



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 July 2017 Meetings  
**DATE:** August 31, 2017  
**AUTHORIZATION(S):** *Margaret Elin*

**Executive Summary**

**Issue for Decision**

Review of the Summary of the July 2017 Meetings of the Board of Regents.

**Proposed Handling**

Approval of the Summary of July 2017 meetings.

**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 July 2017 meetings.

**Timetable for Implementation**

Effective September 12, 2017.

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



***SUMMARY OF THE JULY 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***

***and***

***85 Allen Street***

***Rochester, NY***

***July 17 and 18, 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 Retreat on Monday, July 17, 2017 at 9:15 a.m. pursuant to a call to duty sent to each Regent.

### **Every Student Succeeds Act (ESSA)**

9:15 a.m. – 11:15 a.m.

11:30 a.m. – 1:00 p.m.

Attachments I, II, III, IV, V, VI and VII

### **INYC Student Policy Presentation**

1:45 p.m. – 2:45 p.m.

and

### **EPIC Duo Performance and Talk Back**

2:45 p.m. – 3:45 p.m.

Attachments VIII, IX, X and XI

### **Promoting Diversity: Integration in New York State**

4:00 p.m. – 5:15 p.m.

Attachment XII

## **MEETING OF THE FULL BOARD, Monday, July 17 at 5:45 p.m.**

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

Betty A. Rosa, Chancellor

T. Andrew Brown, Vice Chancellor

Roger Tilles

Lester W. Young, Jr.

Christine D. Cea

Kathleen M. Cashin

James E. Cottrell

Josephine Victoria Finn

Judith Chin

Beverly L. Ouderkirk

Catherine Collins

Judith Johnson

Nan Eileen Mead

Elizabeth S. Hakanson

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. Regent Wade S. Norwood was absent and excused.

Chancellor Betty A. Rosa called the meeting to order at 5:45 p.m. and asked Angélica Infante-Green to provide thoughts for a moment of reflection.

### **ACTION ITEM**

#### **Executive Session Motion**

**MOVED**, that the Board of Regents convene in executive session, Tuesday, July 18, 2017 at 10:45 a.m. pm to discuss litigation and personnel matters.

Motion by: Vice Chancellor T. Andrew Brown  
Seconded by: Regent Judith Chin  
Action: Motion carried unanimously

### **ACTION ITEMS**

#### **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).

#### **Supplemental Charter Application**

##### **BR (A) 1 – SUPPLEMENTAL**

**MOVED**, that the Board of Regents approve the charter action in accordance with the recommendations contained in the supplemental summary table.

#### **Summary of the June 2017 Meetings of the Board of Regents**

##### **BR (A) 2**

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

#### **Interim Action by Standing Committees**

##### **BR (A) 3**

**MOVED**, that the Standing Committees of the Board of Regents, be and they hereby are, authorized to take interim action for the Board of Regents during the period commencing on July 18, 2017 and ending on September 10, 2017 and that any such action shall be reported to the Board at its meeting on September 11-12, 2017.

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

## **PROGRAM AREA CONSENT ITEMS**

### **Higher Education**

#### **Application for Regents Permission to Operate for Mid-America Baptist Theological Seminary BR (CA) 1**

**MOVED**, that the Board of Regents grant permission to Mid-America Baptist Theological Seminary to offer programs in Theology and Christian Education leading to the degree of Master of Arts at its Schenectady, New York location. This approval will be effective beginning July 17, 2017 and ending on April 30, 2021.

#### **Appointment to the State Professional Standards and Practices Board BR (CA) 2**

**MOVED**, that the Board of Regents approve the following appointment to the State Professional Standards and Practices Board for Teaching – Keith Wiley (teacher member), for a four-year term beginning September 1, 2017 and ending July 31, 2021.

#### **CUNY Medgar Evers College: Regents authorization to award the Bachelor of Fine Arts (B.F.A.) degree and Master Plan Amendment to offer a Bachelor of Fine Arts degree in Media and the Performing Arts BR (CA) 3**

**MOVED**, that the Board of Regents authorize The City University of New York, Medgar Evers College to award the Bachelor of Fine Arts (B.F.A.) degree and approve a master plan amendment to authorize the College to offer a program in Media and Performing Arts leading to a Bachelor of Fine Arts (B.F.A.) degree.

#### **Master Plan Amendment: Application for Authority to Operate as a Degree- Granting Institution in New York State: City Seminary of New York Graduate Center BR (CA) 4**

**MOVED**, that the Board of Regents approve a master plan amendment and grant the City Seminary of New York provisional authorization to offer programs that lead to a

Master of Arts (M.A.) degree. The provisional period will be for five years from the date of approval by the Board of Regents.

**New York Conservatory for Dramatic Arts: Transfer of Provisional Authority to Confer Degrees  
BR (CA) 5**

**MOVED**, that the Board of Regents consent to the transfer of provisional authority to award the Associate in Occupational Studies (A.O.S.) degree to the prospective new owner of the New York Conservatory for Dramatic Arts, upon the completion of the sale of the institution.

**Proposed Amendment to Add a New Section 80-5.23 to the Regulations of the Commissioner of Education to Establish a Residency Certificate for Students Enrolled in a Classroom Academy Residency Pilot Program  
BR (CA) 6**

**MOVED**, that Section 80-5.23 of the Regulations of the Commissioner of Education be amended, effective August 2, 2017.

**Proposed Amendment 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  
BR (CA) 7**

**MOVED**, that Part 80 of the Regulations of the Commissioner of Education be amended, as submitted, effective August 7, 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 and to ensure that the emergency rule adopted at the May 2017 meeting remains continuously in effect until it can be adopted as a permanent rule at the September 2017 meeting.

**Proposed Amendment to Section 80-5.17 of the Regulations of the Commissioner of Education to Permanently Extend the Option for Certain Out-of-State Candidates to be Eligible for a Conditional Initial Certificate  
BR (CA) 8**

**MOVED**, that Section 80-5.17 of the Regulations of the Commissioner of Education be amended, effective September 11, 2017, as an emergency action to preserve the general welfare by allowing out-of-state candidates to obtain a conditional initial certificate while completing their edTPA requirement during their first year of employment in New York State and to ensure that the emergency rule adopted at the June 2017 Regents meeting remains in effect until it can be adopted as a permanent rule.

**Proposed Amendment of Subpart 152-1 of the Regulations of the Commissioner  
of Education Relating to Higher Education Opportunity Programs  
BR (CA) 9**

**MOVED**, that Subpart 152-1 of the Regulations of the Commissioner of Education be amended, as submitted, effective September 11, 2017, as an emergency rule upon a finding by the Board of Regents that such action is necessary for the preservation of the general welfare to implement Chapter 494 of the Laws of 2016 and to ensure that the clarifying amendments made to the proposed regulation are effective before the 2017-2018 academic year commences and to ensure that the emergency rule adopted at the June 2017 Regents meeting remains continuously in effect until it can be adopted as a permanent rule.

**Renewal of Permission to Operate: Biola University, Talbot School of Theology  
BR (CA) 10**

**MOVED**, that the Board of Regents renew Biola University, Talbot School of Theology's permission to offer courses from its Master of Divinity program in Brooklyn, New York effective retroactive to May 31, 2017 and ending on July 17, 2022.

**State University College at Brockport: Regents Authorization to award the Master  
of Business Administration (M.B.A.) Degree  
BR (CA) 11**

**MOVED**, that the Board of Regents authorize the State University College at Brockport to award the Master of Business Administration (M.B.A.) degree on students who successfully complete registered programs at the College effective July 18, 2017.

**The State University of New York, Adirondack Community College: Master Plan  
Amendment to offer an Associate of Applied Science (A.A.S.) degree in  
Agricultural Business  
BR (CA) 12**

**MOVED**, that the Board of Regents approve an amendment to the State University of New York master plan authorizing Adirondack Community College to offer its first program in the Agriculture discipline, an Associate in Applied Science (A.A.S.) degree in Agricultural Business. The amendment will be effective until July 18, 2018, unless the Department registers the program prior to that date, in which case the master plan amendment shall be without term.

**State University of New York at Binghamton: Regents Authorization to award the  
Master of Public Health (M.P.H.) Degree  
BR (CA) 13**

**MOVED**, that the Board of Regents authorizes the State University of New York Board of Trustees to award the Master of Public Health (M.P.H.) on students who successfully complete registered programs at the State University of New York at Binghamton effective July 18, 2017.

**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  
BR (CA) 20**

**MOVED**, that Part 48 of the Regulations of the Commissioner of Education be amended as submitted, effective August 2, 2017.

**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) 14**

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

**Report of the Committee on the Professions Regarding Licensing Petitions  
BR (CA) 15**

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

**Marymount Manhattan College – Master Plan Amendment for Master of Science (M.S.) Degree Program in Speech-Language Pathology  
BR (CA) 16**

**MOVED**, that the Board of Regents approve an amendment to the master plan of Marymount Manhattan College to authorize the College to offer the M.S. Speech-Language Pathology program. This amendment will be effective until July 18, 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 Section 62.8 of the Regulations of the Commissioner of Education Relating to the Continuing Education Requirements for Veterinarians and Veterinary Technicians  
BR (CA) 17**

**MOVED**, paragraph (3) of subdivision (a) of section 62.8 of the Regulations of the Commissioner of Education, paragraph (1) of subdivision (c) of section 62.8 of the

Regulations of the Commissioner of Education, and subdivision (g) of section 62.8 of the Regulations of the Commissioner of Education be amended, and paragraph (4) of subdivision (a) of section 62.8 of the Regulations of the Commissioner of Education be added, as submitted, effective August 12, 2017, as an emergency action upon a finding by the Board of Regents that such action is necessary for the preservation of the public health and general welfare to conform the Regulations of the Commissioner of Education to timely implement the requirements of Chapter 398 of the Laws of 2016, which provides that applicants for registration as veterinarians may satisfy up to three hours of their 45 hours of required triennial continuing education by providing free spaying and neutering and other veterinary services.

### **P-12 Education**

**Amendment of §100.5(d)(7) of the Commissioner’s Regulations to Adjust the Eligible Score Band for an Appeal of the English Language Arts Regents Examination for Eligible English Language Learners (ELLs), to Align with the Recent Expansion of the Eligible Score Band for Appeals for Certain Regents Examinations for All Students  
BR (CA) 18**

**MOVED**, that subclause (1) of clause (b) of subparagraph (i) of paragraph (7) of subdivision (d) of section 100.5 of the Regulations of the Commissioner of Education be amended as submitted, effective August 2, 2017.

**Proposed Amendments to Part 136 of the Commissioner’s Regulations Relating to School Health Services  
BR (CA) 19**

**MOVED**, that sections 136.1, 136.2, and 136.3 of the Commissioner’s Regulations be amended, as submitted, effective July 1, 2018, and that section 136.6 of the Commissioner’s Regulations be amended, as submitted, effective August 2, 2017.

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

**Motion by:** Regent Catherine Collins  
**Seconded by:** Regent Nan Eileen Mead  
**Action:** Motion carried unanimously.

### **STANDING COMMITTEE REPORTS**

## **CULTURAL EDUCATION**

Your Committee on Cultural Education Committee had its scheduled meeting on July 17, 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 Chin, Regent Ouderkirk and Regent Johnson. Regents, in addition to CE Committee Members, in attendance were: Chancellor Rosa, Vice Chancellor Brown, Regent Young, Regent Cashin, Regent Finn, Regent Collins, Regent Mead, Regent Hakanson, Regent Reyes, and Regent Mittler. Also in attendance were Commissioner Elia, Executive Deputy Commissioner Berlin, and Counsel and Deputy Commissioner for Legal Affairs Alison Bianchi. Absent: Regent Cottrell

### **ITEM FOR DISCUSSION**

Chair's Remarks: Regent Tilles welcomed everyone and introduced Deputy Commissioner Mark Schaming.

#### **Proposed Amendment to Section 3.12 of the Rules of the Board of Regents [CE (D) 1]**

Deputy Commissioner Mark Schaming presented the proposed amendment to Section 3.12 of the Rules of the Board of Regents. Currently, section 3.12 of the Rules of the Board of Regents states that the Museum Council shall be comprised of five members and the Library Council shall be comprised of nine members; which shall be appointed for a five-year term. By increasing the membership of both the Museum and Library Councils to 15 members each, all Office of Cultural Education Councils will have an equal number of members. A Notice of Proposed Rule Making will be published in the State Register on August 2, 2017. Following the 45-day public comment period, it is anticipated that the proposed amendment will come before the Board for permanent adoption at the October Regents meeting. If adopted at the October 2017 meeting, the proposed amendment will become effective on November 1, 2017.

### **ITEM FOR ACTION**

#### **Proposed Amendment of Sections 90.12 and 90.18 of the Regulations of the Commissioner of Education Relating to State Aid for Library Construction and Terminology Relating to the Functions of School Library Systems [CE (A) 1]**

Deputy Commissioner Mark Schaming presented the proposed amendment of Section 90.12 and 90.18 of the Commissioner of Education for permanent adoption. Proposed amendments of 90.12 State Aid for Library Construction are necessary to conform the Commissioner's Regulations to changes made to Education Law section 273-a by Chapter 498 of the Laws of 2011, Chapter 148 of the Laws of 2014, and Chapter 480 of the Laws of 2015. Amendments to the regulation will address provisions in the law that enable the use of State funds to purchase vacant land, that enable approved projects

serving economically disadvantaged communities to be funded up to seventy-five percent of eligible project costs, and that make the installation and infrastructure of broadband services an approved project cost. In addition, amendments will clarify wording related to eligible and ineligible project costs. Proposed amendments of 90.18 School Library Systems are necessary to clarify certain terminology relating to school library systems in BOCES and the Big Five city school districts. The proposed amendment conforms certain terms relating to school library systems to other, corresponding provisions of the Commissioner's Regulations.

## **P-12 EDUCATION**

Your P-12 Education Committee held its scheduled meeting on July 17, 2017. All members were present except for Regents Cottrell and Norwood, who were excused.

### **ACTION ITEMS**

#### **Renewals to Charters Authorized by the Trustees of the State University of New York - [P-12 (A) 1]**

Your Committee recommends that the Board of Regents return the proposed charters for Bronx Charter School for Better Learning, Success Academy Charter School – Bensonhurst, Success Academy Charter School – Bergen Beach, Success Academy Charter School – Bronx 3, Success Academy Charter School – Bronx 4, Success Academy Charter School – Hell's Kitchen, Success Academy Charter School – Rosedale, Success Academy Charter School – Springfield Gardens, and Success Academy Charter School – Washington Heights to the Trustees of the State University of New York for reconsideration with the following comment and recommendation: Approving the renewal of any charter school years before the expiration of the charter does not allow timely review of the school's educational and fiscal soundness, community support, legal compliance, or means by which the school will meet or exceed enrollment and retention targets for students with disabilities, English language learners and students who are eligible applicants for the free and reduced price lunch program. The charters should be abandoned, and the schools should be directed to resubmit the application no earlier than one year prior to the expiration of the charter term.

### **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 July 17, 2017, copies of which have been distributed to each Regent.

## **MATTERS NOT REQUIRING BOARD ACTION**

**Update on the Next Generation Learning Standards for English Language Arts and Mathematics [P-12 (D) 1]** – the Committee was provided with an update on the revisions to the Next Generation Learning Standards for ELA and Mathematics. Since the last presentation to the Committee in May, public comment continues to come in and revisions made to the new standards. Staff will present the final Next Generation Learning Standards for English Language Arts and Mathematics for consideration for adoption at the September meeting.

### **Consent Agenda**

The Board of Regents will take action on the following consent agenda items at their July 17, 2017 meeting.

- Regulations Relating to School Health Services;
- Regulations Relating to adjusting the existing eligible score band for an appeal of the English Language Arts Regents examination passing scores for qualifying English Language Learners for beginning in the 2016-2017 school year;

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

**Motion by:** Regent Judith Johnson

**Seconded by:** Regent Judith Chin

**Action:** Motion carried unanimously.

Chancellor Betty A. Rosa adjourned the meeting.

The Board of Regents of The University of the State of New York held a public Retreat on Tuesday, July 18, 2017 at 8:30 a.m. pursuant to a call to duty sent to each Regent.

**My Brother's Keeper and Parent Involvement and Engagement Update**

8:30 a.m. – 9:15 a.m.  
Attachment XIII, XIV and XV

**New Standards for Principals**

9:15 a.m. – 10:00 a.m.  
Attachment XVI and XVII

**Pathways to Graduation**

10:00 a.m. – 10:30 a.m.  
Attachment XVIII

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

<b>Name of Institution</b>	<b>Program Area</b>	<b>County (City/Town) of Location</b>	<b>Description of Charter Action(s)</b>
American Veteran's Historical Museum	CE	Westchester (Pleasantville)	Extend provisional charter for five years.
The Cobblestone Society	CE	Orleans (Albion)	Consent to filing of certificate of assumed name "The Cobblestone Museum".
The East Quogue Historical Society	CE	Suffolk (East Quogue)	Extend provisional charter for five years.
FACE, French American Cultural Exchange	CE	New York (New York)	Amend charter to change the corporate name to "FACE Foundation".
Friends of Historic Hulett's Landing	CE	Washington (Hulett's Landing)	Extend provisional charter for five years in lieu of granting an absolute charter.
Hudson River Mill Museum	CE	Saratoga (Corinth)	Grant provisional charter for five years.
Hudson Valley Vernacular Architecture	CE	Ulster (West Hurley)	Extend provisional charter for five years.
North Country Historic Village	CE	Jefferson (Evans Mills)	Dissolve provisional charter.
Rocky Point Historical Society	CE	Suffolk (Rocky Point)	Grant an absolute charter.
The Studio Museum in Harlem	CE	New York (New York)	Amend charter to specify quorum requirement within bylaws and update the IRS dissolution language.
Symbols of Tribal Spirits: The Bedford Stuyvesant Museum of African Art	CE	Kings (Brooklyn)	Extend provisional charter for five years.
Alternatives for Children	P12	Suffolk (East Setauket)	Amend charter to update site location address.
International Academy of New York	P12	New York (New York)	Grant provisional charter for three years.
John A. Coleman School	P12	Westchester (Yonkers)	Amend charter membership language to correspond with bylaws and extend provisional charter for three years.
MDQ Academy	P12	Suffolk (Brentwood)	Amend charter to add authority to operate grades eleven and twelve and extend provisional charter for three years.
Olivet Academy	P12	New York (New York)	Amend charter to change the address for New York County site and specify

			age group served by day care center at such site and extend charter for three years.
Raynor Country Day School	P12	Suffolk (Speonk)	Grant an absolute charter.
Sara Curry Day School	P12	New York (New York)	Grant provisional charter for one year.
Skaneateles Nursery School	P12	Onondaga (Skaneateles)	Amend charter to change the corporate address.
City Seminary of New York Graduate Center	HE	New York (New York)	Grant provisional charter for five years.

**Supplemental Charter**

<b>Name of Institution</b>	<b>Program Area</b>	<b>County of Location</b>	<b>Description of Charter Action(s)</b>
Stepping Stones Learning Center	P12	Monroe	Request Attorney General to commence proceeding or action under the Not-for-Profit Corporation Law for dissolution of the corporation and distribution of any remaining assets

## **Appendix II**

### **REGENTS ACTIONS IN 61 PROFESSIONAL DISCIPLINE CASES**

**July 17, 2017**

The Board of Regents announced disciplinary actions resulting in the surrender of 20 licenses, and 41 other disciplinary actions. The penalty indicated for each case relates solely to the misconduct set forth in that particular case.

#### **I. SURRENDERS**

##### **Massage Therapy**

Justin K. Cornell; Virginia Beach, VA 23456; Lic. No. 016352; Cal. No. 29541; Application to surrender license granted. Summary: Licensee admitted to charges having been convicted of Murder in the 2nd Degree in the State of Virginia.

##### **Nursing**

Robert C. Hartnett; Licensed Practical Nurse; Utica, NY 13502-1156; Lic. No. 313338; Cal. No. 29505; Application to surrender license granted. Summary: Licensee admitted to charges of having been convicted of Willful Violation of the Health Laws.

Sarah A. King a/k/a Sarah A. Ubriaco; Licensed Practical Nurse; Watertown, NY 13601-1561; Lic. No. 216637; Cal. No. 29506; Application to surrender license granted. Summary: Licensee admitted to charges of having been convicted of Attempted Grand Larceny in the 4th Degree.

Eddye Jo Coleman; Licensed Practical Nurse; Rochester, NY 14612; Lic. No. 114059; Cal. No. 29587; Application to surrender license granted. Summary: Licensee did not contest the charge of having been convicted of Petit Larceny and Criminal Contempt in the 2nd Degree.

Darlene Connie Okeefe a/k/a Darlene Lew; Licensed Practical Nurse; Clarksburg, WV 26301; Lic. No. 177385; Cal. No. 29594; Application to surrender license granted. Summary: Licensee did not contest the charge of having been found guilty of professional misconduct or improper professional practice in the State of West Virginia.

Krisztina Lotey Gers; Licensed Practical Nurse; Albion, NY 14411; Lic. No. 174313; Cal. No. 29602; Application to surrender license granted. Summary: Licensee admitted to charges of having been convicted of Falsifying Business Records in the 2nd Degree.

Cindy Anne Merrill; Registered Professional Nurse; Carmel, IN 46032; Lic. No. 545414; Cal. No. 29610; Application to surrender license granted. Summary: Licensee admitted

to the charge of having been found guilty of professional misconduct or improper professional practice in the State of Texas.

Donald Alan Buchinger; Licensed Practical Nurse; Canisteo, NY 14823; Lic. No. 223524; Cal. No. 29653; Application to surrender license granted. Summary: Licensee admitted to the charge of having been convicted of Driving While Intoxicated.

Marla Jeanne Zimpleman; Registered Professional Nurse; South Bend, IN 46628; Lic. No. 590914; Cal. No. 29665; Application to surrender license granted. Summary: Licensee admitted to the charge of having been found guilty of professional misconduct or improper professional practice in the States of Arizona and Indiana.

Michael Roy Chase; Registered Professional Nurse; Iuka, MS 38852; Lic. No. 517399; Cal. No. 29689; Application to surrender license granted. Summary: Licensee admitted to charges of having been convicted of Willful Physical Abuse and Assault in the 3rd Degree in the State of Colorado.

Marla Gayle Taylor; Registered Professional Nurse; Cape Girardeau, MO 63701; Lic. No. 685127; Cal. No. 29718; Application to surrender license granted. Summary: Licensee did not contest the charge of having been found guilty of professional misconduct or improper professional practice in the State of New Jersey.

Stacy Lee Rynders; Licensed Practical Nurse; Webster, NY 14580; Lic. No. 289817; Cal. No. 29746; Application to surrender license granted. Summary: Licensee admitted to charges of having been convicted of Criminal Possession of a Firearm in the 3rd Degree and Failure to Administer morphine.

Robin Sutherland Nichols; Registered Professional Nurse; Newbury, NH 03255; Lic. No. 357103; Cal. No. 29748; Application to surrender license granted. Summary: Licensee did not contest the charge of having been found guilty of professional misconduct or improper professional practice in the State of New Hampshire.

Marla J. Ballard a/k/a Marla Snider a/k/a Marla J. Snider a/k/a Marla J. Ballard Snider; Registered Professional Nurse; Staffordsville, VA 24167; Lic. No. 212852; Cal. No. 29755; Application to surrender license granted. Summary: Licensee admitted to charges of failing to disclose a prior discipline on a West Virginia nursing license application.

Deborah E. Wright a/k/a Deborah B. Wright; Licensed Practical Nurse; Louisburg, NC 27549; Lic. No. 226699; Cal. No. 29756; Application to surrender license granted. Summary: Licensee admitted to the charge of practicing the profession of nursing without a license in the State of North Carolina.

Danielle Lee Scott; Registered Professional Nurse; Dyersburg, TN 38024; Lic. No. 616447; Cal. No. 29772; Application to surrender license granted. Summary: Licensee

did not contest the charge of having been found guilty of professional misconduct or improper professional practice in the State of Florida.

Ira I. Siev; Registered Professional Nurse; Coral Springs, FL 33076-2543; Lic. No. 512783; Cal. No. 29774; Application to surrender license granted. Summary: Licensee did not contest the charge of having been found guilty of professional misconduct in the State of Florida which conduct would be considered practicing the profession of nursing with gross negligence if committed in New York State.

Rita C. Cabatac; Registered Professional Nurse; Baltimore, MD 21206; Lic. No. 218263; Cal. No. 29786; Application to surrender license granted. Summary: Licensee did not contest the charge of having been found guilty of professional misconduct, in the State of Maryland.

Purvalene Coleman; Registered Professional Nurse; Gary, IN 46406; Lic. No. 651073; Cal. No. 29788; Application to surrender license granted. Summary: Licensee admitted to submitting a prior tuberculosis test that was fraudulently altered to reflect a more current date, in the State of Indiana.

### **Podiatry**

Kathleen Skelly; Lachine, Quebec H8T3C1 Canada; Lic. No. 006515; Cal. No. 29760; Application to surrender license granted. Summary: Licensee admitted to the charge of failure to maintain accurate patient Records.

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

### **Architecture**

Pasquale M. Pulitano; Greenwich, CT 06831-3608; Lic. No. 010713; Cal. No. 29470; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$1,000 fine.

### **Chiropractic**

Jonathan Aaron Donath; White Plains, NY 10604; Lic. No. 011368; Cal. No. 29445; Application for consent order granted; Penalty agreed upon: 6 month actual suspension, 18 month stayed suspension, 2 years probation, \$5,000 fine.

### **Dentistry**

Nomaan Tariq; Dentist, Dental Enteral Conscious Sedation; Rochester, NY 14624; Lic. No. 054208, Cert. No. 000697; Cal. Nos. 29162, 29163; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Brandon Allan Bahret; Dentist; Arcade, NY 14009; Lic. No. 051698; Cal. No. 29418; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

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

Bruce David Boswell; Professional Engineer; Albany, NY 12208; Lic. No. 067219; Cal. No. 29451; Application for consent order granted; Penalty agreed upon: 1 year stayed suspension, 1 year probation, \$500 fine.

David Joseph Mantone; Professional Engineer; Manasquan, NJ 08736-3521; Lic. No. 092743; Cal. No. 29681; Application for consent order granted; Penalty agreed upon: 2 month actual suspension, 22 month stayed suspension, 2 years probation, \$1,000 fine.

Sarfraz Hussain Kathawala; Professional Engineer; Germantown, TN 38139-5451; Lic. No. 088715; Cal. No. 29682; Application for consent order granted; Penalty agreed upon: 1 year stayed suspension, 1 year probation to commence upon return to practice in the State of New York, \$2,000 fine payable within 30 days.

### **Nursing**

Lois Ann Boyd a/k/a Lois A. Boyd a/k/a Lois Ann Foray; Registered Professional Nurse; Wantagh, NY 11793; Lic. No. 424208; Cal. No. 28117; Found guilty of professional misconduct; Penalty: Indefinite suspension for a minimum of 6 months and until fit to practice, probation 2 years to commence subsequent to termination of suspension and upon actual return to practice.

Lennox P. Seymour; Licensed Practical Nurse; Nanuet, NY 10954-5205; Lic. No. 273071; Cal. No. 28136; Application for consent order granted; Penalty agreed upon: 3 month actual suspension, 21 month stayed suspension, 2 years probation.

Molly Ruth McDermott; Registered Professional Nurse; Yonkers, NY 10703; Lic. No. 531152; Cal. No. 28382; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Fadege Riviere Jean a/k/a Fadege R. Jean a/k/a Fadege Jean; Licensed Practical Nurse, Registered Professional Nurse; Hempstead, NY 11550-7123; Lic. Nos. 270620, 606014; Cal. Nos. 28551, 28552; Found guilty of professional misconduct; Penalty: Indefinite suspension until fit to practice, probation 4 years to commence subsequent to termination of suspension and upon actual return to practice.

Mary G. Schmidt; Registered Professional Nurse; Lauderdale-By-The-Sea, FL 33308; Lic. No. 425286; Cal. No. 28727; Application for consent order granted; Penalty agreed upon: Indefinite actual suspension until successfully participate in course of therapy and treatment and until fit to practice, upon termination of suspension, 2 years probation to commence if and when return to practice in the State of New York.

Maria Susan Perilli a/k/a Maria Susan Ryan; Licensed Practical Nurse; Yaphank, NY 11980; Lic. No. 263386; Cal. No. 28900; Found guilty of violation of probation; Penalty: Penalty supersedes penalty previously imposed under Order No. 26969, 24 month suspension, execution of last 21 months of suspension stayed, probation 4 years to commence subsequent to termination of suspension and upon actual return to practice.

Keri Ann Ferro; Registered Professional Nurse; St. James, NY 11780; Lic. No. 475238; Cal. No. 29026; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation to commence if and when return to practice, \$500 fine payable within 30 days.

Constance Colter-Leonick a/k/a Constance Colter; Licensed Practical Nurse, Registered Professional Nurse, Nurse Practitioner (Pediatrics); East Williston, NY 11596; Lic. Nos. 147473, 349201, Cert. No. 380531; Cal. Nos. 29109, 29110, 29111; Application for consent order granted; Penalty agreed upon: 1 month actual suspension, 23 month stayed suspension, 2 years probation, \$500 fine.

Carolyn Golub Bacha; Registered Professional Nurse; New York, NY 10028; Lic. No. 308493; Cal. No. 29195; Application for consent order granted; Penalty agreed upon: 3 year stayed suspension, 3 years probation.

Davor Jovanovic; Registered Professional Nurse; Buffalo, NY 14226; Lic. No. 661196; Cal. No. 29367; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Dante T. Hooker; Licensed Practical Nurse; Rochester, NY 14609-3624; Lic. No. 315222; Cal. No. 29416; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Elaine Joyce Coddington; Licensed Practical Nurse; Canisteo, NY 14823; Lic. No. 275333; Cal. No. 29427; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$250 fine.

Shawna G. Johnson; Licensed Practical Nurse; Buffalo, NY 14215; Lic. No. 321557; Cal. No. 29442; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Wendi J. Oliver; Licensed Practical Nurse, Registered Professional Nurse; Lockport, NY 14094; Lic. Nos. 275673, 567736; Cal. Nos. 29447, 29446; Application for consent order granted; Penalty agreed upon: 6 month actual suspension, 18 month stayed suspension, 2 years probation to commence if and when return to practice, \$500 fine payable within 3 months.

Carla Lynn Viola; Licensed Practical Nurse; Henrietta, NY 14467; Lic. No. 312531; Cal. No. 29462; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Cheryl Denice Patterson a/k/a Cheryl D. Patterson a/k/a Cheryl D. Fortson; Registered Professional Nurse; Buffalo, NY 14215; Lic. No. 385181; Cal. No. 29482; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Susan Dawn Hochman; Licensed Practical Nurse; Anthem, AZ 85086; Lic. No. 232468; Cal. No. 29483; Application for consent order granted; Penalty agreed upon: 3 month actual suspension, 21 month stayed suspension, 2 years probation.

Susan Dawn Hochman; Registered Professional Nurse; Anthem, AZ 85086; Lic. No. 512590; Cal. No. 29484; Application for consent order granted; Penalty agreed upon: 3 month actual suspension, 21 month stayed suspension, 2 years probation.

Cassandra Ann Ruggiero-Sley a/k/a Cassandra Sley; Licensed Practical Nurse; Cheektowaga, NY 14225; Lic. No. 202753; Cal. No. 29490; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Carol A. Farnsworth; Registered Professional Nurse; Canandaigua, NY 14424; Lic. No. 429584; Cal. No. 29502; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

Cherie Gayle Savage; Registered Professional Nurse; Endicott, NY 13760; Lic. No. 495156; Cal. No. 29507; 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 3 months.

Kelly Lynn Griffin a/k/a Kelly Lynn Krupp a/k/a Kelly Lynn Klock; Licensed Practical Nurse; Cicero, NY 13039; Lic. No. 228778; Cal. No. 29519; 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, \$500 fine payable within 6 months.

Paula Lynn Patrick a/k/a Paula Lynn Kissinger; Registered Professional Nurse; Troy, NY 12182; Lic. No. 518586; Cal. No. 29529; 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.

Terri Marie Miller; Registered Professional Nurse; Rensselaer, NY 12144; Lic. No. 528961; Cal. No. 29595; 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 4 months.

### **Public Accountancy**

Steven A. Koenig; Certified Public Accountant; Syosset, NY 11791; Lic. No. 049811; Cal. No. 29705; Application for consent order granted; Penalty agreed upon: Partial actual suspension in certain area until successful completion of course of retraining in said certain area, following termination of said partial actual suspension, 2 years probation, \$1,000 fine payable within 2 months.

### **Social Work**

Maritza Juliet Santos; Licensed Clinical Social Worker; E. Patchogue, NY 11772-4724; Lic. No. 078754; Cal. No. 29527; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$500 fine.

### **Veterinary Medicine**

Amy Jeanette French; Veterinarian; Johnstown, NY 12095; Lic. No. 007647; Cal. No. 28744; Application for consent order granted; Penalty agreed upon: 1 month actual suspension, 23 month stayed suspension, 2 years probation, \$500 fine.

Attlee Gabriel Douglas; Veterinarian; Bronx, NY 10467; Lic. No. 006047; Cal. No. 29025; Application for consent order granted; Penalty agreed upon: 2 year stayed suspension, 2 years probation, \$5,000 fine.

Jane Margaret Lewis; Veterinarian; Torrington, CT 06790; Lic. No. 007124; Cal. No. 29692; Application for consent order granted; Penalty agreed upon: 2 month actual suspension, 22 month stayed suspension, 2 years probation, \$2,500 fine.

# ATTACHMENT I



engage<sup>ny</sup>

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Our Students. Their Moment.

## **Every Student Succeeds Act (ESSA) State Plan: Proposed Changes Final Draft Plan**

**Presented to the Board of Regents  
July 17, 2017**

# EQUITY

New York State is committed to ensuring that all students **regardless of background**, zip code, first language, or disability get the help they need to **succeed** and **thrive** in school. Since fall 2016, we have sought feedback on a plan that advances equity, access, and opportunity for **ALL** students.



# New York's Voices, New York's Plan: Most Recent Stakeholder Feedback on Draft Plan

## Public Hearings

- **13 public hearings statewide:** Long Island, Staten Island, Bronx, Manhattan, Syracuse, Rochester, Plattsburgh, Yonkers, Brooklyn, Buffalo, Queens, Binghamton, Albany
- **ESSA Think Tank meeting on June 14**
- **270+ speakers**

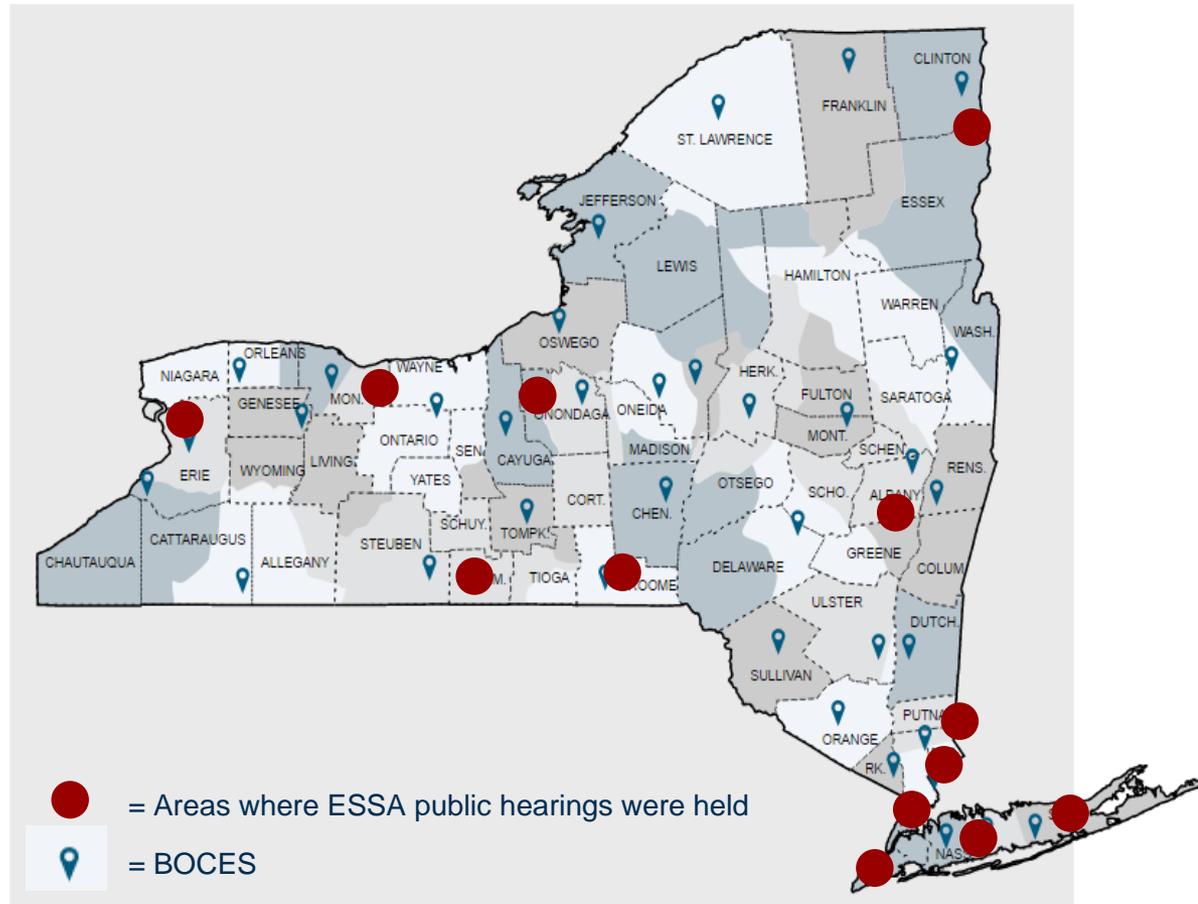


## Written Comments

- **800+ comments submitted** via email or mail
- **Half of those comments came from three form letter campaigns**



# 1000+ Comments Received



# Key Findings:

## *Major Areas of Agreement*

### Extended-year graduation rates

Stakeholders generally praised the use of 5- and 6-year graduation rates, noting that some students take longer to fulfill graduation requirements than others.

### School improvement flexibility

Stakeholders appreciated the shift from compliance to assistance regarding schools in need of improvement and how NYSED will tailor its support.

### Focus on English Language Learners

Stakeholders appreciated the focus in the plan on helping English Language Learners/Multilingual Learners reach English proficiency while acknowledging their different starting points.

### Possibility of innovative assessments

Commenters supported the proposal to apply for a new innovative assessment pilot and had numerous ideas about how New York State could make assessments more engaging and fulfilling.

### Stakeholder engagement

Many commenters commended NYSED for the extensive stakeholder engagement: 80+ hearings in the winter, numerous surveys, 13 regional hearings in the spring/summer, etc.

## Key Findings:

### *Possible Areas for Clarification & Revision*

- ✓ 95% Participation Rate calculations and required actions
- ✓ Incorporation of Additional Measures of School Quality and Students (e.g., Opportunity to Learn Standards)
- ✓ Accountability for Transfer High Schools and Special Schools
- ✓ Teacher Preparation
- ✓ Accountability and Testing for English Language Learners and Multilingual Learners
- ✓ Incorporation of culturally responsive education, career-ready coursework, and digital technology

# Changes to the Draft Plan – Challenging Academic Standards & Assessments

- ✓ Testing Time
- ✓ Use of Grade Level Assessments for Certain Students with Disabilities
- ✓ Native Language Assessments
- ✓ Participation plan for schools that fail to meet 95% requirement.
- ✓ Local Control of Curriculum
- ✓ Universal Design for Learning

# Changes to the Draft Plan – Accountability Measurements & Methodologies

- ✓ Long-Term Goals and Measures of Interim Progress
- ✓ Measure of School Quality and Student Success
- ✓ Middle Level Success Index
- ✓ Progress towards Acquisition of English Proficiency
- ✓ Computation of Achievement Index
- ✓ Weighting of Growth and Achievement
- ✓ Missing Data

# Changes to the Draft Plan – Supports for English Language and Multilingual Learners

- ✓ Exemption for Newly Arrived ELLs/MLLs
- ✓ Measuring Progress of Students Toward Proficiency in English – “Safe Harbor”
- ✓ Measuring Progress of Students Towards Proficiency in English – Accountability for Long-term ELL/MLLs
- ✓ Measuring School Progress in Students Achieving Proficiency in English – ELP Targets

# Changes to the Draft Plan – Supports for Excellent Educators

- ✓ Research on Retention of Educators
- ✓ Educator Effectiveness Framework
- ✓ Preparation, Recruitment, and Placement
- ✓ Professional Development and Growth and Extending the Reach of Effective Educators
- ✓ Enhancing Educator Preparation
- ✓ Clinical Practice
- ✓ Connection to Higher Education
- ✓ Supporting Effective Instruction

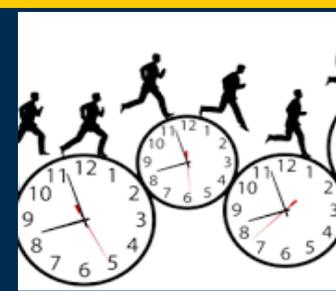
# Changes to the Draft Plan – Supports & Improvements for Schools

- ✓ Use of School Improvement Grant Funds
- ✓ Provisions for Transfer and Alternative High Schools
- ✓ Needs Assessments
- ✓ Parent Engagement
- ✓ Support for School Board
- ✓ Staffing of Schools

# Changes to the Draft Plan – Supports for All Students

- ✓ Positive behavioral interventions to decrease out of school suspensions
- ✓ Early Education
- ✓ Raise the Age
- ✓ Well-Rounded Education
- ✓ Safe, Healthy, Supportive Learning Environment
- ✓ Definition of Specialized Instructional Support Personnel
- ✓ Personalized Learning

# ESSA State Plan Timeline



Activity	Date
Application with Governor for <b>30 days</b> .	<b>July – August</b>
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

# ATTACHMENT II

## State Dashboards

June 26, 2017

# NY Sample School-At-A-Glance

**HS GRAPHICS DRAFT**

## 2017-2018 New York Sample School At-a-Glance

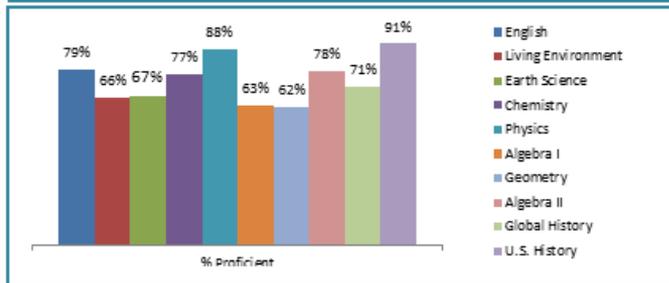
At-a-Glance   Environment   Serving Special Needs   Educators   Financial Supports   Annual Assessments   Preparing Students for College & Careers   Accountability

**ACCOUNTABILITY STATUS: IN GOOD STANDING**



Scores out of 4  
**Academic Achievement:** Test scores  
**Progress:** Improvement made in test scores over previous year  
**English Language Proficiency:** Progress over previous year made by English language learners in becoming proficient in English  
**Chronic Absenteeism:** Absent at least 10% of school days student enrolled  
**Graduation Rate:** Students who entered grade 9 in the same year who earned a local or Regents diploma  
**College, Career & Civic Readiness:** Diplomas, advanced/dual coursework, & CTE & Biliteracy achievement

### HIGH SCHOOL ASSESSMENTS

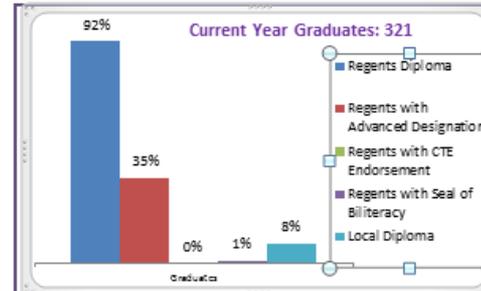


### ENVIRONMENT



Metric	Value
School Grade Configuration	9-12
Enrollment	1,635
Attendance	93%
Suspensions	4%
Incidences of Violence	3

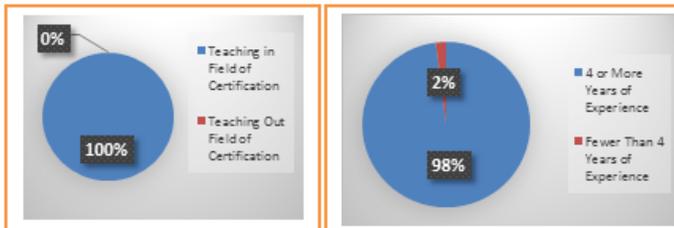
### PREPARING STUDENTS FOR COLLEGE AND CAREERS



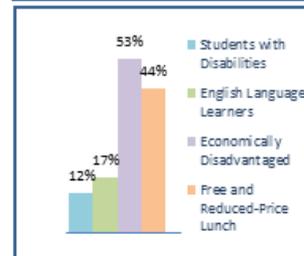
Metric	Percentage
Graduates Enrolled in NYS College after Graduating...	36%
Students who Earned HSE Diploma in Current Year...	0%
12 <sup>th</sup> Graders Still Enrolled	3%
Grades 7-12 Who Dropped Out	7%
Grades 9-12 Enrolled in Accelerated Coursework	9%

### EDUCATORS

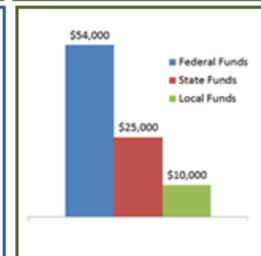
Number of Teachers: 101



### SERVING SPECIAL NEEDS



### FINANCIAL SUPPORTS



# “Thinking Aloud”

1. Quickly form pairs...
2. We are presenting you with two different “At a Glance” reports for either K-8 or HS
3. One Regent will be the recorder and one will be the “thinker” and talker
4. The “talking” Regent will review the report and talk out loud about her/his interpretations about the school. For example:
  - a. What is going well at this school? What needs work?
  - b. Do any of the data raise questions or puzzles?
  - c. What else would you want to know about this school?
5. The “recording” Regent will keep notes about what the talker says. This should take about 10 minutes.
6. Switch roles and switch the “At a Glance” reports
7. Repeat steps 4-5.

