a formula that outlined specific restrictions for how school improvement allocations were to be spent as the result of a school's last DTSDE review. The State learned that this approach was too narrow and has since adopted a more holistic approach toward the use of school improvement funds. New York State has found that this flexibility is necessary and consistent with its expectations that school improvement expenditures

result in tangible improvements. In order to monitor for improved outcomes, the State must ensure that schools and districts have ownership over the spending choices that they have made.

New York State will provide school improvement funds to schools and to districts to support the annual needs assessment process and the development and implementation of the annual School Improvement Plan. All Title I TSI and CSI schools will receive funds, with CSI schools receiving more money than Title I TSI schools. Initially, all Title I CSI schools will receive a baseline allocation during their first year of identification. Following that year, the Department will establish a tiered system for Title I CSI schools to best promote the effective use of resources and provide assistance when necessary. As part of this system, Title I CSI schools that reach progress benchmarks established by the Department would be eligible for a base allocation and an additional allocation. Schools that do not make progress will also receive the base allocation. The State would then provide these schools with additional support and technical assistance in conjunction with the distribution of the additional allocation. Title I CSI schools that do not make gains would need to participate in this support in order to access the additional allocation. Ongoing progress will result in additional funding and/or flexibility of funding in future years. In addition, Title I CSI schools that make gains for two consecutive years will receive a supplemental allocation designed to assist the school in developing improvement efforts that can be sustained should the school no longer be identified on the new list. On the other hand, Title I CSI schools that do not meet progress benchmarks for two consecutive years will receive additional support and technical assistance before they receive additional funding. This approach will enable New York State to best direct its support to the districts and schools that need it the most while promoting effective spending decisions and helping to ensure that school improvement resources can result in improved student outcomes. This model is further outlined in the diagram below.

Resource Distribution to Title I CSI Schools

New York State will support the strategic use of resources in other ways as well, such as through the Needs Assessment process and through the annual cycles of resource allocation reviews of districts identified earlier. New York State will also provide grants to districts to promote diversity and reduce socio-economic and racial-ethnic isolation. In addition, Department staff will continue to use an approach toward monitoring that focuses on the effect of spending choices, rather than on compliance, through its current performance management system.



Providing Additional Support and Oversight for Schools Not Making Progress

New York State will enhance its current system of differentiated accountability so that schools identified as having the greatest needs will receive the most attention from New York State. Central to this approach is recognition that because the needs of schools and districts vary, New York State should base its approach on the specific needs of each school and district. The required interventions will look different at CSI schools, based on whether the school has shown progress.

CSI Schools that do not make gains after one year

During the 2017-18 school year, Department field staff will focus its attention on supporting all CSI schools through the variety of improvement initiatives scheduled for that year, such as the Needs Assessment process and the evidence-based intervention training. In Year 2, Department staff will focus its on-site and off-site technical assistance toward schools that do not make gains after Year 1. Staff will conduct Progress Reviews at a sampling of these schools and provide additional guidance and support through training and feedback on plan development and resource allocation.

As part of the annual district improvement plan, districts will be required to identify how they will be assessing the capacity of principals of CSI and TSI schools and outline how they will support these principals. In addition, districts with CSI schools that did not make progress in Year 1 will be required to submit a Principal Support Report for each CSI school that did not make progress that identifies any areas that the principal has been rated as “Developing” or “Ineffective” in his or her annual evaluation. The purpose of this document is to allow the Department to determine areas where more support is needed across New York State and to have the district determine if there is any potential dissonance between the evaluation system being used and the results of the school. The report is intended to provide information for the district and New York State, and will not be used for punitive purposes. As part of this report, LEAs will be required to identify how they will support the principal in any areas identified as Developing or Ineffective.

CSI Schools that do not make gains in both Year 1 and Year 2

Schools that do not make gains in both Year 1 and Year 2 will be the focus of the Department’s technical assistance and oversight during Year 3. Since this category will represent a subset of all CSI schools, the Department will be able to focus its attention on a limited number of schools and provide targeted support based on the needs of the school.

CSI schools that do not make gains for two consecutive years will be required to partner with a Regional Technical Assistance Center. In addition, these schools must also complete a second Comprehensive Diagnostic Needs Assessment, unless the school completed a second Comprehensive Diagnostic Needs Assessment in the previous year.

Districts with schools that do not make gains for two consecutive years will be required to complete a comprehensive assessment of the principal’s capacity by using a tool such as the Interstate School Leaders Licensure Consortium (ILSSC) standards, the DTSDE Rubric Leadership Statements of Practice, or the district’s leadership evaluation system. Districts will be

required to let the State know what measurement instrument the district will use. The tool should be used to identify the areas that the district will direct its support. The District will be required to submit the results of this assessment along with a plan for support based on the assessment.

Additional Interventions Available

In past years, New York State has pursued dramatic school change through a variety of interventions and policy initiatives that will continue to be available for use. These initiatives have been supported by a strong statutory and regulatory framework. The range of interventions allows New York State to identify an approach toward intervention and support that is most appropriate to address the specific needs of the district or school.

The current interventions available for addressing low-performing schools in New York State include the Schools Under Registration Review (SURR) process, Education Partner Organizations (EPOs), Distinguished Educators, Joint Intervention Team reviews, Commissioner's Regulations concerning requirements for identified schools, and the New York State Receivership Law.

Schools Under Registration Review (SURR)

Any public school in a school district that is identified as being among those that are farthest from meeting the benchmarks established by the Commissioner or as being a poor learning environment may be identified as a School Under Registration Review (SURR). A SURR must undergo a resource, planning, and program audit, and, under previous regulations, had been required to develop and implement a restructuring plan that outlines how the school will implement one of four federal intervention models. If a SURR fails to demonstrate adequate improvement within three academic years, the Commissioner shall recommend to the Board of Regents that its registration be revoked. Following revocation of a school's registration, the Commissioner has the authority to develop a plan to ensure that the educational welfare of affected students is protected. In July 2015, the Board of Regents made adjustments to the SURR provisions to incorporate the New York State Receivership Law adopted in 2015. As a result, any school identified as being under Registration Review that was also identified as a Struggling School or Persistently Struggling School pursuant to Section 100.19 under the Receivership Law was required to implement school receivership.

As a result of this adjustment, schools that have been identified as being among the lowest-performing for more than three consecutive years are placed under Receivership. The School Under Registration Review process remains in effect and can be utilized for schools that have been identified as the farthest from meeting the benchmarks established by the Commissioner or as being a poor learning environment.

In July 2015, the Board of Regents revised the conditions for which a school could be identified as a poor learning environment and therefore be identified as a SURR by the Commissioner. A school may now be identified as a poor learning environment if there is evidence that the school does not maintain required programs and services or evidence of failure to appropriately refer for identification and/or provide required programs and services to students with disabilities pursuant

to Part 200 of this Title or evidence of failure to appropriately identify and/or provide required programs and services to English language learners pursuant to Part 154.

Education Partner Organization (EPO)

Under Education Law 211-e, districts with schools that have been identified as Priority under New York State’s approved ESEA Flexibility Waiver have the ability to contract with Educational Partnership Organizations (EPOs) to turn around the identified school(s). The EPO assumes the powers and duties of the superintendent of schools for purposes of implementing the educational program of the school, including, but not limited to, making recommendations to the board of education on budgetary decisions, staffing population decisions, student discipline decisions, decisions on curriculum, and determining the daily schedule and school calendar, all of which shall be consistent with applicable collective bargaining agreements. The EPO contract includes district performance expectations and/or benchmarks for school operations and academic outcomes, and failure to meet such expectations or benchmarks may be grounds for termination of the contract prior to the expiration of its term.

Distinguished Educators

A school district designated as Focus or a school designated as Priority or Focus may be required to cooperate with a distinguished educator appointed by the Commissioner, pursuant to section 100.17(c)(3)(i) of Commissioner’s Regulations. The distinguished educator also provides oversight of the district comprehensive improvement plan or school comprehensive improvement plan, and serves as an ex-officio member of the local board of education. All improvement plans are subject to review by the distinguished educator, who shall make recommendations to the board of education. The board of education must implement such recommendations, unless it obtains the Commissioner's approval to implement an alternate approach.

Joint Intervention Team Review Process

Currently, all schools identified as Priority Schools or Focus Schools are required to undergo an annual diagnostic review, using a diagnostic tool of quality indicators as prescribed by the Commissioner. The Commissioner appoints a Joint Intervention Team, typically referred to as an Integrated Intervention Team, to conduct an on-site school review. More information about this process can be found in the *Diagnostic Tool for School and District Effectiveness* section above.

New York State Receivership

In April 2015, the New York State Legislature passed Subpart H of Part EE of Chapter 56 of the Laws of 2015 – Education Law 211-f. This law established school receivership. Under New York State’s receivership law, a school receiver has the authority to: develop a school intervention plan; convert schools to community schools providing wrap-around services; reallocate funds in the school’s budget; expand the school day or school year; establish professional development plans; order the conversion of the school to a charter school consistent with applicable State laws; remove staff and/or require staff to reapply for their jobs in collaboration with a staffing committee; and negotiate collective bargaining agreements, with any unresolved issues submitted to the Commissioner for decision. The school receiver may be either the superintendent of the district or an independent receiver.

Section 211-f designates current Priority Schools that have been in the most severe accountability status since the 2006-07 school year as “Persistently Struggling Schools” and vests the superintendents of these districts with the powers of an independent receiver. The superintendent is given an initial one-year period to use the enhanced authority of a receiver to make demonstrable improvement in student performance at the “Persistently Struggling School,” or the Commissioner will direct that the school board appoint an independent receiver and submit the appointment for approval by the Commissioner. The law also establishes that any school that was a Priority School for three consecutive years is considered a “Struggling School,” and the superintendent is given the powers of a receiver. For these schools, the superintendent is given an initial two-year period to make demonstrable improvement, as opposed to the one-year target of “Persistently Struggling Schools.” If a “Struggling School” does not make demonstrable improvement, the Commissioner will direct that the school board appoint an independent receiver and submit the appointment for approval by the Commissioner.

An independent receiver, who can be an individual, a not-for-profit organization, or another school district, has sole responsibility to manage and operate the school and has all of the enhanced authority of a school receiver. Independent receivers are appointed for up to three school years, and serve under contract with the Commissioner. If a school fails to make demonstrable improvement while subject to Independent Receivership, then the Commissioner shall direct that the school be converted to a charter school, placed under management of the State University of New York or the City University of New York, or phased out and closed.

For the 2015-16 and 2016-17 school year, the Governor and State Legislature appropriated \$150 million to support schools that had been identified as Persistently Struggling as of July 2015 and schools that had been identified as Persistently Struggling or Struggling for the entirety of the 2016-17 school year. Funds that were not used by schools in 2015-16 and 2016-17 remain available for use in the 2017-18 school year.

CSI schools that are part of the receivership program will have the same interventions above, with the additional accountability requirement of needing to make demonstrable improvement to avoid being taken over by an independent receiver. In addition, CSI schools in the Receivership program will continue to be closely monitored by Department staff through the use of the Receivership Demonstrable Improvement Leading Indicators reports, along with monitoring visits and phone check-ins between Receivership schools, the district, and the Department.

In addition to the supports and interventions outlined for CSI schools and TSI schools, New York State will require any school that is not identified as a CSI or TSI school, but receives a Level 1 on any indicator for any group, to complete a self-assessment and inform its district of the additional assistance that it needs to improve. The district, in turn, must identify the support that it will provide in its consolidated application for federal funds.

New York State is hopeful that the combination of having progressive intervention systems and having multiple levers available for more extensive interventions when necessary will allow New York State to consider the most appropriate intervention for the identified school and selectively apply interventions when deemed appropriate.

d. Resource Allocation Review. Describe how the State will periodically review resource allocation to support school improvement in each LEA in the State serving a significant number or percentage of schools identified for comprehensive or targeted support and improvement.

New York State recognizes that the strategic use of resources is a critical component of improving student outcomes. New York State will support effective resource allocation through the cycles of resource allocation reviews of districts with significant numbers of Comprehensive and Targeted Supports and Improvement Schools described previously. The State will also promote the effective use of resources by ensuring that resources are closely analyzed as part of the Needs Assessment process. The Resource Audit that schools must perform will closely examine how schools use their time, space, and staff. In addition, New York State understands the critical role that professional development can play in school improvement, and thus will require identified schools and districts to analyze the effectiveness of previous professional development during the Resource Audit. LEAs will receive guidance and training to support their ability to conduct Resource Audits and promote the effective use of resources.

e. Technical Assistance. Describe the technical assistance the State will provide to each LEA in the State serving a significant number or percentage of schools identified for comprehensive or targeted support and improvement.

New York State will significantly expand its current technical assistance offerings to provide support so that the schools identified as having the greatest needs will be the ones that receive the most attention from New York State. New York State will provide support and technical assistance through the eight key functions outlined previously:

- Supporting the Comprehensive Diagnostic Needs Assessment process
- Supporting the development and implementation of schoolwide plans
- Supporting the implementation of Evidence-based Interventions and Improvement Strategies
- Providing training to districts on supporting their schools
- Providing data to inform plans and call attention to inequities
- Connecting schools and districts with other schools, districts, and professionals
- Allocating and monitoring school improvement funds
- Providing additional support and oversight for schools not making progress

Supporting the Comprehensive Diagnostic Needs Assessment process

- Supplying a Department representative to conduct DTSDE reviews for CSI Schools (Year 1)
- Supplying a Department representative to conduct Progress Reviews and DTSDE reviews in CSI schools not making progress (Years 2 and 3)
- Providing training to Districts on conducting Comprehensive Needs Assessments in TSI Schools
- Providing feedback to Districts on Comprehensive Needs Assessments conducted for TSI schools
- Administering a Reviewer Credential program to ensure that those conducting reviews for districts have specific skills
- Providing guidance and training on conducting Resource Audits and analyzing Tier 2 and Tier 3 indicators

Supporting the development and implementation of schoolwide plans

- Providing guidance and training to schools and districts on the development of improvement plans
- Providing feedback on CSI plans
- Approving CSI plans
- Conducting Progress Reviews in select CSI schools that provide feedback and recommendations on the implementation of the current plan (Years 2 and 3)
- Providing training to Districts on conducting Progress Needs Assessments
- Using a performance management system that documents progress toward goals
- Providing on-site and off-site support to assist schools in the Receivership program

Supporting the implementation of Evidence-based Interventions and Improvement Strategies

- Connecting schools and districts to Evidence-based Interventions
- Identifying select Schoolwide Improvement Strategies for CSI schools to consider and providing training to support the planning and implementation of those strategies
- Limiting the transfer of incoming teachers at CSI schools to those who have been rated Effective or Highly Effective in the most recent evaluation year
- Requiring CSI schools to ensure that staff receive PD on the implementation of the plan
- Providing training and guidance to CSI schools and districts to support the establishment of a Parent Participatory Budget process
- Requiring CSI and TSI schools to complete annual surveys of parents, teachers, and students
- Supporting districts identify possible surveys to pursue

Providing training to districts on supporting their schools

- Providing training on supporting identified schools through topics such as:
 - conducting Comprehensive Diagnostic Needs Assessments and Progress Needs Assessments
 - identifying root causes
 - addressing root causes through Evidence-based Interventions,
 - developing and approving improvement plans
 - establishing a parent participatory budgeting process

Providing data to inform plans and call attention to inequities

- Offering data comparing schools to schools within the district and across New York State
- Publishing per-pupil expenditures for each district and school on the New York State website
- Publishing a New York State Equity Report that identifies rates of assignment to Ineffective, Out-of-Field, and Inexperienced teachers between minority and low-income students in Title I schools and non-low-income, non-minority students in non-Title I schools at the district level
- Establishing annual cycles of resource allocation reviews of districts with significant numbers of identified schools
- Engaging with districts where inequities are identified to determine the most appropriate actions that to reduce and eliminate these inequities

Connecting schools and districts with other schools, districts, and professionals

- Providing opportunities for identified schools and districts to connect with schools and districts facing similar challenges
- Providing opportunities for identified schools to connect with higher-performing schools with similar demographics
- Connecting schools to Regional Technical Assistance providers, such as BOCES, RSE-TASC and RBERNs

Allocating and monitoring school improvement funds

- Providing Title I identified schools with a base allocation to develop and implement their improvement plan
- Offering an additional allocation to Title I CSI schools that make progress, and an additional allocation in conjunction with technical assistance to schools that do not make progress
- Incentivizing socioeconomic integration through grants

Providing additional support and oversight for schools not making progress

- Offering on-site and off-site technical assistance to schools that do not make gains each year
- Having all DTSDE reviews after Year 1 focused on CSI schools that have not made gains
- Requiring districts with CSI schools that did not make gains in Year 1 to complete a Principal Support Report to identify areas where assistance is needed
- Requiring districts with CSI schools that do not make progress in Year 1 and Year 2 to complete an assessment of School Leader capacity
- Requiring CSI schools that do not make progress in Year 1 and Year 2 to partner with a Regional Technical Assistance Center
- Placing all CSI schools that are re-identified as CSI schools into the Receivership program
- Placing any current Priority School that is identified as a CSI school on the initial list into the Receivership program
- Considering additional interventions when applicable, such as identifying a school as SURR or utilizing the Distinguished Educator

f. **Additional Optional Action. If applicable, describe the action the State will take to initiate additional improvement in any LEA with a significant number or percentage of schools that are consistently identified by the State for comprehensive support and improvement and are not meeting exit criteria established by the State or in any LEA with a significant number or percentage of schools implementing targeted support and improvement plans.**

New York State’s system of differentiated accountability will allow New York State to focus its attention on the districts and schools that are not making progress. New York State’s process of identifying districts allows districts to be involved with New York State’s efforts to support improvement and encourages districts to pursue a cohesive, systemic approach to improvement at both the district and school level. In addition to the supports and interventions outlined earlier, the Department is currently piloting a district-level Technical Assistance Review process, and may consider expanding this pilot and implementing a district-level review process to assist districts with multiple identified schools.

5. Disproportionate Rates of Access to Educators (ESEA section 1111(g)(1)(B)): Describe how low-income and minority children enrolled in schools assisted under Title I, Part A are not served at disproportionate rates by ineffective, out-of-field, or inexperienced teachers, and the measures the SEA will use to evaluate and publicly report the progress of the SEA with respect to such description.¹¹

¹¹ Consistent with ESEA section 1111(g)(1)(B), this description should not be construed as requiring a State to develop or implement a teacher, principal or other school leader evaluation system.

For purposes of this analysis, Department staff recommends the following definitions for low-income students, minority students, ineffective teachers, out-of-field teachers, and inexperienced teachers:

Key Term	Statewide Definition
Ineffective teacher	Teacher who receives an Ineffective rating on his/her overall composite rating ¹²
Out-of-field teacher	Teacher who does not hold certification in the content area for all of the courses that he/she teaches.
Inexperienced teacher	Teachers with fewer than three years of experience.
Low-income student	Student who participates in, or whose family participates in, economic assistance programs, such as the free or reduced-price lunch programs, Social Security Insurance (SSI), Food Stamps, Foster Care, Refugee Assistance (cash or medical assistance), Earned Income Tax Credit (EITC), Home Energy Assistance Program (HEAP), Safety Net Assistance (SNA), Bureau of Indian Affairs (BIA), or Family Assistance: Temporary Assistance for Needy Families (TANF). If one student in a family is identified as economically disadvantaged, all students from that household (economic unit) may be identified as economically disadvantaged.
Minority student	Student who is identified as American Indian or Alaska Native, Asian, Black or African-American, Hispanic or Latino, Native Hawaiian/Other Pacific Islander, or multiracial.

The Department will annually publish an Equity Report on its Public Data Access site, data.nysed.gov, that describes differences in rates of assignment to ineffective, out-of-field, and inexperienced teachers between minority and low-income students in Title I schools and non-low-income, non-minority students in non-Title I schools. These reports will be published annually so existing gaps and progress in closing those gaps will be able to be compared from year to year.

¹² Teaching and school leadership are multi-dimensional professions and research overwhelmingly confirms the importance of using multiple measures of educator effectiveness when determining summative evaluation ratings for teachers and school leaders. Teacher and principal summative annual evaluation ratings in New York State include measures of student growth (multiple measures where collectively bargained) and observations of practice based on rubrics aligned to the State’s Teaching and Leadership Standards. The Department is currently undergoing a multi-year process to review and revise its ELA and math Learning Standards, State assessment program, and educator evaluation system. During this time, measures based on the State’s growth model and grades 3-8 ELA and math State assessments will be used for advisory purposes only. Educators whose original evaluations included these measures will receive a second set of scores and ratings that use alternate measures of student growth (“transition ratings”). These transitions ratings will be used in applicable school years for the purposes of the equity analysis.

Using the most recently available information (2014-15 school year), the analysis is as follows:

STUDENT GROUPS	Rate at which students are taught by an ineffective teacher	Differences between rates	Rate at which students are taught by an out-of-field teacher	Differences between rates	Rate at which students are taught by an inexperienced teacher	Differences between rates
Low-income students enrolled in schools receiving funds under Title I, Part A	Box A: enter rate as a percentage 2.5%	Enter value of (Box A) – (Box B) 1.8%	Box E: enter rate as a percentage	Enter value of (Box E) – (Box F)	Box I: enter rate as a percentage 3.0%	Enter value of (Box I) – (Box J) 2.6%
Non-low-income students enrolled in schools not receiving funds under Title I, Part A	Box B: enter rate as a percentage 0.7%		Box F: enter rate as a percentage		Box J: enter rate as a percentage 0.4%	
Minority students enrolled in schools receiving funds under Title I, Part A	Box C: enter rate as a percentage 2.7%	Enter value of (Box C) – (Box D) 2.3%	Box G: enter rate as a percentage	Enter value of (Box G) – (Box H)	Box K: enter rate as a percentage 4.6%	Enter value of (Box K) – (Box L) 4.0%

6. School Conditions (ESEA section 1111(g)(1)(C)): Describe how the SEA agency will support LEAs receiving assistance under Title I, Part A to improve school conditions for student learning, including through reducing: (i) incidences of bullying and harassment; (ii) the overuse of discipline practices that remove students from the classroom; and (iii) the use of aversive behavioral interventions that compromise student health and safety.

It is a priority of the Board of Regents that New York State schools foster a culture and climate that makes school a safe haven where every student feels welcome and free from bias, harassment, discrimination, and bullying, especially for traditionally marginalized youth including, but not limited to, youth of color; Lesbian, Gay, Bisexual, Transgender and Queer (LGBTQ) youth and youth with disabilities.

Respect is a learned behavior, and it has never been more important than it is today that schools take proactive steps to keep students safe. Prevention starts before an incident occurs, and, to be successful, schools must:

- Send a unified message against bullying, harassment, intimidation, and discrimination to students, staff, and parents
- Ensure supportive and positive classroom environments
- Practice de-escalation techniques
- Communicate with students, staff, and parents about their roles in prevention and intervention
- Take student complaints seriously and ensure that they are addressed quickly and competently
- Ensure that student discipline practices are equitable and proportionate to the incident
- Reduce the overuse of punitive and exclusionary responses to student misbehavior.

With these goals in mind, the Department continues to develop and build upon existing guidance and resources to combat harassment, bullying, and discrimination, and to enhance efforts to build and maintain positive school climates. Efforts will be expanded to provide capacity-building guidance; strategies; best-practice resources; and professional development for school administrators, instructional staff, and non-instructional staff in the following areas to advance these initiatives:

Dignity for All Students Act (DASA)

New York State’s Dignity for All Students Act seeks to provide New York State’s public elementary and secondary school students with a safe and supportive environment that is free from discrimination, intimidation, taunting, harassment, and bullying on school property, and at school functions, including, but not limited to, discrimination based on a person’s actual or perceived race, color, weight, national origin, ethnic group, religion, religious practice, disability, sexual orientation, gender, or sex.

