



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

**TO:** The Honorable the Members of the Board of Regents  
**FROM:** Tony Lofrumento *Anthony Lofrumento Jr*  
**SUBJECT:** Summary of the May 2017 Meeting  
**DATE:** June 1, 2017  
**AUTHORIZATION(S):** *Margellen Ecia*

**Executive Summary**

**Issue for Decision**

Review of the Summary of the May 2017 Meeting of the Board of Regents.

**Proposed Handling**

Approval of the Summary of May 2017 meeting.

**Procedural History**

This document summarizes the actions of the Board of Regents during the monthly meeting and is brought before the Board the following month for approval.

**Recommendation**

Approval of the Summary of the May 2017 meeting.

**Timetable for Implementation**

Effective June 13, 2017.

**VOTED**, that the Summary of the May 2017 Meeting of the Board of Regents of The University of the State of New York be approved.



**SUMMARY OF THE MAY 2017 MEETING**

**OF THE BOARD OF REGENTS**

**OF**

**THE UNIVERSITY OF THE STATE OF NEW YORK**

***Held at the State Education Building***

***Albany, New York***

***May 8 and 9, 2017***

***Anthony Lofrumento, Secretary  
Board of Regents***

## ***THE BOARD OF REGENTS***

The Board of Regents of The University of the State of New York held a public session on Monday, May 8, 2017 at 9:00 a.m. pursuant to a call to duty sent to each Regent.

### **MEETING OF THE FULL BOARD, Monday, May 8<sup>th</sup> at 9:00 a.m.**

#### **Board Members in Attendance:**

Betty A. Rosa, Chancellor  
T. Andrew Brown, Vice Chancellor  
Roger Tilles  
Lester W. Young, Jr.  
Christine D. Cea  
Wade S. Norwood  
Kathleen M. Cashin  
James E. Cottrell  
Josephine Victoria Finn  
Judith Chin  
Judith Johnson  
Nan Eileen Mead  
Luis O. Reyes  
Susan W. Mittler

Also present were Commissioner of Education, MaryEllen Elia, Executive Deputy Commissioner, Elizabeth Berlin, Counsel and Deputy Commissioner for Legal Affairs, Alison B. Bianchi, and the Secretary, Board of Regents, Anthony Lofrumento. Regents Beverly L. Ouderkirk, Catherine Collins and Elizabeth S. Hakanson were absent and excused.

Chancellor Betty A. Rosa called the meeting to order at 9:00 a.m. and asked Linda Darling-Hammond to provide thoughts for a moment of reflection.

### **DISCUSSION ITEM**

#### **Every Student Succeeds Act (ESSA) Draft State Plan BR (D) 1**

Commissioner Elia led a discussion on the ESSA Draft Plan. Also contributing to the conversation was Linda Darling-Hammond, Learning Policy Institute at Stanford University, Scott Marion, National Center for Improvement of Educational Assessment, Jennifer Dunn, National Center for Improvement of Educational Assessment, Ira Schwartz, Assistant Commissioner - NYSED, Stephen Earley, NYSED, Lisette-Colon Collins, Assistant Commissioner, Office of Bilingual Education and World Languages - NYSED, and Alexander Trikalinos, NYSED. (Attachments I, II and III)

Chancellor Betty A. Rosa adjourned the meeting.

**MEETING OF THE FULL BOARD, Monday, May 8<sup>th</sup> at 2:05 p.m.**

**Board Members in Attendance:**

Betty A. Rosa, Chancellor  
T. Andrew Brown, Vice Chancellor  
Roger Tilles  
Lester W. Young, Jr.  
Christine D. Cea  
Wade S. Norwood  
Kathleen M. Cashin  
James E. Cottrell  
Josephine Victoria Finn  
Judith Chin  
Judith Johnson  
Nan Eileen Mead  
Luis O. Reyes  
Susan W. Mittler

Also present were Commissioner of Education, MaryEllen Elia, Executive Deputy Commissioner, Elizabeth Berlin, Counsel and Deputy Commissioner for Legal Affairs, Alison B. Bianchi, and the Secretary, Board of Regents, Anthony Lofrumento. Regents Beverly L. Ouder Kirk, Catherine Collins and Elizabeth S. Hakanson were absent and excused.

**DISCUSSION ITEM**

**Every Student Succeeds Act (ESSA) Draft State Plan  
BR (D) 1**

Commissioner Elia led discussion continued from the earlier meeting of the Board of Regents regarding the ESSA Draft State Plan. (Attachments I, II and III)

Chancellor Betty A. Rosa adjourned the meeting.

The Board of Regents of The University of the State of New York held a public session on Tuesday, May 9, 2017 at 12:30 p.m. pursuant to a call to duty sent to each Regent.

**MEETING OF THE FULL BOARD, Tuesday, May 9<sup>th</sup> at 12:30 p.m.**

**Board Members in Attendance:**

Betty A. Rosa, Chancellor  
T. Andrew Brown, Vice Chancellor  
Roger Tilles  
Lester W. Young, Jr.  
Christine D. Cea  
Wade S. Norwood  
Kathleen M. Cashin  
James E. Cottrell  
Josephine Victoria Finn  
Judith Chin  
Judith Johnson  
Nan Eileen Mead  
Luis O. Reyes  
Susan W. Mittler

Also present were Commissioner of Education, MaryEllen Elia, Executive Deputy Commissioner, Elizabeth Berlin, Counsel and Deputy Commissioner for Legal Affairs, Alison B. Bianchi, and the Secretary, Board of Regents, Anthony Lofrumento. Regents Beverly L. Ouderkirk, Catherine Collins and Elizabeth S. Hakanson were absent and excused.

Chancellor Betty A. Rosa called the meeting to order at 12:30 p.m. and asked Commissioner Elia to provide thoughts for a moment of reflection.

**ACTION ITEM**

**Charter Applications  
BR (A) 1**

**MOVED**, that the Board of Regents approve each application in accordance with the recommendations contained in the summary table (see Appendix I).

**Summary of the April 2017 Meetings of the Board of Regents  
BR (A) 2**

**MOVED**, that the Summary of the April 2017 Meetings of the Board of Regents of The University of the State of New York be approved.

**Motion by:** Regent Josephine Victoria Finn  
**Seconded by:** Regent Roger Tilles  
**Action:** Motion carried unanimously.

## **PROGRAM AREA CONSENT ITEMS**

### **Higher Education**

**Application for Authority to Operate as a For-Profit Degree-Granting Institution in New York State: New York Automotive and Diesel Institute (NYADI) – Provisional Authority to Confer Degrees  
BR (CA) 1**

**MOVED**, that the Board of Regents grant the New York Automotive and Diesel Institute (NYADI) provisional authority to confer the A.O.S. degree and approve the master plan amendment for NYADI to offer registered curricula in automotive and diesel technology, and collision repair. The provisional period will be for five years from the date of approval by the Board of Regents.

**Fordham University: Master Plan Amendment to Offer a Master of Science (M.S.) Program in Health Administration  
BR (CA) 2**

**MOVED**, that the Board of Regents approve an amendment to the master plan of Fordham University authorizing the University to offer the Master of Science (M.S.) in Health Administration program.

**Long Island Business Institute: Regents Authorization to Award the Associate in Science (A.S.) Degree  
BR (CA) 3**

**MOVED**, that the Board of Regents authorize Long Island Business Institute to award the Associate in Science (A.S.) degree.

**St. Thomas Aquinas College: Master Plan Amendment to Offer a Master of Public Administration (M.P.A.) Degree Program in Criminal Justice Administration  
BR (CA) 4**

**MOVED**, that the Board of Regents approve a master plan amendment to authorize St. Thomas Aquinas College to offer its first masters-level program in the Social Sciences discipline area, a Master of Public Administration (M.P.A.) in Criminal Justice Administration.

**Proposed Amendments to Part 80 of the Commissioner's Regulations Related to the Elimination of the Academic Literacy Skills Test (ALST) for Teacher Certification and to Remove Unnecessary References to the Liberal Arts and Sciences Test  
BR (CA) 12**

**MOVED**, that Part 80 of the Regulations of the Commissioner of Education be amended, as submitted, effective June 11, 2017, as an emergency action to preserve the general welfare by ensuring that candidates who are applying for an initial certificate as a classroom teacher are aware that they are no longer required to take and pass the ALST to become certified and to ensure that the emergency rule adopted at the March 2017 meeting remains in effect until it can be adopted as a permanent rule.

**Professional Practice**

**(Re)Appointments of Members to the State Boards for the Professions and (Re)Appointments of Extended Members to the State Boards for the Professions for Service on Licensure Disciplinary and/or Licensure Restoration and Moral Character Panels  
BR (CA) 5**

**MOVED**, that the Regents approve the proposed (re)appointments.

**Report of the Committee on the Professions Regarding Licensing Petitions  
BR (CA) 6**

**MOVED**, that the Regents approve the recommendations of the Committee on the Professions regarding licensing petitions.

**Master Plan Amendment: Pace University – Pleasantville Campus – Bachelor of Science (B.S.) Degree Program in Computer Engineering  
BR (CA) 7**

**MOVED**, that the Board of Regents approve an amendment to the master plan of Pace University – Pleasantville Campus to authorize the University to offer the B.S. Computer Engineering program. This amendment will be effective until May 9, 2018, unless the Department registers the program prior to that date, in which case the master plan amendment shall be without term.

**Proposed Amendment of Sections 60.12, 63.13 and 64.5 of the Regulations of the Commissioner of Education Relating to the Execution by Licensed Pharmacists of Non-Patient Specific Orders to Dispense Drugs to Prevent Human Immunodeficiency Virus (HIV) Infection in Persons Who May Have Been Exposed to HIV  
BR (CA) 8**

**MOVED**, that sections 60.12 and 63.13 and subdivision (h) of section 64.5 of the Regulations of the Commissioner of Education be added, as submitted, effective June 11, 2017, as an emergency rule upon a finding by the Board of Regents that such action is necessary for the preservation of the public health and general welfare to ensure that the emergency rule adopted at the March 2017 Regents meeting remains continuously in effect until the proposed rule can be presented for adoption and take effect as a permanent rule.

**Proposed Amendment of Section 64.7 of the Regulations of the Commissioner of Education Relating to the Execution by Registered Professional Nurses of Non-Patient Specific Orders to Screen Individuals at Increased Risk of Syphilis, Gonorrhea and/or Chlamydia Infections  
BR (CA) 9**

**MOVED**, that subdivision (g) of section 64.7 of the Regulations of the Commissioner of Education be added, as submitted, effective June 11, 2017, as an emergency rule upon a finding by the Board of Regents that such action is necessary for the preservation of the public health and general welfare to ensure that the emergency rule adopted at the March 2017 Regents meeting remains continuously in effect until the proposed rule can be presented for adoption and take effect as a permanent rule.

**P-12 Education**

**Petition of the City School District of the City of Dunkirk for Consent to Exceed the Constitutional Debt Limit  
BR (CA) 10**

**MOVED**, that the Board of Regents hereby gives consent to the issuance of bonds and/or bond anticipation notes by the Board of Education of the City School District of the City of Dunkirk in the amount not to exceed \$8,288,500 for a capital improvement project consisting of reconstruction, renovation, and building upgrades to the currently unoccupied School 6, in excess of the constitutional debt limit of said school district.

**Petition of the City School District of the City of Mechanicville for Consent to Exceed the Constitutional Debt Limit  
BR (CA) 11**

**MOVED**, that the Board of Regents hereby gives consent to the issuance of bonds and/or bond anticipation notes by the Board of Education of the City School District of the City of Mechanicville in the amount not to exceed \$33,541,000 for a capital improvement project consisting of construction of a bus garage, construction or reconstruction of and additions to various other District buildings, construction and reconstruction of athletic fields, including site work thereat and the acquisition of original furnishings, equipment,

machinery, or apparatus required for the purposes for which such buildings and facilities are to be used, in excess of the constitutional debt limit of said school district.

**Proposed Amendment to Sections 100.2 and 100.5 of the Regulations of the Commissioner of Education to Establish Criteria for the Approval of Pathway Assessments in Languages other than English (LOTE)  
BR (CA) 13**

**MOVED**, that subdivisions (f) and (mm) of Section 100.2 of the Commissioner's Regulations be amended and that subclause (1) of clause (f) of subparagraph (i) of paragraph (5) of subdivision (a) of Section 100.5 be amended, effective June 11, 2017, as an emergency action upon a finding by the Board of Regents that such action is necessary for the preservation of the general welfare in order to ensure that there is an appropriate set of criteria by which assessments in Languages other than English can be evaluated and approved to be used to meet assessment requirements for graduation and to ensure that the emergency rule adopted at the March 2017 meeting remains continuously in effect until it can be adopted as a permanent rule.

**Proposed Amendment of Sections 52.21, 100.2(j) and Part 80 of the Commissioner's Regulations Relating to School Counseling, Certification Requirements for School Counselors and Program Registration Requirements for School Counseling Preparation Programs  
BR (CA) 14**

**MOVED**, that sections 52.21, 100.2(j) and Part 80 of the Commissioner's Regulations be amended, as submitted, effective July 1, 2017.

**MOVED**, that the Regents approve the consent agenda items.

**Motion by:** Regent Christine D. Cea  
**Seconded by:** Regent James E. Cottrell  
**Action:** Motion carried unanimously.

**STANDING COMMITTEE REPORTS**

**ADULT CAREER AND CONTINUING EDUCATION SERVICES (ACCES)**

Your ACCES Committee held its scheduled meeting on May 8, 2017. All members were present, with the exception of Regent Ouderkirk and Regent Collins, who were excused.

## **MATTERS NOT REQUIRING BOARD ACTION**

Advisory Council on Postsecondary Education for Students with Disabilities – Your committee was provided with information on the recommendations from the Advisory Council on Postsecondary Education for Students with Disabilities. Some key strategies the Council recommends are to:

- Initiate a discussion with the appropriate representatives of SUNY, CUNY, CICU and APC to support them in meeting the reasonable accommodation needs of students with disabilities.
- Revise Reader's Aid Program legislation to expand the eligibility requirements and increase student financial support.
- Identify and support a sustainable "Multiple Systems Navigator" cross-system on the transition process including available services and supports for students with disabilities.
- Expand SED data collection with public postsecondary institutions to link education data in order to gather transition data and require BPSS collection of student outcome data.

In addition, the committee was presented with a panel discussion from Tamara Mariotti, Co-Chair of the Council and two students: Alexandra Luttinger, a graduate student from the College of St. Rose; and, Christopher Ortega, a graduating senior at SUNY Albany. These students shared with the committee the disability-related challenges and successes they encountered while attending college.

## **CULTURAL EDUCATION**

Your Committee on Cultural Education Committee had its scheduled meeting on May 8, 2017. Regent Roger Tilles, Chair of the Cultural Education Committee, submitted the following written report. In attendance were committee members: Regent Tilles, Chair, Regent Cea, Regent Cottrell, Regent Chin and Regent Johnson. In addition to CE Committee Members, in attendance were: Chancellor Rosa, Vice Chancellor Brown, Regent Cashin, Regent Finn, Regent Mead, and Regent Mittler.

Also in attendance were Commissioner Elia, Executive Deputy Commissioner Berlin, and Counsel and Deputy Commissioner for Legal Affairs Alison Bianchi. Regents absent: Regent Ouderkirk

## **ITEMS FOR DISCUSSION**

Chair's Remarks: Regent Tilles welcomed everyone and informed the Committee that on Wednesday morning there will be a meeting of the Arts 4+1 Pathway Subcommittee and all Regents are welcome to attend.

## **Appointments to the Regents Advisory Council on Museums [CE (A) 1]**

Deputy Commissioner Mark Schaming introduced the recommended appointments and reappointments to the Regents Advisory Council on Museums. Members of the Regents Advisory Council on Museums offer advice and consultation on issues of policy and service pursuant to the Board's statutory mandate to operate the State Museum and oversee museums across New York State. Regent Tilles informed the Committee of the need to expand the advisory council to increase participation and diversity among members. Regent Tilles recommended that the advisory council be expanded to 15 members with additional appointments to be made in June.

Motion: Regent Cea

Second: Regent Cottrell

Unanimous vote in favor of the motion.

## **Recent Acquisitions in History [CE (D) 1]**

Karen Quinn, Senior Historian and Curator of Art and Culture, reported on recent additions to the State Museum's history collection, including a collection of artwork from the historic Woodstock Art Colony and a ticket booth from the original 1923 Yankee Stadium in the Bronx. Quinn introduced the donor of the Woodstock Art Colony Collection, Arthur Anderson, to the Committee. Anderson recently donated the collection to the New York State Museum, where the collection will be transferred and permanently housed. Anderson thanked the Regents and stated that he is pleased and grateful that the collection will be at the New York State Museum for all New Yorkers to learn from and appreciate. The Woodstock Art Colony Collection features 1,500 paintings, works on paper, sculptures, and archival material and represents more than 170 artists from the early 20th century art colony in Woodstock, NY. Quinn provided an overview of the artwork and artists in the collection, including works by Birge Harrison, Robert Henri, George Bellows, Eugene Speicher, and Yasuo Kuniyoshi.

## **HIGHER EDUCATION**

Your Higher Education Committee held its scheduled meeting on May 8, 2017. All members were present.

**Proposed Amendment to Part 80 of the Regulations of the Commissioner of Education Related to Pathways for Candidates to Pursue a Transitional A, Initial, and/or Professional Career and Technical Education Certificate** - Staff presented amendments to Part 80 of the Regulations of the Commissioner of Education related to pathways for candidates to pursue Transitional A, Initial, and/or Professional Career and Technical Education certificates. VOTED: That Part 80 of the Regulations of the Commissioner of Education, be amended, as submitted, effective May 9, 2017, as an emergency action upon a finding by the Board of Regents that such action is necessary

for the preservation of the general welfare to ensure that teaching candidates who meet the requirements of the proposed amendment can obtain certification in career and technical education titles to address current teacher shortages in this area. Following a 45-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendment will be adopted by the Board of Regents at its September 2017 meeting. It is anticipated that a second emergency action will be needed at the July meeting to ensure that the emergency rule adopted at the May meeting will remain in effect until it can be adopted as a permanent rule. **HE (A)**

## **MOTION FOR ACTION BY FULL BOARD**

Madam Chancellor and Colleagues: Your Higher Education Committee recommends, and we move, that the Board of Regents act affirmatively upon each recommendation in the written report of the Committee's deliberations at its meeting on May 8, 2017, copies of which have been distributed to each member of the Board of Regents.

### **Matters Not Requiring Board Action:**

**Principal Preparation Project Update** - Staff provided an update on the project. Funded by the Wallace Foundation, the project aims to engage stakeholders in efforts to: 1) Review requirements related to preparation of school building leaders in the State; 2) Identify if improvements are needed related to certification and/or program requirements, professional development, supervision, and/or evaluation; 3) Forward recommendations to the Commissioner and Board of Regents for consideration and action, if warranted; and 4) Develop a tool to help districts identify, select, and place school building leaders. **HE (D) 2**

**Proposed Amendment to Add a New Part 48 to the Regulations of the Commissioner of Education Related to Annual Aggregate Data Reporting by New York State Institutions of Higher Education Related to Reports of Domestic Violence, Dating Violence, Stalking and Sexual Assault** - Staff presented a draft regulation for discussion related to Education Law Article 129-B which requires the New York State Education Department to develop regulations to implement aspects of the law in consultation with SUNY, CUNY and private colleges. A Notice of Proposed Rule Making will be published in the State Register on May 24, 2017. Following the 45-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendment will be adopted by the Board of Regents at its September 2017 meeting. **HE (D) 1**

### **Consent Agenda**

The Board of Regents acted on the following consent agenda items at the May 2017 meeting.

- **Approval of Degree-Granting Authority in NYS: New York Automotive and Diesel Institute** - The New York Automotive and Diesel Institute, which is currently

a for-profit non-degree institution licensed by the Department's Bureau of Proprietary School Supervision, is seeking authority to become a for-profit degree-granting institution and award two Associate in Occupational Studies (AOS) degrees: Automotive Technology and Automotive and Diesel Technology and three related certificate programs: Automotive Service Technology, Truck and Diesel Service Technology and Collision Repair Technology. **BR (CA) 1**

- **Master Plan Amendment: Fordham University** - Authorization to award a Master of Science (M.S.) degree in Health Administration. A master plan amendment is required because the proposed program will be Fordham University's first master's level program in the discipline area of the Health Professions. **BR (CA) 2**
- **Long Island Business Institute: Regents Authorization to Award Degrees** - Authorization to award the Associate in Science (A.S.) degree. There is no corresponding master plan amendment needed as the college already offers other associate-level degree program in the discipline area of Business. **BR (CA) 3**
- **Master Plan Amendment: St. Thomas Aquinas College** - Authorization to award the Master of Public Administration (M.P.A.) degree. A master plan amendment is required because the proposed program will be the College's first masters-level program in the Social Sciences discipline area. **BR (CA) 4**
- **Proposed Amendments to Part 80 of the Commissioner's Regulations Related to the Elimination of the Academic Literacy Skills Test (ALST) for Teacher Certification and to Remove Unnecessary References to the Liberal Arts and Sciences Test** - The proposed amendment is being presented to the Full Board for adoption as a second emergency rule at its May 2017 meeting in order to ensure that the emergency rule adopted at the March 2017 meeting, which will expire on June 10, 2017, remains continuously in effect until it can be permanently adopted at the June 2017 meeting.

## **P-12 EDUCATION**

Your P-12 Education Committee held its scheduled meeting on May 9, 2017. All members were present, except for Regents Ouderkirk, Collins, and Hakanson who were excused.

### **ACTION ITEMS**

#### **Renewal Decision for a Charter School Authorized by the Board of Regents [P-12 (A) 1]**

Your Committee recommends that the Board of Regents finds that, the New Dawn Charter High School: (1) meets the requirements set out in Article 56 of the Education Law, and all other applicable laws, rules and regulations; (2) the applicant can demonstrate the ability to operate the school in an educationally and fiscally sound manner; (3) granting the application is likely to improve student learning and achievement and materially further the purposes set out in subdivision two of section twenty-eight

hundred fifty of this article; and (4) granting the application would have a significant educational benefit to the students expected to attend the charter school, and the Board of Regents therefore approves the renewal application of the New Dawn Charter High School and that a renewal charter be issued, and that its provisional charter be extended for a term up through and including June 30, 2022.

### **McKinney-Vento Homeless Assistance Act [P-12 (A) 2]**

Your Committee recommends that section 100.2(x) of the Regulations of the Commissioner be amended, as submitted, effective July 1, 2017, as an emergency action upon a finding by the Board of Regents that such action is necessary for the preservation of the general welfare in order to immediately adopt the proposed amendment to timely implement the changes to Education Law §3209, as amended by Chapter 56 of the Laws of 2017, for the 2017-2018 school year and the McKinney Vento Homeless Act, as amended by the Every Student Succeeds Act.

### **Unit of Study Requirements for Career and Technical Education in Grades 7 and 8 [P-12 (A) 3]**

Your Committee recommends that section 100.4(c)(1) of the Regulations of the Commissioner of Education be amended, as submitted, effective July 1, 2017, as an emergency action upon a finding by the Board of Regents that such action is necessary for the preservation of the general welfare in order to ensure that school districts have sufficient notice of the amendments and are able to implement them, as appropriate, beginning with the 2017- 2018 school year. Regents Tilles and Mittler were in opposition.

### **MOTION FOR ACTION BY FULL BOARD**

Madam Chancellor and Colleagues: Your P-12 Education Committee recommends, and we move, that the Board of Regents act affirmatively upon each recommendation in the written report of the Committee's deliberations at its meeting on May 9, 2017, copies of which have been distributed to each Regent.

### **MATTERS NOT REQUIRING BOARD ACTION**

**Regulations Relating to School Health Services [P-12 (D) 1]** – The Committee discussed proposed amendments to regulations that seek to address numerous requests from the field, including parents, healthcare providers, schools, and the New York State Department of Health, for technical amendments and updates to existing regulatory language to improve school health services for students. In response to public comment, the Department has amended the effective date to delay these amendments until July 1, 2018 to enable adequate time for schools, parents, and health care providers to work together to implement the amendments.

**Revision of the English Language Arts and Mathematics Standards [P-12 (D) 2]** – the Committee discussed highlights of the revised learning standards in English

Language Arts and Mathematics. The revised learning standards were released to the public on May 2, 2017. The new learning standards are the culmination of a nearly two-year process that resulted in substantive changes while maintaining rigor and involved committees of more than 130 educators and parents. Following surveying of the field and stakeholders over the past several months, the Standards Review Leadership Committees and Content Advisory Panels met to review survey data and additional stakeholder and researcher feedback and made necessary revisions to the draft standards. The Department is accepting public comment on the revised standards through June 2 and it is expected that the Board of Regents will vote on adopting the standards at the June 2017 meeting.

The following experts representing the English Language Arts and Mathematics Content Advisory Panels presented specific work done on the Next Generation Learning Standards.

### **Standards Revisions – ELA**

#### **AnnMarie Dull**

*Senior Instructional Specialist, NYCDOE*

#### **Dawn Shannon**

*Assistant Superintendent of Educational Support and Technology  
Broome-Tioga BOCES*

#### **Elizabeth Sheffer-Winig**

*Instructional Specialist, New York State United Teachers*

#### **Michelle Bulla**

*Grade 12 English Language Arts/Department Chair  
Woodbury-Monroe Central School District*

#### **Anicasia Rosario**

*Grade 7 English Language Arts, Dansville CSD*

#### **John Harmon**

*New York State English Council, Executive Board  
Formerly Humanities Director and English teacher  
Skaneateles Central School District*

### **Standards Revisions – Math**

#### **Terry McSweeney**

*Assistant in Research and Educational Services  
New York State United Teachers*

**Teri Calabrese-Gray**  
*Assistant Superintendent,  
Champlain Valley Educational Services*

**Mayra Avila**  
*7<sup>th</sup> and 8<sup>th</sup> Math Teacher  
Eugenio Maria de Hostos MicroSociety School  
Yonkers Public Schools*

**Suraj Gopal**  
*Special Education Teacher  
NYCDOE*

**Kim NamKoong**  
*Parent  
Capital Region*

### **Consent Agenda**

The Board of Regents will take action on the following consent agenda item at their May 9, 2017 meeting.

- Petition of the City School District of the City of Dunkirk for Consent to Exceed the Constitutional Debt Limit
- Petition of the City School District of the City of Mechanicville for Consent to Exceed the Constitutional Debt Limit
- Regulations of the Commissioner of Education to Establish Criteria for the Approval of Pathway Assessments in Languages other than English (LOTE)
- Regulations Relating to School Counseling, Certification Requirements for School Counselors and Program Registration Requirements for School Counseling Preparation Programs

### **PROFESSIONAL PRACTICE**

Your Professional Practice Committee held its scheduled meeting on May 8, 2017. All Committee members were present, except Regent Catherine Collins and Regent Elizabeth S. Hakanson who were excused. Chancellor Betty A. Rosa, Regent Nan Eileen Mead, and Regent Susan W. Mittler were also present, but did not vote on any case or action.

## **ACTION ITEMS**

### **Professional Discipline Cases**

Your Committee recommends that the reports of the Regents Review Committees, including rulings, findings of fact, determinations as to guilt, and recommendations, by unanimous or majority vote, contained in those reports which have been distributed to you, be accepted in 3 cases. In addition, your Committee recommends, upon the recommendation of the Committee on the Professions, that 35 consent order applications and 10 surrender applications be granted. [PPC EXS (A) 1-3]

These recommendations are made following the review of 48 cases involving twenty registered professional nurses, seven licensed practical nurses, four certified public accountants, three licensed practical nurses who are also registered professional nurses, two architects, one dentist, one licensed clinical social worker, one licensed master social worker who is also a licensed clinical social worker, one licensed mental health counselor, one massage therapist, one pharmacist, one pharmacy wholesaler, and one professional engineer.

### **MOTION FOR ACTION BY FULL BOARD**

Madam Chancellor and Colleagues: Your Professional Practice Committee recommends, and we move, that the Board of Regents act affirmatively upon each recommendation in the written report of the Committee's deliberations at its meeting on May 9, 2017, copies of which have been distributed to each Regent.

### **MATTERS NOT REQUIRING BOARD ACTION**

Your Committee discussed several topics of interest, including:

- Deputy Commissioner's Report/Update
- Full Board Consent Agenda Items
- Board (Re)Appointments
- Licensing Petitions
- Master Plan Amendment - Pace University (Computer Engineering Bachelors in Science)

**Center for Workforce Studies** (Discussion) - Representatives from the Workforce Studies discussed demographics, including shortage areas, of the healthcare professions. [PPC (D) 1]

**Proposed Amendment of Section 79-7.2 of the Regulations of the Commissioner of Education Relating to the Education Requirements for Certification as a Certified Athletic Trainer** (Discussion) - Department staff presented a proposed amendment to conform the Regulations of the Commissioner to the national education standards for certification as an athletic trainer. The proposed amendment would further public

protection by ensuring that, as of July 1, 2022, all applicants for certification as certified athletic trainers in New York State meet the national education standards for such certification. [PPC (D) 2]

**MOVED**, that the Committees Reports be approved.

**Motion by:** Regent Roger Tilles  
**Seconded by:** Regent Susan W. Mittler  
**Action:** Motion carried unanimously.

**State Education Department April 2017 Fiscal Report  
BR (A) 3**

**MOVED**, that the Board accepts the April 2017 State Education Department Fiscal Report as presented.

**Motion by:** Regent Roger Tilles  
**Seconded by:** Regent Christine D. Cea  
**Action:** Motion carried unanimously.

**2017 Louis E. Yavner Awards**

The late Regent Emeritus Louis E. Yavner established and funded the Louis E. Yavner Citizen Award and the Yavner Teaching Award. These annual awards recognize teachers and private citizens who have made outstanding contributions to teaching about the Holocaust and other violations of human rights.

Chancellor Rosa and Commissioner Elia provided comments about the significance of the accomplishments of the recipient before Regent Judith Johnson presented Mr. Mitchell Polay, a teacher at Paideia School 15 in Yonkers, with the 2017 Yavner Teaching Award. Mr. Polay received a formal citation (Attachment IV) and a check in the amount of \$200 and provided comments to the Board.

Chancellor Betty A. Rosa adjourned the meeting.

**Appendix I**  
**NEW YORK STATE BOARD OF REGENTS CHARTER ACTIONS**

Name of Institution	Program Area	County (City/Town) of Location	Description of Charter Action(s)
Amagansett Life-Saving and Coast Guard Station Society	CE	Suffolk (Amagansett)	Grant a provisional charter for five years.
Doris Duke Foundation for Islamic Art	CE	New York (Manhattan)	Grant an absolute charter.
Erwin Library and Institute	CE	Oneida (Boonville)	Amend charter to: <ul style="list-style-type: none"> <li>• specify the number of trustees to be not less than five nor more than twenty;</li> <li>• designate the library's service area to be coterminous with the Village of Boonville;</li> <li>• designate Commissioner as agent for service; and</li> <li>• update IRS dissolution language.</li> </ul>
Friends of the Bennington Battlefield	CE	Rensselaer (Hoosick Falls)	Grant a Regents certificate of incorporation.
Kinney Memorial Library	CE	Otsego (Hartwick)	Amend charter to: <ul style="list-style-type: none"> <li>• specify the number of trustees to be not less than seven nor more than eleven;</li> <li>• designate the library's service area to be coterminous with the Town of Hartwick;</li> <li>• designate Commissioner as agent for service; and</li> <li>• update IRS dissolution language.</li> </ul>
Nassau County Firefighters Museum and Education Center	CE	Nassau (Garden City)	Extend provisional charter for five years.
Niagara Track & Field Hall of Fame	CE	Monroe (Fairport)	Extend provisional charter for five years.
Rush Historical Society	CE	Monroe (Rush)	Grant provisional charter for five years.