# Debriefing Think Aloud Exercise

- 1. How common/different were your interpretations?**
- 2. What features made things easy to understand?**
- 3. What made things a little more challenging to understanding?**

**This approach for evaluating report utility (think aloud) is common for evaluating test items and other interpretative documents/items.**

# Considerations for a Dashboard

- **Policy Levers** – What do you want people to focus on as levers to improve education?
- **Transparency** – What do educators and members of the public need to know in easily understandable ways?
- **Equity** – How can equity status and issues be known so that they can be addressed?

# Michigan Dashboard Summary Page

# 2016-2017 School Name Report Card

Address Street  
Address City, State, Zip

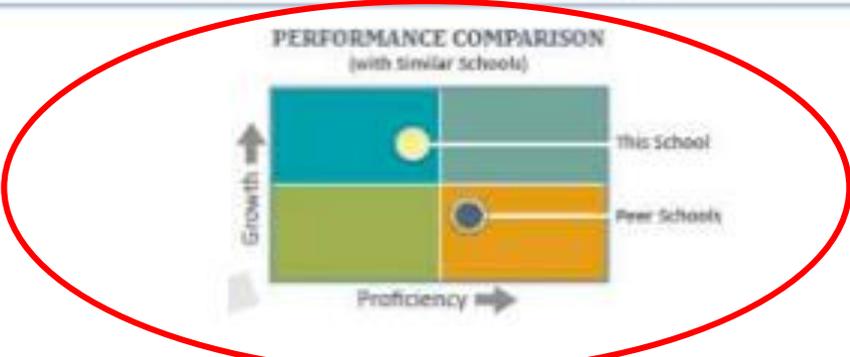


## Key Indicators

<p><b>STUDENT PROFICIENCY</b> Students proficient in math or English language arts.</p> <p>36% <small>SCHOOL VALUE</small></p> <p>38% <small>STATE VALUE</small></p>	<p><b>STUDENT GROWTH</b> Student growth in math or English language arts.</p> <p>41.5% <small>SCHOOL VALUE</small></p> <p>35% <small>STATE VALUE</small></p>	<p><b>GRADUATION RATE</b> Students graduating on time/within 4 years of first entering high school.</p> <p>81% <small>SCHOOL VALUE</small></p> <p>78% <small>STATE VALUE</small></p>
<p><b>ENGLISH LEARNER PROGRESS</b> Progress of English learners toward English language proficiency.</p> <p>34% <small>SCHOOL VALUE</small></p> <p>40% <small>STATE VALUE</small></p>	<p><b>SCHOOL QUALITY/STUDENT SUCCESS</b> School quality and student success attainment.</p> <p>100% <small>SCHOOL VALUE</small></p> <p>90% <small>STATE VALUE</small></p>	<p><b>ASSESSMENT PARTICIPATION</b> Students participating in statewide testing.</p> <p>88.35% <small>SCHOOL VALUE</small></p> <p>85% <small>STATE VALUE</small></p>

## Additional Indicators

<p><b>Postsecondary Readiness</b></p> <p>Remedial enrollment</p> <p>Postsecondary entrance rate</p> <p>Postsecondary completion rate</p> <p>College-ready graduation rate from high school</p>	<p><b>Access/Equity</b></p> <p>Access to technology</p> <p>Art access</p> <p>Early learning access in public school system</p> <p>Achievement gap indicators</p>	<p><b>School Climate/Culture</b></p> <p>Climate/Student Surveys (students, parent, teacher)</p> <p>Support Titles (counselors, school nurses, librarians, etc.)</p> <p>Suspension (new data collection)</p> <p>Expulsion</p> <p>Class Size</p>	<p><b>Student Factors</b></p> <p>Dropout rate</p> <p>Student mobility</p> <p>Attendance/Chronic Absenteeism</p> <p>Extracurriculars</p> <p>LinkDrews (Special Education)</p>	<p><b>Educator Engagement</b></p> <p>Professional development opportunities</p> <p>Appropriate placement of educators</p>	<p><b>Advanced Coursework</b></p> <p>AP course completion</p> <p>AP test taking/Passing</p> <p>CTE program completion</p> <p>Dual enrollment course completion</p> <p>IB completion</p> <p>Michigan Merit Curriculum completion</p>
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# Alberta Example Pages

Source: [https://education.alberta.ca/media/3273036/apori\\_201610\\_province\\_province-report.pdf](https://education.alberta.ca/media/3273036/apori_201610_province_province-report.pdf)

# Accountability Pillar Overall Summary

## Annual Education Results Reports - Oct 2016

### Province: Alberta

Measure Category	Measure Category Evaluation	Measure	Alberta			Measure Evaluation		
			Current Result	Prev Year Result	Prev 3 Year Average	Achievement	Improvement	Overall
Safe and Caring Schools	Excellent	Safe and Caring	89.5	89.2	89.1	Very High	Improved Significantly	Excellent
Student Learning Opportunities	Excellent	Program of Studies	81.9	81.3	81.4	Very High	Improved Significantly	Excellent
		Education Quality	90.1	89.5	89.5	Very High	Improved Significantly	Excellent
		Drop Out Rate	3.2	3.5	3.5	High	Improved Significantly	Good
		High School Completion Rate (3 yr)	76.5	76.5	75.5	High	Improved Significantly	Good
Student Learning Achievement (Grades K-9)	Good	PAT: Acceptable	73.6	72.9	73.4	Intermediate	Maintained	Acceptable
		PAT: Excellence	19.4	18.8	18.6	Intermediate	Improved Significantly	Good
Student Learning Achievement (Grades 10-12)	n/a	Diploma: Acceptable	85.0	85.2	85.1	Intermediate	Maintained	Acceptable
		Diploma: Excellence	21.0	21.0	20.5	High	Improved	Good
		Diploma Exam Participation Rate (4+ Exams)	54.6	54.4	53.5	Intermediate	Improved Significantly	Good
		Rutherford Scholarship Eligibility Rate	60.8	n/a	n/a	n/a	n/a	n/a
Preparation for Lifelong Learning, World of Work, Citizenship	Good	Transition Rate (6 yr)	59.4	59.7	59.3	High	Maintained	Good
		Work Preparation	82.6	82.0	81.1	High	Improved Significantly	Good
		Citizenship	83.9	83.5	83.4	Very High	Improved Significantly	Excellent
Parental Involvement	Good	Parental Involvement	80.9	80.7	80.5	High	Improved	Good
Continuous Improvement	Excellent	School Improvement	81.2	79.6	80.0	Very High	Improved Significantly	Excellent

**Overall Evaluation Table**

The overall evaluation combines the Achievement Evaluation and the Improvement Evaluation. The table below illustrates how the Achievement and Improvement evaluations are combined to get the overall evaluation.

	<b>Achievement</b>				
<b>Improvement</b>	<b>Very High</b>	<b>High</b>	<b>Intermediate</b>	<b>Low</b>	<b>Very Low</b>
Improved Significantly	<b>Excellent</b>	<b>Good</b>	<b>Good</b>	<b>Good</b>	<b>Acceptable</b>
Improved	<b>Excellent</b>	<b>Good</b>	<b>Good</b>	<b>Acceptable</b>	<b>Issue</b>
Maintained	<b>Excellent</b>	<b>Good</b>	<b>Acceptable</b>	<b>Issue</b>	<b>Concern</b>
Declined	<b>Good</b>	<b>Acceptable</b>	<b>Issue</b>	<b>Issue</b>	<b>Concern</b>
Declined Significantly	<b>Acceptable</b>	<b>Issue</b>	<b>Issue</b>	<b>Concern</b>	<b>Concern</b>

# Ohio Dashboard Example Pages

**Source:**

<http://reportcard.education.ohio.gov/Pages/District-Report.aspx?DistrictIRN=048934>

**Note:** "Component grade" modified from the original website text.

# Ohio Example—overall grade & grades by indicator

Link

## 2015 - 2016 Report Card for Dublin Scioto High School [View Printable PDF](#)

Overview

Achievement

Progress

Gap Closing

Graduation Rate

K-3 Literacy

Prepared for Success

SCHOOL GRADE

Coming in  
2018

SCHOOL DETAILS

VIEW DISTRICT



### Financial Data

These measures answer several questions about spending and performance. How much is spent, the source of the revenue and how do these measures compare across districts?

VIEW DATA



### Achievement

The Achievement component represents the number of students who passed the state tests and how well they performed on them.

COMPONENT GRADE

3

VIEW MORE DATA

VIEW GIFTED DATA

Performance Index 72.7%.....	3
Indicators Met 53.8%.....	2



### Progress

The Progress component looks closely at the growth that all students are making based on their past performances.

COMPONENT GRADE

3

VIEW MORE DATA

Value-Added	
Overall.....	4
Gifted.....	4
Lowest 20% in Achievement.....	4
Students with Disabilities.....	2



### Gap Closing

The Gap Closing component shows how well schools are meeting the performance expectations for our most vulnerable populations of students in English language arts, math and graduation.

COMPONENT GRADE

1

VIEW MORE DATA

Annual Measurable Objectives 45.5%.....	1
--	---



### Graduation Rate

The Graduation Rate component looks at the percent of students who are successfully finishing high school with a diploma in four or five years.

COMPONENT GRADE

3

VIEW MORE DATA

Graduation Rates	
92.3% of students graduated in 4 years.....	3
93.9% of students graduated in 5 years.....	3



### K-3 Literacy

The K-3 Literacy component looks at how successful the school is at getting struggling readers on track to proficiency in third grade and beyond.

COMPONENT GRADE

Not Rated

VIEW MORE DATA

K-3 Literacy Improvement NC.....	NR
-------------------------------------	----



### Prepared for Success

Whether training in a technical field or preparing for work or college, the Prepared for Success component looks at how well prepared Ohio's students are for all future opportunities.

COMPONENT GRADE

2

VIEW DATA



**Superintendent:** Daniel P. Parent  
**Address:** 9451 E Harbor Rd  
 Lakeside Marblehead, OH 43440-1310

**Phone:** (419) 798-5185  
**County:** Ottawa

[BACK TO OVERVIEW](#)

**Career Technical Planning District:** [EHOVE JVSD CTPD](#)

*Directory information current as of the 2015-2016 Report Card publication date.*

## Your District's Students

### Enrollment

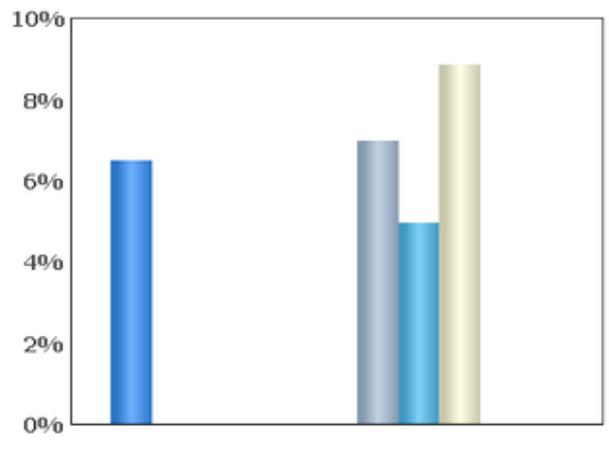
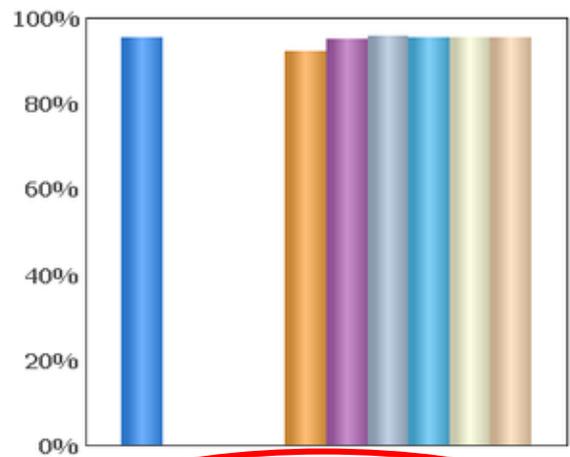
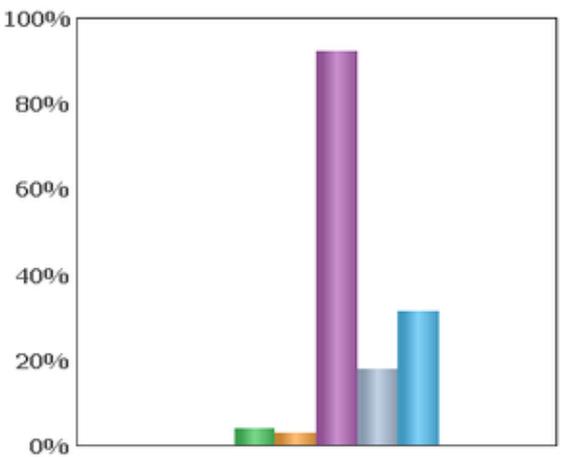
### Attendance

### Mobility

Percentages  Data Table  Trend

Attend Rates  Data Table  Trend

District Mobility  Data Table  Trend



American Indian...  
 Asian or Pacifi...  
 Black, Non-Hisp...  
 Hispanic  
 Multiracial  
 White, Non-Hisp...  
 Students with D...  
 Economic Disadv...  
 Limited English...  
 Migrant

All Students  
 American Indian...  
 Asian or Pacifi...  
 Black, Non-Hisp...  
 Hispanic  
 Multiracial  
 Male  
 Female  
 Students with D...

All Students  
 American Indian ...  
 Asian or Pacific...  
 Black, Non-Hispanic  
 Hispanic  
 Multiracial  
 White, Non-Hispanic  
 Students with Di...  
 Economic Disadv...  
 Limited English ...  
 Migrant

Enrollments of less than 10 students are not shown.

Attendance Rate is not shown if enrollment is less than 10.

This chart shows the percentage of students who, because they moved into or out of the district, did not spend a majority of the school year within the district.

**Chronic Absenteeism Rate: 8.7%**

**Number of Limited English Proficiency Students Excluded from Accountability Calculations: --**

State and federal law require an annual assessment of Limited English Proficient (LEP) students to measure their English language proficiency. The Ohio English Language Proficiency Assessment (OELPA) is the assessment used in Ohio to gauge LEP students' growth in learning English.

[Click here for information about your district's OELPA results.](#)

## Your District's Teachers

	All Schools in the District	High Poverty Schools	Low Poverty Schools
Percentage of teachers with at least a Bachelor's Degree	100.0	0.0	100.0
Percentage of teachers with at least a Master's Degree	67.1	0.0	81.3
Percentage of core academic subject and elementary classes not taught by Highly Qualified Teachers	1	--	0
Percentage of core academic subject and elementary classes taught by properly certified teachers	99	--	100
Percentage of core academic subject elementary and secondary classes taught by teachers with temporary, conditional or long-term substitute certification/licensure	0	--	0

A district's high poverty schools are those ranked in the top quartile based on the percentage of the district's economically disadvantaged students. Low-poverty schools are those ranked in the bottom quartile based on the percentage of economically disadvantaged students. A district may have buildings in both quartiles, in just one quartile, or in neither quartile.

Attendance Rate

**95.9%**

Average Salary

**\$68,469**

Average Years of Experience

**12**

Lead or Senior Teachers

**0.0**

## Educators in your District

	#	Staff	
		Per 1000 Students	State Avg per 1000 Students
School Counselors	2.0	2.0	2.3
School Nurses	1.0	1.0	1.1
School Psychologists	1.0	1.0	1.2
Interpreters	0.0	0.0	0.2
Library or Media Specialists	1.0	1.0	1.4
Audiologist	0.0	0.0	0.0
Physical/Occupational Therapist	0.0	0.0	0.8
Social Worker	0.0	0.0	0.2
General Education Teachers	32.0	32.0	46.4
Career-Technical Teachers	1.0	1.0	2.3
Special Education Teachers	1.5	1.5	10.6
Teacher Aides	12.0	12.0	7.0
Gifted Intervention Specialists	0.0	0.0	0.6
Fine Arts Teachers	3.0	3.0	3.0
Music Teachers	2.0	2.0	2.5
Physical Education Teachers	2.0	2.0	2.9
ELL Specialists	1.0	1.0	0.3

## Your District's Principals

Percentage of principals with at least a Bachelor's Degree 100.0%

Percentage of principals with at least a Master's Degree 100.0%

Overview continued  
(scrolling down from content  
on previous slide)

## Achievement



The Achievement component represents the number of students who passed the state tests and how well they performed on them.

### COMPONENT GRADE

# 3

### GRADE

# 3

### Performance Index

The Performance Index measures the test results of every student, not just those who score proficient or higher. There are six levels on the index and schools receive points for every student in each of these levels. The higher the achievement level, the more the points awarded in the school's index. This rewards schools and districts for improving the performance of all students, regardless of achievement level.

#### Performance Index

Calculation
  Pie Chart
  Trend



# 72.7%

87.2 of a possible 120.0

Achievement Level	Pct of Students		Points for this Level	=	Points Received
Advanced Plus	0.0	x	1.3	=	0.0
Advanced	12.9	x	1.2	=	15.5
Accelerated	20.5	x	1.1	=	22.5
Proficient	33.5	x	1.0	=	33.5
Basic	19.0	x	0.6	=	11.4
Limited	14.1	x	0.3	=	4.2
Untested	0.0	x	0.0	=	0.0
					<b>87.2</b>

### GRADE

# 2

### Indicators Met

Indicators Met measures the percent of students who have passed state tests. It also includes the gifted indicator. Test results are reported for each student in a grade and subject.

[Click here](#) for a complete list of passage rates required to meet each indicator.

#### Indicators Met %



# 53.8%

7 out of 13

Indicators
  Comparison
  Achievement Levels
  Trend

OGT, 11th Graders	Mathematics	96.2%	✓
	Reading	96.8%	✓
	Science	93.6%	✓
	Social Studies	93.6%	✓
	Writing	95.2%	✓
	HS	Algebra I	53.0%
	Biology	80.3%	✓
	English I	72.7%	✗
	English II	74.2%	✗
	Geometry	57.1%	✗

## Progress



The Progress component looks closely at the growth that all students are making based on their past performances.

For more detailed data on Progress and Value-Added, [click here](#).

### COMPONENT GRADE

**3**

#### GRADE

**4**

### Overall

This measures the progress for all students in math, ELA, science and social studies using tests in grades 4-8 and some end-of-course exams.

#### GRADE

**4**

### Gifted Students

This measures the progress for students identified as gifted in reading, math, science, social studies and/or superior cognitive ability.

#### GRADE

**4**

### Students in the Lowest 20% in Achievement

This measures the progress for students identified as the lowest 20% statewide in reading, math, science or social studies achievement.

#### GRADE

**2**

### Students with Disabilities

This measures the progress for students with disabilities.

## Progress Details

- Value-Added Data
  Progress vs. Performance Index

These tables show the Progress scores by test grade and subject for students in grades 4-8 and some end-of-course tests, and includes up to three years of data as available.

Test Grade	Progress Score		
	English Language Arts	Mathematics	All Tests
All Grades	4.95	-0.26	3.89

Test Grade		Progress Score
High School	English I	3.65
	English II	3.34

Test Grade		Progress Score
High School	Algebra I	1.56
	Geometry	-2.01

Overview

Achievement

Progress

**Gap Closing**

Graduation Rate

K-3 Literacy

Prepared for Success

## Gap Closing



The Gap Closing component shows how well schools are meeting the performance expectations for our most vulnerable populations of students in English language arts, math and graduation.

**COMPONENT GRADE**  
**1**

**GRADE**

### Annual Measurable Objectives

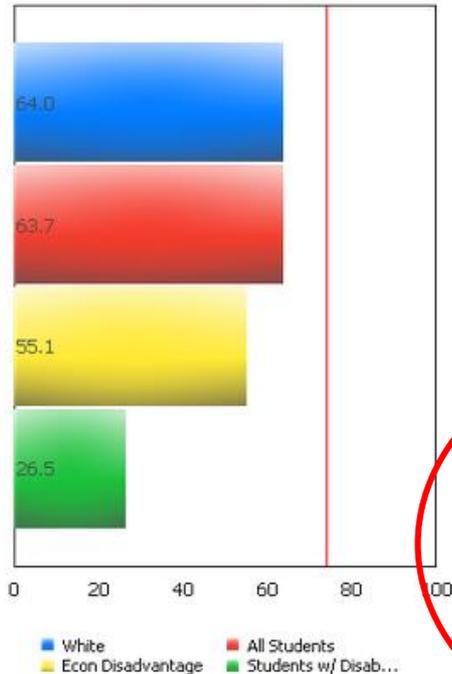
Annual Measurable Objectives (AMOs) compare the performance of student groups to a state goal which is displayed as the red line in the following charts. These charts show how well each group achieves that goal in ELA, math and graduation – and emphasize any achievement gaps that exist between groups. The ultimate goal is for all groups to achieve at high levels.

**1**

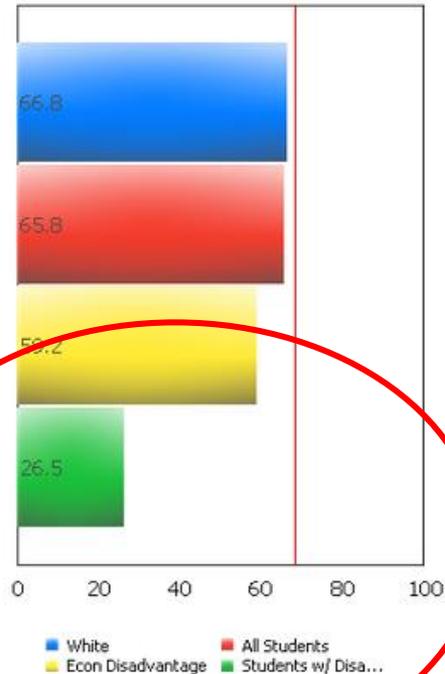


**35.0%**

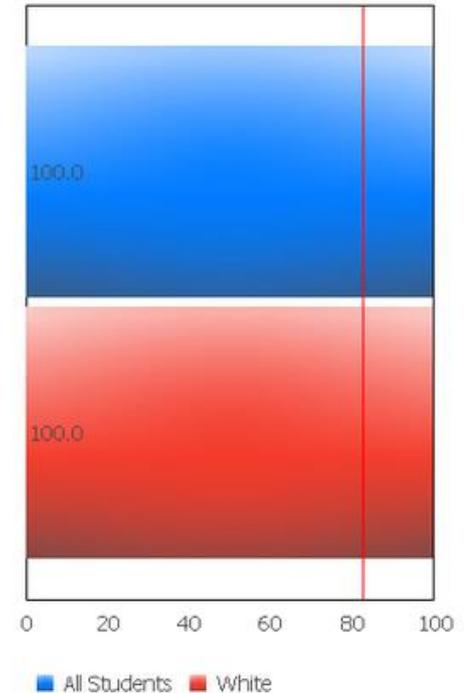
**English Language Arts**



**Math**



**Graduation Rate**



The red line on each graph identifies the Annual Measurable Objective. The 2016 AMO for ELA is 74.2%, for Math is 68.5%, and for Graduation Rate is 82.8%. Subgroups with fewer than 30 students are not rated and do not appear on the graphs.

## Graduation Rate



The Graduation Rate component looks at the percent of students who are successfully finishing high school with a diploma in four or five years.

### COMPONENT GRADE

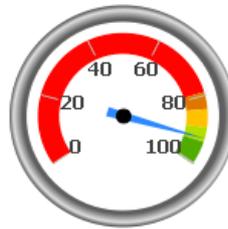
3

### 4-Year Graduation Rate

The 4-year graduation rate applies to the Class of 2015 who graduated within four years, i.e. students who entered the 9th grade in 2012 and graduated by 2015.



92.3%

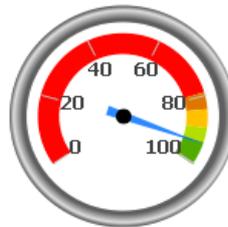


### 5-Year Graduation Rate

The 5-year graduation rate applies to the Class of 2014 who graduated within five years, i.e. students who entered the 9th grade in 2011 and graduated by 2015.



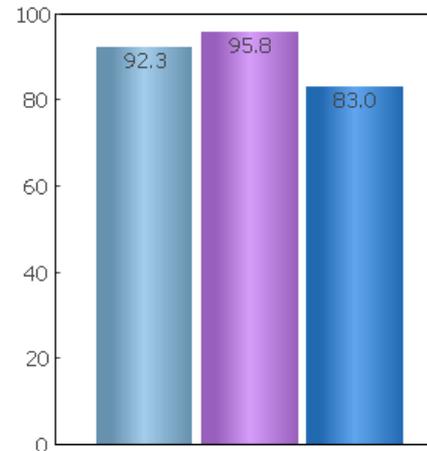
93.9%



Comparison

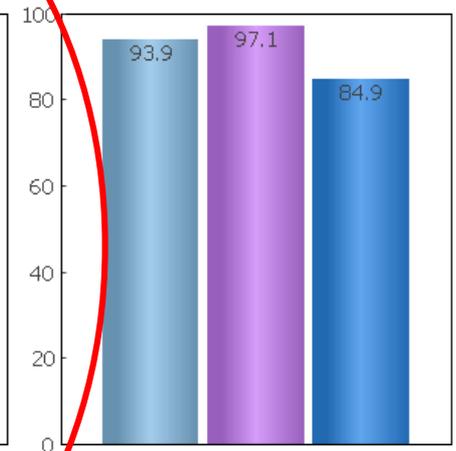
Trend

4-Year Rate



School District  
State Average

5-Year Rate



School District  
State Average

## Prepared for Success



Whether training in a technical field or preparing for work or college, the Prepared for Success component looks at how well prepared Ohio's students are for all future opportunities.

### COMPONENT GRADE

2

### GRADE

2



**40.6%**

0.0%  
1.9%  
1.9%  
3.9%  
.9%

Number of students that earned a remediation free score on all parts of the ACT or SAT, earned an honors diploma, and/or earned an industry-recognized credential

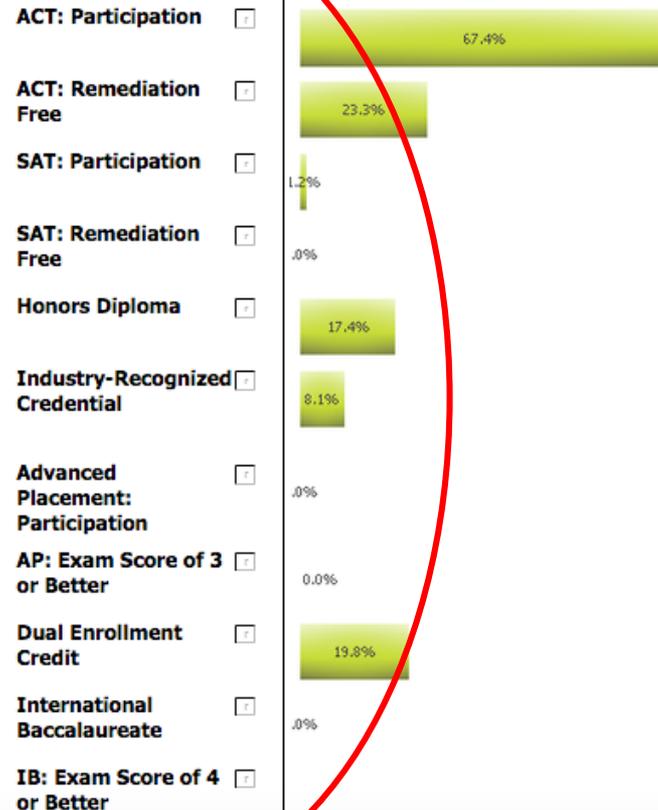
The number of "bonus" students that count an additional 0.3 bonus points each, because they did the above and also earned a 3 or higher on at least one AP exam; earned a 4 or higher on at least one IB exam; and/or earned at least three college credits before leaving high school

Number of	Point Value	Points Earned
31	1	31.0
13	0.3	3.9
<b>Total Points:</b>		<b>34.9</b>
<b>Graduation Cohort:</b>		<b>86</b>
<b>Percentage:</b>		<b>40.6%</b>

Graduates Ready

College Ready

### How Prepared were Your 2014 and 2015 Graduating Classes?



# New York City Example Pages

NYC Department of Education

# 2016 School Performance Dashboard

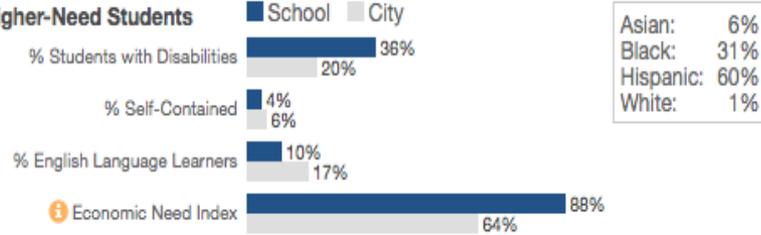
→Select School: 01M015 [ES] — P.S. 015 Roberto Clemente

→Select View: City (City includes 661 ES)

## Student Population 2016

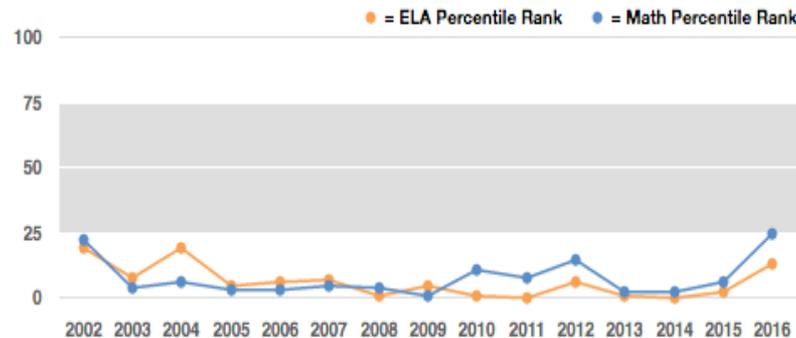
Grades	PK	K	01	02	03	04	05	06	07	08	09	10	11	12	Total
Enrollment	14	32	33	39	23	17	18								162

### Higher-Need Students



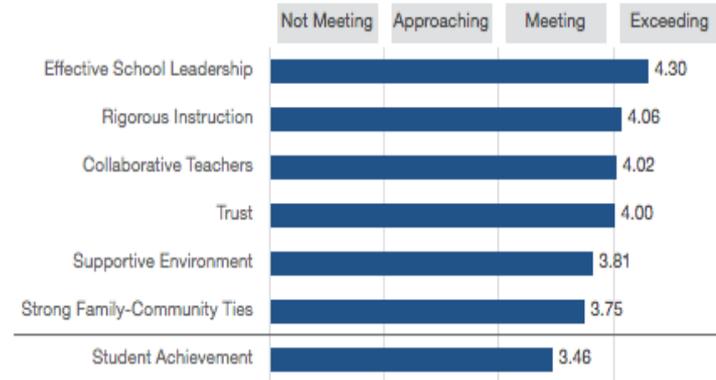
## Citywide Percentile Rank: State Test Results 2002 - 2016

Shaded regions are middle two quartiles citywide. Results above shaded regions were in top 25%, and results below the shaded regions were in the bottom 25% citywide.



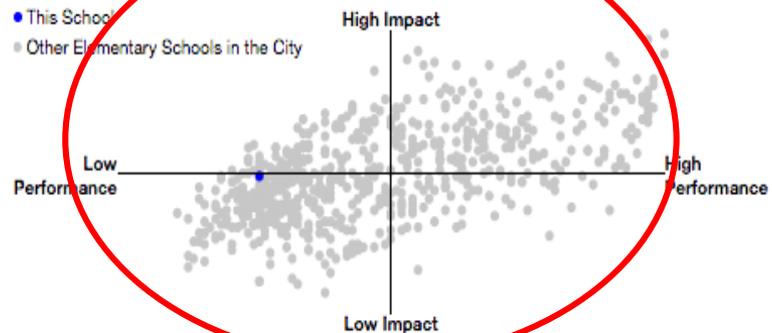
## Framework Scores 2016

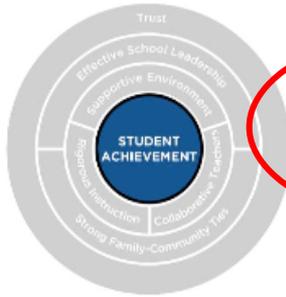
School practices and conditions (measured by Quality Review and NYC School Survey) that drive student achievement. Scores are on scale from 1.00 - 4.99.



## Impact and Performance 2016

Based on all student achievement metrics, **Impact** measures school against expected outcomes, adjusted for incoming student factors; **Performance** is unadjusted performance.





**Student Achievement**

This section presents information on this school's state test results, including student growth and performance, how students performed in core courses, and how well students are prepared for middle school.

**Growth on State Tests**

**English**

How well did this school help students improve on their State English tests?

All Students at this School

School's Lowest Performing Students

**Math**

How well did this school help students improve on their State math tests?

All Students at this School

School's Lowest Performing Students

**Closing the Achievement Gap**

How well did this school help different groups of students improve on their State English and math tests?

	English	Math
English Language Learners		
Students with Special Needs		
City's Lowest Performing Students		

**Performance on State Tests**

**English**

**17%**

met State standards on the State English test; the average score at this school was 2.3 out of 4.5

Comparison Group\*: 17%  
District: 43%  
City: 39%

At this school, how did students from different starting points in 3rd grade perform on state tests in 5th grade?

English		
Starting Point (3rd grade level)	5th Grade Outcomes (on state ELA test)	Comp Group*
Level 3 or 4	N/A scored 3 or 4	N/A
Level 2	9% scored 3 or 4	14%
Level 1	N/A scored 2, 3, or 4	N/A

**Math**

**20%**

met State standards on the State math test; the average score at this school was 2.3 out of 4.5

Comparison Group\*: 19%  
District: 47%  
City: 40%

Math		
Starting Point (3rd grade level)	5th Grade Outcomes (on state math test)	Comp Group*
Level 3 or 4	N/A scored 3 or 4	N/A
Level 2	11% scored 3 or 4	12%
Level 1	N/A scored 2, 3, or 4	N/A

**Passing Courses**

**Next Level Readiness**

**56%**

pass rate by this school's former 5th graders in their 6th grade classes in math, English, social studies, and science

Comparison Group\*: 86%  
District: 74%  
City: 94%

**Which middle schools did students from this school most frequently attend?**

- 29% Tompkins Square Middle School
- 17% School For Global Leaders
- 13% P.S. 034 Franklin D. Roosevelt
- 8% Technology, Arts, And Sciences Studio
- 8% Great Oaks Charter School

**KEY:**



\*Comparison Group is made up of students from other schools across the city who were the most similar to the students at this school, based on their prior test scores, disability status, and economic need. The "comparison group" result is an estimate of how the students at this school would have performed if they had attended other schools throughout the city.

The section ratings are based on more information than what is included in this summary report. For more information, please see: <http://schools.nyc.gov/Accountability>

# Student Achievement Metrics

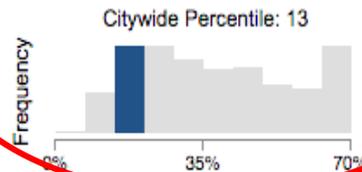
Detailed school, Comparison Group, and Citywide results and comparisons for three selected metrics.

2016 Data

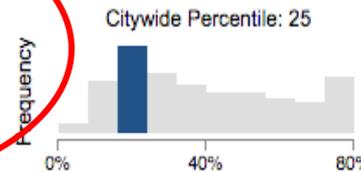
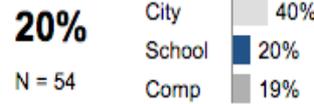
**Results and Comparisons**  
 Comparison Group ("Comp") shows expected outcomes, adjusted for incoming student factors.

**School within City Distribution**  
 Shows distribution of Citywide results  
 Position of school's result

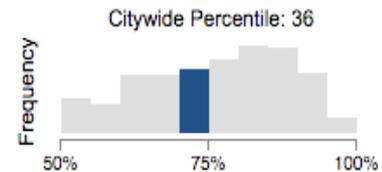
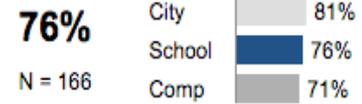
ELA - Percent at Level 3 or 4



Math - Percent at Level 3 or 4



Pct with 90%+ Attendance



Multi-Year Data (2013-2016)

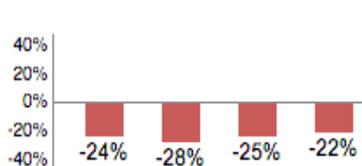
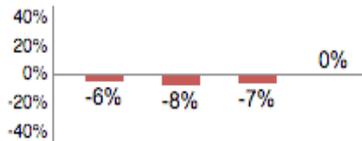
**School Year Ending:**  
 School's Result for Metric:

**Trends Over Time**  
 School  
 Comparison Group  
 City

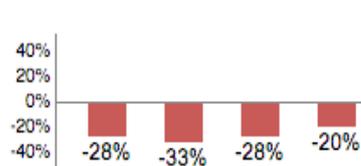
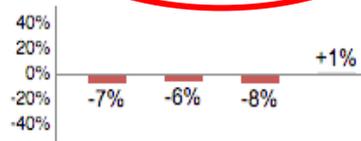
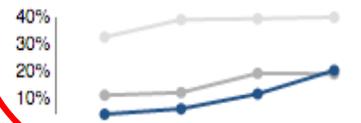
**School vs. Comparison Group**  
 (% = percentage-point difference)  
 School above Comp Group  
 School similar to Comp Group  
 School below Comp Group

**School vs. City**  
 (% = percentage-point difference)  
 School above City Avg  
 School similar to City Avg  
 School below City

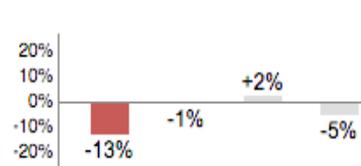
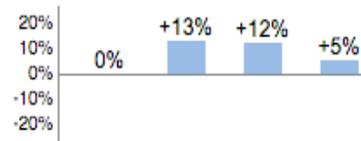
2013	2014	2015	2016
4%	2%	5%	17%



2013	2014	2015	2016
4%	6%	12%	20%



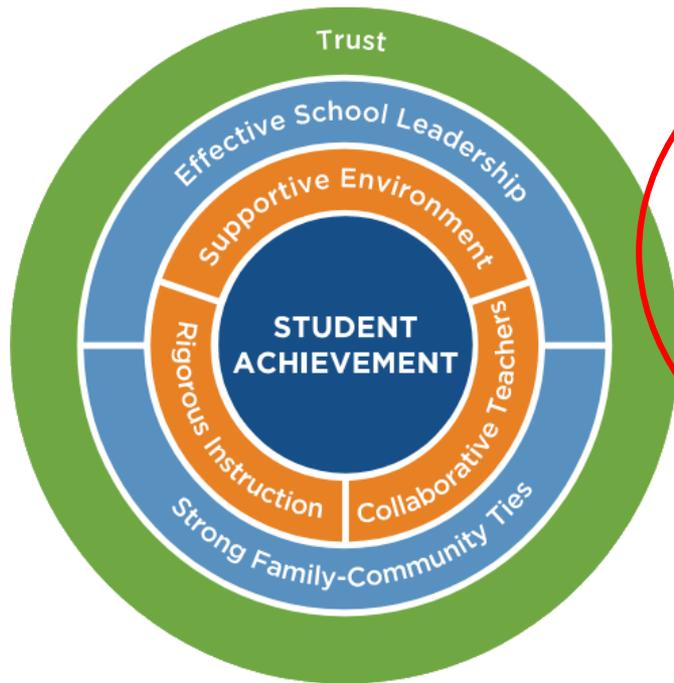
2013	2014	2015	2016
66%	77%	82%	76%



# P.S. 015 Roberto Clemente (01M015)

## Framework for Great Schools

Research shows that schools strong in the six areas are far more likely to improve student learning.



## Student Achievement



### KEY:

Excellent



Good



Fair



Poor



# Questions

- 1. What categories of data are important to you?**
- 2. What kinds of comparisons are important to you?**
  - **Trends over time**
  - **Comparisons with other schools in district, state, similar schools**
  - **Subgroup comparisons**
- 3. What kind of displays help make the data easier to understand? (e.g. graphs and charts, color coding, tables, pictures, etc.)**

# New York State Report Card Dashboard Mock-Up

DRAFT

# Potential tabs

1. Accountability
2. Academic assessments
3. Postsecondary Readiness
4. School climate
5. Equity

# Potential Tab

# Accountability

State Indicators	All Students Performance	Status	Status Value	Change	Change Value
<a href="#">English Language Arts (3-8)</a>		High	31.7 points above level 3	Maintained	+0.6 points
<a href="#">Mathematics (3-8)</a>		High	12.8 points above level 3	Maintained	+0.9 points
<a href="#">Student Growth (4-8)</a>		Low	2.4%	Declined	-0.5%
<a href="#">School Progress (4-8)</a>		High	80.6%	Declined	-1.6%
<a href="#">Graduation Rate (9-12)</a>		High	93.2%	Increased	+2.7%
Chronic Absenteeism	N/A	N/A	N/A	N/A	N/A
<a href="#">College/Career</a>	N/A	N/A	N/A	N/A	N/A
English Learner Progress (K-12)		High	80.6%	Declined	-1.6%
Suspension Rate (K-8)	N/A	N/A	N/A	N/A	N/A

# Potential Accountability Tab

## Graduation Rates by Subgroup

Graduates with Regents Diploma, Graduates with Local Diploma, Graduates with Seal of Biliteracy, etc.

Diploma Type	Student Performance	Number of Students	Status	Status Value	Change	Change Value
<a href="#">All Students</a>	★★★★★	732	High	93.2%	Increased	+2.7%
<a href="#">English Learners</a>	★★★★☆	156	Medium	87.2%	Increased	+3.8%
Foster Youth		N/A	N/A		N/A	
Homeless		N/A	N/A		N/A	
<a href="#">Socioeconomically Disadvantaged</a>	★★★☆☆	315	Medium	88.3%	Maintained	-0.3%
<a href="#">Students with Disabilities</a>	★★☆☆☆	60	Low	70%	Maintained	+0.3%
<a href="#">African American</a>	★★★☆☆	62	Low	83.9%	Increased	+3.2%
<a href="#">American Indian</a>	*		*		*	
<a href="#">Asian</a>	★★★★☆	283	High	94%	Increased	+1.6%
<a href="#">Filipino</a>	★★★★★	57	High	98.3%	Increased	+5.8%
<a href="#">Hispanic</a>	★★★★★	121	High	90.1%	Increased	+5.1%
<a href="#">Pacific Islander</a>	*	5	*		*	

# Potential Tab

# Academic Assessments

Dropdown menu to select specific assessment (Elementary/Middle, Regents, Alternative Assessment, etc.)

Everest Elementary

2013 All Grades All Students

PSSA % By Performance Level

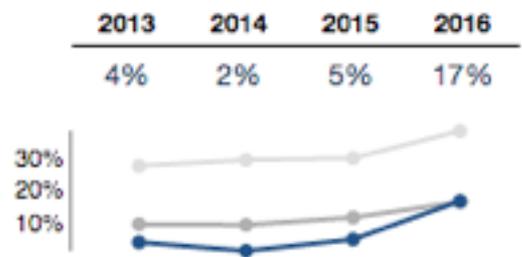
Subject	%	N	N	Below	Basic	Proficient	Advanced
Math	92%	606	20	2	6	19	73
ELA	89%	601	78	5	6	33	57
Science	96%	202	43	2	2	22	73

ELA - Percent at Level 3 or 4



English Learner Progress % By Performance Level

NYSELAT	%	N	Entering	Emerging	Transitioning	Commanding
English Language Learners			8	29	36	27
Multilingual Learners			7	14	36	43



# Postsecondary Readiness

GRADUATION

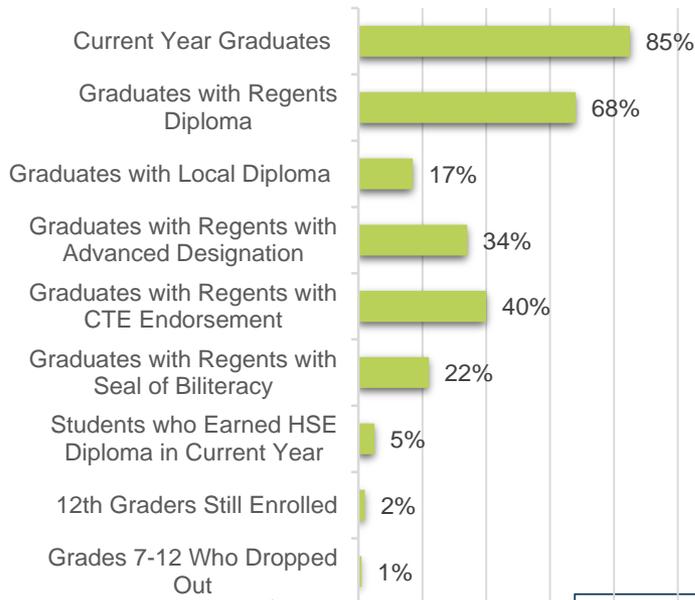
3 / 4

COLLEGE & CAREER

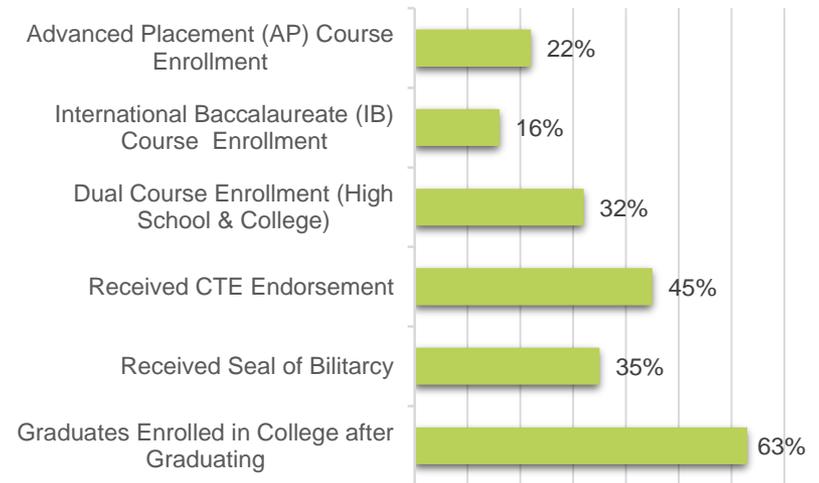
3 / 4

85% of students graduated. 68% received a Regents diploma.