Social-Emotional Wellness and Adverse Childhood Experiences (ACES)

One out of four children attending school has been exposed to a traumatic event that can affect learning and/or behavior.¹³ Trauma can affect school performance and learning and cause

¹³ National Child Traumatic Stress Network Schools Committee. (October 2008). *Child Trauma Toolkit for Educators*. Los Angeles, CA & Durham, NC: National Center for Child Traumatic Stress

unpredictable or impulsive behavior as well as physical and emotional distress. It is critical to develop and create trauma-sensitive schools that help children feel safe so that they can learn.

Reduce Exclusionary Discipline and Implement Restorative Practices

Recent research has demonstrated that student suspensions and expulsions do long-term harm, and students who are suspended are disproportionately more likely to drop out of school, and, in adulthood, be unemployed, reliant on social-welfare programs, and imprisoned.

To be successful in implementing a positive school climate in all schools, we must evaluate current school discipline practice, move away from zero-tolerance discipline policies, and encourage the use of restorative practices in schools. Restorative practices encourage healthy relationships between staff and students and seek to resolve conflict rather than just punish offenders. Successful implementation of restorative practice results in reducing harmful behavior, repairing harm, and restoring positive relationships.¹⁴

Measure School Climate by Using School Climate Surveys

The Department is encouraging schools to administer the U.S. Department of Education school climate surveys (available online at <https://safesupportivelearning.ed.gov/edscls>) to students, parents and staff. Students' ability to succeed in school relies not only on quality teaching and academic resources, but on a supportive school environment that fosters their growth as individuals and affirms their worth as human beings within the educational and social setting of school.¹⁵ A school culture where differences are not merely tolerated and accepted, but are embraced and integrated into school life and curriculum requires a thoughtful examination of school culture.

To facilitate incorporating these tenets into daily practice in schools, the Department will continue to develop and build upon existing guidance and resources and to enhance efforts to build and maintain positive school climates. Efforts will be expanded to provide capacity-building guidance, strategies, best-practice resources, and professional development for school administrators, instructional staff, and non-instructional staff, as follows:

- Require that LEAs collect data on incidents of violence, and on incidents of bullying, discrimination or harassment, and report these to the Department
- Identify Persistently Dangerous, and Potentially Persistently Dangerous Schools, using a School Violence Index (SVI) that is a proportion of violent incidents to enrollment

¹⁴ *Restorative Practices: Fostering Healthy Relationships & Promoting Positive Discipline in Schools A Guide for Educators*

¹⁵ Payne, E., & Smith, M. (2013). *LGBTQ kids, school safety, and missing the big picture: How the dominant bullying discourse prevents school professionals from thinking about systemic marginalization or... Why we need to rethink LGBTQ bullying. QED: A Journal in GLBTQ Worldmaking, (1), 1-36*

- Provide on-site monitoring and training in the reporting and preventing of school violence to LEAs that are identified as Persistently Dangerous and Potentially Persistently Dangerous Schools and upon request
- Evaluate LEA reporting practices as a part of the Department’s targeted technical assistance
- Publish and distribute guidance to LEAs about the importance of developing sound violence prevention programs to assist schools in developing policies and practices to build a culture and climate that is free of intimidation, harassment, and bullying
- Issue guidance for parents in the most frequently spoken languages in New York State, consistent with the information provided in Section (A)(3) related to Native Language Assessments
- Collaborate with New York State and local agencies (e.g., departments of social services) to provide training programs for school counseling and pupil personnel services staff in Adverse Childhood Experiences (ACEs) and restorative practices
- Develop guidance for schools on best practices for student discipline to reduce disproportionate suspension and exclusion policies
- Require that LEAs collect and submit data on incidents of corporal punishment in schools, which is prohibited in New York State
- Collaborate with New York State and local agencies (e.g., departments of social services) to develop resources for LEAs related to improving school climate
- Expand and build upon existing guidance and resources to enhance efforts to build and maintain a positive school climate, in particular in the areas of DASA training for school and district personnel, including LGBTQ students, students of color, and students with disabilities
- Expand efforts to provide school staff with capacity-building guidance, strategies, and best-practice resources in social-emotional wellness and in supporting the social-emotional needs of marginalized students
- Develop guidance and technical assistance for schools to assist them in implementing policies to transition away from exclusionary discipline practices
- Support a pilot implementation of the USDE surveys in a small number of districts in the 2016-17 school year to develop a business process for a larger implementation in 2017-18. Consider future use of climate surveys as part of the ESSA accountability system
- Continue to promote the use of the USDE climate surveys as an effective tool for measuring school climate during statewide and regional meetings with the field

7. School Transitions (ESEA section 1111(g)(1)(D)): Describe how the State will support LEAs receiving assistance under Title I, Part A in meeting the needs of students at all levels of schooling (particularly students in the middle grades and high school), including how the State will work with such LEAs to provide effective transitions of students to middle grades and high school to decrease the risk of students dropping out.

To meet the needs of New York State’s richly diverse students and families, the Department will support the development of resources, coordination of aligned initiatives, provision of technical

assistance, and support of LEA-planned and implemented prekindergarten through Grade 12 (P-12) transition programs.

The Department recognizes that all transitions are critical processes rather than isolated events. Students and families experience many transitions as they move into, through, and out of the school setting: from home environments to school, from school level to school level, program to program, and from school to higher education and/or career. The ease and continuity of transitions play a significant role in each student's learning, well-being, and desire to stay in school. Successful transition programs reduce dropout and increase graduation rates.¹⁶ There are key transition points along the P-12 continuum that can be targeted for transition programs, including early childhood education to elementary, elementary to middle, middle to high school, and high school to postsecondary education and careers.

Various New York State dropout prevention initiatives align well with quality P-12 transition programs. Strategically planned multifaceted and multi-tiered transition programs at key transition points and aligned dropout prevention initiatives significantly affect student postsecondary education and career success. They assist students in meeting the demands of the P-12 New York State Learning Standards; support appropriate promotion practices; decrease dropout rates; and increase graduation rates, ultimately leading to a New York State Regents Diploma.

The Department supports school districts in facilitating successful P-12 transitions by encouraging the entire school community (district leadership, teachers, support service personnel, students, families, and community partners and other relevant stakeholders) to form collaborative transition teams that are an ongoing presence in each cohort's P-12 academic experience. The transition team's purpose is to ensure that the needs of each cohort of students are identified and met before, during, and after key transition points. Successful transition teams should begin planning two years before each transition point, and implement activities no later than one year before each transition point. Transition teams will:

- Be composed of decision-makers at both ends of each key transition point
- Reflect the diverse characteristics, circumstances, and needs of the district's community of learners and families
- Develop and implement whole group, small group, and individual outreach strategies to engage families – especially families whose circumstances do not provide for many opportunities to, or who are reluctant to, engage the school community
- Continually analyze the strengths and weaknesses of various transition program components by surveying and collecting feedback from students, families, teachers, and other stakeholders

The Department will provide ongoing guidance and technical assistance to school districts as they develop before-school, afterschool, summer, and extra-curricular activities. Schools that are

¹⁶ Chappell, S. L., PhD, O'Connor, P., PhD, Withington, C., MA, & Steglin, D. A., PhD. (April 2015). *A Meta-Analysis of Dropout Prevention Outcomes and Strategies* (pp. 1-41, Tech.). Clemson University, SC: National Dropout Prevention Center/Network. <http://dropoutprevention.org/meta-analysis-dropout-prevention-outcome-strategies/>

intentional about offering and connecting youth with quality out-of-school-time programs see increases in academics, behavior, and family and student engagement. Schools that regularly convene an advisory committee that includes community-based partners can help ensure that afterschool and summer offerings are coordinated and that community resources are effectively leveraged to provide student supports that extend beyond the school day. Students and families should also be informed about the process to obtain available guidance and counseling supports.

Coordinating Transitions from Early Childhood Education to Elementary School

The Department believes that high-quality early childhood education programs are critical as children transition from home to a formal school setting. Child-focused, experiential learning starts before kindergarten and must build on individual child needs and experiences, and exposes young children (birth through age eight) to planned interactions and stimulation where children can develop the full range of knowledge, skills, and dispositions needed to be successful learners. Instruction in early childhood programs should be focused on the [five domains of children's development](#) and should be designed to meet a child's individual needs and experience. The domains are: Approaches to Learning; Physical Development and Health; Social and Emotional Development; Communication, Language and Literacy; and Cognition and Knowledge of the World.

To maximize success in early education experiences for children and as they prepare to transition to elementary school, districts must actively engage families as home-school partners. One way to welcome families is by performing home visits, an approved use of Title I and Title III funding. Home visits have been shown to lead to improvement in child and family outcomes by increasing parental involvement in children's education, supporting parents' capacity to develop their children's early literacy and language skills, and helping children achieve school success into the elementary grades.¹⁷ In addition, schools should partner with Head Start, day care centers, before and after school programs, and other community-based organizations to promote a shared vision and understanding of how what children need to know and be able to do are various stages of development. With this in mind, the Department's Office of Early Learning convened a Think Tank with staff from the [New York State Head Start Collaboration](#) office and local Head Start providers, with the mutual goal of creating a tool to improve coordination, communication and collaboration between school districts, Head Start, and other community-based organizations in providing early childhood education programs. The Department working in collaboration with the ESSA Think Tank has developed a comprehensive [Collaboration Tip Sheet](#), which has been distributed to hundreds of early childhood education providers across New York State.

One of the first and most dramatic transitions for young children and their families is the transition into kindergarten. Whether children are coming from home, day care, a prekindergarten program, or another early childhood setting, building relationships and collaborations between families and schools is critical to facilitating a smooth transition of students to kindergarten. This is a time of great change for children, parents, and families in which new relationships, new expectations, and

¹⁷ Association of State and Tribal Home Visiting Initiatives. *Home Visiting Provisions in Every Student Succeeds Act*. December 2015

new competencies are being developed. Often, this is the period in a child’s life when the length of a structured school day becomes longer, and there is a shift to a more academic focus. To help educators navigate these changes for children and families, the Department supports LEAs in having a comprehensive plan for supporting its newest incoming students and their families as they transition into a P-12 system. The Department’s [Tool to Assess the Effectiveness of Transitions from Prekindergarten to Kindergarten](#) provides schools and their partners with a means to assess the effectiveness of their existing transitional supports and to plan for improvement. This tool provides strategies in four areas: Analysis of Early Childhood Programs Serving Students Prior to Kindergarten; Analysis of Shared Professional Development; Analysis of how Data are used to Improve Instruction; and Analysis of Parent Engagement and Family Support. As critical as the transition into kindergarten is, it is not the only transition for which LEAs should have a plan.

The Department also encourages LEAs to extend their plans to include the transition of students from kindergarten to first grade, first grade to second grade, and so forth, with particular attention paid to those periods in a child’s education during which milestone shifts in environment and learning take place; when moving from elementary school to middle school and middle school to high school. Of particular importance is the transition from second to third grade, which should be a gradual, ongoing process, requiring support and collaboration among school staff, families, and communities. The process is multi-dimensional including physical, emotional, social, and cognitive development. Children who make smooth transitions from second to third grade are better able to make the most of their learning opportunities.¹⁸

Coordinating Transitions from Elementary School to Middle School

The Department acknowledges and respects the many adjustments that elementary students and their families make transitioning to middle school, and will serve as a repository for evidence-based transition tools to assist LEAs in determining the most effective strategies for children as they move through this developmentally dynamic time.

Incoming middle school students are faced with challenges of having to more heavily rely on themselves to independently navigate and function in a much larger and more complicated logistical and academic environment with many more teachers and classrooms. Initial challenges result from leaving the elementary school environment in which, traditionally, one classroom teacher manages the education, schedule, and logistics of one group of students who navigate the school year together as one unit. Not only can a middle schooler’s individual class schedule change from day to day, but also sometimes an entire school’s bell schedule can vary from day to day. Families may need assistance in acquiring and utilizing successful strategies to support their children navigating this new academic landscape. Adjusting to this new introduction to the secondary school environment is an academic and social-emotional challenge for students as they are provided more individual freedom and responsibility.

¹⁸ *Public Schools of North Carolina State Board of Education | Department of Public Instruction (date) Transition Planning for 21st Century Schools*

An appropriate transition program from elementary to middle school includes opportunities for elementary students and families to gain insight into anticipated changes to their school experience as middle school students. Starting at the end of elementary school, through the summer, and well into the first middle school year, LEAs are encouraged to hold meaningful in-person information sessions, meetings, and activities such as middle school visits designed for students and for families. For example, encouraged student activities include providing opportunities for middle school students to mentor elementary school students; middle school orientation and student shadowing days; and student panels, support groups, or clubs designed specifically for transitioning to middle school. Elementary school to middle school transition teams for incoming sixth graders should begin their planning in fourth grade. Planned activities should be implemented during fifth grade, the summer between fifth and sixth grade, and the beginning of and well into, if not entirely, through sixth grade.

Coordinating Middle School to High School Transitions

The Department serves as a resource in supporting LEA transition teams to develop appropriate transition activities designed for middle school students to learn about themselves, each other, their academic futures, and various career fields that may align with their interests. LEAs participating in the dropout prevention initiatives presented above are encouraged to align them with their transition programs. An appropriate transition program from middle school to high school includes opportunities for middle school students and families to gain insight into anticipated changes to their experience as high schoolers. The Department allows continued opportunities for New York State middle school students to earn high school credit, as mentioned in Section (A)(2). For example, many New York State students spend their middle school years earning their high school graduation requirement in Languages Other Than English (LOTE)/World Languages.

It is advantageous for entering high school students and their families to already have a working understanding of high school-specific topics and policies such as requirements for each pathway to graduation in New York State; high school credits; Advanced Placement courses; and policies in areas such as attendance and homework and participation in expanded learning activities, sports, and clubs.

Starting during middle school, over each summer, and well into entering high school, LEAs are encouraged to hold meaningful in-person activities, information sessions, meetings, and events such as high school visits designed for entering students and their families. A sampling of encouraged student activities includes providing opportunities for high school students to mentor middle school students; high school orientation and student shadowing days; and student panels, support groups, or clubs designed specifically for transitioning to high school.

Entering high school is a major milestone for students, but information of mixed quality gathered from siblings, friends, and the media can bring about unrealistic expectations. It is important that incoming high school students and their families are well-informed and well-equipped with information to support their transition before, during, and after their transition to high school.

Coordinating Secondary Transitions

New York State is committed to preparing every student for success in college, career, and citizenship. Achieving this will require significant attention to critical transition points for students within our education system, particularly into and through our secondary system. By strengthening secondary transitions in partnership with critical partners, New York State will provide every child with equitable access to the highest quality educational opportunities, services, and supports designed to make these transitions seamless. New York State’s plan illustrates an intentional effort to expand initiatives that serve students traditionally underrepresented in postsecondary education.

Successful secondary schools involve teachers, students, and families in continual planning to support students’ academic and social success in middle school, high school, and beyond. Students who have a successful transition into ninth grade are more likely to achieve academically, emotionally, and socially – mitigating dropout risks and improving graduation rates. Research demonstrates that the most significant evidence-based dropout prevention strategies are family engagement, behavioral intervention, and literacy development. Additional strategies are academic support, afterschool programs, health and wellness, life skills development, mentoring, school/classroom environment, service-learning, and work-based learning.¹⁹

The above dropout prevention strategies align well with components of successful transition strategies across the P-12 spectrum, but more acutely during secondary and postsecondary transitions. They include providing students and their families accurate and useful information, supporting students’ academic and social success, and continual monitoring and strengthening of transition programs based on success criteria such as attendance, achievement, and dropout rates.²⁰ To improve dropout and graduation rates, the Department encourages LEAs to incorporate transition strategies into a variety of related Department-coordinated initiatives such as:

- The [Liberty Partnerships Program \(LPP\)](#) is an initiative that offers comprehensive pre-collegiate/dropout prevention programs and services to middle school and high school youth in New York State’s urban, suburban, and rural communities through the collaboration between higher education institutions, schools, and community stakeholders. Dropout prevention strategies are designed around family engagement, youth development/leadership, and support services for families. Program activities include skills assessment, tutoring, academic and personal counseling, family counseling and home visits, mentoring, and dropout prevention staff development.
- The [Science and Technology Entry Program \(STEP\)](#) initiative funds colleges and universities to work in collaboration with LEAs. Students in STEP are 7th to 12th graders who are either economically disadvantaged, or African American, Hispanic/Latino,

¹⁹ Chappell, S. L., PhD, O’Connor, P., PhD, Withington, C., MA, & Steglin, D. A., PhD. (April 2015). *A Meta-Analysis of Dropout Prevention Outcomes and Strategies* (pp. 1-41, Tech.). Clemson University, SC: National Dropout Prevention Center/Network. <http://dropoutprevention.org/meta-analysis-dropout-prevention-outcome-strategies/>

²⁰ Williamston, R. (2010) *Transition from Middle School to High School*. Education Partnerships, Inc.

Alaskan Native or American Indian. While the programs were originally designed to specifically prepare students to enter college, and to improve their participation rate in mathematics, science, technology, health-related fields, and the licensed professions, the services and programming that they receive throughout the middle and high school years promote the continuation and eventual graduation from high school by navigating students through any obstacles that they may encounter. These programs have evolved into a gathering of students with similar interests and goals who are provided leadership and guidance by caring adults, leading to success in the pursuit of educational attainment.

- The [Smart Scholars Early College High School Program](#) is an initiative where Institutions of Higher Education (IHEs) partner with public school districts to create early college high schools that provide students with the opportunity and preparation to accelerate the completion of their high school studies while concurrently earning a minimum of 24 but up to 60 transferable college credits. This program is targeted to students who are traditionally underrepresented in postsecondary education. Many of these students would be at risk of not graduating from high school, let alone not pursuing postsecondary studies, were it not for the academic and social supports that they receive from this program, and the motivation that earning college credits provides. Students receive additional academic and social support from the school/college partnerships to ensure that they are at grade level and are ready to participate in rigorous high school and collegiate courses. This “dual or concurrent enrollment” initiative serves to increase high school graduation and college completion rates, while reducing student tuition costs because of the compressed time needed to complete a college degree.
- [NYS Pathways in Technology \(P-TECH\)](#) is a six-year program in collaboration with an IHE and industry partner designed to have students graduate with a high school and associate’s degrees and an offer of employment. This initiative is designed to target those students who have often experienced feelings of marginalization due to factors such as race/ethnicity/gender; socio-economic status; lack of familial academic achievement; attendance issues; and disability status. Few students entering high school have a concrete understanding of what it takes to graduate high school, successfully complete college, and find a career. For those students, whose lives and academic goals have been negatively affected by feelings of marginalization and isolation, that concept is even more abstract. Getting through the day becomes a singular focus, with little energy left to plan for their futures. These students are at risk of dropping out of high school, as they cannot see that it serves as the first rung on the ladder to their future success. The emphasis of the NYS P-TECH Program is on small learning cohorts, starting in 9th grade, focused on individualized supports, project-based learning, and professional skills that will assist students in completing the requirements for their high school diploma and the two-year college degree needed to obtain employment in targeted, high-demand, middle skills jobs. Additionally, integrating workplace learning with industry partners positions these students to be first in line for job opportunities, as these students will have already made industry connections and exhibited competency by the time that they complete their two-year

degree. This integrated approach, beginning Day 1 of 9th grade, is the key to helping struggling students remain in school and invest in their futures.

- [The MBK Challenge Grant Program](#) funds LEAs to implement at least two of the six My Brother's Keeper milestones. Each of the MBK Challenge grant milestones contribute to keeping students in school and moving them to a high school diploma, entry to postsecondary education, and career:
 - Entering school ready to learn, as evidenced by universal Pre-K access
 - Reading at grade level by third grade, as evidenced by a significant narrowing of the achievement gap for disadvantaged youth, particularly boys of color
 - Graduating from high school ready for college and career, as evidenced by a closing of graduation rate achievement gaps for disadvantaged youth, particularly young men of color
 - Increasing access to postsecondary education or training, as evidenced by an increase of disadvantaged youth, particularly young men of color, completing Advanced Placement, International Baccalaureate, or college credit courses while in high school
 - Entering the workforce successfully with middle skills jobs, as evidenced by disadvantaged youth, particularly young men of color, having access to internship experiences while in high school
 - Reducing code of conduct violations and providing a second chance, as evidenced by disadvantaged youth, particularly young men of color having a reduction in in-school and out-of-school suspensions, and behavioral-related referrals.

- The [Family and Community Engagement Program](#) is an initiative focused on building respectful and trusting relationships between home, community, and school. When that trust is established, students not only fare better in school, they complete their education and go on to college and career success. Family and community engagement in education has become an essential strategy in building a pathway to college and career readiness. Research repeatedly correlates family engagement with student achievement.^{21,22} To support students in today's competitive global society, schools must make family engagement not only a priority, but an integral part of the education process.

These Department-coordinated initiatives help to improve graduation rates and prevent students from dropping out of school by creating a positive educational experience. While it is true that schools with exceptional academic outcomes are often characterized by high academic standards and strong instructional leadership, they also exemplify educational practice that is attuned to academic, social, and psychological needs.

²¹ Southwest Educational Development Laboratory. *A New Wave of Evidence; The Impact of School, Family, and Community Connections on Student Achievement. Annual Synthesis 2002*

²² Castrechini, S., & London, R. A. (2012). *Positive student outcomes in community schools*. Washington, DC: Center for American Progress

Coordinating High School to Postsecondary Transitions

When students transition out of elementary school their destination is middle school. When they transition from middle school, their collective destination is high school. Transitioning out of high school is quite complex because there is a wide variety of individual destinations, including, but not limited to, entering the workforce, military, technical schools, and college. For many students, choosing a path that fits them is the first real high-stakes life decision that they make for themselves. The sooner that they choose, the more time that they have to prepare. Nevertheless, as is well known, the process of making such life decisions can be quite complicated and time-consuming.

In addition to progressing through academic curricula, including college preparatory Advanced Placement classes, and actively exploring and/or pursuing specific career-related coursework and experiences in the arts, languages, and Career and Technical Education, schools should be sure to include meaningful opportunities very early on during the high school experience for students to learn about themselves and their interests, strengths, needs, resources, and aspirations. To support that preparation process, the Department will utilize the College, Career, and Civic Readiness Index as a measure of school quality and student success. This approach is intended to incentivize schools to ensure that students graduate with the most rigorous possible high school credential will enable more students to succeed than a measure that merely values completion.

Also, to ensure that students are well informed and develop reasonable expectations for their postsecondary destinations, the Department encourages LEAs to provide students with many hands-on opportunities to explore their options. Early exposure to the realities of postsecondary destinations such as the workforce, military, and college (such as commuting versus living on campus) can equip students with the tools that they need to make informed postsecondary plans.

Once the decision-making process is complete and a high school student has chosen a postsecondary path, even harder work begins to prepare for it. One of the most difficult parts of transitioning out of high school is procedural. Each postsecondary path has its own set of what can be quite comprehensive and time-consuming preparatory requirements. To allow students sufficient time to follow through on postsecondary plans, LEAs are encouraged to be early and proactive in their outreach to high school students and their families. It is important to have open, varied, and, if necessary, language-diverse lines of communication to convey important deadlines, and family support services to help students and their families prepare and submit documentation by their corresponding deadlines.

Even though it is important for students not to rush through such an important process, it is also important for LEAs to convey to high school students and their families, by example and explicitly through instruction, the importance of organization, strategic planning, and time management. It is never too early in the high school experience to develop these skills. Due to the scope of the demands of transitioning out of high school, the transition team for each graduating class should start planning as early as when the class is in ninth grade for activities to be implemented as early as tenth grade. Ultimately, the goal of a successful high school-to-postsecondary transition

program is for students to develop the knowledge and skills to meaningfully transition to postsecondary opportunities and to exercise civic responsibility.