<b>Name of Institution</b>	<b>Program Area</b>	<b>County (City/Town) of Location</b>	<b>Description of Charter Action(s)</b>
Sing Sing Prison Museum	CE	Westchester (Katonah)	Grant provisional charter for five years.
The Ha'or Beacon School	P12	Kings (Brooklyn)	Consent to filing of certificate of assumed name "OHR Dovid".
Ivy League School	P12	Suffolk (Smithtown)	Amend charter to add authority to operate grades nine through twelve.
My First School	P12	Nassau (Floral Park)	Grant an absolute charter.
Ohr Halimud/The Multi-Sensory Learning Center	P12	Kings (Brooklyn)	Consent to filing of certificate of assumed name "Committee on Dyslexia Education".
Storefront Academy Harlem	P12	New York (Manhattan)	Consent to filing of certificate of assumed name "The Children's Storefront".
The Trustees of Robert College of Istanbul	P12	New York (Manhattan)	Amend and restate the charter to update purpose clause and trustee information.
The Culinary Institute of America	HE	Dutchess (Hyde Park)	Amend charter to add authority to confer the Bachelor of Science (B.S.) degree.
Nazareth College of Rochester	HE	Monroe (Rochester)	Amend charter to increase the maximum number of trustees from 35 to 40.
St. Thomas Aquinas College	HE	Rockland (Sparkill)	Amend charter to add authority to confer the Master of Public Administration (M.P.A.) degree.

## **Appendix II**

### **REGENTS ACTIONS IN 48 PROFESSIONAL DISCIPLINE CASES**

**May 8-9, 2017**

The Board of Regents announced disciplinary actions resulting in the revocation of 1 license, surrender of 10 licenses, and 37 other disciplinary actions. The penalty indicated for each case relates solely to the misconduct set forth in that particular case.

#### **I. REVOCATION AND SURRENDERS**

##### **Dentistry**

James Joseph Kehoe; Dentist; San Antonio, TX 78216; Lic. No. 028461; Cal. No. 29500; Application to surrender license granted. Summary: Licensee admitted to the charge of permitting an unlicensed person to perform an examination and prophylaxis, extract a tooth, place several buccal and occlusal sealants and administer anesthesia.

##### **Nursing**

Diana Lynn Klecar a/k/a Diana Lynn Coster; Licensed Practical Nurse, Registered Professional Nurse; Unionville, VA 22567-3257; Lic. Nos. 181291, 417845; Cal. Nos. 29497, 29498; Application to surrender licenses granted. Summary: Licensee admitted to the charge of withdrawing medication, including but not limited to the controlled substances Dilaudid and oxycodone, prior to the scheduled time of administration and prior to a patient requesting medication; and failing to document and/or perform pre-and/or-post-medication assessments.

Marilyn Kleiner; Registered Professional Nurse; West Hollywood, CA 90046; Lic. No. 298703; Cal. No. 29501; Application to surrender license granted. Summary: Licensee admitted to the charge of having been convicted of Shoplifting and Theft in the State of California, which, if committed within New York State, would have constituted Petit Larceny, a class A misdemeanor.

Olujemisi Olayinka Adedotun; Registered Professional Nurse; Las Vegas, NV 89117; Lic. No. 571939; Cal. No. 29512; Application to surrender license granted. Summary: Licensee did not contest the charge of having been found guilty of professional misconduct in the State of Nevada, which conduct would be considered willfully failing to register, if committed in New York State.

Brian Michael O'Dea; Registered Professional Nurse; San Jose, CA 95123; Lic. No. 333180; Cal. No. 29538; Application to surrender license granted. Summary: Licensee admitted to the charge of manipulating access to the Acudose-Rx system to divert for personal use and

without prescriber authorization, quantities of the controlled substances morphine, fentanyl and Dilaudid, in the State of California.

Lisa L. Caicedo a/k/a Lisa Lee Caicedo; Registered Professional Nurse; Peoria, AZ 85345-4137; Lic. No. 508628; Cal. No. 29548; Application to surrender license granted. Summary: Licensee admitted to the charge of having been convicted of Extreme Driving Under the Influence, a misdemeanor, which, if committed within this State, would have constituted Driving While Intoxicated, an unclassified misdemeanor, under New York State law.

### **Pharmacy**

Barry Adelman; Pharmacist; New York, NY 10075; Lic. No. 028429; Cal. No. 28631; Application to surrender license granted. Summary: Licensee admitted to charges of permitting an unlicensed person to practice the profession of pharmacy at the pharmacy operated by Barmed Drugs, Inc and failing to supervise the pharmacy operated by Barmed Drugs, Inc.

### **Public Accountancy**

Matthew Glen Weber a/k/a Matthew Weber; Certified Public Accountant; Oceanside, NY 11572; Lic. No. 070436; Cal. No. 27661; Found guilty of professional misconduct; Penalty: Revocation, \$10,000 fine.

Steven Thomas Turynowicz; Certified Public Accountant; New Hartford, NY 13413; Lic. No. 069256; Cal. No. 29517; Application to surrender license granted. Summary: Licensee admitted to the charge of having been convicted of Preparation and Presentation of a False Tax Return, a felony.

Marc Wieselthier; Certified Public Accountant; Otisville, NY 10963; Lic. No. 044029; Cal. No. 29518; Application to surrender license granted. Summary: Licensee admitted to the charge of having been convicted of Conspiracy to Commit Bank Fraud.

## **II. OTHER REGENTS DISCIPLINARY ACTIONS**

### **Architecture**

Karl D. Berg; Larchmont, NY 10538; Lic. No. 015280; Cal. No. 29351; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$1,500 fine.

Michael Joseph Castro; Oakland, CA 94602; Lic. No. 022131; Cal. No. 29479; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$2,500 fine.

### **Engineering, Land Surveying and Geology**

Daniel P. Thayne; Professional Engineer; Hartwell, GA 30643; Lic. No. 084687; Cal. No. 29300; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

### **Massage Therapy**

Mateusz M. Mostek; East Hampton, NY 11973; Lic. No. 026610; Cal. No. 29285; Application for consent order granted; Penalty agreed upon: 2 month actual suspension, 22 month stayed suspension, 2 years probation, \$2,500 fine.

### **Mental Health Practitioners**

Jimmy Philippe; Licensed Mental Health Counselor; Brooklyn, NY 11234-1005; Lic. No. 001355; Cal. No. 28783; Application for consent order granted; Penalty agreed upon: 2 month actual suspension, 22 month stayed suspension, 2 years probation, \$1,000 fine.

### **Nursing**

Jennifer R. Snyder; Licensed Practical Nurse; Mohawk, NY 13407; Lic. No. 290853; Cal. No. 27998; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Lioudmila Grigoryevna Novikov; Registered Professional Nurse; Brooklyn, NY 11223; Lic. No. 537713; Cal. No. 28279; Found guilty of professional misconduct; Penalty: 2 year suspension, execution of suspension stayed, probation 2 years concurrent with stayed suspension.

Kimberly Ann McDermott; Licensed Practical Nurse, Registered Professional Nurse; Yonkers, NY 10703; Lic. Nos. 250840, 494266; Cal. Nos. 28380, 28381; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Cheri Lynn Ray a/k/a Cheri Ray; Licensed Practical Nurse; Wasilla, AK 99654-8555; Lic. No. 223230; Cal. No. 28738; Found guilty of professional misconduct; Penalty: 2 year suspension, probation 2 years to commence subsequent to termination of suspension and upon actual return to practice.

Danielle Tavia Jarrett; Registered Professional Nurse; New Haven, CT 06513; Lic. No. 666266; Cal. No. 28828; Application for consent order granted; Penalty agreed upon: 2 month actual suspension, 22 month stayed suspension, 2 years probation to commence upon return to practice in the State of New York, \$1,000 fine payable within 9 months.

Colleen Mary Balko; Registered Professional Nurse; West Seneca, NY 14224; Lic. No. 640986; Cal. No. 28998; Application for consent order granted; Penalty agreed upon:

Indefinite actual suspension until fit to practice, upon termination of suspension, 2 years probation to commence upon return to practice, \$500 fine payable within 6 months.

Amie M. Platt; Licensed Practical Nurse; Elbridge, NY 13060; Lic. No. 307534; Cal. No. 29133; Application for consent order granted; Penalty agreed upon: 2 month actual suspension, 22 month stayed suspension, upon termination of suspension, 2 years probation to commence upon return to practice, \$500 fine payable within 6 months.

Lori Ann Hughes a/k/a Lori-Ann Brown; Licensed Practical Nurse, Registered Professional Nurse; Queensbury, NY 12804; Lic. Nos. 198658, 477796; Cal. Nos. 29202, 29203; Application for consent order granted; Penalty agreed upon: Indefinite actual suspension until fit to practice, upon termination of suspensions, 2 years probation to commence upon return to practice, \$500 fine payable within 3 months.

Zoe Ryan Ventriglia; Licensed Practical Nurse; Kingston, NY 12401; Lic. No. 281948; Cal. No. 29253; Application for consent order granted; Penalty agreed upon: Indefinite actual suspension for no less than 1 year and until fit to practice, upon termination of suspension, 2 years probation to commence upon return to practice.

Clifford Thomas Simmons; Registered Professional Nurse; Canandaigua, NY 14424; Lic. No. 502445; Cal. No. 29284; Application for consent order granted; Penalty agreed upon: 1 year stayed suspension, 1 year probation, \$500 fine.

Kelly Ann Duffy; Registered Professional Nurse; Buffalo, NY 14210; Lic. No. 525375; Cal. No. 29286; Application for consent order granted; Penalty agreed upon: Indefinite actual suspension until fit to practice, upon termination of suspension, 2 years probation to commence upon return to practice, \$500 fine payable within 6 months.

Richard Stevens, Jr.; Registered Professional Nurse; Saratoga Springs, NY 12866-1286; Lic. No. 622090; Cal. No. 29299; Application for consent order granted; Penalty agreed upon: 1 year stayed suspension, 1 year probation, \$500 fine.

John Edward Dryfhout; Registered Professional Nurse; Lancaster, NY 14086; Lic. No. 566895; Cal. No. 29321; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Jamie Lynn Amery; Registered Professional Nurse; Wappingers Falls, NY 12590; Lic. No. 663996; Cal. No. 29355; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Dianne H. Layer-Kelly; Registered Professional Nurse; Lindenhurst, NY 11757-4631; Lic. No. 543785; Cal. No. 29358; Application for consent order granted; Penalty agreed upon: 1 year stayed suspension, 1 year probation, \$500 fine.

Tracey Diane Bythrow; Registered Professional Nurse; Massapequa, NY 11758-2650; Lic. No. 655083; Cal. No. 29361; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Travis Stephen Sayward; Registered Professional Nurse; Peru, NY 12972; Lic. No. 634672; Cal. No. 29375; Application for consent order granted; Penalty agreed upon: 1 month actual suspension, 23 month stayed suspension, 2 years probation.

Danielle E. Sukman; Registered Professional Nurse; Franklin Square, NY 11010; Lic. No. 585186; Cal. No. 29379; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Dorothy James; Licensed Practical Nurse; Port Jervis, NY 12771; Lic. No. 293893; Cal. No. 29390; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation.

Jacklynn Lee Dickert; Registered Professional Nurse; Rensselaer, NY 12144; Lic. No. 574770; Cal. No. 29399; Application for consent order granted; Penalty agreed upon: Indefinite actual suspension until fit to practice, upon termination of suspension, 2 years probation to commence upon return to practice.

Leslie A. Shinkman; Licensed Practical Nurse; Valley Falls, NY 12185; Lic. No. 277420; Cal. No. 29432; Application for consent order granted; Penalty agreed upon: 1 month actual suspension, 23 month stayed suspension, 2 years probation, \$500 fine.

Anita Gendron; Licensed Practical Nurse; Schroon Lake, NY 12870; Lic. No. 292115; Cal. No. 29466; Application for consent order granted; Penalty agreed upon: Indefinite actual suspension for no less than 3 months and until mentally and physically fit to practice, upon termination of suspension, 2 years probation to commence upon return to practice.

Kevin Andrew Egan; Registered Professional Nurse; Rochester, MN 55901; Lic. No. 588658; Cal. No. 29532; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation to commence upon return to practice in the State of New York, \$500 fine payable within 30 days.

Maria Sheila Galgo a/k/a Maria Sheila Galgo-Rashid; Registered Professional Nurse; Union, NJ 07083; Lic. No. 654351; Cal. No. 29533; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation to commence upon return to practice in the State of New York, \$1,000 fine payable within 60 days.

Kim Marie Coveney; Registered Professional Nurse; Seattle, WA 98106; Lic. No. 494397; Cal. No. 29534; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation to commence upon return to practice in the State of New York, \$500 fine payable within 30 days.

## **Pharmacy**

Medical Gases Inc; Pharmacy Wholesaler; 71 Swalm Street, Westbury, NY 11590; Reg. No. 024857; Cal. No. 29306; Application for consent order granted; Penalty agreed upon: \$5,000 fine, 1 year probation.

## **Public Accountancy**

Gennady Pomeranets; Certified Public Accountant; Brooklyn, NY 11235; Lic. No. 083518; Cal. No. 29417; Application for consent order granted; Penalty agreed upon: 1 year stayed suspension, 1 year probation, \$2,500 fine.

## **Social Work**

Robert L. Schlachter; Licensed Clinical Social Worker; Pennellville, NY 13132; Lic. No. 039445; Cal. No. 29076; Application for consent order granted; Penalty agreed upon: 1 month actual suspension, 23 month stayed suspension, 2 years probation.

Dayle Alison Brenner; Licensed Master Social Worker, Licensed Clinical Social Worker; Plainview, NY 11803; Lic. Nos. 057894, 069317; Cal. Nos. 29391, 29106; Application for consent order granted; Penalty agreed upon: 1 year stayed suspension, 1 year probation, \$500 fine.

# ATTACHMENT I

## NEW YORK STATE'S **DRAFT** EVERY STUDENT SUCCEEDS ACT (ESSA) PLAN SUMMARY

MAY 2017



New York State  
EDUCATION DEPARTMENT  
Knowledge > Skill > Opportunity

*This summary document outlines the process New York pursued to engage stakeholders in the development of its draft ESSA state plan; communicates the State's timeline for releasing, receiving comments, revising, and submitting the draft state plan; and highlights the significant policies contained in the draft. This overview document is not the full draft ESSA state plan, which is posted on the New York State Education Department's website.*

Dear New Yorkers,

The Every Student Succeeds Act (ESSA) provides federal funds to improve elementary and secondary education in the nation's schools. ESSA requires states and school districts to take a variety of actions to ensure all children, regardless of race, socioeconomic status, gender, disability status, primary language, or ZIP code, receive the education they need to be prepared for success in postsecondary education, careers, and citizenship. New York State receives approximately \$1.6 billion annually in funding through ESSA.

ESSA includes many provisions that will help to ensure success for students and schools. Below are just a few. The law:

- Advances equity by upholding critical protections for disadvantaged and high-need students.
- Requires that all students be taught to high academic standards that will prepare students to succeed in college and careers, and that students be assessed on these standards annually to provide important information to educators, families, students, and communities.
- Maintains an expectation that there will be accountability, support, and action to create positive change in our lowest-performing schools in which groups of students are not making progress or in which graduation rates are low.

After more than a year of engagement with thousands of stakeholders, the New York State Education Department is releasing its draft ESSA state plan on May 9 for public comment. This summary document outlines our stakeholder engagement process and highlights key proposals from the full plan. We are indebted to the thousands of students, parents, teachers and other educators, schools and district leaders, school board members and community members who attended more than 120 meetings to share their thoughts on the plan, and to many thousands more who completed surveys to provide feedback.

The Department is committed to engaging and working with stakeholders as the draft plan is finalized over the next few months. We want to hear from you about the elements of the draft plan you support and your ideas for how we can improve upon this draft. After finalizing New York State's ESSA plan and receiving approval from the U.S. Department of Education, New York State will create mechanisms for regularly reviewing the plan, soliciting feedback from stakeholders, and making appropriate adjustments as necessary to accomplish the stated goals.

Together, let's work to achieve our shared desire of ensuring that every student in New York State receives the best possible education.

Sincerely,



MaryEllen Elia  
Commissioner of Education  
President of the University of the State of New York

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## Executive Summary

The Every Student Succeeds Act provides New York State with an opportunity to leverage significant Federal resources in support of New York State’s commitment to providing equity, access, and opportunity for *all* students. In drafting a plan to submit to the U.S. Department of Education this fall, New York State began by asking stakeholders across the State for their priorities and ideas on key parts of the ESSA plan.



### **New York State’s Voices, New York State’s Plan**

- Convened an ESSA “Think Tank” of 100 organizations to help develop the plan
- Worked with national experts and advocates
- Met with the Title I Committee of Practitioners to get ideas for using the most critical source of funds in ESSA
- Posted an online survey to which 2,400 parents, educators, community members, and other stakeholders responded to share feedback on school quality indicators, teacher preparation, school improvement, and accountability system design

Since the fall of 2016, New York State has:

- Held more than 120 in-person meetings across the State and in New York State’s five largest City School Districts, which 4,000 people attended
- Followed up the in-person meetings with an online survey for further feedback from ~250 meeting participants
- Planned 13 in-person sessions [in May and June](#) to explain the plan and hear comments
- Opened an email address, [ESSAcomments@nysed.gov](mailto:ESSAcomments@nysed.gov), for the public to provide direct comments
- Created a narrated webinar explaining the plan

The insights and suggestions New York State has received for its ESSA plan to date have shaped our proposal in ways we explain below. New York State continues to solicit stakeholder feedback, and will consider this feedback before submitting a final plan in September.

## Accountability: How Should New York State Measure and Differentiate School Performance?



New York State strives for an accountability and support system that supports all students, is transparent, prioritizes the measures that our educators and families value, recognizes schools that improve, and accurately identifies schools that need the most help.

### What We Heard

- Measure student success on a variety of indicators – not just test scores
- Measure students’ academic growth over time, not just a single snapshot of performance
- Collect data, such as class size or students access to coursework, for planning and support, not for accountability

### What We Propose

- Measuring achievement in English and mathematics, plus growth in those subjects, as well as in social studies and science
- Measuring chronic absenteeism for all schools and indicators of “college, career, and civic readiness” (e.g., advanced coursework, career-technical training) for high schools
- Appointing a task force to consider other indicators of school quality
- Awarding partial, full, or extra credit to schools, to provide incentives for schools to improve all students’ performance

### What We Want to See

- More schools offering advanced coursework and career readiness opportunities so that students graduate with the highest possible credential
- Emphasis on moving ALL students’ performance, not just those close to meeting their academic targets
- More information about individual schools and districts in the hands of families and the public



## School Improvement: How Should New York State Assist Low-Performing Schools?

New York State will develop a system for supporting schools identified for improvement so that the schools that need the most support receive the most attention.

### What We Heard

- Allow schools to develop strategies based on their needs, rather than prescribing a one-size-fits-all approach
- Provide flexibility to the schools that are making improvements, and provide support and interventions to the schools that are not making gains
- Consider other ways to engage parents, not just by offering school choice

### What We Propose

- Supporting a needs assessment process that looks at all aspects of schooling, including resource allocation
- Providing broad supports in the first year of identification, and then focusing support on the schools not making gains in subsequent years
- Offering parents a voice in how select funding is spent

### What We Want to See

- More individualized, evidence-based school improvement plans and more equitable uses of resources
- Increased likelihood that the low-performing schools will improve
- Increased parent engagement in all schools, especially schools in need of improvement



## Great Teaching: How Should New York State Ensure Equitable Access to Effective Educators?

New York State believes that all students, regardless of race, income, background, gender, disability status, primary language, or ZIP code, should have equitable access to the most effective educators.

### What We Heard

- Offer student teachers and principals more ways to demonstrate their skills in real school and classroom settings

### What We Propose

- Reporting and helping districts analyze equity gaps in their schools’ access to effective educators

### What We Want to See

- Greater numbers of effective educators in every school, regardless of size, location, or student population

- Better align needs of districts and schools with teacher and principal preparation programs
- Support aspiring teachers and aspiring principals throughout their careers, not just at the beginning
- Convening a work group to suggest changes in teacher candidates' field experiences and placement
- Assisting districts with new career ladders or pathways to make the profession more attractive
- A more diverse and culturally responsive teaching workforce
- Better-prepared novice teachers with more training in real classrooms
- More opportunities for experienced educators to grow their expertise



## Support for All: How Will New York State Ensure an Excellent Education for Every Child?

New York State believes that the highest levels of learning can occur when students and educators learn and teach in environments that are safe, supportive, and welcoming to all.

### What We Heard

- Consider the effect of testing on school environments
- Help schools create more positive school climates
- Consider English Language Learners'/Multilingual Learners' starting points when measuring their English language proficiency

### What We Propose

- Applying to a federal program to pilot new kinds of assessments
- Piloting and then expanding the use of a school climate survey
- Reinforcing anti-bullying laws
- Recognizing the unique needs of English Language Learners/Multilingual Learners and differentiating the accountability for their progress, based on their initial language proficiency

### What We Want to See

- More creative and innovative assessments
- More safe and welcoming school environments for students, teachers, and families
- More English Language Learners/Multilingual Learners gaining language proficiency on a customized timeline with more support

More details on these and other proposals are found in the following pages. We welcome your feedback and ideas.

## What Stays the Same? What Will be Different?

New York State’s ESSA plan continues and refines successful efforts that the State has launched in teaching and learning over the past decade while proposing new initiatives and policy changes to promote achievement for all. Below is a brief summary of major efforts that will continue, as well as those that are new in this proposal.

Planning Area	What Stays the Same?	What Will be Different?
<b>Challenging Academic Standards and Aligned Assessments</b>	<ul style="list-style-type: none"> <li>• Requirement that students be annually assessed in Grades 3-8 in English language arts and mathematics</li> <li>• Requirement that students be assessed once in high school in English language arts and mathematics</li> <li>• Requirement that students be assessed once in science at the elementary, middle, and high school levels</li> </ul>	<ul style="list-style-type: none"> <li>• New Next Generation English language arts, mathematics, and science learning standards</li> <li>• Reduction in length of Next Generation assessments</li> <li>• Application for federal innovative assessment pilot</li> </ul>
<b>School Accountability Methodologies and Measurements</b>	<ul style="list-style-type: none"> <li>• Accountability system that includes English language arts and mathematics assessment results and graduation rates</li> <li>• Accountability determinations linked, in part, to subgroup performance in relation to State goals and annual progress</li> <li>• Identification of lowest-performing schools, based on the performance of all students as well as the performance of subgroups of students</li> <li>• Identification of low-performing districts</li> <li>• Public reporting of school and district performance</li> </ul>	<ul style="list-style-type: none"> <li>• Inclusion of new indicators in the areas of science; social studies; chronic absenteeism; acquisition of English language proficiency by English language learners/Multilingual learners; and college, career, and civic readiness.</li> <li>• Revised Performance Indices that give schools extra credit for students who are advanced.</li> <li>• Use of six year graduation cohort results</li> <li>• Sunset of identification of Local Assistance Plan Schools</li> <li>• More rigorous standards for identification of high schools based on graduation rate as required by ESSA</li> <li>• Data dashboards to provide more transparent reporting of results, including for indicators that are not part of the accountability and support system.</li> <li>• Advisory Group to examine different indicators of school quality for accountability</li> </ul>

Planning Area	What Stays the Same?	What Will be Different?
---------------	----------------------	-------------------------

**Supports and Improvement for Schools**

- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>▪ On-site State field support that focuses on technical assistance and recommendations for improvement, rather than monitoring for compliance</li> <li>▪ On-demand technical assistance during the development of school and district improvement plans</li> <li>▪ Ongoing State support throughout the school improvement process</li> <li>▪ Interventions, such as receivership</li> <li>▪ Robust technical assistance from the State for low-performing schools</li> </ul> | <ul style="list-style-type: none"> <li>▪ Individualized approach to supporting low-performing schools facilitated by NYSED</li> <li>▪ Primary State support given to Comprehensive Support and Improvement Schools; district support given to schools with low-performing subgroups</li> <li>▪ Examination and addressing of resource inequities in low-performing schools</li> <li>▪ Incentives for districts to promote diversity and reduce socioeconomic and racial isolation</li> <li>▪ Teacher transfers to low-performing schools limited to teachers rated Highly Effective or Effective</li> <li>▪ Parent voice in some budget decisions in low-performing schools</li> </ul> |
|--|--|

**Supporting Excellent Educators**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>▪ Continued use of the Annual Professional Performance Review</li> <li>▪ Existing educator and leader certification and licensure systems</li> </ul> | <ul style="list-style-type: none"> <li>▪ Implementation of new strategies for use of Title IIA funds to support professional development of teachers and school leaders.</li> <li>▪ Partnership with higher education to improve aspiring teachers’ student teaching and field experience programs</li> <li>▪ Reporting of data on access to effective educators in each district and facilitate analysis in each district to discuss solutions</li> <li>▪ Increased focus on closing gaps of access to effective educators between low- and high-performing schools</li> <li>▪ Convening a Clinical Practice Work Group to examine changes to the current field experience and placement requirements for teachers and school leaders.</li> </ul> |
|---|--|

**Supporting English Language Learners/ Multilingual Learners**

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>▪ Comprehensive services for students whose first language is not English</li> </ul> | <ul style="list-style-type: none"> <li>▪ Exemption of recently arrived English language learner students from the State’s English Language Arts test and</li> </ul> |
|---|---|

Planning Area	What Stays the Same?	What Will be Different?
	<ul style="list-style-type: none"> <li>▪ Monitoring of districts’ English Language Learners’/Multilingual Learners’ attainment of English language proficiency</li> </ul>	<ul style="list-style-type: none"> <li>inclusion of their scores in their second year of schooling only as a baseline</li> <li>▪ Focus on English Language Learners’/Multilingual Learners’ path to proficiency by holding schools accountable for their progress</li> <li>▪ New method for determining whether students are making adequate annual progress towards proficiency in English</li> </ul>
<b>Supporting All Students</b>	<ul style="list-style-type: none"> <li>▪ Support to districts in enforcing anti-bullying laws and encouraging safe school climates</li> <li>▪ Communication of policies and programs for students who are homeless, in juvenile-justice facilities, or are migrants</li> <li>▪ Continued training of educators on the Dignity for All Students Act</li> </ul>	<ul style="list-style-type: none"> <li>▪ Piloting and eventually using a school climate survey that will be used as part of a school climate index</li> <li>▪ Promotion of equitable access to school library programs</li> <li>▪ Reporting of per-student expenditures and their sources for each school and district</li> <li>▪ Improving access to all programs for students who are homeless, in neglected or delinquent facilities, or are migratory</li> </ul>

## Understanding the Every Student Succeeds Act (ESSA)

On December 10, 2015, President Obama signed the Every Student Succeeds Act (ESSA) into federal law. This bipartisan measure reauthorized the 50-year-old Elementary and Secondary Education Act (ESEA), which provides federal funds to improve elementary and secondary education in the nation’s public schools. In turn, ESSA requires states and Local Educational Agencies (i.e., school districts and charter schools), as a condition of funding, to commit to certain actions designed to improve educational outcomes for all students, with a focus on closing gaps in achievement between the highest- and lowest-performing groups of students.

ESSA retains many of the core provisions of No Child Left Behind (the previous reauthorization of ESEA) related to standards, assessments, accountability, and use of federal funds. However, ESSA also provides states with much greater flexibility in several areas, including the methodologies for differentiating the performance of schools and the supports and interventions to provide when schools need improvement.

To meet the requirements of ESSA, New York State must submit in September 2017 a new state plan to the United States Department of Education (USED) to access a wide array of federal grant programs.<sup>1</sup>

<sup>1</sup> Title IA (Improving Basic Programs Operated by Local Educational Agencies), Title IB (State Assessment Grants), Title IC (Education of Migratory Children), Title ID (Prevention and Intervention Programs for Children and Youth who are Neglected, Delinquent or At-Risk), Title IIA (Supporting Effective Instruction), Title III (Supporting Language Instruction for English Language Learners/Multilingual Learners and Immigrant Students), Title IVA (Student Support and Academic Enrichment Grants), Title VB (Rural Education Initiative), and Title VI (Indian, Native Hawaiian, and Alaska Native Education).

## New York State’s Approach to ESSA Planning



ESSA offers states a new opportunity to refine their strategic vision for education. The New York State Board of Regents and the New York State Education Department (“NYSED,” or “the Department”) has used the ESSA plan development process as an opportunity to review current practices and create plans to ensure that NYSED provides differentiated support and assistance to the local education agencies, schools, and students who need them the most. The New York State Board of Regents and the Department approach the development of this plan with the recognition that the New York State school system has great strengths. New York State has many schools that provide a world class education to their students, as well as many schools that have great success in preparing traditionally lower-performing groups of students for college, careers, and civic responsibility. Even in low-performing schools, there is excellence that needs to be nurtured, expanded upon, and made systemic. But the Board of Regents and the Department also recognize that there is much more that needs to be done if New York State is to achieve its goal of ensuring that every student has the opportunity to attend a highly effective school. While it is appropriate to celebrate our success, we must be clear-eyed in our recognition that continual improvement is necessary if we are to live up to our motto that New York State is the Excelsior State.

The State will take advantage of the autonomy and flexibility offered by the new federal law to ensure progress toward educational equity and improvements in teaching and learning.

### *Mission and goals to support the ESSA state plan*

In March 2017, the Chancellor of the Board of Regents, Dr. Betty A. Rosa, presented the Board’s mission:



“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 and support system that is based upon multiple 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 that is based upon the individual needs of each school, and provide supports to districts and schools to implement high-quality improvement plans and improve student outcomes.
- 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.

To these ends, the plan develops a set of indicators that will: a) reveal how New York schools provide students opportunities to learn and support many dimensions of learning, b) provide a set of expectations for progress for the state, districts and schools, and c) measure the effectiveness of supports provided to schools to meet these expectations. The plan also describes strategies by which New York can create a learning system so that schools and districts can collaborate in developing strategies to align practice to research and the State Education Department supports a knowledge development and dissemination agenda on behalf of continuous improvement.

The above goals are aligned with those recently articulated by the Board of Regents as part of the My Brother’s Keeper Initiative<sup>2</sup> that include ensuring that all students:



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 programs that promote the values of socioeconomic, racial, cultural and other kinds of diversity.

The Board of Regents also is 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 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 in which resources must be reallocated to better support those students with the greatest needs.

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

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 for low-performing schools to identify inequities in resources available to schools, and require districts to address these inequities in their improvement plans.
4. Reduce inequities in the 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 isolation in schools.
10. Develop State and local policies and procedures to ensure that homeless youth are provided equal 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 and support system to require schools and districts to a) reduce gaps in performance between subgroups, b) incentivize districts to provide opportunities for advanced coursework to all high school students, c) continue to support students who need more than four years to meet graduation requirements, and d) 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 State 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 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.

### *Upcoming opportunities for stakeholder feedback and timeline for submitting final plan*

The Department invites stakeholders to review the more detailed, draft ESSA state plan, and to submit comments and feedback. The review period for public comment will begin May 9 and will conclude June 16, 2017. Additionally, the Department will host a series of statewide public hearings from May 11 to June 16, 2017 to gather in-person feedback on the plan. A list of the dates, times, and locations of the public hearings can be found here:

[Schedule of ESSA Public Hearings](http://www.p12.nysed.gov/accountability/documents/ESSA-Public-Hearings.pdf) (<http://www.p12.nysed.gov/accountability/documents/ESSA-Public-Hearings.pdf>)  
Comments on the plan may be submitted by email to [ESSAcomments@nysed.gov](mailto:ESSAcomments@nysed.gov) or by regular mail to Dr. Lisa Long, New York State Education Department, Office of Accountability, 4th Floor, 55 Hanson Place, Brooklyn, New York 11217.