## Graduation Statistics



## College and Career Readiness



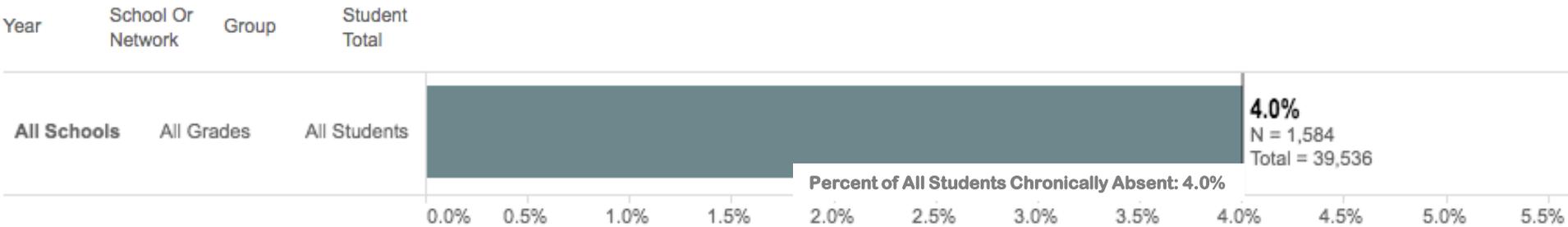
Click on an indicator to see trends over time and by subgroup.

# School Climate



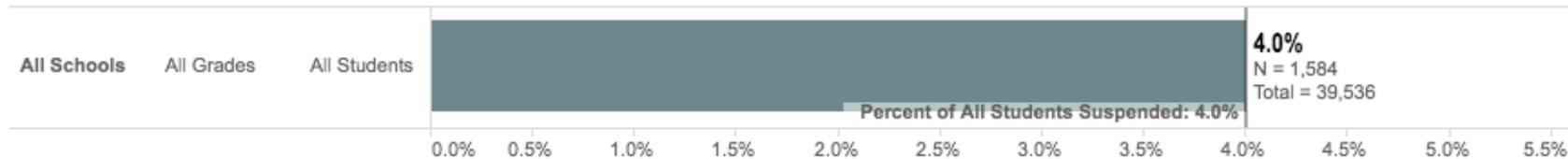
## Chronic Absence Rates

Select Academic Year: 2015-16 | 
 Select Grade: (All) | 
 View by Network/Scho...: District | 
 Select Network/School: All Schools | 
 View by Subgroup: All Students | 
 Select Subgroup: All Students



## Snapshot of Students Receiving Suspensions

Select Academic Year: 2015-16 | 
 View by Network/School: District | 
 Select Network/School: All Schools | 
 View by Grade: All Grades | 
 Select Grade(s): All Grades | 
 View by Group: All | 
 Select Group(s): All Students

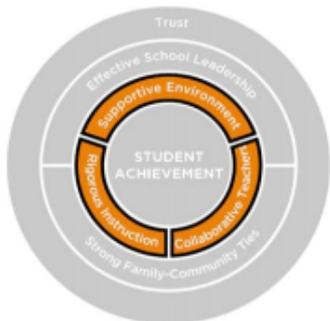


# Potential School Climate Tab

## Option to link to local school climate reports

### 2015-16 School Quality Snapshot / HS

John Adams High School (27Q480)



#### Rigorous Instruction



Curriculum and instruction are designed to engage students, foster critical thinking skills, and are aligned to the Common Core.

##### Quality Review <sup>1</sup>

How interesting and challenging is the curriculum?



How effective is the teaching and learning?



How well does the school assess what students are learning?



##### Survey <sup>2</sup>

**76%**

responded positively to questions about Rigorous Instruction

Borough: 81%  
City: 81%

##### Selected Questions

- 56% of students say that they learn a lot from feedback on their work (City: 65%)
- 77% of students know what their teacher wants them to learn in class (City: 80%)
- 59% of teachers say that students build on each other's ideas during class discussions (City: 65%)

#### <sup>1</sup> Quality Review

Ratings from an experienced educator who visited and evaluated the school on April 5, 2016

#### Collaborative Teachers



Teachers participate in opportunities to develop, grow, and contribute to the continuous improvement of the school community.

##### Quality Review

How well do teachers work with each other?



##### Survey

**75%**

responded positively to questions about Collaborative Teachers

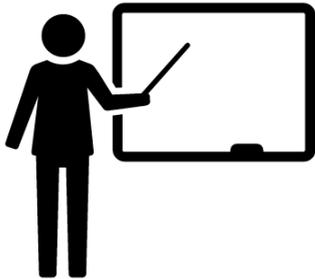
Borough: 81%  
City: 80%

##### Selected Questions

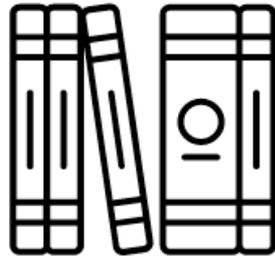
- 79% of teachers say that they work together to design instructional programs (City: 87%)
- 77% of teachers say that they have opportunities to work productively with colleagues in their school (City: 83%)
- 86% of teachers say that they feel responsible that all students learn (City: 86%)

# Potential Tab

## Equity Metrics



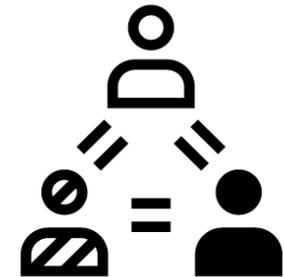
Staff



Access to a  
broad, rich  
curriculum



Resources

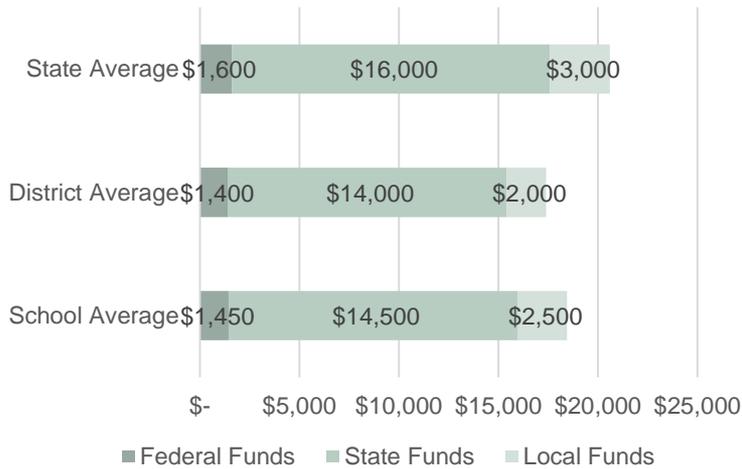


Student  
Integration  
*Coming soon!*



# Potential Equity Tab Resources

## Funding per Pupil



## Students per staff



## Average class size

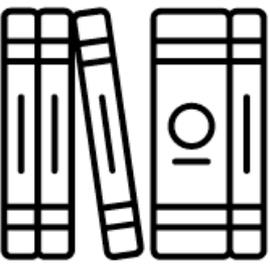
Select Grade

(All) ▼

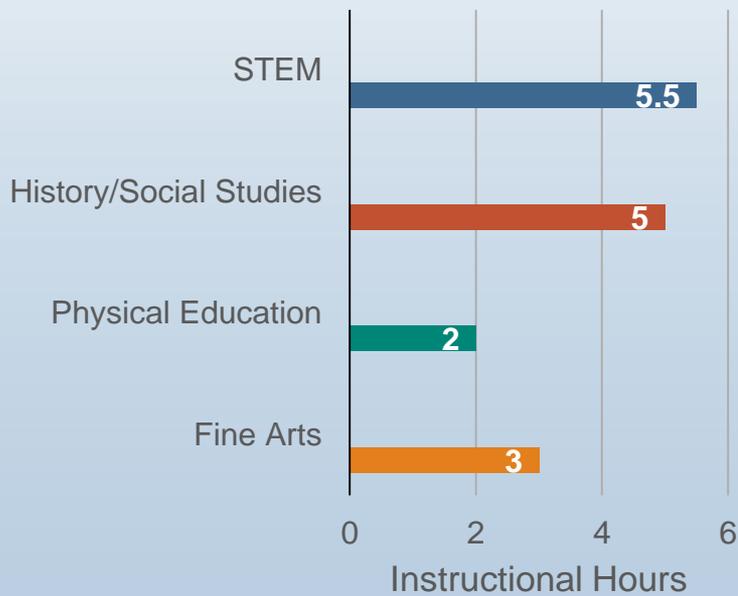
21

students per class

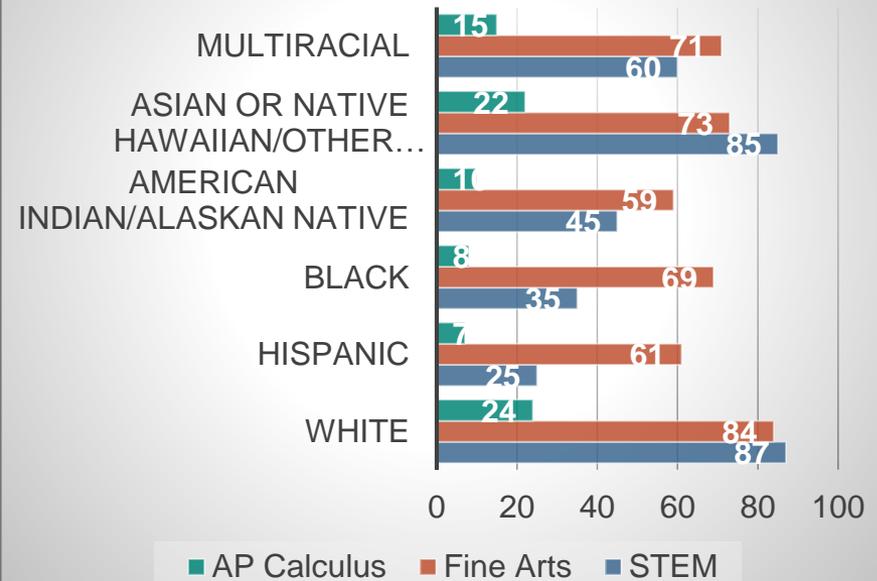
# Access to a Broad, Rich Curriculum



Students Access to Course by Instructional Hours



Percent of Students Enrolled by Course



Might also show:

- Teacher turnover
- Teacher absence
- Teacher survey responses, such as satisfaction rates and access to professional development

Might also compare to the state average.



## TEACHERS AT THIS SCHOOL



Teachers are one of the most influential factors in determining school and student success. This measure provides information about the qualifications of teachers in your school.

### Experienced

More than 3 years teaching in the classroom

78%

[VIEW DEFINITION](#)

### Teaching Outside of their Area of Certification

8%

[VIEW DEFINITION](#)

### Teaching with an Emergency Certificate

5%

[VIEW DEFINITION](#)

## EXPERIENCED TEACHERS: COMPARISON TO OTHER SCHOOLS

### EXPERIENCED

South Bernhardt

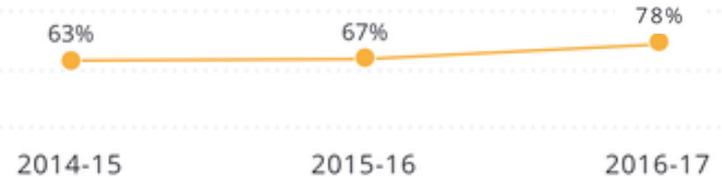
78%

District Average

72%

[COMPARE ALL DISTRICT SCHOOLS](#)

## EXPERIENCED TEACHERS: 3 YEAR TRENDS



# ATTACHMENT III

## Next Generation Assessment Systems

Scott Marion  
Center for Assessment

July 2017 New York Regents Retreat

# Concerns About Current Testing

- ✓ We've over-promised what our tests can do
- ✓ We're over-testing because of an incoherent Babel of state and local tests
- ✓ We've under-delivered meaningful and useful information to teachers and students
- ✓ Many of our test are irrelevant for students
- ✓ We are not capitalizing on some key tech advances
- ✓ Lack of assessment literacy



# Focus of Discussion

- Stakeholders, purposes, and uses
- Systems of assessment
- Innovative assessments
- A process for moving forward

# Purposes, Uses, and Users

## Purposes/Uses

- Accountability
- Monitoring Equity
- Instruction/learning
- Grading
- Program/curricular evaluation

## Context and users

- State policy leaders
- District leaders
- District CIA leaders
- Principals
- Teachers
- Students
- Parents

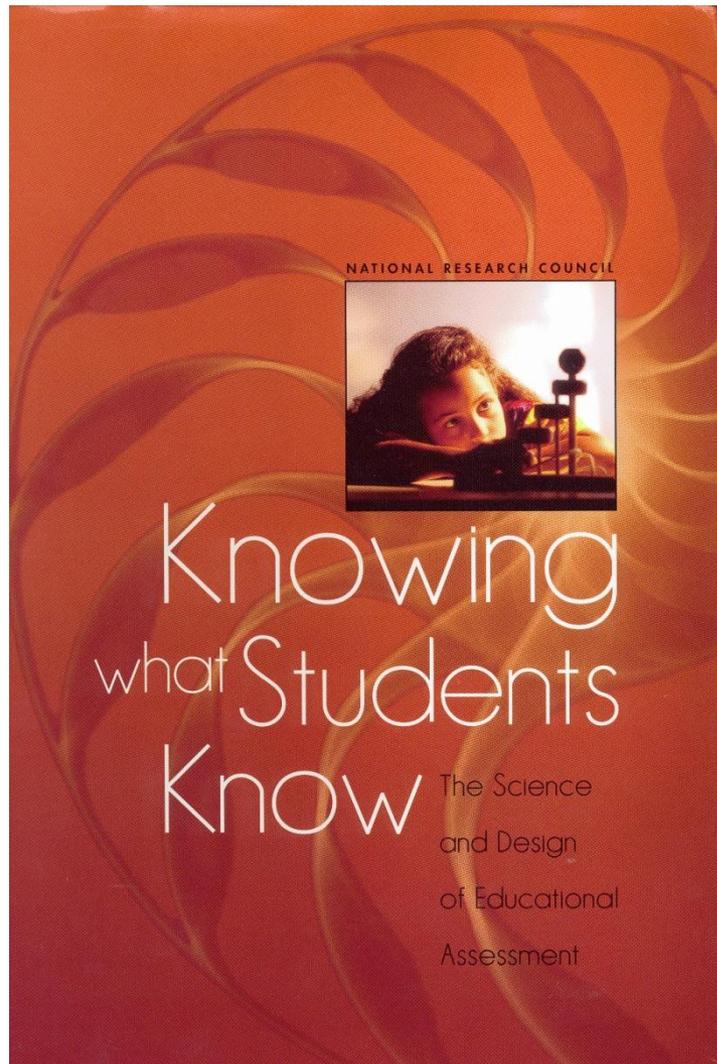
Assessments must be designed to support well-defined **purposes** and intended **uses**.

# Assessment Design Involves Tradeoffs

A key trade-off in current assessment design: **Accountability** versus **instructional** support and improvement for individual students

“Ironically, the questions that are of most use to the state officer are of the least use to the teacher.” Pellegrino, Chudowsky, & Glaser (2001)

Why? Timing, grain size, connection to taught curriculum...



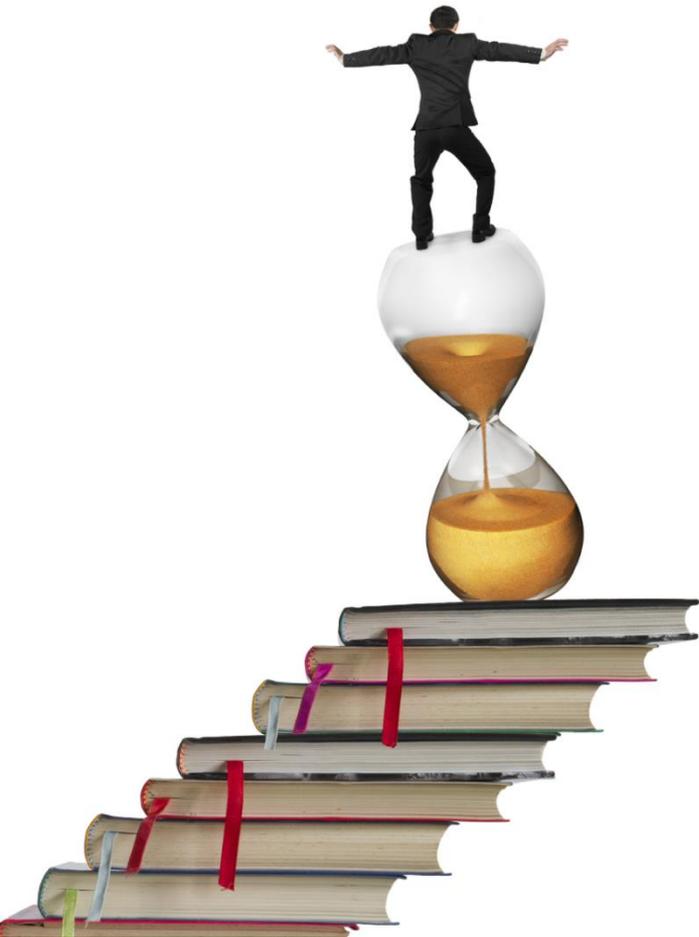
# A Call for Assessment Systems...

- The differing purposes and intended uses of large-scale and classroom level assessments make clear that **different assessments** are needed
  - standardized vs. dynamic/flexible
  - uniform vs. variable dates
  - independent vs. assisted (scaffolded) performance
  - delayed vs. immediate feedback
  - stringent requirements for technical accuracy vs. less stringent requirements

How do we keep these multiple assessments from becoming incoherent and inefficient?



# Balanced Assessment Systems to Serve Multiple Purposes



- Since *Knowing What Students Know* (Pellegrino, et al., 2001), we've seen increasing calls for Balanced Assessment Systems
  - Coherent
  - Comprehensive
  - Continuous
- Assessment systems designed to serve multiple purposes require thoughtful planning about which data will be privileged at each level (Chattergoon & Marion, 2016).

# Who's Responsible for Achieving Balance?

Microcosm:  
Classroom-Level Assessments



Macrocosm:  
System of Assessments



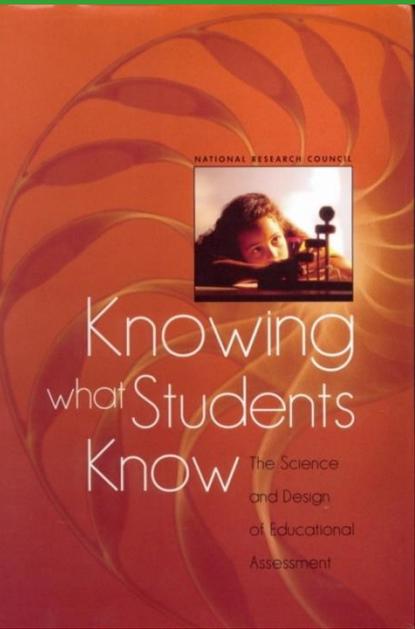
# What's the Glue?

Building assessments on an *assessment triangle* requires:

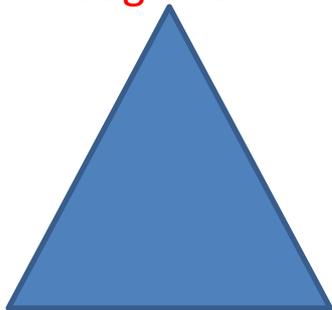
- ***A model of student cognition and ways of developing competence in a domain,***
- ***tasks for eliciting/observing,***
- ***& interpretation processes.***

To support learning, assessment systems must be ***coherent: Vertically*** between classroom and large-scale, and ***horizontally among curriculum, instruction and assessment.***

**Models for instructional guidance must be much more fine-grained than for accountability tests.**



Cognition



Interpretation

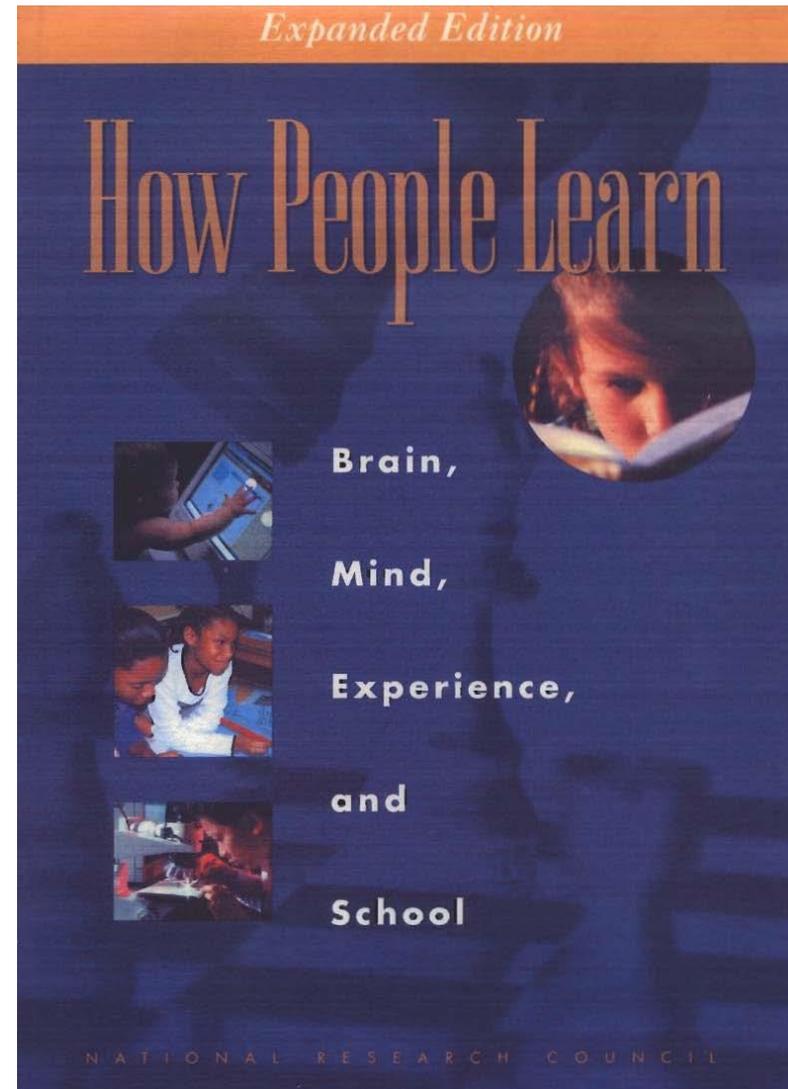
Observation

# Not Just Any Model of Learning

Assessments and assessment systems must be based on **research-based models of learning**

Adherence to outdated, naïve, and/or implicit notions of learning are an impediment to assessment literacy and assessment reform

Bransford, Brown, Cocking (Eds.). (1999). [How People Learn: Brain, Mind, Experience, and School](#). National Research Council (in the process of being updated).



# Why Innovate?

- Need to find ways to support multiple users in the system
- Need to “rebalance” the system
- Need to support increases in student and educator learning
- We need to capitalize on the affordances offered by technology
- Need to better capture thinking processes as well as products
- Need to manage costs

# New Hampshire's Innovative Model

- The New Hampshire Department of Education (NH DOE) was granted by the US Department of Education (USED) a series of waivers from NCLB and ESSA to implement the **Performance Assessment of Competency Education (PACE)** as a pilot assessment and accountability system for a limited number of school districts.
  - Four NH districts in Year 1, 9 in Year 2, 32 in Year 3
- Led by the NH DOE in close partnership with the district leads and the Center for Assessment

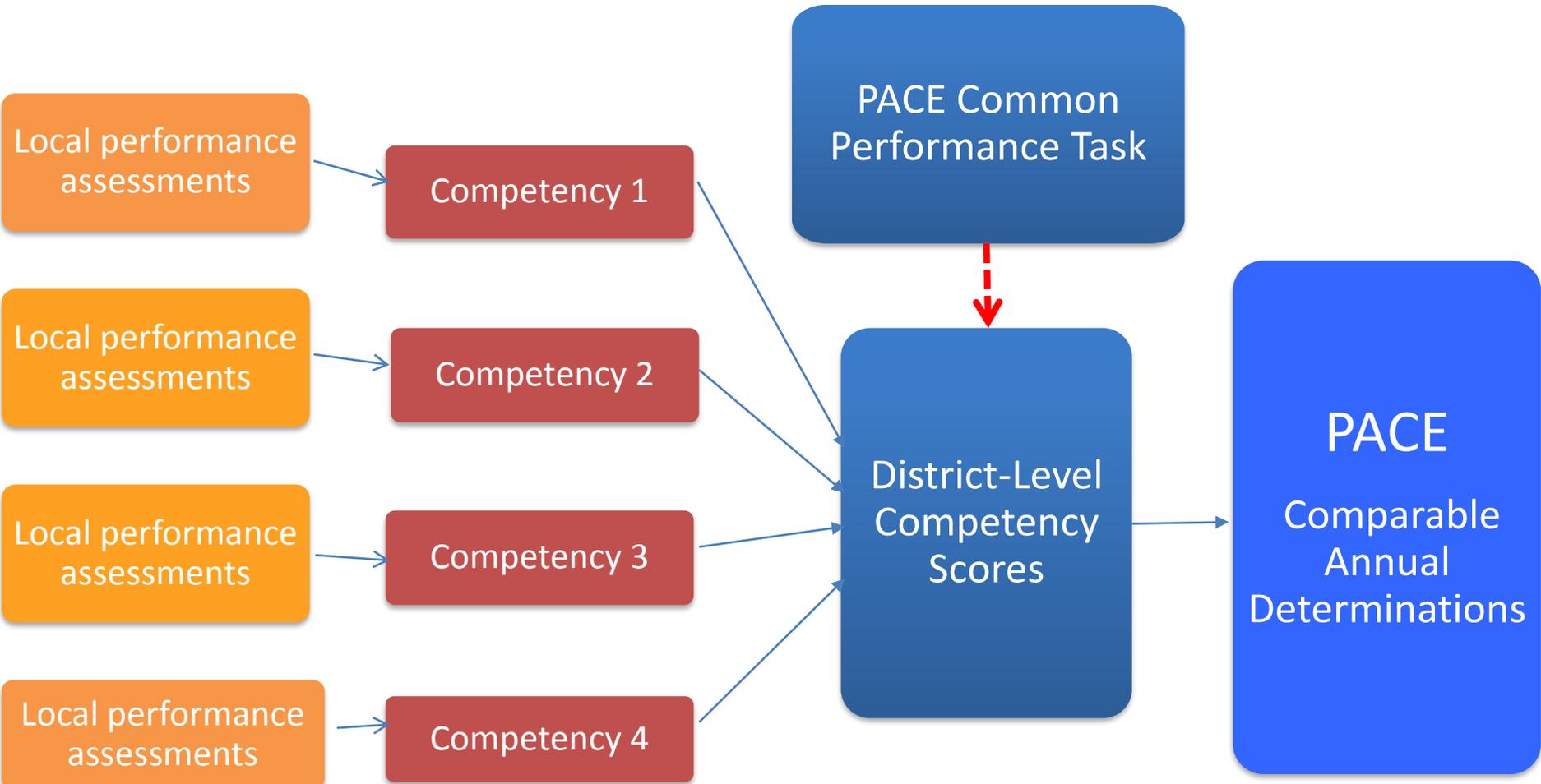
# PACE as a “re-Balanced” Assessment System



- The emphasis on local assessments and collaboratively-created “common tasks” along with the limited use of the state assessment helps to **rebalance the system**
- Such a system supports multiple stakeholders:
  - Teachers
  - Leaders
  - Policy Makers
  - Parents
  - Students
- Requires additional resources and intense capacity building

# The PACE Assessment System

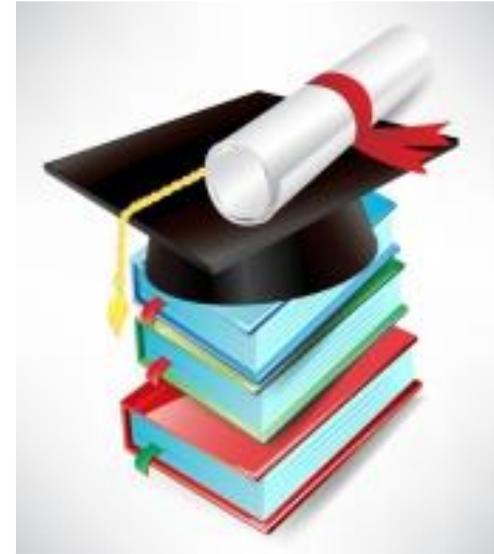
State summative assessment in select grades



# Supporting Deeper Learning for Students

The assessments used to **evaluate student mastery** of the PACE competencies are designed to **embody** rich learning goals.

- **Modern theories of learning** make clear that developing **deep understanding** is necessary to facilitate **transfer**.
- Students cannot develop deep understanding unless they are provided **multiple and varied opportunities** with both **learning** and **assessment tasks**.



# PACE Example – Water Tower Proposal

## HS Geometry PACE Common Task

- **The Problem:** Your town's population is predicted to increase over the next 3 years. As one of the town planners, you are asked to address this issue in terms of the town's water supply. In order to meet the future needs of the town, you need to make a proposal to add a water tower somewhere on town property that will be capable of holding  $45,000 \pm 2,000$  cubic feet of water. The town is looking for a water tower to contain the most amount of water while using the least amount of construction material.
- **Student Task:** Your job is to prepare a proposal that can be submitted to the town planning committee. Using your calculations of surface area and volume for two different designs, describe and analyze the characteristics that lead you to a final recommendation.



# PACE Example – Middle School Solar Cooker

**Essential Question:** How is energy transferred between places and converted between types?



- You are working for a company that wants to find affordable and environmentally-friendly ways to reduce the need for wood and charcoal when cooking.
- You have been tasked to create a device that uses renewable energy.
- You and a group will research, design, build, and test a solar cooker, applying everything you have learned about energy this past quarter.
- Your final goal is to change the temperature of a cup of water.

# How to move forward to a plan...

- Assessment is highly **political** and **visible**
- Broad-based surveys help gather stakeholder opinions, but it is often necessary to turn to a deliberative body to wrestle with the difficult choices (optimization under constraints)
- Many states have turned to ad hoc committees (e.g., Assessment Task Force) to advise policy makers
  - Includes various types of educators from different types of school systems, higher education, business, politics, parents, and others
  - For example, see this [report](#) from Wyoming that was used to guide the recent RFP.

Questions, comments or more information:

Center for Assessment

[www.nciea.org](http://www.nciea.org)



[smarion@nciea.org](mailto:smarion@nciea.org)

**SOCIAL, EMOTIONAL, HEALTH,  
MENTAL HEALTH, AND  
ATTENDANCE ISSUES**

**NEW YORK STATE BOARD OF REGENTS  
JULY 17, 2017**

**ATTACHMENT IV**

# EVERY STUDENT SUCCEEDS ACT: SUPPORTING ALL STUDENTS

## **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, culturally and linguistically responsive, supportive, and welcoming to all.

## **To Ensure Learning for All, New York State will:**

Support districts and schools in creating conditions that maximize all student learning, especially for 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 and understanding diverse cultural characteristics, positive disciplinary practices, improving school climate, and providing students with social-emotional support.

# EVERY STUDENT SUCCEEDS ACT: SUPPORTING ALL STUDENTS

## To Ensure Safety For All Students, New York State will:

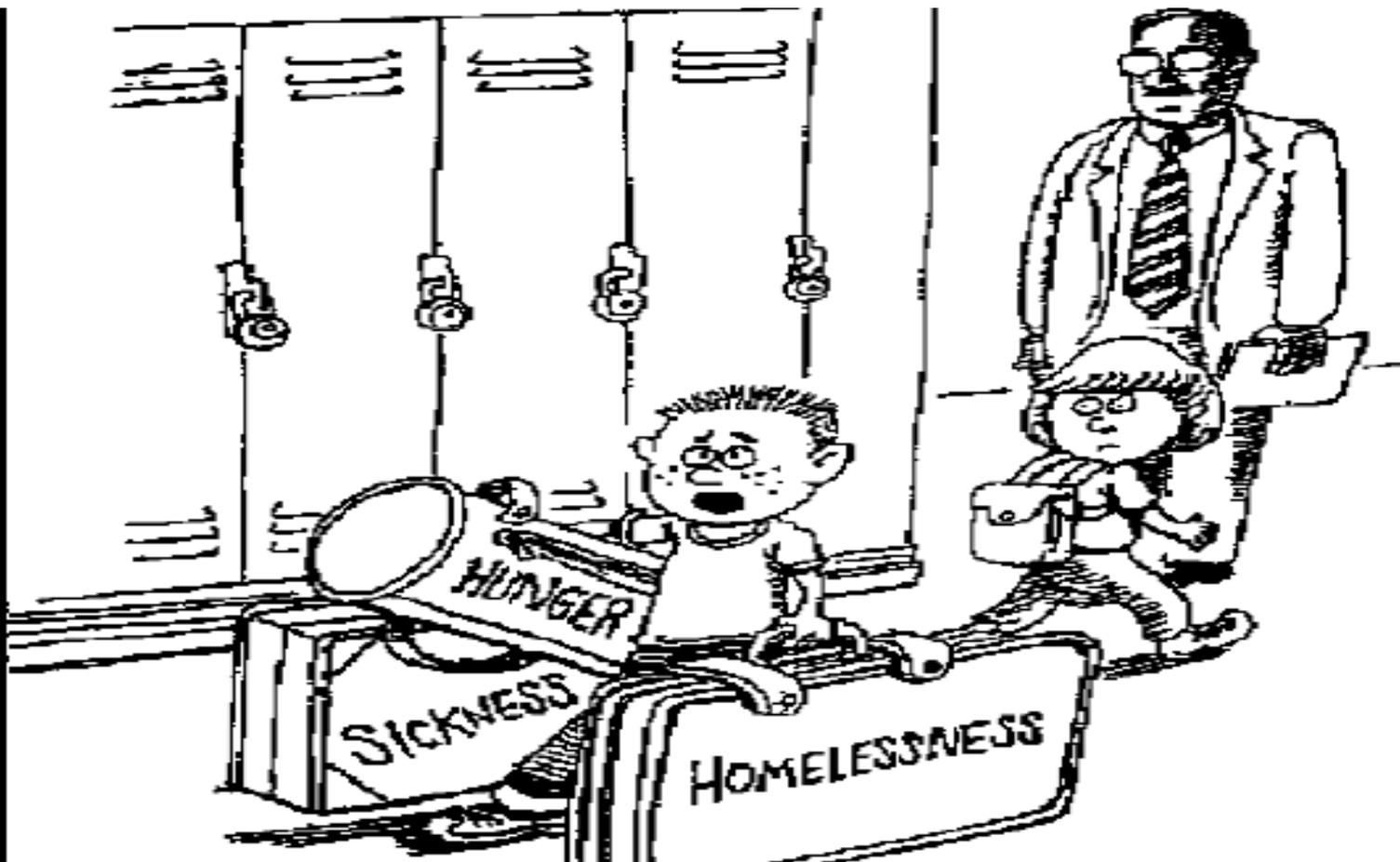
Work with districts and schools to build positive school climates that are based on inclusive, equitable school cultures that recognize and foster student diversity

## Other Sections:

- Strong Home-School Partnerships
- Robust School-Community Partnerships
- Access to a Well-Rounded Education
- Support for Migratory Students, Neglected and Delinquent Students, Youth in Foster Care or Homeless Youth

## Embedded Throughout the ESSA Plan

Environments and Educators are Culturally and Linguistically Responsive



**“Can someone help me with these? I’m late for math class.”**

# NYS *DRAFT* ESSA PLAN

## INDICATORS RELATED TO TASK FORCE RECOMMENDATIONS

<b>Tier I</b> <b>State Reported</b> <b>Used for ESSA Accountability</b>	<ul style="list-style-type: none"><li>• <b>Chronic Absenteeism</b></li></ul>
<b>Tier II</b> <b>State Reported</b> <b>Used for Diagnosis and Improvement</b>	<ul style="list-style-type: none"><li>• School Safety (violent incident counts or safety surveys)</li><li>• Student Suspension Rates</li></ul>
<b>Tier III</b> <b>State Supported – Used by the School to Support Improvement</b>	<ul style="list-style-type: none"><li>• School Climate Surveys</li><li>• Measures of Parent and Community Involvement</li></ul>

# STRATEGIES THAT SUPPORT STUDENTS AND THEIR FAMILIES

- ❖ Social Emotional Learning
  - ❖ Community Schools
  - ❖ Restorative Practices
  - ❖ Trauma-Informed Care
- ❖ Positive Behavioral Interventions and Supports

# US Department of Education (USDE) Resources

Exit



## ENGAGING SCHOOL LEADERSHIP

### Menu

- ▶ 1. Module 1 Introduction
- ▼ 2. Introduction to School Climate
  - 2.1. What is School Climate?
  - 2.2. What We Know to Be True
  - 2.3. How Do Schools Build a Pos...
  - 2.4. Goals for Strengthening Sc...
  - 2.5. Reflection 1
  - 2.6. Reflection 2
  - 2.7. Measuring School Climate
  - 2.8. Surveys Specific to School C...
  - 2.9. Surveys and School Climate...
  - 2.10. Data from the ED School ...
  - 2.11. School-Based Administrati...
  - 2.12. What Other Data Can Tell ...
  - 2.13. What Can School Climate ...
  - 2.14. Reflection 3
  - 2.15. What Is Your School Doing
  - 2.16. Reflection 4
- ▶ 3. Engaging School Leadership

Search... 

## What Is Your School Doing to Promote a Positive School Climate?

Schools often implement one or more approaches that are universal for all, targeted for some and/or intensive for few. Here are some of the most commonly implemented interventions that support a positive school climate. Select each to learn more.

Character Education

Positive Behavioral Interventions and Support (PBIS)

Positive Youth Development (PYD)

Restorative Practices

School-Based Mental Health Services

School Development Program (SDP)

Social and Emotional Learning (SEL)

Trauma-Informed Approach

< PREV

NEXT >

# RESEARCH ON MEASURING SCHOOL CLIMATE

## Research suggests that:

- the quality of the climate may be the single most predictive factor in any school's capacity to promote student achievement, and
- if we want achievement gains, we need to begin by improving the climate.

Shindler, J., Jones, A., Williams, A.D., Taylor, C., Cardenia, H. (2016). The school climate-student achievement connection: If we want achievement gains, we need to begin by improving the climate. *Journal of School Administration Research and Development* 1(1), 9-16.

# PROMOTING A SAFE & SUPPORTIVE SCHOOL CLIMATE

Measuring school climate is a crucial step in improving school climate.

To promote and measure school climate, schools and school districts:

- a) Pick a framework i.e., Positive Behavioral Interventions and Supports (PBIS), Social Emotional Learning (SEL);
- b) Establish a Community Engagement Team;
- c) Administer the USDE school climate surveys to students, parents and school personnel;
- d) Produce reports and analyze survey data and other pertinent data (chronic absenteeism data, school violence index) with the Community Engagement Team; and
- e) Create an action plan with the Community Engagement Team to address areas of need.

# EFFORTS TO REDUCE CHRONIC ABSENCE

District Name: [REDACTED]  
 School Location: [REDACTED]  
 School Year: 30-JUN-16  
 Data Refresh Date: Mar 5, 2016

Subgroup Name a	Attendance Days to Date b	Students Enrolled for at Least One Day During the School Year c	Number and Percentage of Students Who Were Absent						Average Number of Days Absent to Date	
			0 - 4% of Enrolled School Days Number d	0-4% of Enrolled School Days Percent e = (d/c) * 100	5-9% of Enrolled School Days (At-Risk of becoming Chronically Absent) Number f	5-9% of Enrolled School Days (At-Risk of becoming Chronically Absent) Percent g = (f/c) * 100	10% or More of Enrolled School Days (Chronically Absent) Number h	10% or More of Enrolled School Days (Chronically Absent) Percent i = (h/c) * 100	All Students j	Chronically Absent Students Only k
All Students	110	2,060	1,028	50 %	576	28 %	456	22 %	6.56	17.46
Female	0	1,012	509	50 %	279	28 %	229	23 %	6.70	17.74
Male	0	1,048	524	50 %	297	28 %	227	22 %	6.42	17.19
American Indian/Alaska	0	5	3	60 %	1	20 %	1	20 %	4.40	12

Column b includes the cumulative number of instructional school days to date for this school year (the total number of school days that students were expected to attend school).

Column c is the cumulative number of students who were enrolled in this school to date for at least one day during the school year.

Columns d to i include the count and percentage of students absent less than 5%, 5-9%, and 10% or more of enrolled school days based on: the number of instructional days that have occurred to date for this school year, the number of days that each student has been enrolled, and the number of days that each student has been absent.

# EFFORTS TO REDUCE CHRONIC ABSENCE

Best practices for school-level interventions to reduce chronic absenteeism include, but are not limited to:

- positive, prevention-focused attendance policies and strategies that promote a culture of good attendance;
- recognize and reward improved attendance through tiered prevention strategies;
- ongoing monitoring of attendance data by staff dedicated to this function;
- use of weekly or bi-weekly attendance teams directed to reduce absences among students who are chronically absent (miss ten percent or more of enrolled days) or at risk of becoming chronically absent (miss between five and nine percent of enrolled days);
- reach out to families when their children begin to show patterns of excessive absence;
- integration of school mentors; and
- ongoing, communitywide public awareness to increase parents' understanding about the detrimental impact of excessive absences.

# EFFORTS TO REDUCE CHRONIC ABSENCE

When I miss school,  
my opportunities  
disappear...



## Actions Needed to Solve Chronic Absence

### Early Supports and Interventions

#### Key Concepts

- **Focus is on chronically absent students:** Early supports and interventions are focused on students who are chronically absent or at risk of being so.
- **SIRS is used to identify students:** These students are identified using the New York State Education Department chronic absence reports available to school staff through SIRS.
- **A data-guided approach is used:** Early supports and interventions are guided, not driven, by the data.

### Actions Needed to Solve Chronic Absence

- Build awareness
- Use data to inform actions
- Engage and recognize successes
- **Use early supports/Interventions**

# SOCIAL EMOTIONAL LEARNING (SEL)

## Collaborative for Academic, Social, and Emotional Learning (CASEL):

The Department received a grant that provides opportunities for states to establish SEL as a key component of meeting the State learning standards.

## Students Learn Skills through the following Five Competencies:

- self-management,
- increasing self-awareness,
- building positive relationships,
- making responsible decisions,
- increasing social awareness

SEL has had a significant impact on reducing at-risk behaviors including substance use, emotional distress, anxiety, social withdrawal, and mental health problems

## Liberty Partnerships Program:

Students complete a social emotional assessment which is used to develop a personal learning plan that encompasses short and long term goals for the student's journey to high school graduation and then on to college or career pursuits.

# MENTAL HEALTH AND WELL-BEING

## Education Law § 2801-a: Requires Schools to Train School Staff in Mental Health

- Requires that each district submit certification to NYSED that all district and school staff have undergone annual training on the emergency response plan, and that the school safety training include components on violence prevention and mental health. In effect for the 2016-17 school year.

## Mental Health Education Bill –Requires that All Students Learn about Mental Health in Health Education

- Requires schools to ensure their health education programs include mental health, along with alcohol, drug, and tobacco abuse, and the prevention and detection of certain cancers. Effective date – July 1, 2018

# MENTAL HEALTH AND WELL-BEING

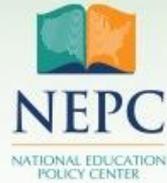
- **Resources for Schools:**

<http://p1232.nysed.gov/sss/documents/MentalHealthResourcesforEducators.pdf>, including warning signs for mental health problems and what educators should look for in student behavior, as well as local, state and national resources.

- **School-Based Health Centers:** operated by NYSDOH, provide a wide range of health services that, in partnership with schools, can result in improved academic outcomes.