B. Title I, Part C: Education of Migratory Children

1. Supporting Needs of Migratory Children (ESEA section 1304(b)(1)): Describe how, in planning, implementing, and evaluating programs and projects assisted under Title I, Part C, the State and its local operating agencies will ensure that the unique educational needs of migratory children, including preschool migratory children and migratory children who have dropped out of school, are identified and addressed through:

- i. The full range of services that are available for migratory children from appropriate local, State, and Federal educational programs;**
- ii. Joint planning among local, State, and Federal educational programs serving migratory children, including language instruction educational programs under Title III, Part A;**
- iii. The integration of services available under Title I, Part C with services provided by those other programs; and**
- iv. Measurable program objectives and outcomes.**

New York State is committed to providing migratory children with the resources and supports necessary to enable them to progress steadily toward college and career readiness. The full range of services that are available for migratory children begins with the identification and recruitment of eligible migrant children, ages 3 through 21, including preschool migratory children and migratory children who have dropped out of school. “Identification” is the process of determining the location and presence of migrant children. “Recruitment” is defined as establishing contact with migrant families, explaining the New York State Migrant Education Program (NYS-MEP), securing the necessary information to make a determination that the child involved is eligible for the program, and certifying the child’s eligibility on the national Certificate of Eligibility (COE).

Upon migratory students’ identification and recruitment, New York State will assess the unique needs of migratory children to determine the nature and extent of their needs for educational programs and support services, in order for these students to participate effectively in school. These needs assessments occur at the statewide level, as well as at the individual level, as part of a larger continuum of processes and practices, in order to better serve the needs of migrant children and their families.

As per requirements under ESSA Sec. 1306. [20 U.S.C. 6396], the Comprehensive Needs Assessment (CNA) seeks to identify the concerns and needs of migrant students and to gather input on developing evidence-based solutions from a broad-based group of stakeholders at the statewide level through the Needs Assessment Committee (NAC). The NAC represents the geographic diversity of New York State and includes, but is not limited to, parents; guardians; school and district administrators; guidance counselors; Title III/English as a New Language (ENL) program directors and staff; teachers; program and administrative staff from community

health, legal, support service agencies; and farmers and fishers from agricultural and fishing organizations. The CNA process is also intended to be ongoing, with annual data updates and subsequent trend analysis, and serves as the foundation for the continuous improvement cycle for future development and revision of the State Migrant Service Delivery Plan (SDP) in response to emerging or immediate needs.

At the same time, the regional Migrant Education Tutorial and Support Services (METS) Program Centers, in consultation with schools and parents, assess the needs of all individual migrant-eligible students by using the Student Intake Form and Academic Services Intensity Rubric (ASIR) each year, as per requirements of the approved Service Delivery Plan (SDP) and Measurable Performance Outcomes (MPOs).

In this continuum of needs assessments, the CNA yields global, wide-ranging information that informs the development of a comprehensive and inclusive menu of programs and services, while the individual assessment that is conducted once during the academic year and once during the summer through the Student Intake Form and ASIR addresses students' individual needs for specific educational programs and support services.

Upon the completion of the CNA as outlined above, the improvement cycle continues with establishing the State Migrant SDP (Service Delivery Plan) Planning Committee to translate the CNA findings into Measurable Program Outcomes (MPOs), and State Performance Targets (SPTs.).

The SDP Committee reviews the legislative mandate, the non-regulatory guidance, and the CNA statewide trend analysis to identify subgroups of children with unique needs, including preschool migratory children and migratory children who have dropped out of school. The SDP Committee then designs a collaborative planning structure to solicit feedback from all stakeholders including, but not limited to, program staff at the regional METS Program Centers and Statewide Support Services Program Centers, as well as parents with the Local and State Parent Advisory Councils (PACs), in order to leverage local, State, and federal educational programs serving migratory children, including language instruction educational programs under Title III, Part A, and to integrate services available under Title I, Part C with services provided by those other programs.

At the same time, the regional METS Program Centers and Statewide Support Services Program Centers provide a full range of services based on individual student needs. These services ensure that the unique needs of migratory children and their families are addressed appropriately. As outlined in the SDP, and in consultation with schools and parents, these services are provided to each focus population during the summer and regular school year. The regional METS Program Centers provide direct instructional and support services, and also participate in joint planning with school- and district-based services through Title I, Part A, Title III, Part A, early childhood programs, and other local, State, and federal programs to ensure the integration services of services available under Title I, Part C with services provided by these and other programs. Services to the targeted subgroups include:

1. **Preschool Children:**
 - Instructional services in response to academic needs
 - Referrals to community or district preschool
 - Referrals to district kindergarten
 - Support services and advocacy in response to needs
2. **Grades K-8 Students:**
 - Instructional services in response to academic needs
 - Support services and advocacy in response to needs
3. **Grades 9-12 Students:**
 - Graduation Plan (GP)
 - Instructional services in response to academic needs
 - Support services and advocacy in response to needs
4. **Out-of-School Youth and Students Who Have Dropped Out of School:**
 - Personal Learning Plan (PLP)
 - Instructional Services in English as a New Language (ENL)
 - Support services and advocacy in response to needs

The NYS-MEP Measurable Program Outcomes (MPOs) are:

<i>Goal Area: English Language Arts</i>	
<i>State Performance Target</i>	<i>Decrease the gap between Grades 3-8 migrant students and the economically disadvantaged subgroup on the NYS Assessment in English Language Arts by 15% each year, starting in 2017.</i>
<i>Data Summary</i>	<i>State performance target for all students: By 2016-2017, students in Grades 3-8 will average 111 and high school students will average 178 on the NYS Performance Index as defined in the Department-approved waiver.²³</i>
<i>Overall Strategy</i>	<i>Provide academic instruction to support the development of foundational skills and content knowledge based on State and local standards.</i>
<i>Strategy 1.1</i>	<i>Each year, beginning in fall 2016, all migrant students in Grades K-12 will have a complete, updated NYS-MEP Migrant Student Needs Assessment within 45 school days of enrollment in the METS program.</i>

²³ In 2013-2014, migrant students averaged 51 on the NYS Performance Index in Grades 3-8.

<i>Strategy 1.2</i>	<i>Each migrant student in Grades K-8 on the Academic Services Intensity Rubric Level 3 will complete an initial NYS Migrant ELA Assessment within 45 school days of enrollment in the METS program each school year. Level 3 students will complete a post assessment, using the same instrument following a schedule to be determined annually by the NYS-MEP.</i>
<i>Strategy 1.3</i>	<i>Beginning in fall 2016, all K-8 migrant students at Level 3 on the Academic Services Intensity Rubric targeted for ELA services through the NYS-MEP Migrant Student Needs Assessment will receive 30 or more hours of supplemental instruction in ELA during the regular school year, and 5 or more additional hours of ELA instruction if present during summer.</i>
<i>Implementation Indicator</i>	<i>1.1. Each year beginning in fall 2016, 90% of migrant students in Grades K-12 will have a complete, updated NYS-MEP Migrant Student Needs assessment within 45 school days of enrollment in the METS program.</i>
<i>Implementation Indicator</i>	<i>1.2 Each year, 90% of K-8 migrant students targeted for Level 3 ELA services will receive 30 or more hours of supplemental instruction in ELA during the regular school year and additional 5 or more hours of instruction if present during summer.</i>
Measurable Program Outcome	<i>1.3 Beginning in fall 2016, 80% of Grades 3-8 migrant students receiving Level 3 supplemental academic instruction in ELA during the regular school year will gain 10 or more NCEs from the Fall to Spring administration of the NYS Migrant ELA Assessment.</i>

Goal Area: Mathematics

<i>State Performance Target</i>	<i>Decrease the gap between Grades 3-8 migrant students and the economically disadvantaged subgroup on the NYS Assessment in Mathematics by 15% each year starting in 2017.</i>
<i>Data Summary</i>	<i>State Performance Target for all students: By 2016-2017, students in Grades 3-8 will average 109 and high school students will average 165 on the NYS Performance Index as defined in the NYSED approved waiver²⁴</i>
<i>Overall Strategy</i>	<i>Provide academic instruction to support the development of foundational skills and content knowledge based on state and local standards.</i>

²⁴ In 2013-2014, migrant students averaged 58 on the NYS Performance Index in Grades 3-8.

<i>Strategy 2.1</i>	<i>Each migrant student in Grades K-8 on the Academic Services Intensity Rubric Level 3 will complete an initial NYS Migrant Mathematics Assessment within 45 school days of enrollment in the METS program each school year. Level 3 students will complete a post assessment using the same instrument following a schedule to be determined annually by the NYS-MEP.</i>
<i>Strategy 2.2</i>	<i>Beginning in fall 2016, all K-8 migrant students at Level 3 on the Academic Services Intensity Rubric targeted for Mathematics services through the NYS-MEP Migrant Student Needs Assessment will receive 30 or more hours of supplemental instruction in Mathematics during the regular school year, and additional 5 or more hours of Mathematics instruction if present during summer.</i>
<i>Implementation Indicator</i>	<i>2.1 Each year, 90% of K-8 migrant students targeted for Level 3 Mathematics services will receive 30 or more hours of supplemental instruction in Mathematics during the regular school year and additional 5 or more hours of instruction if present during summer.</i>
<i>Measurable Program Outcome</i>	<i>2.2 Beginning in fall 2016, 80% of Grades 3-8 migrant students receiving Level 3 supplemental academic instruction in Mathematics during the regular school year will gain 10 or more NCEs from the Fall to Spring administration of the NYS Migrant Mathematics Assessment.</i>

Goal Area: Graduation

<i>State Performance Target</i>	<i>Decrease the gap in the statewide 4-year cohort graduation rate between migrant students and all NYS students by 10% annually beginning in 2017.</i>
<i>Data Summary</i>	<i>State Performance Target for all students: Four-year cohort graduation rate of 80%. ²⁵</i>
<i>Overall Strategy</i>	<i>Provide academic instruction to support the development of foundational skills and content knowledge based on state and local standards.</i>
<i>Strategy 3.1</i>	<i>Each year, beginning in fall 2016, all Grade 9-12 migrant students at Level 3 on the Academic Services Intensity Rubric will receive 30 or more hours of supplemental academic instruction during the regular school year, and an additional 5 or more hours of instruction if present</i>

²⁵ In 2014, the 4-year cohort graduation rate for migrant high school students expected to graduate in 2014 was 51%; for all high school students, the four-year cohort graduation rate was 79%.

	<i>during summer.</i>
<i>Strategy 3.2</i>	<i>Each year, beginning in fall 2016, all migrant students in Grades 9-12 at Level 3 on the Academic Services Intensity Rubric will complete a MEP Graduation Plan Part One, within 45 school days of enrollment in the METS program.</i>
<i>Strategy 3.3</i>	<i>Each year, beginning in fall 2016, all migrant students in Grades 9-12 will participate in 4 or more hours of advocacy and individual support.</i>
<i>Implementation Indicator</i>	<i>3.1 Each year, beginning in fall 2016, 90% of Grades 9-12 migrant students at Level 3 on the Academic Services Intensity Rubric will receive 30 or more hours of supplemental academic instruction during the regular school year, and additional 5 or more hours of instruction if present during summer.</i>
<i>Implementation Indicator</i>	<i>3.2 Each year, beginning in fall 2016, 90% of migrant students in Grades 9-12 at Level 3 on the Academic Services Intensity Rubric will complete or update a NYS-MEP Graduation Plan Part One within 45 school days of enrollment.</i>
<i>Implementation Indicator</i>	<i>3.3 Beginning in 2016, 70% of migrant students in Grades 9-12, will participate in 4 or more hours of advocacy and individual support.</i>
<i>Measurable Program Outcome</i>	<i>3.4 By 2018, 70% of migrant students who started Grade 9 while enrolled in the NYS-MEP will pass Algebra I by the start of Grade 11.</i>

<i>Goal Area: Out-of-School Youth (OSY)</i>	
<i>State Performance Target (Statement of Intention)</i>	<i>Provide and coordinate education and support services that meet the prioritized needs of out-of-school youth.</i>
<i>Data Summary</i>	<i>State Performance Target for all students: Not applicable.</i>
<i>Strategy</i>	<i>Provide instruction to support the development of language proficiency, educational goals or life skills.</i>
<i>Strategy 4.1</i>	<i>Beginning in fall 2016, all migrant OSY will have a complete, updated NYS</i>

	<i>Migrant Student Needs Assessment within 45 working days of enrollment in the METS program.</i>
<i>Strategy 4.2</i>	<i>Each OSY determined to be a candidate for educational services will have a NYS-MEP Personal Learning Plan (PLP) within 45 working days of enrollment in the METS program.</i>
<i>Strategy 4.3</i>	<i>Beginning in fall 2016, OSY determined to be candidates for instruction in English through the NYS-MEP Migrant Student Needs Assessment will participate in 12 or more hours of English instruction within each program year.</i>
<i>Implementation Indicator</i>	<i>4.1 Beginning in fall 2016, 65% of migrant OSY determined to be candidates for educational services, increasing to 75% by 2018, will complete a NYS-MEP Personal Learning Plan (PLP) within 45 working days of their COE approval date.</i>
<i>Implementation Indicator</i>	<i>4.2 Each year beginning in fall 2016, 70% of OSY determined to be candidates for instruction in English on the Migrant Student Needs Assessment will participate in 12 or more hours of English language instruction within each program year.</i>
<i>Measurable Program Outcome</i>	<i>4.3 80% of migrant OSY who participate in 12 or more hours of English instruction will demonstrate pre-post gains of 10% on the NYS Migrant Assessment of English Learning.</i>

2. Promote Coordination of Services (ESEA section 1304(b)(3)): Describe how the State will use Title I, Part C funds received under this part to promote interstate and intrastate coordination of services for migratory children, including how the State will provide for educational continuity through the timely transfer of pertinent school records, including information on health, when children move from one school to another, whether or not such move occurs during the regular school year.

The New York State Migrant Education Program (NYS-MEP) is responsible for promoting inter- and intra-state coordination of services for migrant children, including the provision for educational continuity through the timely transfer of pertinent school records and relevant health information, when students move from one school to another, regardless of whether such a move occurs during the regular school year. To comply with this requirement, New York State uses Title I, Part C funds to employ and deploy two student information systems – the MIS2000 system and the national Migrant Student Exchange System (MSIX) – to input, analyze, report, and share accurate and timely migrant student information, both within New York State and across the country.

Statewide, recruiters and migrant educators work collaboratively with other states, local educational agencies, and other migratory student service providers to identify and recruit migrant

students who make inter- and intra-state moves. To ensure interstate collaboration, the NYS-MEP is committed to using the MSIX “advanced notification system” with regional partner states, including Pennsylvania and Vermont, as well as with any other states to which students relocate during the year. The MSIX advanced notification system allows users to send or receive notification via email through MSIX regarding the move of a student. For example, when a student moves from New York State to another state, the NYS-MEP sends notification through the MSIX advanced notification system, indicating that the student has moved to the receiving state. If possible, information on the destination town or county will be provided, as well. Similarly, when a student is identified in New York State who recently moved here from another state, the NYS-MEP sends a notification, indicating that the student has moved to New York State.

To promote intrastate coordination of services for eligible migrant children, the NYS-MEP employs the MIS2000 student data management system to transfer students’ records within New York State through the different regional Migrant Education Tutorial and Support Services (METS) Program Centers. When a migrant-eligible student and family moves within New York State, the regional recruiter and the data specialist involved will contact the receiving METS and regional recruiter accordingly to provide the intra-state referral, along with any other pertinent data. Concurrently, the Statewide Identification and Recruitment/MIS2000/MSIX (ID&R) Program Center forwards every departure form showing a move within New York State to the regional recruiter responsible for the relevant catchment area. This system of information redundancy ensures that, when a student moves from one area of New York State to a different location within New York State, all relevant personnel can retrieve educational information, including services, and needs assessment information, from the New York State server through the MIS2000 student information management system to help ensure educational continuity for the student.

In collaboration with the regional METS Program Centers, the Statewide ID&R Program Center also introduces the features and functions of the MSIX systems at statewide, regional, and local meetings and conferences to school and district personnel and, if appropriate, grants access and provides training, in order to better serve the needs of migrant children and their families. At the same time, such information is shared and corroborated with the Office of Information and Report Services (IRS) at the Department, in order to verify relevant student data from New York State’s Student Information Repository System (SIRS). Such data is collected and reported in accordance with all New York State and federal regulations to safeguard the security and privacy of student information at all levels of program implementation.

The NYS-MEP seeks to maintain ongoing interstate and intrastate coordination of services for migratory children, both within New York State and with other states, local educational agencies, and other migratory student service providers in order to improve the effectiveness of programs. In addition to the timely exchange of school records as well as information on health screenings and health problems that might interrupt the student’s education, the NYS MEP uses Title I, Part C funds to seek to support credit accrual and recovery programs internally within New York State and externally as students move between states. This includes having Migrant Educators raising awareness of and providing information to all stakeholders regarding such subjects as:

- Self-contained, semi-independent programs of study available through the National Portable Assisted Study Sequence (PASS) Program Center
- Graduation requirements and the utilization of different pathways toward graduation
- Making up incomplete or failed courses
- Designing customized programs for students who either failed courses or did not complete courses, in order to facilitate on-time graduation
- Independent study and online or blended courses
- Exemptions from certain course(s) and/or exam requirements
- The awarding of transfer credit for work done outside the registered New York State high school awarding the credit.

The NYS-MEP also collaborates with other states by utilizing Title I, Part C funds to participate in the national Consortium Incentive Grant (CIG) Programs overseen by the Office of Migrant Education (OME) at USDE. These grant programs include the Graduation and Outcomes for Success for Out-of-School Youth (GOSOSY) and the Identification and Recruitment Rapid Response Consortium (IRRC) that serve to build capacity in states with a growing secondary-aged migrant out-of-school youth population as well as to improve the proper and timely identification of all migrant children respectively. These initiatives, among others, help to strengthen inter- and intra-state coordination of services for migratory children and their families

3. Use of Funds (ESEA section 1304(b)(4)): Describe the State’s priorities for the use of Title I, Part C funds, and how such priorities relate to the State’s assessment of needs for services in the State.

New York State’s priorities for the use of Title I, Part C funds are driven by the approved State Service Delivery Plan (SDP) which, by turn, was developed in response to the mandated Comprehensive Needs Assessment (CNA). As per requirements under ESSA Sec. 1306. [20 U.S.C. 6396], and as part of the larger comprehensive state plan, the SDP addresses the special educational needs of migratory children and ensures that the New York State Migrant Education Program (NYS-MEP):

- Is integrated with other programs under the Elementary and Secondary Education Act (ESEA), as amended by ESSA
- Provides migratory children opportunities to meet the same challenging state academic content and academic achievement standards that all children are expected to meet
- Provides migratory children opportunities to develop life skills, including self-advocacy, identity development, self-efficacy, job and career planning, and professional development
- Specifies measurable program goals and outcomes
- Is the product of joint planning among such local; state; and federal programs, including programs under Title I Part A, language instruction educational programs under Title III, Part A, and early childhood programs
- Encompasses the full range of services that are available for migrant children from appropriate local, state, and federal educational programs

- Provides for the integration of available NYS-MEP services with other federal-, state-, or locally-operated programs

To accomplish these goals, the CNA process incorporated a systematic set of procedures that were used to determine the unique educational needs of migratory children, including preschool migratory children and migratory children who have dropped out of school. This included the development of a NYS-MEP Theory of Action (ToA) that focuses on (1) Subject Content and Instruction, (2) Advocacy to Self-Advocacy, and (3) Identity Development – the trinity of foci that forms the base of the NYS-MEP and its implementation – as evidenced by identified needs and the research literature. In addition to needs and critical lens afford by the ToA, the CNA process also examined their nature and causes, and set priorities and determined criteria for solutions through the use of Title I, Part C funds in terms of money, people, facilities, and other resources. This initiative led to actions taken that seek to improve programs, services, and organizational structure, and operations of the NYS-MEP. From the CNA process, the following Concern Statements were identified and the subsequent Solution Statements (i.e., the Plan) were developed in response:

Goal Area: Meeting NYS Common Core Learning Standards - Pre-K Through Grade 5

#	Solution Statement	Required or Suggested
<u>We are concerned</u> that migrant students lack the foundational skills and learning strategies necessary to meet Common Core Learning Standards.		
1A (3)	Support local curricula and implement instructional strategies, in order to ensure that our students have foundational skills.	Required
1A (4)	Collaborate with school personnel as to how to best meet the instructional needs of children served and provide academic instruction in skills and strategies necessary to meet the CCLS. <i>This also needs to be in the Grade 6 through Graduation section.</i>	Required
<u>We are concerned</u> that not all migrant preschoolers (P3-P5) have access to community preschool programs, including access to community special needs programs.		
2A (2)	Refer migrant children and families to local early childhood programs and services where available. Provide lists to staff and families of local programs and services.	Suggested
2A (3)	Provide annual training to migrant educators and families on opportunities and resources for early childhood programs and services.	Required
<u>We are concerned</u> that migrant students are unable to navigate content area vocabulary, literacy and text, and identify and utilize Tier 2 vocabulary, as defined by the Common Core Learning Standards.		
3A (1)	Provide training to migrant educators on strategies to promote and support language acquisition, literacy development, and content learning.	Required

	<i>Examples to include CCLS overview and trainings, as well as, training on utilizing academic language.</i>	
3A (2)	Provide experiential “hands-on” learning opportunities.	Required

Goal Area: Meeting NYS Common Core Learning Standards - Grade 6 Through Graduation

#	Solution Statement	Required or Suggested
<p><u>We are concerned</u> that migrant adolescents lack the specific skills and strategies necessary for success on the NYS Regents exams or comparable Common Core Learning Standards assessments.</p>		
1B (1)	Staff will provide opportunities for students to engage in high-order, Common Core-aligned, thinking and application activities.	Required
1B (2)	Staff will participate in professional development to learn the skills and strategies necessary to be successful on assessments, which they will share/teach and/or reinforce with their students (such as: test-taking strategies, academic vocabulary, writing process, building background/foundational knowledge).	Required
1B (3)	Promote migrant students’ participation in the school community (such as: before/after school activities, clubs, sports, music, drama activities) and provide advocacy and assistance to help overcome barriers. <i>Includes 3B (4).</i>	Required
<p><u>We are concerned</u> that migrant adolescents lack exposure to non-traditional credit accrual, as well as, college, career and vocational opportunities.</p>		
2B (3)	The Migrant Education Program (MEP) will create a flowchart of approved pathways and “loopholes” toward high school graduation, and staff will be trained to support and advocate for their students using this information.	Required
2B (new solution)	Facilitate students’ participation in activities related to post-secondary options (such as: college visits, vocational training site visits, information on apprenticeships, military options).	Required
<p><u>We are concerned</u> that migrant students face cultural, linguistic, and immigration status barriers and therefore experience challenging social and emotional issues.</p>		
3B (1)	Staff will work with each student to identify a caring adult in their lives to support their social and emotional development.	Required

Goal Area: Basic Skills, Language, Acculturation and Life Skills

#	Solution Statement	Required or Suggested
<u>We are concerned</u> that OSY’s lack of English Proficiency limits their full participation in the community, especially in the areas of expanded work opportunities.		
1-C (1)	Provide access to ESL instruction (such as: in-home instruction, transportation to classes, virtual learning, field trips [optional based on safety], Independent study etc.).	Required
1-C (2)	Employ OSY advocates and/or educators (preferably bilingual) who inspire and motivate youth, remove barriers and form relationships which mentor and teach self-advocacy skills.	Required
<u>We are concerned</u> that OSY are at high risk of being exploited.		
2-C (2)	Provide instruction via mini-lessons or ongoing instruction that includes issues of workers’ rights, health, human rights, sexual exploitation, housing regulations, immigration laws, history of agricultural labor, self-advocacy, leadership skills, identity development, resilience, etc.	Required
2-C (3)	Develop collaborations and relationships with organizations that specialize in workers’ rights and/or provide essential services and resources to farmworkers. Create and implement protocols for documenting concerns and making referrals.	Required
<u>We are concerned</u> that OSY students face barriers that isolate them, limit their community participation and prevent them from accessing needed services and resources.		
3-C (1)	Provide comprehensive professional development to METS staff such as: <ul style="list-style-type: none"> • Networking with Community Resources (Health, Legal, Emergency Assistance, etc.) and how to access needed services • Migrant lifestyle, immigration policy, workers’ rights, history of agricultural labor, discrimination, human trafficking and sexual exploitation, human rights, cultural competencies, etc. • Case management skills, prioritizing needs, confidentiality, professionalism, maintaining healthy boundaries, etc. • Training on current topics/issues affecting farmworkers (bed bugs, Dream Act, DACA, Comprehensive Immigration Reform, Affordable Care Act, Farmworker Fair Labor Practices Act, etc.) 	Required
3-C (2)	Assign a bilingual advocate to each OSY to provide ongoing support and outreach.	Suggested
3-C (4)	Provide opportunities for OSY to share their experiences and engage in discussions of current events, issues affecting the migrant community and other areas of interest.	Suggested

C. Title I, Part D: Prevention and Intervention Programs for Children and Youth who are Neglected, Delinquent, or At-Risk

1. Transitions Between Correctional Facilities and Local Programs (ESEA section 1414(a)(1)(B)): Provide a plan for assisting in the transition of children and youth between correctional facilities and locally operated programs.