The Department will adhere to the following timeline for submitting the final plan (opportunities for additional stakeholder feedback are highlighted below in blue):



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## State Plan Summary

The next section of this overview document describes major policies and decisions contained in New York State’s draft ESSA plan. We have organized the sections by the following:

- **What ESSA requires** – We briefly describe what ESSA calls for in key sections.
- **The Big Picture** – We explain how NYSED proposes to address the requirements of ESSA.
- **What’s New? What’s Different?** – We highlight the key areas in which the ESSA plan is different from current State policies or practices.
- **Supporting Improvements in Teaching and Learning and Increasing Educational Equity** – We provide information on how the plan is designed to increase student learning and close equity gaps.
- **How New York State Responds to Specific ESSA Requirements** – We explain the way in which New York State responds to the specific questions contained in the ESSA template that states must submit to USED.



## Challenging Academic Standards and Assessments

### Challenging academic standards

#### What ESSA Requires

- Assurances that states have adopted “challenging” academic standards in mathematics, language arts, and science.
- Academic standards aligned to college and career/technical education standards.
- Academic standards that have no fewer than three levels of achievement.

#### The Big Picture

New York State is completing a two-year collaborative process with educators to develop the Next Generation English Language Arts and Mathematics Learning Standards to ensure that they continue to be rigorous and challenge New York State’s students to do more. In addition, New York State adopted new science standards in December 2016, which will become effective in the 2017-18 school year. These new science standards are based on the foundation of the National Research Council’s *A Framework for K-12 Science Education: Practices, Cross Cutting Concepts and Core Ideas* and the Next Generation Science Standards. All changes to the standards meet the ESSA requirements listed above.

#### What’s New? What’s Different?

##### English Language Arts

- Added practices to foster lifelong readers and writers to ensure that students become lifelong learners who can communicate effectively
- Merged the Reading for Information and Reading for Literature Standards to reduce repetitive standards, simplify classroom instruction and curriculum development, and ensure a healthy balance of both types of reading across all grades
- Convened the New York State Early Learning Task Force to discuss concerns around the P-2 grades, including standards, program decisions, social emotional needs, and how the content areas/domains work together in the early grades
- Revise Every Grade’s Reading Expectations for Text Complexity to clarify expectations over multiple grades. A text complexity section is also added to the introduction to underscore the importance of reading different types of texts with varying levels of difficulty
- Streamline the Anchor Standards based upon comments from educators that the standards were too numerous and at times repetitive. Standards are merged, and included in the practices to foster lifelong readers and writers
- Revise the Writing Standards so they are more user-friendly for educators to use for curriculum and instruction. In addition to omitting some standards, there are grade-specific changes across the grades to clarify language and ensure writing expectations are clear
- Ensure Literacy is Included in the Content Areas. For example, creating a new document for the Grades 6-12 Literacy in Social Studies, Science and Technical Subjects Standards.

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## Mathematics

- Move Standards to Different Grade Levels to improve the focus of major content and skills for each grade-level and course; providing more time for students to develop deep levels of understanding of grade-level appropriate content
- Provide for Students to Explore Standards to ensure standards are grade-level appropriate. Exploring a standard allows students to be introduced to and learn a concept without the expectation of mastering the concept at that grade level
- Clarification of Standards so that educators, students and parents more clearly understand the expectation, without limiting instructional flexibility
- Add and Consolidate Standards to improve coherence, focus and reduce redundancy among grade levels. For example, one additional standard at the Kindergarten level helps solidify pattern recognition and creation from Pre-K to Grade 2
- Maintain the Rigor of the Standards by balancing the need for conceptual understanding, procedural skill and application.
- Create a Glossary of Verbs associated with the mathematics standards. This glossary contains a list of verbs that appear throughout the revised standards recommendations

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## Science

- Developed the science standards to reflect the interconnected nature of the science as it is practiced and experienced in the real world
  - Included concepts built coherently from K-12 (learning progressions) with science and engineering integrated throughout K-12
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## Supporting Improvements in Teaching and Learning and Increasing Educational Equity

As it continues to improve its academic standards, New York State:

- Has developed a three-phase Comprehensive Science Standards Implementation Plan to transition to new standards based on an alignment to the Statewide Strategic Plan for Science (available [here](#) and [here](#)).
- Will work with BOCES and superintendents through the summer before the 2017-18 school year to develop and provide guidance on professional development for teachers to implement new standards. Part of this effort will include developing grade-by-grade crosswalks about the standards, with an explanation about the connections between standards, curriculum, and assessments.
- Will create a glossary of terms for the Next Generation English language arts Learning Standards.

### Aligned assessments

#### What ESSA Requires

- States must administer the following assessments to all public school students:
  - In English language arts and mathematics, students must be tested annually in grades 3-8 and once in high school.
  - In science, students must be tested once in elementary, once in middle, and once in high school.
- Aside from approved exceptions, states must administer the same assessments to all public school students across the state. These exceptions include:
  - Administering the alternate assessments to students with the most significant cognitive disabilities.

- Allowing students enrolled in eighth grade who take high school mathematics courses to take the appropriate high school assessments (Regents Exams) in place of the eighth grade mathematics test for accountability.
- Allowing districts, with state approval, to administer a nationally recognized high school academic assessment, such as Advanced Placement or International Baccalaureate, in place of a Regents Exam for accountability.
- Piloting innovative assessment types for their eventual administration statewide, if a state participates in the Innovative Assessment Demonstration Authority.
- States must make every effort to provide assessments in the native language of English Language Learners/Multilingual Learners (ELLs/MLLs) when it is determined that the assessment in translation likely would yield more accurate and reliable information on student proficiency.
  - States must make every effort to translate content assessments into the languages other than English that are spoken by a significant percentage of their ELL/MLL populations.

## The Big Picture

New York State’s system of aligned assessments is designed to measure students against high-quality standards and provide families, educators, and the community with rich information about how their students and schools are performing.

To Ensure ...	... New York State will:
<b>Consistent and Accurate Measurements of Student Proficiency</b>	<ul style="list-style-type: none"> <li>▪ Maintain current assessments in English language arts, mathematics, and science until new State assessments can be developed, field tested, and adopted for use statewide that are based on the new Next Generation Learning Standards</li> </ul>
<b>Access to Advanced Courses</b>	<ul style="list-style-type: none"> <li>▪ Seek a waiver from the United States Department of Education to continue to allow students who complete high school level mathematics courses in Grade 7 to take the appropriate high school mathematics assessments for those courses, and for those students’ schools to use those high school assessments in lieu of those students’ grade-level mathematics assessments in the school accountability and support system</li> <li>▪ Seek a waiver from the United States Department of Education to continue to allow students who complete high school level science courses in Grade 8 to take the appropriate high school science assessments for those courses, and for those students’ schools to use those high school assessments in lieu of those students’ grade-level science assessments in the school accountability and support system</li> </ul>
<b>Native-Language Assessments for ELLs/MLLs</b>	<ul style="list-style-type: none"> <li>▪ Continue to translate its Grades 3-8 and high school mathematics assessments into five languages: Chinese (Traditional), Haitian-Creole, Korean, Russian, and Spanish</li> <li>▪ Continue to translate elementary- and intermediate-level science assessments into Chinese (Traditional), Haitian-Creole, and Spanish</li> </ul>
<b>Fairness for Students with Disabilities</b>	<ul style="list-style-type: none"> <li>▪ Continue to administer the New York State Alternate Assessment (NYSAA) to students with the most significant cognitive disabilities</li> </ul>

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- Seek a waiver from the United States Department of Education to allow students with disabilities whose level of instruction is below-grade level to take the assessments of those grade levels, and to allow those students' schools to use those below-grade assessments in lieu of those students' grade-level ELA or mathematics assessments in the school accountability and support system
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## **What's New? What's Different?**

New York State is:

- Examining the possibility of reducing the length of new assessments.
- Preparing to apply for the Innovative Assessment Demonstration Authority, once the application is released.
- Seeking funding from the State legislature to develop native language arts assessments, beginning with Spanish, for use in language arts accountability determinations for ELLs/MLLs.
- Seeking funding to expand translation of content assessments, with the goal of translating Grades 3-8 mathematics assessments and Regents mathematics assessments, as well as elementary- and intermediate-level science assessments, into the eight most common native languages of New York State's ELLs/MLLs: Chinese (Traditional), Chinese (simplified), Haitian Creole, Korean, Russian, Spanish, Arabic, and Bengali.

## **Supporting Improvements in Teaching and Learning and Increasing Educational Equity**

New York State envisions that the revisions being made to its challenging standards and assessments will support improvement in teaching and learning and support increases in educational equity by:

- Providing schools and districts with accurate information on student proficiency on the new Next Generation Learning Standards.
- More accurately measure the language arts achievement of ELLs/MLLs by seeking funding to develop native language arts assessments, beginning with Spanish.
- Reducing the amount of time devoted to administering and preparing for State assessments.
- Investigating more innovative methods of measurement to determine the most appropriate assessments for New York State's students.

## **How New York State Responds to Specific ESSA Requirements**

### ***How will New York State improve assessments overall?***

New York State's assessment schedule and planned implementation for new Next Generation Learning Standards and aligned Next Generation assessments meet ESSA requirements. New York State's assessment system provides multiple measures of student academic achievement, including selected-response, constructed-response, and technology-based items in the English language arts and mathematics assessments, and both written and performance tasks in the elementary- and intermediate-level science assessments. New York State is considering working with educators to develop additional forms of measurement, including designing capstone project-based assessments in areas such as

science or civic awareness and civic readiness. The Department envisions that districts will have flexibility in implementing such a project, which could, for example, include a student developing a hypothesis, researching the subject, and then defending the answer either in writing and/or orally. The State's planned application to participate in the Innovative Assessment Demonstration Authority will provide the opportunity for additional measures of student academic achievement to be developed for inclusion in the State assessment system.

### ***How will New York State offer advanced mathematics courses for middle-school students?***

New York State currently offers the opportunity for seventh- and eighth-grade students to take high school mathematics courses, such as Algebra I. All students are provided this opportunity, including those who require testing accommodations, and decisions about eligibility are made locally. Currently, students who take a high school mathematics course while in middle school have the opportunity, as determined by their school, to take the high school level assessment associated with that course in lieu of their middle school mathematics assessment. New York State is submitting a waiver to continue to extend this opportunity to seventh-grade students in mathematics and eighth-grade students in science.



## **School Accountability Methodologies and Measurements**

### **What ESSA Requires**

- An accountability plan that establishes the following:
  - Ambitious long-term goals and measures of interim progress on state tests in language arts and mathematics; graduation rates for all students; and progress toward English language proficiency for ELLs/MLLs.
  - A system for annual measurement of all students and each subgroup identified by the state.
  - A methodology for identification of schools in need of intervention and criteria by which schools can exit accountability status based upon:
    - A school's academic achievement in English language arts and mathematics
    - Another academic indicator at the elementary and middle school level, such as student growth on English language arts and mathematics assessments
    - A high school's four-year graduation rate, plus extended-year graduation rates, if desired
    - Progress in ELLs/MLLs achieving English language proficiency
    - At least one other indicator of school quality and/or student success selected by the state
  - A system that allows differentiation between schools, based on performance indicators for all students and for each student subgroup including the "n-size," or the minimum number of students whose scores will count for accountability and participation purposes.
- Procedures to identify Comprehensive Support and Improvement (CSI) and Targeted Support and Improvement Schools (TSI) and supporting these schools' improvement.

### **The Big Picture**

New York State strives for an accountability and support system that supports all students, is transparent, prioritizes the measures that our educators and families value, accurately identifies schools that need the most help, and recognizes high-performing and rapidly improving schools.

To Ensure ...	... New York State will:
<b>Support for All Students</b>	<ul style="list-style-type: none"> <li>▪ Establish long-term goals and measures of interim progress that hold schools accountable for closing gaps between groups of students over the next five years</li> </ul>
<b>Access to a Well-Rounded Curriculum</b>	<ul style="list-style-type: none"> <li>▪ Differentiate school performance by using student results on Grades 4 and 8 science exams and science and social studies Regents exams in addition to results on language arts and mathematics examinations</li> </ul>
<b>Engage All Students</b>	<ul style="list-style-type: none"> <li>▪ Hold schools accountable based on measures of chronic absenteeism and begin to report additional measures of school climate and student engagement</li> </ul>
<b>Maximum Opportunities</b>	<p>Create a College, Career, and Civic Readiness Index that gives:</p> <ul style="list-style-type: none"> <li>▪ Partial credit for students who successfully earn a high school equivalency diploma</li> <li>▪ Extra credit for students who: <ul style="list-style-type: none"> <li>○ Earn a Regents diploma with advanced designation, career and technical education endorsements, or a Seal of Biliteracy; or</li> <li>○ Successfully earn a Regents diploma, complete advanced coursework and score at specified levels on advanced high school assessments, or earn college credit</li> </ul> </li> </ul>
<b>Transparency</b>	<ul style="list-style-type: none"> <li>▪ Report the performance of each school’s subgroups of students on each accountability measures, using a scale of 1-4</li> </ul>
<b>Focus on All Students</b>	<ul style="list-style-type: none"> <li>▪ Give schools “full credit” for students who are proficient and “partial credit” for students who are partially proficient</li> <li>▪ Give schools “extra credit” for students who are performing at the advanced or college- and career-ready level</li> </ul>
<b>Focus on Growth Over Time</b>	<ul style="list-style-type: none"> <li>▪ Hold schools accountable for progress in increasing the achievement of students in language arts and mathematics over time and growth of students in English language arts and mathematics from year to year</li> </ul>
<b>Focus on Graduation</b>	<ul style="list-style-type: none"> <li>▪ Give schools credit for a student’s best score on State exams within four years of the student entering high school</li> <li>▪ Use four-, five-, and six-year graduation rates to determine how well schools are doing in getting students to graduate</li> </ul>
<b>Time to Improve</b>	<ul style="list-style-type: none"> <li>▪ Create new lists of Comprehensive Support and Improvement Schools once every three years</li> </ul>
<b>Support for Districts</b>	<ul style="list-style-type: none"> <li>▪ Continue to use district-level results to target low-performing districts for improvement</li> </ul>
<b>Recognize Success</b>	<ul style="list-style-type: none"> <li>▪ Identify high-performing and rapidly improving schools and develop strategies to disseminate their most effective practices.</li> </ul>

## What's New? What's Different?

New York State is:

- Establishing an “end” goal, five-year long-term goals that are updated annually, and measures of interim progress.
- Assigning a score of 1-4 to each accountability measure for each subgroup for which a school is responsible and use these to make transparent accountability determinations regarding schools.
- Creating data dashboards to display for stakeholders in an intuitive way how schools perform on important metrics, including those that are used for accountability (Tier I) and those that are not used currently for accountability, but could be in the future (Tier II).
- Increasing the weighting of growth relative to achievement in making elementary and middle school accountability determinations.
- Committing to including additional measures of school quality and student success in the accountability and support system over time.
- Increasing from 60 percent to 67 percent, as required by ESSA, the graduation rate that high schools must achieve to avoid identification, while allowing schools to avoid identification by having a five-year graduation rate or six-year graduation rate at or above that threshold.
- Modifying the rules for identifying schools, based on the performance of all students (Comprehensive Support and Improvement Schools) and for subgroups of students (Targeted Support and Improvement Schools).
- Modifying the rules for when and how data from current and prior school years are combined.

## Supporting Improvements in Teaching and Learning and Increasing Educational Equity

New York believes that the revisions it has made to its school accountability and support system will support improvement in teaching and learning and increases in educational equity by:

- Creating a process of continuous review and implementation adjustment by annually establishing a new five-year long-term goal.
- Supporting a well-rounded education for students by expanding accountability measures beyond a narrow focus on English language arts and mathematics to also include science; social studies; acquisition of English proficiency by ELLs/MLLs; chronic absenteeism; graduation rates; and College, Career, and Civic readiness.
- Expanding access to advanced coursework, particularly for students in less-affluent school districts, through inclusion of this indicator in the College, Career, and Civic Readiness index.
- Ensuring a continued focus on students who need extra time to meet graduation requirements by including five- and six -year graduation rates in the accountability and support system.
- Providing incentives to schools to have students reach their highest levels of performance through the provision of extra credit in the Performance Index<sup>3</sup> and the creation of the College, Career, and Civic Readiness Index.

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<sup>3</sup> The Department’s rationale for this idea is supported by the public comments provided to the USDE on draft ESSA regulations from prominent psychometricians at the Learning Policy Institute regarding the use of scale scores and Performance Indices, as well as an article describing the work of psychometrician and Harvard Researcher Andrew Ho that support use of a performance index. See: Professor Andrew Ho “When Proficiency Isn’t Good,” which can be found at <https://www.gse.harvard.edu/news/uk/15/12/when-proficient-isnt-good>. Neal and Schanzenbach (2010) also shows that changes in proficiency requirements can influence teachers to shift greater attention to students who are near the current proficiency standard.

- Promoting increased participation in the state assessment system so schools and families get the information they need.

Additional measures of school quality and student success are expected to be added to the system over time. These could include, but are not limited to, such measures as:

- students access to specific learning opportunities such as in the arts, science, or technology courses;
- high school readiness for middle level students;
- postsecondary success of high school graduates;
- school climate and supports for students’ social, emotional, and academic learning, as measured by student surveys and suspension rates;
- student access to highly qualified teachers;
- student access to diverse learning environments, and measure of student civic engagement.

In addition to indicators that may be added to the accountability and support system, the SED 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. They could include measures such as:

- Per pupil school funding, by function;
- Class sizes and staffing ratios;
- Availability of other teaching and learning supports;
- Parent involvement and engagement;
- Teacher turnover and attendance;
- Teaching conditions and teacher learning opportunities.

## How New York State Responds to Specific ESSA Requirements

### *How does New York State define subgroups for accountability purposes?*

In its accountability and support system, New York State will hold schools and districts accountable and report results for the all students group and these subgroups:



### *How does New York State include results for newly arrived English Language Learners/Multilingual Learners?*

New York State will continue to define “recently arrived” ELLs/MLLs as those students who have entered U.S. schools within the past 12 months. These students will not take New York State’s English language arts assessment during their first year of enrollment, though they will take the New York State English as a Second Language Achievement Test (NYSESLAT). The NYSESLAT is designed to assess, annually, the English language proficiency of ELLs/MLLs enrolled in Grades K-12. In their second year of enrollment, these students will take the English language arts assessment to set baseline scores for growth, but not to measure achievement. In their third year and thereafter, ELLs/MLLs will take the English language arts assessment to measure both growth and achievement in New York State’s accountability and support system.

### ***What “n-size” does New York State use for reporting and accountability?***

The “n-size” is the minimum number of students that a state determines is necessary to be included for accountability and reporting without compromising student privacy. N-size ensures that the determinations made are valid and reliable. New York State will continue to use an n-size of 30 for measuring performance and 40 for determining participation in assessments. The reason for using an n-size of 40 for assessment participation is to prevent the participation rate from dropping below the 95 percent requirement because of two students not taking a State assessment. With an n-size of 40, at least three students must not participate for the group to fail to meet the 95 percent threshold. N-sizes lower than 30 did not lead to the inclusion of significantly more students and schools in the accountability and support system to warrant lowering the reliability of the resulting decisions. If a school does not have current-year results for a minimum of 30 students in a subgroup on an accountability indicator, the Department will combine two years of data, in order to hold schools accountable for the performance of the subgroup on the indicator.

New York State arrived at these n-sizes by using statistical analyses, reviewing research, and consulting stakeholders such as parents, teachers, principals, and other interested community members.

### ***How will New York State establish long-term goals and interim measures of progress for English language arts and mathematics achievement?***

Experience shows that, when educators hold students to high expectations, students rise to meet them. New York State has established an end goal that nearly all students should be proficient in English language arts and mathematics. To achieve that goal, schools need to have a Performance Index of 200 out of a possible 250 points. (A performance index of 200 could be achieved if 100% of students are proficient. Alternatively, an Index of 200 can be achieved by having fewer than 100% of students proficient and more students advanced.) New York State has set a long-term goal, to be achieved by the 2021-22 school year, to close the gap by 20% between each subgroup’s performance in English language arts and mathematics and the subgroup’s performance in the 2015-16 school year. Each year, New York will establish a new long-term goal for the next year beyond that for which the current long-term goal is established. Thus, after the 2017-18 school year results are available, New York State will establish a long-term goal for the 2022-23 school year; after the 2018-19 school year, the long-term goal for the 2023-24 school year will be established, and so on. For each year, up to the long-term goal, New York also will establish a “measure of interim progress,” which is the short-term goal for subgroups to achieve in that year.

The table below explains goal-setting for English language arts for Grades 3-8; tables for additional subjects and the graduation rate are in the Appendix.

**Table 1: Elementary/Middle End Goals, Long-Term Goals and Measures of Interim Progress**

Measure	Group Name	2015-16 Base-line	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 Target	End Goal
Grades 3-8 English Language Arts	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

In addition to the statewide long-term goals and measures of interim progress, each subgroup within each school will receive individualized measures of interim progress that are calculated using the subgroup’s baseline performance. These measures of interim progress are set both statewide and for each individual subgroup in a school. Schools get credit in the accountability and support system for meeting the lower of either the statewide or school-specific measure of interim progress, more credit for meeting the higher of these two, additional credit for achieving the State long-term goal, and maximum credit for exceeding that goal.

Elementary and middle school English language arts and mathematics achievement measures will be computed using the denominator that is the greater of: 1) 95% of continuously enrolled students, or 2) the actual number of continuously enrolled students tested.

***How will New York State establish long-term goals and interim measures of progress for graduation rates?***

New York State’s end goal is that 95% of students graduate from high school as in four years, 96% by five-years, and 97% by six years. Similar to achievement goals, New York State has set a long-term goal, to be achieved by the 2021-22 school year, to close the gap by 20 percent between each subgroup’s graduation rates and the subgroup’s performance in the 2015-16 school year. Each year, as with achievement goals, New York State will establish a new long-term goal for the next year beyond that for which the current long-term goal is established.

**Table 2-4: 4-Year, 5-Year & 6-Year Graduation Rates End Goals, Long-Term Goals, and Measures of Interim Progress Targets**

Measure	Group Name	2011 4 Yr GR 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%

Measure	Group Name	2010 5 Yr GR 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%

Measure	Group Name	2010 6Yr GR 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%

As with English language arts and math, each subgroup within a school also will receive individualized measures of interim progress, in addition to statewide measures of interim progress.

### **How will New York State establish long-term goals and interim measures of progress for English language proficiency?**

Developing English language proficiency is a critical and cumulative process that occurs over time: Most ELLs/ MLLs in New York State become proficient in English in three to five years, on average. To determine the best model for setting language proficiency goals for ELLs/MLLs, New York State compared the results of its English language proficiency test (New York State English as a Second Language Achievement Test, or NYSESLAT) with the State’s English language arts

assessment to determine whether NYSESLAT exit standards were appropriate. New York State also examined the average time to proficiency for ELLs/MLLs. The Department reviewed several different models for measuring English language proficiency progress, and assessed each model for robustness, transparency, and usefulness.

As a result, New York State selected a “Transition Matrix” model for incorporating ELLs/MLLs’ attainment of English language proficiency into State accountability determinations. The Transition Matrix model is based on initial English language proficiency level and incorporates **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 a student’s initial English language proficiency level to the current proficiency level of the student, accounting for time in years that the student is an ELL/MLL. Credit is awarded based on a student’s growth over administrations of the NYSESLAT, and whether that student meets the expectations of growth, based on his or her initial level of English language proficiency (see Table 5 for growth expectations, which would inform how credit is awarded in the Transition Matrix). New York State will continue to analyze this model to ensure consistency and fairness.

**Table 5: Five-year Trajectory for English Language Learner/Multilingual Learner Growth**

Initial English Language Proficiency	Year 2	Year 3	Year 4	Year 5
Entering	1.25	1	1	0.75
Emerging	1.25	1	0.75	
Transitioning	1	1		
Expanding	1			

New York State’s end goal is that 95% of ELLs/MLLs make progress toward acquisition of English proficiency. New York State has set a long-term goal (i.e., a goal to be achieved in 5 years) to close the gap by 20% between the percent of students demonstrating progress in the 2016-17 school year and those demonstrating progress in the 2021-22 school year. Each year, New York State will establish a new long-term goal for the next year beyond the year for which the current long-term goal is established.

As with the long-term goals for ELA and mathematics, each subgroup within a school also will receive individualized measures of interim progress.

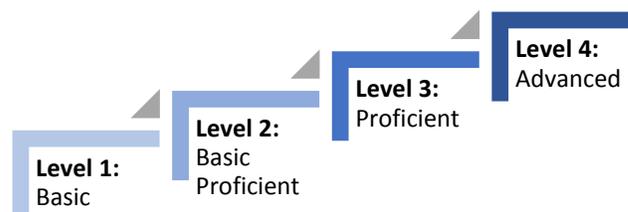
**How will New York State establish long-term goals and interim measures of progress for indicators of school quality or student success?**

The “end goal,” long-term goals, and measures of student success for chronic absenteeism and the College, Career, and Civic Readiness Index will be determined after a thorough data analysis and consultation with stakeholders.

**What are New York State’s accountability system indicators?**

**Academic achievement:** New York State uses performance indices in English language arts, mathematics, and science at the elementary/middle level, and those subjects plus social studies in high school to hold systems accountable for academic achievement.

Students’ test scores are converted to performance levels:



Those performance levels are then weighted as follows:

Level	Weighting
1	0
2	1
3	2
4	2.5

When all weighted scores across the four levels are added and divided by the number of continuously enrolled test-takers (called PI-1) and then taking into account 95% of continuously enrolled students (called PI-2), a performance index is generated ranging from 0-250. That performance index is then converted to an achievement index level from 1-4. A similar process is used for high school assessment results, with one difference being that weights are given to each of the four content areas (English language arts, mathematics, science, and social studies).

New York State will use PI-2 to set long-term goals and measures of interim progress and to determine progress. The State will use the higher ranking of PI-1 or PI-2 to determine whether a subgroup is in the lowest-performing 10% and would cause a school to potentially be identified for Comprehensive or Targeted Support and Improvement.

**Other academic indicator:** For elementary and middle schools, New York State measures student growth in English language arts and mathematics by using “student growth percentiles” or (SGPs). The model measures students’ current-year scores compared with other students with similar test-score histories. For example, if a student has an SGP of 60%, this means that the student showed more growth this year on State assessments than did 60% of students who took the same test and had similar scores in the past on State assessments. When calculated for each subgroup, it is possible to determine an average of that group’s performance, which is known as the “mean growth percentile.” New York State then uses three years’ of mean growth percentiles in English language arts and mathematics to measure students’ academic growth over time. The three-year average is then converted to an achievement level index from 1-4.

New York State also measures “progress” in addition to growth. Progress is a measure of how a subgroup performed in English language arts and mathematics in relation to the long-term goals and measure of interim progress (MIP). For example:

	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

If a subgroup in a school makes progress that is equivalent to three times the difference in the change between the current year and prior year’s lower MIP, but not sufficient progress to meet the higher MIP, then the subgroup school will be awarded a 3. For example, if a subgroup’s current year MIP is 90 and its prior year MIP was 85, the subgroup will be designated Level 3 if the subgroup’s performance increases by 15 points, even if that increase is below the higher of

the subgroup's MIPs. The chart above also applies to the graduation rate, English language proficiency, and measures of school quality and student success.

For "safe harbor" purposes, in years two and beyond, if a subgroup in a school has fallen behind, but starts to make progress equal to the change between the subgroup's current and prior year MIP, the school will be designated Level 2. For example, if a subgroup's current year MIP is 90 and its prior year MIP was 85, the subgroup will be designated Level 2 if the subgroup's performance increases by 5 points, even if that increase is below the lower of the subgroup's MIPs.

**Graduation rate:** New York State will use the unweighted average of the four-, five-, and six-year<sup>4</sup> adjusted graduation rates in its accountability and support system. The graduation rate for each subgroup in a school is converted to a graduation rate index level similar to the preceding table. Therefore, a school that both met the long-term goal and the higher of the State or subgroup measure of progress would be a Level 4.

**English language proficiency:** Entering ELLs/MLLs take an initial English language proficiency test, the New York State Identification Test for English Language Learners (NYSITELL), and are placed at one of five levels: Entering, Emerging, Transitioning, Expanding, or Commanding. ("Commanding" students are not considered ELLs/MLLs.) ELLs/MLLs then take the NYSESLAT, described above, on a yearly basis and exit ELL/MLL status once they 1) reach "Commanding" OR 2) reach "Expanding" along with a designated score on the State's English language arts grade 3-8 or Regents exam.

Using the Transition Matrix described previously, students are awarded points, based on their growth within and between performance levels, which is then factored into the State's accountability and support system. The performance of schools is then converted to levels similar to those in preceding table.

**School quality or student success indicator:** Based on extensive stakeholder feedback, New York State will measure chronic absenteeism<sup>5</sup> for elementary, middle, and high school students. Research shows that both student engagement and regular school attendance are highly correlated with student success, and students who miss more than 10% of school days have much lower rates of academic success.

New York State defines the chronic absenteeism rate for a school 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

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<sup>4</sup> Research indicates that off-track students and out-of-school youth benefit as extended-year graduation rates incent states to create options to serve these students. See:

American Youth Policy Forum. (2012). Making Every Diploma Count: Using Extended-Year Graduation Rates to Measure Student Success. Retrieved from [http://www.aypf.org/wp-content/uploads/2011/04/Making-Every-Diploma-Count\\_updated-Feb-2012.pdf](http://www.aypf.org/wp-content/uploads/2011/04/Making-Every-Diploma-Count_updated-Feb-2012.pdf)

American Youth Policy Forum. (2011). Understanding Extended Year Graduation Rates: Lessons Learned by States. Retrieved from <http://www.aypf.org/resources/understanding-extended-year-graduation-rates-lessons-learned-by-states/>

<sup>5</sup> For research on the importance of students not missing large amounts of schooling see: 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](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>

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 a student is enrolled. This is significant because students may enroll in the school or district during different points in the school year. For example, a student who misses four days of school 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. Students with excused medical absences will not be considered chronically absent, nor will students who are suspended.

At the high school level, stakeholders strongly supported using a number of indicators for measuring college, career, and civic readiness as the indicator of school quality. Including a robust set of high school indicators will incentivize schools to provide all students access to advanced coursework so that they graduate prepared to successfully transition to their next steps.