- **School-Based Mental Health Centers:** operated by NYSOMH, provide mental health services that can result in improved academic outcomes. Services may include:

- Identification of children with behavioral and emotional health needs,
- Individual, Group and/or Family Therapy;
- Consultation with parents, teachers and providing crisis interventions;
- Parent and Teacher trainings on mental health issues
- Referrals to other community mental health programs/resources



## COMMUNITY SCHOOLS

### AN EVIDENCE-BASED STRATEGY FOR EQUITABLE SCHOOL IMPROVEMENT

*Jeannie Oakes*

Learning Policy  
Institute  
National Education  
Policy Center

*Anna Maier*

Learning Policy  
Institute

*Julia Daniel*

National Education  
Policy Center

June 2017

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#### National Education Policy Center

School of Education,  
University of Colorado Boulder  
Boulder, CO 80309-0249  
(802) 383-0058  
nepc.colorado.edu

#### Learning Policy Institute

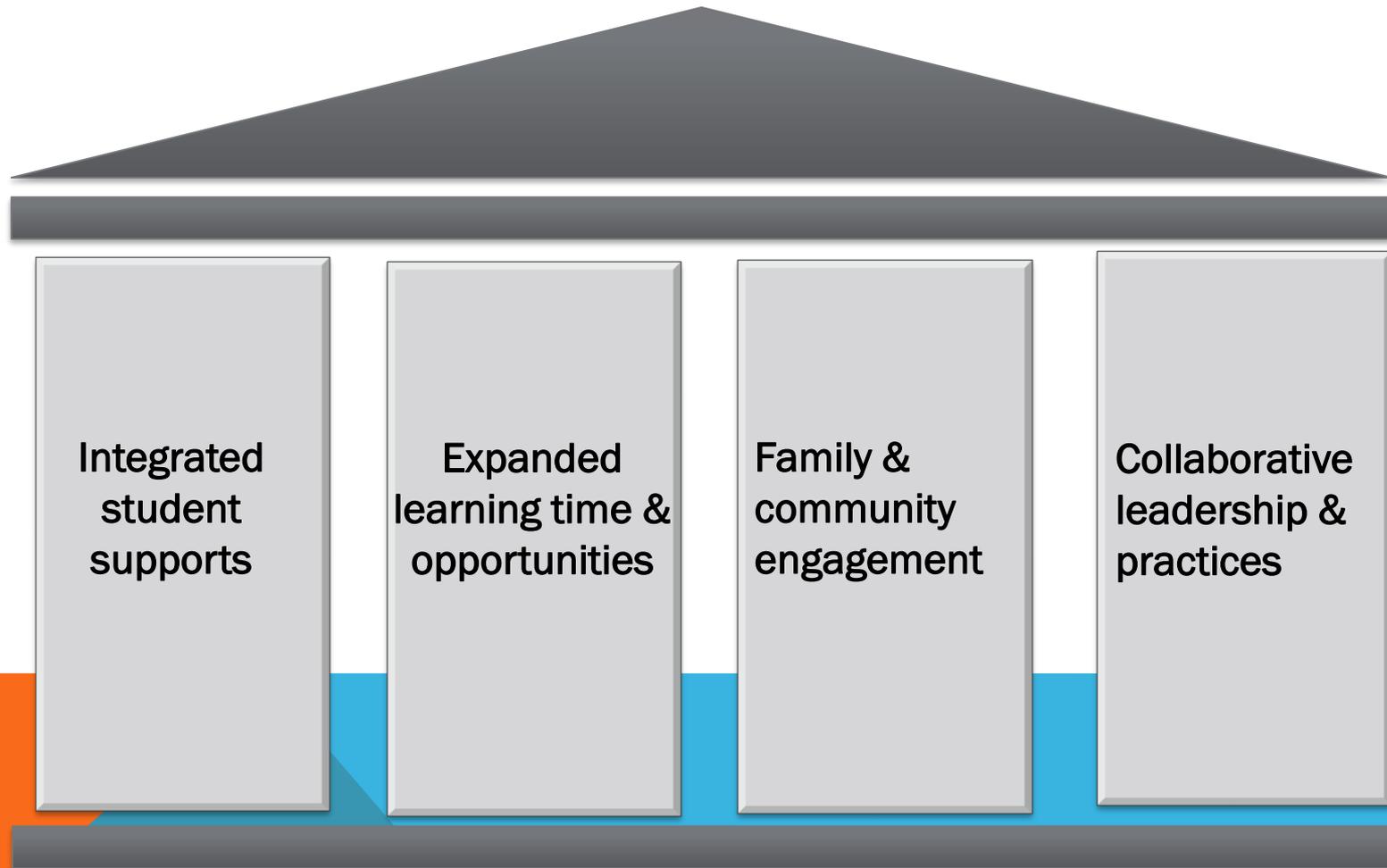
1530 Page Mill Road, Suite 200  
Palo Alto, CA 94304  
(p) 650.332.9797  
1301 Connecticut Avenue NW, Suite 500  
Washington, DC 20036  
(p) 202.830.0079  
learningpolicyinstitute.org



This brief is made possible in part by funding to NEPC from the Great Lakes Center for Education Research and Practice ([greatlakescenter.org](http://greatlakescenter.org)).

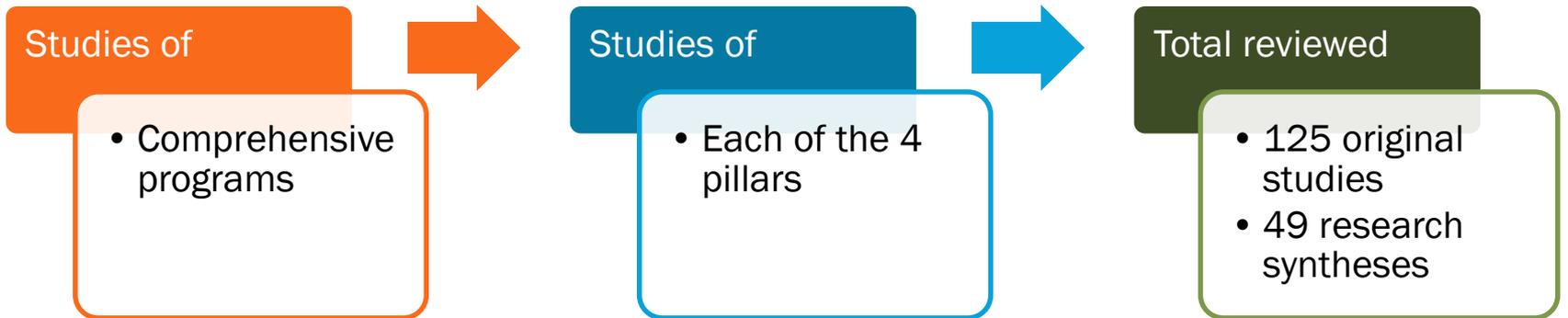
The research underlying this brief was supported in part by grants to LPI from the Ford Foundation and the Scahill Foundation.

# THE FOUR PILLARS OF COMMUNITY SCHOOLS





## OUR RESEARCH REVIEW



# OVERALL FINDINGS

- Community schools meet the ESSA evidence standard for
  - comprehensive evaluations AND individual pillars
  - All four tiers of evidence
- A wide range of models yield benefits, including...
  - Increased academic achievement
  - Better attendance and high school graduation rates
  - Improved peer/adult relationships and attitudes toward school
  - Reductions in racial and economic achievement gaps
- Cost-Benefit savings of \$10 to \$15 for every dollar invested

# COMMUNITY SCHOOLS: NEW YORK STATE FUNDING

NY State has invested millions of dollars in Community Schools:

- The 2013-2014 and 2014-15 enacted State budgets provided funding for three years each for Community Schools - a total of 62 programs.
- The 2016-2017 enacted State Budget created a \$75 million set-aside for Community Schools Grants for Struggling and Persistently Struggling Schools
- The 2017-18 enacted State Budget includes \$150 million of Foundation Aid Set-Aside funds for Community Schools in approximately 230 school districts.
- In addition, local districts fund Community Schools strategies using tax levy dollars and no State funds



# ATTACHMENT V

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

JULY 2017



New York State  
EDUCATION DEPARTMENT  
*Knowledge > Skill > Opportunity*

*This summary document outlines the process New York pursued to engage and solicit feedback from 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 updated and contained in the draft. This overview document is not the full revised 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 Local Educational Agencies (i.e., school districts and charter schools) to take a variety of actions to ensure that all children, regardless of race, socioeconomic status, gender, disability status, primary language, or ZIP code, receive the education that 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 all students and all schools. Below are just a few. The law:

- Advances equity by upholding critical protections for all students.
- Requires that all students be taught to high academic standards that will prepare students to succeed in college and careers, and that all students be assessed on these standards 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 all our schools, including our lowest-performing schools.
- Provides for culturally responsive instruction and other services to students, parents, school employees, and community members.

After more than a year of engagement with thousands of stakeholders, the New York State Education Department (NYSED) released its draft ESSA state plan on May 9, 2017 for public comment. This summary document outlines our stakeholder engagement process and highlights key proposals from the full plan, as revised to incorporate public feedback on the May draft. 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 contributed to the development of the May draft by providing feedback through the completion of online surveys. We are also appreciative of the more than 1,000 persons who provided testimony regarding the May draft at one of the 13 public hearings conducted across the state or who submitted written comment on the draft.

The Department is committed to continuing to engage and work with stakeholders to implement New York's ESSA plan. 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 more than 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 how best to meet the requirements of ESSA while taking advantage of new opportunities for flexibility.
- 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.
- Conducted 13 in-person sessions in May and June 2017 to explain the draft plan and hear comments, resulting in over 1,000 responses to the draft.
- 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 that New York State has received for its ESSA plan to date have shaped our proposal in ways that we explain below. New York State 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 assistance 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 language arts, mathematics, social studies and science as well as student growth in language arts and mathematics.
- Measuring school climate indicators, beginning with chronic absenteeism for all schools and indicators of "college, career, and civic readiness" (e.g., advanced coursework, career-technical training) for high schools, as well as out-of-school suspensions starting in 2019-20.

#### 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 improving 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.

- 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.

## 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.
- Use culturally responsive practices to engage parents.

### 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 all parents a voice in how certain funding is spent.

### What We Want to See

- More individualized, evidence-based school improvement plans and more equitable use of resources.
- Increased likelihood that the low-performing schools will improve.
- Increased culturally responsive parent and community 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 teacher and principal candidates more ways to demonstrate their skills in real school and classroom settings.
- 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.

### What We Propose

- Report and help districts to analyze equity gaps in their schools' access to effective educators.
- Convening a work group to suggest changes in teacher candidates' field experiences and placement.
- Assisting districts in creating new career ladders or pathways to make the profession more attractive.

### What We Want to See

- Greater numbers of effective educators in every school, regardless of size, location, or student population.
- A more diverse and culturally responsive teaching workforce.
- Better prepared novice teachers with more training in real classrooms and in cultural responsiveness.
- More opportunities for experienced educators to grow their expertise.
- Increase in the use of instruction that is culturally relevant and easily understood by all students.

## 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 all students and all educators learn and teach in environments that are safe, culturally responsive, supportive, and welcoming.

### What We Heard

- Consider the effect of testing on school environments.
- Help schools create more culturally responsive and positive school climates.
- Consider the starting point for English Language Learners and Multilingual Learners when measuring their English language proficiency.

### What We Propose

- Applying for 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 growth and progress.

### What We Want to See

- More creative, innovative, impartial, unbiased, and culturally responsive assessments.
- Safer, culturally responsive, and welcoming school environments for students, teachers, and families.
- More English Language Learners/Multilingual Learners gaining proficiency on a customized timeline with more support.

### 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 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 all students be annually assessed in Grades 3-8 in language arts and mathematics.</li> <li>• Requirement that all students be assessed once in high school in language arts and mathematics.</li> <li>• Requirement that all 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</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> </ul>

Planning Area	What Stays the Same?	What Will be Different?
	<p>students as well as the performance of all subgroups of students.</p> <ul style="list-style-type: none"> <li>• Identification of low-performing districts.</li> <li>• Public reporting of school and district performance.</li> </ul>	<ul style="list-style-type: none"> <li>• Revised Performance Indices that give all schools extra credit for students who are advanced.</li> <li>• Use of five- and six-year graduation cohort results.</li> <li>• Sunset of identification of Local Assistance Plan Schools.</li> <li>• More rigorous standards for identification of all 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>
<p><b>Supports and Improvement for Schools</b></p>	<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 robust State support throughout the school improvement process.</li> <li>• Interventions, such as receivership.</li> </ul>	<ul style="list-style-type: none"> <li>• Individualized approach to supporting low-performing schools facilitated by NYSED</li> <li>• Greater efforts by the State to provide more and better support than in the past (as resources permit).</li> <li>• Primary State support given to all Comprehensive Support and Improvement Schools; district support given to all schools with low-performing subgroups.</li> <li>• Examination and addressing of resource inequities in all low-performing schools.</li> <li>• Incentives for districts to promote diversity and cultural responsiveness, as well as equity to reduce socioeconomic and racial isolation.</li> <li>• Consistent with local collective bargaining agreements, teacher transfers to low-performing schools will be limited to teachers rated Highly Effective or Effective.</li> <li>• Parent voice in some decisions regarding allocation of resources in all low-performing schools.</li> </ul>

**Planning Area****What Stays the Same?****What Will be Different?****Supporting Excellent Educators**

- Requirement for annual evaluation of principals and teachers.
- Existing educator and leader certification and licensure systems.

- Implementation of new strategies for use of Title IIA funds to support professional development of teachers and school leaders.
- Reporting of data on access to effective educators in each district and facilitated analysis in each district to discuss culturally responsive solutions.
- Increased focus on closing gaps of access to effective educators between low- and high-performing schools.
- Convening a Clinical Practice Work Group to examine changes to the current field experience and placement requirements for teachers and school leaders.

**Supporting English Language Learners/  
Multilingual Learners**

- Comprehensive services for students whose first language is not English.
- Monitoring of districts' English Language Learners'/Multilingual Learners' attainment of English language proficiency.

- Exemption of recently arrived English Language Learners/Multilingual Learners from the State's English language arts test and inclusion of their scores in their second year of schooling only as a baseline, assuming successful submission of a waiver to the United States Department of Education.
- Focus on English Language Learners'/Multilingual Learners' path to proficiency by holding schools accountable for their progress.
- New method for determining whether students are making adequate annual progress toward proficiency in English.

**Supporting All Students**

- Support to districts in enforcing anti-bullying laws and encouraging safe and culturally responsive school climates.
- Communication of culturally responsive policies and programs for students who

- Using a school climate survey as part of a school climate index.
- Promotion of personalized learning through the use of technology.

Planning Area	What Stays the Same?	What Will be Different?
	<p>are homeless, in foster care, in juvenile-justice facilities, or are migrants.</p> <ul style="list-style-type: none"> <li>Continued training of educators on the Dignity for All Students Act.</li> </ul>	<ul style="list-style-type: none"> <li>Reporting of per-student expenditures and their sources for each school and district.</li> <li>Improving access to all programs for all high-needs students, including those who are homeless, in foster care, in juvenile-justice facilities, in neglected or delinquent facilities, or have mental/physical health disabilities, or are migratory.</li> <li>Increased cultural responsiveness training for all educators.</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 (USDE) 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 such support and assistance the most. The New York State Board of Regents and the Department approached 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 all students comparable access to a world-class curriculum aligned to Next Generation 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 climate of all schools.
- Ensure that all students have access to support for their social-emotional well-being.
- Provide all students access to extra-curricular opportunities so that students can serve their schools and their communities, participate in community-based internships, and 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.
- Ensure that effective educator practice is driven by an understanding of content knowledge, evidenced-based instructional practices, and a commitment to all students and their families.
- Ensure that students with disabilities are provided services and supports consistent with the principles of [the Blueprint for Improved Results for Students with Disabilities](#).
- Provide educators with opportunities for continual professional development in the areas of equity, anti-bias, multicultural, and culturally responsive pedagogies.
- Support districts and their communities in engaging in critical conversations about culturally responsive educational systems.
- Support schools in developing and implementing policies that result in all students being educated to the maximum extent possible with their general education peers and provide appropriate supports and services to promote positive student outcomes.

To these ends, the plan develops a set of indicators that will: a) reveal how New York State schools provide students with 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 State can create a learning system so that schools and districts can collaborate in developing strategies to align practice to research, and the Department can support a knowledge development and dissemination agenda on behalf of continual 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:



<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 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 that its ESSA plan will promote educational equity, we highlight the following "baker's 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.
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 districts include in any future collective bargaining agreements a provision 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 socioeconomic and racial/ethnic isolation and bias 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 equal supports for 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 all subgroups, b) incentivize districts to provide opportunities for advanced coursework to all high school students, c) continue to support all students who need more than four years to meet graduation requirements, and d) work with all students who have left school so that they can earn a high school equivalency diploma.
13. Ensure that cultural responsiveness informs all school policies and practices and guides interactions among all members of the school community.

Together, these goals reflect the State’s commitment to improving student learning results for all students by creating well-developed, culturally responsive, and equitable systems of support for achieving dramatic gains in student outcomes.

New York State posits that these goals can be achieved

IF ...

1. New York State identifies the [characteristics of highly effective schools](#) that provide culturally responsive teaching and learning
2. Schools, districts, and the State collaborate to determine the degree to which each school demonstrates the characteristics of a highly effective schools
3. Schools, districts, and the State collaborate to develop plans to address gaps between the current conditions in each school 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 ...

New York State will eliminate gaps in achievement.

### **Initial stakeholder engagement**

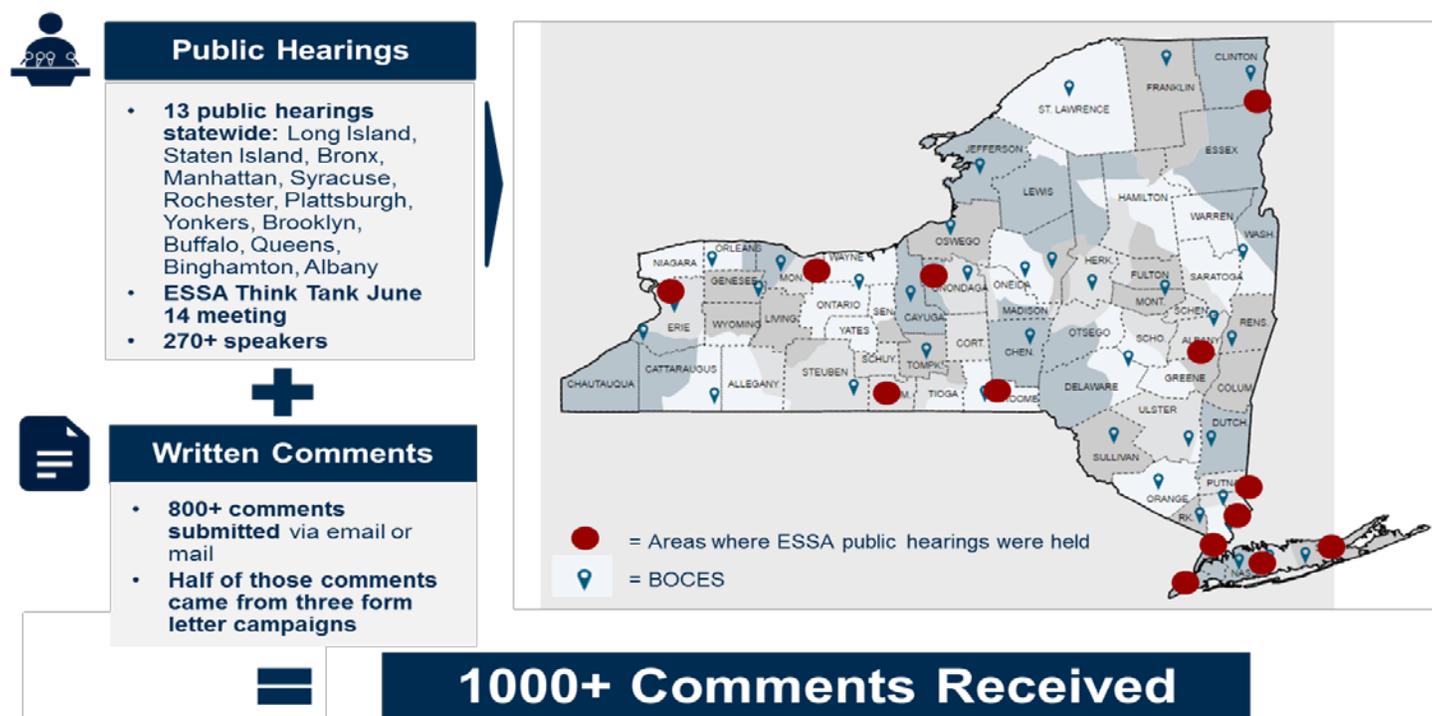
For the past year, NYSED has intentionally and meaningfully coordinated and engaged diverse groups of stakeholders to solicit a range of thoughts, opinions, and recommendations on how to craft an ESSA plan that best meets the needs of the State’s students, schools, and communities. In these efforts,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

- Established an **ESSA Think Tank** with representatives from more than 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 the 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 (USDE)
  - 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), 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).

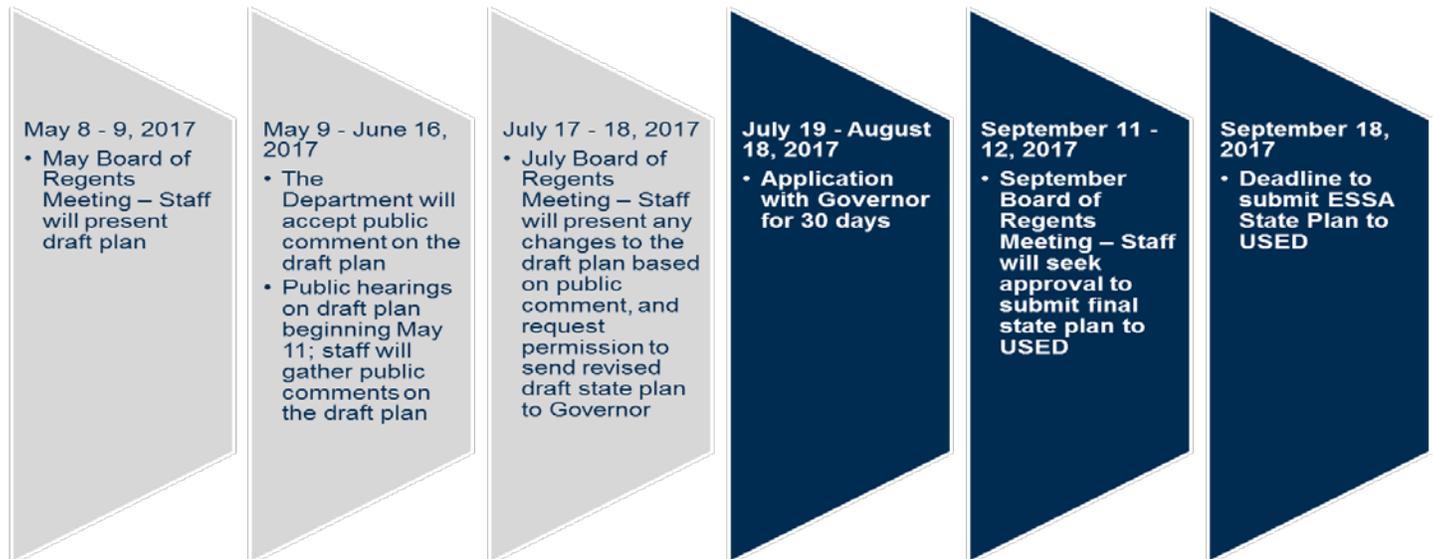
- Met more than ten times with the **Title I Committee of Practitioners**, a group of teachers, school and district leaders, school board members, parents, and representatives of other educational stakeholders charged with consulting with the Department on issues pertaining to Title I, to discuss ESSA.
- 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.

### Stakeholder feedback on draft plan

In May 2017, the Department invited stakeholders to review the draft ESSA state plan, and to submit comments and feedback. The review period for public comment began May 9, 2017 and concluded June 16, 2017. Comments on the plan could be submitted by email to [ESSAcomments@nysed.gov](mailto:ESSAcomments@nysed.gov) or by regular mail to NYSED. Additionally, the Department hosted 13 public hearings across New York State from May 11, 2017 to June 16, 2017 to gather in-person feedback on the plan. The Department received over 1,000 comments from stakeholders across the state.



The Department will adhere to the following timeline for submitting the final ESSA plan:



## 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 Culturally Responsive 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 USDE.



# 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 “entrance requirements for credit-bearing coursework in the system[s] of public higher education in the State” and career/technical education standards.
- Academic standards that are measured in 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 replace the current K-12 standards. This process included extensive public comment and was overseen by committees comprised of parents and educators, including early learning educators and educators of students with disabilities/differently abled students and English Language Learners/Multilingual Learners. This work resulted in standards that reduce repetition and ensure clarity, appropriateness, and vertical alignment while continuing to be rigorous and to challenge New York State’s students to do more so that they can successfully transition to post-secondary education and the workforce. 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. Districts and schools will continue to oversee the curriculum used in the classroom to ensure that all students receive an education aligned with the Next Generation Standards.

### What’s New? What’s Different?

#### English Language Arts

- Add culturally responsive practices to foster reading and writing to ensure that all students become lifelong learners who can communicate effectively.
- Merge the Reading for Information and Reading for Literature Standards to reduce repetitive standards, simplify classroom instruction and curriculum development, and ensure an appropriate balance of both types of reading across all 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 that are culturally and linguistically diverse.
- 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 that they are more practicable for educators to use for curriculum and instruction. In addition to omitting some standards, there are grade-specific changes to clarify language and to ensure that writing expectations are clear.

- Ensure that literacy is included in other content areas, for example, by 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 opportunities for students to explore standards, which promotes grade-level appropriateness by allowing all students to be introduced to and learn a concept without the expectation of mastering the concept at that grade level.
- Clarify standards so that educators, students, and parents better understand the expectations, without limiting instructional flexibility.
- Add and consolidate standards to improve coherence and focus and to reduce redundancy between 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 containing a list of verbs that appear throughout the revised standards recommendations.

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### Science

- Reflect the interconnected nature of science as it is practiced and experienced in the real world.
  - Include 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 that are based on an alignment to the Statewide Strategic Plan for Science (available [here](#) and [here](#)).
- Is working with local Boards of Cooperative Educational Services (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 includes developing grade-by-grade crosswalks about the standards that explain the connections between standards, curriculum, and assessments.
- Will create a glossary of terms for the Next Generation English Language Arts Learning Standards.
- Will promote the development and implementation of culturally and linguistically relevant multi-tiered systems of academic and behavioral support.
- Will promote the embedding of Universal Design for Learning into instruction.

### Aligned assessments

#### What ESSA Requires

- States must administer the following assessments to all public school students:
  - In 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 to all students within the district a nationally recognized high school academic assessment, such as Advanced Placement (AP) or International Baccalaureate (IB), in place of a Regents Exam for accountability.
  - Piloting innovative assessment types for their eventual administration statewide, through participation 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. These assessments will take into consideration idiomatic expressions and cultural differences between different languages.
  - 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 recognizes the primary position of instruction in driving teaching and learning and that assessments are a tool to support improved instruction. New York State’s system of aligned assessments is designed to measure students against high-quality standards and to provide families, educators, and the community with rich information about how students and schools are performing.

<b>To Ensure ...</b>	<b>... New York State will:</b>
<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 that are based on the new Next Generation Learning Standards can be developed, field tested, and adopted for use statewide.</li> <li>● Continue to engage New York State educators to write and review all of the culturally and linguistically relevant questions used on the Grades 3-8 tests and Regents Exams</li> <li>● Reduce the number of questions included on the Grades 3-8 tests, which will eliminate a full day of scheduled testing.</li> <li>● Continue to provide computer-based testing to all schools and districts that elect to use this method.</li> <li>● Investigate innovative assessment methods that can be piloted through the Innovative Assessment Development Authority.</li> </ul>
<b>Access to Advanced Courses</b>	<ul style="list-style-type: none"> <li>● Seek a waiver from the USDE 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> </ul>

- Seek a waiver from the USDE 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.

### **Native-Language Assessments for ELLs/MLLs**

- Continue to translate Grades 3-8 and high school mathematics assessments into five languages: Chinese (Traditional), Haitian-Creole, Korean, Russian, and Spanish.
- Continue to translate elementary- and intermediate-level science assessments into Chinese (Traditional), Haitian-Creole, and Spanish.
- Seek funding from the State legislature to translate Grades 3-8 and high school mathematics assessments into three additional languages (resulting in eight total): Chinese (Simplified), Arabic, and Bengali.
- Seek 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, beginning with a Spanish NLA/HLA assessment.

### **Fairness for All Students**

- Continue to administer the New York State Alternate Assessment (NYSAA) to students with the most significant cognitive disabilities.
- Continue to provide a comprehensive set of accommodations to students with disabilities/differently abled students.
- Continue to provide a comprehensive set of accommodations to English Language Learners/Multilingual Learners to ensure that these students have a more equitable opportunity to participate in the assessments.
- Continue to train all educators involved in test development and administration in the theory and application of Universal Design for Learning to ensure that assessments are fair and accessible for all students.
- Seek a waiver from the USDE 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-level assessments in lieu of those students' grade-level ELA or mathematics assessments in the school accountability and support system.
- Seek a waiver from the USDE for recently arrived ELLs/MLLs to take New York State's ELA assessment only to set a baseline for growth in their 2nd year of enrollment in United States schools, but not to measure achievement for accountability purposes.

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

New York State is:

- Reducing the length of Grades 3-8 English language arts and mathematics assessments.
- Preparing to apply for the Innovative Assessment Demonstration Authority. Once the application instructions are released by the U.S. Department of Education, NYSED will develop its application in coordination with districts and schools.
- 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 these eight languages spoken in the homes of ELLs/MLLs throughout New York State: 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 believes that the revisions being made to its challenging standards and assessments will support improvement in teaching and learning and increases in educational equity by:

- Providing schools and districts with accurate information on the degree to which students demonstrate proficiency on the new Next Generation Learning Standards.
- More accurately measuring the language arts achievement of ELLs/MLLs by using 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 and cultural 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 schools, 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 for all students and each accountability group on State tests in language arts and mathematics, graduation rates, 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 language arts and mathematics
    - Another academic indicator at the elementary and middle school level, such as student growth on 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,” which is 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 assistance system that supports all students in a culturally responsive way, 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:

##### Support for All Students

- 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.

##### Access to a Well-Rounded Curriculum

- 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.

##### Engage All Students

- Hold schools accountable based on measures of chronic absenteeism and begin to report additional measures of school climate and student engagement

##### Maximum Opportunities

- Create a College, Career, and Civic Readiness Index that gives:
  - Partial credit for students who successfully earn a high school equivalency diploma.
  - 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>
<b>Transparency</b>	<ul style="list-style-type: none"> <li>• Report the performance of each school’s subgroups of students on each accountability measure using a scale of 1-4.</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 the 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 assessments 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 a new list 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, long-term goals that are fixed initially for five-years and 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 using these scores 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 and those that are not used currently for accountability, but could be in the future.
- Assigning equal weight to growth and 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, beginning with the percentage of students who annually are subject to out-of-school suspensions and high school readiness for middle school students.
- 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- 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 State believes that the revisions that it has made to its school accountability and assistance system will support improvement in teaching and learning and increases in educational equity by:

- Creating a process of continuous review and implementation adjustments by annually establishing a new five-year long-term goal.
- Supporting a well-rounded and culturally responsive education for all students by expanding accountability measures beyond a narrow focus on English language arts and mathematics to also include science; social studies; acquisition of English language proficiency by ELLs/MLLs; chronic absenteeism; graduation rates; and College, Career, and Civic readiness; and implementation of a future indicator related to out-of-school suspension rates.
- Expanding access to advanced coursework to all students, 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 all 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 all 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
- Promoting increased participation in the State assessment system so that schools and families get the information that they need.

Additional measures of school quality and student success are expected to be added to the system over time, beginning with a measure of the rate at which students are subject to out-of-school suspensions and a high school readiness measure for middle school students. These could include, but are not limited to, such measures as:

- Student access to specific learning opportunities such as in the arts, science, or technology courses,
- Postsecondary success of high school graduates,
- School climate and supports for students' social, emotional, and academic learning, as measured by student, parent and/or staff surveys,
- Student access to highly effective teachers,
- Student access to diverse learning environments and measures of student civic engagement, and
- Measures of student physical health and well-being.

In addition to indicators that may be added to the accountability and support system, NYSED will regularly publish a set of indicators that highlight school conditions and student opportunities to learn. These will be used for diagnosing needs

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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.

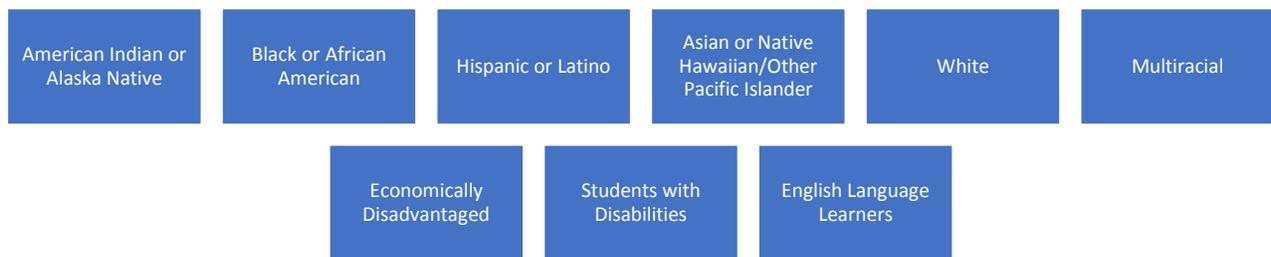
and tracking progress in achieving quality and equity at the school, district, and State levels. They could include measures such as:

- Per-pupil school funding, by function,
- Class sizes and staffing ratios,
- Availability of other teaching and learning supports,
- Parent involvement and engagement,
- School climate,
- Teacher turnover and attendance, and
- 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. For students in their second year of enrollment, New York State will pursue a waiver from the United States Department of Education for these students to take the English language arts assessment to set baseline scores for growth, but not to measure achievement for accountability purposes. If this waiver is approved, ELLs/MLLs in their third year and thereafter 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 (or three years in the case of computing the Mean Student Growth Percentile Index) to hold schools accountable for the performance of the subgroup on the indicator.

New York State arrived at these n-sizes by using statistical analysis; 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 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 State 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	97	103	20.6	4.1	101	105	109	113	118	200
	Asian/Pacific Islander	157	43	8.6	1.7	159	160	162	164	166	200
	Black	89	111	22.2	4.4	93	98	102	107	111	200
	Economically Disadvantaged	87	113	22.6	4.5	92	96	101	105	110	200
	English Language Learners	58	142	28.4	5.7	64	69	75	81	86	200
	Hispanic	88	112	22.4	4.5	92	97	101	106	110	200
	Multiracial	97	103	20.6	4.1	101	105	109	113	118	200
	American Indian/Alaska Native	87	113	22.6	4.5	92	96	101	105	110	200
	Students with Disabilities	45	155	31.0	6.2	51	57	64	70	76	200
	White	93	107	21.4	4.3	97	102	106	110	114	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 language arts, mathematics and science achievement measures will be computed using the denominator that is the greater of the following: 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 in four years, 96% in five-years, and 97% in 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% 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	80.4%	14.7%	2.9%	0.6%	80.9%	81.5%	82.1%	82.7%	83.3%	95.0%
	American Indian/Alaska Native	66.5%	28.5%	5.7%	1.1%	67.6%	68.8%	69.9%	71.1%	72.2%	95.0%
	Asian/Pacific Islander	87.5%	7.5%	1.5%	0.3%	87.8%	88.1%	88.4%	88.7%	89.0%	95.0%
	Black	69.3%	25.7%	5.1%	1.0%	70.3%	71.3%	72.4%	73.4%	74.4%	95.0%
	Economically Disadvantaged	73.2%	21.8%	4.4%	0.9%	74.1%	75.0%	75.8%	76.7%	77.6%	95.0%
	English Language Learners	46.6%	48.4%	9.7%	1.9%	48.5%	50.5%	52.4%	54.4%	56.3%	95.0%
	Hispanic	68.9%	26.1%	5.2%	1.0%	69.9%	71.0%	72.0%	73.1%	74.1%	95.0%
	Multiracial	80.7%	14.3%	2.9%	0.6%	81.2%	81.8%	82.4%	83.0%	83.5%	95.0%
	Students With Disabilities	55.3%	39.7%	7.9%	1.6%	56.9%	58.5%	60.0%	61.6%	63.2%	95.0%
	White	89.2%	5.8%	1.2%	0.2%	89.4%	89.7%	89.9%	90.1%	90.4%	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	83.0%	13.0%	2.6%	0.5%	83.5%	84.0%	84.6%	85.1%	85.6%	96.0%
	American Indian/Alaska Native	69.1%	26.9%	5.4%	1.1%	70.1%	71.2%	72.3%	73.4%	74.5%	96.0%
	Asian/Pacific Islander	88.8%	7.2%	1.4%	0.3%	89.1%	89.4%	89.7%	89.9%	90.2%	96.0%
	Black	73.7%	22.3%	4.5%	0.9%	74.6%	75.5%	76.4%	77.3%	78.1%	96.0%
	Economically Disadvantaged	77.5%	18.5%	3.7%	0.7%	78.2%	79.0%	79.7%	80.5%	81.2%	96.0%
	English Language Learners	52.9%	43.1%	8.6%	1.7%	54.6%	56.3%	58.1%	59.8%	61.5%	96.0%
	Hispanic	72.9%	23.1%	4.6%	0.9%	73.8%	74.8%	75.7%	76.6%	77.5%	96.0%
	Multiracial	81.1%	14.9%	3.0%	0.6%	81.7%	82.3%	82.9%	83.5%	84.1%	96.0%
	Students With Disabilities	60.8%	35.2%	7.0%	1.4%	62.2%	63.6%	65.0%	66.4%	67.8%	96.0%
	White	90.5%	5.5%	1.1%	0.2%	90.7%	90.9%	91.1%	91.3%	91.6%	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	84.1%	13.0%	2.6%	0.5%	84.6%	85.1%	85.6%	86.1%	86.6%	97.0%
	American Indian/Alaska Native	70.1%	26.9%	5.4%	1.1%	71.2%	72.3%	73.4%	74.4%	75.5%	97.0%
	Asian/Pacific Islander	89.6%	7.4%	1.5%	0.3%	89.9%	90.2%	90.5%	90.8%	91.1%	97.0%
	Black	75.7%	21.3%	4.3%	0.9%	76.6%	77.4%	78.3%	79.1%	80.0%	97.0%
	Economically Disadvantaged	79.5%	17.5%	3.5%	0.7%	80.2%	80.9%	81.6%	82.3%	83.0%	97.0%
	English Language Learners	56.0%	41.1%	8.2%	1.6%	57.6%	59.2%	60.9%	62.5%	64.2%	97.0%
	Hispanic	74.8%	22.2%	4.4%	0.9%	75.7%	76.6%	77.5%	78.4%	79.3%	97.0%
	Multiracial	81.6%	15.4%	3.1%	0.6%	82.2%	82.8%	83.4%	84.1%	84.7%	97.0%
	Students With Disabilities	61.9%	35.1%	7.0%	1.4%	63.3%	64.7%	66.1%	67.5%	68.9%	97.0%
	White	90.7%	6.3%	1.3%	0.3%	91.0%	91.2%	91.5%	91.7%	92.0%	97.0%

As with language arts and mathematics, 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?**

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, yearly, 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.

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. Therefore, New York State has determined that a three- to five-year proficiency timeline is an ambitious and rigorous goal (as mandated under ESSA). This goal is necessary to support the overall academic performance and increase the graduation rate of the State’s ELLs/MLLs, and forms the basis for the State’s long-term goals. Long term goals were created in relation to both the timeline and the model used to monitor progress. 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 (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 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 successive 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 further enhances the robustness of the Transition Matrix model by capturing cumulative progress of students through a “safe harbor” provision for earning credit. Safe harbor is based on comparing a student’s English language proficiency level with the expected level, based on Table 5, below. For example, a student whose initial English language proficiency level is Emerging and is in year three would be expected to have made 1 level of growth or have attained level 4.25 (2 +1.25+1). In this way, students who have an idiosyncratic growth year are not penalized, so long as they still demonstrate having attained the appropriate overall level and therefore are still on track to exiting in the appropriate timeframe. 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 results after two years’ administration of the revised NYSESLAT indicates that approximately 43% of students meet their progress expectations. 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 five 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.

A “safe harbor” rule will be applied to the English Language Proficiency model, in which for accountability purposes schools receive credit for students who are achieving specified growth targets or are reaching proficiency levels. For example, if a student exceeds his or her annual growth target in year 1, but does not meet the annual growth target in Year 2, so long as the student meets a combined growth target for Years 1 and 2, the school will receive credit for the student’s performance.

Provisions for Long Term ELLs/MLLs will also be considered, with growth targets carrying over into additional years for students who have not yet attained proficiency. Continuing to monitor Long Term ELLs’/MLLs’ attainment of English language proficiency will provide incentives for districts to emphasize these student’s progress and ultimately exit these students from ELL/MLL status.

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

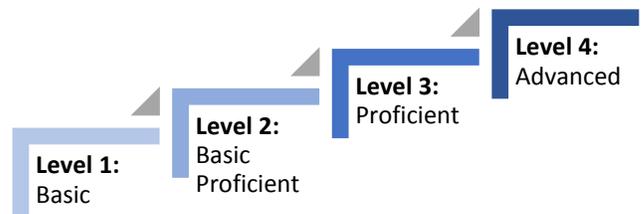
The “end goal,” long-term goals, and measures of student success for chronic absenteeism and the College, Career, and Civic Readiness Index will be determined after a thorough data analysis and consultation with stakeholders.

**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 schools and districts 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-2) and then taking into account 95% of continuously enrolled students (called PI-1-), 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-1 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 growth percentiles in 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

New York adjusts these levels to account for subgroups that show particularly strong growth compared to prior performance, even if the subgroup does not achieve either one or both of the MIPs. The chart above also applies to the graduation rate, English language proficiency, and measures of school quality and student success.

**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, described above.

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 Department will adjust a school’s English Language Proficiency targets to reflect the projected percentage of students who should make progress based on the prior proficiency level of a school’s population. Therefore, rather than all schools being expected to have the same percentage of students make annual progress towards proficiency in English, each school’s target will be based on the percentage of students who would be expected to make annual progress, given such factors

<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/>

as the student’s prior proficiency level and years of receiving services. The performance of schools is then converted to levels similar to those in the 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 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 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 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

<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>

• High School Equivalency Diploma	.5
• No High School or High School Equivalency Diploma	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 for college credit earned through dual enrollment or coursework leading to graduation. Similar to the Seal of Biliteracy, the Regents may also consider creating a State Seal of Civic Engagement 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:

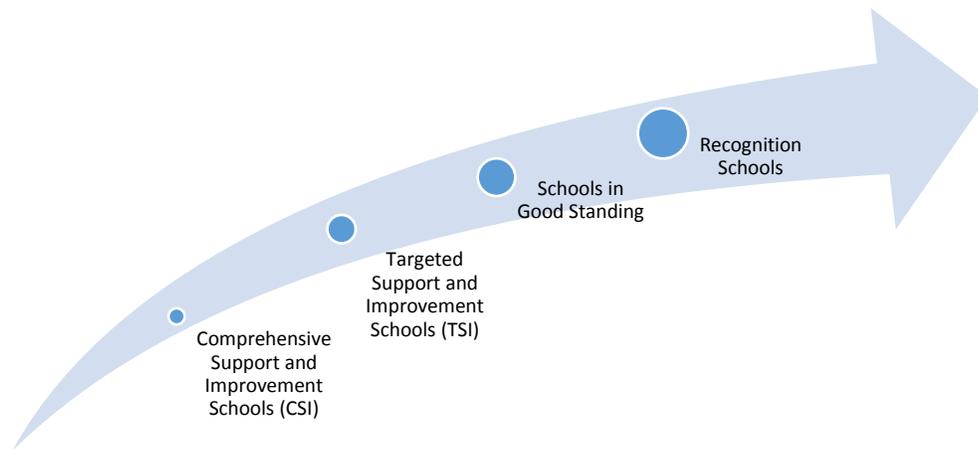
	Did not meet Goal	Met Long-Term Goal	Exceeded Long-Term Goal
Did not meet an MIP	1	3	3
Met lower MIP	2	3	4
Met higher MIP	3	4	4

Beginning in the 2017-18 school year, New York State will collect information on out-of-school suspensions at the individual student level. (Currently schools report aggregate information on out-of-school suspensions by racial/ethnic group and gender, but not by low-income, English language learner, or disability status.) The 2017-18 school year data will serve as the baseline for holding schools accountable for out-of-school suspension rates. Beginning with 2018-19 school year results, NYSED will assign each school a Level 1-4 rating for each subgroup for which the school is accountable. Districts will be required to assist schools in addressing a school’s out-of-school suspension rate for any subgroup that receives a Level 1 rating. New York State intends to include out-of-school suspensions as a measure of school quality and student success when the second cohort of Comprehensive Support and Improvement Schools is identified using 2020-2021 school year data. New York State also intends to include a measure of high school readiness for middle school students once two years of data become available.

The Board of Regents will appoint a 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). Progress toward English language proficiency by ELLs/MLLs is weighted more than academic progress, chronic absenteeism, and the college- and career-readiness index, which 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 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 a 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 percent 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:

1. Rank order the schools on the achievement index: Identify the lowest 10 percent (Achievement = 1).
2. Rank order the schools on the three-year average Mean Growth Percentile (MGP): Identify the lowest 10 percent (Growth = 1).

3. Sum the achievement ranks and the growth ranks: Identify the lowest 10 percent (Combined Achievement & Growth = 1).
4. Use the table below to identify schools for CSI.

Classification	Achievement	Growth	Combined Achievement and Growth	ELP	Progress*	Chronic Absenteeism*
CSI	Both Level 1		1	Any	Automatically Identified	
CSI	Either Level 1		1	None	Any One Level 1	
CSI	Either Level 1		1	1	Automatically Identified	
CSI	Either Level 1		1	2	Any One Level 1	
CSI	Either Level 1		1	3-4	Any Two Level 1	

High schools are identified every three years as follows:

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

Classification	Achievement	Graduation Rate	Combined Achievement and Graduation Rate	ELP	Progress*	Chronic Absenteeism*	College Career and Civic Readiness*
CSI	Both Level 1		1	Any	Automatically Identified		
CSI	Either Level 1		1	None	Any One Level 1		
CSI	Either Level 1		1	1	Automatically Identified		
CSI	Either Level 1		1	2	Any One Level 1		
CSI	Either Level 1		1	3-4	Any Two Level 1		

- **Low Graduation Rate High Schools:** For high schools, New York State will identify those schools whose four-year graduation rate is below 67 percent and whose either four-year or five-year graduation rate is not at or above 67%. 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 a minimum, the lowest-performing five percent 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 percent of any group could be identified. Those

Targeted Support and Improvement 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 no fewer 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 students in a subgroup to create a plan that will address low testing rates that resulted directly or indirectly from actions taken by the school or district (which New York State defines as institutional exclusion) while recognizing the rights of parents and students.

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

New York State will implement 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 All 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 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 to best understand the policies, procedures and practices that have resulted in a school's identification.
- 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.
- Conduct parent, teacher, and student surveys to get feedback on stakeholders' beliefs regarding the quality of the school's educational offerings and the implementation of culturally responsive policies, practices, and procedures.

### 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, improve cultural responsiveness, and improve equity.
- Determine the necessary support, 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.
- Provide data to help LEAs determine needs and to call attention to inequities that exist within districts and between districts.
- 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 between 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 districts.
- 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 cultural responsiveness 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 the district will provide in its consolidated application for federal funds.

Identified schools will:

- Receive a review that looks at the quality and effectiveness of the implementation of the school’s improvement plan, after an initial Diagnostic Needs Assessment.
- 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. Alternative high schools (e.g., transfer high schools and Special Act schools) would not automatically be placed into Receivership. Instead, the Commissioner will partner with the district to determine the most appropriate interventions for any alternative high school that is among the lowest-performing in the State for more than three consecutive years.

## **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 schools and districts. 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. 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, consistent with local collective bargaining agreements.
- 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 development for educators to enable them to learn to teach the new content standards to diverse students in culturally responsive ways and to support students’ 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 to which students could transfer. 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 gain.