To ensure that students served in Neglected and Delinquent facilities graduate from high school and meet college-and career-readiness standards, the Department will work closely with the New York State Office of Children and Family Services (OCFS), the New York State Department of Corrections and Community Supervision (DOCCS), and other agencies as appropriate, to identify criteria that can be included in a formal transition plan that the Department will direct all Neglected and Delinquent facilities across New York State to implement to transition youth seamlessly into and out of a facility. Anticipated actions include:

- Developing an advisory group consisting of but not limited to appropriate Department staff from Title I, Part D, ACCES-VR (Vocational Rehabilitation), Career and Technical Education; OCFS and DOCCS staff; representatives from other state agencies such as the Division of Criminal Justice Services-Juvenile Justice who work with Neglected and Delinquent students; community service partners; and other organizations to explore criteria to be included in the Statewide Transition Plan.
- Designing a Statewide Transition Plan (STP) based on research, best/promising practices, and input from the advisory group
- Providing training resources/guidance to Neglected and Delinquent facilities regarding the implementation of STP via webinars and online resources
- Disseminating and implementing the Statewide Transition Plan in each Neglected/Delinquent facility in New York State. Department staff will provide technical assistance to facilities and Local Education Agencies. The Department will direct facilities to complete transition plans for all youth.

The Department will collaborate with DOCCS and OCFS and other Neglected and Delinquent educational programs/agencies to determine hours of instruction by agency type. Facilities that provide core instruction on-site will provide appropriate hours of mandated instruction for all students. Additionally, the Department will direct each LEA in New York State to identify a dedicated liaison to support all students who return to their district from a Neglected and Delinquent facility and ensure that they receive all appropriate educational (college and career readiness) and “wrap-around” services to promote social-emotional growth.

2. Program Objectives and Outcomes (ESEA section 1414(a)(2)(A)): Describe the program objectives and outcomes established by the State that will be used to assess the effectiveness of the Title I, Part D program in improving the academic, career, and technical skills of children in the program.

To ensure that students served in Neglected and Delinquent facilities graduate from high school and meet college- and career- readiness standards, the Department has established the following process-based and outcome-based objectives:

Process-Based Objectives:

- The Department will convene a Neglected and Delinquent Advisory Group composed of appropriate statewide stakeholders to develop a Statewide Transition Plan within one year
- The Department will design, disseminate, and provide training on a Statewide Transition Plan with input from the Neglected and Delinquent Advisory Group within two years
- Neglected and Delinquent Facilities will implement the Statewide Transition Plan
 - 30% of facilities will implement within three years
 - 60% of facilities will implement within four years
 - 100% of facilities will implement within five years

Outcome-Based Objectives:

- 90% of all Neglected and Delinquent facilities in New York State will provide appropriate core educational services (ELA, Math, Science and Social Studies at minimum) to **all** youth moving into/out of neglected/delinquent facilities within five years
- 100% of Neglected and Delinquent facilities that provide core instruction on-site will provide appropriate hours of mandated instruction for all students within five years
- County jails will transition from providing primarily High School Equivalency (HSE)-focused instruction to providing multiple pathways for students to attain a regular high school diploma and/or the skills necessary to gain employment to students in their care^{26,27}
 - 30% of County Jails will transition within one year
 - 60% of County Jails will transition within three years
 - 100% of County Jails will transition within five years
- Neglected and Delinquent facilities in New York State will administer pre-testing assessments to students to determine the educational level of the students to ensure proper educational programming:
 - 30% of facilities will administer pre-testing within one year
 - 60% of facilities will administer pre-testing within three years
 - 100% of facilities will administer pre-testing within five years
- Neglected and Delinquent facilities in New York State will administer post-testing assessments to all long-term students (90 days or more at the facility) routinely to assess the educational gains of the students with in the facility's care:²⁸
 - 30% of facilities will administer post-testing within one year
 - 60% of facilities will administer post-testing within three years

²⁶ Length of stay and number of students served at the facility impact the projections.

²⁷ Pending "Raise the Age" legislation will have implications for this objective.

²⁸ Due to student release from court, movement between facilities, which the program cannot foresee/control. Also, if a student does not attend educational programming regularly.

- 100% of facilities will administer post-testing within five years
- Neglected and Delinquent facilities in New York State will provide the Department with required Consolidated State Performance Report (CSPR) data each year.
 - 30% of all delinquent facilities that provide on-site educational instruction will complete the educational outcomes section of the CSPR data collection tool within one year
 - 60% of all delinquent facilities that provide on-site educational instruction will complete the educational outcomes section of the CSPR data collection tool within three years
 - 100% of all delinquent facilities that provide on-site educational instruction will complete the educational outcomes section of the CSPR data collection tool within five years

D. Title II, Part A: Supporting Effective Instruction

- C. Use of Funds (ESEA section 2101(d)(2)(A) and (D)): Describe how the State educational agency will use Title II, Part A funds received under Title II, Part A for State-level activities described in section 2101(c), including how the activities are expected to improve student achievement.**

Over the past seven years, the Department has focused its initiatives on a single goal: ensuring that all students across New York State, regardless of their physical location, acquire the knowledge, skills, and abilities that they need to realize personal success in college, career, and life. Central to this goal is the belief that we must increase student achievement for all students in New York State while at the same time close gaps in student achievement between our lowest- and highest-performing students. Taken together, these initiatives have been designed to create a comprehensive, systemic approach to advance excellence in teaching and learning and to promote equity in educational opportunity throughout the State system in New York. This system consists of:

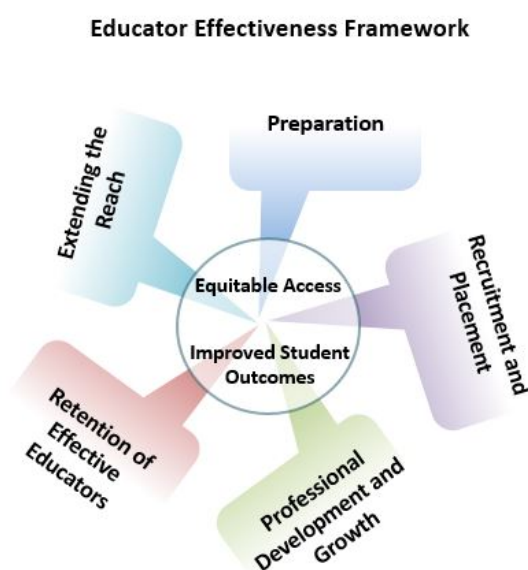
- Well-designed learning standards and aligned curricula that are measured by meaningful assessments
- Core instruction (standards, curricula, and assessments) delivered by well-prepared, highly effective, racially/ethnically diverse teachers and school leaders who have received high quality, differentiated professional development that is informed by evidence of educator practice and data on the longitudinal academic growth of students
- The analysis and use of these data to inform improvements in instruction to propel and accelerate the yearly academic progress of students.

The Department has consistently affirmed its commitment to this goal over the past seven years, including through recent projects such as our 2015 Plan to Ensure Equitable Access to Effective Educators (“State’s Equity Plan”), the Strengthening Teacher and Leader Effectiveness (STLE) Grant, the Teacher Incentive Fund (“TIF”) 3 Grant, the Teacher Opportunity Corps, and the New York State My Brother’s Keeper Initiative (“My Brother’s Keeper”) - all of which are focused on

the management of human capital in ways that help close and over time eliminate equity gaps so that all young people have the chance to reach their full potential. More recently, with assistance from private philanthropy, the Department has launched the Principal Preparation Project, which aims to enhance State support for the development of school building leaders.

Although data collected by the Department suggest that these initiatives are having a positive effect on student outcomes (e.g., rising graduation rates, increases in student proficiency on State assessments), there are still persistent gaps in achievement for our most vulnerable students (e.g., ELLs/MLLs, students with disabilities, students in poverty). The Department believes, and research consistently demonstrates, that, among school-based factors, teaching matters most to improving student outcomes, and leadership is second only to classroom instruction as an influence on student learning. As such, the Department proposes to use its Title IIA funding to promote initiatives that similarly focus educational improvement efforts in New York State on the cornerstone belief that students thrive in the presence of great teachers and great school leaders.

The Department believes that the best way to ensure equitable access to great teachers and school



leaders is to assist LEAs in developing comprehensive systems of educator support and development that are focused on the following key components: 1) preparation; 2) recruitment and hiring; 3) professional development and growth; 4) retention of effective educators; and 5) extending the reach of the most effective educators to the most high-need students, which we call the Educator Effectiveness Framework (see diagram below).

To assist LEAs in the development of comprehensive systems aligned to the Framework, we propose to engage in a facilitated root cause analysis with LEAs that is centered on our equity analytics. In each school year, the Department will produce a State-level equity report and district-

level equity reports. In addition to traditional measures of educator equity such as teacher qualifications and effectiveness data, the Department will also include analytics that research shows are important considerations for equity such as teacher and principal turnover, tenure status, and demographics. We will use these reports as a starting point to help LEAs determine where there may be gaps in equitable access to effective, qualified, and experienced educators between different subgroups of students as well as where they may be gaps in access to culturally diverse educators. As a next step, the Department will create tools and other resources to assist LEAs in conducting needs/gap and root cause analysis focused on the elements of the Framework, in order to determine which aspects of their talent management systems are most in need of improvement.

The Department will also encourage the creation of P-20 partnerships that allow school districts and BOCES to work with institutions of higher education and other preparation program providers on efforts to recruit and prepare educators to meet the LEAs needs. This is particularly important for New York State as research shows that the vast majority of teacher preparation candidates attend programs and become teachers in the same region. Thus, the Department believes that creating these partnerships will be particularly beneficial for LEAs in New York State.

The Department will work with higher education teacher and school leader preparation programs to provide appropriate and ongoing support to LEAs in curriculum development and the expansion of instruction and professional development. For those LEAs that want to take a deeper look at their equity data and develop strategies centered on the various components of the framework to address gaps in equitable access, the Department will host a series of labs or convenings where district teams can come together with the assistance of Department staff and other technical assistance providers to better understand their data and how they can be used to drive the development of comprehensive systems of educator development and support. This could include strengthening existing mentoring/induction programs, providing specific professional development in targeted areas of need, working with principals to determine strategic staff assignments/teacher teams and creating collaborative environments for professional learning and engagement in decision-making, implementing and refining career ladders that leverage the expertise of teacher and principal leaders, etc.

Further, Department staff will begin collecting information on the specific ways in which LEAs are using their Title II, Part A allocations and review Continuing Teacher and Leader Education (CTLE) plans to ensure alignment and to determine whether those activities are designed to close equity gaps. In this way, the equity work will be seen as having a natural funding stream to help LEAs tackle their specific areas of need.

By undertaking this initiative, the Department believes that it can help school districts improve the quality and effectiveness of teachers, principals, and other school leaders, thus increasing the numbers of those educators who are effective in improving student academic achievement and ensuring that all students have equitable access to effective educators. This work is especially crucial in schools identified for CSI or TSI status, as explained in Section (A)(4).

At the same time that the Department will begin to work more closely with LEAs to address gaps in equitable access to effective, qualified, and experienced educators, the Department will undertake a number of other State-level initiatives focused on the different components of the Framework.

Preparation, Recruitment, and Placement

In the coming school years, the Department will convene a clinical practice work group to explore whether it is necessary to enhance the existing regulatory requirements, in order to help ensure that teachers and school leaders are prepared on day one to have the greatest effect on improving student outcomes. These enhancements may include:

- Increasing and strengthening field experiences and student teaching and encouraging preparation programs to align field experiences with evidence-based practices.
- Requiring Institutions of Higher Education and other preparation program providers to align program completion with a candidate’s demonstration of positive effects on student outcomes, including multiple measures, where practicable (e.g., portfolios, evidence from observations, student growth/achievement)
- Requiring all education programs to sign a partnership agreement with one or more school districts that identifies the responsibilities of each partnering institution, the mentor teacher, the faculty members, and the teacher candidate.

Additionally, Department intends that a portion of Title IIA funding be set aside to expand preparation programs that provide greater opportunities for candidates (both teachers and principals) to apply the knowledge and skills that they acquire in authentic settings. This funding could be allocated to residency programs or other innovative preparation models that provide aspiring teachers and school leaders with greater opportunities for practical experience throughout their preparation programs.

In addition to exploring opportunities to strengthen the clinical practice that teacher and principal candidates receive prior to completing their preparation programs, the Department will also seek to engage a cross section of P-20 stakeholders to explore the existing regulatory requirements for preparation program coursework for New York State approved programs. Although the current preparation program coursework requirements for New York State approved programs very clearly describe what the Department expects from preparation programs, information collected by the Department shows that all programs are not preparing candidates in a consistent manner. To that end, the Department will work with stakeholders to create guidance and clear expectations for all preparation programs across the State.

Further, recognizing that, in order for preparation programs to ensure that they are addressing the needs of the schools that employ their graduates, the Department staff intend to work with IHEs and other providers to create tools and other resources that will facilitate feedback loops between preparation programs and the LEAs that employ their graduates. This can include, for example, surveying recent graduates about their experiences not only in classroom learning but also their field experiences and student placement experience.

Specific to the preparation of school building leaders, Department staff will explore the following approaches to ensure better professional learning and support for aspiring leaders²⁹:

- Organize certification around the 2015 Professional Standards for Educational Leaders (PSEL)
- Strengthen university-based School Building Leader (SBL) programs by closely linking the 2015 PSEL with extended school-based internship
- Create pathways, options, and/or opportunities leading to full-time, year-long, school-based internships for aspiring principals
- Adapt preparation to account for a variety of settings
- Add a competency-based expectation to initial certification. This calls upon aspiring school building leaders to take what they learn in a university-based SBL program and apply it successfully in an authentic school-based setting to improve staff functioning, student learning, or school performance. Before a university attests that an aspiring school building leader who has completed its SBL program is “certification ready,” the superintendent or mentor who is sponsoring the aspiring leader’s internship must also attest that the candidate demonstrated readiness for certification by successfully completing a set of projects that demonstrate competency with respect to the State-adopted certification standards

Professional Development and Growth

The Department believes that, in order for teachers and school leaders to have the greatest effect on students, they need to have support and opportunities for professional and personal growth throughout their careers. Research suggests that this support is particularly important during the early part of an educator’s career and can improve the recruitment, retention, and growth of educators.

In New York State, teachers and principals who have an initial certificate and who are working toward a professional certificate must complete a mentoring experience³⁰ in their first year of teaching or school building leadership service in a public school district. This requirement can be waived for certificate holders who have at least two years of teaching or educational leadership service, respectively, prior to receiving the initial certificate.

²⁹ Where necessary, the Department will utilize a portion of the newly available set-aside under Title II, Part A for activities that support principals and other school leaders for this work.

³⁰ Pursuant to section 100.2(dd) of the Commissioner’s Regulations, the mentoring program is to be developed and implemented locally, consistent with any collective bargaining obligation required by article 14 of the Civil Service Law.

In its Professional Development Plan, each school district and BOCES must include a description of its mentoring program, including:

- The procedure for selecting mentors, which shall be published and made available to staff of the school district or BOCES and upon request to members of the public
- The role of mentors, which shall include, but not be limited to, providing guidance and support to the new teacher
- The preparation of mentors, which may include, but shall not be limited to, the study of the theory of adult learning, the theory of teacher development, the elements of a mentoring relationship, peer coaching techniques, and time management methodology
- Types of mentoring activities, which may include, but shall not be limited to, modeling instruction for the new teacher, observing instruction, instructional planning with the new teacher, peer coaching, team coaching, and orienting the new teacher to the school culture
- Time allotted for mentoring, which may include, but shall not be limited to, scheduling common planning sessions, releasing the mentor and the new teacher from a portion of their instructional and/or non-instructional duties, and providing time for mentoring during superintendent conference days, before and after the school day, and during summer orientation sessions

The purpose of the mentoring requirement is to provide beginning educators in teaching or school leadership with support, in order to gain skillfulness and more easily make the transition to their first professional experience under an initial certificate. Currently, the quality of this experience varies significantly across districts in New York State.

As such, Department staff will explore revisions to the current first-year mentoring requirement to require mentoring that spans the first 180 school days of employment in an LEA. In order to ensure that this experience is as effective as possible, the Department will seek additional Mentor Teacher Internship Program funding and other resources to assist LEAs in developing mentoring programs that provide educators with appropriate differentiated supports.

Research shows that providing new teachers and principals with comprehensive systems of support that include a mentoring program is a key factor in both retaining new educators and increasing their effectiveness. However, having a mentoring program is not enough, in and of itself, to provide support to new educators. Just as important as the program are the experienced educators who serve as mentors to their peers. Thus, the Department will also work to provide LEAs with tools and resources, aligned to best practice, that will allow them to recruit, select, develop, and reward educators who serve in mentorship roles. Consistent with the Department's [Career Ladder Pathways Framework](#), the Department will encourage districts and BOCES to leverage teacher and principal leaders to serve as mentors.

Recognizing that educators need support beyond just their first year of teaching or school leadership, Department staff will develop and encourage districts/BOCES to adopt induction models that provide a menu of differentiated supports to educators during the first three years of

their careers that are tailored to what they need to succeed. These systems should promote the personal and professional growth of educators, and should recognize the multi-dimensional nature of the profession. Further, the Department will work with stakeholders to explore how Master's degree programs, which prospective teachers are already required to obtain for professional certification, can be better aligned with this type of ongoing mentorship. This could include, for example, allowing other entities, such as Teacher Centers, to provide support and development that leads to the professional certificate.

The importance of taking a systemic approach to mentorship, induction, and other support for early career educators cannot be understated. However, the Department also believes that all educators, regardless of how far along they are in their careers, can benefit from ongoing professional learning that is differentiated based on need. Over the last several years, New York State has made significant investments in supporting teachers and leaders. Despite these efforts, a review of documentation and data, stakeholder interviews, focus groups, and surveys all reveal that access to and time for high quality professional learning vary considerably across New York State.

To that end, the Department has been working over the past year on a new Statewide framework for professional learning designed to build educator capacity across New York State. In order to undertake this work, the Department convened a task force³¹ of stakeholders from across the State who were charged with developing a strategy for more coordinated, quality professional learning for teachers and leaders. Ultimately, the Department believes that the strategy developed by the task force will 1) provide equitable access for all educators to high-quality professional learning that is relevant, actionable, and ongoing; 2) improve performance, coordination, and communication of statewide professional learning partners; 3) empower regional professional development leaders to reimagine professional learning for schools and districts; and 4) embody thoughtful design, rich and meaningful experiences, and continual feedback and improvements. In order to achieve these goals, the new statewide framework calls for two strands of work: the development of statewide supports available to all educators and partners across New York State, and investment in regional expertise that will empower regions to reimagine and implement high-quality professional learning supports for educators.

Further, in keeping with our belief that members of the school community (students, teachers, parents, etc.) thrive when there are excellent leaders in those school buildings, and recognizing the need to ensure that there are high-quality principals in our highest needs schools, particularly those that have been identified for Comprehensive Support and Improvement, the Department will set-aside a portion of its Title IIA funds, including the newly available set-aside to support school leaders, to support leadership development programs for principals of these schools. Focus areas and support systems will be developed collaboratively based on needs identified by a broad range of stakeholders including the Department, school leaders, and preparation programs. Examples of potential uses of funds could include the establishment of Principals Centers, communities of practice, residency and other extended internships, mentoring programs, and on-site expert technical assistance and coaching for principals.

³¹ This Task Force included a broad range of stakeholders, including BOCES leaders, district leaders, principals, teachers, higher education representatives, and SED staff members.

In addition to providing support to educators throughout their careers, research suggests and the Department believes that it is also important to ensure that educators have a career trajectory and that LEAs take explicit actions to reward their most effective educators through the creation of career ladder pathways. Consistent with this belief, the Department worked with a broad range of diverse stakeholders across New York State to develop its [Career Ladder Pathways Framework](#). This Framework is comprised of four main components that outline the Department’s underlying beliefs, assumptions, and expectations for career ladder pathways. The framework:

1. Is grounded in the Department’s core beliefs;
2. Is designed to address the elements of the Educator Effectiveness Framework;
3. Permits LEAs significant flexibility with minimum state guidelines; and
4. Emphasizes implementation and refinement through continuous improvement processes.

A system for career ladder pathways should focus on a progression of leadership roles that provide high-performing educators with meaningful opportunities for career advancement, ultimately aiding in the attraction, development, and retention of great educators who can significantly improve student outcomes. As LEAs consider educator career ladder pathways and leadership roles, it is important for them to develop strong systems that emphasize accountability and professional development, and that are sustainable over time.

As such, in working with LEAs to address gaps in equitable access to educators, where evidence suggests that development or refinement of career ladders may help to address one or more challenge areas, the Department will provide guidance and resources, using the Career Ladder Pathways Framework and other tools and resources aligned with best practice to assist the district/BOCES in implementing a career ladder that is both responsive to local context and that addresses the LEAs needs. Further, in order to ensure that the current Framework continues to reflect the needs and values of stakeholders across New York State, the Department will engage school districts and BOCES leaders, teacher and principal leaders, and relevant stakeholder organizations annual through surveys, webinars, and other media to assess the status of career ladder implementation across New York State and determine whether tools and resources can be aligned to meet the changing needs of the field.

2. Use of Funds to Improve Equitable Access to Teachers in Title I, Part A Schools (ESEA section 2101(d)(2)(E)): If an SEA plans to use Title II, Part A funds to improve equitable access to effective teachers, consistent with ESEA section 1111(g)(1)(B), describe how such funds will be used for this purpose.

See response to question #1.

3. System of Certification and Licensing (ESEA section 2101(d)(2)(B)): Describe the State’s system of certification and licensing of teachers, principals, or other school leaders.