Readiness Measure	Weighting
<ul style="list-style-type: none"> <li>● Regents Diploma with Advanced Designation</li> <li>● Regents Diploma with CTE Endorsement</li> <li>● Regents Diploma with Seal of Biliteracy</li> <li>● Regents Diploma and score of 3 or higher on an AP exam</li> <li>● Regents Diploma and score of 4 or higher on IB exam</li> <li>● Regents Diploma and the issuance of college credit earned through a dual enrollment course from an accredited college or university</li> <li>● Regents Diploma and receipt of an industry-recognized credential or the passage of nationally certified CTE examination</li> </ul>	2
<ul style="list-style-type: none"> <li>▪ Regents Diploma and high school credit earned through participation in an AP, IB, or dual enrollment course</li> <li>▪ Regents Diploma with CDOS endorsement</li> </ul>	1.5
<ul style="list-style-type: none"> <li>▪ Regents or Local Diploma</li> </ul>	1
<ul style="list-style-type: none"> <li>▪ High School Equivalency Diploma</li> </ul>	.5
<ul style="list-style-type: none"> <li>▪ No High School or High School Equivalency Diploma</li> </ul>	0

The College, Career, and Civic Readiness Index is a number that will range from 0 to 200 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, Career, and Civic Readiness, divided by the number of students in the accountability cohort. As the chart above indicates, New York State will give partial credit for students who earn a high school equivalency diploma, full credit for those who earn local and Regents diplomas, and additional credits for those who earn an advanced diploma or take additional coursework. 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 Regents may also consider creating a State Seal of Civic Engagement, similar to the Seal of Biliteracy, and including that in the Index.

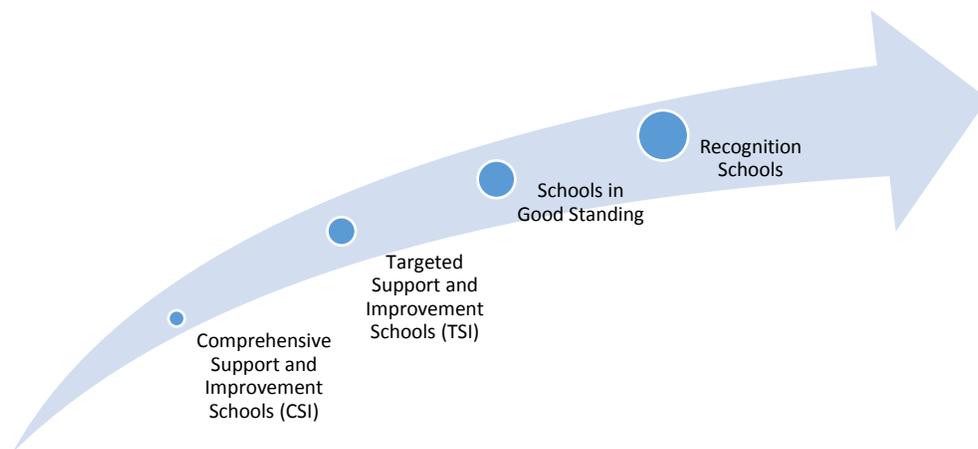
As with the indicators above, the chronic absenteeism indicator and the college- and career-readiness index for each subgroup will be converted into an index level:

	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

The Board of Regents will appoint an advisory committee to report back next year on recommendations for including additional measure(s) of school quality and student success in the accountability and support system, the method for collecting data and calculating the measure, preparations necessary to prepare the field for implementation, and the implementation timeline.

### *How will New York State differentiate school performance?*

New York State’s accountability and support system will use results from all five indicators described above, depending on the school type, to determine school performance. The performance categories are:



Rather than weighting each indicator to determine the performance category, New York State will use a series of decision rules that give the greatest weight to academic achievement and growth (in elementary and middle schools) and academic achievement and graduation rate (in high schools). Academic progress, English language proficiency, and chronic absenteeism/college- and career-readiness index are weighted equally, but less than achievement, growth, and the graduation rate.

Given the diversity of school types in the State, New York State will apply customized rules in certain circumstances. For example, a school that has only kindergarten through second grade will be held accountable for the performance of their former students when those students take the third-grade assessments. Other unique circumstances –

kindergarten-only schools, K-12 schools that do not take State tests, or schools with fewer than 30 continuously enrolled students – must submit other kinds of assessment results for English language arts and mathematics.

Under ESSA, New York State will use 2017-18 results to determine school classifications and associated supports, beginning in the 2018-19 school year.

### How will CSI and TSI schools be identified?

- Comprehensive Support and Improvement: Based on the accountability indicators described above, New York State will identify, at minimum, the State’s lowest-performing 5% of elementary and middle schools, and lowest 5% of high schools for Comprehensive Support and Improvement every three years. Although this process may result in a few non-Title I schools being identified, New York State will ensure that at least five% of Title I schools in the State are identified and that school improvement resources are committed to identified Title I schools. Elementary and middle schools will be identified as follows:
  - Rank order the schools on the achievement index: Identify the lowest 10 percent (Achievement = 1).
  - Rank order the schools on the three-year unweighted average Mean Growth Percentile (MGP): Identify the lowest 10 percent (Growth = 1).
  - Sum the achievement ranks and the growth ranks: Identify the lowest 10 percent (Combined Achievement & Growth = 1).
  - Use the table below to identify schools for CSI.

Classification	Combined	Achievement	Growth	MIP & Long-Term Performance Goal	ELP	Chronic Absenteeism
CSI	1	1	1	Automatically Identified		
CSI	1	1		Any Other Level 1		
CSI	1		1	Any Two Level 1’s		

High schools are identified every three years as follows:

- Rank order the schools on the achievement index: Identify the lowest 10 percent (Achievement = 1).
- Rank order the schools on the graduation index: Identify the lowest 10 percent (Graduation = 1).
- Add the achievement index rank and the graduation index rank: Identify the lowest 10 percent (Combined Achievement & Graduation = 1).
- Determine the graduation classification for the school
- Use the table below to identify schools

Classification	Combined	Achievement	Graduation Rate	MIP & Long-Term Performance Goal	ELP	College, Career, and Civic Readiness Index	Chronic Absenteeism
CSI	1	1	1	Any			
CSI	1		1	Any One Level 1			
CSI	1	1		Any Two Level 1			

- **Low Graduation Rate High Schools:** For high schools, New York State will identify those schools whose four-year, five year, and six-year graduation rates are below 67 percent. Schools that graduate fewer than the specified percentage of students using this analysis will be identified for Comprehensive Support and Improvement.
- **Targeted Support and Improvement Schools:** Every three years, New York State will identify, at minimum, the lowest-performing five% of schools for the following subgroups: English Language Learners/Multilingual Learners, economically disadvantaged, racial/ethnic subgroups, and students with disabilities. All racial/ethnic subgroups are treated as a single group, so more or less than five% of any group could be identified. Those Targeted schools whose subgroups do not improve after three years will be identified for additional Targeted support and will be placed in Comprehensive Support and Improvement.
- **Recognition Schools:** Schools that are high-performing or rapidly improving as determined by the Commissioner will be designated Recognition Schools.
- **Schools in Good Standing:** Schools that are not identified in any of the above categories are considered Schools in Good Standing.
- **Target Districts:** Districts are identified for targeted support if:
  - There are one or more CSI or TSI schools in the district; or
  - The district is performing at the level that would have caused a school to be identified for CSI or TSI.

## *Assessment participation rate*

### **What ESSA Requires**

New York State must annually measure the achievement of not less than 95% of all students, and 95% of all students in each subgroup of students, who are enrolled in public schools.

### **The Big Picture**

New York State will require districts and schools with a consistent pattern of testing fewer than 95% of their students to create a plan that will address low testing rates resulting directly or indirectly from actions taken by the school or district, which New York State calls institutional exclusion, while recognizing the rights of parents and students.

### **What's New? What's Different?**

New York State is proposing a multi-year response plan. This plan will begin by requiring schools that consistently and significantly fail to meet the 95% participation requirement to conduct self-assessments and develop local plans to improve their participation rates. If those schools do not show improvement in their participation over subsequent years, then further plans and actions will be developed by district, regional, and State administrators. Schools with particularly low participation rates will be required to submit their plans for approval by the Department.

### **Supporting Improvements in Teaching and Learning and Increasing Educational Equity**

NYSED believes that effective assessment practices in the classroom lead to more accurate measures of students' academic proficiencies, and better understanding of next steps in instruction.



## Supports and Improvement for Schools

### What ESSA Requires

- Identified schools will develop a school-level improvement plan in partnership with stakeholders. The plans must:
  - Use all indicators in the statewide accountability and support system and be based on a school-level needs assessment.
  - Contain at least one evidence-based intervention.
  - Identify resource inequities to be addressed through implementation of the plan.
- CSI school plans will be approved, monitored, and periodically reviewed by the State; TSI school plans will be approved and monitored by the district.
- The State has identified further interventions for schools that continue to need improvement.
- The State may identify additional provisions to best support improvement in identified schools.
- The State must identify exit criteria for identified schools.

### The Big Picture

New York State will develop a system for supporting the schools that have been identified as in need of improvement so that the schools that need the most support receive the most attention. Building upon the strengths that exist in every school, including low-performing schools, the State's role in school improvement will be to help schools identify and implement the specific solutions that they need to address their specific challenges. This approach is consistent with the State's commitment to being more service-oriented than compliance-driven, and this approach also allows the State to support schools differently, based on the trajectory of the school and the length of time that the school has been identified. The Department 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. Requirements for schools identified for improvement will be based upon the best practices of highly effective schools and research-based practices, as modified to best meet the needs of students at the identified schools. School improvement will be approached as something that the State will do in partnership with schools, rather than something that is imposed on schools.

### Identified Schools Will ...

- Undergo a Comprehensive Diagnostic Needs Assessment that examines school quality, school data, and resource allocation.
- Develop an annual plan, based on the results of this Needs Assessment.
- Provide professional development connected to the plan that is developed.
- Have flexibility to develop school-specific solutions to the challenges that they face.
- Reflect on the effectiveness of their improvement efforts each year by participating in an annual review and conducting parent, teacher, and student surveys.

### New York State Will ...

- Provide technical assistance and guidance in all stages of the improvement cycle by directing resources to support the needs assessment process, the identification of evidence-based interventions, and the development and implementation of school improvement plans.
- Set requirements for all identified schools; these requirements are intended to promote best practices, promote teaching and learning, and improve equity.
- Determine the support necessary, based on annual school results and the strengths of the school.
- Prioritize its resources to focus its attention on schools not making gains. Identified schools that do not make gains will receive additional support and assistance in subsequent years, along with having additional provisions to best support teaching and learning within the school.
- Promote the effective use of resources, including capitalizing on new requirements to report specific expenditure data, monitor resources, and distribute resources to promote efficacy of school improvement efforts.
- Offer technical assistance until schools exit status.

## What's New? What's Different?

New York State will:

- Primarily support CSI schools, while local educational agencies (e.g., school districts) will support TSI schools.
- Introduce a new model for reviewing school and district improvement plans that will enhance the culture of collaborative inquiry among the Department, districts, and identified schools to provide more meaningful and timely feedback to identified schools. In addition to enhanced collaboration, this new review process will build districts' capacity to support TSI schools within their district.
- Continue to direct Department staff to be support-oriented rather than compliance-driven.
- Support the Comprehensive Diagnostic Needs Assessment process to look closely at the quality of practices within a school and how resources are allocated.
- Provide ongoing, targeted technical assistance to districts and schools undertaking interventions.

- Promote its vision of continuous improvement by providing feedback that focuses on the quality of the improvement efforts in identified schools and districts.
  - Work with districts with significant numbers of identified schools to ensure that resources are distributed strategically and equitably.
  - Incentivize districts and schools to take actions to promote diversity and reduce socio-economic and racial/ethnic isolation.
- Require that a school that is not identified as a CSI or TSI school, BUT receives a Level 1 on any indicator for any group, 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

Identified schools will:

- Following the initial Diagnostic Needs Assessment, receive a review that looks at the quality and effectiveness of the implementation of the school's improvement plan.
- Include an evidence-based intervention as part of its plan, including at least one school-level improvement strategy.
- Promote parent voice through public school choice, parental involvement in budgetary decisions, and parent surveys. These efforts to promote parent voice would be in addition to the ongoing efforts that all schools should be doing to promote parent engagement and ensure strong home-school partnerships.
- Be eligible for a supplemental allocation if they show improvement, while those schools that do not show improvement will be eligible for additional technical assistance and support in addition to the school's base allocation.
- Be placed in receivership whereby the district superintendent or an independent receiver will have enhanced authority to manage the school if the school cannot show improvement after three years. (Schools that are currently "Priority Schools" will immediately be placed under receivership if they are identified as CSI.)

## **Supporting Improvements in Teaching and Learning and Increasing Educational Equity**

In recent years, the Department has adjusted how it approaches identified schools and districts to increase its focus on providing guidance, feedback, and recommendations to those that are identified as low-performing. These changes can be seen in both the current Diagnostic Tool for School and District Effectiveness (DTSDE) review process and in modifications to the School Comprehensive Educational Plan (SCEP) and District Comprehensive Improvement Plan (DCIP). This shift allows the State to work closely with schools and districts to provide them with guidance to support improvements to the quality of the education offered within the school and district. The Department no longer sees its role as most importantly a compliance monitor; instead, the Department recognizes the importance of being a partner with the schools and districts that are identified and providing these schools and districts with feedback and guidance that will further improve teaching and learning. New York State envisions that the additional revisions that it has made to its system of supports and interventions under ESSA will further support improvement in teaching and learning and increase educational equity by:

- Developing a system that promotes best practices while also allowing schools to identify the most appropriate solutions to the barriers they face, rather than prescribing an abundance of one-size-fits-all requirements.
- Taking a broader look at school systems, resources, and data as part of the Diagnostic Needs Assessment Process. This approach is intended to help schools best identify potential root causes so that the improvement plans can address areas of need while supporting areas of strength.

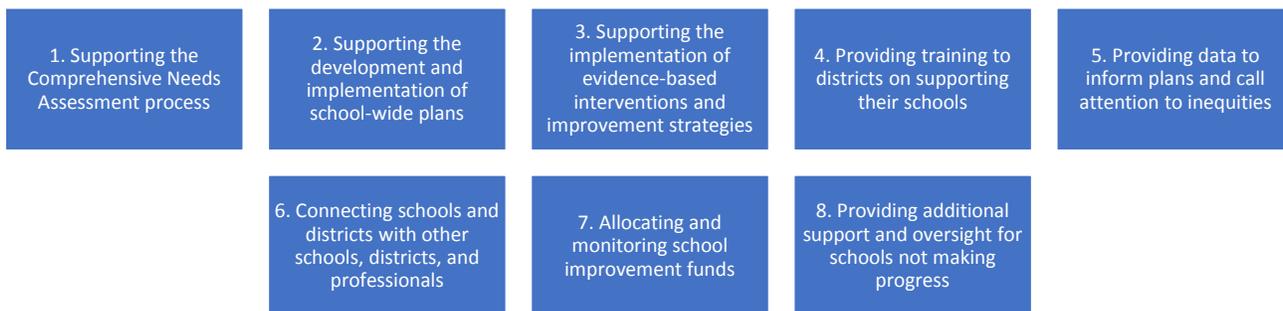
- Including data on resource allocation so that comparisons to other schools within the district and across the State can be made to identify inequities.
- Establishing an annual cycle of resource allocation reviews for districts with large numbers of identified schools to ensure that any inequities are being addressed.
- Limiting the incoming transfers of teachers to those who have been rated Highly Effective or Effective in their most recent annual evaluation.
- Identifying a number of school-level improvement strategies and offering professional development strands to CSI schools interested in pursuing those strategies as one of their school-level evidence-based interventions.
- Supporting professional learning for educators to enable them to learn to teach the new content standards to diverse students in culturally responsive ways, and to support their social, emotional, and academic learning.
- Providing additional technical assistance and support to the schools that are struggling to make gains.
- Including a requirement that schools provide professional development, based on the annual improvement plan.
- Offering options for schools unable to provide public school choice so that parent voice can be heard. Previously, the majority of identified districts were unable to offer choice because there were no eligible schools for students to transfer to. Under ESSA, there will be opportunities for parents to have a voice in decision making at all CSI schools.
- Providing technical assistance and grants to districts to promote diversity and reduce socio-economic and racial/ethnic isolation.
- Developing progressive expectations for districts to articulate the support being provided to school leaders of schools struggling to make gains.

## How New York State Responds to Specific ESSA Requirements

### How will New York State assist identified schools?

New York State envisions a robust rollout of technical assistance opportunities for CSI and TSI schools, as well as for districts with large numbers of those schools. Every CSI school will receive technical assistance to start; the level and intensity of future assistance will depend on whether the school shows progress.

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



The State will provide a number of supports each year during the identification cycle:

- During the initial year of identification, NYSED will provide representatives to lead the needs assessment process at each CSI school.

- NYSED also will provide training to districts on the needs assessment process to support the district’s ability to lead needs assessments at TSI schools.
- During the first year of identification, NYSED will offer a workshop series for a select number of school-wide improvement strategies that districts and schools may be considering as one of their evidence-based interventions.
- During the first year of identification, NYSED will provide guidance and support on implementing a parent participatory budgeting process in all CSI schools. Additional guidance and support will be provided in subsequent years.
- NYSED will offer a base allocation to identified Title I schools to use toward implementing their improvement plan.
- NYSED also will provide funding opportunities for districts in their support of the school-level improvement plan.
- In the year following identification, districts will lead Progress Reviews designed to provide feedback on the implementation of the improvement plan. NYSED representatives will conduct reviews in a sample of CSI schools.
- After the first year of identification, NYSED staff will focus its attention on schools that are struggling to make progress. NYSED will provide on-site and off-site technical assistance and guidance to these schools and districts so that they are better positioned to succeed.
- New York State will use its 37 recognized Boards of Cooperative Educational Services (BOCES) as hubs for technical assistance for CSI and TSI schools.
- Other technical assistance vehicles include Regional Special Education Technical Assistance Support Networks; Regional Bilingual Education Resources Networks; and Teacher Centers, which provide thousands of professional development opportunities each year.
- NYSED will identify and recognize high-performing and rapidly improving schools, using a methodology to be determined by the Commissioner.

### ***What resources will identified schools receive?***

NYSED is committed to supporting schools and districts so that they use resources strategically. Under ESSA, NYSED will provide this support in a number of ways:

- Conducting a resource audit that examines human resources, fiscal resources, and the use of time as part of the needs assessment process.
- Providing data to schools and districts so that inequities can be identified and addressed.
- Working with districts that have large numbers of identified schools to review and address resource gaps.
- Providing a base allocation to all identified Title I schools to carry out their improvement efforts.
- Providing an additional allocation to identified Title I schools that have shown the ability to use funds to improve outcomes, and providing additional technical assistance and support in conjunction with the additional allocation to schools that have not shown gains.

### ***How will New York State intervene in identified schools when needed?***

As New York State engaged stakeholders in ESSA planning this winter, the State heard that, while certain actions may be necessary, the requirements for identified schools should allow for flexibility so that districts and schools can identify solutions best tailored to their needs. Multiple stakeholders also shared that the Department should continue with the efforts it has made recently to serve identified schools by providing support and technical assistance rather than focusing on monitoring for compliance.

In New York State, a school and its district are ultimately responsible for school improvement. The State has provided schools and districts access to a wide range of interventions that can be tailored to local needs. The Department’s role is to support these efforts, to actively intervene when underperformance persists after the school/district solutions have not succeeded, and to foster continual improvement in these schools. The range of interventions allows New York State to identify an approach toward intervention that addresses the specific needs of the district or school.

Experience shows that school turnaround takes time and does not always follow a linear path. After the first year of CSI status, those schools that made progress will have the requirements listed earlier; those that do not will have additional requirements, such as a review of the principal’s evaluation to identify where additional support is needed. If a CSI school does not make gains for two consecutive years, the school must conduct an additional diagnostic needs assessment and must identify in its plan how it will partner with an external Technical Assistance provider, such as the BOCES or a Regional Special Education Technical Assistance Support Center (RSE-TASC). NYSED also will provide additional support to these schools.

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 placed under the management of an independent receiver.

Support for TSI schools will be the responsibility of the local district. New York State will rely on the judgment of districts to determine the appropriate interventions that districts may use in TSI schools. Any school that is re-identified as a TSI will automatically be classified as a Comprehensive Support and Improvement school. Any school previously identified as a Priority School that is re-identified as a Comprehensive Support and Improvement school will enter the Receivership program explained below. In addition, any school in Receivership that is not identified as a CSI school is removed from Receivership at the end of that school year.

New York State will continue to have available for use a number of current interventions and supports, such as:

<b>Schools Under Registration Review (SURR)</b>	Schools identified as having poor learning environments or as being among the lowest performing schools that have failed to improve can be placed under Registration Review.
<b>Education Partner Organizations (EPO)</b>	Districts with identified schools can contract with an external Education Partner Organization that can make recommendations to the local school board on staffing, budget, curriculum, school calendars, and disciplinary processes.
<b>Distinguished Educators</b>	Identified schools or districts may be required to work with a Distinguished Educator, who will oversee the district or school improvement plan and serve as an ex-officio member of the local school board.
<b>Joint Intervention Team Review Process</b>	Identified schools are required to undergo a review by a team of internal staff and external experts, whose findings will inform the school’s improvement plan.
<b>Receivership</b>	A school receiver, which can be the district superintendent or an independent receiver, has the authority to take dramatic actions, such as removing staff, expanding the school day, instituting wraparound services, or exploring conversion to charter status. Receivership can start under a district superintendent but move to an independent receiver if results do not improve. Schools are placed in receivership if they are among the lowest-performing schools in the State and have not improved after three years.

**Diagnostic Tool for School and District Effectiveness (DTSDE)** The DTSDE<sup>6</sup> rubric and review protocols have been the cornerstone of school and district improvement efforts in New York State since 2012. The rubric is a research-based tool that outlines six tenets of school and district success. New York State approaches the review process as a technical assistance opportunity designed to identify potential barriers to success, rather than a compliance checklist or a form of evaluation.

The State believes that the combination of progressive intervention systems and 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.

### *How will schools exit CSI or TSI status?*

A CSI school must, for two consecutive years, be above the levels that would cause it to be identified for CSI status. Similarly, TSI schools would need to show enough progress after two years with the subgroup or subgroups that were identified for low performance, in order to exit TSI status. Schools may exit CSI or TSI 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.

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<sup>6</sup> Extensive information about the DTSDE process and its research base can be found here: <http://www.p12.nysed.gov/accountability/diagnostic-tool-institute/home.html>



# Supporting Excellent Educators

## What ESSA Requires

- Equitable access to effective educators.
- A licensure and certification system in place.
- Support for educators in reaching students with specific learning needs (e.g., low-income students, gifted students).
- Actions to strengthen teacher preparation programs.

## The Big Picture

New York State’s efforts to improve all students’ access to effective educators includes work with preparation programs, higher education providers, districts, BOCES and educators:

### To Ensure ...

### ... New York State will:

#### Equitable Access to Effective Teachers

- Support school districts, BOCES, institutions of higher education, and other education preparation program providers to develop comprehensive systems of educator support that address five common challenge areas: 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
- Work with institutions of higher education and other education preparation program providers to support initiatives that identify and recruit promising candidates into education preparation programs
- Work with school districts, BOCES, institutions of higher education, and other education preparation program providers to recruit, prepare, develop, and retain a more culturally diverse educator workforce that better mirrors our State’s student population
- Work with school districts and BOCES to create and refine career ladders, consistent with NYSED’s Career Ladder Pathways Framework, as a key lever in improving their systems of educator support and development

#### Well-Prepared Teachers from Preparation Programs

- Work with stakeholders to explore enhancements to current clinical practice requirements for aspiring teachers and leaders
- Work with stakeholders, including school districts, BOCES, institutions of higher education, and other education preparation program providers to create clear guidance and expectations for teacher preparation program course work that will promote a consistent standard for preparation programs across the state
- Expand programs that provide greater opportunities for candidates to apply in authentic settings the knowledge and skills they’ve acquired
- Create tools and other resources that will facilitate feedback loops between preparation programs and the districts that employ their graduates

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**Seamless Certification Pathways**

- Work with stakeholders to determine what, if any, revisions are necessary to existing certification pathways/requirements that will promote increased numbers of qualified candidates, particularly in emerging fields and hard-to-staff subject areas

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**Support for Educators New to the Field**

- Work with stakeholders to examine whether revisions are necessary to the current first-year mentoring requirement
- Encourage districts and BOCES to develop mentoring programs that provide educators with differentiated supports that will provide new teachers and school leaders with what they need to succeed
- Provide tools and other resources, consistent with best practice, to school districts and BOCES that will help them recruit, select, develop, and reward teacher leaders who serve as mentors to their peers
- 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

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**Support for School Leaders**

- Take advantage of newly available funding under Title IIA to develop programs focused on promoting effective educational leadership and that address emerging needs. Focus areas and support systems will be developed collaboratively, based on needs identified by a broad range of stakeholders
  - Engage with stakeholders to provide better professional learning and support for current school building leaders and aspiring principals, such as revisions to the State's leadership standards, preparation program and licensure frameworks, and mentoring requirements
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## What's New? What's Different?

New York State will:

- Increase focus on alignment of Title II, Part A grant spending to efforts designed to close gaps in equitable access to out-of-field, inexperienced, or ineffective educators.
- Increase focus on using Title II, Part A grant spending on efforts to create and refine comprehensive talent management systems that ensure that educators receive supports and have opportunities for development and advancement along the entire continuum of their careers.
- Leverage the creation of P-20 partnerships that explicitly recognize the importance of institutions of higher education and other preparation programs as key levers in improving the quality and diversity of the educator workforce.
- Use additional requirements that districts identify gaps in equitable access to excellent educators and identify how their use of Title II, Part A funds will help close those gaps.
- Use part of the newly available funding for school leaders to focus on professional development for principals in schools identified for Comprehensive Support and Improvement.
- Use part of the newly available funding for school leaders to build on the recommendations of the Principal Preparation Project Advisory Team, a recent effort funded by the Wallace Foundation, to provide better professional learning and support for current school building leaders and aspiring principals, such as revisions to the State's leadership standards, preparation program and licensure frameworks, and mentoring requirements.
- Convene a Clinical Practice Work Group to examine changes to the current field experience and placement requirements for teachers and school leaders.

## Supporting Improvements in Teaching and Learning and Increasing Educational Equity

Persistent achievement gaps between different groups of students and inequitable access to excellent teachers and school leaders interfere with the goal that all students graduate college, career, and life ready. The Department believes that all students, regardless of race, income, background, gender, disability status, primary language, or ZIP code, should have equitable access to the most effective educators.

New York State envisions that its plan for undertaking State-level activities by using Title II, Part A funds and the assistance that the Department will provide to districts in using Title II, Part A funds will support improvements in teaching and learning and support increases in educational equity by:

- Leveraging partnerships between institutions of higher education and other preparation programs and public schools to create additional opportunities for candidates in teacher and school building leader preparation programs to have robust, field-based experiences that allow them to apply what they learn in the classroom and demonstrate that they have acquired the necessary knowledge, skills, and abilities to provide effective instruction and effective leadership earlier in their careers. These partnerships may also focus on recruiting and preparing a more culturally diverse workforce that better mirrors the LEA's student population.
- Examining existing pathways to certification for both teachers and school leaders to ensure that existing structures are not creating unintended barriers for promising candidates to enter the profession.
- Expanding the supports that are provided to novice and early careers educators to ensure that they can improve their practice and continue in the profession.
- Assisting LEAs in recruiting, selecting, developing, and rewarding highly effective educators who serve as mentors and coaches for their peers.
- Assisting LEAs in creating comprehensive systems of professional learning and support for all educators that use data about student learning and educator practice as key inputs in providing differentiated, needs-based support.
- Assisting LEAs in creating career ladders and other opportunities for advancement in the profession that allow educators with a proven record of effectiveness to take on additional roles and responsibilities.

## How New York State Responds to Specific ESSA Requirements

### *How will New York State ensure equitable access to excellent teachers?*

NYSED will publish, online, an annual report examining equitable access to effective teachers per district – including gaps in access to those teachers in low-income, high-minority schools vs. high-income, low-minority schools. 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. NYSED proposes to facilitate a root cause analysis with districts, centered on this data, to help them identify roadblocks and possible solutions, such as strengthening mentoring/induction programs, targeting professional development, or improving career ladders. NYSED will also link this process to districts' annual Title II, Part A applications to target federal funding to address equity needs.

### *How will New York State license and certify its teachers and leaders?*

New York State will continue with its current certification and licensure system for teachers and school leaders, including completion of a New York State-recognized program, recommendation from a preparation program, passage of certification exams, attendance at a Dignity for All Students workshop, and fingerprint clearance. New York State will

also maintain its existing systems of individual evaluation and transitional certificates as alternate pathways to certification. School leaders also must possess a Master's degree, pass two exams, and have three years of full-time teaching or student service experience.

As New York State works to build the skills of its highly regarded teaching and school leader workforce, the State now requires educators to renew their professional certificates every five years through completing continuing education in their chosen content area and in language-acquisition. Any district receiving Title II, Part A dollars also must develop a professional development plan that must meet a number of requirements and describe how learning experiences for teachers will be high-quality and sustained.

### ***How will New York State help its teachers support specific learning needs?***

NYSED 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 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 and to support the social, emotional, and academic development of all students in culturally responsive ways.

Foundationally, the NYS Teaching Standards and the 2008 ISSLC Standards<sup>7</sup> (for school building leaders) include a set of domains and corresponding performance indicators that express the Department's expectation of what teachers and school building leaders should know and be able to do to be effective practitioners. Explicit in both sets of standards are domains and indicators centered on ensuring that educators are able to identify, teach to, and assess the progress of all students in a way that responds to their unique needs. The State's system for educator evaluation for both teachers and principals is aligned to these standards, and districts and BOCES are required to use the information provided by the evaluation system to make employment-related decisions, including recommendations for professional development. For teachers and principals who are rated in the bottom two categories of the evaluation system (Developing or Ineffective), this support must also include the development of an individualized, needs-based improvement plan that specifies differentiated activities aligned to areas in need of improvement.

Additionally, the State's requirements for pedagogical coursework for educator preparation programs includes specific requirements designed to ensure that educators can 1) identify the learning needs of students and utilize research-validated instructional strategies for teaching students within the full range of abilities, and 2) design and offer differentiated instruction that enhances the learning of all students. Further, teacher and school building leader certification exams (for example, the edTPA for teachers or the Educating All Students exam) include frameworks to ensure that aspiring educators have developed the necessary foundational knowledge, skills, and abilities to identify and address the needs of all students. 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.

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<sup>7</sup> 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.

Additional requirements, such as Continuing Teacher and Leader Education for professional certificate holders and professional development plans for school districts and BOCES, are designed to ensure that educators across New York State receive ongoing professional learning and support that is grounded in a needs assessment and which help educators meet the needs of all students in a way that is culturally responsive by helping to develop the knowledge, skill, and opportunity to 1) collaborate to improve instruction and student achievement in a respectful and trusting environment, 2) meet the diverse needs of all students, 3) create safe, secure, supportive, and equitable learning environments for all students, and 4) engage and collaborate with parents, families, and other community members as active partners in children’s education. Additionally, professional development requirements like CTLE are designed to ensure that educators receive proper training and support to identify and support differently abled students, including students with IEPs who are also gifted and talented. In this way, school districts and BOCES can continue to provide support to educators in identifying and meeting the needs of all students.

### ***How will New York State transform its teacher and principal preparation programs?***

NYSED will convene a Clinical Practice Work Group to examine changes to the current field experience and placement requirements for teachers and school leaders. Among other things, these changes may include:

- Increasing and strengthening field experiences and student teaching and encouraging preparation programs to align field experiences with evidence-based practices.
- Requiring preparation programs to approve candidates’ completion of their program with evidence of positive student outcomes from multiple measures.
- Creating greater opportunities for aspiring teachers and school leaders to apply their skills and knowledge in more authentic settings.

Specific to the preparation of school building leaders and consistent with the recommendations of the Principal Preparation Project Advisory Team, the Department will explore the following approaches to ensure better professional learning and support for aspiring leaders:

- 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.