## 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 regarding 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 CSI schools and a smaller base allocation to TSI 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 plans. 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.
- NYSED will offer a base allocation to identified Title I CSI schools and a smaller base allocation to TSI schools to use toward implementing their improvement plans.
- 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, 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. To ensure that CSI schools are best positioned to succeed, the State will focus its attention on the subset of CSI schools that do not make progress each year. The State will provide additional support for these schools, and these schools will also have some additional requirements. For example, 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).

CSI schools that are part of the receivership program will have the same interventions as 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.

The State views school improvement as a collaborative effort that must involve the commitment of multiple stakeholders working in synergy toward agreed-upon priorities. To achieve this, stakeholders will be involved in the improvement process in a number of ways. For example, students, staff, and families will participate in focus group interviews and complete surveys as part of the Needs Assessment process. In addition, the annual improvement plan must be developed in consultation with parents and school staff. The plan will include a section that outlines the extent of stakeholder involvement in the improvement planning process. The State will reject plans from CSI schools that do not provide adequate evidence of involvement from parents and families. The plan must be made widely available through public means, such as posting on the Internet, distribution through the media, and distribution through public agencies, and the plan must be approved by the school board.

The State continues to see the need for school boards to be engaged in local improvement efforts. The Department will collaborate with appropriate partners to develop training materials and programs for school board members. The State is hopeful that the new requirements under ESSA to collect and report data on inequities will compel school boards to act when inequities are identified within districts, as well as compel state policymakers to act on inequities identified across districts. In addition, the Board of Regents will continue to advance legislative proposals that would allow the

Department to take steps to intervene when school boards are struggling to ensure that the basic educational needs are being met in the district.

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 oversees the district or school improvement plan and serves as an ex-officio member of the 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, who 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.
<b>Diagnostic Tool for School and District Effectiveness (DTSDE)</b>	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 to exit TSI status. Schools may exit CSI or TSI status if, for two consecutive years:

- The identified subgroup(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.

<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 and principal 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 professional learning, support, and advancement for educators 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 and diverse 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 leadership continuum pathways, as a key lever in improving 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 coursework that will promote a consistent standard for preparation programs across the State and better meet the needs of our increasingly diverse student population.
- Expand programs that provide greater opportunities to apply in authentic settings the knowledge and skills that candidates have acquired.
- Create tools and other resources that will facilitate feedback loops between preparation programs and the districts that employ program 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 the educators' careers that are tailored to what educators 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, including cultural responsiveness training. 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 qualified, experienced, effective, diverse, and linguistically and culturally competent 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.
- Consistent with the recommendations of the TEACHNY Advisory Council, 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.
- Require that districts identify gaps in equitable access to excellent educators and identify how 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 equitable access to high-quality and differentiated 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 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:

- Advancing the recommendations of the TEACHNY Advisory Council to leverage 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 candidates learn in schools and demonstrate that candidates have acquired the necessary knowledge, skills, and abilities to provide effective instruction and effective leadership earlier in the educators' 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 and ensuring that existing mentoring programs include activities that research shows better improve the effectiveness and retention of new educators. The Department also will explore the feasibility of conducting surveys of recently employed, newly certified educators regarding the mentoring experiences these new educators receive and will also survey building leaders about the quality of existing supports.
- Assisting LEAs in recruiting, selecting, developing, and rewarding highly effective educators who serve as mentors and coaches to 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 leadership continuum pathways 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 also will include analytics that research shows are important considerations for equity, such as teacher and principal turnover and retention, tenure status, and demographics. NYSED will also explore the feasibility of collecting and including information on other evidence-based indicators of access to effective educators (e.g., access to National Board-Certified Teachers). NYSED proposes to facilitate a root cause analysis with districts, centered on this data, to help them identify

roadblocks and potential solutions, such as strengthening recruitment and mentoring/induction programs, targeting professional development, or improving leadership opportunities. 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. At the same time, the Department will begin to explore the feasibility of implementing the recommendations of the Principal Preparation Project related to the certification of new school building leaders.

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 the educator's chosen content area and in language acquisition. Any district receiving Title II, Part A dollars also must develop a professional development plan that meets 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 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 student 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

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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.

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.

Additional requirements, such as Continuing Teacher and Leader Education (CTLE) 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?***

P-20 partnerships that take advantage of the collective expertise of educator preparation programs and school districts and BOCES. These partnerships ground recruitment, preparation, clinical practice experiences, and supports for early career educators in the specific needs of school districts and BOCES are a key lever in improving retention and ensuring that all students have access to qualified, experienced, effective, diverse, and culturally and linguistically competent educators. Leveraging work like the TeachNY Advisory Council and the Principal Preparation Project funded by the Wallace Foundation, 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 diverse and authentic settings.
- Promoting diversity in teacher recruitment efforts and better prepare all teachers to effectively implement culturally responsiveness practices to meet the needs of all students.

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 internships.
- 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 this learning 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:

#### Equitable and Reliable Accountability

Exempt recently arrived ELLs/MLLs in the first year of enrollment from the State English language arts assessment. If New York’s application for a waiver is successful, such students will take the test in the second year, but the results will not be used for school or district accountability but rather to set a baseline by which to measure the student’s 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.

## 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 pursue a waiver from the United States Department of Education 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 and incorporated into school and district accountability decisions, 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.
  - A "safe harbor" rule will be applied to the model, in which students are given credit either for making specified growth targets, or by reaching proficiency levels that are implied through growth targets.
  - To hold schools accountable for all ELLs/MLLs, considerations for Long Term ELLs/MLLs will also be incorporated into the model, with growth targets carrying over into additional years for those students who do not reach Commanding within the specified period. In this way, schools will have a continued incentive to make progress and exit Long Term ELLs/MLLs.
- 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/MLLs. New York State will seek to improve teaching and learning as well as educator effectiveness by setting challenging and rigorous 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 pursuing a waiver to use 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 toward developing 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 State provide districts for educating ELLs/MLLs?*

New York State'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 annually between 200 and 400 professional development sessions.

NYSED's array of ELL modules; professional development, including culturally and linguistically professional development opportunities; and coordination of coursework opportunities for ELL/MLL teachers enable them 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 the 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). The Department will continue to provide ongoing professional development to LEAs in a variety of ways. This will include utilizing the resources of our RBERNs, well-known researchers, and notable experts in the field to build capacity for school district ELL/MLL leaders and core leadership teams charged with spearheading systemic improvements for ELLs/MLLs. Professional development will include but not be limited to the provisions of ESSA and New York State's plan, the implementation of the New York State Next Generation P-12 English Language Arts (ELA) and Mathematics Standards, and the New Language Arts Progressions (NLAP) as well as the Home Language Arts Progressions (HLAP).

NYSED has an ELL/MLL Parents Bill of Rights that is translated into nine languages that outlines 17 of the most critical rights of ELL/MLL parents; 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 in achieving English language proficiency and meeting 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 the district provides for ELL/MLL students.

NYSED will monitor districts' Comprehensive ELL Education Plans, data/information reports on ELL/MLL students, and results from 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 aversive 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, culturally responsive, 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, culturally and linguistically responsive, supportive, and welcoming to all.

#### To Ensure ...

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

##### Learning for All Students

Support districts in creating conditions that maximize all student learning, especially for traditionally marginalized youth including youth of color, lesbian, gay, bisexual, transgender, and queer (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 and understanding diverse cultural characteristics, 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 and foster student diversity.

##### Strong Home-School Partnerships

Promote State, district, and school-level strategies for effectively engaging parents and family members in their children’s education based on inclusive, equitable school cultures that recognize and foster student diversity.

<b>Robust School-Community Partnerships</b>	Require schools and districts to collaborate with relevant community stakeholders, such as afterschool or healthcare providers, when conducting a comprehensive diagnostic needs assessment and creating plans based from such assessments.
<b>Support for Personalized Learning</b>	Promote increased and equitable access to high-quality, personalized learning experiences through the use of technology.
<b>Quality Library Media Programs</b>	Promote increased and equitable access to effective school library programs, which includes digital literacy instruction provided by State-certified librarians.
<b>Access to a Well-Rounded Education</b>	Promote access to a robust array of courses, activities, and programs in visual and performing arts; science, technology, engineering, and math (STEM); humanities, civics and government, economics, computer science, career and technical education, health and wellness, and physical education.
<b>Implementation of Schoolwide Programs</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 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 students with the greatest needs.
- Ensuring that all students – regardless of the school that they attend – have access to enriched and culturally and linguistically responsive 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.
- Ensuring that students have access to non-academic support services such as social-emotional, behavioral, mental health, and social services provided by specialized instructional support personnel.
- Strengthening the links and bridging cultural differences 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 equally 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 culturally and linguistically responsive, supportive, and 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, culturally responsive and safe school climates in schools 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) 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. All personnel should be trained in cultural sensitivity and responsiveness.

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, culturally and linguistically responsive and supportive learning environments?***

NYSED will provide LEAs with guidance and best practice-based resources, such as the Dual Capacity Building Framework for Family-School Partnerships, to help support effective parent and family outreach and engagement activities. In addition, the Department will revise current physical education and health wellness regulations and continue to encourage LEAs to adopt a Whole School, Whole Community, Whole Child model for addressing health-related factors such as hunger, physical and emotional abuse, and chronic illness that can lead to poor school performance. NYSED also will 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 increased access to high-quality, personalized learning experiences supported by technology?***

The Department will continue to support new and existing programs that focus on the utilization of technology to enhance teaching and learning, including:

- Using technology to personalize learning.
- Using technology to increase access to high-quality courses (such as through online, distance, and blended learning).
- Professional development to assist teachers in effectively utilizing technology to improve teaching and learning.
- Building effective school library programs that support digital literacy, information fluency, and STEAM initiatives.

### ***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, culturally and linguistically responsive 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, secure/non-secure detention centers, and voluntary placement agencies 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 students' 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 these students from participating fully in school and extracurricular activities. As federal policies on homeless student services are 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?***

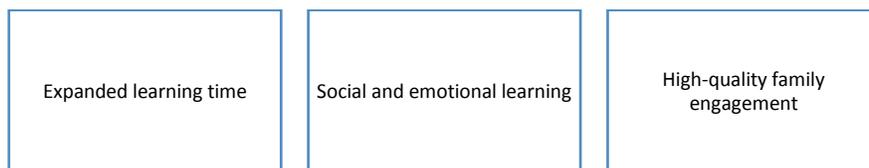
The draft ESSA plan supports effective transition practices throughout a student’s educational experience and fosters coordinated transitions from early childhood education to postsecondary education. This emphasis on coordinated transitions directly aligns with the Department’s initiatives in transition 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, 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:



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.

According to Henry M. Levin, a professor of economics and education at Teachers College, Columbia University and Cecilia E. Rouse, a professor of economics and public affairs at Princeton University, students that graduate from high school contribute to the public good:

“Studies show that the typical high school graduate will obtain higher employment and earnings — an astonishing 50 percent to 100 percent increase in lifetime income — and will be less likely to draw on public money for health care and welfare and less likely to be involved in the criminal justice system. Further, because of the increased income, the typical graduate will contribute more in tax revenues over his lifetime than if he’d dropped out.

When the costs of investment to produce a new graduate are taken into account, there is a return of \$1.45 to \$3.55 for every dollar of investment, depending upon the educational intervention strategy. Under this estimate, each new graduate confers a net benefit to taxpayers of about \$127,000 over the graduate's lifetime."

This agenda proposed in this plan 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 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 it has 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, and 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 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.

**Blended Learning:** Combination of traditional face-to-face instruction with an online learning component.

**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 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 Index:** 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' central 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 percent 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.

**Cultural Responsiveness:** Acknowledges the presence of culturally diverse students and the need for students to find relevant connections among themselves and the subject matter and the tasks teachers ask them to perform.

**Data Dashboard:** An 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.

**Distance Learning:** In New York, distance learning is often differentiated from online learning. Distance learning content and instruction are delivered synchronously, most often via videoconferencing hardware.

**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 students’ 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 the 4-year 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 one well-designed and well-implemented experimental study;
  - (II) moderate evidence from at least one well-designed and well-implemented quasi-experimental study; or
  - (III) promising evidence from at least one 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 Mean Growth Percentiles (MGPs).

**Home Language Questionnaire (HLQ):** A diagnostic screening instrument used to identify newly enrolling students' native/home language exposure 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 specific subject area through completion of necessary coursework, may apply 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 extended 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 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 to students during the ELL/MLL identification process or to students upon 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 required to hold a school accountable for the performance and participation of these students, chosen to ensure statistical validity and reliability while accounting for as many student results as possible.

**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.

**Online Learning:** Course content and instruction that are delivered primarily or completely over the internet.

**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 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% of all students, and 95% 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.

**Personalized Learning:** Tailoring learning for each student’s strengths, needs and interests – including enabling student voice and choice in what, how, when and where they learn – to provide flexibility and supports to ensure mastery of the highest standards possible.

**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.

**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 Diagnostic 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; however, if the Achievement Index of any CSI school declines for two consecutive years, then the district is required to offer Public School Choice to students at that school.

**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, facilities, 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 of ELLs/MLLs 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 measure of 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. With Department approval, schools have the flexibility to identify strategies different from those supported by NYSED.

**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 several 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 State’s academic standards 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 5% 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 5% of any group could be identified.

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

**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, and science.

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

**Universal Design for Learning (UDL):** A research based framework that promotes increased accessibility and equity in curriculum development, classroom instruction, test development, and test administration. UDL incorporates educator

awareness of cultural and linguistic representation in the development and delivery of instruction and assessment including accommodations for students with disabilities/differently abled students and for ELLs/MLLs.

**Waiver:** Agreement with USDE that exempts New York from certain provisions of ESSA. New York held waivers under ESEA Flexibility from the 2012-13 school year through the 2016-17 school year, after which all such waivers were nullified by ESSA.

**Weighted Scores:** A weighted score is 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 A

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

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
3-8 Math	All Students	101	99	19.8	4.0	105	109	113	117	121	200
	Asian/Pacific Islander	177	23	4.6	0.9	178	179	180	181	182	200
	Black	81	119	23.8	4.8	86	91	95	100	105	200
	Economically Disadvantaged	87	113	22.6	4.5	92	96	101	105	110	200
	English Language Learners	73	127	25.4	5.1	78	83	88	93	98	200
	Hispanic	86	114	22.8	4.6	91	95	100	104	109	200
	Multiracial	101	99	19.8	4.0	105	109	113	117	121	200
	American Indian/Alaska Native	88	112	22.4	4.5	92	97	101	106	110	200
	Students with Disabilities	50	150	30.0	6.0	56	62	68	74	80	200
	White	102	98	19.6	3.9	106	110	114	118	122	200

**Table 7: High School End Goals, Long-Term Goals and Measures of Interim Progress**

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 ELA	All Students	177	23	4.6	0.9	178	179	180	181	182	200
	Asian/Pacific Islander	194	6	1.2	0.2	194	194	195	195	195	200
	Black	148	52	10.4	2.1	150	152	154	156	158	200
	Economically Disadvantaged	156	44	8.8	1.8	158	160	161	163	165	200
	English Language Learners	87	113	22.6	4.5	92	96	101	105	110	200
	Hispanic	151	49	9.8	2.0	153	155	157	159	161	200
	Multiracial	183	17	3.4	0.7	184	184	185	186	186	200
	American Indian/Alaska Native	150	50	10.0	2.0	152	154	156	158	160	200
	Students with Disabilities	103	97	19.4	3.9	107	111	115	119	122	200
	White	195	5	1.0	0.2	195	195	196	196	196	200

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

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 Math	All Students	151	49	9.8	2.0	153	155	157	159	161	200
	Asian/Pacific Islander	192	8	1.6	0.3	192	193	193	193	194	200
	Black	114	86	17.2	3.4	117	121	124	128	131	200
	Economically Disadvantaged	130	70	14.0	2.8	133	136	138	141	144	200
	English Language Learners	98	102	20.4	4.1	102	106	110	114	118	200
	Hispanic	123	77	15.4	3.1	126	129	132	135	138	200
	Multiracial	154	46	9.2	1.8	156	158	160	161	163	200
	American Indian/Alaska Native	125	75	15.0	3.0	128	131	134	137	140	200
	Students with Disabilities	85	115	23.0	4.6	90	94	99	103	108	200
	White	169	31	6.2	1.2	170	171	173	174	175	200

## Appendix B

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# ATTACHMENT VI

**New York State Education Department Proposed Revision to ESSA Draft Plan  
In Response to Public Feedback Received at Public Hearings and Via Email and Post  
Public Comment Period: May 10 – June 16, 2017**

<b>General Topic Area</b>	<b>May Draft</b>	<b>July Draft</b>	<b>Rationale for the Change</b>
Entire Plan	N/A	The Department revised the application to include language emphasizing the State’s commitment to cultural responsiveness.	The Board of Regents has repeatedly expressed support for creating culturally responsive school and district conditions for students. This issue was also raised frequently at some of the public hearings.
Accountability Measures and Methodologies: Long-Term Goals and Measures of Interim Progress	Long-term Goals and Measures of Interim Progress were based on preliminary analysis.	Long-term goals and Measures of interim Progress have been updated to reflect newer data and closer adherence to the rules by which the Achievement Index and Graduation Rate Cohorts will be computed under ESSA.	Data was rerun to increase accuracy. As a result, the baselines and consequently the long-term goals for Grades 3-8 ELA and math are now higher, as are the high school baselines and long-term goals for most subgroups. The recomputed baselines and long-term goals for graduation rate are now slightly lower.
Accountability Measures and Methodologies: Measure of School Quality and Student Success	Out of school student suspensions was scheduled to initially be a “state reported” measure that would be considered for possible future inclusion in the accountability system.	Out of school suspensions will become a measure of school quality and student success beginning with 2018-19 school year results after baseline information is collected in 2017-18.	There was strong public support for making out of school suspensions a measure of school quality and student success, although there was also concern that the number of students who are suspended is not a good measure of school climate. If necessary, this decision can be re-examined once 2017-18 and

General Topic Area	May Draft	July Draft	Rationale for the Change
			2018-19 school year data are available.
Accountability Measures and Methodologies: Middle Level Success Index	A Middle School Success Index is listed as a potential future measure of School Quality and Student Success	The intent to include middle school success as a measure of school quality as soon as two years of data is available is more explicitly stated.	Based on discussions with national experts, the Department concludes that a Middle School Success (i.e., academic and non-academic measures that research demonstrates prepare middle school students for success in high school) is likely to incentivize positive changes in middle school programs.
Accountability Measures and Methodologies: Progress towards Acquisition of English Proficiency	The acquisition of English Language Proficiency (ELP) Measure was grouped together and equally weighted with the Progress; Chronic Absenteeism; and College, Career and Civic Readiness Indicators.	Separate decision rules have been created for the use of the acquisition of English Proficiency measure so that results on the measure are more consequential for schools that are held accountable for the measure and schools that perform well on this measure can benefit from their strong performance.	Based upon a discussion with the Center for Assessment, the ELP measure will apply to only a limited number of schools, because many schools do not enroll sufficient number of English language learners/Multi lingual Learners to be accountable for results on this measure. In the May draft, the decision rules used the ELP measure only as a way for low performance on the measure to contribute to a school's identification. Now in the July draft, schools accountable for the ELP measure can use good performance on the measure to potentially avoid identification.

General Topic Area	May Draft	July Draft	Rationale for the Change
Accountability Measures and Methodologies: Weighting of Growth and Achievement	The Achievement Index was weighted slightly more than Growth Index at the Elementary and Middle School Level in making accountability determinations.	The Achievement Index and Growth Index are weighted equally.	Public comment and national experts supported a more equal weighting of achievement and growth.
Accountability Measures and Methodologies: Missing Data	General rules for what happens when a result for a measure cannot be computed for a subgroup were provided.	More explicit information is provided on how the decision rules for differentiating school performance are modified when data is missing.	This revision addresses United States Department of Education (USDE) directions to peer reviewers regarding this question.
Challenging Standards and Assessments: Testing Time	The State will consider strategies to reduce time of testing.	The Board of Regents in June reduced the number of sessions for testing from 3 to 2 for the Grade 3-8 ELA and math assessments.	Stakeholders across the State have been urging NYSED to consider strategies to reduce the time of testing.
Challenging Standards and Assessments: Use of Grade Level Assessments for Certain Students with Disabilities	The State will submit a waiver that would allow schools to administer below-grade level assessments to students with disabilities.	Additional language has been added to explain that the request for a waiver is being done in accordance with the requirement in Ed Law §305(48), and that NYSED: <ul style="list-style-type: none"> <li>• will provide guidance to ensure this option is only used for the small population of students for whom it is appropriate; and</li> <li>• intends over time to implement the ESSA approved method of computerized adaptive testing, which will allow</li> </ul>	As many stakeholders were concerned about this waiver request, the Department has clarified that the waiver is being submitted consistent with the requirements of State law; is intended to be applied to only a very small group of students; and is temporary, with the intent to sunset the waiver once computer adapted testing is implemented.

General Topic Area	May Draft	July Draft	Rationale for the Change
		for the use of above or below grade assessment items.	
Challenging Standards and Assessments: English Language Learners	The State will implement Native Language Assessments (Spanish) beginning in 2020-21, if funding is secured in FY2018.	The State will implement Native Language Assessments (Spanish) beginning in 2021-22, if funding is secured in FY2018.	The timeline has been revised to more accurately reflect the length of time necessary for test development, field testing, and administration of an operational test.
Challenging Standards and Assessments	NA	NYSED will provide guidance on what must be in participation plan for schools that fail to meet 95% requirement.	Public comments indicated desire for additional information
Challenging Standards and Assessments: Local Control of Curriculum	NA	The public facing document indicates continuation of local control for curriculum.	Public comments indicated a desire for additional information on this issue.
Challenging Standards and Assessments: Universal Design for Learning	NA	Added additional references to support use of Universal Design for Learning and added a definition in public facing document glossary.	Public comments indicated a desire for additional information on this issue.
Supporting English Language Learners/Multilingual Learners: Exemption for Newly Arrived ELLs/MLLs	Recently arrived ELLs/MLLs will take New York State's ELA assessment only to set a baseline for growth in their 2nd year of enrollment in New York State schools, but not to measure achievement for accountability purposes.	New York State will apply for a waiver from the United States Department of Education for recently arrived ELLs/MLLs to take New York State's ELA assessment only to set a baseline for growth in their 2nd year of enrollment in New York State schools, but not to measure achievement for accountability purposes.	The Department's proposal remains the same, but now the Department acknowledges that a waiver from the United States Department of Education will be required to implement the proposal.

General Topic Area	May Draft	July Draft	Rationale for the Change
Supporting English Language Learners/Multilingual Learners: Measuring Progress of Students Toward Proficiency in English.	This concept was not in the May 2017 draft.	A “safe harbor” rule will be applied to the English Language Proficiency model. For accountability purposes, schools receive credit for students who are achieving specified growth targets or are reaching specified proficiency level targets. For example, if a student exceeds their annual growth target in year 1, but does not meet the annual growth target in Year 2, so long as the student meets a combined proficiency level target for Year2, the school will receive credit for the student’s performance.	This “safe harbor” concept was formulated with the help of Pete Goldschmidt from CCSSO, who is a nationally recognized expert in the area of measuring ELL progress. The Department determined that inclusion of a “safe harbor” rule is appropriate, in that districts will get credit for students’ cumulative growth when students exceed growth targets for one year, and then fail to meet targeted growth for a subsequent year, but still meet the cumulative expected growth for their total number of years in United States schools.
Supporting English Language Learners/Multilingual Learners: Measuring Progress of Students Towards Proficiency in English	This concept was not in the May 2017 draft.	Accountability for Long Term ELLs/MLLs will be incorporated into the English Language Proficiency model, with growth targets established for those students who do not reach Commanding (i.e., the level required to exit from ELL/MLL status) within the specified period.	A number of the public comments received asserted that student specific characteristics, such as Long-Term ELL/MLL status, may impact the length of time students take to gain English Language Proficiency. Therefore, the Department has worked with Pete Goldschmidt, a nationally recognized expert in measuring ELL/MLL progress, to provide schools serving Long Term ELLs/MLLs additional opportunities for these students to meet growth targets, even after these students have

General Topic Area	May Draft	July Draft	Rationale for the Change
			exceeded the time frame in which students are expected to become proficient.
Supporting English Language Learners/Multilingual Learners: Measuring School Progress in Students Achieving Proficiency in English	This concept was not in the May 2017 draft.	The Department will adjust a school's English Language Proficiency targets to reflect the projected percentage of students who should make progress based on the prior proficiency level of a school's population. Therefore, rather than all schools being expected to have the same percentage of students make annual progress towards proficiency in English, each school's target will be based on the percentage of students who would be expected to make annual progress, given such factors as the student's prior proficiency level and years of receiving services.	A number of public comments received noted that student specific characteristics may impact the length of time students take to gain English Language Proficiency. Therefore, the Department has worked with Pete Goldschmidt, a nationally recognized expert in measuring ELL/MLL progress, to create a method to adjust a school's targets based on the school's student population in order to equalize a school's likelihood of achieving these targets, regardless of the composition of a school's ELL/MLL population and their incoming level of proficiency.
Supporting Effective Instruction: Research on Retention of Educators	This research was not in the May 2017 draft.	Inclusion of research from Learning Policy Institute regarding factors influencing an educator's decision to enter and stay in the field.	Inclusion of this information provides a research-based context to support the Educator Effectiveness Framework and addresses public comments on the need to emphasize educator retention.

<b>General Topic Area</b>	<b>May Draft</b>	<b>July Draft</b>	<b>Rationale for the Change</b>
Supporting Effective Instruction: Educator Effectiveness Framework	General description of Educator Effectiveness Framework and equity labs.	Inclusion of Educator Effectiveness Framework components with sample metrics chart and information on NYSED Equity Labs (gatherings for district teams to come together to explore talent management metrics and strategies for improving access to effective educators).	Responds to public comments requesting additional information about how the Department will conduct root cause analysis in conjunction with release of equity reports and how the Department will provide LEAs with support in interpreting their data and implementing strategies to address equity gaps.
Supporting Effective Instruction: Preparation, Recruitment, and Placement	Reference is made to convening a Clinical Practice Work Group related to the preparation of educators.	More explicitly links these statements to recommendations from the Principal Preparation Project and TeachNY Advisory Council.	Addresses public comments asking about the alignment of NYSED's ESSA plan to other initiatives, including TeachNY and the Principal Preparation Project.
Supporting Effective Instruction: Professional Development and Growth	Reference to current mentoring requirements and the need to explore revisions to existing regulatory requirements.	Additional information and research pertaining to educator mentoring, including recommendations from the Principal Preparation Project and TeachNY, has been incorporated into the draft.	Provides additional research-based context on the importance of mentoring to improving the retention and effectiveness of early career educators. Also, addresses public comments asking about the alignment of NYSED's ESSA plan to other initiatives.
Supporting Effective Instruction: Professional Development and Growth and Extending the Reach of Effective Educators	In referring to teacher leadership opportunities, the May 2017 draft only references the Department's Career Ladder Pathways Framework.	Career Ladder Pathways are now framed as providing historical context for the Department's efforts to encourage teacher and principal leadership as an outgrowth of Strengthening Teacher and Leader Effectiveness (STLE) and Teacher Incentive Fund (TIF) grants. The updated	Addresses stakeholder feedback that "Career Ladder Pathways" implies vertical ascension only (i.e., teacher leadership as a means for moving from the teacher role to the principal role). Also aligns this section of the application with current research and policy analysis

General Topic Area	May Draft	July Draft	Rationale for the Change
		draft now uses the term Leadership Pathway Continuums. This section of the application was also updated to speak more broadly about efforts NYSED will undertake to encourage teacher and principal leadership.	about the benefits of leadership opportunities outside of formal career ladders.
Supporting Effective Instruction: Enhancing educator preparation	Draft did not include a separate response in this section and instead referred readers back to Section (D)(1).	Includes a description of the goals and recommendations of the Principal Preparation Project.	Addresses public comments asking about the alignment of NYSED's ESSA plan to other initiatives.
Supporting Effective Instruction: Clinical Practice	Language related to enhancing clinical practice requirements by increasing number of hours of field experiences.	Clarifies that both the amount of time and the quality of the experience are important.	Addresses public comments about the importance of not just the amount of time aspiring educators spend in the classroom as part of their preparation, but also the quality of those experiences.
Supporting Effective Instruction: Connection to Higher Education	Some references made to the connection between P-12 and Higher Education in improving the quality of the educator workforce.	More clearly articulates the connection between P-12 and Higher Education in addressing the quality of the educator workforce.	Responds to public comments supportive of the existing language connecting P-12 to Higher Education and requesting that the Department further strengthen this connection.
Supporting Effective Instruction	This concept was not in the May 2017 draft	Inclusion of language stating that the Department will explore the feasibility of longitudinal data collection related to student performance for NYS students who graduate and attend SUNY/CUNY as an important data point to improve instruction and teacher skills for student	Responds to public comments on the need to further strengthen the connection between P-12 and Higher Education initiatives to both improve the quality of the educator workforce and improve student outcomes.

General Topic Area	May Draft	July Draft	Rationale for the Change
		outcomes.	
Supports and Improvements: Use of School Improvement Grant Funds	A base allocation will be provided to identified Title I Comprehensive Support and Improvement Schools (CSI) and Targeted Improvement and Support Schools (TSI)	Clarification is made that in accordance with flexibility permitted under the law Non-Title I TSI schools are also eligible to receive a base allocation.	The Department expects a small number of non-Title schools to be identified as TSI. These grants will assist these schools to conduct their required needs assessments and develop the required improvement plans.
Supports and Improvements: Provisions for Transfer and Alternative High Schools	All schools that are re-identified as CSI will become Receivership Schools; all current Priority Schools that are identified as CSI schools will become Receivership Schools.	Transfer and Alternative High Schools will not automatically become Receivership schools upon re-identification; instead, the Commissioner will partner with the district to determine the most appropriate interventions for the school, which could still include Receivership.	Stakeholders advocated for separate accountability indicators and decision rules for Transfer High Schools.
Supports and Improvements: Needs Assessments	Schools will review data as part of the Needs Assessment process	Examples of the types of data to be reviewed have been added to the text. These include Opportunity to Learn indicators.	Stakeholders recommended that the accountability system take into consideration a range of Opportunity to Learn indicators.
Supports and Improvements: Parent Engagement	School Improvement plans will be developed in consultation with parents, school staff, and others in accordance with the requirements of Commissioner's Regulations §100.11	In addition to the language in the original draft, all improvement plans will include a section that outlines the extent of stakeholder involvement. The State will reject plans from CSI schools that do not provide adequate evidence of involvement from parents and	Stakeholders requested that NYSED provide more assurances that parents would be involved in the improvement planning process.

General Topic Area	May Draft	July Draft	Rationale for the Change
		families.	
Supports and Improvements: Support for School Board	Focus was on support provided to identified district and school staff.	NYSED will also consider ways to support school boards and promote legislation that allows for interventions in school boards that are not meeting basic educational needs.	The plan acknowledges the crucial role school boards play in school improvement and the need to provide support for school boards to effectively carry out their responsibilities.
Supports and Improvements: Staffing of Schools	CSI schools can only accept in-district transfers of teachers who have been rated Highly Effective or Effective the previous year.	CSI schools can only accept in-district transfers of teachers who have been rated Highly Effective or Effective the previous year. This would go into effect at the start of a new collective bargaining agreement for each district.	Stakeholders wanted to ensure that existing collective bargaining agreements would not be effected by this rule.
Supporting All Students: Aversive behavioral interventions	Not addressed in the section on School Conditions	The Department revised the application to include additional language on how the State will reduce the use of aversive behavioral interventions.	Stakeholders expressed concerns that the original draft did not explicitly address this question.
Supporting All Students: Early Education	Generally addressed in the Early Learning portion of School Transitions section.	The Department revised the application to include language emphasizing the State’s work to include PreK in the revised ELA Learning Standards, including the work of the Early Learning Standards Task Force.	Stakeholders across the State urged NYSED to include additional information about PreK standards within the scope of current early learning initiatives.

<b>General Topic Area</b>	<b>May Draft</b>	<b>July Draft</b>	<b>Rationale for the Change</b>
Supporting All Students: Raise the Age	Raise the Age is mentioned in passing.	The Department revised the application to include language focused on concerns associated with the implementation of the new legislation – specifically its impact on services and transitions for students in County Jails, Secure/Non-Secure detention facilities, and other voluntary placement agencies.	Department staff believe highlighting this issue and its potential impact on students will help support state and local planning for this transition.
Supporting All Students: Well-Rounded Education	This issue was addressed in the May draft, but with limited specificity.	The Department revised the application to include language emphasizing the State’s commitment to promoting a well-rounded education that includes the visual and performing arts.	The Board of Regents has repeatedly expressed support for a greater emphasis on providing students with access to a broad learning experience that includes the arts. There were also many public comments in support of offering students more opportunities to engage in the arts.
Supporting All Students: Safe, Healthy, Supportive Learning Environment	This issue was addressed in the May draft, but with limited specificity.	The Department revised the application to include language emphasizing the State’s commitment promoting health wellness and physical education, including updating current regulations.	The Board of Regents and stakeholders expressed support for a greater emphasis on ensuring students have access to health wellness and physical education as part of a well-rounded education and a safe, healthy, supporting learning environment.
Supporting All Students: Definition of Specialized Instructional Support Personnel	Examples of specialized instructional support personnel were not provided.	The Department revised the application to include the provision of social-emotional support services provided by	Stakeholders across the State urged the inclusion of additional language about social emotional supports.

General Topic Area	May Draft	July Draft	Rationale for the Change
		<p>“specialized instructional support personnel” such as school counselors, school social workers, school psychologists school nurses, speech language pathologists, audiologists, behavioral specialists, and licensed creative arts therapists as part of a well-rounded education.</p>	<p>Stakeholders also requested that the Department provide explicit examples of specialized instructional support personnel.</p>
<p>Supporting All Students: Personalized Learning</p>	<p>This issue was addressed in the May draft, but with limited specificity.</p>	<p>The Department revised the application to include language emphasizing the State’s utilization of technology to support personalized learning.</p>	<p>NYSED staff and stakeholders across the State urged NYSED to include a greater emphasis on educational technology initiatives.</p>

# ATTACHMENT VII

**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**

**7/16/17 3:00 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.

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<sup>1</sup> Unless otherwise indicated, citations to the ESEA refer to the ESEA, as amended by the ESSA.

## 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. 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.*

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

- Provide all students comparable access to a world-class curriculum aligned to Next Generation 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 climate of all schools.
- Ensure that all students have access to support for their social-emotional well-being.
- Provide all students access to extra-curricular opportunities so that students can serve their schools and their communities, participate in community-based internships, and 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.
- Ensure that effective educator practice is driven by an understanding of content knowledge, evidenced-based instructional practices, and a commitment to all students and their families.
- Ensure that students with disabilities are provided services and supports consistent with the principles of [the Blueprint for Improved Results for Students with Disabilities](#).
- Provide educators with opportunities for continual professional development in the areas of equity, anti-bias, multicultural, and culturally responsive pedagogies.
- Support districts and their communities in engaging in critical conversations about culturally responsive educational systems.
- Support schools in developing and implementing policies that result in all students being educated to the maximum extent possible with their general education peers and provide appropriate supports and services to promote positive student outcomes.

ESSA plan:

To these ends, the plan develops a set of indicators that will: a) reveal how New York State schools provide students with 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 State can create a learning system so that schools and districts can collaborate in developing strategies to align practice to research, and the Department can support a knowledge development and dissemination agenda on behalf of continual 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 that its ESSA plan will promote educational equity, we highlight the following “baker’s 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.
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 districts include in any future collective bargaining agreements a provision that any teacher transferring from another school in the district to a Comprehensive Support

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

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 and bias 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 equal supports for 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 all subgroups, b) incentivize districts to provide opportunities for advanced coursework to all high school students, c) continue to support all students who need more than four years to meet graduation requirements, and d) work with all students who have left school so that they can earn a high school equivalency diploma.
13. Ensure that cultural responsiveness informs all school policies and practices and guides interactions among all members of the school community.

Together, these goals reflect the State's commitment to improving student learning results for all students by creating well-developed, culturally responsive, and equitable systems of support for achieving dramatic gains in student outcomes.

New York State posits that these goals can be achieved

IF ...

1. New York State identifies the [characteristics of highly effective schools](#) that provide culturally responsive teaching and learning
2. Schools, districts, and the State collaborate to determine the degree to which each school demonstrates the characteristics of a highly effective schools
3. Schools, districts, and the State collaborate to develop plans to address gaps between the current conditions in each school 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 ...

New York State will eliminate gaps in achievement.

## **STAKEHOLDER ENGAGEMENT**

**The New York State Education Department (NYSED or “the Department”) and the New York State Board of Regents began the process of soliciting public input and feedback regarding the development of the state’s required plan in May 2016. Throughout the process, the New York State Board of Regents has remained committed to ensuring that all stakeholder voices are heard and discussions between groups with diverse viewpoints are encouraged. New York State is very diverse: culturally, linguistically, racially, economically, and geographically. The Department and Board of Regents created a strategic framework for engaging stakeholders to develop a plan that meets the unique needs of the state and its students. This framework included the following activities that are described in more detail in the sections that follow:**

- **Creation of the ESSA Think Tank**
- **Regular consultation with the Title I Committee of Practitioners**
- **Fall and Winter Regional Stakeholder Meetings on ESSA**
- **Public On-line Surveys**
- **Spring Public Hearings on the ESSA Draft Plan and Public Comment Period on the ESSA Draft Plan**
- **Educator Conference on ESSA**
- **Consultation with National Educational Experts**
- **Updates to the Board of Regents on ESSA, with items, presentations, and webcasts also available to the public on the Board of Regents webpage.**

### **ESSA Think Tank**

**At the May 2016 meeting of the Board of Regents, Department staff requested approval of a plan to engage stakeholders through establishment of an ESSA Think Tank (“the Think Tank”). The Department has successfully used this strategy in the past to consult with stakeholders on the ESEA Flexibility Waiver applications. To be well-prepared to take advantage of potential new flexibility and ensure stakeholder input in the creation of a new state plan, the Department invited representatives of key stakeholder organizations, as well as experts in accountability systems, to participate in an ESSA Think Tank. Members of the Think Tank were asked to help NYSED staff review the new requirements and opportunities presented within ESSA and provide recommendations for a set of guiding principles to be used in developing the plan. Members of the Think Tank were also asked to provide recommendations and feedback on specific components of the plan as it was developed. As New York State’s draft plan evolved, members were asked to share information from the Think Tank with their organizations and, in turn, to solicit feedback to share with the Think**

**Tank. A complete list of organizations that participated in the Think Tank can be found on the Department’s ESSA Website: <http://www.p12.nysed.gov/accountability/essa.html>.**

**The Think Tank convened at least once a month, beginning in June 2016, in Albany, New York and/or via Webinar, for a total of 15 meetings to date. Prior to the first meeting in Albany, members were invited to participate in two webinars related to the provisions of ESSA and how the state can move forward to respond to the ESSA requirements. The Department created an ESSA Think Tank webpage, which catalogued various ESSA resource documents and the presentations given at each meeting. That website can be found at: ESSA Website: <http://www.p12.nysed.gov/accountability/essa.html>.**

**In addition to in-person monthly meetings of the Think Tank, members were given the option of joining one of six ESSA topical workgroups. These groups met regularly, typically at least twice a month, usually via phone conference or webinars. The workgroups were organized to address specific strategies and proposals related to the ESSA requirements pertaining to:**

- **Challenging Academic Standards and Assessments**
- **Accountability Measurements and Methodologies**
- **Supporting English language Learners/Multilingual Learners**
- **Supports and Improvements for Schools**
- **Supports for Excellent Educators**
- **Supports for All Students**

**In the beginning months of the Think Tank, the group helped the Department to craft a series of Guiding Principles to inform development of the ESSA application. The Think Tank also provided feedback on the revisions to the Guiding Principles. The Department and Think Tank members agreed that NYS’s ESSA State plan should be created with the goal of supporting the development of highly effective schools and encouraging and enabling all schools toward becoming or remaining highly effective. Based on the Department’s engagement with the Think Tank, a series of statements intended to articulate the characteristics of highly effective schools was crafted. The draft Guiding Principles and Characteristics of Highly Effective Schools were presented to the Board of Regents at its July 2016 meeting.**

**Using the Guiding Principles and the Characteristics of Highly Effective Schools as foundational documents, the ESSA Think Tank workgroups discussed essential questions that needed to be answered in each section of the state plan. The work groups were among the main modes for consultation on the two areas within the application that required direct**

consultation. The Challenging Academic Standards and Assessments work group discussed and formulated proposals related to how the state would determine the minimum number of students within a subgroup (n-size). The Supporting English Language Learners and Multilingual Learners group discussed how the state will determine which languages are present to a significant extent in the participating student population, including English Language Learners who are migratory, English Language Learners who were not born in the United States, and English Language Learners who are Native Americans, languages other than English that are spoken by a significant portion of the participating student population in one or more of the state's LEAs, as well as languages spoken by a significant portion of the participating student population across grade levels.

In September 2016, the Department began working with the Think Tank on summarizing areas of consensus on the essential questions. These summaries, in large part, served as the starting point for the development of a set of High Concept Ideas. In conjunction with the Think Tank, the Department drafted an initial list of 36 High Concept Ideas in response to the essential questions and guided by the discussions within the Think Tank. Over time, to support development of New York State's draft plan, the Think Tank developed additional High Concept Ideas, resulting in a total of 51 High Concept Ideas being presented to the Board of Regents. The vast majority of these High Concept Ideas have been embedded in New York State's ESSA plan.

As noted above, the Think Tank served as a thought partner with Department staff to develop the activities and materials that were used in the meetings to engage stakeholders around the state in a discussion of ESSA. In fall 2016, the Think Tank discussed and provided feedback on the first round of Public ESSA meetings. Think Tank members were also encouraged to attend those meetings and subsequently provide their thoughts on how the meetings were conducted. Similarly, when the Department arranged Winter ESSA Public Meetings, the Think Tank helped the Department to create discussion questions for the participants that focused on issues that the Department was contemplating related to the draft ESSA plan.

At different points throughout development of the plan, the workgroups reported to the Think Tank about their progress.

In April and May 2017, members were provided with proposals that were being considered for incorporation in the draft ESSA plan and invited to provide feedback. Department staff used this feedback to finalize the draft plan presented to the Board of Regents in May 2017. Subsequently, the Board of Regents released the draft plan in May 2017 for public comment and announced that 13 Regional ESSA Public Hearings would be conducted. Think Tank members were asked to inform their constituents of the public comment period and the hearings, as well as to submit formal public comment on behalf of the organizations that the members represented. In June 2017, members of the Think Tank were given an opportunity to formally present the feedback of their organization on the draft plan to Department staff.

Following submission of the plan in September 2017, the Department will continue its collaboration with the Think Tank with a focus on feedback and suggestions regarding the operationalization of the plan and how to communicate the new requirements and initiatives to a diverse set of stakeholders.

### **Committee of Practitioners**

ESSA requires each state that receives Title I funds convene a Committee of Practitioners (COP) to advise the state in carrying out its responsibilities under Title I. The duties of the COP include a review, before publication, of any proposed or final state rule or regulation related to Title I. In New York State, the COP committee is presently comprised of organizations including, but not limited to, Local Education Agencies (LEAs); Boards of Cooperative Educational Services (BOCES); Institutions of Higher Education (IHE); and organizations that represent school boards, superintendents, school administrators, teachers, paraprofessionals, parents, nonpublic schools, and community partners.

Beginning in May 2016, the COP has been provided with regular updates regarding ESSA and several opportunities to provide the Department with feedback on the development of the plan. The COP has conducted extensive discussions on ESSA more than ten times since May 2016. The Committee of Practitioners were asked (in addition to the Think Tank) to provide feedback on the draft Characteristics of Highly Effective Schools, Guiding Principles, and High Concept Ideas. The COP provided valuable feedback that led to thoughtful revisions of these policy documents prior to their presentation to the Board of Regents and use at the Fall Regional ESSA State Plan Development meetings.

In addition to updates, the COP has been asked for feedback on proposed ideas for the plan and has been surveyed regarding accountability issues and indicators related to the plan. The Department maintains a COP website where agendas and materials for each meeting are posted. The website can be found at <http://www.p12.nysed.gov/accountability-cops/>.

### **Fall and Winter Regional ESSA State Plan Development Meetings**

NYSED 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 (Buffalo, New York City, Rochester, Syracuse and Yonkers). These meetings were attended by more than 4,000 students, parents, teachers, school and district leaders, school board members, and other stakeholders. To familiarize participants with the requirements for ESSA, and the various issues that would be discussed at the meeting, the Department created a public ESSA website, which can be found at: <http://www.p12.nysed.gov/accountability/essa.html>.

## Fall Meetings

The purpose of the Fall Regional ESSA State Plan Development Meetings was to engage stakeholders in an introductory discussion of the requirements of ESSA and the draft High Concept Ideas. Fall Regional ESSA State Plan Development Meetings were held across the state and hosted by District Superintendents and Superintendents of the Big 5 school districts (Buffalo, New York City, Rochester, Syracuse and Yonkers) in the last two weeks of October and in early November 2016. The fall meeting was by invitation only, and the Department provided guidance to facilitators to ensure that parents, teachers, district staff, community members, students, and community based organizations were represented. The Department also provided facilitators with a list of the organizations that are part of the Think Tank and encouraged them to invite the local representatives of those organizations in addition to the unique local stakeholders in their region.

Regional Meeting Facilitators provided the Department with a summary of the feedback received on the High Concept Ideas, based upon the discussions at the meetings. In addition, each participant had the opportunity to provide feedback by completing an on-line survey.

The feedback received during the Fall meetings was summarized and presented to the Board of Regents at its November 2016 meeting. A total of 2,206 persons participated in 40 Regional meetings. A total of 585 surveys were submitted by participants. For a complete summary of the feedback received from the Fall meetings, please see the following presentation to the Board of Regents, posted on the Department's Board of Regents website at:

<http://www.regents.nysed.gov/common/regents/files/Full%20Board%20Monday%20am%20-%20ESSA.pdf>.

## Winter Meetings

The NYSED provided an additional opportunity for stakeholder and public input, from February 27 through March 17, 2017, at the Winter Regional Open Meetings on ESSA. District Superintendents and Superintendents of Buffalo, New York City, Rochester, Syracuse and Yonkers hosted open public meetings to gather public input on questions related to the continued development of the draft state ESSA plan.