New York State teachers, administrators, and pupil personnel service providers are required to hold a New York State certificate in order to be employed in the State’s public schools. The certificates, issued by the Office of Teaching Initiatives (OTI), certify that an individual has met required degree, coursework, assessment, and experience requirements.

In order to be eligible for initial certification in New York State, teachers must meet the following requirements³²:

- 1) Completion of a New York State Registered Program
- 2) Institutional Recommendation
- 3) Pass the following certification exams: 1) Educating All Students Test (EAS); 2) a Teacher Performance Assessment (edTPA);³³ and 3) Content Specialty Tests (CSTs)
- 4) Workshop - Dignity for All Students Act, Autism, School Violence
- 5) Fingerprint Clearance

Below is an overview of the different certification exams.

1. Educating All Students (EAS) Test:

Framework: Diverse student populations, English Language Learners, students with disabilities, and other special learning needs, community engagement, teacher responsibilities, and school-home relationships.

Exam expectations:

- Measure the professional and pedagogical knowledge and skills necessary to teach all students effectively in New York State public schools
- Use knowledge of diversity within the school and community to address the needs of all students, create a sense of community, and promote students’ appreciation and respect of all students
- Demonstrate the ability to communicate with and engage parents, with the goal of encouraging parents to participate in and contribute to their child’s learning

³² Candidates who believe that they meet all of the coursework requirements to obtain an initial certificate, but who have not completed a NYS Registered Program, can request an individual evaluation of their transcripts to determine eligibility for an Initial Certificate. Candidates must submit original credentials for evaluation by the Office of Teaching Initiatives. Candidates must also meet any non-coursework requirements, such as the New York State Teacher Certification Examinations and fingerprint clearance, as specified.

³³ During the March 2017 Board of Regents meeting, Department staff presented a number of recommendations from its edTPA Task Force including 1) establishing a standard setting committee comprised of P-12 teachers and higher education faculty to recalibrate the edTPA passing score; 2) the standard setting committee will also establish a phase in schedule that will gradually increase the passing score over a period of time, as is done in several other states; and 3) extending the edTPA Safety Net (ATS-W) until June 30, 2018, or until the new passing score is approved by the Commissioner.

- Understand the rights and responsibilities in situations involving interactions between teachers and students, parents/guardians, community members, colleagues, school administrators and other school personnel

2. Teacher Performance Assessment (edTPA):

Framework: Student-centered, multiple-measure assessment of skills and competencies, instruction, planning, and assessment.

Assessment structure:

- Evidence of candidate teaching performance is drawn from a subject-specific learning segment: 3–5 lessons from a unit of instruction for one class of students
- Teacher candidates submit authentic artifacts (lesson plans, video clips of instruction, student work samples) from their actual teaching during a clinical field experience
- Candidates also submit commentaries that provide a rationale to support their instructional practices, based on student learning strengths and needs
- Candidates’ evidence is evaluated across five scoring components of teaching: Planning, Instruction, Assessment, Analysis of Teaching, and Academic Language.

Exam expectations: Measure candidates’ ability to differentiate instruction to diverse learners and provide an evidence-based process that can be used to determine candidates’ readiness to enter a classroom and become the teacher of record prior to receipt of their initial certificate to teach in New York State.

3. Redeveloped Content Specialty Tests (“CSTs”):

The CSTs measure content knowledge in a particular subject area, and are aligned with the New York State learning standards. Currently, there are 41 CSTs, of which 20 have been redeveloped.

In addition to the assessments listed above, to move from an Initial Certificate to a Professional Certificate, applicants must have three years of paid, full-time classroom teaching experience; a master’s degree; complete a mentored experience in their first year; and be a permanent resident or US citizen³⁴.

Transitional Certificates:

In addition to traditional pathways to certification, New York State also has a system of transitional certificates that provide opportunities for alternative routes into both teaching and leading in schools, including for individuals with advanced degrees and mid-career professionals from other occupations

Transitional A Certificate

³⁴ The requirement may be revised depending on the status of the Deferred Action for Childhood Arrivals policy.

Issued to an individual in a specific career and technical education title (in agriculture, health, or a trade) who does not meet the requirements for an Initial certificate, but possesses the requisite occupational experience. Valid for up to three years, while completing the requirements for the Initial Certificate.

Transitional B Certificate (Alternative Teacher Preparation Programs)

Alternative teacher preparation (ATP) programs in New York State are equivalent to traditional teacher preparation programs in content, but are offered in a different format. Through collaborative agreements between teacher education institutions and school districts, candidates who already hold at least a bachelor's degree may enroll in an ATP program at an institution of higher education and will, upon completion of the program, be recommended for Initial or Professional teacher certification.

Upon completion of the program's introductory component where candidates receive required pedagogical and content instruction, fieldwork experience, and successfully pass the Content Specialty Test (CST) in their certificate areas and the EAS exam, candidates are issued a three-year New York State Transitional B teaching certificate. Each candidate who successfully completes the introductory component is eligible to be hired in a New York State public school as a fully certified teacher. Over the next three years, the candidates teach under the supervision of school-based mentors and college supervisors as the teacher of record while completing the ATP program. The goal of ATP programs is to increase the number of qualified teachers in difficult-to-staff subject and geographic areas.

Transitional C Certificate

Issued to an individual with a graduate academic or graduate professional degree who is enrolled in an alternative graduate teacher certification program at the graduate level. Candidates must pass the EAS and the CST (where such CST is required for the certificate title). Valid for up to three years while the individual is matriculated in the Transitional C program. When the student completes or leaves the program, the certificate is no longer valid. The candidate is expected to pass the edTPA while working under the Transitional C and, upon successful exam and program completion, qualify for professional certification.

Transitional G Certificate

Issued to a college professor with a graduate degree in science, technology, engineering, or mathematics and who has successfully taught at the college level for at least two years. Candidates must pass the ALST. The Transitional G certificate will allow an individual to teach mathematics or one of the sciences at the secondary level, without completing additional pedagogical study, for two years. After two years of successful teaching experience with the district on a Transitional G certificate, the teacher would be eligible for the Initial certificate in that subject area.

In order to be eligible for Initial certification in New York State, school building leaders must meet the following requirements:

- 1) Completion of a New York State Registered Program
- 2) Institutional Recommendation
- 3) Master's Degree

- 4) Two certification exams: 1) Educating All Students Test (EAS): 2) a two-part school building leader assessment
- 5) Three years of paid, full-time classroom teaching or pupil personnel service
- 6) Workshop – Dignity for All Students Act
- 7) Fingerprint clearance
- 8) 500 hours of internship

The school building leader certification exam was revised in 2013 and is designed around the 2008 ISLLC Standards and the following competencies: 1) instructional leadership for student success; 2) school culture and learning environment to promote excellence and equity; 3) developing human capital to improve teacher and staff effectiveness and student achievement; 4) family and community engagement; and 5) operational systems, data systems, and legal guidelines to support achievement of school goals. The complete framework is available here:
http://www.nystce.nesinc.com/content/docs/NY107_108_OBJ_FINAL.pdf

In order to move from an Initial certificate to a Professional certificate, school building leaders must have three years of paid, full-time administration experience; complete a mentored experience during their first year; and be a permanent resident or US citizen³⁵.

Recognizing that there are still significant gaps in access to qualified and effective educators in emerging and hard-to-staff subject areas, the Department will continue to work with stakeholders to determine what, if any, revisions are necessary to existing certification pathways/requirements that will promote increased numbers of qualified candidates.

4. Improving Skills of Educators (ESEA section 2101(d)(2)(J)): Describe how the SEA will improve the skills of teachers, principals, or other school leaders in order to enable them to identify students with specific learning needs, particularly children with disabilities, English learners, students who are gifted and talented, and students with low literacy levels, and provide instruction based on the needs of such students.

The Department recognizes the importance of ensuring that teachers, principals, and other school leaders have the knowledge, skills, and abilities that they need to meet the needs of all of their students. Central to this is ensuring that educators are able to identify students with specific learning needs and to provide differentiated instruction based on students' needs.

Foundationally, the Department has developed a set of teaching standards called the NYS Teaching Standards. The broad conceptual domains of these standards are as follows: 1) Knowledge of Students and Student Learning; 2) Knowledge of Content and Instructional Planning; 3) Instructional Practice; 4) Learning Environment; 5) Assessment for Student Learning; 6) Professional Responsibilities and Collaboration; and 7) Professional Growth. Underneath those broad domains, there are a set of elements and corresponding performance indicators that express

³⁵ The requirement may be revised depending on the status of the Deferred Action for Childhood Arrivals policy.

the Department’s expectation of what teachers should know and be able to do in order to be effective practitioners. Explicit in Domains 1 through 5 are elements and indicators centered on ensuring that teachers are able identify, teach to, and assess the progress of all students in a way that is responsive to their unique needs. For illustrative purposes, the elements of Domain 1 and 3 are included below.

Element I.1: Teachers demonstrate knowledge of child and adolescent development, including students’ cognitive, language, social, emotional, and physical developmental levels.

Element I.2: Teachers demonstrate knowledge of current research in learning and language acquisition theories and processes.

Element I.3: Teachers demonstrate knowledge of and are responsive to diverse learning needs, strengths, interests, and experiences of all students.

Element I.4: Teachers acquire knowledge of individual students from students, families, guardians, and/or caregivers to enhance student learning.

Element I.5: Teachers demonstrate knowledge of and are responsive to the economic, social, cultural, linguistic, family, and community factors that influence their students’ learning.

Element I.6: Teachers demonstrate knowledge and understanding of technological and information literacy and how they affect student learning.

Element III.1: Teachers use research-based practices and evidence of student learning to provide developmentally appropriate and standards-driven instruction that motivates and engages students in learning.

Element III.2: Teachers communicate clearly and accurately with students to maximize their understanding and learning.

Element III.3: Teachers set high expectations and create challenging learning experiences for students.

Element III.4: Teachers explore and use a variety of instructional approaches, resources, and technologies to meet diverse learning needs, engage students, and promote achievement.

Element III.5: Teachers engage students in the development of multidisciplinary skills, such as communication, collaboration, critical thinking, and use of technology.

Element III.6: Teachers monitor and assess student progress, seek and provide feedback, and adapt instruction to student needs.

The entire set of Teaching Standards is available for review on the Department’s website at the following address: <http://www.highered.nysed.gov/tcert/pdf/teachingstandards9122011.pdf>.

For principals, the Department has adopted the 2008 ISSLC standards³⁶. Standards 2, 4, and 6 most directly address expectations for educational leaders to meet the needs of all students.

Importantly, New York State’s teacher and principal evaluation system requires that teachers and principals receive multiple observations/school visits annually, based on practice rubrics approved by the Department through an RFQ process that is aligned to New York State’s teaching and leadership standards. The results of these evaluations are required to be used for a number of employment-related decisions, including differentiated professional development. Further, teachers who are rated as Developing or Ineffective in a school year must receive an improvement plan aligned to areas in need of improvement for implementation in the following school year. This plan must include a description of the areas in need of improvement, the way in which improvement will be assessed, the timeline for improvement, and differentiated activities that will be offered to the educator that will help him or her improve in the focus areas that have been identified.

In addition to the adoption of teaching and leadership standards, Department regulations also provide for specific pedagogical course work requirements for accredited teacher preparation programs. Section 52.21 of the Commissioner’s Regulations describe in great detail the requirements of teacher preparation programs and different certificate areas. Among these requirements are pedagogical coursework requirements that include:

(i) human developmental processes and variations, including but not limited to: the impact of culture, heritage, socioeconomic level, personal health and safety, nutrition, past or present abusive or dangerous environment, and factors in the home, school, and community on students’ readiness to learn—and skill in applying that understanding to create a safe and nurturing learning environment that is free of alcohol, tobacco, and other drugs and that fosters the health and learning of all students, and the development of a sense of community and respect for one another

(ii) learning processes, motivation, communication, and classroom management—and skill in applying those understandings to stimulate and sustain student interest, cooperation, and achievement to each student's highest level of learning in preparation for productive work, citizenship in a democracy, and continuing growth

(iii) means for understanding the needs of students with disabilities, including at least three semester hours of study for teachers to develop the skills necessary to provide instruction that will promote the participation and progress of students with disabilities in the general education curriculum. The three semester hour requirement shall include study in at least the following areas: the categories of disabilities; identification and remediation of disabilities; the special education process and State and federal special education laws and regulations; effective practices for

³⁶ The Department has launched the Principal Preparation Project with support from the Wallace Foundation, which aims to enhance State support for the development of school building leaders. One of the issues that the advisory group for this project is undertaking is whether to recommend to the Board of Regents that the Department move from the 2008 ISSLC standards to the 2015 PSEL standards. The 2015 PSEL standards more explicitly address the need for education leaders to address the needs of a diverse student population than do the 2008 ISSLC standards.

planning and designing co-teaching and collaboration with peers; individualizing instruction; and applying positive behavioral supports and interventions to address student and classroom management needs. When such requirements cannot be completed in three semester hours, the remaining study requirements may be included in other courses. This three semester hour requirement may be waived at the discretion of the commissioner, upon a showing that the program provides adequate instruction to prepare candidates on understanding the needs of students with disabilities through other means

(iv) language acquisition and literacy development by native English speakers and students who are English language learners—and skill in developing the listening, speaking, reading, and writing skills of all students, including at least six semester hours of such study for teachers of early childhood education, childhood education, middle childhood education, and adolescence education; teachers of students with disabilities, students who are deaf or hard-of-hearing, students who are blind or visually impaired, and students with speech and language disabilities; teachers of English to speakers of other languages; and library media specialists. This six semester hour requirement may be waived upon a showing of good cause satisfactory to the commissioner, including but not limited to a showing that the program provides adequate instruction in language acquisition and literacy development through other means

(v) curriculum development, instructional planning, and multiple research-validated instructional strategies for teaching students within the full range of abilities— and skill in designing and offering differentiated instruction that enhances the learning of all students in the content area(s) of the certificate

(vi) uses of technology, including instructional and assistive technology, in teaching and learning—and skill in using technology and teaching students to use technology to acquire information, communicate, and enhance learning

(vii) formal and informal methods of assessing student learning and the means of analyzing one's own teaching practice—and skill in using information gathered through assessment and analysis to plan or modify instruction, and skill in using various resources to enhance teaching

(viii) history, philosophy, and role of education, the rights and responsibilities of teachers and other professional staff, students, parents, community members, school administrators, and others with regard to education, and the importance of productive relationships and interactions among the school, home, and community for enhancing student learning—and skill in fostering effective relationships and interactions to support student growth and learning, including skill in resolving conflicts

(ix) means to update knowledge and skills in the subject(s) taught and in pedagogy

(x) means for identifying and reporting suspected child abuse and maltreatment, which shall include at least two clock hours of coursework or training regarding the identification and reporting of suspected child abuse or maltreatment, in accordance with the requirements of section 3004 of the Education Law

(xi) means for instructing students for the purpose of preventing child abduction, in accordance with Education Law section 803-a; preventing alcohol, tobacco and other drug abuse, in accordance with Education Law section 804; providing safety education, in accordance with Education Law section 806; and providing instruction in fire and arson prevention, in accordance with Education Law section 808

(xii) means for the prevention of and intervention in school violence, in accordance with section 3004 of the Education Law. This study shall be composed of at least two clock hours of course work or training that includes, but is not limited to, study in the warning signs within a developmental and social context that relate to violence and other troubling behaviors in children; the statutes, regulations and policies relating to a safe nonviolent school climate; effective classroom management techniques and other academic supports that promote a nonviolent school climate and enhance learning; the integration of social and problem solving skill development for students within the regular curriculum; intervention techniques designed to address a school violence situation; and how to participate in an effective school/community referral process for students exhibiting violent behavior

(xiii) means for the prevention of and intervention in harassment, bullying and discrimination in accordance with section 14 of the Education Law. Such study shall include six clock hours, of which at least three hours must be conducted through face-to-face instruction, of course work or training on the social patterns of harassment, bullying and discrimination; as defined in section 11 of the Education Law, including but not limited to those acts based on a person's actual or perceived race, color, weight, national origin, ethnic group, religion, religious practice, disability, sexual orientation, gender or sex; the identification and mitigation of harassment, bullying and discrimination; and strategies for effectively addressing problems of exclusion, bias and aggression in educational settings

Further, teacher preparation programs must provide candidates with at least 100 hours of field experience related to coursework prior to student teaching or practical, and this field experience must, among other requirements, provide candidates with experiences in a variety of communities and across the range of student developmental levels of the certificate, experiences practicing skills for interacting with parents or caregivers, experiences in high need schools, and experiences with each of the following student populations: socioeconomically disadvantaged students, students who are English language learners, and students with disabilities.

Moving past preparation and into certification requirements, both the edTPA and Educating All Students (EAS) certification exams, which are required for teacher certification in New York State, address this area.

Additionally, the Department has the following initiatives designed to ensure that teachers, principals, and other school leaders have the ability to identify students with specific learning needs and provide instruction based on those needs, once they are certified. These initiatives include:

Continuing Teacher and Leader Certification Requirements (CTLE)

In March 2016, the Board of Regents adopted new requirements for certificate holders. Classroom teachers, school leaders, and teaching assistants can no longer earn valid-for-life certificates; rather, they move from an Initial to a Professional certificate (Level III for teaching assistants). Holders of Professional certificates must re-register with the Department every 5 years. In order to renew their registration, educators must complete 100 clock hours of Continuing Teacher and Leader Education (CTLE) during the registration period. For a table summarizing requirements for different types of certificates, see:

<http://www.highered.nysed.gov/tcert/pdf/Registration%20Table.pdf>.

CTLE activities must be offered in appropriate subject areas, which:

1. Will expand educators' content knowledge and the knowledge and skills necessary to provide rigorous, developmentally appropriate instructional strategies and assesses student progress
2. Is research-based and provides educators with opportunities to analyze, apply, and engage in research
3. Includes the necessary opportunities for professionals to obtain CTLE to meet the English Language Learner provisions
4. Is designed to ensure that educators: a) have the knowledge, skill, and opportunity to collaborate to improve instruction and student achievement in a respectful and trusting environment; b) have the knowledge and skill to meet the diverse needs of all students; c) have the knowledge and skill to create safe, secure, supportive, and equitable learning environments for all students; d) have the knowledge, skills, and opportunity to engage and collaborate with parents, families, and other community members as active partners in children's education
5. Uses disaggregated student data and other evidence of student learning to determine professional development learning needs and priorities, to monitor student progress, and to help sustain continuous professional growth
6. Promotes technological literacy and facilitates the effective use of all appropriate technology
7. Evaluates using multiple sources of information to assess its effectiveness in improving professional practice and student learning

CTLE Language Acquisition Requirements

Holders of Professional English to Speakers of Other Languages certificates or Bilingual Extension Annotations are required to complete a minimum of 50 percent of the required CTLE clock hours in language acquisition aligned with the core content area of instruction taught, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for English Language Learners.

All other Professional certificate holders must complete a minimum of 15 percent of the required CTLE clock hours in language acquisition addressing the needs of English Language Learners, including a focus on best practices for co-teaching strategies, and integrating language and content instruction for English language learners.

Level III Teaching Assistant certificate holders must complete a minimum of 15 percent of the required CTLE clock hours dedicated to language acquisition addressing the needs of English Language Learners and integrating language and content instruction for English Language Learners.

Professional Development Plans

As a condition of receiving Title IIA funding and New York State law, every district is required to submit a professional development plan to the Department that meets the following criteria:

1. The planning, implementation and evaluation of the plan were conducted by a professional development team that included a majority of teachers and one or more administrator(s), curriculum specialist(s), parent(s), higher education representative(s), and others identified in the plan
2. The plan focuses on improving student performance and teacher practice as identified through data analysis
3. The plan describes professional development that:
 - a) is aligned with New York State content and student performance standards
 - b) is aligned with New York State Professional Development Standards at: <http://www.highered.nysed.gov/tcert/pdf/pdstds.pdf>
 - c) is articulated within and across grade levels
 - d) is continual and sustained
 - e) indicates how classroom instruction and teacher practice will be improved and assessed
 - f) indicates how each teacher in the district will participate
 - g) reflects congruence between student and teacher needs and district goals and objectives
4. The plan describes how the effectiveness of the professional development will be evaluated, and indicates how activities will be adjusted in response to that evaluation

5. Data and Consultation (ESEA section 2101(d)(2)(K)): Describe how the State will use data and ongoing consultation as described in ESEA section 2101(d)(3) to continually update and improve the activities supported under Title II, Part A.

The Department's use of Title II, Part A funding is centered on 1) helping school districts and BOCES develop comprehensive systems of support for teachers and school leaders that will help ensure that all students have equitable access to effective, experienced, and appropriately qualified teachers and leaders; and 2) creating and refining State-level programs that address the entire continuum of educators' careers from preparation through career end.

The collection of data, creation of LEA-level equity reports, and facilitated protocol for identifying and addressing root causes of inequities, by its nature, requires the Department to use data and consult with LEAs to refine both State-level and local uses of funds in ways that maximize improvements in student achievement. For other initiatives designed to create or refine State-level systems related to educator development and support, the Department will create feedback loops that allow us to collect data, solicit feedback from stakeholders, and make refinements.

Further, as a general matter, the Commissioner and other senior leadership in the Department regularly meet with a broad cross-section of stakeholders, the intention of which is to consult with the field and collect information about ongoing initiatives in order to ensure that the work of the Department is meeting the needs of educators and the community. Most directly related to initiatives related to Title II, Part A, are groups such as New York State United Teachers, the NYS Teacher Advisory Council, the Professional Standards and Practices Board (PSPB), the School Administrators Association of New York State (SAANYS), the District Superintendents of Boards of Cooperative Educational Services (BOCES), and the NYS Council of School Superintendents.

We believe that this approach to using data and ongoing consultation will enable the Department to improve its activities while at the same time imposing the minimum required burden on school districts and BOCES. The Department's use of Title II, Part A funding is centered on 1) helping school districts and BOCES develop comprehensive systems of support for teachers and school leaders that will help ensure that all students have equitable access to effective, experienced, and appropriately qualified teachers and leaders; and 2) creating and refining State-level programs that address the entire continuum of educators' careers from preparation through career end.

6. Teacher Preparation (ESEA section 2101(d)(2)(M)): Describe the actions the State may take to improve preparation programs and strengthen support for teachers, principals, or other school leaders based on the needs of the State, as identified by the SEA.

See responses in Section (D)(1)

E. Title III, Part A, Subpart 1: English Language Acquisition and Language Enhancement

1. Entrance and Exit Procedures (ESEA section 3113(b)(2)): Describe how the SEA will establish and implement, with timely and meaningful consultation with LEAs representing the geographic diversity of the State, standardized, statewide entrance and exit procedures, including an assurance that all students who may be English learners are assessed for such status within 30 days of enrollment in a school in the State.

New York State believes that all English Language Learners/Multilingual Learners (ELLs/MLLs) should receive the full range of educational supports and resources as their

English-speaking peers. That access begins with accurate identification of their language status. Under existing state regulations, New York State currently utilizes uniform ELL/MLL identification and exit criteria throughout the State, and will continue to utilize these criteria. Commissioner Regulations Part 154 require LEAs to implement an ELL/MLL identification process when a student initially enrolls or reenters a New York State public school. The identification process must commence no later than initial enrollment or reentry, and must be completed within 10 school days.

The identification process is as follows: After registration and enrollment, a Home Language Questionnaire (HLQ) is completed. If the native language is not English or the student's primary language is other than English, an individual interview is conducted in English and in the student's native/home language by qualified personnel. Qualified personnel is defined as a Bilingual Education or ESOL teacher, or a teacher trained in cultural competency, language development and the needs of ELLs/MLLs. The interview should include a review of the student's abilities or work samples.

If the results of the interview confirm that the native/home language is other than English, the student takes the initial English language proficiency assessment – the New York State Identification Test for English Language Learners (NYSITELL).