# Supporting English Language Learners/Multilingual Learners

## What ESSA Requires

- Comprehensive services for ELLs/MLLs.
- A description of how the State will monitor and support districts to meet long-term goals and measures of interim progress for the English language development of ELLs/MLLs, as well as to ensure that ELLs/MLLs attain the State’s challenging academic standards.
- A description of how the State will develop and implement a uniform ELL/MLL identification and exit procedure, and utilize a consistent definition of an ELL/MLL.

## The Big Picture

New York State’s ESSA Plan will enable ELLs/MLLs to develop English language proficiency, as well as access the state’s challenging academic standards, through the provision of high-quality instruction and support, as well as the creation of an accountability and support system that equitably and accurately measures ELL/MLL achievement:

To Ensure ...	... New York State will:
<b>Equitable and Reliable Accountability</b>	Exempt recently arrived ELLs/MLLs in the first year of enrollment from the State English language arts assessment. Such students will take the test in the second year to set a baseline by which to measure growth as well as achievement in the third year and beyond
<b>Sufficient Time to Learn English</b>	Expect ELLs/MLLs to become English proficient in three to five years, with factors such as level of English proficiency at entry into New York State schools determining the number of years within which an ELL/MLL is expected to become proficient in English

## What’s New? What’s Different?

New York State will:

- Exempt recently arrived ELLs/MLLs in the first year of enrollment from the English Language Arts exam. In addition, New York State will propose to use such students’ ELA scores in the second year of enrollment only to set a baseline for future growth and achievement. In past practice, ELLs’/MLLs’ ELA scores in the second year were used to measure achievement, rather than to set a baseline.
- Use a Transition Matrix Table for incorporating ELLs’/MLLs’ attainment of English language proficiency into State accountability determinations. The Transition Matrix model is based on initial English language proficiency level and incorporates **expected** growth per year against **actual** growth, which mirrors the natural language development trajectory.
- Develop a District/School Self-Evaluation Tool to determine the degree to which each district is providing academic instruction that meets ELLs’/MLLs’ needs.

## Supporting Improvements in Teaching and Learning and Increasing Educational Equity

Of New York State's 2.6 million public school students, 8.8 percent are ELLs or MLLs. New York State will seek to improve teaching and learning as well as educator effectiveness by setting challenging but attainable goals for ELLs'/MLLs' development of English language proficiency, as well as by enabling ELLs'/MLLs' attainment of New York State's challenging State academic standards and the New York State Bilingual Progressions, in accordance with the [Blueprint for ELLs/MLLs Success](#), which was released in 2014.

By exempting recently arrived ELLs/MLLs from the English Language Arts assessment in their first year of enrollment, and using their second year English Language Arts score only to set a baseline for future growth, New York State will ensure that districts/schools have an additional year to build on ELLs'/MLLs' linguistic growth, while measuring progress and targeting instruction to truly meet the needs of ELLs/MLLs.

Furthermore, New York State's Transition Matrix for incorporating ELLs'/MLLs' attainment of English language proficiency will inform teaching and learning and enable educator effectiveness, by allowing educators to determine yearly whether a student is meeting expected growth targets to develop English proficiency, based on the student's level of English proficiency at entry into the New York State school system.

## How New York Responds to Specific ESSA Requirements

### *What resources will New York provide districts for educating ELLs/MLLs?*

New York's Regional Bilingual Education Resources Networks (RBERNs), which are located throughout the State, provide technical assistance and professional development to educators of ELL/MLL students to enable them to gain English language proficiency and progress toward college or career readiness, as well as parent/caregiver trainings and support. These include annual Regional Parent/Guardian/Caregiver Institutes, which reach over 100 participants in each region. Each RBERN holds between 200 and 400 professional development sessions in total on a yearly basis.

NYSED's array of ELL modules, professional development opportunities, and coordination of coursework opportunities for ELL/MLL teachers enable educators of these students to advance their skills. These include an annual ELL/MLL Literacy Conference (600 people attended in 2016) and other supports on best instructional practices for linguistically diverse settings, as well as extensive training on a curriculum for low-literacy Students with Interrupted or Inconsistent Formal Education (SIFE). Furthermore, the Department has created resources to help educators meet New York State's challenging academic standards in their instruction of ELLs/MLLs, including a Multilingual Literacy Screener (MLS) for the identification of SIFE, P-12 Math Curriculum Modules translated into the top five languages spoken in the State, and the PENpal Home Language Questionnaire Toolkit (which verbally translates the State's Home Language Questionnaire into 26 languages).

NYSED has an ELL/MLL Parents Bill of Rights outlining 17 of the most critical rights of ELL/MLL parents that is translated into nine languages, an ELL/MLL parent guide available in 25 languages, and a native-language hotline for parents to ask questions and get advice. Finally, the Department has produced a parent orientation video, available in eight languages.

### ***How will New York State support ELLs/MLLs to achieve English language proficiency and meet challenging academic standards?***

NYSED is developing a District/School Self-Evaluation Tool to determine the degree to which each district is providing academic instruction that meets ELLs'/MLLs' needs, and enables them to meet State accountability targets. This Self-Evaluation Tool includes goals, objectives, and rating scales, and requires districts to conduct diagnostic self-assessments of their ELL/MLL programs. Each district also develops a Comprehensive ELL Education plan describing the services that it provides for ELL/MLL students.

NYSED will monitor districts' Comprehensive ELL Education Plans, their data/information reports on ELL/MLL students, and results from their School/District Self-Evaluation assessments to determine what kind of assistance is needed. Furthermore, NYSED conducts regular monitoring, site visits, and technical assistance to support districts in serving ELLs/MLLs.

### ***What are New York State's procedures for identifying and exiting ELLs/MLLs?***

New York State is already in compliance with ESSA's mandate to create a uniform ELL/MLL identification and exit procedure. On the initial English language proficiency assessment, the 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 of proficiency. Those who score at the Commanding level of proficiency on the NYSITELL are not identified as ELLs/MLLs.

As described in the Accountability section, once ELLs and MLLs are identified, they take the State's yearly ELP assessment, the New York State English as a Second Language Achievement Test (NYSESLAT). 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 Grade 3-8 English Language Arts assessment or Regents Exam in English.



## Supporting All Students

### What ESSA Requires

- Support for districts to improve school conditions for student learning by reducing bullying, exclusionary disciplinary practices, and unnecessary behavioral interventions.
- Support for districts to provide effective transitions to middle grades and high school to prevent students from dropping out.
- Access to a well-rounded education and safe, healthy, and supportive, learning environments.
- Support for migratory children.
- Support for neglected and delinquent youth.
- Support for youth in foster care and homeless children and youth.
- Support for students attending rural schools.
- Administration of Student Support and Academic Enrichment and 21<sup>st</sup> Century Community Learning Centers grants.

### The Big Picture

New York State believes that the highest levels of learning can occur when students and educators learn and teach in environments that are safe, supportive, and welcoming to all.

#### To Ensure ...

#### ... New York State will:

##### Learning for All Students

Support districts in creating conditions that maximize student learning, especially for traditionally marginalized youth including youth of color, LGBTQ youth and youth with disabilities, through activities, policies, and strategies that reduce bullying, harassment, and the overuse of punitive and exclusionary responses to student misbehavior while promoting positive disciplinary practices, improving school climate, and providing students with social-emotional support

##### Safety for All Students

Work with districts to build positive school climates that are based on inclusive, equitable school cultures that recognize student diversity

##### Strong Home-School Partnerships

Promote State, district, and school-level strategies for effectively engaging parents and family members in their student's education

##### Robust School-Community Partnerships

Require schools and districts to collaborate with relevant community, such as afterschool or healthcare providers when conducting a comprehensive needs assessment and creating plans based from such assessments

##### Development of Digital Literacy Skills

Promote equitable access for all students to effective school library programs, which includes information fluency instruction and digital literacy instruction that are delivered by State-certified school librarians

<b>Access to a Well-Rounded Education</b>	Allow Title I schools that meet alternative criteria to implement a Schoolwide program, even if their poverty rates are below 40 percent
<b>Support for Migratory Students</b>	Provide targeted academic programs and support services to those students so that they receive full and appropriate opportunities to meet the same challenging State academic content and student academic achievement standards that all children are expected to meet
<b>Support for Neglected and Delinquent Students</b>	Work closely with the New York State Office of Children and Family Services, the New York State Department of Corrections and Community Supervision, and other agencies as appropriate to create formal transition plan templates to be used for each student
<b>Support for Youth in Foster Care or Homeless Youth</b>	Develop and/or update policies, procedures, and guidance related to transportation, disputes, and continuous enrollment practices

## What's New? What's Different?

New York State will:

- Publish, annually, the per-pupil expenditures for each Local Education Agency (LEA) and school in the State for the preceding fiscal year. The reporting must be disaggregated by source of fund (federal, State, and local) and include actual personnel and non-personnel expenditures
- Provide access to new funds under the Title IV, Part A Student Support and Academic Enrichment Grants.
- Inform districts of requirements under McKinney-Vento, including:
  - Students who are homeless are now entitled to transportation to their school of origin, and students who move into permanent housing are entitled to continued transportation to their school of origin through the remainder of the school year.
  - A preschool student who is homeless can maintain enrollment and receive transportation to his/her preschool if it is a school of origin.
  - Children awaiting foster care placement are no longer considered homeless.
- 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.

## Supporting Improvements in Teaching and Learning and Increasing Educational Equity

New York State envisions that its plans for supporting all students will support improvement in teaching and learning and support increases in educational equity by:

- Using new fiscal transparency reports to highlight instances where resources must be reallocated to better support those students with the greatest needs.
- Ensuring that all students – regardless of the school that they attend – have access to enriched curriculum and education experiences by engaging students across a variety of courses, activities, and programs in subjects such as English, reading/language arts, writing, science, technology, engineering, mathematics, foreign languages, civics and government, economics, arts, history, geography, computer science, music, career and technical education, health, and physical education.

- Strengthening the links between the State Migrant Education Program (MEP) and home, as well as between home and schools, through advocacy and supporting self-advocacy by parents and guardians.
- Directing resources and providing targeted and evidence-based supplemental academic interventions and support for all eligible migratory children and giving priority to those in-school migratory children who have been identified for Priority for Services (PFS) – those who are failing, or most at risk of failing - to meet the challenging State academic standards and whose education has been interrupted during the regular school year.
- Ensuring that students who complete academic programs while in a neglected or delinquent facility receive appropriate credit as part of their pathway to graduation.
- Ensuring the successful return to school of students who have been in neglected or delinquent facilities.
- Developing 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.

## **How New York State Responds to Specific ESSA Requirements**

### ***How will New York State support safe school conditions for all?***

It is a priority of the Board of Regents that New York State schools foster a culture and climate that make 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. NYSED will expand current efforts to encourage positive and safe school climates in school by using tools such as additional guidance and training for district and school staff on appropriate implementation of the Dignity for All Students Act, professional development on reducing exclusionary discipline, and the use of school climate surveys, among other efforts. Schools and districts are already required to collect and submit data on incidents of violence, bullying, discrimination, and harassment. NYSED will continue to develop guidance and technical assistance for schools to expand supports for students' social and emotional needs and spread restorative practices as opposed to exclusionary disciplinary tactics.

### ***How will New York State support seamless school transitions?***

NYSED will support school districts in facilitating successful P-12 transitions by requiring the entire school community (district leadership, teachers, support service personnel, students, families, 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.

Highlights of New York State’s work on transitions include:

### Early childhood to elementary school

- New York State encourages the use of home visits to welcome families into elementary school, and the State has collaborated with Head Start providers to develop a tool to improve coordination between those providers and school districts. NYSED also has released a “Tool to Assess the Effectiveness of Transitions from Prekindergarten to Kindergarten” to schools and their partners to gauge their transition efforts in four key areas.

### Elementary school to middle school

- NYSED encourages districts to hold in-person sessions, meetings, and activities such as middle school visits to smooth the transition from elementary to middle school. Transition teams should begin planning for these efforts as early as fourth grade. NYSED will serve as a repository for evidence-based transition tools to assist LEAs in determining the most effective strategies for children during this developmentally dynamic time.

### Middle school to high school

- NYSED allows middle school students to earn high school credit as one way for younger students to get accustomed to the rigors of high school. NYSED encourages districts to hold in-person sessions as well as mentoring and student-shadow days to ease the transition.

### Secondary and postsecondary transitions

- Key programs NYSED coordinates to enhance students’ high school experience include dropout prevention, career-focused opportunities, early college high schools, career pathways, and access to advanced coursework.

## How will New York State support equitable access to a well-rounded education?

NYSED will provide programmatic supports and fiscal resources to increase the number of schools across the State that:

Are led by visionary instructional leaders	Provide challenging and engaging curricula	Provide effective professional development	Promote social, emotional, physical, and cognitive development throughout the day	Promote inclusive partnerships
Support multiple pathways to graduation and career readiness	Examine schoolwide policies to ensure their effectiveness and cultural responsiveness	Incorporate the work of community partners	Increase access to school library programs	Engage families in school improvement, special education decisions, early learning programs, ELL/MLL services, and understanding Board of Regents initiatives

## How will New York State support equitable access to safe, healthy, and supportive, learning environments?

NYSED will continue to develop and use a school climate index that considers the results of school climate surveys completed by students, parents, school personnel, and community members; a school violence index; and chronic absenteeism data.

## How will New York State support migratory students?

Migratory children ages 3-21 continue to be served by the New York State Migrant Education Program, which assesses each migratory child’s needs. These include preschool services, instructional services in elementary/middle school, graduation plans in high school, support services at every grade level, and support and advocacy to out-of-school youth.

NYSED works to ensure that services provided to migratory children are integrated with the rest of its ESSA proposals and offer migratory children the same access to coursework, academic content, after-school opportunities, and postsecondary readiness efforts.

### ***How will New York State support students who are neglected and/or delinquent?***

Children who are neglected or delinquent require coordinated efforts between NYSED and various State and local agencies. The State will convene an advisory group to develop a transition plan that facilities serving these students will implement so that students will receive access to New York State's core curriculum (instead of high school equivalency-focused instruction). NYSED will direct each district to identify a staff member who will support students as they transition from correctional facilities or other juvenile-justice programs.

In addition, NYSED will study the impact on State and local funding for core instruction at county jails and detention centers as a result of recently enacted "Raise the Age" legislation. The Department will generate field guidance to districts and facilities addressing programmatic and fiscal changes as a result of the new legislation.

### ***How will New York State support homeless children and youth?***

New York State has seen a significant increase in homeless students in the past six years; there are more than 140,000 students in the State who are homeless. NYSED and its contractor, the New York State Technical and Education Assistance Center for Homeless Students, will continue to assist districts with identifying these students, publicizing services available to them and their families, training staff on meeting their needs, and developing resources on trauma sensitivity. The goal of these efforts is to ensure that homeless youth are identified and given equal access to education and support services, including removing barriers that may prevent them from participating fully in school and extracurricular activities.

As federal policies on homeless student services get modified, NYSED will continue to update districts and schools on new requirements and the need to eliminate barriers to homeless students receiving a well-rounded education.

### ***How will the ESSA plan support students with disabilities?***

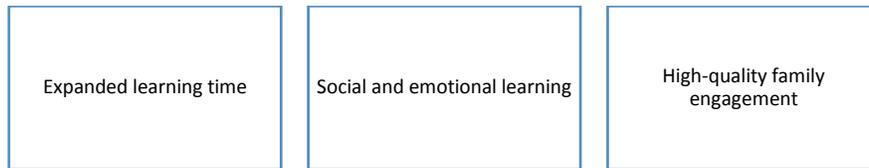
The draft ESSA plan supports effective transition practices throughout a student's educational experience and fosters coordinated transitions from early childhood education to postsecondary education. This emphasis on coordinated transitions directly aligns with the Department's initiatives in transition planning for students with disabilities under the Individuals with Disabilities Education Act (IDEA). This alignment also promotes the development of schoolwide inclusive systems of transitions, based on a student's individual needs, experiences, interests, and aspirations.

### ***How will New York State support rural schools with high poverty rates?***

NYSED will provide rural schools with high rates of poverty with technical assistance on accessing federal funds geared toward their students.

## How will New York State support 21<sup>st</sup>-Century Community Learning Centers?

Provided that these federal funds remain available, NYSED will continue to make these dollars available to support wrap-around services and academic enrichment. In particular, NYSED will direct applicants to use these funds for the following priorities:



Applications are examined by expert peer reviewers, and funds are targeted for Title I schools or schools that serve at least 40 percent of their students free- or reduced-price lunches. Schools that are CSI, TSI, in high-need rural areas, are persistently dangerous, or serve ELL/MLL students also get priority.

## A Word About Resources

The agenda that has been presented in this document is ambitious, and readers may rightly ask whether the State and districts and schools can afford to implement this agenda. The short answer is that we cannot afford not to move forward, and we have significant capacity to implement this work. This agenda will be supported by the approximately \$1.6 billion that New York State receives annually in ESSA funding. As described in this plan, we at the State Education Department will be making revisions in how we utilize State-level ESSA resources, and we expect districts and schools to do the same, especially as the results of the new per pupil expenditure reports become available. We also have substantial technical resources available to support the implementation of this plan including, our BOCES; the Regional Special Education Technical Assistance Support Centers; the Regional Bilingual Education Resource Network; the Teachers Centers; and other networks, such as the NYSTeachs, which supports districts in providing services to homeless youth. The Department also has the ability to call upon institutes of higher education, museums, libraries, and cultural institutions, and other State agencies to support implementation of this plan. As they have in past years, the Board of Regents will continue to make proposals to the Governor and the legislature for increased resources to expand the capacity of schools, districts, and the Department itself to improve educational outcomes and reduce equity gaps.

## Conclusion

New York State views this ESSA plan as an opportunity to refocus our efforts on achieving the mission of the New York State Board of Regents:

“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.”

# ESSA New York State Consolidated State Plan

## Glossary of Terms

**2008 ISSLC Standards:** The Interstate School Leaders Licensure Consortium Educational Leadership Policy Standards as adopted by the National Policy Board for Educational Administration. These are New York State’s current standards for school building leaders.

**Accommodations:** Testing accommodations are changes in the standard administration of a test, including testing procedures or formats that enable students with disabilities to participate in assessment programs on a more equitable basis with their non-disabled peers.

**Accountability Cohort:** Cohort of students used to determine secondary-level (high school) assessment performance for accountability.

**Achievement Index:** An average across subjects of the performance of students in a school at either the elementary/middle level or the secondary level, based upon the percentage of students who perform at partially proficient, proficient, or advanced levels.

**Academic Indicator or Indicator:** An academic measure (subject or group of subjects) that will be used to measure the aggregated performance of students.

**Accountability Determinations:** The determination as to whether a school, district, or subgroup has met the required standards in achievement or performance.

**Accountability Measures or Measures:** A measure (or subject) used to make accountability determinations. For example: elementary-middle mathematics.

**Achievement Level:** Level from 1 to 4 that indicates where a school falls in the ranking of all schools, based on the performance of its students on assessments. Levels are assigned based on a range in which a school falls in the ranking.

**Advanced Coursework:** Coursework that may lead to obtaining college credit, such as Advanced Placement (AP) and International Baccalaureate (IB) courses.

**Advanced High School Assessments:** Assessments that may be used to obtain college credit, such as Advanced Placement (AP) and International Baccalaureate (IB) exams.

**Advanced Mathematics for Middle School Students:** Term used to refer to high school mathematics course and/or Regents Exam in mathematics that is taken by a student in Grade 7 or Grade 8.

**Alternate Pathways to Teacher Certification:** New York State offers a number of alternative preparation models for individuals who already hold an undergraduate or graduate degree in the subject of certification, but who did not complete a NYS approved teacher preparation program. Additional information about these pathways is available at: <http://www.highered.nysed.gov/tcert/certificate/pathways.html>

**Back-translation:** During the process of translating a test form into another language, the new version of the test is translated into the original language to ensure accuracy.

**Baseline for growth:** A baseline is a benchmark for measuring or comparing current and past values or scores, in order to measure growth from one point to another.

**Baseline:** Performance on which growth or progress is based.

**Basic:** Achievement level indicating that a student has shown no proficiency toward the standards measured by an assessment.

**Basic Proficient:** Achievement level indicating that a student has shown partial proficiency toward the standards measured by an assessment.

**Bilingual Education extension:** Extension of a New York State (NYS) teaching certificate authorizing the holder of a valid teaching certificate to provide instruction in a Bilingual Education class.

**Bilingual Education program:** A [Transitional Bilingual Education program or a Dual Language program](#) that is research-based and comprised of the following instructional components: Language Arts (including both Home Language Arts and English Language Arts), English as a New Language, and Bilingual content areas.

**BOCES:** Abbreviation for Boards of Cooperative Educational Services. The State's 37 BOCES are organized by region and are designed to provide services to schools and districts within that region.

**Career and Technical Education Endorsements (CTE):** A career and technical education (CTE) certificate is a classroom teaching certificate that authorizes the holder to teach a specific subject in a New York State public high school or BOCES in a career and technical education program.

**Career Ladders:** A systemic, coordinated approach that provides new and sustained leadership opportunities with additional compensation, recognition, and job-embedded professional development for teachers and principals in order to advance excellent teaching and learning.

**Career-Ready Level:** Content knowledge and skills needed to be successful after high school and that leads to a career pathway.

**Chronic Absenteeism:** The number of students enrolled during the school year who were absent (excused or unexcused) for at least 10% of enrolled days divided by the total number of students enrolled during the school year, expressed as a percentage.

**Clinically Rich Intensive Teacher Institute (CR-ITI):** A teacher training program with the goal of providing ELLs/MLLs with highly qualified and certified teachers in the areas of Bilingual Education and English to Speakers of Other Languages. The program provides partial tuition assistance for certain certified public school teachers or pupil personnel currently teaching or working with substantial populations of ELLs/MLLs.

**College, Career, and Civic Readiness Index:** A method of measuring a school's success in preparing its students for college, a career, and civic engagement. The index is determined by assigning different weights to various achievements, such as receiving a Regents Diploma with Advanced Designation or a Regents Diploma and a Seal of Biliteracy.

**Commissioner's Regulations Part 154 Comprehensive ELL Education Plan (CEEP):** Under Commissioner's Regulations Part 154, all Local Education Agencies (LEAs) are required to develop a CEEP to meet the educational needs of ELLs/MLLs. All LEAs must keep their completed CEEPs on file in the LEAs' main office and make them available for review upon request by the New York State Education Department (NYSED).

**Comprehensive Diagnostic Needs Assessment:** The full needs assessment that all identified schools will do in their first year of identification, and in future years as needed. The Comprehensive Diagnostic Needs Assessment has three components: a full DTSDE review, a review of data, and a Resource Audit.

**Comprehensive Support and Improvement Schools:** Schools identified every three years because the school is among the lowest five% in the state or the school's four year graduation is below 67% and the school does not have a five- or

six -year graduation rate at or above 67%. A Targeted Assistance School that fails to improve will also be identified as a Comprehensive Support and Improvement School.

**Consistency:** The measure of change in variation over time.

**Constructed-Response:** Open-ended question on an assessment, requiring a performance task (e.g., essay, “show-your-work” mathematics response) to complete.

**Continuously Enrolled Students:** Currently, students enrolled on BEDS day (Basic Educational Data System day, usually the first Wednesday in October) and during the test administration window. Under ESSA, continuously enrolled students will mean students who were enrolled in a school for the majority of the school year.

**CR Part 154:** Education Law §3204 and Part 154 set forth standards for educational services provided to ELL/MLL students in New York State.

**CSI School:** Abbreviation for Comprehensive Support and Improvement School; those schools in the state that are the lowest performing.

**Data Dashboard:** A single-screen internet data visualization tool that displays critical indicator outcomes for an entity, such as a school or district.

**Diagnostic Tool for School and District Effectiveness (DTSDE):** The research-based rubric and review protocols used by the State with identified schools. The DTSDE rubric is organized into six tenets critical for school and district success.

**District Comprehensive Improvement Plan (DCIP):** The annual improvement plan developed by districts identified as low-performing.

**District/School Self-evaluation Tool:** Instrument to assist districts, schools and stakeholders in determining the degree to which districts/schools are providing ELLs/MLLs with high -quality, equitable, and appropriate instructional and support services pursuant to Commissioner’s Regulations Part 154 and the Every Student Succeeds Act (ESSA).

**Educational Equity:** Ensuring that students across the State have equal access to courses, teachers, school environments, regardless of their race or ethnicity, socio-economic status, or language.

**Empirically Validate:** The use of scientific methods to ensure the appropriateness of a test and its uses.

**“End” Goal:** The desired level of performance that every subgroup in every school should ultimately attain. In the case of assessments, this could be a Performance Index of 200. In the case of accountability graduation rate, this could be 95%. The end goal is used as a part of the process of determining how much of a gap exists between current and desired performance.

**End-of-Course Assessment:** Assessment designed to measure knowledge and skills gained through a specific course. For example, Regents Exams are end-of-course assessments.

**English Language Learner/Multilingual Learner (ELL/MLL):** A student who speaks or understands one or more languages other than English, and who scores below a State-designated level of proficiency on the New York State Identification Test for English Language Learners (NYSITELL) or the New York State English as a Second Language Achievement Test (NYSESLAT).

**English Language Proficiency:** A student’s performance on the NYSITELL or the NYSESLAT indicates that student’s level of English language proficiency. The NYSITELL and NYSESLAT utilize five levels of proficiency: Entering, Emerging, Transitioning, Expanding, and Commanding.

**English to Speakers of Other Languages (ESOL) Teacher Certification:** A NYS-certified teacher of English to Speakers of Other Languages (ESOL) is certified to provide instruction in an English as a New Language class.

**Equitable Access to Educators:** Under ESSA, equitable access to educators refers to the rates at which low-income and minority students in Title I schools are assigned to out-of-field, ineffective, or inexperienced teachers, as compared to non-low-income, non-minority students in non-Title I schools.

**Evidence-based Intervention:** Under ESSA, all identified schools must include at least one evidence-based intervention in their school improvement plan. **As defined by ESSA, Evidence-based Intervention means an activity, strategy, or intervention that:**

- (A) demonstrates a statistically significant effect on improving student outcomes or other relevant outcomes based on strong evidence from:
  - (I) at least 1 well-designed and well-implemented experimental study;
  - (II) moderate evidence from at least 1 well-designed and well-implemented quasi-experimental study; or
  - (III) promising evidence from at least 1 well-designed and well-implemented correlational study with statistical controls for selection bias; OR
- (B) (I) demonstrates a rationale based on high-quality research findings or positive evaluation that such activity, strategy, or intervention is likely to improve student outcomes or other relevant outcomes; AND (II) includes ongoing efforts to examine the effects of such activity, strategy, or intervention

**Exclusionary discipline practices:** Any type of school disciplinary action that removes or excludes a student from his or her usual educational setting. Two of the most common exclusionary discipline practices at schools include suspension and expulsion.

**Extant:** Currently existing.

**Extended-Year Graduation Rate:** For accountability purposes, the standard graduation rate is calculated four years after a student enters grade 9. Extended-year graduation rates are calculated 5 and 6 years after a student first enters grade 9.

**Gap Reduction (Gap Closing):** Decrease in the size of the difference in performance between subgroups, years, schools, etc.

**Good Standing:** A school or district accountability status indicating that the school has not been identified for Comprehensive Support and Improvement or Targeted Support and improvement.

**Graduation Rate:** For accountability purposes, graduation rate is calculated by dividing the number of students in the graduation-rate total cohort who earned a Regents or local diploma as of August 31 four years after first entering grade 9 by the number of students in the graduation-rate total cohort.

**Graduation-Rate Total Cohort:** Cohort of students used to determine graduation rate for accountability. A graduation-rate total cohort consists of all students who first entered grade 9 anywhere between July 1 and June 30 of a particular year or, in the case of ungraded students with disabilities, reached their seventeenth birthday during that year. The cohort consists of students who fit the definition above as of June 30 of the reporting year.

**Growth:** The change in an individual student's performance on state assessments as measured between two points in time.

**Growth Index:** A number that indicates the growth made by a school based on an averaging of multiple years and subjects for MGPs.

**Home Language Questionnaire (HLQ):** A diagnostic screening instrument used to identify newly enrolling students' native/home language exposure, in order to determine which students are possibly ELLs/MLLs.

**Homeless Children and Youth:** Children who lack a fixed, regular, and adequate night-time residence including: children and youths who are sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; are living in motels, hotels, trailer parks, or camping grounds due to the lack of alternative adequate accommodations; are living in emergency or transitional shelters; are abandoned in hospitals; children and youths who are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings; and migratory children who qualify as homeless.

**Individual Evaluation for Teacher Certification:** Individuals who have not completed a NYS-approved teacher preparation program, but who believe that they have met the requirements for certification in a particular subject area through completion of necessary coursework, may submit an application for an individual evaluation of their credentials. Additional information about this process is available at:

<http://www.highered.nysed.gov/tcert/certificate/transeval.html>

**Individualized Education Program (IEP):** A written document, developed, reviewed, and revised in accordance with Commissioner's Regulation Section 200.4, which includes the components (e.g., the student's present levels of performance, strengths, needs and recommended special education services and testing accommodations) to be provided to meet the unique educational needs of a student with a disability.

**Induction:** A comprehensive and systemic approach to supporting early career educators (both teachers and principals). Such programs may include: mentorship from colleagues, professional learning tailored to the needs of beginning educators, support and communication with administrators, and time for planning and collaboration with other educators.

**Ineffective Teachers:** Teachers who received an overall evaluation rating of Ineffective in the prior school year.

**Inexperienced Teachers:** Teachers with fewer than three years of experience.

**Innovative Assessment Demonstration Authority:** Provision within ESSA that will allow states to pilot new assessment types in participating schools and districts. The authority will be granted to seven states in the initial three-year demonstration period.

**Integrated Intervention Team (IIT):** The Joint Intervention Team that conducts DTSDE school reviews. This team presently consists of a NYSED-supplied consultant who leads the review, a NYSED representative, a district representative, and, when available, a Special Education School Improvement Specialist (SEIS) and a member from the Regional Bilingual Education Resource Network.

**Joint Intervention Team:** The term used in State regulations to refer to the team conducting an onsite review of an identified school.

**Languages Other Than English (LOTE)/World Languages:** Languages other than English that are taught in NYS schools.

**Longitudinal Analysis:** A [research design](#) that involves repeated observations of the same variables (e.g., people), about which data are gathered for the same subjects repeatedly over long periods of time.

**Long-Term Goals:** The level of performance that each subgroup statewide and within a school is expected to demonstrate five years from now. The long-term goal is computed as a specified amount of reduction between the desired end goal and the statewide baseline performance.

**Memorandum of Understanding (MOU):** An agreement between two or more parties, documenting an agreement between the parties, reflecting an intended common set of actions, and outlining the responsibilities of each party under the agreement.

**MGP (Mean Growth Percentile):** A measure of a group of students academic growth compared to similar students.

**Migratory Children:** A child or youth who moved due to economic necessity in the preceding 36 months from one residence to another residence and from one school district to another school district either (1) as a migratory agricultural worker or a migratory fisher; or (2) with, or to join, a parent or spouse who is a migratory agricultural worker or a migratory fisher.

**Multilingual Literacy SIFE Screener (MLS):** The MLS is a statewide diagnostic tool created to determine the literacy levels of Students with Interrupted/Inconsistent Formal Education in their home language in order to provide or to design appropriate instruction.

**Multiple Measures:** The use of either different sources of measurement or of different types of measurement (e.g., multiple choice or constructed response/performance tasks) within a single assessment.

**My Brother's Keeper:** An initiative designed to implement strategies that will improve outcomes for boys and young men of color.