The meetings were focused on 14 questions for which the Department wished feedback on specified options, before making recommendations for how to address these questions in developing the draft of New York's State ESSA application. Questions addressed such issues as: possible new innovative assessment practices that New York may wish to seek approval to pilot; assessment and accountability requirements for newly arrived English language learners, strategies for pre-service preparation and professional support for educators; design of the state's public school accountability system; and supports and interventions in low-performing schools.

Seventy-six regional meetings were held in March and early April 2017 across the state, with 1,277 participants total, and the submission of 246 meeting surveys. Regional meeting facilitators provided the Department with a summary of the feedback on the questions to be considered, based upon the discussions at the meetings. In addition, each participant had the opportunity to provide feedback by completing an on-line survey.

**Public On-line Surveys: Guiding Principles, Characteristics of Highly Effective Schools, Possible Indicators of School Quality and Student Success**

To ensure that the Department received feedback from a large and diverse group of stakeholders, public on-line surveys were released throughout the development of the plan. These surveys were promoted and distributed to the public in the following ways:

- Press releases to the media;
- Through the Think Tank members, who were encouraged to distribute the survey links to their constituents;
- Through COP committee members, who were asked to share the survey links with their constituents;
- Social Media posts from the Department;
- Through the Commissioner’s regular newsletter to the public; and
- Through Department listservs that include District Title I Directors, District Grant administrators, District Liaisons, Nonpublic Schools representatives, and Charter Schools.

This chart outlines public on-line surveys open to the public, and the number of responses:

Survey Topic	Date released	# of Responses
Characteristics of Highly Effective Schools and ESSA Guiding Principles	07/11/2016	606
Fall Regional Meeting: Proposed High Concept Ideas	10/18/2016	585
Possible Indicators of School Quality and Student Success	01/23/2017	2,416
Winter Regional Meeting: Questions to Consider	02/23/2017	246

In addition to these surveys, which were open to the public, the Department used surveys extensively with both the Think Tank and the COP to assess where there were areas of consensus on issues discussed at the meetings.

The largest number of survey responses came from the Survey on Possible Indicators of School Quality and Student Success, with 2,416 respondents. 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. The interim results of this survey were discussed at length by the Board of Regents during its March 2017 ESSA Retreat, and can be found at:

<http://www.regents.nysed.gov/common/regents/files/Attachment%203%20Interim%20Results%20of%20the%20Survey%20on%20Indicators%20of%20School%20Quality.pdf>.

The Board of Regents ultimately used the survey feedback to determine that New York State would use chronic absenteeism as an indicator for School Quality and Student Success at the elementary, middle, and high school levels. More than two-thirds of survey respondents strongly supported or supported the use of chronic absenteeism as a measure of school quality and student success. 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. The survey results are also being used to determine what measures will be incorporated into New York State's data dashboard and considered for inclusion in the accountability system once valid and reliable baseline data becomes available.

#### Spring 2017 Public Hearings on the ESSA Draft Plan and Public Comment Period on the ESSA Draft Plan

On May 8, 2017, the Board of Regents released the state's draft ESSA plan for public comment and review. As described above, NYSED held more than 120 stakeholder and public meetings to gather input to help inform the development of the draft plan. The Department also hosted 13 public hearings on the plan from May 11 through June 16 and accepted public comment on the plan through June 16, 2017.

At the 13 Public Hearings, there were more than 270 speakers who provided the Department with their feedback. Additionally, over 800 comments were received on the draft plan during the public comment period. In general, the commenters wanted the Department to:

- Provide clarity on 95% Participation Rate calculations and required actions. There was concern about how the 95% participation rate requirement would affect some school accountability classifications.

- **Expand school accountability indicators to include Opportunity to Learn indicators/index; student access to and/or participation in a full educational program (science, arts, music, and physical education); and a “School Health Index.”**
- **Continue support for Transfer Schools and use alternative metrics to hold them accountable for results.**
- **Continue its focus on teacher preparation. Commenters stated that the quality of the field experience is more important than quantity of time spent. Also, commenters stated that educators need more preparation on teaching students with different learning styles.**
- **Increase access to culturally responsive education, career-ready coursework, and digital technology.**
- **Appoint a task force on cultural responsiveness that includes parents and experts to review state learning standards, school and district assessment, teacher assessment certification requirements, and recommend changes that will increase cultural responsiveness and improve instruction pedagogy and school climate.”**
- **About one third of the written comments were from three letter writing campaigns:**
  - **One campaign advocated for higher standards for accountability for all schools with all students; a rating system based upon single overall ratings for each school; and increased parental involvement in all steps of the improvement plan process.**
  - **Another campaign advocated for the inclusion of creative arts therapists as Specialized Instructional Support Personnel (SISP) in the ESSA provisions for New York State.**
  - **The third campaign commended the Board of Regents for the inclusion of school library provisions in the ESSA draft plan.**

**Many commenters applauded the specific focus on English Language Learners and Multilingual Learners (ELLs/MLLs) within the draft plan. Some had concerns about testing requirements for ELLs/MLLs. Several stakeholders asked that career and technical education pathways and coursework get as much attention as Advanced Placement or International Baccalaureate classes. Several commenters commended the support of students’ equitable access to digital technology and recommended that the state include additional, allowable school library provisions in the final plan. Many stakeholders expressed appreciation for the opportunity to provide input and feedback on the development of the state’s draft plan over the past year and noted the wide variety of stakeholders that have been engaged along the way, as well. Some stakeholders raised concerns about the level of funding that is needed to fully achieve the plan, particularly for high-poverty schools and districts.**

A complete analysis of the public comments received was presented at the July 2017 Board of Regents meeting, along with the Department's response to those comments. This analysis can be found at: <http://www.regents.nysed.gov/meetings>

### **Educator Conference on ESSA**

Educators will be at the forefront of the implementation of the state's ESSA plan, and therefore the state has prioritized their involvement in the creation of the plan. In addition to serving on the ESSA Think Tank and the COP and attending the ESSA regional meetings, educators also participated in ESSA Conference for Educators held in June 2017.

Districts were invited to have local educators apply to attend the one-day conference in Albany, New York. Attendees were provided an overview of the state's draft plan, and were engaged in discussions surrounding the proposed strategies. Educators provided the Department with valuable feedback on how to effectively support implementation of the plan across the state.

Over the next six months to a year, teachers and principals and district personnel will require training on the state's new accountability system. The Department is committed to continuing its engagement with educators during this period, as educators will be able to provide real-time, practical feedback on the implementation of the plan.

### **Consultation with National Education Experts**

To align stakeholder input with ESSA state plan requirements, the Department and Board of Regents also worked closely with national education experts. Early in the plan development process, the Board of Regents engaged with Dr. Linda Darling Hammond, from the Learning Policy Institute, and Dr. Scott Marion, from the National Center for the Improvement of Educational Assessment, to provide technical assistance and support to the Department and the Board of Regents.

Linda Darling Hammond, President and CEO of the Learning Policy Institute, is a nationally recognized expert in education policy. She has consulted widely with federal, state, and local officials and educators on strategies for improving education policies and practices. Over the past year, Dr. Hammond has presented to the Board of Regents several times, providing updates on the ESSA statute and facilitating the Board's discussion related to school accountability. For more information about Dr. Hammond's expertise and work, please visit <https://learningpolicyinstitute.org/person/linda-darling-hammond>.

Scott Marion is the Executive Director of the National Center for the Improvement of Educational Assessment. Dr. Marion works with states to design and support implementation of assessment and accountability reforms, develop and implement educator evaluation systems, and design and implement high quality, locally designed performance-based assessments. He is a national leader in designing innovative and comprehensive assessment systems to support instructional and accountability uses, including helping states and districts design systems of assessments for evaluating student learning of identified

competencies. Dr. Marion has also presented to the Board of Regents several times, providing them with an understanding of the ESSA school accountability requirements, and facilitating the Board’s discussion related to school accountability. Dr. Marion and his colleague Dr. Jennifer Dunn have supported the Department as it designed its new school accountability system and determined how to identify schools for Comprehensive and Targeted Intervention under ESSA. For more information about Dr. Marion’s expertise and work, please visit <http://www.nciea.org/about-us/team/director/scott-marion>.

In addition to working with Dr. Hammond and Dr. Marion, the Department engaged in extensive research to understand the law and the opportunities that it provides. This research included meetings with the following organizations:

- U.S. Department of Education
- Brustein & Manasevit – a law firm recognized for its federal education regulatory and legislative practice
- Education First on the development of materials for dissemination to the public and policymakers
- 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)

**Public Presentations to the Board of Regents**

The Board of Regents has always valued transparency and the engagement of stakeholders. To that end, Department presentations to the Board of Regents have always been made available to the public, including access through links on the Board of Regents website to the meeting webcasts. Since May 2016, Department staff have provided regular ESSA updates to the Board of Regents. The following is a listing of ESSA Update Presentations made to the Board of Regents, with links to the presentations:

Month/Year	Presentation Link
May 2016	<a href="#"><u>Elementary and Secondary Education Act (ESEA) Reauthorization/Every Student Succeeds Act (ESSA)</u></a>
July 2016	<a href="#"><u>Update on the Every Student Succeeds Act (ESSA)</u></a> <a href="#"><u>ESSA and McKinney-Vento</u></a>

<b>Month/Year</b>	<b>Presentation Link</b>
<b>October 2016</b>	<a href="#"><u>Every Student Succeeds Act (ESSA) State Plan Development Activities</u></a>
<b>November 2016</b>	<a href="#"><u>Development of New York’s Every Student Succeeds Act State Plan</u></a>
<b>December 2016</b>	<a href="#"><u>Update: Development of New York’s Every Student Succeeds Act (ESSA) State Plan</u></a>
<b>January 2017</b>	<a href="#"><u>Development of the New York State Every Student Succeeds Act Plan: High Concept Ideas and Survey on Possible Indicators of School Quality and Student Success</u></a>
<b>March Retreat 2017</b>	<a href="#"><u>March 27, 2017 Board of Regents ESSA Retreat (6 presentations)</u></a>
<b>April 2017</b>	<a href="#"><u>6 Presentations on ESSA</u></a>
<b>May 2017</b>	<a href="#"><u>Overview of New York’s Draft Every Student Succeeds Act (ESSA) Plan</u></a>
<b>June 2017</b>	<a href="#"><u>Every Student Succeeds Act (ESSA State Plan: Update on Public Hearings and Public Comment</u></a>
<b>July 2017</b>	<b>TBD</b>

**Conclusion**

For the past year, the New York State Education Department has intentionally and meaningfully 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. Over 5,000 students, parents, teachers, school and district leaders, school board members, and other stakeholders participated in the Department’s stakeholder engagement initiatives.

**Overall Timeline of Stakeholder Engagement**

<b>Month/Year</b>	<b>Activity</b>
<b>May 2016</b>	<b>First ESSA Briefing to Board of Regents</b>
<b>June 2016</b>	<b>First ESSA Think Tank Meeting – over 100 stakeholder organizations</b>

Month/Year	Activity
July 2016	Public Survey on Characteristics of Highly Effective Schools and ESSA Guiding Principles
September 2016	Fall Regional ESSA Meetings
October 2016	Fall Regional ESSA Meetings
January 2017	Public Survey on Possible Indicators of School Quality and Student Success
February 2017	Winter Regional Meetings
March 2017	Winter Regional Meetings Board of Regents ESSA Retreat
May 2017	ESSA Draft Plan Public Hearings Public Comment Period for Draft Plan
June 2017	ESSA Draft Plan Public Hearings Public Comment Period for Draft Plan

### 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**

<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.

- 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 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 a 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 the exam 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 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. Based on student data, the Department is confident that this method of local determination for advanced math course offerings and assignment of students is successful. 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 students instead take 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).

In addition, NYSED is submitting a waiver request under section 8401 of the ESEA to seek permission from USED to continue to exempt eighth-grade students who take high school science courses from the science assessment typically administered in eighth grade, provided that the students instead take the end-of-course science 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 eighth-grade.

New York State provides a comprehensive set of accommodations to ensure that Students with Disabilities and/or English Language Learners/Multilingual Learners (ELLs/MLLs) will have an equitable opportunity to participate in advanced mathematics exams. New York State educators who participate in item writing, test review, and test administration receive training in the theory and application of Universal Design for Learning to ensure that assessments are fair and accessible for all students throughout the state. 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 ELLs/MLLs and applied as determined by school administrators, in accordance with guidance provided by the NYSED.

To further accommodate students with disabilities, NYSED is preparing a waiver request under section 8401 of the ESEA to seek permission from USDE to allow schools to administer below-grade level assessments to a small, select group of students with disabilities. This request will be made pursuant to New York State Education Law § 305(48) which directs the Department, upon and to the extent allowed by any federal waiver issued by USDE, to allow “students with disabilities who are not eligible for the New York state alternate assessment and whose cognitive and intellectual disabilities preclude their meaningful participation in chronological grade level instruction to be assessed based on instructional level rather than chronological age.” To preserve the integrity of these students’ assessments, NYSED will release guidance informing LEA’s how they can determine if a student qualifies for this accommodation and will require LEA’s to seek Department approval prior to assigning this accommodation to students. This will be done to ensure that this accommodation is provided only to the very small percentage of students in New York State who would benefit from this type of assessment. NYSED views this waiver as a step toward the off-grade testing that is allowed under ESSA once the Department converts all test administrations to computer-based testing and subsequently launches computer adaptive tests throughout the state. Until that process can be completed, NYSED will seek to provide this innovation for the small population of students whose lack of chronological grade-level proficiency can be determined without the need for assessment, but whose schools would benefit from the receipt of instructional-level data to determine progress toward goals outlined in the students’ Individualized Educational Programs.

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

**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<sup>4</sup> (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. 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 who nonetheless have large and concentrated presences in particular LEAs, New York State seeks to make culturally responsive materials for parents and guardians of ELLs/MLLs accessible in each of the 10 languages spoken most prevalently by the State’s ELLs/MLLs. As of 2016-17, the top 10 languages spoken by New York State ELLs/MLLs are Spanish, Chinese, Arabic, Bengali, Russian, Urdu, Haitian-Creole, French, Karen, and Nepali.

New York State has reviewed its ELL/MLL native/home language data disaggregated by ELL/MLL subpopulations such as migratory students, foreign born students, Native American students, and by grade band clusters (kindergarten through 5th, 6th through 8<sup>th</sup>, and 9th through 12th grades, respectively), and determined that, while the rank order of New York State’s top 10 languages is slightly different for each category, there are no additional “languages other than English that are present to a significant extent” within these subpopulations. As an example, 67.9% of foreign born ELLs/MLLs are Spanish speakers, followed by Arabic (4.7%), Chinese (3.9%), and Karen (2.6%). Also, Spanish, Chinese, and Arabic are consistently the top three most frequently spoken native/home languages by ELLs/MLLs across all grade bands. For example, 63.8% of ELLs/MLLs in kindergarten through 5th grades are Spanish speakers, 67.0% of ELLs/MLLs in 6th through 8th grades are Spanish speakers, and 66.3% of ELLs/MLLs in 9th

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<sup>4</sup> New York State defines “English Language Learners/Multilingual Learners” as “students who, by reason of foreign birth or ancestry, speak or understand a language other than English and speak or understand little or no English, and require support in order to become proficient in English.” The terms “English Language Learner” and “Multilingual Learner” are synonymous in New York State. “English Language Learner/Multilingual Learner” is also synonymous with the term “English Learner,” which is used by the United States Department of Education.

through 12th grade are Spanish speakers.

**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 that found that, after English, Chinese, Haitian-Creole, Korean, Russian, and Spanish were 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 these exams into eight languages: Chinese (Traditional), Chinese (Simplified), Haitian-Creole, Korean, Russian, Spanish, Arabic, and Bengali. To date the Department has not yet secured this funding. 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 offers for the tests to be translated orally into other languages, as an accommodation for those ELLs/MLLs whose native/home language is one for which a written translation is not available. 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 for which an NLA/HLA assessment will be developed. Currently, 64.9% of New York State'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 into which assessments are translated, but, to date, funding has not yet been made 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.**

To date, funding has not been available for translation of these assessments. However, 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 for which an NLA/HLA assessment will be developed. Finally, the Department is seeking funding from the New York State legislature to develop Languages Other Than English (LOTE)/World Languages academic assessments, in Spanish, French, Italian, and Chinese. As discussed above, funding has not been made available to date. 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 develop the tests (passages, graphics, items, rubrics, scoring, etc.) based on specifications from, and in close coordination with, the Department.
- The Department will coordinate with the vendor to hire New York State educators to review content and test items, as well as to conduct field testing (including printing, shipping, and scoring).
- The vendor, incorporating the results of the above, 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 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 2021-22 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.

New York State uses the definitions below for these subgroups.

Race: The race choice indicates the race or races with which the student primarily identifies as indicated by the student or the parent/guardian. Race designations do not denote scientific definitions of anthropological origins. A student is reported using the race or races designation for the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. If the student or parent/guardian will not designate race or races, a school administrator selects the race or races.

- *American Indian or Alaska Native* — A person having origins in any of the original peoples of North and South America (including Central America) and who maintains cultural identification through tribal affiliation or community recognition.
- *Asian* — A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- *Black or African American* — A person having origins in any of the black racial groups of Africa.
- *Native Hawaiian/Other Pacific Islander* — A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- *White* — A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Hispanic or Latino: Students who appear to belong, identify with, or are regarded in the community as Hispanic for Latino, regardless of whether the students also consider themselves to belong to, identify with, or are regarded in the community as belonging to an American Indian/Alaska Native, Asian, Black or African American, Native Hawaiian/Other Pacific Islander, or White race.

Students with Disabilities: Students classified by the Committee on Special Education as having one or more disabilities.

English Language Learners (ELLs): English Language Learners are students who, by reason of foreign birth or ancestry, speak or understand a language other than English and speak or understand little or no English, and require support in order to become proficient in English and are identified pursuant to Section 154.3 of New York State’s Commissioner’s Regulations.

Economically Disadvantaged: An economically disadvantaged student is a 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 low income, all students from that household (economic unit) may be identified as low income.

Gender: Gender (male or female) identified by the student. In the case of very young transgender students not yet able to advocate for themselves, gender may be identified by the parent or guardian.

Migrant: A student is a migrant child if the student is, or whose parent, guardian, or spouse is, a migratory agricultural worker, including a migratory dairy worker or a migratory fisher, and who, in the preceding 36 months, in order to obtain, or accompany such parent, guardian, or spouse, in order to obtain, temporary or seasonal employment in agricultural or fishing work has moved from one school district to another.

Foster Care: A student in foster care is one who is in 24-hour substitute care for children placed away from their parents and for whom the agency under title IV-E of the Social Security Act has placement and care responsibility. This includes, but is not limited to, placements in foster family homes, foster

homes of relatives, group homes, emergency shelters, residential facilities, child care institutions, and pre-adoptive homes. A child is in foster care in accordance with this definition regardless of whether or not the foster care facility is licensed and payments are made by the State, tribal, or local agency for the care of the child, whether adoption subsidy payments are being made prior to the finalization of an adoption, or whether there is federal matching of any payments that are made.

Homeless: A homeless student is one who lacks a fixed, regular, and adequate nighttime residence, including a student who is sharing the housing of other persons due to a loss of housing, economic hardship, or similar reason; living in motels, hotels, trailer parks or camping grounds due to the lack of alternative adequate accommodations; abandoned in hospitals; or a migratory child, as defined in subsection 2 of section 1309 of the Elementary and Secondary Education Act of 1965, as amended, who qualifies as homeless under any of the above provisions; or has a primary nighttime location that is a supervised publicly or privately operated shelter designed to provide temporary living accommodations including, but not limited to, shelters operated or approved by the State or local department of social services, and residential programs for runaway and homeless youth established pursuant to article 19H of the executive law or a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings, including a car, park, public space, abandoned building, substandard housing, bus, train stations, or similar setting. Homeless students do not include children in foster care placements or who are receiving educational services pursuant to subdivision four, five, six, six-a, or seven of Education Law section 3202 or pursuant to article 81, 85, 87, or 88 of Education Law.

Armed Forces Child: A child with one or more parent or guardian who is a member of the Armed Forces and on Active Duty. The Armed Forces are the Army, Navy, Air Force, Marine Corps, the Coast Guard, or full-time National Guard. Active duty means full-time duty in the active military service of the United States. Such term includes full-time training duty, annual training duty, and attendance, while in the active military service, at a school designated as a service school by law or by the Secretary of the military department concerned.

**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.

**X 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. For students in their second year of enrollment in the United States, New York State will seek a waiver from the United States Department of Education to have these students take New York State’s ELA assessment only to set a baseline for determining growth but not to measure 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 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 determining 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 measuring 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 collaborated with stakeholders representing parents, teachers, principals, other school leaders, librarians, students with special needs, and other representative groups. The majority of stakeholders 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 because of the non-participation of only two students.

For performance, stakeholders considered a number of approaches, including 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 would not be in compliance with the law.

At the request of stakeholders, New York State analyzed the effect of the use of n-sizes from 10 to 40 (see below) to determine which size would enable New York State to most effectively support the efforts of schools to close achievement gaps. Thirty was chosen based on these statistical analyses. 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. If the n-size for a group is less than 30 in a current year, New York State will combine data for the current year and the previous year to make accountability performance decisions.

The following tables show the percentage of schools and students that would have been accountable in 2015-16 if the indicated n-sizes were used. The denominator used to calculate these percentages was the higher of 1) continuously enrolled tested students, and 2) 95% of continuously enrolled tested and not tested students. If the number of students in any subgroup in 2015-16 was less than the threshold, 2014-15 and 2015-16 data were combined.

**Elementary/Middle-Level English Language Arts**

**Percentage of Schools Accountable for Student Subgroups by N-Size**

N-size	All Students	American Indian or Alaska Native	Asian or Native Hawaiian/Other Pacific Islander	Black or African American	Hispanic or Latino	Multiracial	White	English Language Learner	Economically Disadvantaged	Students with Disabilities
10	95.32	6.46	48.95	63.30	78.24	31.48	77.96	48.53	93.65	92.39
15	95.09	3.88	40.87	56.28	72.81	20.16	74.90	40.90	92.72	90.05
20	95.06	2.75	35.67	52.13	67.75	13.01	72.92	35.47	91.69	86.73
25	94.98	2.11	30.74	49.13	63.27	8.92	70.83	30.81	90.84	83.31
30	94.88	1.62	27.37	46.71	60.08	6.84	69.42	28.16	89.87	78.96
35	94.70	1.29	25.26	44.37	57.38	5.17	68.26	25.46	88.27	74.49
40	94.57	1.16	23.28	42.28	54.96	3.81	67.18	23.20	87.27	69.57

**Percentage of Students Attending Schools Accountable for Subgroups by N-Size**

N-size	All Students	American Indian or Alaska Native	Asian or Native Hawaiian/Other Pacific Islander	Black or African American	Hispanic or Latino	Multiracial	White	English Language Learner	Economically Disadvantaged	Students with Disabilities
10	99.98	52.36	94.89	97.78	99.02	75.89	99.50	96.53	99.94	99.57
15	99.97	42.62	91.80	96.12	98.14	60.46	99.22	93.49	99.87	99.03
20	99.97	37.86	89.05	94.79	97.02	47.67	98.97	90.56	99.76	97.99
25	99.96	33.83	85.76	93.57	95.76	38.85	98.63	87.24	99.64	96.67
30	99.95	31.07	83.19	92.45	94.70	33.70	98.35	85.19	99.47	94.72
35	99.93	28.84	81.36	91.15	93.68	28.29	98.08	82.68	99.15	92.46
40	99.91	27.64	79.44	89.85	92.63	23.44	97.80	80.34	98.92	89.72

**Elementary/Middle-Level Mathematics**

**Percentage of Schools Accountable for Student Subgroups by N-Size**

N-size	All Students	American Indian or Alaska Native	Asian or Native Hawaiian/Other Pacific Islander	Black or African American	Hispanic or Latino	Multiracial	White	English Language Learner	Economically Disadvantaged	Students with Disabilities
10	95.29	6.40	49.14	63.18	77.91	30.75	77.96	49.88	93.60	92.23
15	95.06	3.86	41.14	55.98	72.62	19.31	74.90	42.68	92.62	89.66
20	95.04	2.75	35.79	51.81	67.27	12.60	72.90	37.10	91.62	86.35
25	94.96	2.03	30.88	48.70	62.92	8.59	70.79	32.50	90.77	82.64
30	94.78	1.59	27.54	46.13	59.78	6.48	69.43	29.52	89.48	78.37
35	94.65	1.26	25.30	43.94	57.11	4.96	68.14	26.87	87.97	73.49
40	94.52	1.13	23.35	41.91	54.80	3.52	67.09	24.25	87.19	68.91

**Percentage of Students Attending Schools Accountable for Subgroups by N-Size**

N-size	All Students	American Indian or Alaska Native	Asian or Native Hawaiian/Other Pacific Islander	Black or African American	Hispanic or Latino	Multiracial	White	English Language Learner	Economically Disadvantaged	Students with Disabilities
10	99.98	52.25	94.96	97.82	99.01	75.23	99.49	96.69	99.94	99.55
15	99.97	42.77	91.94	96.13	98.17	59.14	99.22	93.95	99.87	98.95
20	99.97	38.31	89.15	94.78	96.99	47.00	98.96	91.14	99.76	97.91
25	99.96	33.36	85.91	93.52	95.78	38.13	98.61	88.09	99.64	96.48
30	99.94	31.16	83.33	92.29	94.75	32.64	98.35	85.76	99.41	94.56
35	99.93	28.35	81.45	91.08	93.74	27.73	98.05	83.48	99.11	92.06
40	99.91	27.28	79.60	89.80	92.74	22.00	97.78	80.78	98.94	89.51

**d. Describe how the State ensures that the minimum number is sufficient to not reveal any personally identifiable information.<sup>5</sup>**

<sup>5</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.

New York State does not report outcomes for students in groups whose n-size is under the designated threshold, 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 both 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 below.) If the sum of the number of tested students in both 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 below.) 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 under the new category, “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, performance results for both subgroups in that category will not be reported. See the Homeless Status category in the example below. If the identity of the one homeless student was 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>					

Subgroup	Number Tested	Number scoring at level:			
		1	2	3	4
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 40, participation rates are not reported for that group. If the number of students in a group is fewer than 30, 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.

***Accountability Participation Rate Reporting Example:***

Subgroup	Participation Enrollment	Participation Rate	Tested 95%
All Students	264	95%	Yes
American Indian/Alaska Native	30	—	—
Asian/Pacific Islander	29	—	—
Black	39	—	—
Hispanic	40	87%	No
White	74	—	—
Multiracial	52	99%	Yes
Students with Disabilities	3	—	—
English Language Learners	40	92%	No
Economically Disadvantaged	5	—	—

***Accountability Performance Reporting Example:***

Subgroup	Performance Enrollment	Performance Index
All Students	264	180
American Indian/Alaska Native	30	120

Subgroup	Performance Enrollment	Performance Index
Asian/Pacific Islander	29	—
Black	39	165
Hispanic	40	140
White	74	—
Multiracial	52	168
Students with Disabilities	3	—
English Language Learners	40	172
Economically Disadvantaged	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. For additional information about how a reporting size of five protects student privacy and is statistically reliable, please see pp. 32-33.

**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, which would mean that all students, on average, were proficient. (See Section below on Academic Achievement Indicators for an explanation of how the Performance Index is computed.)

Step 2: Set the 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 set 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 97. 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 103 Index points. Twenty percent of 103 is 21 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 118 (base year performance of 103 + 21-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	97	118	200
Asian	157	166	200
Black	89	111	200
Economically Disadvantaged	87	110	200
English language learners	58	86	200
Hispanic	88	110	200
Multiracial	97	118	200
Native American	87	110	200
Students with Disabilities	45	76	200
White	93	114	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	101	121	200
Asian	177	182	200
Black	81	105	200
Economically Disadvantaged	87	110	200
English language learners	73	98	200
Hispanic	86	109	200
Multiracial	101	121	200
Native American	88	110	200
Students with Disabilities	50	80	200
White	102	122	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	177	182	200
Asian	194	195	200
Black	148	158	200
Economically Disadvantaged	156	165	200
English language learners	87	110	200
Hispanic	151	161	200
Multiracial	183	186	200
Native American	150	160	200

<b>Group</b>	<b>Baseline 2015-16</b>	<b>2021-22 Goal</b>	<b>End Goal</b>
Students with Disabilities	103	122	200
White	195	196	200

For High School Mathematics:

<b>Group</b>	<b>Baseline 2015-16</b>	<b>2021-22 Goal</b>	<b>End Goal</b>
All Students	151	161	200
Asian	192	194	200
Black	114	131	200
Economically Disadvantaged	130	144	200
English language learners	98	118	200
Hispanic	123	138	200
Multiracial	154	163	200
Native American	125	140	200
Students with Disabilities	85	108	200
White	169	175	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 112-point difference in the baseline performance between the highest-achieving subgroup (Asians) and the lowest-achieving subgroup (students with disabilities). By 2021-2022, while the Asian subgroup is expected to make a 9-point gain, the students with disabilities group is expected to make a 31-point gain, more than triple that of the Asian group, resulting in a 22-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 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 set 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 80%. The “end” goal is a 4-year adjusted cohort graduation rate of 95%. The gap between the “end” goal and the baseline performance is 15%. Twenty percent of 15% 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 83% (base year performance of 80 + 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 set 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.

This same methodology is used to establish the long-term goals for the extended 5-year and 6-year adjusted cohort graduation rates, except that the “end” goals for these extended graduation rates are higher than that for the 4-year adjusted cohort graduation rate.

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

<b>Subject</b>	<b>Group Name</b>	<b>2015-16 Baseline</b>	<b>2021-22 Long- Term Goal</b>	<b>End Goal</b>
4-Yr Graduation Rate	All Students	80.4%	83.3%	95%
	American Indian/Alaska Native	66.5%	72.2%	95%
	Asian	87.5%	89.0%	95%
	Black	69.3%	74.4%	95%
	Economically Disadvantaged	73.2%	77.6%	95%
	English Language Learners	46.6%	56.3%	95%
	Hispanic	68.9%	74.1%	95%
	Multiracial	80.7%	83.5%	95%
	Students with Disabilities	55.3%	63.2%	95%
	White	89.2%	90.4%	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:

<b>Subject</b>	<b>Group Name</b>	<b>2015-16 Baseline</b>	<b>2021-22 Long- Term Goal</b>	<b>End Goal</b>
5-Yr Graduation Rate	All Students	83.0%	85.6%	96.0%
	American Indian/Alaska Native	69.1%	74.5%	96.0%
	Asian	88.8%	90.2%	96.0%
	Black	73.7%	78.1%	96.0%
	Economically Disadvantaged	77.5%	81.2%	96.0%

Subject	Group Name	2021-22		
		2015-16 Baseline	Long- Term Goal	End Goal
	English Language Learners	52.9%	61.5%	96.0%
	Hispanic	72.9%	77.5%	96.0%
	Multiracial	81.1%	84.1%	96.0%
	Students with Disabilities	60.8%	67.8%	96.0%
	White	90.5%	91.6%	96.0%

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

Subject	Group Name	2021-22		
		2015-16 Baseline	Target	End Goal
6-Yr Graduation Rate	All Students	84.1%	86.6%	97.0%
	American Indian/Alaska Native	70.1%	75.5%	97.0%
	Asian	89.6%	91.1%	97.0%
	Black	75.7%	80.0%	97.0%
	Economically Disadvantaged	79.5%	83.0%	97.0%
	English Language Learners	56.0%	64.2%	97.0%
	Hispanic	74.8%	79.3%	97.0%
	Multiracial	81.6%	84.7%	97.0%
	Students with Disabilities	61.9%	68.9%	97.0%
	White	90.7%	92.0%	97.0%

The long-term goals for the adjusted 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 35% difference in the baseline performance between the highest-achieving subgroup (Whites) and the lowest-achieving subgroup (English language learners), which will be reduced to 28% if the long-term goals for these groups are achieved.

### **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. As described below, 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, annually the New York State English as a Second Language Achievement Test (NYSESLAT) to determine placement for the following year. 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 the Regents Exam in English.

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 period for establishing the first long-term goal toward achieving the “end” goal. New York State has set five years as the 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 43%. The gap between the “end” goal and the baseline performance is 52%. Twenty percent of 52% is 10%, 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 53% (base year performance of 43% + 10% percent reduction target of 20%). The annual target for each of the five years will be 2%.

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. This timeline forms the basis for New York State’s long-term goals. Long-term goals are a result of both this timeline and the model selected to monitor progress (the “Transition Matrix,” described below). 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 and assessed each model for reliability, 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 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.

New York State further enhances the robustness of the Transition Matrix model by capturing cumulative progress of students through a “safe harbor” provision for earning credit. Safe harbor is based on comparing a student’s English language proficiency level with the expected level, based on table below. For example, a student whose initial English language proficiency level is Emerging and is in year three would be expected to have made 1 level of growth or have attained level 4.25 ( $2 + 1.25 + 1$ ). In this way, schools are not penalized for students who have an idiosyncratic growth year as long as they still demonstrate having attained the appropriate overall level and, therefore, are still on track to exiting in the appropriate timeframe.

Provisions for Long Term ELLs/MLLs will also be made, with growth targets carrying over into additional years for students who have not yet attained proficiency.

Since the NYSESLAT was revised in 2015 to reflect the adoption of more rigorous standards, growth expectations need to be monitored and 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 are available to ensure that expectations for student progress are appropriate. Stakeholder input will be gathered when this analysis is conducted.

**Table: Non-linear growth to target based on five-year trajectory**

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

The baseline is 43%, 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 53% of students to demonstrate progress.

**New York State results after two years’ administration of the revised NYSESLAT indicates that approximately 43% of students meet their progress expectations.**

**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.**

Currently, 43% of New York State ELLs/MLLs meet their progress expectations. Since the “end” goal is to have 95% of students meeting their progress expectations, the gap is 52%. The long-term goal is to have 20% of that gap closed within 5 years, which is the 2021-22 school year. Twenty percent of 52% equals 10%, when rounded to the nearest whole percent. The annual progress for the long-term goal is divided equally by the number of years, and therefore is 2%.

**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 using valid and reliable indicators and measuring student growth from year-to-year.

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 (PI) 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. A PI is calculated separately for each subject and then combined to create the Achievement Index.

The PI 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 PI will be a number between 0-250. In a school in which all 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 solely on whether or not students are proficient, this creates a potential incentive for schools to focus efforts 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. By providing partial credit for students who are partially proficient, New York State 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 PI 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 PIs, 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 PI 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 only half as much credit as for moving students from Level 1 to Level 2 or from Level 2 to Level 3.

All continuously enrolled students in the tested elementary and middle level grades and all students in the annual high school cohort are included in the PI. For each subject, a PI is computed for each subgroup of students for which a school or district meets the minimum n-size requirements.

Computation of the PI: A 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<sup>6</sup> 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.
- Newly arrived English language learners who are exempt from taking the language arts assessment are not included in the computation of the Performance Indices.

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

<sup>6</sup> Upon approval of the waiver that NYS shall submit to allow high school assessments passed in grade 7 in math and grade 8 in science to be used meet accountability and participation rate requirements.

Accountability Group	Subject	# of Students in Accountability Cohort	# Level 1	# Level 2	# Level 3	# Level 4	Numerator	Denominator	PI
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, and then 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 (referred to as the unadjusted model in New York State). 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. Scores from the unadjusted model 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: <http://www.p12.nysed.gov/accountability/documents/2015-16-technical-report-growth-model-for-school-accountability.pdf>.

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 will, under ESSA, to use a three-year average MGP in ELA and mathematics to create the subgroup for the school Growth Index. An index will be created for each subgroup for which the combined total of Student Growth

Percentiles (SGPs) is equal to or greater than 30. An example of how the Growth Index is computed is shown below:

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. 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

New York State adjusts these levels to account for subgroups that show particularly strong growth compared to prior performance, even if the subgroup does not achieve either one or both MIPs. The chart above also applies to the graduation rate, English language proficiency, and measures of school quality and student success.

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. Students who earn diplomas from registered New York State public schools or students who are enrolled in P-Tech<sup>7</sup> or dual high school college programs<sup>8</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:

	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>7</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>8</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 four-year, five-year, and six-year 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. The assessment was created and supported using validity and reliability evidence that is referenced in the Standards for Educational and Psychological Testing (AERA, APA, & NCME, 2014). This includes validity evidence related to content, internal structure, external structure, and various measures of reliability, such as internal consistency, standard error of measurement, and inter-rater reliability.

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 determined 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, and assessed each model for reliability, 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 language 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, and the timeline to proficiency, which is based on New York State longitudinal student data, can be incorporated directly into the model. The Transition Matrix Table appears as a grid, and links English language proficiency levels to the time in years that a student is an ELL/MLL. Credit is 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. In other words, since analyses of student data show that ELLs/MLLs generally become English language proficient in three to five years, the model can set growth targets for up to five years for students based on their initial English proficiency.

The Transition Matrix Table model is intended to be used with all ELL/MLL students in grades 1 – 12, as long as a student has a current and prior year NYSESLAT score.

A “safe harbor” rule will be applied to the model, in which students are given credit either for meeting specified growth targets, or by reaching proficiency levels that are implied through growth targets. Therefore, if a student exceeds growth in his or her first year, but does not meet the growth target in their second year, as long as the student meets the proficiency level target in the second year, the student will receive credit. Therefore, the indicator that NYSED has chosen will be based on the percentage of students at a school that meet the growth or safe harbor targets.

To hold schools accountable for all ELLs/MLLs, considerations for Long-Term ELLs/MLLs will also be incorporated into the model, with growth targets carrying over into additional years for those students who do not reach Commanding within the specified period. In this way, schools will have a continued incentive to make progress and exit Long Term ELLs/MLLs.

The Department is also currently examining the stability and consistency of results by using multiple years of data. Characteristics of students and schools have also been used to determine the stability and fairness of our growth model results. These analyses will be conducted again in two years, once more NYSESLAT data are 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. See pages 8-20 for a discussion of the extensive process by which New York State sought public feedback on the proposed measures.

At the elementary, middle school, and high school levels, New York State will initially 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>9</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 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, if the student is of compulsory school age. Similarly, a student who is not present in school for an extended period for medical reasons would receive instruction at home and would not be reported as absent. Preliminary modeling by the New York State Education Department indicates that there is significant dispersion of results on this measure across schools and subgroups, and thus, the measure meaningfully differentiates school performance.

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

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<sup>9</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>

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 courses. 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>10</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>11</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 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.	1.5

<sup>10</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>11</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 Diploma with CDOS endorsement	
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, as, by definition, these students are not expected to earn a diploma. The College, Career, and Civic Readiness Index will be reported on the same timeline as the graduation rate index.

Over time, this Index may be expanded to include such measures as post-secondary enrollment and persistence, successful completion of college credit earned through a dual enrollment course from an accredited college or university, college preparatory coursework completed, and successful completion of coursework leading to graduation. New York State will consider providing, in the future, additional points for students who meet more than one college, career, and civic readiness measure. The 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, 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

For each of these measures, a subgroup receives a score of 1-4 based on how it 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. Preliminary modeling by the New York State Education Department indicates that there is significant dispersion of results on this measure across schools and subgroups and thus the measure meaningfully differentiates school performance.

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 and 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.

Beginning in the 2017-18 school year New York State will collect information on out-of-school suspensions at the individual student level. (Currently, schools report aggregate information on out-of-school suspensions that is reported by racial/ethnic group and gender, but not by low-income, English language learner, or disability status.) This 2017-18 school year data will serve as the baseline for holding schools accountable for out-of-school suspension rates. Beginning with 2018-19 school year results, the New York State Education Department will assign each school a Level 1-4 rating for each subgroup for which the school is accountability. Districts will be required to assist schools to address a school’s out-of-school suspension rate for any subgroup that receives a Level 1 rating. New York State intends to include out of school suspensions as a measure of school quality and student success when the second cohort of Comprehensive Support and Improvement Schools is identified using 2020-21 school year data. Additional measures of school quality and student success are expected to be added to the system over time, beginning with a measure of the rate at which students are subject to out-of-school suspensions and a high school readiness measure for middle school students. When New York State adds a measure, New York State will amend its ESSA state plan and submit it to the United States Department of Education.

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	Student experiences of school
School Safety	Incident rates
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	% of fully certified/effective teachers
Highly Qualified	% of in-field teachers in each school
Teachers	% experienced teachers (e.g., with 3+ years of experience)

Indicator	Measure
Access to Staffing Resources	Student's class size
Integration of Students	Number of counselors per student
	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>High School, and Postsecondary Success</b>	
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 or 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 a 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 measures 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. 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 give the greatest weight to academic achievement and growth (in elementary and middle schools) and academic achievement and graduation rate (in high schools). Progress toward English language proficiency by ELLs/MLLs is weighted more than are academic progress, chronic absenteeism, and the college- and career-readiness index, which are weighted equally, but less than achievement, growth, and the graduation rate.

Within the Achievement Index, language arts and math are weighted equally and science and social studies are weighted lower. For example, at the high school level, ELA and math combined are given three times the weight of science and six times the weight of social studies.

The following rules are applied when a school or subgroup has insufficient results to be held accountable for one or more accountability measures:

1. Achievement Index: If a school does not meet the minimum N count for an Achievement Index determination, then the school will be held accountable using the established accountability process for small schools (self-assessment process), as discussed in section c below.
2. Growth Index (elementary and middle schools): If a subgroup does not meet the minimum N count for a Growth Index determination, the subgroup’s initial classification will be determined using the Achievement Index only. If the school is identified as Level 1 for Achievement, then the school will also be Level 1 for Achievement and Growth Combined. Other measures will then be used to determine the final classification of the school.
3. Graduation Rate Index (High School): If a subgroup does not meet the minimum N count for a Graduation Index determination the subgroup’s initial classification will be determined using the Achievement Index only. If the school is identified as Level 1 for Achievement, then the school

will also be Level 1 for Achievement and Graduation Rate Combined. Other measures will then be used to determine the final classification of the school.

4. Other Measures (Progress, English language proficiency, Chronic Absenteeism and College Career and Civic Readiness Index): If a subgroup receives a combined achievement and growth Index or achievement and graduation index, and does not meet the minimum N count for at least one of these indicators, the subgroup will be subject to the self-assessment process. If a subgroup receives a combined Achievement and Growth Index or Achievement and Graduation Rate Index, and meets the minimum N count for at least one of these indicators, the determination of the subgroup's status will be made using the available measures. (Note: A subgroup that has sufficient results to generate an Achievement and Growth Index or an Achievement and Graduation Rate index are highly likely to have sufficient results for a determination to be made regarding the Progress Index; Chronic Absenteeism; and the College, Career, and Civic Readiness Index.)

**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 either Grades 1 or 2 is the terminal grade accountable for the performance of 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 will maintain this current system under ESSA:

[http://www.p12.nysed.gov/accountability/APA/Forms/Forms\\_home.html#self](http://www.p12.nysed.gov/accountability/APA/Forms/Forms_home.html#self).

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 these 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 locally administered achievement test data for English language arts and mathematics to the Department, called the Self-Assessment process. If the LEA administers nationally normed assessments, it must submit the data from these assessments.

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. Schools that are identified will use the 2018-19 school year to develop their plans for implementation in the 2019-20 school year. 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 for Comprehensive Support and Improvement:**

- Rank order the schools on the Achievement Index and determine the lowest 10% (Achievement = 1)
- Determine the Schools that are Level 1 for Growth (i.e., schools with a three year Mean Growth Percentile of less than 45%) (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	ELP	Progress*	Chronic Absenteeism*
CSI	Both Level 1		1	Any	Automatically Identified	
CSI	Either Level 1		1	None	Any One Level 1	
CSI	Either Level 1		1	1	Automatically Identified	
CSI	Either Level 1		1	2	Any One Level 1	
CSI	Either Level 1		1	3-4	Any Two Level 1	

\* New York State will identify a minimum of 5% of all Title I elementary and middle schools in the State, as well as what has historically been the small number of non-Title I schools in the State that perform at the level that caused these 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	ELP	Progress*	Chronic Absenteeism*	College Career and Civic Readiness*
CSI	Both Level 1		1	Any	Automatically Identified		
CSI	Either Level 1		1	None	Any One Level 1		
CSI	Either Level 1		1	1	Automatically Identified		
CSI	Either Level 1			1	Any One Level 2		
CSI	Either Level 1			1	Any Two Level 3-4		

New York State will identify a minimum of 5% of all Title I high schools in the State, as well as what has historically been the small number of 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 graduation rates

below 67% for the four-year graduation rate cohort and do not have graduation rates at or above 67% for the five- or six-year cohorts will be preliminarily identified for CSI.

**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. Schools will first be identified using 2020-21 school year data.

**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 the lowest performing five percent 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 that are 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 among the lowest 5% of public school for a subgroup, based on 2017-18 school year data, the school will be identified as Consistently Underperforming. All other schools will be identified as consistently underperforming if they are among the lowest 5% of public schools for a subgroup’s performance for two 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 2020-21 school year and annually thereafter, the State will identify for additional targeted support any TSI 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 not identified for Comprehensive Improvement and Support or Targeted Improvement and Support that performs at Level 1 on any accountability measure for any subgroup 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. These indicators will be 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.**

NYSED will factor the 95% participation rate requirement into the Academic Achievement Index, as described above. The NYSED will require 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. The Department will provide guidance that identifies the minimum requirements of this plan, which will include an analysis of the cause for low participation and a list of potential mitigating actions that the school will seek to pursue in the following year. NYSED will also require 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 fail to meet the 95% participation requirement and that rank in the bottom 10% of participation across the State will be required to submit their self-assessment and participation rate improvement plan to NYSED for the Commissioner’s approval no less than three months prior to the next test administration period.
- 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 beginning in 2018-19 will reduce from three to two days the administration period for the grade 3-8 ELA and math assessments.
- 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.

To exit CSI status, 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 the Achievement Index and Growth Index or Achievement Index and Graduation Rate Index 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 list of schools that are created every third year, as a consequence of the school having improved performance on the measures used to identify schools, 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. The school 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’s exit criteria 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.