If there is a possibility that the student is also a Student with Interrupted Formal Education (SIFE), or if the student has an Individualized Education Plan, separate protocols are followed. SIFE are identified through the Multilingual Literacy SIFE Screener (MLS). The MLS is a statewide diagnostic tool created to determine SIFE's literacy levels in their native/home language in order to provide or to design appropriate instruction for SIFE. ELLs/MLLs with Individualized Education Plans are identified and exited in accordance with Commissioner's Regulations Part 154-3.

All ELL/MLL identification determinations are eligible for review within 45 days to address possible instances of misidentification. Once identified, all ELLs/MLLs take annually the New York State English as a Second Language Achievement Test (NYSESLAT) to determine placement for the following year. Both the NYSITELL and NYSESLAT utilize five levels of proficiency (Entering, Emerging, Transitioning, Expanding, and Commanding). On the NYSITELL, students are identified as ELLs/MLLs if they score at the Entering, Emerging, Transitioning, or Expanding levels. Those who score at the Commanding level are not identified as ELLs/MLLs. Students may exit ELL/MLL status in one of two ways: 1) by scoring at the Commanding level on the NYSESLAT, or 2) by scoring at the Expanding level on the NYSESLAT AND scoring above designated cut points on the Grades 3-8 English Language Arts Assessment or Regents Exam in English.

The above-identified ELL/MLL entrance and exit procedures were created as part of a larger set of regulatory amendments to Commissioner's Regulations Part 154 in 2014. The Department's process leading to these regulatory amendments began in 2012 with focus group discussions representing over 100 key stakeholders from across New York State. Those discussions informed

the development of a statewide survey of policy options, released in June 2012, and which resulted in over 1,600 responses from teachers, principals, superintendents, advocates, and others interested in the education of ELL/MLL students. The Department then used the survey results and focus group discussions to develop proposed policy changes and enhancements. These proposed changes were then shared with stakeholders for feedback and were also shared with the U.S. Department of Justice Office of Civil Rights, U.S. Department of Education staff responsible for Titles I and III of ESEA, and members of the New York Board of Regents for review and feedback.

2. SEA Support for English Learner Progress (ESEA section 3113(b)(6)): Describe how the SEA will assist eligible entities in meeting:

- i. The State-designed long-term goals established under ESEA section 1111(c)(4)(A)(ii), including measurements of interim progress towards meeting such goals, based on the State’s English language proficiency assessments under ESEA section 1111(b)(2)(G); and**
- ii. The challenging State academic standards.**

New York State has numerous vehicles for assisting ELLs/MLLs in meeting statewide long-term goals for English language proficiency. New York State funds eight Regional Bilingual Education Resource Network (RBERN) technical assistance support centers, with seven RBERNs assigned to geographic zones and one Statewide Language RBERN, that provide technical assistance and professional development to better enable the State’s ELLs/MLLs to gain English proficiency and learn academic content, as well as to increase their performance, reduce dropout rates, and increase graduation rates. The RBERNs provide support and assistance to teachers, school leaders, support staff, families, and students in all LEAs and schools across the State. The RBERN network is the Department’s main program initiative for the provision of professional development, in-service training, information dissemination, and technical assistance related to the education of ELLs/MLLs. Each RBERN holds an annual Regional Parent/ Guardian/Caregiver Institute, which reaches over 100 participants in each region. For the 2016-17 school year, each RBERN has had between 200 and 400 professional development sessions planned for its region.

Other professional development and support activities hosted by the Department include an Annual ELL/MLL Literacy Conference (600 people were in attendance at the first convening in 2016), a training on The Fundamentals of Leading Advanced Literacies: Instruction in Linguistically Diverse Settings (taught by Dr. Nonie Lesaux and Joan Kelley), and extensive training facilitated by the City University of New York Bridges to Academic Success program to support implementation of a SIFE low literacy curriculum in schools throughout New York State. The Department also holds monthly ELL/MLL Leadership Council conference calls for school administrators.

Furthermore, the Department has created numerous resources to help New York State’s educators meet New York State’s challenging academic standards. These include a Multilingual Literacy Screener (MLS) designed to support LEAs and schools in the identification of SIFE, P-12 Math Curriculum Modules translated into the top five languages spoken in New York State, and the PENpal Home Language Questionnaire (HLQ) Toolkit (which is the first

technologically based solution to enhance appropriate identification of an ELL). The PENpal toolkit, with an interactive HLQ, currently provides verbal translation into 26 different languages.

The Department is working to address a shortage of Bilingual Education (BE) and English to Speakers of Other Languages (ESOL) teachers, through several activities to support the expansion of qualified staff to serve ELLs/MLLs via contracts with ten universities for Clinically Rich-Intensive Teacher Institutes. To date, 186 teachers have completed the coursework necessary for certification in either ESOL or the BE Extension in Spanish/English. The Department has a pending Memorandum of Understanding (MOU) with Queens College of the City University of New York to train leaders in LEAs and schools with large ELL/MLL populations, and is processing an MOU with Queens College for an online Bilingual Education Extension program in both Spanish and Chinese.

Additionally, the Department has numerous resources for ELL/MLL parents. The ELL/MLL Parent Bill of Rights outlines 17 of the most critical rights of ELL/MLL parents and is translated into the following nine languages: Arabic, Bengali, Chinese, French, Haitian-Creole, Korean, Russian, Spanish, and Urdu. The Department also has a parent guide available in 25 languages (Albanian, Arabic, Bengali, Burmese, Chinese Simplified, Chinese Traditional, French, German, Haitian-Creole, Hindi, Italian, Japanese, Karen, Korean, Nepali, Portuguese, Punjabi, Russian, Somali, Spanish, Swahili, Ukrainian, Urdu, Uzbek, and Vietnamese), and a multilingual parent hotline, housed at the New York University Language RBERN, which allows ELL/MLL parents to seek educational advice in their native/home languages. Finally, the Department has produced a parent orientation video, available in eight languages. (Arabic, French, Haitian-Creole, Russian, Simplified Chinese, Traditional Chinese, and Spanish).

- 3. Monitoring and Technical Assistance (ESEA section 3113(b)(8)): Describe:**
- i. How the SEA will monitor the progress of each eligible entity receiving a Title III, Part A subgrant in helping English learners achieve English proficiency; and**
 - ii. The steps the SEA will take to further assist eligible entities if the strategies funded under Title III, Part A are not effective, such as providing technical assistance and modifying such strategies.**

In accordance with Commissioner's Regulations Part 154, each LEA must develop a Comprehensive ELL/MLL Education Plan (CEEP) that describes how the LEA meets the educational needs of ELLs/MLLs, including all subgroups of ELLs/MLLs. Additionally, each LEA submits an annual Data/Information Report to the Department. The Department reviews each CEEP and Data/Information Report to ensure compliance with Commissioner's Regulations Part 154 and Title III.

To be eligible for Title III funds for ELLs/MLLs, LEAs must have instructional programs for ELLs/MLLs that comply with Commissioner's Regulations Part 154 and Title III. The eight RBERNs across New York State also work with LEAs by providing technical assistance and professional development. The Department is developing a District/School Self-Evaluation Tool to enable LEAs to assess the degree to which their academic instruction meets ELLs'/MLLs'

needs. This Self-Evaluation Tool includes goals, objectives, and rating scales, and requires LEAs to identify and review evidence regarding the quality of their ELL/MLL programs. If strategies and practices identified in LEAs' CEEPs and Data/Information Reports, in Corrective Action Plans, and via the District/School Self-Evaluation Tool are found to be ineffective or out of compliance, the Department will conduct in-person monitoring, as well as provide technical assistance, including data analysis and professional development for educators and administrators.

F. Title IV, Part A: Student Support and Academic Enrichment Grants

1. Use of Funds (ESEA section 4103(c)(2)(A)): Describe how the SEA will use funds received under Title IV, Part A, Subpart 1 for State-level activities.

New York State is committed to offering all students a safe, supportive, and well-rounded school experience. In accordance with ESEA Section 4104, the Department will use up to 1% of funds to support administrative costs associated with carrying out responsibilities related to public reporting on how Title IV Part A funds are being expended by local educational agencies, including the degree to which LEAs have made progress toward meeting the objectives and outcomes for the program. Up to 4% of SEA-level funds will be used for:

1. Supporting local educational agencies in providing programs and activities that offer well-rounded educational experiences to all students.

The Department is committed to supporting LEAs across New York State to ensure that every student – including students from traditionally under-served and under-represented racial, ethnic, and socio-economic groups – has equitable and sustained access to highly effective schools that provide a well-rounded education and rigorous coursework that enables students to become prepared for college, career, and civic responsibility. Toward that end, the Department will leverage programmatic and fiscal supports to increase the number of schools across New York State that demonstrate the following characteristics in serving every student:

- Visionary instructional leaders partner with all stakeholders. Visionary instructional leaders create a professional, respectful and supportive school culture and community that values and promotes diversity and leads to success, well-being, and high academic and career expectations and outcomes for all students. This is accomplished through the use of collaborative systems of continual and sustainable school improvement.
- All students receive curricula in all disciplines that are challenging, engaging, and integrated. The curricula are tied to appropriate formative and summative assessments, which are aligned to New York State learning standards. This results in instruction that is relevant and responsive to student needs and modified to maximize student growth and learning outcomes.
- Teachers and staff engage in ongoing professional development to equip themselves with effective, research-based, strategic instructional practices. Teachers and staff use multiple

measures, so that targeted instruction maximizes student learning outcomes. Teachers and staff address the needs and interests of diverse learners and design lessons and activities that are responsive to what students need to learn. These efforts allow students to consistently experience high levels of engagement and achievement.

- The school community identifies, promotes, and supports social, emotional, physical, and cognitive development throughout the school day. This is accomplished by designing systems, programs and strengths-based experiences that identify and foster healthy relationships, as well as safe, inclusive, and respectful environments. These efforts lead to students' developing social emotional skills and barriers to learning being removed.
- The school has active partnerships that are culturally and linguistically inclusive and in which families, students, community members and school staff respectfully collaborate. These partnerships support student academic progress, social-emotional growth, well-being, and personal and civic responsibility, so that students have the opportunity to reach their full potential.
- The school community identifies, promotes, and supports multiple pathways to graduation and career readiness based on individual strengths, needs, interests, and aspirations. These pathways create access to multiple opportunities for students to pursue advanced coursework and actively explore and/or pursue specific career-related coursework and experiences in the arts, languages and Career and Technical Education. Consequently, students develop the knowledge and skills to meaningfully transition to postsecondary opportunities and to exercise civic responsibility.
- The school community continually and critically examines and challenges its own cultural assumptions to understand how they shape school-wide policies and practices, so as to inform plans for continual movement towards a school environment that is inclusive, as well as linguistically and culturally responsive.
- The school community promotes cultural responsiveness and appropriate responses to individuality and differences, as reflected in policies, programs, and practices. The school examines its cultural assumptions to inform practice and professional development on culturally and linguistically responsive pedagogy.

The Department recognizes that, for many students, the provision of a well-rounded education must include supports, services, and opportunities that take place outside of the school day. The Department believes that community organizations can play a crucial role in bringing essential resources and expertise to schools, complementing and supplementing what the rest of the school day delivers. Community partnerships expand the types of learning experiences to which students are exposed, bringing arts instruction, civics and service, hands-on science, sports and physical fitness, and/or vocational education and career readiness activities into the school schedule. To ensure that all students benefit from school-community partnerships, the Department will require schools and districts undertaking a Comprehensive Needs Assessment as part of CSI or TSI school improvement and creating plans based off of such assessment to incorporate input from relevant community partners that work in the school or work with the students the school serves in a community-based setting, such as afterschool providers, summer program providers, early care providers, community colleges, health providers, and mental health providers.

To ensure that all students have access to a well-rounded education, the Department will allow Title I schools that meet alternative criteria to implement a Schoolwide program, even if their poverty rates are below 40 percent. As was the case under the ESEA Flexibility Waiver, New York State will use such waivers so that an LEA may implement interventions consistent with the turnaround principles or interventions that are based on the needs of the students in the school and designed to enhance the entire educational program in a school in any of its identified schools, even if those schools do not have a poverty percentage of 40 percent or more. In making determinations about waiver requests, the Department plans to develop a rubric to assess each request against standardized criteria. The Department anticipates that waiver requests will be reviewed throughout the year to provide timely support and technical assistance to LEAs and schools during the planning process.

2. Supporting local educational agencies in fostering safe, healthy, supportive, and drug-free environments that support student academic achievement

To accomplish this, the Department plans to continue efforts to develop and implement a statewide School Climate Index. In January 2013, the Board of Regents directed the Department to reconvene the Safe Schools Task Force to advise on ways to improve school safety in New York State. The task force developed a prioritized list of recommendations that was shared with the Board in September 2014. One of the top priority recommendations from the task force was to develop and implement a statewide School Climate Index (SCI), a multi-dimensional measure that allows schools to assess school climate and, where necessary, apply programmatic interventions aimed at improvement. New York's proposed SCI will include three measures:

- School climate surveys administered to students, parents, and school personnel
- School Violence Index (SVI), which is calculated from data collected as part of Violent and Disruptive Incident Reporting (VADIR), based on a revised methodology
- Chronic absenteeism rates by school building, which was calculated for the first time in the 2015-16 school year from data reported by districts in the Student Information Repository System (SIRS)

Measuring school climate is a crucial step in improving school climate. By developing a climate index, a school can begin to develop an improvement plan with specific action items based on the results of the annual SCI. The SCI will:

- Facilitate dialogue and strengthen communication and collaboration among school administrators, staff, students, parents, and the community
- Incorporate task force recommendations for improving data collection that facilitate promoting safe and healthy schools, produce accurate data, and strengthen how schools and the Department can work together to compile information, track trends, and respond constructively to school safety and dignity indicators
- Provide school administrators with a multidimensional measure of school climate aimed at engaging students, staff, parents and community

Research has shown that results from school climate surveys that include input from students, school personnel, and the community can be an effective measure of school climate. Survey results provide school administrators with pertinent information to help engage students, staff, and parents. It is also a good measure of whether students feel safe at school so that they are ready and able to learn.

The Department plans to implement U.S. Department of Education (USDE) school climate surveys that were released in spring 2016 and are free for schools, districts and states to use (<https://safesupportivelearning.ed.gov/edscls>). The surveys, which are designed for middle and high school students (Grades 5 and up); school personnel; and parents, guardians and community members, may be implemented using the web hosting platform that USED also provided. After the survey is administered, informational reports on the survey outcomes in the areas of engagement, safety, and environment will be available to school administrators for their review and action. The Department is currently conducting a pilot in six school districts across New York State in 2016-17. Department staff are currently engaged in the following activities:

- Gathering feedback from pilot partners about what works and what doesn't
- Refining the climate index calculation
- Meeting with vendors to learn about tools that are already in use in schools that will make implementation less burdensome
- Meeting with regional information center staff to discuss their capacity to assist schools and the Department in this effort
- Determining what information will be reported to the Department
- Determining what resources districts/schools need to develop action plans
- The Department plans to expand the survey pilot to all interested LEAs in the 2017-18 school year and may move to make the surveys required starting in the 2018-2019 school year. The Department is considering that the surveys, in the future, may be added to the accountability system as a measure of School Quality and Student Success.

The Department will promote State, district, and school-level strategies for effectively engaging parents and other family members in their children's education to ensure that all students are supported by strong home-school-community partnerships. The Board of Regents recognizes that (1) improved student achievement is linked to engaging parents and families in the education process, (2) parents and families are the first educators of children, and (3) education is the shared responsibility of schools, parents and families, and the community. The Department also prioritizes family engagement as a critical component in a child's education for the following reasons:

- Family engagement supports children's school readiness academically, socially, and emotionally
- Home-school partnerships are formed when families are engaged in their child's learning
- Families that support their child's learning more easily recognize gaps, if they occur, and can advocate for needed services

- Families that are engaged in the early years tend to continue to stay engaged throughout their child’s education, making smooth transitions from home to school throughout the P-12 continuum
- Family involvement benefits educational systems, as it is a contributory factor in all school improvement efforts

With these tenets in mind, the Department will continue to provide capacity-building resources and professional development for school administrators, instructional staff and non-instructional staff who interact directly with families. The Department will provide LEAs with guidance and best practice-based resources, such as the [Dual Capacity Building Framework for Family-School Partnerships](#), to help support the targeted and effective use Title I Part A and/or Title IV Part A funds for parent and family outreach and engagement activities.

The Department recognizes that immigrant and ELL/MLL parents and families are often not fully engaged by schools due to language barriers, lack of understanding of cultural backgrounds, or lack of awareness of best practices to build connections with these communities. To help families and children to feel a sense of belonging and provide them with information to enable informed educational decisions, the Department will provide support to school and districts to ensure that the cultures of all members of the school community are incorporated into engagement and improvement plans. Toward that end, the Department will build on previous work, such as [The Blueprint for English Language Learners \(ELLs\) Success](#) and the [Parents’ Bill of Rights to the new Part 154 regulations](#), to develop guidelines for engaging parents and families of all subgroups of students, with emphasis on engaging parents and families of students identified as immigrant, ELL/MLL, migrant, and homeless. The Department will work to create clear definitions of effective, culturally and linguistically competent family engagement and provide additional supports to schools to help them meet their parent and family engagement requirements under ESSA. For example, the Department will direct LEAs to:

- Engage immigrant, ELL/MLL, migrant, and homeless parents in defining what high-quality parent engagement looks like within their school and district community
- Provide timely translation and interpretation of materials in the language families best understand, including training for family-facing staff and leaders on how to access services and including gathering feedback to continually improve services
- Develop and implement improvement plans for CSI and TSI schools that specifically address the needs of immigrant, ELL/MLL, migrant, and homeless parents and families identified through a Comprehensive Needs Assessment
- Engage community-based organizations working in their community to help inform and deliver family engagement strategies that are culturally and linguistically appropriate.
- Participate in trainings provided by community-based organizations, community walks, or home/shelter visits, to help staff gain an understanding of and respect for parents’ and students’ cultural and linguistic backgrounds, including those of any unaccompanied immigrant youth and undocumented families

- Implement best practice models to enhance ELL/MLL parents’ abilities to support their children’s education, understand the school system, and their rights, as well as to engage in effective two-way communication
- Share best practice models and strategies that show evidence of effectively engaging immigrant families

Cultivating relationships with all families is critical. Early learners transition from home and early learning programs upon entering public schools and must feel welcome from the first point of contact. An additional way to welcome families is by performing home visits; an approved use of Title I, Part A, Title IV, Part A, and Title V, Part B funding. Home visits have been shown to lead to improvement in child and family outcomes by increasing parental involvement in their children’s education, supporting parents’ capacity to develop their children’s early literacy and language skills, and helping children achieve school success into the elementary grades.³⁷

It is essential to offer training opportunities that familiarize parents with school, its expectations, and how best to support and advocate for their children. Supporting families by offering adult literacy and job training adult education courses within the school building or collaborating with adult education classes offered at New York State’s regional [Board of Cooperative Educational Services \(BOCES\)](#) assists in building parental skill sets. Districts can also support parents and caregivers’ needs to connect with their peers by hosting parenting workshops and community cafés to assist families in understanding what children need to learn.

The Department also believes that it is critical for LEAs to form meaningful collaborative relationships and partnerships with community-based agencies and organizations. District staff should become familiar with community resources and connect families to organizations and services that can help them to meet their non-academic needs.

Finally, Title IV Part A supported State-level activities will be coordinated with the Department’s ongoing efforts to foster family and community engagement outlined below:

- Diagnostic Tool for School and District Effectiveness ([DTSDE](#)) Domain 6 is Family and Community Engagement; families are mentioned in other domains such as #2 School Leader Practices and Decisions and #5 Social and Emotional Developmental Health. Programs are required to disseminate parent surveys. The National PTA Standards appear throughout the DTSDE. The importance of family partnerships is further underscored in the range of supports that New York State will provide to schools identified for CSI and TSI.
- Family engagement is included in prepared Dignity Act guidance documents, Caring for Students with Life Threatening Allergies, and Substance Abuse Prevention Resources, and guidance related to elements of the various expanded learning opportunities. The Department provides supportive guidance on Academic Intervention Services. (<http://www.p12.nysed.gov/sss/>).

³⁷ Association of State and Tribal Home Visiting Initiatives. *Home Visiting Provisions in Every Student Succeeds Act*. December 2015

- Parent consultations are built into the program decision-making process for special education. The Department issued “[Special Education in New York State for Children Ages 3–21 A Parent’s Guide](#)” and “[Information for Parents of Preschool Students with Disabilities Ages 3-5.](#)” Department-funded Early Childhood Direction Centers provide information and referral services for children with disabilities ages birth through five, as well as professional development and technical assistance for families and preschool providers to improve results for preschool students with disabilities. The Pyramid Model framework includes a module for parents.
- In the area of Early Learning, the Department developed a [Quality Assurance Protocol](#) tool for evaluating prekindergarten programs. This tool includes a section on family engagement and partnerships that support transitions for children and families into early learning programs and from there to kindergarten. In addition, the Department contributed to the NYS Early Childhood Advisory Council’s (ECAC) Developmentally Appropriate Practice briefs, including a Brief on [Family Engagement](#).
- Charter schools that are authorized by the Board of Regents are held accountable for providing a strong culture and climate that supports family engagement. All applications for these new charter schools require extensive and ongoing family and community engagement and the involvement of families and communities in the planning, implementation, and design of each school.
- In the area of Higher Education, the NYS Teacher Standards includes family and community engagement principles and reference the need for ongoing work with families and the community to improve student outcomes.
- In the area of Adult Career and Continuing Education, the Department supports Family Literacy programs and [Literacy Zones](#); a reform initiative to close the achievement gap in urban and rural communities of concentrated poverty and high concentrations of families and individuals with limited literacy or English language proficiency.
- The New York State Library sponsors local library programs to engage families through programming such as the summer reading programs and programming throughout the year.
- [EngageNY](#) includes a Toolkit for Parent and Family Resources to help parents understand Regents Reform initiatives.

3. Supporting local educational agencies in increasing access to personalized, rigorous learning experiences supported by technology.

To support LEAs’ effective use of technology to improve academic achievement and digital literacy of all students, the Department will promote equitable access for all students to effective school library programs, which includes information fluency instruction and digital literacy instruction delivered by State-certified school librarians and access to professionally curated resources that:

- Improve student academic achievement
- Develop strong skills in inquiry and across multiple literacies, including digital literacy
- Help prepare college- and career-ready graduates
- Provide an engaging and safe space that connects students to the school
- Provides student opportunities to engage in the creative process through STEAM initiatives

The Department will support LEAs through a three-tiered approach. In the first tier, the Department will offer guidance on the allowed use of Title I funds to hire certified school librarians, provide up-to-date materials, including a digital literacy curriculum and educational technology, support regular professional development, and support collaboration between school librarians and classroom teachers to infuse educational technology across classrooms. Tier Two would consist of SEA support for LEA definitions of effective school library programs, digital literacy curricula, adequate staffing levels, and sharing of examples of model programs and promising practices. Tier Three includes SEA inclusion of measures of effective school library programs as a non-accountability measure on the state's data dashboard.

4. Providing training, technical assistance, and capacity building to, and monitoring of LEAs that receive a Title IV Part A allocation.
5. Identifying and eliminating State barriers to the coordination and integration of programs, initiatives, and funding streams that meet Title IV Part A purposes so that LEAs can better coordinate with other agencies, schools, and community-based services and programs.

2. Awarding Subgrants (ESEA section 4103(c)(2)(B)): Describe how the SEA will ensure that awards made to LEAs under Title IV, Part A, Subpart 1 are in amounts that are consistent with ESEA section 4105(a)(2).