**Native Language Arts/Home Language Arts:** A course of language arts study in a student's native/home language.

**Native/Home Language Assessment:** An academic assessment that assesses students' knowledge and understanding of State academic content standards, conducted in a language other than English.

**Neglected and Delinquent Youth:** A neglected youth is any student served in a public or private residential facility, other than a foster home, that is operated for the care of children who have been committed to the institution or voluntarily placed in the institution under applicable State law, due to abandonment, neglect, or death of their parents or guardians. A delinquent youth is any student served in a public or private residential facility for the care of children who have been adjudicated to be delinquent or in need of supervision.

**New York State English as a Second Language Achievement Test (NYSESLAT):** An assessment designed to annually measure the English language proficiency of all ELLs/MLLs in grades K-12.

**New York State Identification Test for English Language Learners (NYSITELL):** An assessment that is administered once during the ELL/MLL identification process, or re-entry into the New York State school system after an absence of two or more years.

**N-Size:** The minimum number of results for students in a subgroup in order to hold a school accountability for the performance and participation of these students, chosen to ensure statistical validity and reliability while ensuring as many student results are captured and accounted for in the system. If a subgroup has fewer valid test scores of a continuously enrolled student than the n-size, the school is not held accountable for that subgroup's performance.

**NYSAA (New York State Alternate Assessment):** New York State assessment for students with the most significant cognitive disabilities.

**NYSTP (New York State Testing Program):** New York State assessments at the elementary/middle level in English language arts (ELA) and mathematics.

**Operational Testing:** The assessment that produces results for which students and schools are held accountable.

**Out-of-Field Teacher:** Teacher who does not hold certification in the content area for all of the courses that he or she teaches.

**Outside Educational Expert (OEE):** A consultant used in conjunction with the school improvement process. The state supplies an OEE to lead IIT school reviews.

**Participation Rate:** At the elementary/middle level, the percentage of students enrolled during the test administration period in a school or district who have taken an appropriate approved assessment (e.g., the Grades 3-8 Test or the NYSAA). At the secondary level, the percentage of students in 12th grade who have taken an appropriate approved assessment over their high school enrollment (e.g., a Regents Exam, an approved alternative to a Regents Exam, or the NYSAA). ESSA requires a participation rate of “not less than 95 percent of all students, and 95 percent of all students in each subgroup of students” for ELA and mathematics.

**Participatory Budgeting Process:** Participatory Budgeting is a term used to describe a process in which citizens can democratically determine how community funds are spent. This process has been adopted in municipalities across the world. For identified schools, the participatory budgeting process allows parents to directly decide how to spend some of the money available to the school. This process is intended to deepen parental engagement and strengthen school-family connections.

**Performance Index (PI):** A value that is assigned to an accountability group indicating how that group performed on a required State test (or approved alternative). PI formulas enable partial credit to be awarded to students who are partially proficient and extra credit to be awarded to students who show advanced proficiency.

**Performance level:** A performance level describes where a student is along the continuum of English language acquisition. The current NYSESLAT has five performance levels: Entering, Emerging, Transitioning, Expanding, and Commanding.

**Persistently Struggling School:** A term used to describe schools that have been in the most severe accountability status since the 2006-07 school year.

**PII (Personally Identifiable Information):** Information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.

**Principal Support Report:** The report districts will complete for the principal of each school that does not make gains after the first year of being identified. Districts will be required to identify any areas rated Developing or Ineffective on the principal’s annual evaluation, along with describing how the district will support that principal in the upcoming year.

**Proficiency:** Level of academic achievement as measured against learning standards.

**Progress:** The change in the Performance Index of a subgroup between the current year and the subgroup’s baseline performance.

**Progress Needs Assessment:** The needs assessment that identified schools can do in the years after their Comprehensive Needs Assessment. The Progress Needs Assessment consists of a Progress Review, a review of data including survey results, and a Resource Audit.

**Progress Review:** The annual review for identified schools that will occur in the years following the Comprehensive Diagnostic Needs Assessment. The review is intended to provide feedback and recommendations to schools regarding the quality of their improvement plan and the implementation of the plan to date.

**Public School Choice:** The process by which 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. Districts are permitted, but not required, to offer Public School Choice.

**Qualified Personnel:** Qualified personnel, for purposes of the Commissioner’s Regulations Part 154 ELL/MLL identification process, is defined as a Bilingual Education or ESOL teacher, or a teacher trained in cultural competency, language development and the needs of ELLs/MLLs.

**Receivership Program:** The program by which low-performing schools are managed by a school receiver. The 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.

**Recently-arrived ELL/MLL:** An ELL/MLL who has attended schools in the United States (not including Puerto Rico) for less than 12 months.

**Recognition Schools:** Schools that are high-performing or rapidly improving as determined by the Commissioner.

**Regents Diploma:** Diploma granted to all students who successfully complete all NYS credit and assessment requirement.

**Regional Bilingual Education Resource Network (RBERN):** Regional technical assistance support centers that work in partnership with NYSED to provide technical assistance and professional development to districts/schools to improve instructional practices and educational outcomes of ELLs/MLLs.

**Research-based Student Level Targets:** The performance that students are expected to achieve based on previous State data and expectations of language acquisition.

**Resource Audit:** A document completed by schools and districts that examines the effectiveness of professional development, along with how schools and districts use their time, space, and staff in relation to best practices.

**School Comprehensive Educational Plan (SCEP):** The annual School Improvement Plan.

**School Quality and Student Success:** Often referred to as the “5<sup>th</sup> indicator,” School Quality and Student Success (SQSS) is an indicator in addition to academic achievement, student growth, graduation rate, and progress in achieving English language proficiency that a State must include as part of its accountability and support system. This indicator must be the same for all schools within a State, except the indicator may be different at the elementary/middle level and the secondary level. States may include more than one indicator in its SQSS.

**Schoolwide Improvement Strategy:** All CSI schools will be required to implement a school-wide improvement strategy by Year 2. NYSED will provide professional development on select school-wide improvement strategies. Schools have the flexibility to identify strategies different from those supported by NYSED through professional development.

**Seal of Biliteracy (NYSSB):** An award given by a school or district in recognition of students who have studied and attained proficiency in foreign language courses.

**Selected-Response:** Questions on an assessment requiring students to choose from a number of provided potential answers (e.g., “multiple choice”) to complete.

**SIFE low-literacy curriculum:** This curriculum is intended to meet the needs of SIFE who are at 3rd grade level or below in home language literacy in secondary (middle and high) school. The curriculum offers a rigorous and accelerated

framework aligned to the Common Core Learning Standards (CCLS) to provide students with the content, language, and literacy necessary for achieving academic progress and success.

**Stability:** Stability is a property of an individual measuring instrument regarding its variation over time.

**Struggling School:** A term used to describe schools in the Receivership Program that have not been in the most severe accountability status since 2006-07.

**Student Growth Percentiles:** This statistic characterizes the student's current year score relative to other students with similar prior test score histories.

**Students with Inconsistent/Interrupted Formal Education (SIFE):** ELLs/MLLs who have attended schools in the United States for less than twelve months and who, upon initial enrollment in schools, are two or more years below grade level in literacy in their home language and/or two or more years below grade level in mathematics due to inconsistent or interrupted schooling prior to arrival in the United States.

**Subgroups:** Aggregated data for certain groups are used to make assessment accountability determinations. These groups are All Students, American Indian or Alaska Native Students, Black or African American Students, Hispanic or Latino Students, Asian or Native Hawaiian/Other Pacific Islander Students, White Students, Multiracial Students, English Language Learners, Students with Disabilities, and Economically Disadvantaged Students.

**Target Districts:** Districts are identified for targeted support if there are one or more Comprehensive Support and Improvement (CSI) or Targeted Support and Improvement Schools (TSI) schools in the district; or the district is performing at the level that would have caused a school to be identified for CSI or TSI.

**Target Growth:** The English language proficiency gains that students are expected to achieve.

**Targeted Support and Improvement Schools:** Schools identified every three years as being the lowest-performing five% of schools for the following subgroups: English Language Learners/Multilingual Learners, economically disadvantaged, racial/ethnic subgroups, and students with disabilities. All racial/ethnic subgroups are treated as a single group, so more or less than five% of any group could be identified.

**Tested:** Students with a valid test score on an assessment used for accountability purposes (e.g., NYSTP, NYSAA).

**Tier II and Tier III indicators:** Data collected by the State for all schools that is not used to determine school accountability status. Tier II consists of State-Reported Indicators (such as Teacher Absenteeism or student suspension rates) and Tier III consists of State-Supported Indicators (such as School Climate Survey data).

**Transition matrix:** The model that was chosen to measure ELL progress in English Language Proficiency.

**Translated Content Assessment:** This refers to the translated version of a test that measures subjects such as English Language Arts, Mathematics, Science, etc.

**TSI School:** Abbreviation for Targeted Support and Improvement School, schools that have been identified for the low-performance of a particular subgroup of students, such as low-income students.

**Waiver:** Agreement with USED that exempts New York from certain provisions of ESSA. New York held waivers under ESEA Flexibility from the 2012-13 school year through 2015-16, after which all such waivers were nullified by ESSA.

**Weighted Scores:** A weighted score is merely the average of a set of scores, where each set carries a different amount of importance depending on the population size for each score.

## Appendix

**Table 6: Elementary/Middle End Goals, Long-Term Goals and Measures of Interim Progress**

Measure	Group Name	2015-16 Base-line	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 Target	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 7: High School End Goals, Long-Term Goals and Measures of Interim Progress**

Measure	Group Name	2015-16 Base-line	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 Target	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

**Table 8: High School End Goals, Long-Term Goals, and Measures of Interim Progress Targets**

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 Target	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

# ATTACHMENT II

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  
Issued: March 2017

5/7/17 5:00 PM DRAFT

OMB Number: 1810-0576  
Expiration Date: September 30, 2017

**Paperwork Burden Statement** 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. The valid OMB control number for this information collection is 1810-0576. The time required to complete this information collection is estimated to average 249 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this collection, please write to: U.S. Department of Education, Washington, DC 20202-4537. If you have comments or concerns regarding the status of your individual submission of this collection, write directly to: Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-3118.

## Introduction

Section 8302 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA),<sup>1</sup> 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.

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<sup>1</sup> 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 (e.g., [OSS.Alabama@ed.gov](mailto:OSS.Alabama@ed.gov)).

## Cover Page

<b>Contact Information and Signatures</b>	
<b>SEA Contact</b> (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>	
<b>Authorized SEA Representative (Printed Name)</b>	Telephone:
<b>Signature of Authorized SEA Representative</b>	Date:
<b>Governor (Printed Name)</b>	Date SEA provided plan to the Governor under ESEA section 8540:
<b>Signature of Governor</b>	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 Initiative<sup>2</sup> that include ensuring that all students:



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<sup>2</sup> 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.)<sup>3</sup>**
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**

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<sup>3</sup> 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.<sup>4</sup>**

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,

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<sup>4</sup> 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
<b>Racial/Ethnic Groups Category</b>					
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
<b>Disability Status Category</b>					
General-Education Students	259	—	—	—	—
Students with Disabilities	3	—	—	—	—
<b>English Language Learner Status Category</b>					
Non-English Language Learners	260	—	—	—	—
English Language Learners	4	—	—	—	—
<b>Economically Disadvantaged Status Category</b>					
Not Economically Disadvantaged	259	12	36	158	53
Economically Disadvantaged	5	1	2	1	1
<b>Gender Category</b>					
Female	180	7	19	81	25
Male	184	6	19	78	29
<b>Migrant Status Category</b>					
Not Migrant	260	—	—	—	—
Migrant	4	—	—	—	—
<b>Foster Care Status Category</b>					
Not Foster	262	—	—	—	—
Foster	2	—	—	—	—
<b>Homeless Status Category</b>					
Not Homeless	263	—	—	—	—
Homeless	1	—	—	—	—
<b>Status as a Child with a Parent on Active Duty in the Armed Forces Category</b>					
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:

<b>Group</b>	<b>Baseline 2015-16</b>	<b>2021-22 Goal</b>	<b>End Goal</b>
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:

<b>Group</b>	<b>Baseline 2015-16</b>	<b>2021-22 Goal</b>	<b>End Goal</b>
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:

<b>Group</b>	<b>Baseline 2015-16</b>	<b>2021-22 Goal</b>	<b>End Goal</b>
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:

<b>Group</b>	<b>Baseline 2015-16</b>	<b>2021-22 Goal</b>	<b>End Goal</b>
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**

<b>Initial ELP</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
<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 17<sup>th</sup> 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 follows<sup>5</sup>:

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

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<sup>5</sup> 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-Tech<sup>6</sup> or dual high school college program<sup>7</sup> 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

<sup>6</sup> [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.

<sup>7</sup> 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.<sup>8</sup> 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

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<sup>8</sup> 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](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 200<sup>9</sup> 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 cohort<sup>10</sup>:

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

<sup>9</sup> 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.

<sup>10</sup> 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
<b>Opportunity to Learn Indicators</b>	
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.
<b>Middle School, High School, and Postsecondary Success</b>	
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. <sup>i</sup>
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 <sup>nd</sup> or 3 <sup>rd</sup> year of college
<b>Teacher/Parent Engagement</b>	
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.

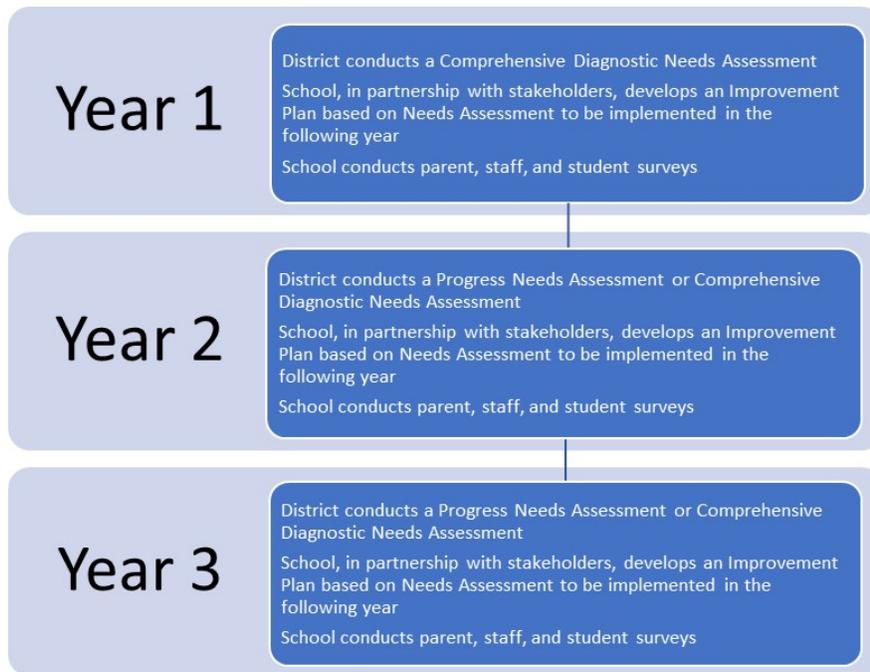
Often, the schools will best benefit from a combination of these supports, which is why the State sees support and technical assistance as being closely linked to oversight and intervention.

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.”

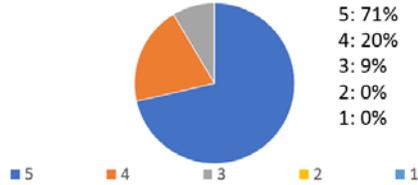
In addition to the survey results, principals from across the State have provided positive feedback about the process.

- *“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*

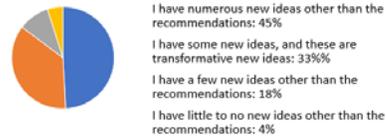
71% of Principals gave the highest rating when asked if they can use the recommendations to advance the school

*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?*



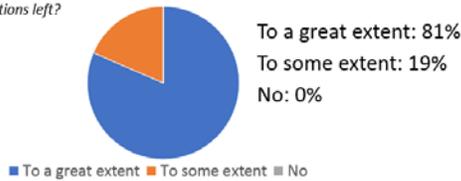
78% of principals describe the ideas beyond the recommendations that they have as a result of the review as “numerous” or “transformative.”

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



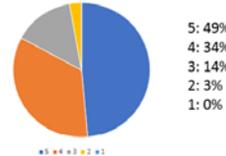
More than 81% of principals say their input has been taken into consideration “to a great extent.”

*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.

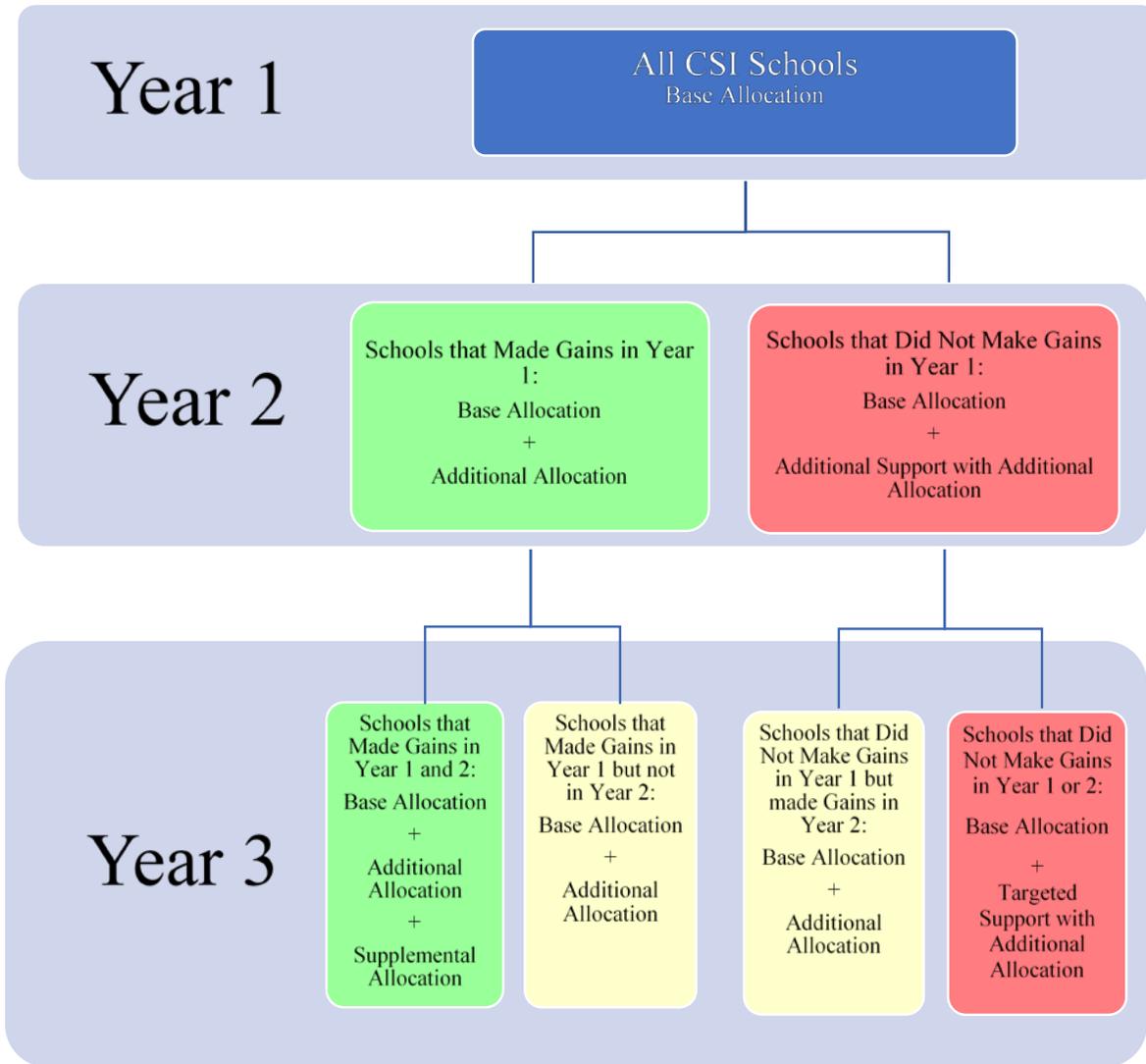
New York State also has found that those receiving school improvement funds need flexibility. With the focus shifting toward ensuring a return on investment, schools and districts need to be able to amend their budgets so that schools and districts can revise their approach when gains are not being made. 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.<sup>11</sup>**

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<sup>11</sup> 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:

<b>Key Term</b>	<b>Statewide Definition</b>
Ineffective teacher	Teacher who receives an Ineffective rating on his/her overall composite rating <sup>12</sup>
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](http://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.

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<sup>12</sup> 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 transition 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 <b>ineffective</b> teacher	Differences between rates	Rate at which students are taught by an <b>out-of-field</b> teacher	Differences between rates	Rate at which students are taught by an <b>inexperienced</b> teacher	Differences between rates
<b>Low-income students</b> 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%
<b>Non-low-income students</b> 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%	
<b>Minority students</b> 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.<sup>13</sup> Trauma can affect school performance and learning and cause

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<sup>13</sup> 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.<sup>14</sup>

### **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.<sup>15</sup> 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

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

<sup>15</sup> 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.<sup>16</sup> 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

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<sup>16</sup> 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.<sup>17</sup> 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

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<sup>17</sup> 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.<sup>18</sup>

### **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.

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<sup>18</sup> *Public Schools of North Carolina State Board of Education | Department of Public Instruction (date) Transition Planning for 21<sup>st</sup> 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.<sup>19</sup>

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.<sup>20</sup> 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 7<sup>th</sup> to 12<sup>th</sup> graders who are either economically disadvantaged, or African American, Hispanic/Latino,

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<sup>19</sup> 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/>

<sup>20</sup> 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.<sup>21,22</sup> 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.

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

<sup>22</sup> 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:

<b><i>Goal Area: English Language Arts</i></b>	
<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.<sup>23</sup></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>

<sup>23</sup> 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>
<b>Measurable Program Outcome</b>	<b><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></b>

**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 waiver<sup>24</sup></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>

<sup>24</sup> 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>

<b>Goal Area: Graduation</b>	
<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%. <sup>25</sup></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>

<sup>25</sup> 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>
<b><i>Measurable Program Outcome</i></b>	<b><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></b>

<b><i>Goal Area: Out-of-School Youth (OSY)</i></b>	
<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
<b><u>We are concerned</u> that migrant students lack the foundational skills and learning strategies necessary to meet Common Core Learning Standards.</b>		
1A (3)	Support local curricula and implement instructional strategies, in order to ensure that our students have foundational skills.	<b>Required</b>
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>	<b>Required</b>
<b><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.</b>		
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.	<b>Suggested</b>
2A (3)	Provide annual training to migrant educators and families on opportunities and resources for early childhood programs and services.	<b>Required</b>
<b><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.</b>		
3A (1)	Provide training to migrant educators on strategies to promote and support language acquisition, literacy development, and content learning.	<b>Required</b>

	<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.	<b>Required</b>

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

#	Solution Statement	Required or Suggested
<p><b><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.</b></p>		
1B (1)	Staff will provide opportunities for students to engage in high-order, Common Core-aligned, thinking and application activities.	<b>Required</b>
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).	<b>Required</b>
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>	<b>Required</b>
<p><b><u>We are concerned</u> that migrant adolescents lack exposure to non-traditional credit accrual, as well as, college, career and vocational opportunities.</b></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.	<b>Required</b>
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).	<b>Required</b>
<p><b><u>We are concerned</u> that migrant students face cultural, linguistic, and immigration status barriers and therefore experience challenging social and emotional issues.</b></p>		
3B (1)	Staff will work with each student to identify a caring adult in their lives to support their social and emotional development.	<b>Required</b>

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

#	Solution Statement	Required or Suggested
<b><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.</b>		
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.).	<b>Required</b>
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.	<b>Required</b>
<b><u>We are concerned</u> that OSY are at high risk of being exploited.</b>		
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.	<b>Required</b>
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.	<b>Required</b>
<b><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.</b>		
3-C (1)	Provide comprehensive professional development to METS staff such as: <ul style="list-style-type: none"> <li>• Networking with Community Resources (Health, Legal, Emergency Assistance, etc.) and how to access needed services</li> <li>• Migrant lifestyle, immigration policy, workers’ rights, history of agricultural labor, discrimination, human trafficking and sexual exploitation, human rights, cultural competencies, etc.</li> <li>• Case management skills, prioritizing needs, confidentiality, professionalism, maintaining healthy boundaries, etc.</li> <li>• Training on current topics/issues affecting farmworkers (bed bugs, Dream Act, DACA, Comprehensive Immigration Reform, Affordable Care Act, Farmworker Fair Labor Practices Act, etc.)</li> </ul>	<b>Required</b>
3-C (2)	Assign a bilingual advocate to each OSY to provide ongoing support and outreach.	<b>Suggested</b>
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.	<b>Suggested</b>

## **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<sup>26,27</sup>
  - 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:<sup>28</sup>
  - 30% of facilities will administer post-testing within one year
  - 60% of facilities will administer post-testing within three years

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<sup>26</sup> Length of stay and number of students served at the facility impact the projections.

<sup>27</sup> Pending “Raise the Age” legislation will have implications for this objective.

<sup>28</sup> 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:

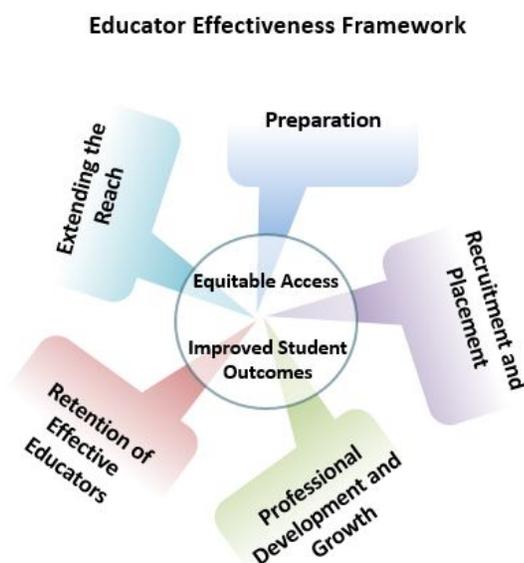
- Well-designed learning standards and aligned curricula that are measured by meaningful assessments
- Core instruction (standards, curricula, and assessments) delivered by well-prepared, highly effective, racially/ethnically diverse teachers and school leaders who have received high quality, differentiated 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 leaders<sup>29</sup>:

- 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 experience<sup>30</sup> 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.

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<sup>29</sup> 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.

<sup>30</sup> 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 force<sup>31</sup> 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.

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<sup>31</sup> 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 requirements<sup>32</sup>:

- 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);<sup>33</sup> 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

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<sup>32</sup> 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.

<sup>33</sup> 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 citizen<sup>34</sup>.

### **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*

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<sup>34</sup> 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](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 citizen<sup>35</sup>.

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

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<sup>35</sup> 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 standards<sup>36</sup>. 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

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<sup>36</sup> 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 SIFEs' 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.<sup>37</sup>

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/>).

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<sup>37</sup> 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: 21<sup>st</sup> Century Community Learning Centers**

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

New York State views 21<sup>st</sup>-Century Community Learning Centers (21<sup>st</sup> 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 21<sup>st</sup> 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 21<sup>st</sup> 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.<sup>38</sup> 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

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<sup>38</sup> 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 21<sup>st</sup> 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 21<sup>st</sup> CCLC Evaluation Manual.<sup>39</sup> 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 30<sup>th</sup> 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.**

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<sup>39</sup> The 21<sup>st</sup> CCLC Evaluation Manual is available at: [www.p12.nysed.gov/sss/21stCCLC/NYSEvaluationManual.pdf](http://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.**

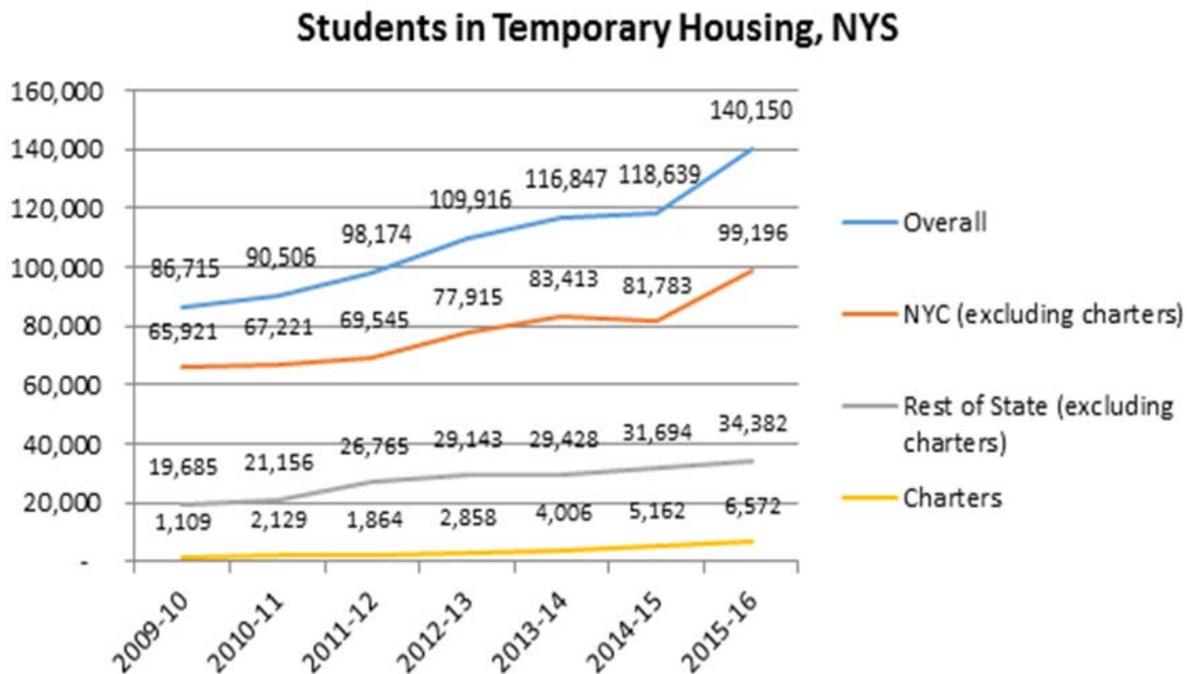
The Department will, through the RLIS Coordinator and other department resources, provide technical assistance to LEAs throughout the grant process, as needed. Technical assistance topics may include navigating the grant application and budget process, allowability of costs under the program, and assistance 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](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](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](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](http://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](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](http://www.nysteachs.org/media/INF_Appeal_Sample_Evidence.pdf)), and the Sample District Dispute Resolution Policy ([www.nysteachs.org/media/INF\\_SED\\_SampleLEADisputeResolution.doc](http://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:**

- 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](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](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](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](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](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](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](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

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<sup>i</sup> 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>.

# ATTACHMENT III



engage<sup>ny</sup>

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Our Students. Their Moment.

## **Overview of New York's Draft Every Student Succeeds Act (ESSA) Plan**

### **Board of Regents Briefing**

May 8, 2017

# Commissioner's Introduction

# Work Thus Far

- ✓ Engaged in ESSA professional development with national experts.
- ✓ Met regularly with Title I Committee of Practitioners.
- ✓ Established an ESSA Think Tank.
- ✓ Engaged with the Center for Assessment, Learning Policy Institute, EdFirst and Council of Chief State School Officers (CCSSO).