**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 State 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 State will handle alternative high schools that are identified as among the lowest performing in the State for more than three years slightly differently from how it will handle other schools. Rather than automatically placing these schools into Receivership, the Commissioner will partner with the district to determine the most appropriate interventions for that school. The interventions under consideration may still include Receivership. The Receivership program is outlined in more detail later in this section. This tiered approach toward accountability aligns with the State’s vision that the Department should support schools throughout the identification process and reserve the Department’s 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 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 will 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 schools need to address their specific challenges. This approach allows

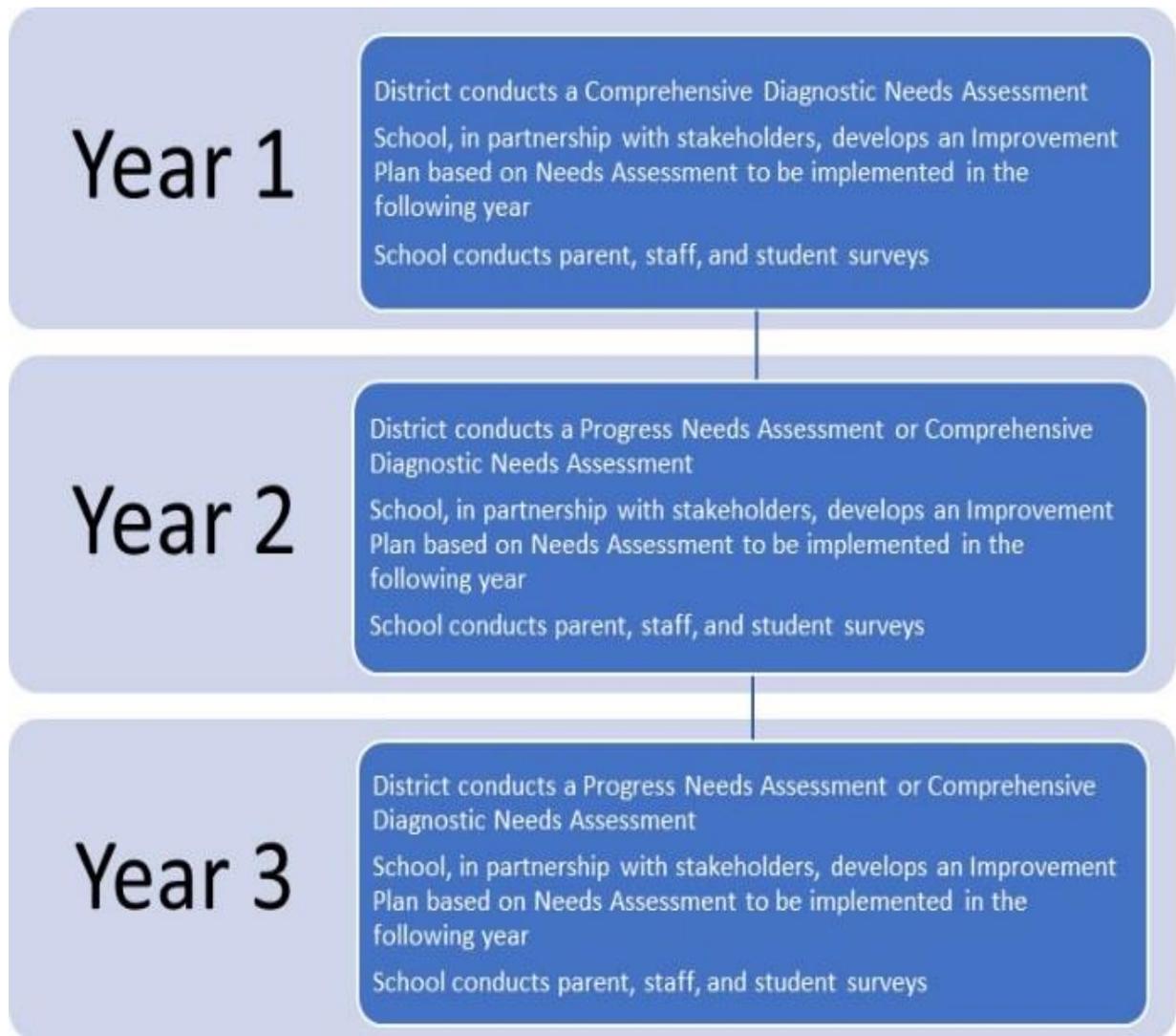
the State to support schools differently, based on the trajectory of the school and the length of time that the school has been identified.

Department staff will utilize its collective knowledge, experience, access to data, ability to provide financial supports, and 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, 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
- Promoting District-wide Improvement through Training and Support to Districts
- 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 Support 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 Support 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 Support 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 the specific challenges that the school faces, 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 State-Reported and State-Supported data 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 State-Reported and State-Supported data 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 State-Reported and State-Supported data, such as suspension data or teacher turnover rates
- A Resource Audit that closely examines both the effectiveness of professional development and 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. The multi-step Needs Assessment process is intended to provide a full picture of the school so that root causes for the school's identification can be identified and addressed.

The DTSDE review will look closely at how the school is organized for success through the DTSDE Tenets of leadership, curriculum, instruction, social-emotional developmental health, and family and community engagement.

The review of data will involve analyzing critical measures to learn more about the school and to consider possible root causes for the school's identification. Examples of data that may be reviewed during this process include:

1. Longitudinal data that show trends over time, including data by subgroup
2. Survey results from surveys of students, teachers, and families
3. Suspension data
4. Office referral data
5. In-School/Out-of-School Suspension Data
6. Teacher Turnover data
7. Teacher Attendance
8. The average number of professional learning opportunities that a teacher has within a school year
9. Promotion Rates by grade
10. Student Attendance
11. Average Class Size
12. Average number of minutes of instruction provided per day (exclusive of recess, lunch, study halls)
13. The percentage of students in each high school who earn 5 or more credits during the school year (HS)
14. Student participation in and performance on college entrance and/or college placement exams (HS)
15. Dropout rates (HS)
16. Percent of students passing Regents examinations with a score of 90 or higher (HS)
17. Percent of students receiving Regents Diplomas with advanced designation. (HS)
18. Student enrollment in and successful completion of dual-credit coursework (HS)
19. Student participation in Advanced Placement (AP), International Baccalaureate (IB), and honors courses (HS)
20. Student participation in and successful completion of Career and Technical Education (CTE) courses (HS)
21. Number of Counselors per students
22. Number of Social Workers per student
23. Number of Nurses per student
24. Number of Librarians per student
25. Student access to highly qualified teachers
26. The percent of all teachers teaching one or more assignments outside of certification.
27. Access to minimum Physical Education requirements
  - a. Percent of K- Grade 3 students who receive daily physical education for a minimum total of 120 minutes per week (exclusive of recess)
  - b. Percent of Grades 4-6 students who receive physical education three days per week for a minimum total of 120 minutes per week (exclusive of recess)
  - c. Percent of Grades 7-8 students who receive physical education instruction equivalent to 3 periods for one semester and 2 periods for the other semester (exclusive of recess)

28. Access to recommended state arts requirements
  - a. Percent of Grades 1-3 students who have 20% of the weekly time spent in school allocated to dance, music, theatre, and visual arts
  - b. Percent of Grades 4-6 students who have 10% of the weekly time spent in school be allocated to dance, music, and theatre and visual arts
  - c. Percent of Grades 7-8 students who receive 55 hours per year of instruction in dance, music, theatre, and visual arts taught by a certified arts instructor
29. Average number of minutes of Social Studies instruction per week (Elementary School)
30. Average number of minutes of Science instruction per week (Elementary School)
31. Average Attendance at PTA meetings
32. Participation Rate at Parent-Teacher Conferences
33. School Safety
  - a. Number of Violent and Disruptive Incident Reports
  - b. Number of Incidents of Discrimination and/or Harassment
  - c. Number of Incidents of Cyber-bullying
34. Student access to safe and clean facilities
  - a. The number of accidents reported annually
  - b. The number of health and safety violations reported annually

To support schools and districts in their efforts 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 additional 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 that are 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

The comprehensive DTSDE process serves as the foundation of the improvement cycle by providing an in-depth analysis of the quality of the school's educational offerings. The DTSDE process allows for teams to examine closely multiple components of school success through the use of a comprehensive rubric. Teams of reviewers provide their feedback on the quality and the effectiveness of the education offered to students, as opposed to visiting a school with a checklist for compliance purposes. This process allows the schools to reflect on both what is being done and how it is being done. This process also provides opportunities to ensure that schools are culturally responsive to the needs of the community. The team of reviewers will examine curricula to ensure that they are culturally responsive, in addition to meeting with students and their families to learn how the school is delivering culturally responsive educational offerings.

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 conducts a full DTSDE review at Priority Schools at least 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 that are 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:

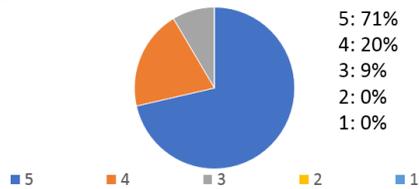
- 71% of principals gave the highest rating, and an additional 20% of principals gave the second highest rating, when asked the extent to which they feel that they can use the recommendations provided to advance the school.
- 78% of principals describe the ideas beyond the recommendations that the principals 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 that 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?



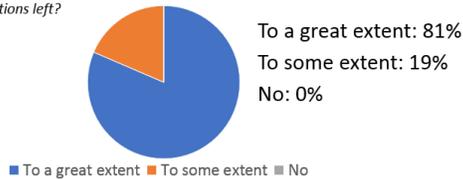
78% of principals describe the ideas beyond the recommendations that they have as a result of the review as “numerous” or “transformative.”

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



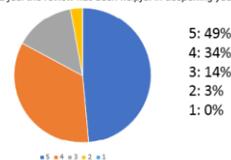
More than 81% of principals say their input has been taken into consideration “to a great extent.”

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 leaders 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 that are 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. 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 the educational and student support programs. For example, the University of Rochester, in partnership with the Rochester City School District, is implementing 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 continual school improvement based on identifying school and district needs through the DTSDE review process and then having schools and districts develop improvement plans that are based on the results of the review. The State has promoted a continual improvement process that is based on five essential steps:

1. Identifying needs
2. Strategically identifying solutions to address those needs
3. Identifying benchmarks to determine whether the strategies have been successful
4. Monitoring the effectiveness of those strategies that have been 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 work with stakeholders 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, a review of additional State-reported and State-supported 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. In addition, the plan will include a section that outlines the extent of stakeholder involvement in the improvement planning process. The State will reject plans from CSI schools that do not provide adequate evidence of involvement from parents and families.
- 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 (i.e., Specific, Measurable, Ambitious, Results-oriented, and Timely) 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 needs assessment process results in schools and districts identifying and implementing the best solutions for the challenges that the schools and districts 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 State-Reported and State-Supported data 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 for districts and schools to identify the best solutions for their specific circumstances.

New York State has incorporated the feedback from stakeholders with the lessons learned over the years to develop a system that moves away from overly prescriptive requirements upon identification, and instead uses the 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 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 in beginning these interventions. The State will use this training as a means of providing technical assistance and establishing Professional Learning Communities for identified schools that are 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. Beginning with the district's next Collective Bargaining Agreement, 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.

To empower parents and provide parents 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 the goal of the State to promote 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 the transfer of students 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. The process also allows opportunities for the voices of parents to be heard, ultimately helping advance the Department’s goal of ensuring that the educational offerings within the State are culturally responsive to the stakeholders being served. 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 that 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 TSI School.

The State wants to ensure that parents of students attending schools experiencing significant decline are provided with options. Therefore, in any instances in which the Achievement Index of a CSI school declines for two consecutive years, public school choice will no longer be an option, but, instead, will be a requirement, and the district must offer Public School Choice for parents of students attending that specific CSI school.

As an additional way to promote best practices and to 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. **Promoting District-wide Improvement through Training and Support to Districts**

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

In addition, the State recognizes the important role that locally elected school boards have in improving student outcomes. The State is hopeful that its deliberate approach toward school and district improvement will further drive efforts at the school board level. The State's plan to make critical data more prominent and accessible, which is described in more detail below, is intended to spearhead improvement and promote equity both within districts and between districts. In addition, the Board of Regents has expressed a need for additional training and support to be provided to school boards in carrying out their critical functions. The Board of Regents has previously advocated for legislative proposals that would allow the Department to take steps to intervene when school boards are struggling to ensure that the basic educational needs are being met in the district.

### **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 these 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 LEA and each school in the State for the preceding fiscal year, and also publish a State Equity Report, which will compare the rates of assignment of 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 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, 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 provision of technical assistance and support allows the Department to be uniquely positioned to learn which schools and districts are attempting to address similar challenges. Consequently, the Department is able to connect schools and districts with similar challenges 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 identifying them as “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 support 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 allows the Department to have an unparalleled statewide presence and effect at the local level. The BOCES are linked 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 (RBERNs) have continued to provide high-quality technical assistance, professional development, and information dissemination (materials) to school districts. Under ESSA, both the RSE-TASC and RBERN 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 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.

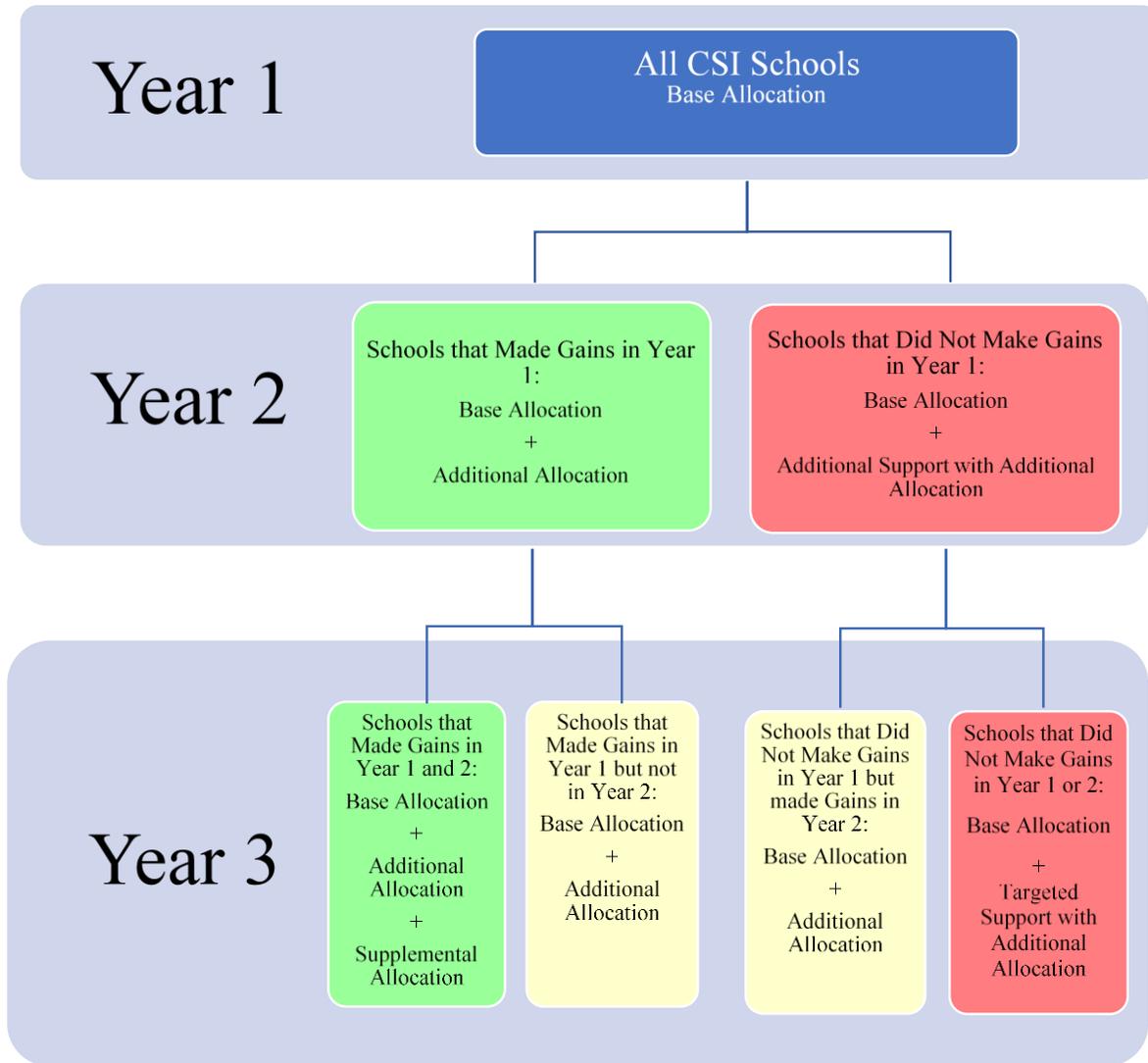
New York State also has found that those receiving school improvement funds need flexibility. With the focus shifting toward ensuring a return on investment, schools and districts need to be able to amend their budgets so that schools and districts can revise their approaches when gains are not being 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 mechanism 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 the State's 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 districts and schools 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 will be eligible for a base allocation and an additional allocation. Schools that do not make progress will also receive the base allocation. The State will 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 transitioning to improvement efforts that can be sustained, should the school no longer be identified. 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, 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, as part of a comprehensive school improvement strategy. 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 2018-19 school year, Department field staff will focus their 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 their on-site and off-site technical assistance on 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 the districts 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 in which 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 to which 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 in addressing the specific needs of the district or school.

The current interventions available for addressing the needs of 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 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 that was 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. Alternative schools (e.g., Transfer high schools and Special Act schools) will not be automatically placed into Receivership; instead, the Commissioner will work with the district, should any alternative school be identified as among the lowest-performing for more than three consecutive years, to determine the most appropriate interventions for that school. 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 Commissioner's Regulations or evidence of failure to appropriately identify and/or provide required programs and services to English language learners pursuant to Commissioner's Regulations.

#### *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 in a manner that is 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 period given to 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, which 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 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 years, 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 as 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 accountability subgroup, to complete a self-assessment and inform its district

of the additional assistance that the school needs to improve. The district, in turn, must identify the support that the district will provide in its consolidated application for federal funds.

New York State believes that the combination of having progressive intervention systems and multiple levers available for more extensive interventions, when necessary, will allow New York State to consider the most appropriate interventions for the identified school and selectively apply interventions as 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
- Promoting District-wide Improvement through Training and Support to Districts
- 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

## 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

## 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 (consistent with Collective Bargaining Agreements)
- 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
- Assisting districts with identifying surveys to use

## Promoting District-wide Improvement through Training and Support to Districts

- 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\*
- \*Transfer schools will not automatically be placed in Receivership, but will instead be reviewed to determine the appropriate intervention.*
- 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 will expand this pilot and implement 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>12</sup>**

As described further in Section D of this plan, the Department has undertaken many initiatives over the past seven years that focused on the goal of ensuring that all students across New York State, regardless of their physical location, acquire the knowledge, skills, and abilities that students need to realize personal success in college, career, and life. Despite earnest effort, we have not yet achieved this goal, and past NYSED efforts have not yet delivered the desired improvements in equity and educational excellence. As we know, too many schools and students chronically struggle, and subgroup achievement gaps persist.

We also know that, among school based factors, nothing matters more to improving student outcomes than teaching and school leadership.<sup>13</sup> Accordingly, the Department is committed to the principle that all students should have equitable access to great teachers and school leaders.

Consistent with the requirements of ESSA, what follows is a technical description of the rates at which low-income and minority students in Title I schools are assigned to ineffective, out-of-field, and inexperienced teachers, compared to non-low-income, non-minority students in non-Title I schools. For a description of how the Department intends to improve equitable access to experienced, qualified, and effective teachers and school leaders, please see Section D.

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<sup>12</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.

<sup>13</sup> See, e.g., Leithwood, K., Seashore-Louse, K., Anderson, S., and Walkstrom, K., “How Leadership Influences Student Learning: Review of the Research”. New York City, NY: Wallace Foundation and “Teachers Matter: Understanding Teachers’ Impact on Student Achievement”. Santa Monica, CA: RAND Corporation, 2012.

The Department will use the following definitions for low-income students, minority students, ineffective teachers, out-of-field teachers, and inexperienced teachers:

Key Term	Statewide Definition
Ineffective teacher	Teacher who receives an Ineffective rating on his/her overall composite rating. <sup>14</sup>
Out-of-field teacher	Teacher who does not hold certification in the content area for all the courses that he/she teaches. <sup>15</sup>
Inexperienced teacher	Teachers with three or fewer 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.

Using the most recently available data (2015-16 school year), the Statewide analysis is as follows<sup>16</sup>:

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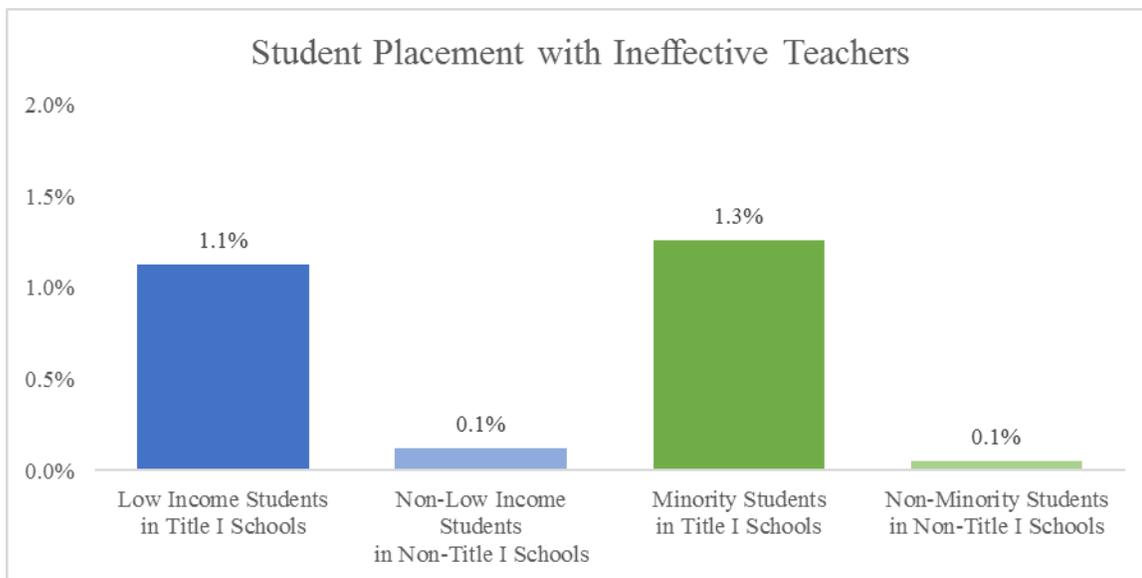
<sup>14</sup> Teaching and school leadership are multi-dimensional professions and research overwhelmingly confirms the importance of using multiple measures of educator effectiveness when determining summative evaluation ratings for teachers and school leaders. Teacher and principal summative annual 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 transitions ratings will be used in applicable school years for the purposes of the equity analysis.

<sup>15</sup> Although the Department currently has student-teacher linkage information for all courses, we do not yet have the ability to determine whether or not every course that every teacher teaches is a course for which he/she is appropriately certified. Until that time, we will calculate rates of student assignment to out-of-field teacher by using our existing indicator of whether a teacher is not certified for any of the courses that they teach.

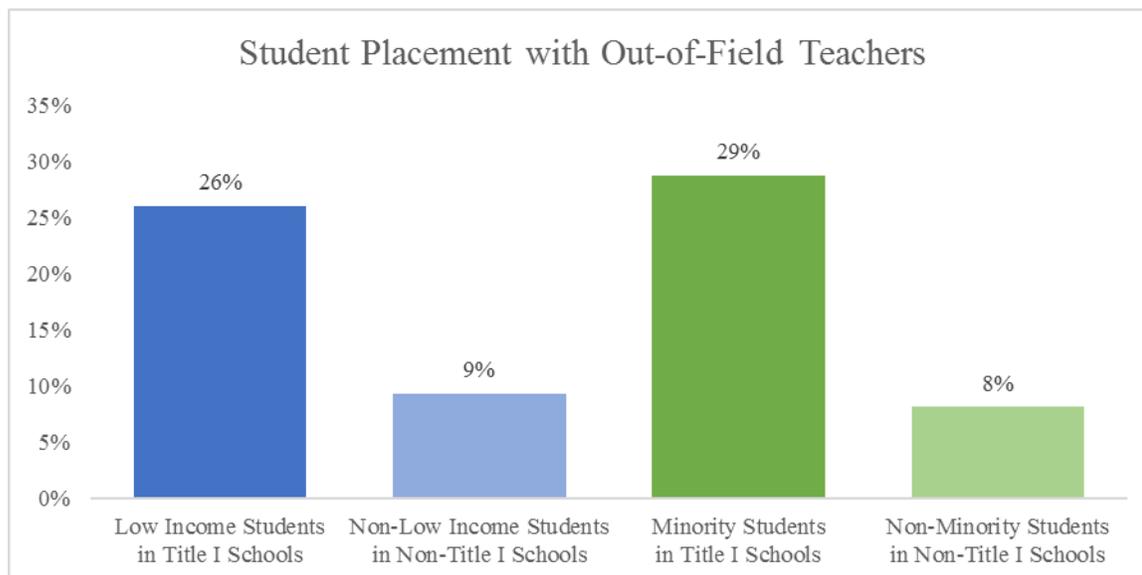
<sup>16</sup> This analysis is based on 1,538,156 students and includes elementary, middle, and high schools.

STUDENT GROUPS	Rate at which students are taught by an <b>ineffective</b> teacher	Disproportionality between rates	Rate at which students are taught by an <b>out-of-field</b> teacher	Disproportionality between rates	Rate at which students are taught by an <b>inexperienced</b> teacher	Disproportionality between rates
<b>Low-income students</b> enrolled in schools receiving funds under Title I, Part A	Box A: enter rate as a percentage 1.1%	Enter value of (Box A) – (Box B)  <b>1.0%</b>	Box E: enter rate as a percentage 26%	Enter value of (Box E) – (Box F)  17%	Box I: enter rate as a percentage 32%	Enter value of (Box I) – (Box J)  <b>16%</b>
<b>Non-low-income students</b> enrolled in schools not receiving funds under Title I, Part A	Box B: enter rate as a percentage 0.1%		Box F: enter rate as a percentage 9%		Box J: enter rate as a percentage 16%	
<b>Minority students</b> enrolled in schools receiving funds under Title I, Part A	Box C: enter rate as a percentage 1.3%	Enter value of (Box C) – (Box D)  <b>1.2%</b>	Box G: enter rate as a percentage 29%	Enter value of (Box G) – (Box H)  21%	Box K: enter rate as a percentage 33%	Enter value of (Box K) – (Box L)  <b>17%</b>
<b>Non-minority students</b> enrolled in schools not receiving funds under Title I, Part A	Box D: enter rate as a percentage 0.1%		Box H: enter rate as a percentage 8%		Box L: enter rate as a percentage 16%	

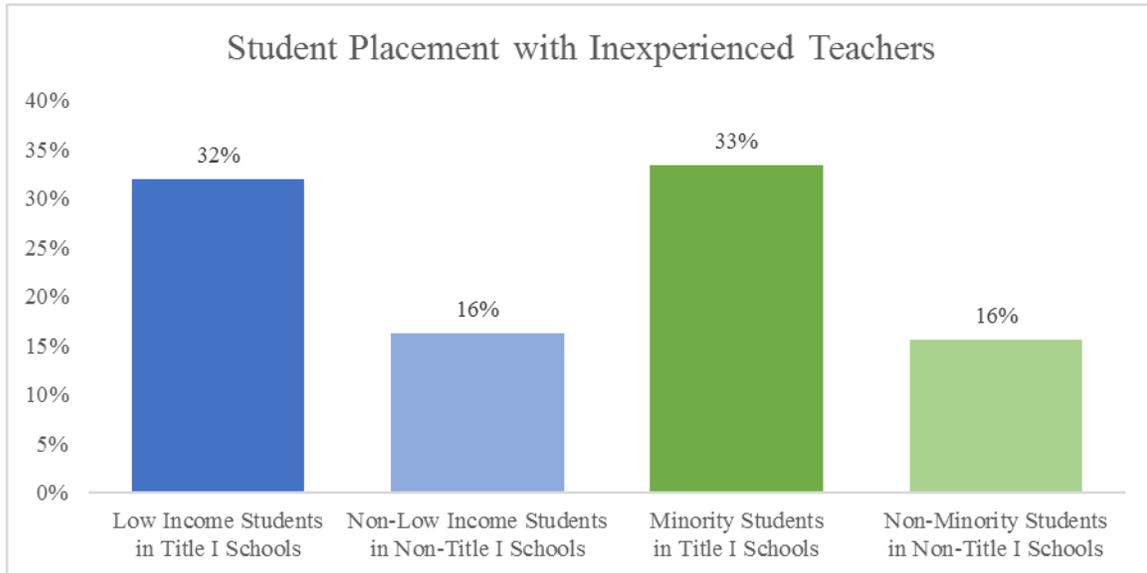
As the table above makes clear, across New York State, low-income and minority students are much more likely to be assigned to ineffective, out-of-field, and inexperienced teachers. Specifically:



- Low income students in Title I schools are **11 times more likely** to be taught by a teacher who received a rating of Ineffective, compared to students who are not low income in non-Title I schools.
- Minority students in Title I schools are **13 times more likely** to be taught by a teacher who received a rating of Ineffective, compared to non-minority students in non-Title I schools.

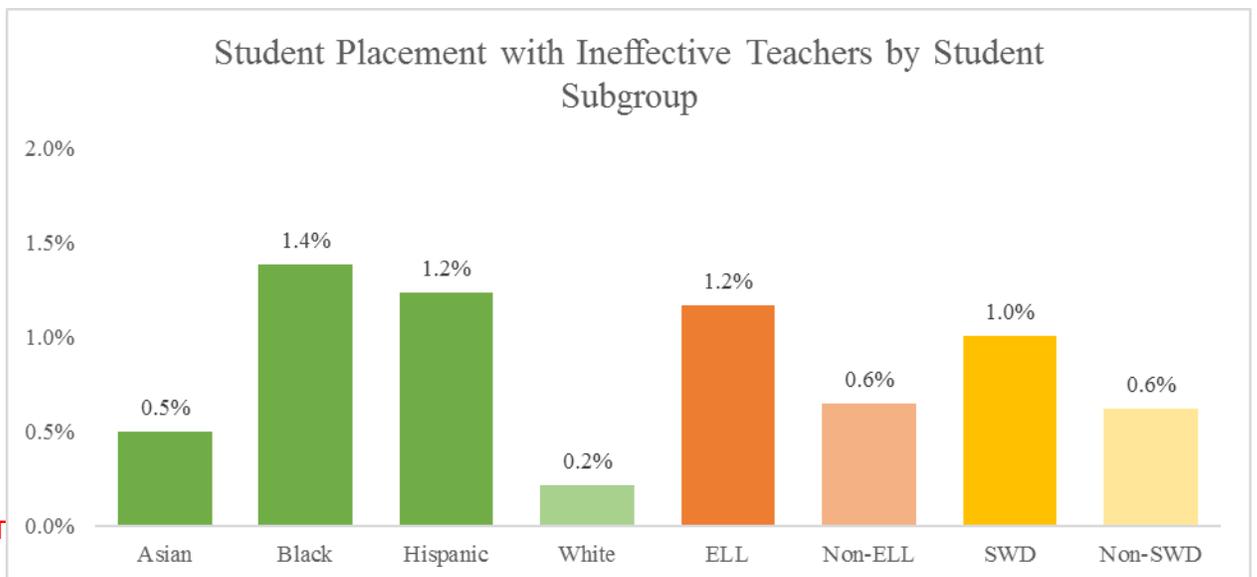


- Low income students in Title I schools are **nearly three times more likely** to be taught by an out-of-field teacher, compared to students who are not low income in non-Title I schools.
- Minority students in Title I schools are **more than three and a half times more likely** to be taught by an out-of-field teacher, compared to students who are not low income in non-Title I schools.



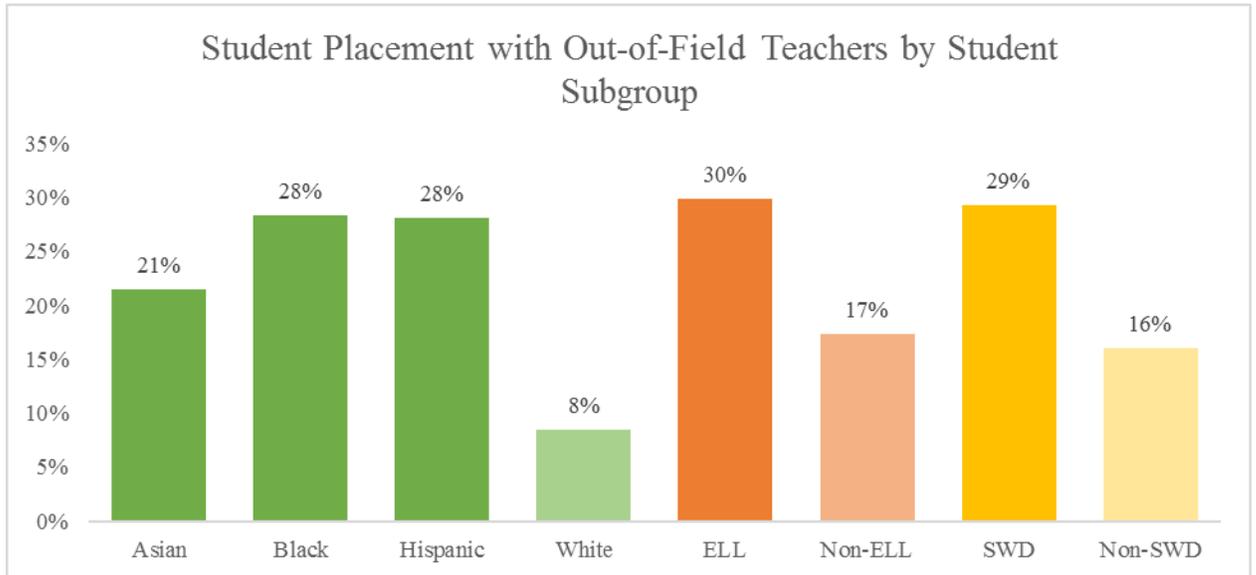
- Low income students in Title I schools are **twice as likely** to be taught by a teacher with 3 or fewer years of experience, compared to students who are not low income in non-Title I schools.
- Minority students in Title I schools **more than two times more likely** to be taught by a teacher with 3 or fewer years of experience, compared to non-minority students in non-Title I schools.

Similar trends are seen within student subgroups:

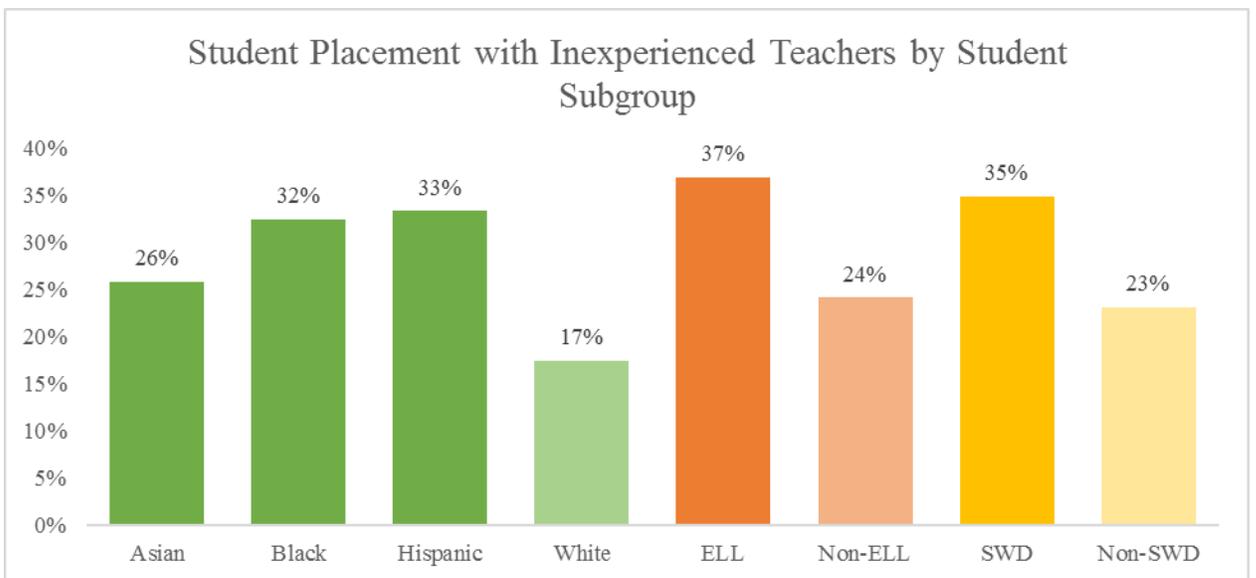


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- Asian students are **more than twice as likely**, and Black and Hispanic students **more than ten times as likely** as White students to be placed with a teacher who received a rating of Ineffective.
- ELL students are **twice as likely**, and students with disabilities are **nearly twice as likely**, to be placed with a teacher who received a rating of Ineffective, compared to their counterparts.



- Asian students are **more than two and a half times as likely**, and Black and Hispanic students **more than three times as likely**, as White students to be placed with an out-of-field teacher.
- ELL students and students with disabilities are **nearly twice as likely** to be placed with an out-of-field teacher than are their counterparts.



- Asian students are **more likely than White students**, and Black and Hispanic students are **nearly two times as likely** as White students, to be placed with an out-of-field teacher than are their counterparts.
- ELL students and students with disabilities are all **more likely** to be placed with an out-of-field teacher than are their counterparts.

As previously stated, the Department seeks to ensure that all students have equitable access to effective, qualified, and experienced teachers and school leaders. Given our persistent subgroup achievement gaps, this goal is one that we must achieve with great urgency.

The Department firmly believes that investment in our educator workforce is the critical component in closing the achievement gap and helping all of New York State’s students become college, career, and civic ready. Specifically, the Department believes that by:

- 1) Strengthening the preparation of new teachers, principals, and other school leaders through the development of P-20 educator preparation partnerships;
- 2) Recruiting and supporting promising, diverse candidates to enter those preparation programs;
- 3) Ensuring that new teachers and school leaders have comprehensive, differentiated supports that help them transition from pre-service to employment and leveraging experienced, effective teachers and school leaders to serve as mentors;
- 4) Establishing a collective understanding of what great teaching and leadership looks like for all educators across the entire continuum of their careers and ensuring that teachers and school leaders have comprehensive systems of feedback and support;
- 5) Providing tools and resources to support LEAs to implement these systems of feedback and support, including through building the capacity of school leaders;
- 6) Ensuring that there are opportunities for job-embedded professional learning and collaboration that promote the ability of teachers and school leaders to meet the needs of our diverse student population, including building an understanding of the principle of Universal Design for Learning, positive behavior interventions and supports, and social and emotional learning; and
- 7) Creating and sustaining teacher and school leader leadership opportunities through career continuum pathways that are responsive to local needs.

We will better be able to meet our goal of ensuring that all students have access to great teachers and school leaders who can provide them with the support that they need to be college, career, and civic ready. Research and our own New York State-specific experience tells us that the combination of strong preparation, mentoring and induction; meaningful systems of feedback and support for educators; professional development; and leadership opportunities, when implemented as part of a comprehensive system that leverages partnerships between schools and educator preparation programs, are important parts of district-wide strategies to increase student achievement and equitable access.

Although there are districts and BOCES across the State that are already engaged in some or all the strategies outlined above, we know that the familiarity and readiness of districts and BOCES varies. To assist those LEAs that are already undertaking some or all this work while at the same time building capacity Statewide, the Department will provide the following types of technical assistance and support to LEAs:

1. Provision of equity reports
2. Continued investments in the professional development of teachers and school leaders
3. Expansion of toolkits and other resources associated with the Educator Effectiveness Framework and Leadership Pathway Continuums
4. Outlines of key indicators for Talent Management Systems
5. Example LEA profiles

As described further in Section D of this plan, the Department will provide support and technical assistance to LEAs as they work to understand the equity metrics; identify sources of appropriate data and methods for additional local analyses; and guide LEAs in the design of comprehensive systems of professional learning, support, and advancement for all educators. There will be regular opportunities for diverse stakeholders to reflect upon, refine, and help shape enhancements to the Department's plan.

To promote transparency, the Department will annually publish Equity Reports at both the State and district level on its Public Data Access site, [data.nysed.gov](http://data.nysed.gov), that describe 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. For a complete description of the metrics that may be included in these reports, please see Section D of this application.

**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. A meta-analysis of 80 studies analyzing bullying involvement rates (for both bullying others and being bullied) for 12 to 18-year-old students reported a mean prevalence

rate of 35% for traditional bullying involvement and 15% for cyberbullying involvement.<sup>17</sup> Students who experience bullying are at increased risk for poor school adjustment, sleep difficulties, anxiety, and depression<sup>18</sup> and are twice as likely as non-bullied peers to experience negative health effects, such as headaches and stomachaches.<sup>19</sup>

Respect is a learned behavior, and it has never been more important than today that schools take proactive steps to keep students safe from bullying and harassment. 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 will support districts in creating conditions that maximize all students' 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. The Department will also promote the understanding of diverse cultural characteristics, positive disciplinary practices, improving school climate, and providing students with social-emotional support. 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 and healthy 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

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<sup>17</sup> Modecki, K. L., Minchin, J., Harbaugh, A. G., Guerra, N. G., & Runions, K. C. (2014). *Bullying prevalence across contexts: A meta-analysis measuring cyber and traditional bullying*. *Journal of Adolescent Health, 55*, 602-611. Retrieved from [http://www.jahonline.org/article/S1054-139X\(14\)00254-7/abstract](http://www.jahonline.org/article/S1054-139X(14)00254-7/abstract)

<sup>18</sup> Center for Disease Control, National Center for Injury Prevention and Control (2015). *Understanding bullying*. Retrieved from [https://www.cdc.gov/violenceprevention/pdf/bullying\\_factsheet.pdf](https://www.cdc.gov/violenceprevention/pdf/bullying_factsheet.pdf)

<sup>19</sup> Gini, G., & Pozzoli, T. (2013). *Bullied children and psychosomatic problems: A meta-analysis*. *Pediatrics*. Retrieved from <http://pediatrics.aappublications.org/content/early/2013/09/11/peds.2013-0614>

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>20</sup> Trauma can affect school performance and learning and cause 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>21</sup>

### **Eliminate Aversive Behavioral Interventions**

The Department defines aversive interventions as an intervention that is intended to induce pain or discomfort to a student for the purpose of eliminating or reducing maladaptive behaviors. Beginning in 2006, the Department set a general prohibition on the use of aversive behavioral interventions, and existing Commissioner's Regulations 200.22 specifically prohibits the use of aversive interventions as part of a behavioral intervention plan. The Department will continue to leverage staff expertise and resources created by the Office of Special Education to provide technical assistance related to the effective use of Positive Behavioral Intervention and Supports (PBIS) systems; functional behavioral assessments; behavioral intervention plans; behavioral specialists; suspension monitoring; and other professional development to support schools, particularly those that are identified under IDEA and/or the State Performance Plan.

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<sup>20</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*

<sup>21</sup> *Restorative Practices: Fostering Healthy Relationships & Promoting Positive Discipline in Schools A Guide for Educators*

## 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 also on a supportive school environment that fosters students' growth as individuals and affirms their worth as human beings within the educational and social setting of school.<sup>22</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 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
- 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 in schools of corporal punishment, which is prohibited in New York State

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<sup>22</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*

- 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

In addition, the Department will continue to foster school climates that are safe and engaging. When students are physically healthy; emotionally supported; have safe routes to school; and access to quality after school programs, recess and extra-curricular activities, and health and wellness programs, student attendance will improve.

**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, the coordination of aligned initiatives, the provision of technical assistance, and support of LEA-planned and LEA-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, from 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 rates and increase graduation rates.<sup>23</sup> There

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<sup>23</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/>

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. These programs 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 students to earn 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, 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 with 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 intentional about offering and connecting youth with quality out-of-school-time programs see increases in academic achievement, positive 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. This vision is supported by the Governor and the State legislature, which currently allocates over \$800 million in annual funding for prekindergarten programming in school districts throughout New York State. Each year, the Board of Regents recommends the continued expansion of investments in early childhood programs so that all school districts and families benefit from the assurance of ongoing, coordinated, and dependable funding for early childhood educational programs in their communities.

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 so that 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.

In 2015, New York State began a process of review and revision of its current English Language Arts (ELA) Learning Standards, which were adopted in 2011. Through numerous phases of public comment and virtual and face-to-face meetings with committees, the NYS P-12 ELA Learning Standards were developed. These revised standards reflect the collaborative efforts and expertise of all constituents involved. An Early Learning Standards Task Force (Task Force) was also convened in 2017 to conduct an in-depth review of the Prekindergarten – Grade 3 ELA standards for clarity, alignment, and developmental appropriateness, and to provide guidance and support for the early grades.

To maximize success in early education experiences for children and to prepare them 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>24</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 at 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

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<sup>24</sup> Association of State and Tribal Home Visiting Initiatives. *Home Visiting Provisions in Every Student Succeeds Act*. December 2015

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 of children 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, during which new relationships, new expectations, and 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. The Department believes that full-day kindergarten should be fully funded and available to all children. Research shows that the value of children attending a full-day kindergarten program allows teachers more time to promote formal and informal learning, reduces the number of transitions in a child's day, and allows children to get used to a schedule similar to that which they will have in first grade.<sup>25</sup> For all children, even those who are away from home for the first time, full-day kindergarten sets the stage for first grade and beyond by helping students make the transition to more structured learning.<sup>26</sup>

To help educators navigate these changes for children and families, the Department supports LEAs in having a comprehensive plan for supporting the 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 between school staff, families, and communities. The process is multi-dimensional, including physical, emotional, social, and

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<sup>25</sup> Walston, J. T., and West, J. (2004). *Full-day and half-day kindergarten in the United States: Findings from the Early Childhood Longitudinal Study*, U.S. Department of Education, National Center for Education Statistics

<sup>26</sup> National Education Association and Collaborative Communications Group. *Full-Day Kindergarten: An Advocacy Guide*

cognitive development. Children who make smooth transitions from second to third grade are better able to make the most of learning opportunities.<sup>27</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 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.