In accordance with ESEA Section 4105, the Department will allocate not less than 95% of funds to LEAs for implementation of approved activities. Staff from the Department's Office of Education Finance will determine appropriate allocation amounts for LEAs across New York State, based on data from USDE. Allocations will be initially calculated so that each LEA receives Title IV Part A funds in the same proportion as its Title I Part A funds from the preceding school year. For example, an LEA that received 2.5% of New York State's Title I Part A funds in 2016-2017 will receive 2.5% of the Title IV Part A funds to be distributed in 2017-2018. Consistent with Section 4105(b), the Department will reduce LEA allocations if the 95% of funds reserved for LEAs is insufficient to make allocations to LEAs in an amount equal to the \$10,000 minimum allocation outlined in subsection (a)(2).

Program staff will review LEA allocation determinations once completed by the Office of Education Finance. Upon final approval by senior management, allocation information will be publicly posted on the Department's website, along with the funds available for LEAs under other programs including, but not limited to: Title I, Part A; Title I, Part D; Title II, Part A; Title III, Part A; and Title V, Part B.

G. Title IV, Part B: 21st Century Community Learning Centers

1. Use of Funds (ESEA section 4203(a)(2)): Describe how the SEA will use funds received under the 21st Century Community Learning Centers program, including funds reserved for State-level activities.

New York State views 21st-Century Community Learning Centers (21st CCLC) as extensions of its classrooms, providing critical academic support, enrichment, and family engagement activities to students. In accordance with ESEA Section 4202, the Department will allocate not less than 95% of funds to LEAs for implementation of approved activities. Funds for State-level activities will include a 2% set-aside for grant administration and a 3% set-aside for monitoring and evaluation, including administering the peer review process. Specific State-level activities currently underway that will continue include:

- The Department uses federal 21st CCLC funds to award two Technical Assistance Resource Centers (TARCs) contracts, one for New York City sub-grantees and one for Rest of the State sub-grantees, to assist the Department in supporting and monitoring sub-grantees' use of funds, and one State-level evaluation contract to measure the Department's administration of the 21st CCLC grant program and its effectiveness in New York State. The resource centers assist the Department in monitoring sub-grantees' use of funds and provide professional development and technical assistance to sub-grantees.
- Development of a State-level data collection and reporting system is currently in progress, using set-aside funds, to support the State-level evaluation. This will enable the Department to measure the effectiveness of the 21st CCLC programming in New York State. Currently sub-grantees are required to enter data annually into the federal Annual Performance Reporting (APR) system administered by the Tactile Group. That data is not available to states or the State-level evaluator and therefore cannot be used to report on program effectiveness in New York State. The development of a State-level data system will make this possible.
- STEM/STEAM professional development and other resources are made available to 21st CCLC sub-grantees via the TARCs and/or the website that the Centers maintain. The bi-annual professional development events coordinated by the TARCs include STEM and/or STEAM-themed offerings for sub-grantees.
- Support for effective partnerships occurs through professional development opportunities, website resources, and ongoing technical assistance provided by the two TARCs contracted by the Department and by Department program staff.

The Department is considering additional non-academic measures of student outcomes as a result of participation in 21st CCLC programming. Various assessments, including, but not limited to, social-emotional assessments are being tested by local program evaluators. The federal GPRA measures that New York State is required to provide for the annual performance reporting to the federal government include report card grades and State assessment score data for regularly

attending student participants. This data is provided by sub-grantees and goes directly to the federal government without states having access to it. These measures are known to be lagging indicators of success that tend to occur after other, more preliminary conditions have taken place, such as improvements in school attendance, student engagement, social and emotional well-being, reduction in disciplinary issues, etc. With an understanding of this fact, New York State's State-level evaluator has facilitated networking sessions for local evaluators interested in piloting interim indicators of student success and improvement as predictors of academic measures of success that would help inform the State's ability to measure the program's effectiveness in New York State.

2. Awarding Subgrants (ESEA section 4203(a)(4)): Describe the procedures and criteria the SEA will use for reviewing applications and awarding 21st Century Community Learning Centers funds to eligible entities on a competitive basis, which shall include procedures and criteria that take into consideration the likelihood that a proposed community learning center will help participating students meet the challenging State academic standards and any local academic standards.

In making awards to eligible applicants, the Department anticipates using substantially similar processes and criteria to those that were used to administer approximately \$80 million in funds as part of a Request for Proposals (RFP) that was issued in Fall 2016. Specific processes and criteria are detailed below:

Procedures for Awarding Subgrants:

The Department utilized a prequalification requirement to increase accountability of external organization grantees. As per the RFP: The State of New York has implemented a statewide prequalification process (described in <http://www.grantsreform.ny.gov/Grantees>) designed to facilitate prompt contracting for not-for-profit vendors. All not-for-profit vendors are required to pre-qualify by the grant application deadline. This includes all currently funded not-for-profit institutions that have already received an award and are in the middle of the program cycle.

A rigorous peer review process was conducted that adheres to the requirements set forth in this legislation, which requires that peer reviewers be selected for their expertise in providing effective academic, enrichment, youth development, and related services to children, and that also requires that peer reviewers not include applicants or their representatives. Peer reviewers are recruited primarily via the 21st CCLC listserv, which reaches 21st CCLC State Coordinators nationwide. Peer reviewers apply via online application, and Department staff review applications and select reviewers based on expertise and experience. Selected peer reviewers are required to sign a document that denies any conflict of interest with any current applicants and are assigned applications for review outside of their geographic location. Peer reviewers were compensated \$125 per application in the recent competition. Peer reviewers are required to attend a training webinar that provides them with detailed instructions for completing reviews, as well as guidance regarding strengths and weaknesses to look for, a review of timelines, advice on how to write appropriate, constructive comments, how to use the rating scale, and the importance of the reviewer's role and the potential effect of inaccurate scoring. Training addresses how to read and

evaluate budget narratives and FS-10 Budget Proposals, including how to determine whether expenses are allowable under the program, required cost caps are adhered to, and sufficient description of requested funding is provided. The webinar is recorded for later reference, as well as to accommodate any reviewers who are unable to attend the live training. Reviewers' expertise combined with the reviewer training, and the strength of the scoring rubric supported reliable and consistent scores; however, due to the nature of this process, individual scores, at times, vary by more than 15 points. In these cases, as set forth in the RFP, a third reviewer rates the application and the two scores mathematically closest to each other are averaged for the final score.

New sub-grant awardees are required to meet with Department program staff to ensure agency capacity. Prior to final award, Department program staff will meet with potential lead agency awardees that have not administered a grant with the Department in the past, and those agencies that have had prior A-133 audit findings in relation to 21st CCLC funding to confirm agency capacity to administer the 21st CCLC grant. The purpose of this meeting is for the Department to clearly articulate the fiscal requirements of the grant.

To manage on-going risk of sub-grant awardees, the 21st CCLC program office is finalizing a newly created Risk Assessment Tool. This tool will be used to assess the risk of each awarded sub-grantee to prioritize monitoring, evaluation, and technical assistance visits starting in Year 1 of the grant award, and then annually thereafter to reassess risk based on fiscal and programmatic factors.

Criteria for Awarding Subgrants:

In its most recent Request for Proposals, the Department focused on highest-need schools (priority points) to direct resources to areas where transitions are likely to be most difficult. To be eligible for Title IV Part B funding, at least 2/3 of the students an applicant serves must attend:

1. Schools eligible for schoolwide programs under Title I, Section 1114 of the Every Student Succeeds Act, or
2. Schools with at least 40 percent of students eligible for free or reduced priced lunch; and the families of these students.

In compliance with ESEA Section 4204(i)(1), New York State awarded priority points to applications that will serve primarily students who attend a school (e.g., public school, private school, or charter school) that meets one or more of the following criteria:

- Priority Schools, including Struggling and Persistently Struggling Schools
- Focus Schools
- High-Need Rural Schools.
- Persistently Dangerous Schools
- Limited English Proficiency Student Percentage

For sub-grantees proposing to serve students in more than one school, at least 2/3 of the students served must attend a school on one of the competition priority lists above to be eligible for priority points.

In addition, the Department directed applicants to utilize Title IV Part B funds to support the following types of activities to help ensure that participating students meet the challenging New York State academic standards and any local academic standards:

- Expanded Learning Time programming that brings external organization resources to more students. All programs must be implemented through a partnership that includes at least one local educational agency receiving funds under Title I Part A and at least one (1) BOCES, nonprofit agency, city or county government agency, faith-based organization, institution of higher education, Indian tribe or tribal organization, or for-profit corporation with a demonstrated record of success in designing and implementing before school, after school, summer learning, or expanded learning time activities.³⁸ Applicants must collaborate with partners, including the eligible school(s) that the students attend. A partnership signifies meaningful involvement in planning, as well as specific individual or joint responsibilities for program implementation. Multiple program options may be used by recipients of 21st CCLC funding, including before school, after school, weekends, holidays, or summer recess. Program funds may also be used to expand learning time to provide activities within the school day in schools implementing an expanded learning time program that provides students with at least 300 additional program hours per year before, during, or after the traditional school day, week or year.
- New York State Guidelines for Social and Emotional Development focused on supporting development of the “whole child.” Activities should be aligned and coordinated with the regular school day and school day teachers, challenging New York State learning standards, school and district goals, and preparing students for college and careers. The [NYS Guidelines for Social and Emotional Development and Learning](#) should be reflected in the proposed program.
- High-Quality Family Engagement as an integral part of all programming. Students and parents should be meaningfully involved in planning and design of the program, and should continue to have ongoing, meaningful involvement in planning throughout the duration of the program. Families of participants should be provided ongoing opportunities for meaningful engagement in children’s education, including opportunities for literacy and related educational development. Services for families should be based on a needs assessment to determine what families need and want. In addition to the mandatory offering of family literacy programming, sub-grantees are required to establish an advisory committee that includes all relevant stakeholders, including parents and students (when

³⁸ A local educational agency (LEA) could apply without a partner if the LEA demonstrated that it was unable to partner with a community-based organization in reasonable geographic proximity and of sufficient quality to meet the requirements of 21st CCLC. An LEA wishing to apply under this provision was required to notify the NYS Education Department’s Office of Student Support Services in advance.

age-appropriate). Schools that regularly convene an advisory committee that includes community-based partners can help ensure afterschool and summer offerings are coordinated and community resources are effectively leveraged to provide student supports that extend beyond the school day.

- The administration of the Quality Self-Assessment (QSA) Tool by all 21st CCLCs twice each year for self-assessment and planning for program improvement. Applicants must design the program to include the 10 essential elements of high-quality expanded learning opportunity programs outlined in the Network for Youth Success Quality Self-Assessment (QSA) Tool available at: <http://networkforyouthsuccess.org/gsa/>. The 10 essential elements of high-quality programs listed below are the foundation for all professional development provided to 21st Century programs by the Department, and the 21st Century Technical Assistance Resource Centers (TARCs): Environment and Climate; Administrative and Organization; Relationships; Staffing and Professional Development; Programming and Activities; Linkages Between the Day and After School; Youth Participation and Engagement; Parent, Family, and Community Partnerships; Program Sustainability and Growth; Measuring Outcomes and Evaluation
- External local program evaluation requirement to ensure that the sub-granted program is implemented with fidelity and that student outcomes are measured for program effectiveness. Sub-grantees are required to have a comprehensive program-level evaluation plan conducted by an external evaluator that enables ongoing program assessment and quality improvement following the requirements detailed in the New York State 21st CCLC Evaluation Manual.³⁹ Grantees are required to ensure that students and families will have meaningful involvement throughout the evaluation process to enhance stakeholder investment.
- Minimum daily attendance targets to encourage program retention and ensure that funds are supporting consistency of services and reduction of school-day chronic absenteeism. Grantees must furnish the Department with a roster of participants served in its program and the hours of participation for each participant as of June 30th in each program year. Students must attend the program for a minimum of 30 hours in the program year to be considered a participant. In grant years two through five for non-profit grantees, and years one through five for for-profit grantees, if there is less than 95% of the student participation target set forth in the 2017-2018 application's Participating Schools Form, the grantee's budget will be proportionately reduced by the amount of the percentage deficiency.

H. Title V, Part B, Subpart 2: Rural and Low-Income School Program

a. Outcomes and Objectives (ESEA section 5223(b)(1)): Provide information on program objectives and outcomes for activities under Title V, Part B, Subpart 2, including how the SEA will use funds to help all students meet the challenging State academic standards.

³⁹ The 21st CCLC Evaluation Manual is available at: www.p12.nysed.gov/sss/21stCCLC/NYSEvaluationManual.pdf

The Rural and Low-Income School (RLIS) Program goal and objective in New York State is that LEAs will use resources under this program to assist the rural LEAs in New York State that have a proportionately high rate of poverty among its population in meeting New York State’s challenging academic standards under the Every Student Succeeds Act. The Department expects LEAs to meet these standards by utilizing the flexible funds provided by the RLIS program to:

1. Improve teaching and learning in the classroom through:
 - a. Providing rich professional development to teachers and administrators in schools
 - b. Providing learning tools and resources that engage children and assist them in obtaining the knowledge necessary to succeed in postsecondary education or employment
2. Improve equity in the classroom for students, especially for subgroups that are typically disadvantaged in education, such as students in poverty, minority students, English Language Learners, and students with disabilities

Allowable uses of RLIS funds to improve teaching and learning as well as equity in the classroom include:

1. Use RLIS funds to augment Title I services provided by the LEA
2. Use RLIS funds to increase professional development opportunities for teachers and administrators in the LEA (activities allowable under Title II A)
3. Use RLIS funds to increase services for English Language Learners (Activities allowable under Title III)
4. Use RLIS funds for allowable purposes under Title IV A of ESSA such as:
 - a. Activities to support safe and healthy students such as drug and violence prevention programs, school-based mental health programs and programs on nutrition and healthful living
 - b. Activities to support the effective use of technology in the classroom
 - c. Activities to support a well-rounded education, such as providing greater access to STEM programming, college and career counseling and guidance, and programs that include art and/or music as tools to support student success
 - d. Parental engagement activities to promote school/family collaboration and student success

b. Technical Assistance (ESEA section 5223(b)(3)): Describe how the SEA will provide technical assistance to eligible LEAs to help such agencies implement the activities described in ESEA section 5222.

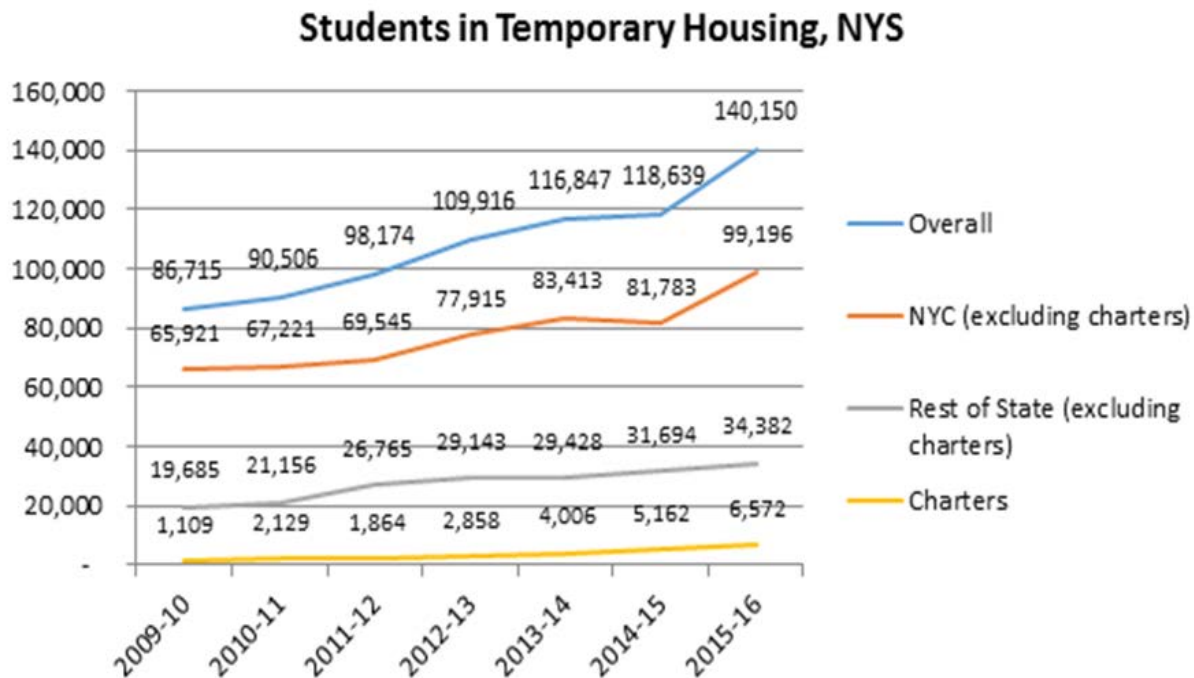
The Department will, through the RLIS Coordinator and other department resources, provide technical assistance to LEAs throughout the grant process, as needed. Technical assistance topics may include navigating the grant application and budget process, allowability of costs under the program, and assistance in determining the needs of the district in coordination with the accountability plan. Upon request by the LEA, the Department will provide technical assistance on the implementation of LEA programs funded by RLIS by a Department subject-matter expert, based on which allowable use(s) of funds the LEA selects to use for its RLIS program.

I. Education for Homeless Children and Youth program, McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B

1. Student Identification (722(g)(1)(B) of the McKinney-Vento Act): Describe the procedures the SEA will use to identify homeless children and youth in the State and to assess their needs.

Under federal law, it is the responsibility of the local educational agency (LEA) McKinney-Vento liaisons to identify children and youth experiencing homelessness. LEAs in New York State include school districts, charter schools, and Boards of Cooperative Educational Services (BOCES). This responsibility, as well as the definition of children and youth experiencing homelessness, is incorporated into New York State Education Law (New York Education Law Section 3209) and Commissioner’s Regulations (8 N.Y.C.R.R. Section 100.2(x)).

New York State has seen a significant increase in the number of children and youth experiencing homelessness, as illustrated in the chart below.



The Department and the New York State Technical and Education Assistance Center for Homeless Students or NYS-TEACHS (the Department contracts with a third party to house NYS-TEACHS, which provides much of the Department’s technical assistance related to McKinney-Vento), has ensured that LEAs properly identify children and youth experiencing homelessness and assess

their needs by providing trainings to LEAs, assistance with and guidance about particular issues and cases, and monitoring of LEAs. The Department and NYS-TEACHS will continue these efforts. In particular, the Department and NYS-TEACHS will continue to:

- Require that LEAs collect data on whether a student is homeless and the type of temporary housing arrangement that the student has if the student has been identified as homeless, consistent with federal requirements. These data are reported to the Department
- Require that LEAs receiving Title I funds (and encourage all other LEAs to) use the model Housing Questionnaire to identify children and youth experiencing homelessness (http://www.nysteachs.org/media/INF_SED_HousingQuest.docx). LEAs are instructed to give the Housing Questionnaire to assess the child or youth's housing arrangement any time that a child or youth is seeking enrollment in the LEA or a change of address
- Evaluate LEA identification practices as a part of the Department's targeted and consolidated monitoring protocol
- Offer tuition reimbursement to LEAs for students identified as homeless who enroll in the school district where the temporary housing is located if that district is different from the district where the student was last permanently housed (http://www.oms.nysed.gov/stac/contact_us/form_requests.html)
- Publish and distribute guidance to LEAs about the identification of children and youth experiencing homelessness and assessing their needs. The most recent guidance memo summarized the changes to the McKinney-Vento Act as a result of ESSA, including the change in the definition of homeless children and youth (see http://nysteachs.org/media/NYSFieldMemo_ESSA_10_2016.pdf)
- Collaborate with State and local agencies (e.g., departments of social services) to ensure that children and youth experiencing homelessness are properly identified
- Regularly post updated information regarding identification of children and youth experiencing homelessness and assessing their needs on the Department's website (<http://www.p12.nysed.gov/accountability/homeless/>) and the NYS-TEACHS website (www.nysteachs.org)
- Offer free McKinney-Vento posters in 10 languages and brochures in English and Spanish to LEAs (approximately 50,000 are distributed). These brochures and posters include information about which children and youth may be McKinney-Vento eligible (<http://nysteachs.org/materials/out-materials.html>)
- Publicly post the names and contact information for all of the LEA liaisons (<http://nysteachs.org/liaisons/>), which helps facilitate inter-district collaboration to identify children and youth experiencing homelessness, as well as to assess their needs.
- Answer inquiries through the NYS-TEACHS hotline and via email (approximately 2,600 inquiries per year) concerning the identification of children and youth experiencing homelessness, the assessment of their needs, and other McKinney-Vento-related issues
- Track barriers related to the identification of children and youth experiencing homelessness, as well as other McKinney-Vento-related barriers, and follow up with LEAs as needed to ensure that that barrier is corrected going forward

- Conduct five, large, half-day workshops per year (three in New York City and two in other parts of the State) that include information about the identification of children and youth experiencing homelessness and assessing their needs
- Conduct 22 regional trainings per year that include information about the identification of children and youth experiencing homelessness and assessing their needs
- Conduct 22 webinars per year that include information about the identification of children and youth experiencing homelessness and assessing their needs
- Post data on the number of children and youth identified as homeless by LEA (see <http://nysteachs.org/info-topic/statistics.html>)
- Provide analysis of which LEAs may have under-identified children and youth experiencing homelessness (see <http://nysteachs.org/info-topic/statistics.html>)
- Target outreach for participation in McKinney-Vento trainings to LEAs that may have under-identified children and youth experiencing homelessness
- Develop and update resources for LEAs related to trauma-sensitivity to better enable them to assess and meet the needs of children and youth experiencing homelessness (<http://www.nysteachs.org/info-topic/schoolsuccess.html>)
- Regularly email liaisons about McKinney-Vento-related updates, including updates related to identifying homeless children and youth and assessing their needs

2. Dispute Resolution (722(g)(1)(C) of the McKinney-Vento Act): Describe procedures for the prompt resolution of disputes regarding the educational placement of homeless children and youth.