# Work Thus Far

- ✓ Developed draft Characteristics of Highly Effective Schools, Guiding Principles, and High Concept Ideas.
- ✓ Posted an online survey to gather stakeholders' preferences on potential indicators of school quality and/or 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 that more than 4,000 students, parents, teachers, school and district leaders, school board members, and other stakeholders attended.
- ✓ Opened an online survey to solicit additional individual feedback from meeting participants.
- ✓ Still to come....Public Hearings on the Draft ESSA Plan

# ESSA State Plan Timeline – April 2017 – June 2017



## Timeline for Submission of ESSA Plan to USDE in September 2017

Activity	Date
May 2017 Board of Regents Meeting – Staff will present draft plan	May 8, 2017
The Department will release plan and accept public comment on the draft plan.	May 9 – June 16, 2017
Public Hearings on Draft Plan.	May 11 – June 16, 2017
Submission of ESSA Assurances to USDE	June 2, 2017
July 2017 Board of Regents Meeting – Staff will present any changes to the draft plan based on public comment, and request permission to send revised draft state plan to Governor.	July 17 - 18, 2017
Application with Governor for 30 days.	July 19 – August 18, 2017
September 2017 Board of Regents Meeting – Staff will seek approval to submit final state plan to USDE.	September 11 - 12, 2017
Deadline to submit ESSA State Plan to USDE.	September 18, 2017

# SED Section Leads

## **Accountability Measurements & Methodologies**

- Ira Schwartz, Assistant Commissioner, Office of Accountability

## **Challenging Academic Standards & Assessments**

- Carolyn Bulson, Supervisor in Educational Testing
- Ross Garmil, Associate in Educational Planning and Evaluation

## **Supporting All Students**

- Maxine Meadows-Shuford, Director, Title I School and Community Services
- Jason Harmon, Supervisor, Title I School and Community Services

## **Supporting English Language Learners/Multilingual Learners**

- Lissette Colon-Collins, Assistant Commissioner, Office of Bilingual Education and World Languages.
- Khin Mai Aung, Director of ELL Civil Rights and Policy

## **Supporting Excellent Educators**

- Alexander Trikalinos, Program Manager

## **Supports & Improvements for Schools**

- Stephen Earley, Director of School & District Review

## **Stakeholder Engagement**

- Lisa Long

## **Project Coordination**

- Alexandra Pressley

# Thank You to All of the Thought Partners in Our Work!

We are indebted to the thousands of students, parents, teachers and other educators, schools and district leaders, school board members and community members who attended more than 120 meetings to share their thoughts on the plan, and to many thousands more who completed surveys to provide feedback.

We would especially like to acknowledge:

- ESSA Think Tank members, who represented over 100 stakeholder organizations across the state
- Title I Committee of Practitioners
- District Superintendents and the Superintendents of the Big 5 school districts who hosted the Regional ESSA meetings across the state
- The many national experts, particularly Linda Darling-Hammond and Scott Marion, for their guidance in development of the draft plan.

# Vision, Mission, and Principles

# Board of Regents' Mission

***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 highly 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.***

# ESSA State Plan Development: Guiding Principles

- Provide access to a world-class curriculum aligned to state standards.
- Focus on reducing persistent achievement gaps.
- Support educator excellence and equity.
- Support efforts to improve the climate of all schools and support students' social-emotional well-being.
- Support student access to extra-curricular opportunities.

# ESSA State Plan Development: Guiding Principles

- Promote a relationship of trust, cultural responsiveness, and respect between schools and families.
- Build an accountability system that is based upon multiple measures aligned to measures of college, career, and citizenship readiness.
- Use performance measures that incentivize all public schools to move all students to higher levels of achievement and attainment.
- Support school improvement using a differentiated and flexible support system.

# ESSA Plan Theory of Action

If:

- ✓ We focus on what matters for student achievement and what effective schools do to enable achievement; and
- ✓ Schools, districts, and the state evaluate and develop plans to address needs and gaps; and
- ✓ Investments support school and educator capacity to implement these plans and best practices; and
- ✓ The state supports continuous evaluation and improvement, intervening with evidence-based approaches where needed;

Then substantial improvement in teaching and learning will occur and gaps in opportunity and achievement will be reduced.

# New York's Plan Pursues Equity By:

- Reporting **per-pupil spending**
- Reporting and addressing inequalities in access to **qualified teachers** and **resources** for low-performing schools
- Conducting **resource allocation reviews** in districts with many identified schools.
- Supporting districts to **reduce socio-economic & racial/ethnic segregation** in schools.

# New York's Plan Pursues Equity By:

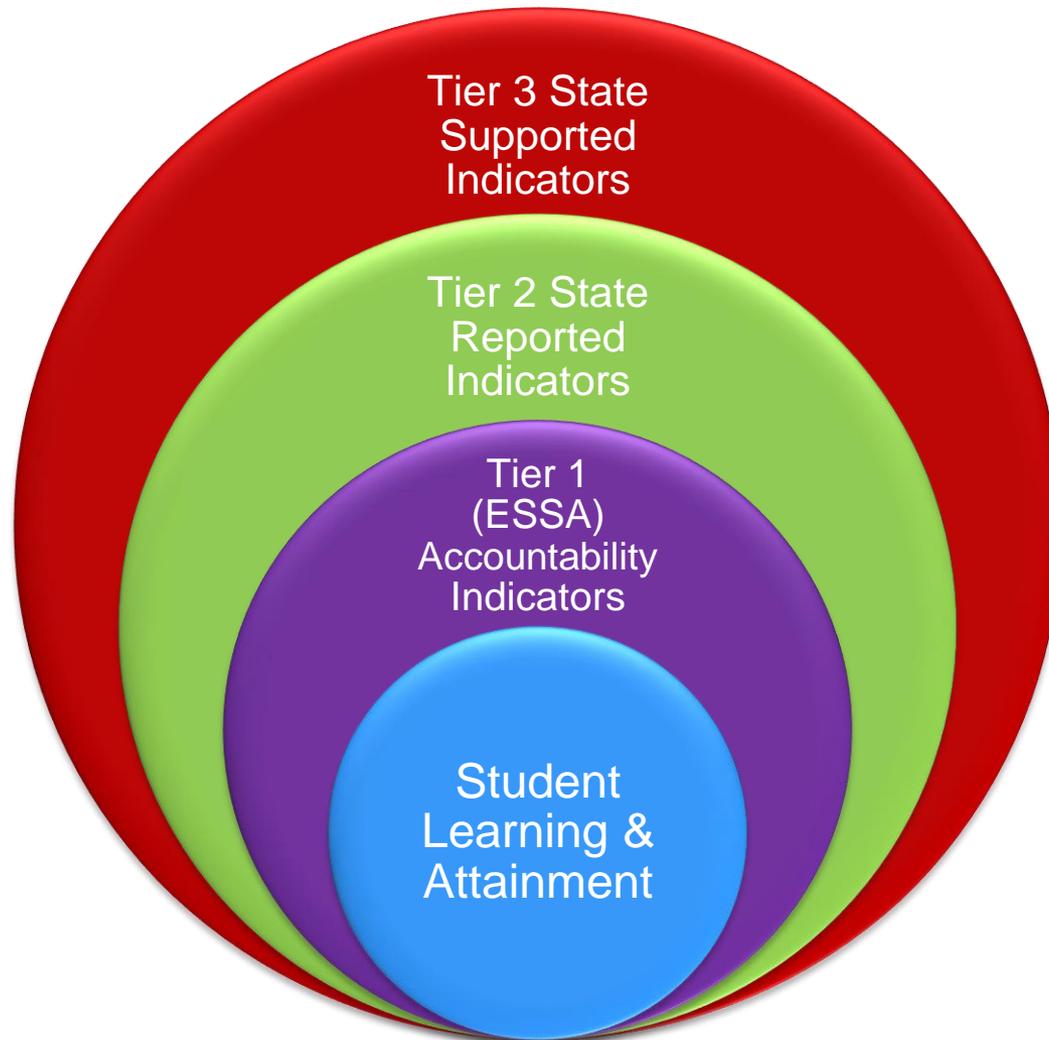
- Using **Universal Design for Learning** in assessments
- Improving the quality, equitable distribution, and diversity of the **workforce**
- Developing policies to **support homeless youth**, those in or exiting neglected or delinquent facilities
- Designing the **State accountability system** to help 1) reduce gaps in performance, 2) incentivize more equitable opportunities for high-quality coursework, 3) support students who need more than four years to meet graduation requirements.

# Comments? Questions?



# Tier 1 Indicators and Plan for Tier 2

# Overview of Proposed State Accountability & Reporting System



# Potential Tier I Indicators Used for Federal Accountability

(Based on 2017-18 School Year Results)

Greater Weight

## Academic Performance (Measured by Performance Index)

Elementary/Middle and High School ELA & Math  
Elementary/Middle and High School Science (performance-based assessment)  
High School Social Studies (emphasis on civics & democracy)

## English Language Proficiency Gains

## Growth and Progress

Individual student growth (Grade 4-8 ELA and math)  
School Progress:  
-- ELA and Math (separate measure)  
-- Science, Social Studies; Grad Rates; Absenteeism; College, Career and Civic Readiness (included as part of measure)

## Graduation Rates – 4, 5, 6 year (equally weighted)

## Chronic Absenteeism

## College, Career, & Civic Readiness

(Diploma type + college and career coursework, industry credentials, biliteracy, civic engagement)

# Potential Tier II Indicators

## State-Reported: Used for Diagnosis and Improvement (Some could move to Tier I, when ready, if appropriate)

### Opportunity to Learn Indicators:

Curriculum access (STEM, arts, music, PE, social studies, early learning)  
Resource access (\$, qualified & experienced teachers, staffing ratios, etc.)  
Teacher turnover / attendance  
Safe, adequate, clean facilities

School safety (Incidence rates; also sense of safety when surveys are available)

Teacher Learning Opportunities (e.g., access to professional development)

High school readiness indicator / Secondary school on-track indicator

Suspension rates (out of school)

Student Attendance

# Potential Tier III Indicators (State-Supported Measures/Tools that LEAs can Use. Some could become Tier 1 or 2 Indicators)

School Climate Surveys (student, teacher, parent) – pilots currently underway – When ready, could become Tier 1 or 2 indicator

Measures of Student Integration - The extent to which students of different groups (by race/ethnicity, SES, EL status, and students with disabilities) are in schools and classrooms together relative to their presence in the district as a whole.

Measures of teaching conditions, PD access & quality

Measures of parent / community involvement & engagement

Performance assessment tools (tasks, rubrics)

# Challenging Academic Standards and Assessments – Big Picture

## Challenging Academic Standards

- New York's Next Generation English Language Arts and Mathematics Learning Standards revised with educators
- Next Generation Science Standards adopted, effective 2017

## Aligned Assessments

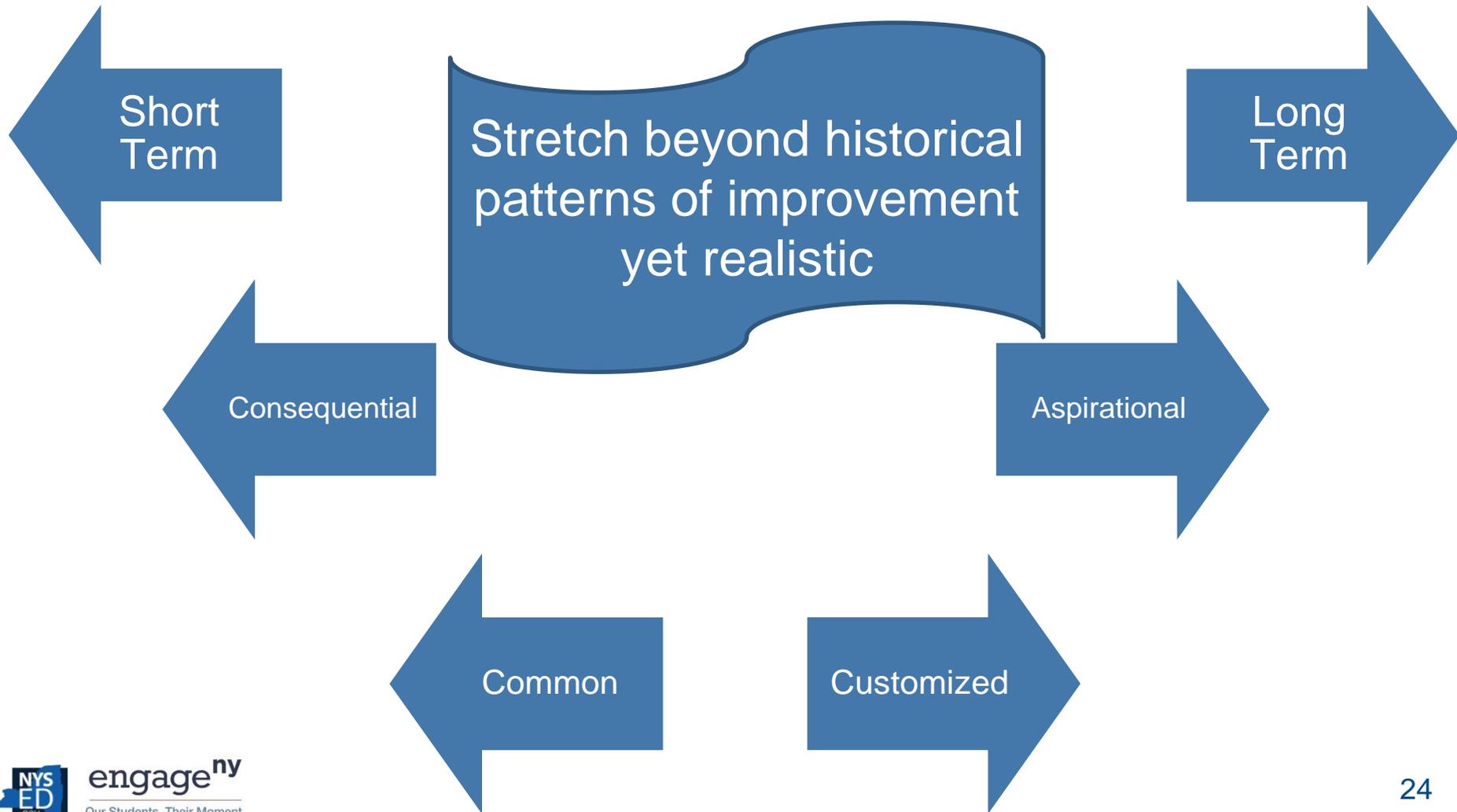
- New standards will guide Next Generation Assessments
- Current/future test items developed & reviewed by teachers
- Offered in multiple languages representing 85% of ELLs
- Goals include:
  - accurate information, including for ELL/MLL students
  - reduced testing time
  - new approaches; applying for innovative assessment pilot

# Comments? Questions?

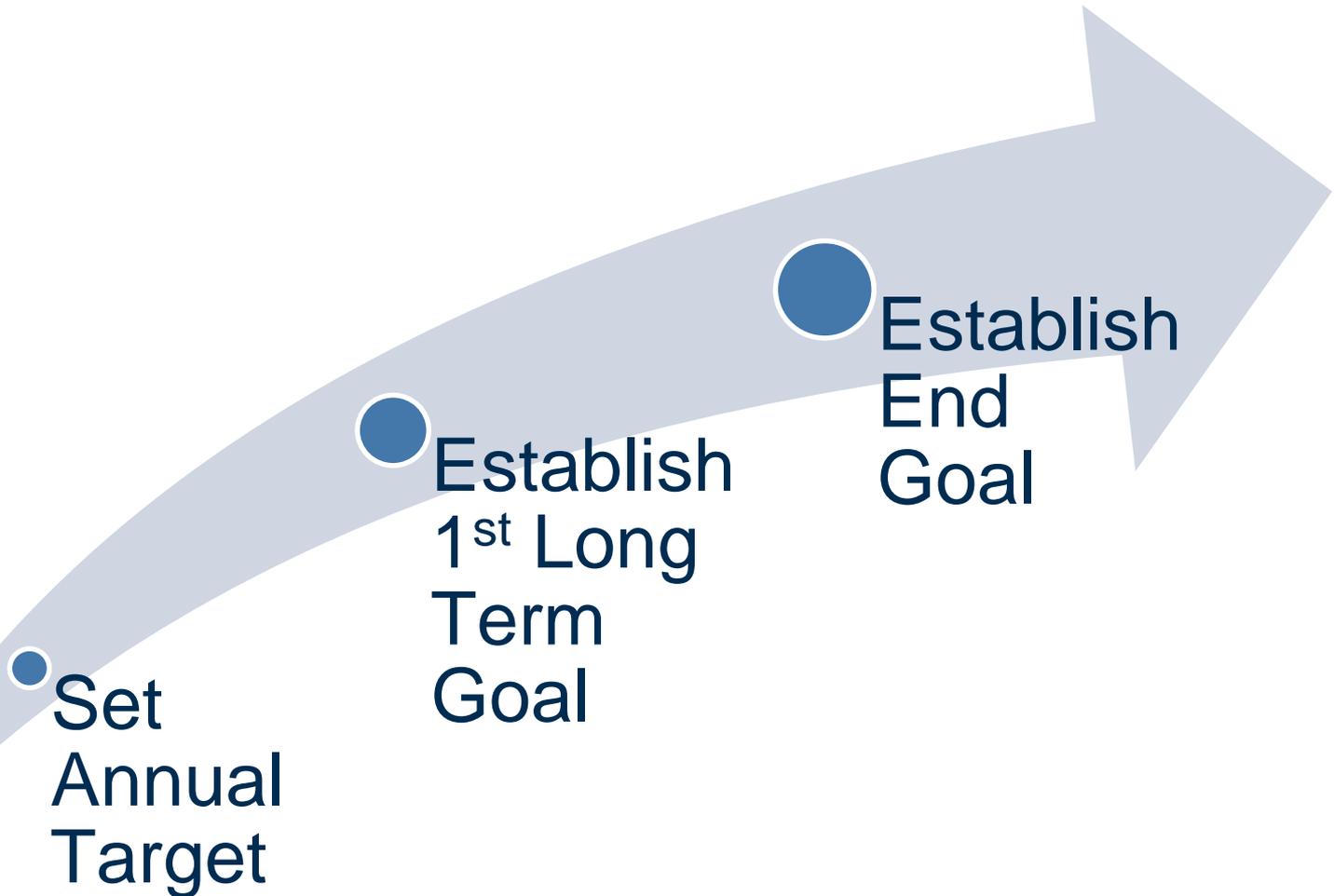


**Methods for  
Establishing Goals  
and the SED  
Recommended  
Approach**

# Tradeoffs When Setting Goals



# Goal Setting Process



# Long Term Goals & Measures of Interim Progress (MIP)

Calculated for

- the whole state
- each group

Calculate the long-term goal for each group

Based on long term goals and gap closing target

Calculate MIP for each group

Repeat long-term calculation each year

Allows long-term goals to reflect progress

# Goals for Achievement

Student Achievement Level	Points Earned
1	0
2	100
3	200
4	250



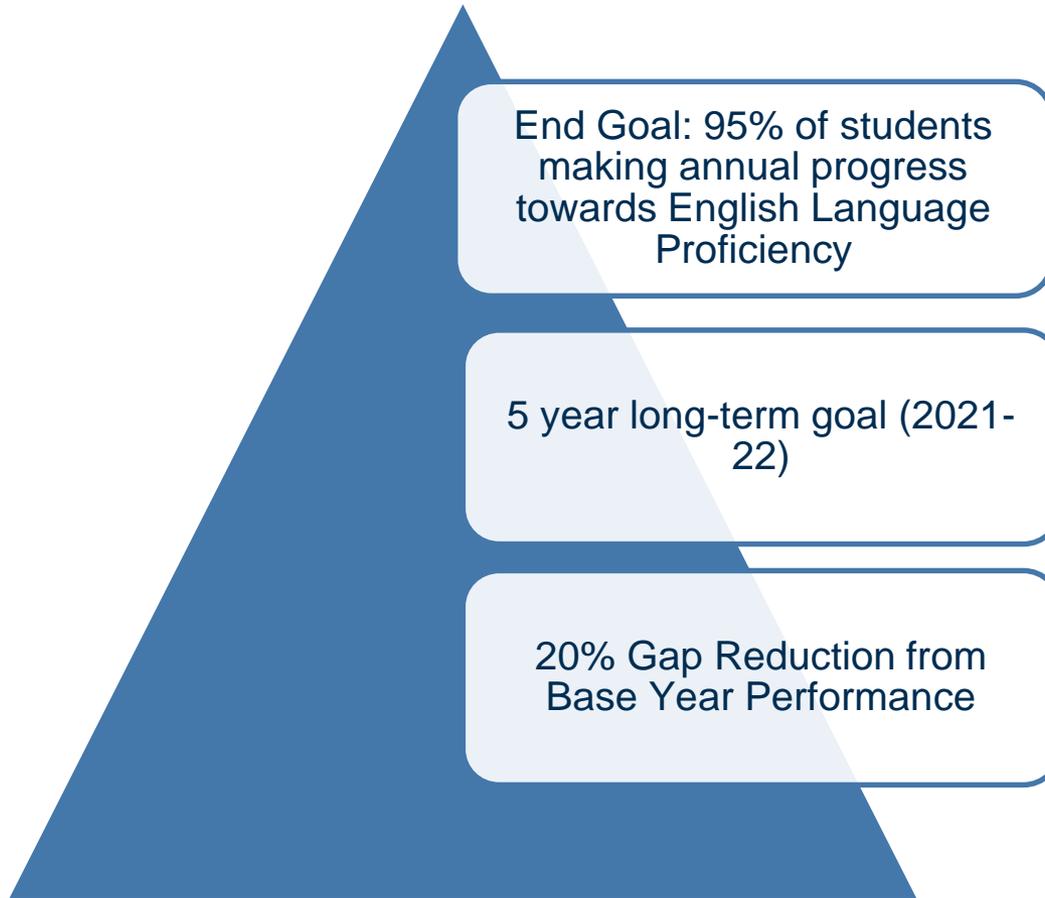
# Graduation Rate

20%  
toward 5  
year goal

5 years  
(2021-  
2022)

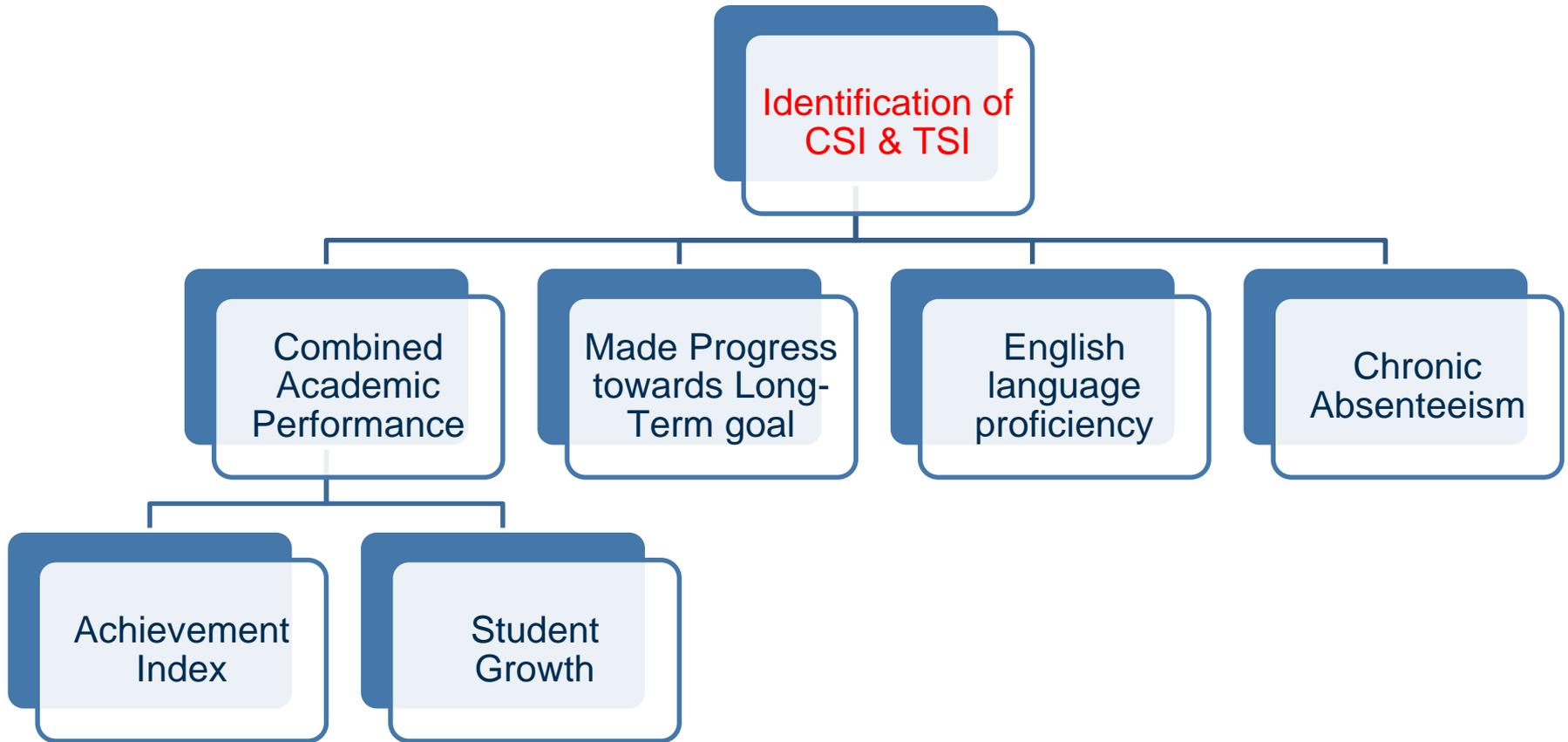
95% 4-yr  
grad rate

# English Language Proficiency

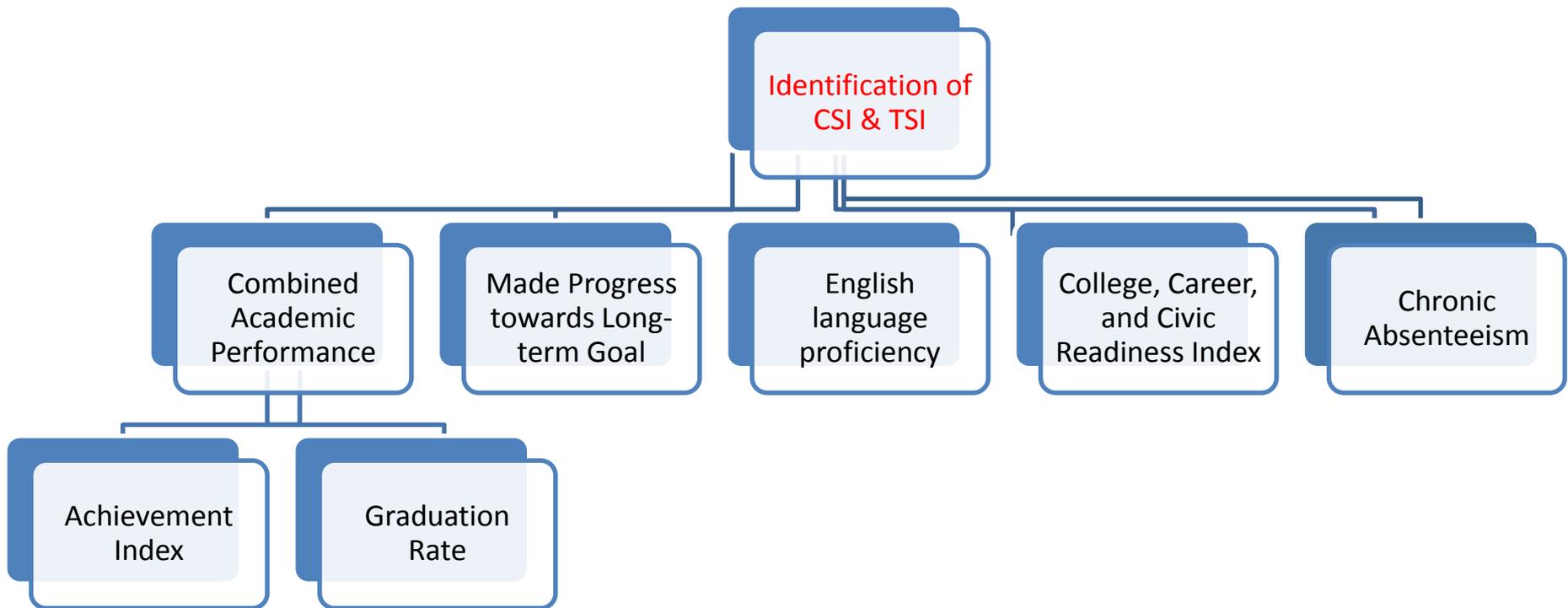


**Establishing  
Indicator  
Performance Levels**

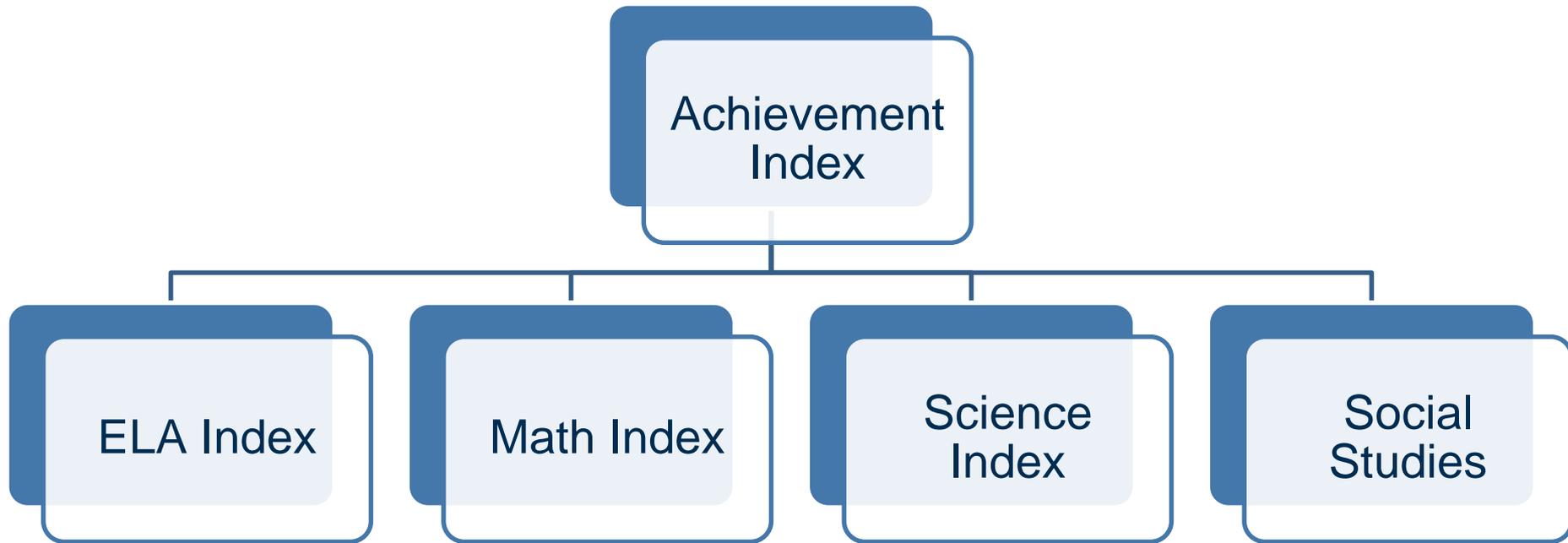
# Proposed Indicators: Elementary/Middle School