New York State Regulations detail the dispute resolution process related to McKinney-Vento claims (see 8 N.Y.C.R.R. 100.2(x)(7)). The regulations require that:

- LEAs have a process to resolve McKinney-Vento disputes (e.g., disputes related to a child’s eligibility under the McKinney-Vento Act, enrollment, school selection, or transportation)
- Students be enrolled immediately in the school where enrollment is sought, and transportation, if requested, pending final resolution of the dispute
- LEAs provide the parent, guardian, or youth (in the case of a dispute involving an unaccompanied youth) written notice that includes:
 - The reason for the LEA’s decision
 - Information about the right to appeal to LEA’s decision, including notice that the LEA’s decision will be stayed for 30 days to allow the parent, guardian, or youth to appeal the LEA’s decision to the Department
 - Contact information for the McKinney-Vento liaison and a statement that the McKinney-Vento liaison is available to help the parent, guardian, or youth with any appeal to the Department
 - A copy of the State appeal form

Below are the procedures and strategies that the Department and/or NYS-TEACHS have undertaken and will continue to undertake to ensure the prompt resolution of McKinney-Vento-related disputes:

- Revised its McKinney-Vento appeal process to ensure that continued enrollment and transportation, if requested, is provided until the Department has issued a final decision on any McKinney-Vento-related appeal consistent with the requirements in the McKinney-Vento Act as amended by ESSA (see <http://www.counsel.nysed.gov/appeals/homeless>)
- Made its McKinney-Vento appeal forms available in six languages (see <http://www.counsel.nysed.gov/appeals/homeless>)
- Published a Field Memo in 2011 detailing the timelines and forms involved in McKinney-Vento appeals (see http://www.nysteachs.org/media/INF_SED_DisputeProcess.pdf). The Department will update or replace this guidance to reflect the updated appeal process that allows for continued enrollment and transportation until the Department issues a final decision on any appeal
- Published documents to help ensure the prompt resolution of McKinney-Vento appeals, such as the Appeal Sample Evidence document, which details the parent’s burden of proof in the McKinney-Vento appeal process and includes a description of sample evidence for McKinney-Vento appeals (www.nysteachs.org/media/INF_Appeal_Sample_Evidence.pdf), and the Sample District Dispute Resolution Policy (www.nysteachs.org/media/INF_SED_SampleLEADisputeResolution.doc), which was recently updated to reflect the changes made to the McKinney-Vento dispute resolution process under ESSA. NYS-TEACHS will continue to draft and disseminate materials related the prompt resolution of McKinney-Vento-related disputes on its website, as needed: <http://www.nysteachs.org/info-topic/dispute-appeal.html>
- Evaluate LEA dispute practices as a part of the Department’s targeted and consolidated monitoring protocol
- Collaborate with State and local agencies (e.g., departments of social services) to ensure prompt resolution of McKinney-Vento disputes
- Offer free McKinney-Vento brochures in English and Spanish to LEAs, which include information about the dispute resolution process (<http://nysteachs.org/materials/out-materials.html>)
- Publicly post the names and contact information for all of the LEA liaisons (<http://nysteachs.org/liaisons/>), which helps facilitate communication with liaisons and prompt resolution of disputes.
- Answer inquiries through the NYS-TEACHS hotline and via email concerning the prompt resolution of disputes, and other McKinney-Vento-related issues
- Track barriers related to the prompt resolution of disputes, as well as other McKinney-Vento-related barriers, and follow up with LEAs as needed to ensure that that barrier is corrected going forward
- Conduct five, large, half-day workshops per year (3 in New York City and 2 in other parts of the State) that include information about the dispute resolution process
- Conduct 22 regional trainings per year that include information about the dispute resolution process
- Conduct 22 webinars per year, most of which include information about the dispute resolution process

- Regularly communicate with liaisons about McKinney-Vento-related updates, including updates related to promptly resolving disputes

3. Support for School Personnel (722(g)(1)(D) of the McKinney-Vento Act): Describe programs for school personnel (including the LEA liaisons for homeless children and youth, principals and other school leaders, attendance officers, teachers, enrollment personnel, and specialized instructional support personnel) to heighten the awareness of such school personnel of the specific needs of homeless children and youth, including runaway and homeless children and youth.

As described previously, the Department and its technical assistance center provide an array of programs for school personnel (including the LEA liaisons for homeless children and youth, principals and other school leaders, attendance officers, teachers, enrollment personnel, and specialized instructional support personnel) to heighten the awareness of such school personnel of the specific needs of homeless children and youth, including runaway and homeless children and youth. For more detailed information on the programs and strategies that the Department and its technical assistance center provide, see the responses to questions one and two above.

4. Access to Services (722(g)(1)(F) of the McKinney-Vento Act): Describe procedures that ensure that:

- i. Homeless children have access to public preschool programs, administered by the SEA or LEA, as provided to other children in the State;**

Many of the procedures and strategies detailed above, such as hotline, onsite and online trainings, posting resources online, and notifying districts of updates via email, specifically address ensuring that children experiencing homelessness have access to LEA- and SEA-administered preschool programs. Additionally, the Department and NYS-TEACHS will undertake or continue to undertake the below procedures and strategies to ensure that homeless children have access to LEA- and SEA-administered preschool programs:

- Offer two webinars specifically focused on connecting children who are homeless with quality early care and education programs including LEA- and SEA-administered preschool programs (<http://nysteachs.org/trainings/WebinarMaterials.html>)
- Publish and disseminate guidance related to ensuring that homeless children have access to SEA- and LEA-administered preschool (http://nysteachs.org/media/INF_SED_UPK2015.pdf)
- Continue to require that LEA-administered Pre-k programs screen all children to determine their housing status
- Allow for variance in class size in order to accommodate a child who is homeless in a Pre-K classroom when it otherwise would be considered full (<http://www.p12.nysed.gov/upk/RequestforClassSizeVarianceform.docx>)
- Provide information in our trainings about the McKinney-Vento Liaison’s responsibility to connect young children who are homeless with Pre-K, Head Start, early intervention services, and other LEA-administered preschool programs

- Regularly collaborate with the New York Head Start Collaboration Director. Previous collaboration resulted in the development of a template Housing Questionnaire (<http://www.p12.nysed.gov/upk/RequestforClassSizeVarianceform.docx>) and Tip Sheet for Head Start Providers related to serving children experiencing homelessness (http://nysteachs.org/media/Tip_Sheet_for_Head_Start_Programs_11_1_16_electronic_version.pdf)
- Regularly collaborate with the Department’s Office of Early Learning
- Participate in the New York State Early Childhood Advisory Council, which provides counsel to the Governor on issues related to young children and their families
- Provide updated resources on the NYS-TEACHS website related to connecting young children experiencing homelessness with quality early care and education programs and better serving them in such programs (<http://nysteachs.org/info-topic/preschool.html>)

ii. Homeless youth and youth separated from public schools are identified and accorded equal access to appropriate secondary education and support services, including by identifying and removing barriers that prevent youth described in this clause from receiving appropriate credit for full or partial coursework satisfactorily completed while attending a prior school, in accordance with State, local, and school policies; and

The Department will continue to work with LEAs to develop local policies and procedures to ensure that homeless youth separated from public schools are identified and accorded equal access to appropriate secondary education and support services, including by identifying and removing barriers that prevent youth from receiving appropriate credit for full or partial coursework satisfactorily completed. In its McKinney-Vento ESSA guidance memo, the Department reminded LEAs that they must remove barriers related to the awarding of full or partial credit (see http://nysteachs.org/media/NYSFieldMemo_ESSA_10_2016.pdf). It will also develop additional statewide guidance on this topic, as necessary.

iii. Homeless children and youth who meet the relevant eligibility criteria do not face barriers to accessing academic and extracurricular activities, including magnet school, summer school, career and technical education, advanced placement, online learning, and charter school programs, if such programs are available at the State and local levels.

The Department will continue to revise its policies and practices and work with LEAs to revise and develop their policies and procedures to ensure that homeless children and youth who meet the relevant eligibility criteria do not face barriers to accessing academic and extracurricular activities, including magnet school, summer school, career and technical education, Advanced Placement, online learning, and charter school programs. The Department has already issued several guidance documents to LEAs regarding this issue:

- In its McKinney-Vento ESSA guidance memo, the Department reminded LEAs that they must remove barriers to homeless students accessing academic and extra-curricular activities,

including magnet schools, summer school, career and technical education, Advanced Placement courses, online learning, and charter schools. This memo also provided specific guidance about missed deadlines for charter school enrollment lotteries and ensuring access for children and youth who are homeless (see

http://nysteachs.org/media/NYSFieldMemo_ESSA_10_2016.pdf)

- The Department issues an annual Field Memo to LEAs reminding them to ensure access to summer school, including the waiving of any fees and provision of transportation if the lack of this service poses a barrier to participation for students who are homeless (see http://www.nysteachs.org/media/INF_SED_SummerSchoolInformation2016.pdf)
- The Department issued several Field Memos regarding students in temporary housing accessing charter schools in 2010 and 2013 (<http://nysteachs.org/info-topic/charter-schools.html#laws>)

The Department will develop additional statewide guidance on this topic as necessary.

5. Strategies to Address Other Problems (722(g)(1)(H) of the McKinney-Vento Act): Provide strategies to address other problems with respect to the education of homeless children and youth, including problems resulting from enrollment delays that are caused by—

- requirements of immunization and other required health records;**
- residency requirements;**
- lack of birth certificates, school records, or other documentation;**
- guardianship issues; or**
- uniform or dress code requirements.**

Many of the strategies detailed above, such as answering questions that come through on NYS-TEACHS hotline, providing onsite and online trainings, reporting enrollment barriers, monitoring districts, posting resources online, and notifying districts of updates via email specifically address the elimination of enrollment delays related to requirements of immunization and other required health records; residency requirements; lack of birth certificates, school records, or other documentation; guardianship issues; or uniform or dress code requirements. Additionally, New York State Education Law and Regulations prohibit enrollment delays for children and youth experiencing homeless and require their immediate enrollment in school. The Department will provide additional guidance to LEAs as needed.

6. Policies to Remove Barriers (722(g)(1)(I) of the McKinney-Vento Act): Demonstrate that the SEA and LEAs in the State have developed, and shall review and revise, policies to remove barriers to the identification of homeless children and youth, and the enrollment and retention of homeless children and youth in schools in the State, including barriers to enrollment and retention due to outstanding fees or fines, or absences.

The Department has worked closely with the Governor and the legislature to amend New York State law to comply with the recent changes to the McKinney-Vento Act. These amendments were

signed into law on April 20, 2017. Corresponding regulations go into effect July 1, 2017. In its McKinney-Vento ESSA guidance memo, the Department reminded LEAs that they must remove barriers to enrollment and retention due to outstanding fees or fines, or absences (see http://nysteachs.org/media/NYSFieldMemo_ESSA_10_2016.pdf). The Department will continue to review and revise its policies and issue additional guidance as needed. The Department and NYS-TEACHS will also continue to undertake the strategies detailed above, such as answering questions that come through on NYS-TEACHS hotline; providing onsite and online trainings; reporting barriers related to identification, enrollment, or retention; monitoring districts; posting resources online; and notifying districts of updates via email to ensure that LEAs remove barriers to identification, enrollment, and retention of children and youth who are homeless.

7. Assistance from Counselors (722(g)(1)(K)): A description of how youths described in section 725(2) will receive assistance from counselors to advise such youths, and prepare and improve the readiness of such youths for college.

The Department will develop guidance setting forth expectations for how LEAs should ensure that youths described in section 725(2) will receive assistance from counselors to advise such youths, and prepare and improve the readiness of such youths for college. The Department and NYS-TEACHS will also continue to undertake the strategies detailed previously, such as answering questions that come through on NYS-TEACHS hotline, providing onsite and online trainings, reporting barriers related to access to college counseling, monitoring districts, posting resources online (see NYS-TEACHS webpage: “Accessing College for Students in Temporary Housing,”: <http://www.nysteachs.org/info-topic/access-college.html>) and notifying districts of updates via email to ensure that youths described in section 725(2) will receive assistance from counselors to advise such youths, and prepare and improve the readiness of such youths for college.

Appendix A: Measurements of interim progress

Instructions: Each SEA must include the measurements of interim progress toward meeting the long-term goals for academic achievement, graduation rates, and English language proficiency, set forth in the State’s response to Title I, Part A question 4.iii, for all students and separately for each subgroup of students, including those listed in response to question 4.i.a. of this document. For academic achievement and graduation rates, the State’s measurements of interim progress must take into account the improvement necessary on such measures to make significant progress in closing statewide proficiency and graduation rate gaps.

A. Academic Achievement

Measure	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal	End Goal
3-8 ELA	All Students	91	109	21.9	4.4	95	99	104	108	112	200
	American Indian/Alaska Native	86	114	22.9	4.6	90	95	99	104	109	200
	Asian/Pacific Islander	130	70	14.0	2.8	133	136	139	141	144	200
	Black	80	120	24.0	4.8	85	90	95	99	104	200
	Economically Disadvantaged	77	123	24.6	4.9	82	87	92	97	102	200
	English Language Learners	37	163	32.7	6.5	43	50	56	63	69	200
	Hispanic	83	117	23.3	4.7	88	93	97	102	107	200
	Multiracial	96	104	20.7	4.1	100	105	109	113	117	200
	Students With Disabilities	37	163	32.5	6.5	44	50	57	63	70	200
	White	93	107	21.3	4.3	98	102	106	110	115	200

Measure	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal	End Goal
3-8 Math	All Students	94	106	21.2	4.2	98	103	107	111	115	200
	American Indian/Alaska Native	86	114	22.7	4.5	91	95	100	105	109	200
	Asian/Pacific Islander	143	57	11.4	2.3	145	148	150	152	154	200
	Black	75	125	25.1	5.0	80	85	90	95	100	200
	Economically Disadvantaged	79	121	24.2	4.8	84	89	94	98	103	200
	English Language Learners	55	145	29.0	5.8	61	67	73	78	84	200

	Hispanic	83	117	23.4	4.7	88	93	97	102	107	200
	Multiracial	99	101	20.2	4.0	103	107	111	115	119	200
	Students with Disabilities	43	157	31.3	6.3	50	56	62	68	75	200
	White	99	101	20.2	4.0	103	107	111	115	119	200

Table 2: High School Interim Progress Targets based on Baseline of Continuously Enrolled Students with 95% Participation Rate

Measure	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal	End Goal
HS ELA	All Students	167	33	6.6	1.3	168	170	171	172	174	200
	American Indian/Alaska Native	156	44	8.8	1.8	158	160	161	163	165	200
	Asian/Pacific Islander	185	15	3.0	0.6	186	186	187	187	188	200
	Black	155	45	9.0	1.8	157	159	160	162	164	200
	Economically Disadvantaged	156	44	8.8	1.8	158	160	161	163	165	200
	English Language Learners	53	147	29.4	5.9	59	65	71	77	82	200
	Hispanic	158	42	8.4	1.7	160	161	163	165	166	200
	Multiracial	183	17	3.4	0.7	184	184	185	186	186	200
	Students with Disabilities	101	99	19.8	4.0	105	109	113	117	121	200
	White	178	22	4.4	0.9	179	180	181	182	182	200

Measure	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal	End Goal
HS Math	All Students	137	63	12.6	2.5	140	142	145	147	150	200
	American Indian/Alaska Native	126	74	14.8	3.0	129	132	135	138	141	200
	Asian/Pacific Islander	169	31	6.2	1.2	170	171	173	174	175	200
	Black	118	82	16.4	3.3	121	125	128	131	134	200
	Economically Disadvantaged	126	74	14.8	3.0	129	132	135	138	141	200
	English Language Learners	71	129	25.8	5.2	76	81	86	92	97	200
	Hispanic	124	76	15.2	3.0	127	130	133	136	139	200
	Multiracial	145	55	11.0	2.2	147	149	152	154	156	200
	Students With Disabilities	81	119	23.8	4.8	86	91	95	100	105	200
	White	147	53	10.6	2.1	149	151	153	155	158	200

B. Graduation Rates

Subject	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal	End Goal
4 Yr GR	All Students	82.4%	12.6%	2.5%	0.5%	82.9%	83.4%	83.9%	84.4%	84.9%	95.0%
	American Indian/Alaska Native	70.3%	24.7%	4.9%	1.0%	71.3%	72.3%	73.2%	74.2%	75.2%	95.0%
	Asian/Pacific Islander	87.7%	7.3%	1.5%	0.3%	88.0%	88.3%	88.6%	88.8%	89.1%	95.0%
	Black	71.1%	23.9%	4.8%	1.0%	72.1%	73.0%	74.0%	74.9%	75.9%	95.0%
	Economically Disadvantaged	74.0%	21.0%	4.2%	0.8%	74.9%	75.7%	76.5%	77.4%	78.2%	95.0%
	English Language Learners	45.9%	49.1%	9.8%	2.0%	47.9%	49.8%	51.8%	53.8%	55.7%	95.0%
	Hispanic	69.9%	25.1%	5.0%	1.0%	70.9%	71.9%	72.9%	73.9%	74.9%	95.0%
	Multiracial	84.0%	11.0%	2.2%	0.4%	84.5%	84.9%	85.4%	85.8%	86.2%	95.0%
	Students With Disabilities	60.2%	34.8%	7.0%	1.4%	61.6%	63.0%	64.4%	65.8%	67.2%	95.0%
	White	91.2%	3.8%	0.8%	0.2%	91.4%	91.5%	91.7%	91.8%	92.0%	95.0%

Subject	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal	End Goal
5 Yr GR	All Students	85.2%	10.8%	2.2%	0.4%	85.7%	86.1%	86.5%	87.0%	87.4%	96.0%
	American Indian/Alaska Native	72.5%	23.5%	4.7%	0.9%	73.4%	74.3%	75.3%	76.2%	77.2%	96.0%
	Asian/Pacific Islander	89.1%	6.9%	1.4%	0.3%	89.3%	89.6%	89.9%	90.2%	90.4%	96.0%
	Black	76.0%	20.0%	4.0%	0.8%	76.8%	77.6%	78.4%	79.2%	80.0%	96.0%
	Economically Disadvantaged	78.6%	17.4%	3.5%	0.7%	79.3%	80.0%	80.7%	81.4%	82.0%	96.0%
	English Language Learners	52.8%	43.2%	8.6%	1.7%	54.5%	56.2%	58.0%	59.7%	61.4%	96.0%
	Hispanic	74.8%	21.2%	4.2%	0.8%	75.6%	76.5%	77.3%	78.2%	79.0%	96.0%
	Multiracial	83.9%	12.1%	2.4%	0.5%	84.4%	84.9%	85.4%	85.9%	86.4%	96.0%
	Students With Disabilities	67.3%	28.7%	5.7%	1.1%	68.5%	69.6%	70.8%	71.9%	73.1%	96.0%
	White	92.3%	3.7%	0.7%	0.1%	92.4%	92.6%	92.7%	92.9%	93.0%	96.0%

Subject	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal	End Goal
6 Yr GR	All Students	86.0%	11.0%	2.2%	0.4%	86.4%	86.9%	87.3%	87.8%	88.2%	97.0%
	American Indian/Alaska Native	73.0%	24.0%	4.8%	1.0%	74.0%	74.9%	75.9%	76.8%	77.8%	97.0%
	Asian/Pacific Islander	89.8%	7.2%	1.4%	0.3%	90.1%	90.4%	90.7%	91.0%	91.3%	97.0%
	Black	77.9%	19.1%	3.8%	0.8%	78.7%	79.4%	80.2%	81.0%	81.7%	97.0%
	Economically Disadvantaged	80.2%	16.8%	3.4%	0.7%	80.9%	81.6%	82.2%	82.9%	83.6%	97.0%
	English Language Learners	50.0%	47.0%	9.4%	1.9%	51.9%	53.8%	55.7%	57.5%	59.4%	97.0%
	Hispanic	76.3%	20.7%	4.1%	0.8%	77.1%	77.9%	78.8%	79.6%	80.4%	97.0%
	Multiracial	84.0%	13.0%	2.6%	0.5%	84.5%	85.0%	85.5%	86.1%	86.6%	97.0%
	Students With Disabilities	68.6%	28.4%	5.7%	1.1%	69.8%	70.9%	72.0%	73.2%	74.3%	97.0%
	White	92.6%	4.4%	0.9%	0.2%	92.7%	92.9%	93.1%	93.3%	93.5%	97.0%

Subject	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal
4 Yr GR	All Students	82.4%	12.6%	2.5%	0.5%	82.9%	83.4%	83.9%	84.4%	84.9%
	American Indian/Alaska Native	70.3%	24.7%	4.9%	1.0%	71.3%	72.3%	73.2%	74.2%	75.2%
	Asian/Pacific Islander	87.7%	7.3%	1.5%	0.3%	88.0%	88.3%	88.6%	88.8%	89.1%
	Black	71.1%	23.9%	4.8%	1.0%	72.1%	73.0%	74.0%	74.9%	75.9%
	Economically Disadvantaged	74.0%	21.0%	4.2%	0.8%	74.9%	75.7%	76.5%	77.4%	78.2%
	English Language Learners	45.9%	49.1%	9.8%	2.0%	47.9%	49.8%	51.8%	53.8%	55.7%
	Hispanic	69.9%	25.1%	5.0%	1.0%	70.9%	71.9%	72.9%	73.9%	74.9%
	Multiracial	84.0%	11.0%	2.2%	0.4%	84.5%	84.9%	85.4%	85.8%	86.2%
	Students With Disabilities	60.2%	34.8%	7.0%	1.4%	61.6%	63.0%	64.4%	65.8%	67.2%
	White	91.2%	3.8%	0.8%	0.2%	91.4%	91.5%	91.7%	91.8%	92.0%

Subject	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal
5 Yr GR	All Students	85.2%	9.8%	2.0%	0.4%	85.6%	86.0%	86.4%	86.8%	87.2%
	American Indian/Alaska Native	72.5%	22.5%	4.5%	0.9%	73.4%	74.3%	75.2%	76.1%	77.0%
	Asian/Pacific Islander	89.1%	5.9%	1.2%	0.2%	89.3%	89.5%	89.8%	90.0%	90.2%
	Black	76.0%	19.0%	3.8%	0.8%	76.8%	77.5%	78.3%	79.0%	79.8%
	Economically Disadvantaged	78.6%	16.4%	3.3%	0.7%	79.2%	79.9%	80.5%	81.2%	81.8%
	English Language Learners	52.8%	42.2%	8.4%	1.7%	54.5%	56.2%	57.9%	59.5%	61.2%
	Hispanic	74.8%	20.2%	4.0%	0.8%	75.6%	76.4%	77.2%	78.0%	78.8%
	Multiracial	83.9%	11.1%	2.2%	0.4%	84.4%	84.8%	85.3%	85.7%	86.2%
	Students With Disabilities	67.3%	27.7%	5.5%	1.1%	68.5%	69.6%	70.7%	71.8%	72.9%
	White	92.3%	2.7%	0.5%	0.1%	92.4%	92.5%	92.6%	92.7%	92.8%

Subject	Group Name	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reduction Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long-Term Goal
6 Yr GR	All Students	86.0%	9.0%	1.8%	0.4%	86.4%	86.7%	87.1%	87.4%	87.8%
	American Indian/Alaska Native	73.0%	22.0%	4.4%	0.9%	73.9%	74.8%	75.6%	76.5%	77.4%
	Asian/Pacific Islander	89.8%	5.2%	1.0%	0.2%	90.0%	90.2%	90.4%	90.6%	90.9%
	Black	77.9%	17.1%	3.4%	0.7%	78.6%	79.3%	80.0%	80.6%	81.3%
	Economically Disadvantaged	80.2%	14.8%	3.0%	0.6%	80.8%	81.4%	82.0%	82.6%	83.2%
	English Language Learners	50.0%	45.0%	9.0%	1.8%	51.8%	53.6%	55.4%	57.2%	59.0%
	Hispanic	76.3%	18.7%	3.7%	0.7%	77.0%	77.8%	78.5%	79.3%	80.0%
	Multiracial	84.0%	11.0%	2.2%	0.4%	84.4%	84.9%	85.3%	85.7%	86.2%
	Students With Disabilities	68.6%	26.4%	5.3%	1.1%	69.7%	70.8%	71.8%	72.9%	73.9%
	White	92.6%	2.4%	0.5%	0.1%	92.7%	92.8%	92.9%	93.0%	93.1%

C. Progress in Achieving English Language Proficiency

Subject	ELP	2015-16 Baseline	Gap from End Goal	5 Yr Gap Reduction Goal	Yearly Gap Reductio n Goal	2017-18 Target	2018-19 Target	2019-20 Target	2020-21 Target	2021-22 Long- Term Goal	End Goal
4 Yr GR	All Students	49.0%	46.0%	9.2%	1.8%	50.8%	52.7%	54.5%	56.4%	58.2%	95.0%

Appendix B

OMB Control No. 1894-0005 (Exp. 03/31/2017)

NOTICE TO ALL APPLICANT

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine

whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

ⁱ California Office to Reform Education (CORE) and the John W. Garner Center for Youth and their Communities. 2014, November. "High school readiness." Retrieved on August 3, 2016, from <http://www.ousd.org/cms/lib07/CA01001176/Centricity/Domain/3154/High%20School%20Readiness%2011%2012%2014.pdf>.