# Proposed Indicators: High School



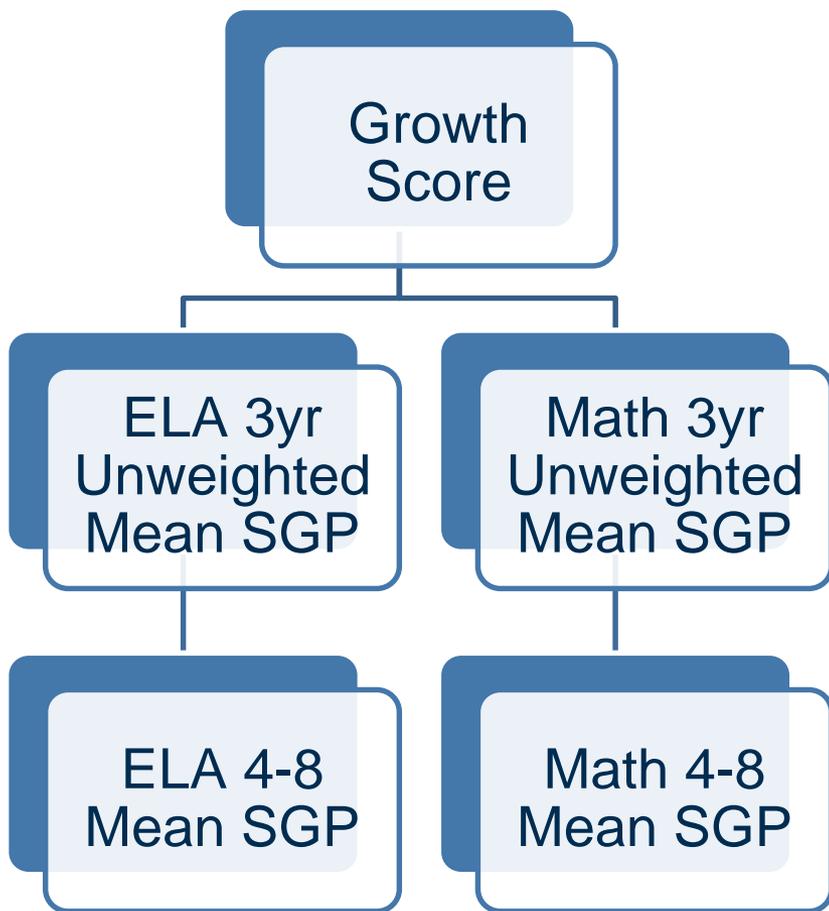
# Achievement



# Achievement

School Average Rating on Achievement Index	School/Subgroup Achievement Level
10th Percentile or Less	1
10.1 to 50th Percentile	2
50.1 to 75th Percentile	3
Greater than 75th Percentile	4

# Growth

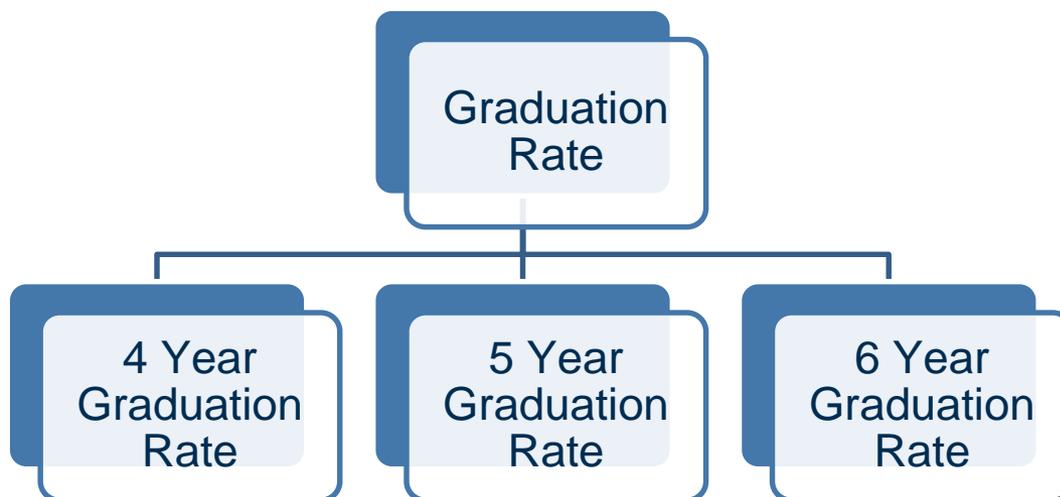


Rank on 3 Year SGP	Group Growth Level
10% or Less	1
10.1 to 50%	2
50.1 to 75%	3
Greater than 75%	4

# Combining “status” and “progress”

- For all indicators other than achievement and growth, we establish the performance level by looking at the current performance against state goals (“status”) and the movement against measures of interim progress (progress), also known as “MIPs”
- Further, for those schools/subgroups that are far behind, we propose a “safe harbor” provision where they will be rewarded for substantial progress

# Graduation Rate



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

# Graduation Rate

- **End Goal:** 95% of students graduate from high school
- **Long-Term Goal:** Gap between aspirational goal and current performance is reduced by 20% over next five years
  - Based on State Data
  - Based on Group Data
- **Measures of Interim Progress:** Reduce the gap by 4% over the baseline each year (i.e., not 4 percentage points)
  - Based on State Data
  - Based on Group Data

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

# English Language Proficiency

Initial ELP	Year 2	Year 3	Year 4	Year 5
Entering	1.25	1	1	0.75
Emerging	1.25	1	0.75	-
Transitioning	1	1	-	-
Expanding	1	-	-	-

- **End Goal:** 95% of students make progress towards ELP
- **Long-Term Goal:** Gap reduced by 20% over next five years
- **Measures of Interim Progress:** Reduce the gap by 4% each year

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

# Other Indicators: Chronic Absenteeism, High School Success Index, and ELA and Math Progress towards standard

	Did Not Meet Standard	Met Long-Term Standard	Exceeded Long-Term Standard
Did not meet Target	1	3	3
Met lower Target	2	3	4
Met higher Target	3	4	4

# Chronic Absenteeism

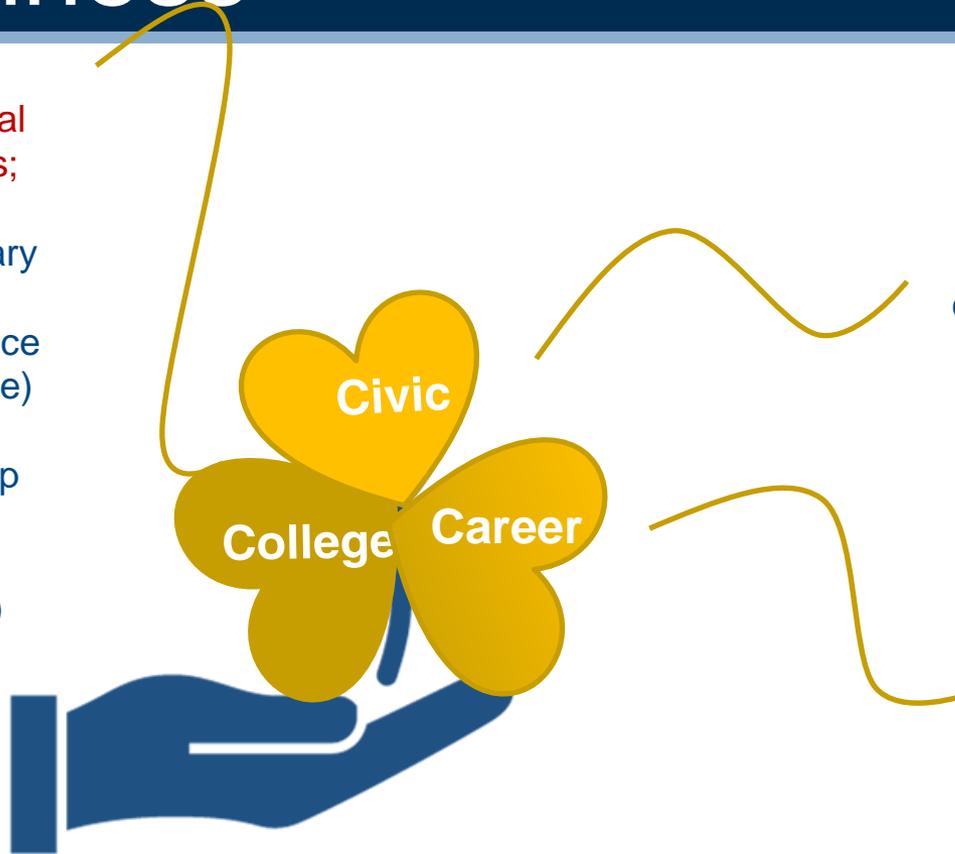
- Definition: % of students who are chronically absent
- Chronically absent: Excused and unexcused absences equaling 10% or more of enrolled school days

# College, Career & Civic Readiness

1. AP / IB/ Dual Credit courses;

2. Postsecondary enrollment/ persistence (once data are reliable)

3. College prep coursework completion (if data allow)



4. State Seal of Civic Engagement [via Community Service, civic engagement project, or other], if adopted by BOR

5. CTE Pathway completion;

6. Industry-recognized credentials

7. State Seal of Biliteracy

8. Successful Completion of Coursework for Graduation

9. High School Diploma Type (high school equivalency, Local, Regents, Regents w/ Advanced Designation)

Note: Indicators in Red will be used beginning with 2017-18 School Year. Indicators in Blue will be used when approved and ready.

# College, Career, and Civic Readiness Index

CCCR  
Index=  
Average  
Points  
Earned

Readiness Measure	Points
<ul style="list-style-type: none"> <li>• Regents Diploma with Advanced Designation</li> <li>• Regents Diploma with CTE Endorsement</li> <li>• Regents Diploma with Seal of Biliteracy</li> <li>• Regents Diploma and score of 3 or higher on an AP exam</li> <li>• Regents Diploma and score of 4 or higher on IB exam</li> <li>• Regents Diploma and the issuance of college credit earned through a dual enrollment course from an accredited college or university</li> <li>• Regents Diploma and the passage of nationally certified CTE examination</li> </ul>	200
<ul style="list-style-type: none"> <li>▪ Regents Diploma and high school credit earned through participation in an AP, IB, or dual enrollment course</li> <li>▪ Regents Diploma with CDOS endorsement</li> </ul>	150
<ul style="list-style-type: none"> <li>▪ Regents or Local Diploma</li> </ul>	100
<ul style="list-style-type: none"> <li>▪ High School Equivalency Diploma</li> </ul>	50
<ul style="list-style-type: none"> <li>▪ No High School or High School Equivalency Diploma</li> </ul>	0

# Comments? Questions?



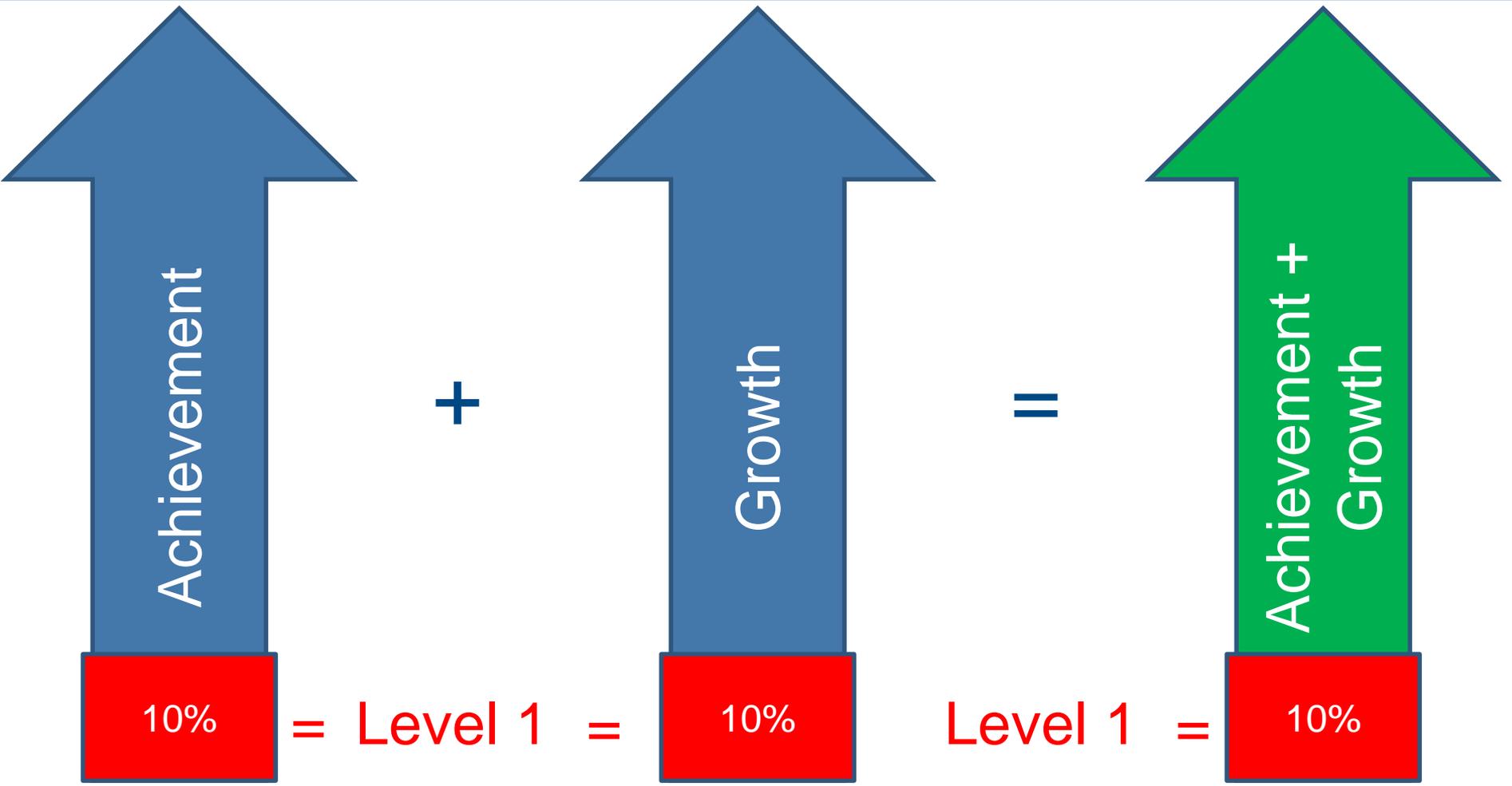
**Rules and Procedures  
for Identifying CSI  
Schools**

# Identification of Comprehensive Support and Intervention Schools (CSI)

Type of Schools	Description	Timeline for ID	Initial Year
Lowest Performing	Lowest 5% of Schools	At least once every 3 years	2018-2019
Low Graduation Rates	All public high schools in the state with graduation rates lower than 67%	At least once every 3 years	2018-2019
Chronically Low-Performing Subgroup(s)	Any school previously identified for targeted support for a low-performing subgroup and did not improve during the state-determined number of years	At least once every 3 years	State determined

# CSI Schools – Elementary and Middle

(Determined once every three years)

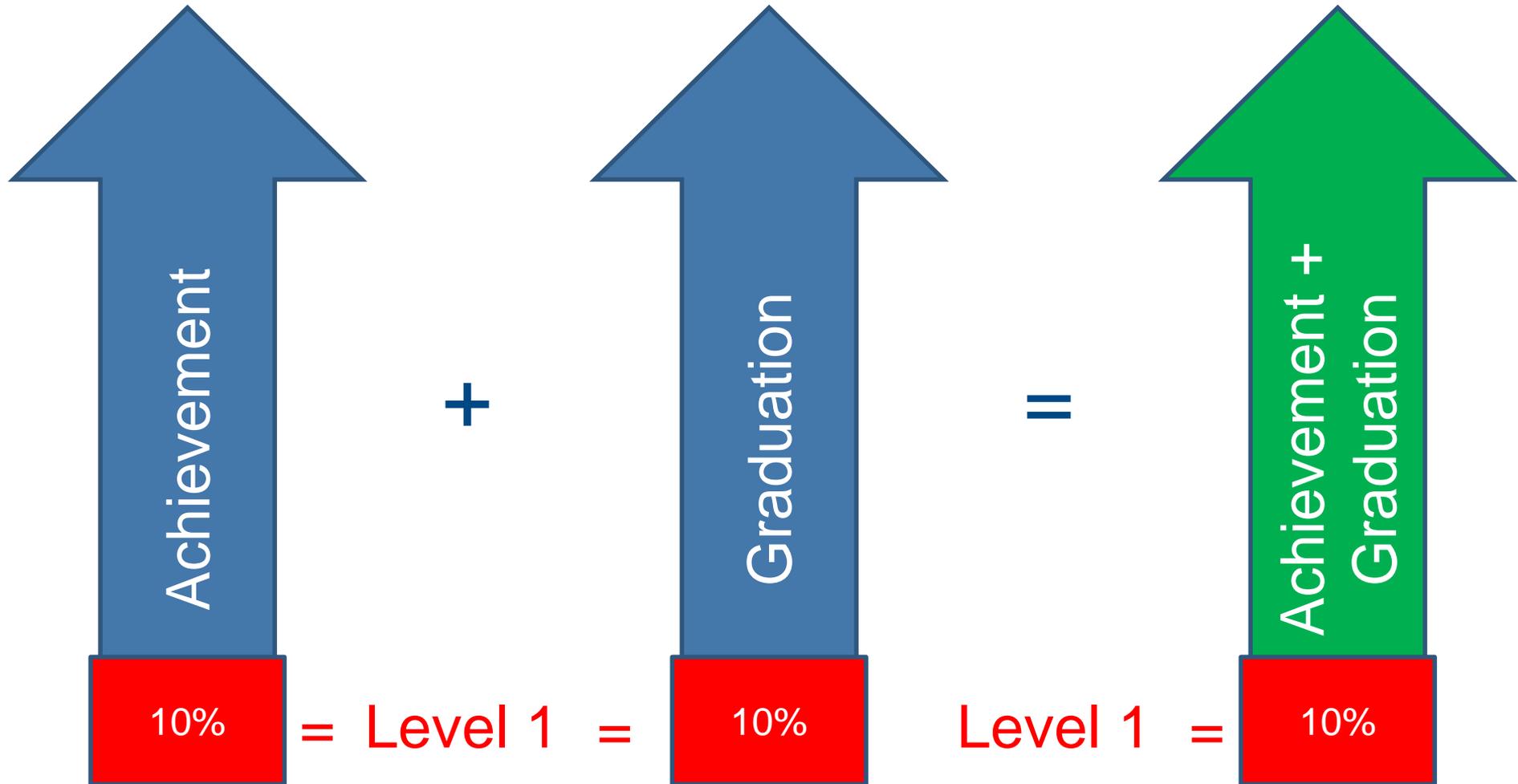


# Comprehensive Support and Intervention Schools – Proposed Identification Rules for Elementary/Middle Schools

Look at performance on the other indicators. High performance on the other indicators may result in the school not being identified.

	Achievement	Growth	Combined Achievement + Growth, lowest 10% of schools	Progress	ELP	Chronic Absenteeism
CSI	1	1	1	Automatically Identified		
CSI	1		1	Any other Level 1		
CSI		1	1	Two of three indicators = Level 1		

# CSI Schools – High Schools



# Comprehensive Support and Intervention Schools – Proposed Identification Rules for High Schools

Select all of the schools with a classification of 1 on the combined index and a classification of 1 on either Achievement or Graduation. Look at the other indicators. High performance on the other indicators may result in the school not being identified

	Achievement	Graduation	Combined	Progress	ELP	College, Career, and Civic Readiness Index	Chronic Absenteeism
CSI	1	1	1	Automatically Identified			
CSI		1	1	Any other Level 1			
CSI	1		1	Two of four indicators = Level 1			

**Rules and Procedures  
for Identifying  
Targeted Supporting  
and intervention (TSI)  
Schools**

# Targeted Support and Intervention Schools

Type of Schools	Description	Timeline for ID	Initial Year
Consistently Underperforming Subgroup(s)	Any school with one or more consistently underperforming subgroups	Annually	2019-2020
Low Performing Subgroup	Any school with a subgroup performing below the threshold for the all students group for the lowest 5%. These schools must receive additional targeted support under the law.	At least once every 3 years	2018-2019

# Proposed Methodology to Identify Targeted Support and Intervention Schools (TSI)

- Every three years, New York will identify the lowest-performing five percent of schools for the following subgroups: English Language Learners/Multilingual Learners, low-income, racial/ethnic subgroups, and students with disabilities.
- The same methodology used to identify schools for CSI will be applied on a subgroup level to identify TSI schools.
- Those Targeted schools whose subgroups do not improve after three years will be identified for additional Targeted support.

# Comments? Questions?



# Plan for Improving Schools

# Supports & Improvements for Schools – Overall Approach

- State's role: Help schools identify and implement the **specific solutions** needed to address their specific challenges.
- **Support schools differently** based on their needs and the extent of gains over time.
- **Provide more support and oversight** to those with greatest needs.

# Supports & Improvements for Schools – Big Picture

## Key elements

- Comprehensive Needs Assessment
- Annual plan based on the results
- School-specific solutions supported by professional development networks, state technical assistance, and evidence-based interventions
- Additional support with requirements for those not making gains.

# Supporting Schools to Improve: How will the State Support Identified Schools

Supporting the Comprehensive Needs Assessment process

Supporting the development and implementation of school-wide plans based on the results

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

# Supports & Improvements for Schools – Improving Teaching, Learning, & Equity

New York's plan will support equity and improvement in teaching and learning by:

- Developing a system that promotes best practices while also allowing schools to identify the most appropriate solutions
- Looking at school systems, resources, and data as part of the Needs Assessment process and resource allocation reviews
- Offering professional development resources and networks
- Requiring that schools provide Professional Development based on the annual improvement plan.
- Offering options for parent voice to be heard in decision making.
- Restricting transfers to CSI schools to teachers rated Effective or Highly Effective
- Developing progressive expectations for districts to support school leaders of schools struggling to make gains.

# Supporting Excellent Educators – Title II A

To Ensure ...	... New York will:
Equitable Access to Effective Teachers	<ul style="list-style-type: none"> <li>▪ Support school districts, BOCES, institutions of higher education, and other preparatory program providers to develop comprehensive systems of educator support that address five common challenge areas: 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</li> <li>▪ Work with program providers to support initiatives that identify and recruit promising candidates into education preparatory programs</li> </ul>
Well-Prepared Teachers From Preparation Programs	<ul style="list-style-type: none"> <li>▪ Enhance clinical practice requirements for aspiring teachers and leaders</li> <li>▪ Expand programs that provide greater opportunities for candidates to apply in authentic settings the knowledge and skills they've acquired</li> <li>▪ Create tools and other resources that will facilitate feedback loops between preparatory programs and the districts that employ their graduates</li> </ul>
Seamless Certification Pathways	<ul style="list-style-type: none"> <li>▪ Work with stakeholders to determine what, if any, revisions are necessary to existing certification pathways/requirements that will promote increased numbers of qualified candidates, particularly in emerging fields and hard-to-staff subject areas</li> </ul>

# Supporting Excellent Educators – Title II A

To Ensure ...	... New York will:
Support for Educators New to the Field	<ul style="list-style-type: none"> <li>▪ Work with stakeholders to examine whether revisions are necessary to the current first-year mentoring requirement</li> <li>▪ Encourage districts and BOCES to develop mentoring programs that provide educators with differentiated supports that will provide new teachers and school leaders with what they need to succeed</li> <li>▪ 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</li> </ul>
Support for School Leaders	<ul style="list-style-type: none"> <li>▪ Use Title IIA funds available to states to develop programs focused on promoting effective educational leadership and that address emerging needs. Focus areas and support systems will be developed collaboratively based on needs identified by a broad range of stakeholders</li> <li>▪ Engage with stakeholders to provide better professional learning and support for current school building leaders and aspiring principals, such as revisions to the state’s leadership standards, preparatory program and licensure frameworks, and mentoring requirements</li> </ul>

# Supporting Excellent Educators – Title II A

Title II, Part A funds will support improvements in teaching and learning and increases in educational equity by:

- ✓ Leveraging partnerships between institutions of higher education and other preparatory programs and public schools
- ✓ Examining existing pathways to certification for both teachers and school leaders
- ✓ Expanding the supports that are provided to novice and early careers educators
- ✓ Assisting LEAs in creating comprehensive systems of professional learning and support for all educators
- ✓ Assisting LEAs in creating career ladders and other opportunities for advancement in the profession

# Comments? Questions?



# English Language & Multilingual Learners – Title III

New York will seek to improve teaching and learning as well as educator effectiveness by:

- Setting challenging but attainable goals for ELLs/MLLs' development of English language.
- Exempting recently arrived ELLs/MLLs from the English language arts assessment in their first year of enrollment, and using their second year English language arts score only to set a baseline for future growth.
- Using New York's Transition Matrix to measure ELLs/MLLs' attainment of English language proficiency. The Matrix will inform teaching and learning and increase educator effectiveness.

# How will New York Measure Progress towards English Language Proficiency?

- New York selected a “Transition Matrix” model, for incorporating ELLs/MLLs’ attainment of English language proficiency into state accountability determinations.
- “Points” are awarded based on a student’s growth over administrations of the NYSESLAT, and whether that student meets the expectations of growth based on his or her initial level of English proficiency.

Growth to Target FIVE Years Total (Non-Linear)				
Initial ELP	Year 2	Year 3	Year 4	Year 5
Entering	1.25	1	1	0.75
Emerging	1.25	1	0.75	
Transitioning	1	1		
Expanding	1			

# Quartiles

- Quartiles refers to dividing a performance level into 4 levels:
  - The first/lowest quartile is 0 to 0.24
  - The second quartile is 0.25 to 0.49
  - The third quartile is 0.50 to 0.74
  - The fourth quartile is 0.75 to 0.99



One performance level

# Example: Meeting the Target

- A student is in the lowest quartile of *Entering* in the first year. The second year, the student is Emerging in the second quartile. The student has grown 1.25 levels.
- Since the target for an Entering student is to grow 1.25 performance levels by the second year, the student has met the target.



# English Language & Multilingual Learners – Title III

To Ensure ...	... New York will:
Equitable and Reliable Accountability	Exempt recently arrived ELLs/MLLs in the first year of enrollment from the state English language arts assessment. Such students will take the test in the second year to set a baseline by which to measure growth as well as achievement in the third year and beyond
Sufficient Time to Learn English	Expect ELLs/MLLs to become English proficient in three to five years, with factors such as level of English proficiency at entry into New York State schools determining the number of years within which an ELL/MLL is expected to become proficient in English

## Other ESSA Sections:

- Title III- Supporting ELLs/MLLs
- Title II A – Supporting Excellent Educators
- McKinney-Vento, Homeless, Neglected or Delinquent, 21<sup>st</sup> Century Program, Migrant Education – Supporting All Students
- Challenging Academic Standards & Assessments

# Supporting All Students

New York envisions that its plans for supporting all students will support improvement in teaching and learning and increases in educational equity by:

- Using new fiscal transparency reports.
- Ensuring that all students – regardless of the school they attend – have access to enriched curriculum and education experiences
- Strengthening the links between the State Migrant Education Program (MEP) and home, as well as between home and schools
- Directing resources and providing targeted and evidence-based supplemental academic interventions and support for all eligible migratory children; and giving priority to those in-school migratory children who have been identified for Priority for Services (PFS)
- Ensuring that students who complete academic programs while in a neglected or delinquent facility receive appropriate credit as part of their pathway to graduation.
- Ensuring successful return to school of students who have been in neglected or delinquent facilities.
- Developing state and local policies and procedures to ensure that homeless youth are provided equal access to appropriate educational supports, services, and opportunities as their peers.

# Supporting All Students

To Ensure ...

... New York will:

Learning for All Students

Support districts in creating conditions that maximize student learning, especially for traditionally marginalized youth including youth of color, LGBTQ youth and youth with disabilities, through activities, policies, and strategies that reduce bullying, harassment, and the overuse of punitive and exclusionary responses to student misbehavior while promoting positive disciplinary practices, improving school climate, and providing students with social-emotional support

Safety for All Students

Work with districts to build positive school climates based on inclusive, equitable school cultures that recognize student diversity

Strong Home-School Partnerships

Promote state, district, and school-level strategies for effectively engaging parents and family members in their student's education

Robust School-Community Partnerships

Require schools and districts to collaborate with relevant community partners that work in the school or work with the students the school serves in a community-based setting, such as afterschool or health providers when conducting a comprehensive needs assessment and creating plans based from such assessments

# Supporting All Students

To Ensure ...	... New York will:
Development of Digital Literacy Skills	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
Access to a Well-Rounded Education	Allow Title I schools that meet alternative criteria to implement a Schoolwide program, even if their poverty rates are below 40 percent
Support for Migratory Students	Provide targeted academic programs and support services to those students so that they receive full and appropriate opportunities to meet the same challenging state academic content and student academic achievement standards that all children are expected to meet
Support for Neglected or Delinquent Students	Work closely with the New York State Office of Children and Family Services, the New York State Department of Corrections and Community Supervision, and other agencies as appropriate to create formal transition plan templates to be used for each student
Support for Youth in Foster Care and Homeless Youth	Develop and/or update policies, procedures, and guidance related to transportation, disputes, and continuous enrollment practices

# Comments? Questions?



# ATTACHMENT IV



## CITATION

### *Mitchell Polay*

*For the Year 2017 Louis E. Yavner Teaching Award  
for Distinguished Contributions to Teaching the Holocaust  
and Other Violations of Human Rights*

Mitchell Polay, as a veteran teacher over two decades, you have demonstrated commitment to teaching about the Holocaust and history which extends beyond your community. In your efforts to make history more meaningful to your students, you travelled extensively in Europe, Asia and Australia to explore the perennial questions of why and how genocide in general and the Holocaust in particular happened. Although you teach social studies to 6<sup>th</sup> graders, you realize that it is not too early to make them understand that political elites manipulate fear and anger and exploit the human need for belonging in order to execute their crimes against humanity.

We applaud your pedagogical goal to “study early warning signs and raise an understanding before people get caught up in a web of fear and anger and before it is too late to resist”. You also developed a credit bearing course for teachers “History of the Holocaust and the Lessons We Can Learn From It” which you have been teaching to fellow teachers in the past three years. The testimony of Michaela Scipioni, now an 8th grade student at Paideia School, where you have been teaching for 20 years, sums up the guiding principles of your teaching.

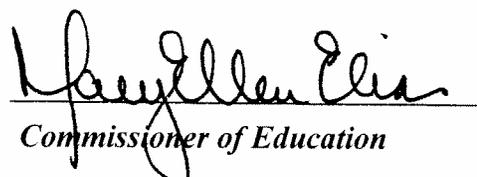
*As a result of my experience in Mr. Polay's 6<sup>th</sup> grade class, where we learned about the Holocaust, the idea of human rights has become central in my life. Human rights mean a great deal because it enables me to express my thoughts and practice my beliefs without being persecuted. Unfortunately this is not the case for everyone. There are people that still live under persecution. All people who inhabit this great world should be entitled to the same rights regardless of their sex, ethnicity, religion etc. We should all learn from the loss of amazing individuals like Anne Frank and never again fail to embrace others because of their differences. This idea will continue to be part of who I am as a person.*

You have received the United States Holocaust Memorial Museum Fellowship Award, the Susan J. Goldberg Memorial Teachers Award for your dedication to human rights education and you were chosen by the Holocaust and Jewish Resistance Teachers' Program to study the Holocaust in Germany and Poland to travel to Israel to promote genocide prevention workshops.

It is therefore with special pride and with great pleasure that the Board of Regents honors you, Mitchell Polay, as the 2017 recipient of the Louis E. Yavner Teaching Award for educating others about the Holocaust and other violations of human rights.



  
Chancellor

  
Commissioner of Education