An appropriate transition program from elementary to middle school includes opportunities for elementary students and families to gain insight into anticipated changes in how middle school students experience school. 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 students' interests. LEAs

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<sup>27</sup> *Public Schools of North Carolina State Board of Education / Department of Public Instruction (date) Transition Planning for 21<sup>st</sup> Century Schools*

participating in the dropout prevention initiatives presented above are encouraged to align them with the LEA's 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 in how students experience high school. 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 meeting 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 students 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>28</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. Strategies 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>29</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 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, 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 students receive throughout the middle and high school years promote graduation from high school by navigating students through any obstacles that students 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 between 24 and 60

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<sup>28</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>29</sup> Williamston, R. (2010) *Transition from Middle School to High School*. Education Partnerships, Inc.

transferable college credits. This program is targeted at 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 students 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 students 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 the future. These students are at risk of dropping out of high school, as they cannot see that high school graduation 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 behavior-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, but also 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>30,31</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. The Department will ensure that schools identified for CSI and/or TSI will have access to these resources to the degree that a school’s Comprehensive Needs Assessment or DTSDE findings suggest is appropriate.

### **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.

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<sup>30</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>31</sup> Castrechini, S., & London, R. A. (2012). *Positive student outcomes in community schools. Washington, DC: Center for American Progress*

In addition to ensuring that students progress through academic curricula, including college preparatory Advanced Placement classes, and actively explore and/or pursue 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 that will enable more students to succeed, rather than a measure that merely values completion.

Also, to ensure that students are well informed and develop reasonable expectations for postsecondary destinations, the Department encourages LEAs to provide students with many hands-on opportunities to explore 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 the students 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 preparatory work begins. 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 for students to develop these skills. Due to the scope of the demands on students who are 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.

**A. 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 and youth 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 and youth begins with the identification and recruitment of eligible migrant children, ages 3 through 21, including preschool migratory children and youth and migratory children and youth 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 and youth to determine what educational programs and support services these students need 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 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, and 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 continual 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 Service Delivery Plan Planning Committee to translate the CNA findings into Measurable Program Outcomes 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 youth and migratory children and youth 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 and youth, 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 youth 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 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>Goal Area: English Language Arts</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>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>
<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>

<b>Goal Area: Mathematics</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 Mathematics by 15% each year, starting in 2017.</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 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 an 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 an additional 5 or more hours of instruction if present during summer.</i>
<b>Measurable Program Outcome</b>	<b><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**

<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>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 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 an 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>Measurable Program</b>	<b>3.4 70% of migrant students who started Grade 9 while enrolled in the NYS-MEP will pass Algebra I<sup>32</sup> by the start of Grade 11.</b>

<sup>32</sup> The focus on Algebra I is based on the Government Performance and Results Act (GPRA) of 1993. It was enacted by Congress to provide for the establishment of strategic planning and performance measurement in the Federal Government, in this case of the Migrant Education Program. It states: "4. The percentage of MEP students who entered 11th grade that had received full credit for Algebra I." The thinking here is that Algebra I is considered a gateway course and those students who complete it (or a higher Mathematics course) are considered more likely to graduate.

<i>Outcome</i>	
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<b>Goal Area: Out-of-School Youth (OSY)</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>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 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 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, 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 and youth, 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 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 of 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 USED. 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 growing secondary-aged migrant out-of-school youth populations, as well as to improve the proper and timely identification of all migrant children. These initiatives, among others, help to strengthen inter- and intra-state coordination of services for migratory children and youth 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 youth 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 and youth opportunities to meet the same challenging State academic content and academic achievement standards that all children are expected to meet
- Provides migratory children and youth 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 for the use local, State, and federal resources, 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 was used to determine the unique educational needs of migratory children and youth, including preschool migratory children and youth and migratory children and youth 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. The CNA process 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 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 New York State 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	Collaborate with school personnel as to how to best meet the	<b>Required</b>

(4)	instructional needs of children served and provide academic instruction in skills and strategies necessary to meet the New York State Learning Standards.	
<b><u>We are concerned that not all migrant preschoolers (P3-P5) have access to community preschool programs, including access to community special needs programs.</u></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 that migrant students are unable to navigate content-area vocabulary, literacy and text, and identify and utilize Tier 2 vocabulary, as defined by the New York State Learning Standards.</u></b>		
3A (1)	Provide training to migrant educators on strategies to promote and support language acquisition, literacy development, and content learning.	<b>Required</b>
3A (2)	Provide experiential “hands-on” learning opportunities.	<b>Required</b>

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

#	Solution Statement	Required or Suggested
<b><u>We are concerned that migrant adolescents lack the specific skills and strategies necessary for success on the NYS Regents exams or comparable NYS Learning Standards assessments.</u></b>		
1B (1)	Staff will provide opportunities for students to engage in high-order, standards-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>
<b><u>We are concerned that migrant adolescents lack exposure to non-traditional credit accrual, as well as to college, career and vocational opportunities.</u></b>		

2B (3)	The Migrant Education Program (MEP) will create a flowchart of approved pathways 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>
<b><u>We are concerned that migrant students face cultural, linguistic, and immigration status barriers and, therefore, experience challenging social and emotional issues.</u></b>		
3B (1)	Staff will work with each student to identify a caring adult in the student's life to support his or her 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 that OSY's lack of English Proficiency limits their full participation in the community, especially in the areas of expanded work opportunities.</u></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 that teach self-advocacy skills.	<b>Required</b>
<b><u>We are concerned that OSY are at high risk of being exploited.</u></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 that OSY students face barriers that isolate them, limit their community participation, and prevent them from accessing needed services and resources.</u></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,</li> </ul>	<b>Required</b>

	<p>history of agricultural labor, discrimination, human trafficking and sexual exploitation, human rights, cultural competencies, etc.</p> <ul style="list-style-type: none"> <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>	
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.**

Youth in the juvenile justice system face many barriers to completing education while these youth are held in facilities (and once the youth are released). For example, according to data from the National Technical Assistance Center for the Education of Neglected or Delinquent Children and Youth, 14% of students served under Subpart 1 in New York State had IEPs and 41% of students served under Subpart 2 had IEPs.<sup>33</sup> However, significant delays in the transfer of youth's educational records, including Individualized Educational Plans, often result in delays in the provision of appropriate academic and/or non-academic services. In addition, many facilities do not consistently utilize curricula aligned with New York State standards, which can result in credits not transferring or being accepted by the home school district. As a result, national data shows that the majority of youth – 66 percent – do not return to school after release from secure custody.<sup>34</sup>

In addition to the barriers faced by many students served in neglected and/or delinquent facilities, recently enacted “Raise the Age” legislation will affect service delivery models. Under the new legislation, 16 and 17-year-old students previously served in County Jails will instead be served at other facilities, such as secure/non-secure detention facilities and other voluntary placement agencies. There are major concerns about the system's capacity to support students, as there are currently only 8 secure detention facilities across New York State, as opposed to more than 60 County Jails. Beyond simply the number of facilities, detention facilities do not receive State Aid for core educational services in the same manner as do jails. The Office of Children and Family Services (OCFS) and the placing county share the cost of care, maintenance, and supervision through a 49/51 percent split of the cost for care for such youth. Removing 16 and 17-year-old students will reduce the total amount of funding available to operate the educational program for 18-21-year-old students served in County Jails by approximately 30%. The new funding levels and capacity limitations will make it difficult for County Jails, secure/non-secure Detention Facilities, and other voluntary placement agencies to adequately address the educational, social, and emotional and needs of students, especially students with disabilities and ELL/MLL students.

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<sup>33</sup> National Technical Assistance Center for the Education of Neglected or Delinquent Children and Youth. Available online at <http://www.neglected-delinquent.org>.

<sup>34</sup> Federal Interagency Reentry Council, “Reentry Myth Buster: On Youth Access to Education upon Reentry (New York, 2012), <http://bit.ly/1sxm157>.

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), Local Educational Agencies (LEAs), 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 in order 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; LEAs; 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 STP in each Neglected/Delinquent facility in New York State. Department staff will provide technical assistance to facilities and LEAs. 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.

In addition, NYSED will study the effect on State and local funding for core instruction at county jails and detention centers of the recently enacted “Raise the Age” legislation. The Department will generate field guidance to districts and facilities in order to address programmatic and fiscal changes that result from the new legislation.

**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 within five years provide appropriate core educational services (ELA, Math, Science, and Social Studies, at a minimum) to **all** youth moving into/out of neglected/delinquent facilities
- 100% of Neglected and Delinquent facilities that provide core instruction on-site will within five years provide appropriate hours of mandated instruction for all students
- 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>35,36</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 within the facility's care:<sup>37</sup>
  - 30% of facilities will administer post-testing within one year
  - 60% of facilities will administer post-testing within three years
  - 100% of facilities will administer post-testing within five years

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<sup>35</sup> Length of stay and number of students served at the facility affect the projections.

<sup>36</sup> Recently enacted "Raise the Age" legislation will have implications for this objective.

<sup>37</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.

- 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**

- B. 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 New York State. 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/linguistically diverse and culturally competent teachers, principals, and other 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 the Wallace Foundation, the Department launched the [Principal Preparation Project](#) to enhance the preparation of future school building leaders and support for the development of current school principals.

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.<sup>38</sup> 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. To make possible the opportunity for every student to have access to a great teacher and school leader, we cannot ignore the key factors that influence educators’ decisions on whether to enter and stay in the field. Recent research from the [Learning Policy Institute](#)<sup>39</sup> continues to confirm that there are five major factors that influence an educator’s decision to enter and stay in the field: 1) salaries and other compensation; 2) preparation and costs to entry; 3) hiring and personnel management; 4) induction and support for new teachers; and 5) working conditions, including school leadership, professional collaboration and shared decision-making, accountability systems, and resources for teaching and learning.

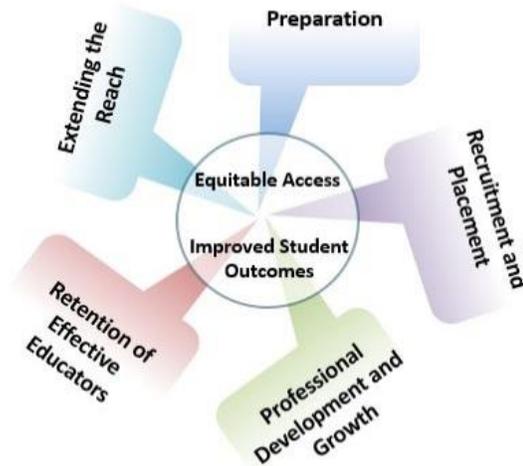
As such, the Department believes that the best way to ensure equitable access to great teachers and school leaders is to assist LEAs and IHEs in developing comprehensive systems of educator support and development that are focused on the following key components: 1) preparation; 2) recruitment and hiring; 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 (“Framework;” see diagram below).

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<sup>38</sup> See, e.g., Leithwood, K., Seashore-Louse, K., Anderson, S., and Walhstrom, K., “How Leadership Influences Student Learning: Review of the Research”, New York City, NY: Wallace Foundation and “Teachers Matter: Understanding Teachers’ Impact on Student Achievement”. Santa Monica, CA: RAND Corporation, 2012.

<sup>39</sup> Sutchter, L., Darling-Hammond, L., and Carver-Thomas, D. (2016). *A Coming Crisis in Teaching? Teacher Supply, Demand, and Shortages in the U.S.* Palo Alto, CA: Learning Policy Institute.  
Podolsky, Anne, Kini, T., Bishop, J. and Linda Darling-Hammond (2016). *Solving the Teacher Shortage: How to Attract and Retain Excellent Educators.* Palo Alto, CA: Learning Policy Institute.

### Educator Effectiveness Framework



By helping LEAs and IHEs to create comprehensive systems that meet the needs of all their students and that support educators along the entire continuum of their careers, we are actively working to:

- 1) Attract more diverse, culturally competent, and highly effective teachers, principals, and other school leaders to the profession;
- 2) Provide options, opportunities, and pathways for those aspiring teachers, principals, and other school leaders to acquire the knowledge, skills, and abilities – both through coursework and rich clinical experiences - that educators need to better meet the needs of all students;
- 3) Provide early career and ongoing support to ensure that those better-prepared teachers, principals, and other school leaders can enter the profession, have the support that they need to stay in the profession, and improve their practice over time; and
- 4) Create opportunities for teachers, principals, and other school leaders who are recognized by their peers and administrators as highly effective practitioners to take on differentiated roles and responsibilities that extend the reach of these educators and allow them to share their expertise with their colleagues.

In doing so, we will better be able to ensure that all students in New York State have a great teacher and a great school leader, which will help us to achieve our shared goal of ensuring that each student is prepared for success in college, career, and citizenship.

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 that examine the rates at which different subgroups of students (Statewide and within-district) are assigned to out-of-field, inexperienced, and ineffective educators. In addition to traditional measures of educator equity, such as teacher qualifications and effectiveness data, the Department will include analytics that research shows are important considerations for equity, such as teacher and principal turnover/retention, absences, tenure status, and demographics.

These reports will serve 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 there may be gaps in access to culturally and linguistically diverse educators. As a next step, the Department will create tools and other resources to assist LEAs in conducting needs/gap and root cause analyses focused on the elements of the Framework to determine which aspects of the LEAs’ talent management systems are most in need of improvement (see sample metrics in the table below). Much of this information is already collected by the Department from LEAs across the State. In these instances, the goal of the Department is to provide districts with both their own data as well as Statewide information and information about similar districts to determine areas of focus. For indicators that are not yet collected, or that are collected only locally, the Department will work with stakeholders to determine the best ways to collect and report this information so that it can be used to drive decision making.

Framework Component	Sample Metrics
<p><b>Preparation:</b> collaboration or formal partnership between LEAs and Institutions of Higher Education (IHEs) or other eligible partners.</p>	<ul style="list-style-type: none"> <li>• Rigor of selection criteria</li> <li>• Prep program coursework</li> <li>• Academic success of prep program candidates</li> <li>• On-the-job effectiveness</li> <li>• Extended clinically rich placements</li> <li>• Percentage of graduates from historically underrepresented and economically disadvantaged populations</li> </ul>
<p><b>Recruitment and Placement:</b> activities to attract the most effective educators to LEAs and the schools that need them.</p>	<ul style="list-style-type: none"> <li>• Compensation structure, including recruitment and transfer awards</li> <li>• Application per vacancy ratio, particularly for hard-to-staff areas</li> <li>• Strategic staffing, including diversity, cultural competency, and evaluation results</li> <li>• Strength of induction and onboarding programs</li> </ul>
<p><b>Professional Development and Growth:</b> differentiated ongoing support for educator effectiveness, based on evidence of educator practice and student learning, including individualized support for new and early career</p>	<ul style="list-style-type: none"> <li>• Professional development and mentoring structures, systems, and offerings</li> <li>• Use of a needs assessment to determine professional learning</li> <li>• Access to and time available for professional</li> </ul>

<p>educators to advance their professional practice and improve their ability to produce positive student outcomes.</p>	<p>development</p> <ul style="list-style-type: none"> <li>• Effect on instructional outcomes</li> <li>• Effect on student outcomes</li> <li>• Link to evaluation results</li> </ul>
<p><b>Retention of Effective Educators:</b> a systematic, coordinated approach to providing new and sustained leadership opportunities, with additional compensation, recognition, and job-embedded professional development for teachers and administrators to advance excellent teaching and learning, as well as advance the use of evaluation data in development, compensation, and employment decisions.</p>	<ul style="list-style-type: none"> <li>• Retention rates of the most effective teachers and principals vs. those of the least effective</li> <li>• Gaps in turnover rates between highest- and lowest-need schools</li> <li>• Building-level analysis of retention patterns</li> <li>• Leadership opportunities for the most effective educators</li> <li>• Tenured granted/denied based on effectiveness rating</li> <li>• Results/Analysis of exit surveys, where administered</li> <li>• Other existing PBCS efforts to retain the most effective educators</li> <li>• Link to evaluation results</li> </ul>
<p><b>Extending the Reach:</b> leveraging the most effective educators in a multitude of ways for the maximum effect on improved student outcomes and equitable access.</p>	<ul style="list-style-type: none"> <li>• Assignment of students to the most effective educators</li> <li>• Number of students affected by the most effective educators (district-wide and disaggregated by subgroup)</li> <li>• Effect on instructional and student outcomes</li> <li>• Gap in access to most effective educators between highest-need and lowest-need students/buildings</li> <li>• Number of teacher leaders/principal leaders in district and current roles/responsibilities</li> </ul>

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 in 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 at which LEA teams can come together with the assistance of Department staff and other technical assistance providers to better understand data and how they can be used to drive the development of comprehensive systems of educator development and support that are grounded in evidence-based strategies. Possible areas for consideration during the equity labs include strengthening existing mentoring/induction programs, expanding recruitment activities to attract a wider pool of diverse candidates, 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, or implementing and refining leadership continuum pathways that leverage the expertise of teacher and principal leaders. Additionally, these equity labs will allow LEAs to better understand the data points that the Department uses and how we conduct our analyses so that LEAs are better equipped to conduct building-level analyses that mirror those done by the Department at the State and LEA level.

Helping LEAs to identify gaps in equitable access; determine the root causes of those gaps; conduct needs/gap analyses; and select appropriate, evidence-based strategies focused on different components of the Framework to address those areas of need, is an important foundation for meeting our goal of ensuring that all students have access to great teachers and leaders. However, it is equally important that we help LEAs to identify new and existing resources to implement these strategies. To that end, the Department proposes to work with LEAs to identify existing funding sources and initiatives that are already in place that can help strengthen these systems. As the first step in this work, Department staff will begin collecting information on the specific ways that LEAs are using their Title II, Part A allocations and review Professional Development Plans and 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 have 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, BOCES, and institutions of higher education 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).

While the Department will begin to work more closely with LEAs to address gaps in equitable access to effective, qualified, culturally-responsive, and experienced educators, it will also undertake a number of other State-level initiatives focused on the different components of the Framework, with the goal of ensuring that our own policies and initiatives advance our goal of ensuring that educators have access to comprehensive systems of professional learning, support, and advancement along the entire continuum of their careers.

### **Preparation, Recruitment, and Placement**

As previously noted, the quality of the preparation that aspiring teachers, principals, and other school leaders receive is a key factor in determining whether those educators enter and,

particularly, remain in the profession; we also know that there is an important relationship between educator preparation and qualification and positive effects on student outcomes.<sup>40</sup>

We also know that the quality of the preparatory experience of aspiring teachers, principals, and other school leaders in New York State varies significantly. Accordingly, building on the recommendations of the [TeachNY Advisory Council](#) and the [Principal Preparation Project](#), the Department has constituted a Clinical Practice Work Group to explore whether it is necessary to enhance the existing regulatory requirements, in order to help ensure that teachers, principals, and other school leaders are prepared on day one to work effectively to improve student outcomes and to present the workgroup’s recommendations to the Department and Board of Regents. 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

Specific to the preparation of school building leaders and consistent with the recommendations of the Principal Preparation Project, Department staff will explore the following approaches to ensure better professional learning and support for aspiring leaders<sup>41</sup>:

- Organize certification around the 2015 Professional Standards for Educational Leaders (PSEL)

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<sup>40</sup> See, e.g., Ingersoll, R., Merrill, L., and May, H. (2014). “What are the effects of teacher education and preparation on beginning teacher attrition?”. Research Report (#RR-82). Philadelphia: Consortium for Policy Research in Education, University of Pennsylvania.

Guha, R., Hylar, M.E., and Darling-Hammond, L. (2016). “The Teacher Residency: An Innovative Model for Preparing Teachers”. Palo Alto, CA: Learning Policy Institute.

Manna, Paul (2015). “Developing Excellent School Principals to Advance Teaching and Learning: Considerations for State Policy”. The Wallace Foundation. Retrieved from: <http://www.wallacefoundation.org/knowledge-center/Pages/Developing-Excellent-School-Principals.aspx>

<sup>41</sup> For a full list of the recommendations of the Principal Preparation Project, please see [the Department's landing page](#) for this initiative. 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 in this work.

- Strengthen university-based School Building Leader (SBL) programs by closely linking the 2015 PSEL with extended school-based internships
- Create pathways, options, and/or opportunities that lead 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 this learning 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.

Taken together, the potential revisions to the educator preparation and certification frameworks in New York State, as described above, are premised on the belief that better preparation of teachers, principals, and other school leaders starts with a strong alignment between what is needed to be successful, what is taught in educator preparation programs, and what standards we expect for someone to be certified. Without clear agreement among participants (teachers, principals, deans, etc.) about this foundation, the ability to create strong coherence between what happens in preparation and certification and what happens on day one as a teacher and school leader will not be a part our system; rather, we will continue to have only pockets of excellence – where this alignment and coherence exist – and the ability to ensure that New York State has a better prepared workforce may be negatively affected.

Recognizing the importance of creating sustainable clinical residency models for teacher and school leader preparation, the Department will explore devoting a portion of its Title IIA funding to expand preparation programs that provide greater opportunities for candidates (both teachers and school leaders) to apply the knowledge and skills acquired in authentic settings. This funding may advance residency programs or other innovative preparation models that provide aspiring teachers, principals, and other 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 school leader 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. Additionally, in certain areas, such as multicultural education, existing coursework requirements

may not be ensuring that aspiring teachers and leaders acquire the knowledge and skills needed to meet the needs of all students. To that end, the Department will work with stakeholders to create guidance and clear expectations for all preparation programs across the State. These could include, but may not be limited to, programs to prepare school building leaders. These programs may also include the preparation and certification of principal supervisors.

Further, recognizing that for preparation programs to ensure that they are addressing the needs of the schools that employ the programs' 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 program graduates. This can include, for example, surveying recent graduates about their experiences not only in classroom learning, but also in terms of field and student placement experiences. Additionally, the Department will explore the feasibility of enhancing data collection related to New York State public school students who go on to attend a SUNY or CUNY school to determine whether there are particular content areas or concepts in which students need additional support. These additional data will help to inform the professional learning and support that is provided to both aspiring and current teachers.

Just as important as ensuring that aspiring teachers, principals, and other school leaders are truly prepared to enter the profession is ensuring that promising, diverse candidates are identified and recruited into the profession. Consistent with the recommendations of the [TeachNY Advisory Council](#), 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 LEAs' needs. This is particularly important for New York State, as research shows that the vast majority of teacher preparation candidates become teachers in the same region in which their teacher preparation programs are located. Thus, the Department believes that creating these partnerships will be particularly beneficial for LEAs in New York State.

In addition to focusing recruitment efforts on candidates who are academically promising, the Department also believes that it is important to ensure that the pipeline of future educators includes culturally competent and ethnically and linguistically diverse candidates such that the demographics of the educator workforce can better mirror the demographics of New York State's student population. Research consistently confirms that students benefit significantly when they have access to educators who can work effectively and inclusively across cultural lines<sup>42</sup> as well as with whom students can identify.<sup>43</sup> To that end, the Department will work with SUNY and other

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<sup>42</sup> "Closing the Gap: Creating Equity in the Classroom". Hanover Research Equity in Education Research Brief. 2017. Retrieved from: [http://www.hanoverresearch.com/wp-content/uploads/2017/06/Equity-in-Education\\_Research-Brief\\_FINAL.pdf](http://www.hanoverresearch.com/wp-content/uploads/2017/06/Equity-in-Education_Research-Brief_FINAL.pdf)

<sup>43</sup> Dee, Thomas S. "Teachers, Race, and Student Achievement in a Randomized Experiment". The Review of Economics and Statistics, February 2004, Vol. 86, No. 1, Pages: 195-210.  
Gershenson, S., Holt, S., and Papageorge, N. "Who Believes in Me? The Effect of Student-Teacher Demographic Match on Teacher Expectations". Economics of Education Review, Volume 52 (June 2016). Pages 209-224.  
Dee, Thomas and Emily Penner. "The Causal Effects of Cultural Relevance: Evidence from an Ethnic Studies Curriculum". NBER Working Paper No. 21865. Retrieved from: <http://www.nber.org/papers/w21865>

higher education partners to explore how best to leverage the recommendations of the TeachNY Advisory Council, which include:

- 1) Developing recruitment plans with strategies that are designed to increase the diversity of students entering educator preparation programs
- 2) Ensuring that the financial needs of students with lower socioeconomic status are being met
- 3) Creating pilot programs that recruit and select applicants who are committed to and appreciate the needs of urban and rural school communities
- 4) Creating formative assessments of cultural competence and other qualities and supporting the admission and retention of excellent teacher and school leader candidates

## **Professional Development and Growth**

For teachers, principals, and other school leaders to have the greatest effect on students and to remain in the profession, these educators need to have support and opportunities for professional growth throughout the educators' careers. Research suggests that this support is particularly important during the early part of an educator's career<sup>44</sup> and can improve the recruitment, retention, and growth of educators.

Recognizing the importance of support for educators who are entering the profession, New York State requires that all teachers and principals who have an initial certificate and who are working toward a professional certificate complete a mentoring experience<sup>45</sup> in their first year of teaching or school building leadership service in a public school district.<sup>46</sup>

Each school district and BOCES, in its Professional Development Plan, 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

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Ehrenberg, Ronald, Goldhaber, D., and Brewer, D. "Do Teachers' Race, Gender and Ethnicity Matter?" ILR Review, April 1995. Vol. 48, No. 3. Pages: 547-561.

Mittleman, Joel. "What's in a Match? Disentangling the Significance of Teacher Race/Ethnicity" (June 15, 2016). Available at SSRN: <https://ssrn.com/abstract=2796150>

<sup>44</sup> Johnson, Susan Moore and Susan M. Kardos. "Keeping New Teachers in Mind". Educational Leadership, vol. 59, no. 6, 2002, pp 12-16.

"Leap Year: Assessing and Supporting Effective First-Year Teachers". TNTP Report. 2013. Retrieved from: <https://tntp.org/publications/view/teacher-training-and-classroom-practice/leap-year-assessing-and-supporting-effective-first-year-teachers>

<sup>45</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.

<sup>46</sup> 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.

- The role of mentors, which shall include, but not be limited to, providing guidance and support to the new educators
- The preparation of mentors, which may include, but shall not be limited to, the study of the theory of adult learning, the theory of educator 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 educator, observing instruction, instructional planning, peer coaching, team coaching, and orienting the new educator 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 educator 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 to deepen their knowledge and skills and more easily make the transition to a first professional experience under an initial certificate. Research included in the [TeachNY Advisory Council Report](#) has shown that educators who engage in collaborative activities that encourage high-level collegiality, such as mentoring, are more likely to report greater career satisfaction and stay in the educators' current roles. In addition to the benefit to new and early career educators, mentoring activities also enable veteran educators to experience a renewed dedication to their profession. However, the quality of this experience currently 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. 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 and IHEs in developing mentoring programs that provide educators with appropriate differentiated supports. Consistent with the recommendations of the Principal Preparation Project, there should be a natural continuation between the clinical experience/internship that aspiring school leaders receive and the ongoing, high-quality coaching and mentoring that these new school leaders receive through the first year of their career. The same should also be true for teachers.

Providing new teachers and school leaders 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 the LEAs to recruit, select, develop, and

reward educators who serve in mentorship roles. Consistent with current research<sup>47</sup> and the Department’s Leadership Pathways Continuum, the Department will encourage districts and BOCES to leverage teacher and principal leaders to serve as mentors. In addition, for those districts and BOCES that participate in the Department’s equity lab work, the Department will review the status of mentoring in the LEA through review of Professional Development Plans and conversations with stakeholders and will work with LEAs to help them adopt evidence-based strategies to bolster current mentoring programs. Recommendations may include revising mentor selection criteria to ensure rigor, including the utilization of educators who have National Board Certification; determining clear-cut roles and expectations for mentor-mentee relationships; providing more robust professional learning to mentors about their role, having mentors provide feedback through informal observation; and for schools or districts in hard-to-staff communities where there may be low capacity to provide quality mentoring, leveraging well-trained mentors in a regional model. Where LEAs undertake these evidence-based initiatives, the Department will work to document the successes of these approaches in order to provide case studies that other districts across the State may wish to adapt. Further, the Department will work to facilitate peer-to-peer collaboration between LEAs to help disseminate effective mentoring strategies.

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 educators need to succeed. These systems will promote the personal and professional growth of educators and recognize the multi-dimensional nature of the profession. Further, the Department will work with stakeholders, including institutions of higher education, 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. Among other goals, these induction models should provide feedback to educators, the preparation programs that prepare them, and the leadership of the school district. These opportunities, particularly when combined with pre-service supports, are an important lever in ensuring that educators receive ongoing, job-embedded professional learning and authentic experiences with diverse populations

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<sup>47</sup> “Good Principals Aren’t Born — They’re Mentored”. Wallace Foundation. Publication. Web. Retrieved from: <http://www.wallacefoundation.org/knowledge-center/Documents/Good-Principals-Arent-Born-Theyre-Mentored.pdf>

“High Quality Mentoring and Induction Practices.” New Teacher Center. 2016. Publication. Web. Retrieved from: [https://newteachercenter.org/wp-content/uploads/high-quality-mentoring\\_induction-resource.pdf](https://newteachercenter.org/wp-content/uploads/high-quality-mentoring_induction-resource.pdf)

Harrison, Cindy and Joellen Killian. “Ten Roles for Teacher Leaders.” *Educational Leadership*, vol. 65, no. 1, 2007, pp 74-77.

<http://www.ascd.org/publications/educational-leadership/sept07/vol65/num01/Ten-Roles-for-Teacher-Leaders.aspx>.

Whitebook, March and Dan Bellm. “Mentors as Teachers, Learners, and Leaders”. 2014. Publication. Web. <http://csce.berkeley.edu/files/2014/FINAL-218-Whitebook-Bellm1.pdf>

(e.g., English Language Learners, Students with Disabilities) during both preparation and through the early part of educators' careers.

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, principals, and other school 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 that is designed to build educator capacity across New York State. To undertake this work, the Department convened a task force<sup>48</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 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 for the use of this funding will be developed collaboratively, based on needs identified by a broad range of stakeholders, including the Department, school leaders, and preparation programs. Where necessary, these supports should address needs at multiple levels (i.e., statewide, regional, LEA level). Examples of potential uses of funds 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>48</sup> This Task Force included a broad range of stakeholders, including BOCES leaders, district leaders, principals, teachers, higher education representatives, and SED staff members.

## Extending the Reach of Effective Educators

In addition to providing support to educators throughout their careers, research suggests<sup>49</sup> and the Department believes that it is also important to ensure that educators have a career trajectory. For this to be possible, LEAs must take explicit actions to recognize their most effective educators and to cultivate teacher and principal leadership through the creation of leadership continuum pathways. When thoughtfully and systemically implemented, leadership opportunities provide a way for LEAs to 1) cultivate a shared understanding of what teachers, principals, and other school leaders should know and be able to do at all stages of their careers (e.g., from novice through highly effective); 2) recognize what highly effective practice truly looks like; 3) provide opportunities for educators who consistently demonstrate that they are highly effective to share their expertise with their colleagues and leverage that expertise for the benefit of the entire school system; and 4) improve the retention and impact of the most effective teachers and school leaders. Importantly, this systemic approach to leadership continuum pathways that is grounded in clear definitions of accomplished practice can further facilitate the collaborative P-20 approach to preparing and supporting educators described earlier in this section.

Through the Teacher Incentive Fund (TIF) 3 and Strengthening Teaching and Leader Effectiveness (STLE) grant programs, NYSED built on the evaluation framework by establishing criteria for career ladder pathways tied, in part, to demonstrated effectiveness in classrooms and school buildings. NYSED did not mandate or create the specific duties and responsibilities of the career ladder; rather, NYSED offered LEAs the opportunity to create, or build upon, career ladders for teachers and principals that provided opportunities for additional duties and compensation, in addition to supporting recruitment, retention and equitable distribution of the most effective educators. Acting as incentives, these types of programs encouraged LEAs to establish mechanisms to recognize outstanding teachers and principals. As a direct result, in 2015, the Department worked with a broad range of diverse stakeholders across New York State to develop a [Career Ladder Pathways Framework](#).

Through ongoing stakeholder engagement and feedback, the Department continues to evolve its definition of this work to encompass multiple design options that can be tailored based on localized context and need. As such, we have moved beyond a *ladder* model, with its implied vertical ascension, to the more universal *continuum*, which encompasses many varieties of career opportunities, including a ladder approach. As such, leadership continuum pathways:

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<sup>49</sup> Heneman, Herbert G., Anthony T. Milanowski. “Assessing Human Resource Alignment: The Foundation for Building Total Teacher Quality Improvement”. 2007. Publication. Web. [http://www.smhc-cpre.org/wp-content/uploads/2009/03/carnegie-monograph\\_final.pdf](http://www.smhc-cpre.org/wp-content/uploads/2009/03/carnegie-monograph_final.pdf)  
Goldhaber, Dan. “Teacher Pay Reforms: The Political Implications of Recent Research”. 2009. Publication. Web. [https://cdn.americanprogress.org/wp-content/uploads/issues/2006/12/pdf/teacher\\_pay\\_report.pdf](https://cdn.americanprogress.org/wp-content/uploads/issues/2006/12/pdf/teacher_pay_report.pdf)  
“Leadership Matters: What the Research Says About the Importance of Principal Leadership” (NASSP, NAESP, Wallace Foundation)  
“Leading from the Front of the Classroom: A Roadmap to Teacher Leadership that Works” (The Aspen Institute, Leading Educators). 2014

1. Are grounded in the Department’s core beliefs
2. Are designed to address the elements of the Educator Effectiveness Framework
3. Permit LEAs significant flexibility, with minimum State guidelines
4. Emphasize implementation and refinement through continual improvement processes

The Department will work to ensure that LEAs adopt systems for leadership continuum pathways that focus on clearly defined leadership roles and responsibilities that provide high-performing educators with meaningful opportunities for career advancement, ultimately aiding in the attraction, development, and retention of great educators who can best meet the needs of the LEA and all students. Importantly, the Department believes that the career advancement opportunities should be developed collaboratively, reflective of localized context and need, and, specific to teacher leadership, available for all teachers and not just those who aspire to be principals. As LEAs consider educator leadership continuum pathways and roles, it is important to develop strong systems that emphasize accountability and professional development and are sustainable over time.

Teacher and school leader leadership opportunities that are developed collaboratively and systemically are an important strategy for LEAs to consider when implementing comprehensive systems of professional learning, support, and advancement for educators. Educator leaders can serve as coaches and mentors to their peers, cooperating educators for teacher and school building leader candidates, faculty within educator preparation programs, providers of professional development, and in a whole host of other capacities. Therefore, in working with LEAs to address gaps in equitable access to educators, where evidence suggests that development or refinement of leadership continuum pathways may help to address one or more challenge areas, the Department will provide guidance and resources, including the Career Ladder Pathways Framework and other tools and resources aligned with best practice, to assist LEAs in implementing a leadership continuum pathway that is both responsive to local context and that addresses needs. Further, the Department will use surveys, webinars, and other media to ensure that the current tools and resources continue to reflect the needs and values of stakeholders across New York State, including specific outreach to school districts and BOCES leaders, teacher and principal leaders, and relevant stakeholder organizations, including the Professional Standards and Practices Board. The Department will also focus on additional opportunities for teacher leadership outside of a formal career continuum.

**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 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.

To be eligible for initial certification in New York State, teachers must meet the following requirements<sup>50</sup>:

1. Completion of a New York State Registered Program, including required workshops
2. Institutional Recommendation
3. Pass the following certification exams: 1) Educating All Students Test (EAS); 2) a Teacher Performance Assessment (edTPA);<sup>51</sup> and 3) Content Specialty Tests (CSTs)
4. 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 of and respect for all students

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<sup>50</sup> Candidates who believe that they meet all the coursework requirements to obtain an initial certificate, but who have not completed a NYS Registered Program, can request an individual evaluation of 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>51</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) having the standard setting committee 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.

- 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
- 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 actual teaching during a clinical field experience
- Candidates also submit commentaries that provide a rationale to support the candidates’ 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 an 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>52</sup>

### **Transitional Certificates:**

In addition to traditional pathways to certification, New York State also has a system of

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<sup>52</sup> The requirement may be revised, depending on the status of the Deferred Action for Childhood Arrivals policy.

transitional certificates, which provide opportunities for alternative routes into teaching, including for individuals with advanced degrees and mid-career professionals from other occupations.

#### *Transitional A Certificate*

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 who possesses the requisite occupational experience. The transitional certificate is valid for up to three years, while the holder of the certificate completes 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 a candidate successfully completing the program's introductory component and associated fieldwork experience and the candidate passing the Content Specialty Test (CST) in his or her certificate areas and the EAS exam, the candidate is 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). This certificate is 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 then, upon successful exam and program completion, the candidate qualifies for professional certification.

#### *Transitional G Certificate*

Issued to a college professor with a graduate degree in science, technology, engineering, or mathematics who has successfully taught at the college level for at least two years. 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 is eligible for the Initial Certificate in that subject area.

## Certification of School Building Leaders

What follows is a description of the current requirements for initial certification as a school building leader in New York State. As described further in Sections D(1) and D(6), the Department has launched the [Principal Preparation Project](#), which aims to enhance the preparation of future school building leaders and support for the development of current school principals and which may change the structure described below.

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, including required workshops
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. Fingerprint clearance
7. 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 administrative experience; complete a mentored experience during their first year; and be a permanent resident or US citizen.<sup>53</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**

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<sup>53</sup> The requirement may be revised, depending on the status of the Deferred Action for Childhood Arrivals policy.

**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 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 those needs. As such, both the existing system of certification in New York State and the ongoing professional development and support of educators are designed to ensure that all educators can identify and meet the needs of all students.

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 is a set of elements and corresponding performance indicators that expresses 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 to 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 the 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, in an effort 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>54</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. These observations and school visits must be based on practice rubrics that are aligned to New York State’s teaching and leadership standards. Before being used for teacher or principal evaluations, proposed rubrics are submitted to the Department for review and approval to ensure that, among other things, they are appropriately aligned to the State’s standards. The results of these evaluations are required to be used for a number of employment-related decisions, including differentiated professional development for all educators. Further, teachers who receive a rating of 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 ways 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.

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<sup>54</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.

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 describes in 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 effect 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 the achievement of 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 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, through other means, adequate instruction in preparing candidates to understand the needs of students with disabilities.

(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, through other means, adequate instruction in language acquisition and literacy development

(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 the role of education; and 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 practicum, 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. 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 and must:

1. Expand educators' content knowledge and the knowledge and skills necessary to provide rigorous, developmentally appropriate instructional strategies and to assess student progress

2. Be research-based and provide educators with opportunities to analyze, apply, and engage in research
3. Include the necessary opportunities for professionals to obtain CTLE to meet the English Language Learner provisions
4. Be designed to ensure that educators: a) have the knowledge, skills, and opportunity to collaborate to improve instruction and student achievement in a respectful and trusting environment; b) have the knowledge and skills 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. Use 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 continual professional growth
6. Promote technological literacy and facilitate the effective use of all appropriate technology
7. Be evaluated, 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, 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, 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 in accordance with New York State law, every district is required to develop a professional development plan 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; and
  - 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, including the use of surveys and focus groups, that allow the Department to collect data, solicit feedback from stakeholders, and make refinements to support continual improvement.

Further, as a general matter, the Commissioner and other senior leadership in the Department will continue to 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 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), institutions of higher education, 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.

**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). Additionally, what follows is a description of the goals and recommendations of the Principal Preparation Project. While many of the concepts found here are contained within Section (D)(1), the Department's goal of preparing all students for success in college, career, and citizenship cannot be accomplished if all students do not have access to a great teacher and a great school leader. For that to occur, all school building leaders need to be well-prepared and well-supported. Principals today must have the knowledge, skills, and dispositions to address the learning needs of an increasingly diverse student population.

Unpacking what is needed to ensure that all school building leaders can be visionary instructional leaders, as described in Section A(4) of this application, requires addressing a series of obstacles. Three in particular arise:

- 1) Many principals are certified, but are not adequately prepared to be effective.
- 2) Too many principals are not adequately prepared to address the learning needs of an increasingly diverse student population.
- 3) Better alignment is needed between what is expected on the job; what is taught in principal preparation programs; and the knowledge, skills, and dispositions that are assessed to determine candidate readiness for initial school building leader certification.

To develop recommendations to address these issues, a 37-member Advisory Team met for 9 months under the auspices of the Principal Preparation Project. This diverse group of stakeholders consensually agreed to present 11 recommendations for the Commissioner and the Board of Regents; these are designed to overcome the obstacles that impede progress. These recommendations are:

- 1) Base initial principal certification on the most current national standards for educational leaders, but with emphasis added on educating all students to high levels of performance,

the necessity of cultural competence, the utility of culturally relevant curricula, and the role that school leaders should play in efforts to instill a love of learning in young people.

- 2) Make initial school building leader certification competency-based. To accomplish this, translate the Professional Standards for Educational Leaders into competencies that become the basis for determining certification readiness. That is to say, aspiring school building leaders become eligible for certification by taking the knowledge, skills, and dispositions that were acquired in a university-based preparation program and applying them in a school setting to improve staff functioning, student learning, or school performance.
- 3) Provide better and set different pathways, options, and/or opportunities leading to full-time, extended-period, school-based internships for all aspiring principal candidates. As much as is practicable, furnish candidates with an internship that enables them to experience the full range of the roles and duties of a principal.
- 4) Provide incentives and set expectations that promote stronger and more sustainable P-20 partnerships involving districts and universities (and, if useful, BOCES and/or third-party organizations with interest and expertise in this arena)
- 5) Pair internships with high-quality coaching and mentoring support that extends through the first full year that a principal candidate is on the job (enumerating what will be done to assure quality mentoring)
- 6) Consistent with existing language within NYS regulations pertaining to competency-based practices and the internship, create a mechanism that: (a) employs a clinically rich experience; (b) calls upon a knowledgeable in-district expert to observe and attest that a candidate has demonstrated competency with respect to a particular certification standard; (c) culminates in the issuance of a micro-credential that is recognized by NYS; and (d) provides a mechanism whereby micro-credentials can be combined in partial fulfillment of requirements for SBL certification. Micro-credentials may take the form of an annotation to an SBL certificate that signals particular expertise of the bearer of the certificate.
- 7) Revise expectations within Continuing Teacher and Leader Education (CTLE) requirements so that, in order to re-register once every 5 years, principals must demonstrate that they have acquired the knowledge, skills, and dispositions (i.e., culturally-responsive practices) that prepare them to supervise instruction in ways that address the learning needs of a diverse student population.
- 8) Create funding opportunities and non-pecuniary incentives to encourage districts and universities (and, if desired, Boards of Cooperative Education Services) to implement models of continual professional learning and to support to educators during the first three years of their career as school building leaders. These include, but are not limited to, sustainable induction models that may be tied to a principal preparation portfolio in ways that provides feedback to the individual school building leader, to the university-based SBL program, and to the school district leadership. Take steps to furnish school building leaders on-going, job-embedded professional learning and authentic experiences with diverse student populations (including English language learners, students with disabilities, etc.) during preparation and the first year on the job.
- 9) Reinforce expectations in current New York State statutes/regulations that require university-based preparation programs to maintain national accreditation (via the Council for the Accreditation of Educator Preparation, or CAEP). In part, these expectations call for

higher education institutions to set goals, targets, and milestones (and report success in efforts) to increase the number and percent of candidates from historically under-represented populations who enroll and complete programs of study. Similarly, create expectations and incentives that prompt districts to set goals (and report on success in efforts) to recruit, select, develop, and place individuals from historically under-represented populations within the ranks of school building leaders

- 10) In support of the above, identify and deploy nonpublic sources of funds to improve the ability of district hiring managers to identify, recruit, select, place, and develop talented principals (both aspiring and current school building leaders). Design and implement indicators and measures to gauge the efficacy of SED efforts to: (a) support and enhance the growth of individual principals and the staff members in the schools that the principals lead; and (b) support P-20 partnerships in their efforts to improve the identification, recruitment, selection, placement and development of aspiring school building leaders (especially, but not exclusively, those from historically under-represented populations).
- 11) As a possible option (prior to full-scale implementation of State-adopted changes to the process of school building leader certification), design and offer a step-up plan that includes meaningful incentives and that makes possible a pilot involving a P-20 partnership (opt-in participation for BOCES) and a process of learning from the pilot

Taken together, these recommendations reflect a commitment to leadership for equity; in this context, the term equity means that the learning needs of every student are supported in an environment where all students are valued; respected; and experience academic success without regard to differences in age, gender, socio-economic status, religion, race, ethnicity, sexual orientation, disability, native language, national origin, or immigration status. The Department will continue to work to advance these recommendations to improve both the preparation and support of educators.

Educational excellence can be found in every corner of the State. Yet, while in some schools it is alive in every classroom, in other schools, islands of excellence are few and far between. New York State can lay claim to excellence when a pathway to academic success exists for every student in the State who is willing to work hard.

For New York State, the notion of striving for educational excellence and equity means:

- To achieve educational excellence, we must create conditions that ensure every student attends a school with a high-performing teacher and leader.<sup>55</sup> We can accomplish this by focusing on what matters most. Namely, we will revise the standards and competencies for preparing school leaders so that New York State standards for principal preparation correspond to the most current national standards and better match the demands of the job. Similarly, we must adjust processes (supervision, evaluation, and professional development) so that they align with and support the new leader preparation standards.

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<sup>55</sup> “High-performing” educators prepare young people for success in K12 and beyond.

- To achieve educational equity, we must provide more, better, and different opportunities to advance learning so that all students have the support needed to experience success. We can accomplish this by expecting better of ourselves as educators and better of our students as learners. The Department will pursue this by (a) creating targets that call for annually increasing the statewide overall rate of student uptake in pre-collegiate (e.g., AP, IB, etc.) coursework, (b) creating targets that call for annual increases in the statewide performance in these courses for students, and (c) creating targets that call for annual statewide decreases in the gaps by gender and race/ethnicity in uptake and performance on these pre-collegiate courses. The Department, in partnership with LEAs, will couple these expectations with enhanced outreach and support for identified subgroups, and report publicly on progress made toward identified targets.

## **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 same 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 utilizes uniform ELL/MLL identification and exit criteria throughout the State and will continue to utilize these criteria. Commissioner Regulations Part 154 requires 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 are 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 current academic performance 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 SIFEs. 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 other stakeholder representative of New York State's geographic diversity and interested in the education of ELL/MLL students and in ensuring that ELL/MLL students receive instruction that is culturally responsive. 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 State 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 and has the goal of providing resources to ELL/MLL parents in a culturally responsive and linguistically accessible manner. For the 2016-17 school year, each RBERN conducted between 200 and 400 professional development sessions in 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.

The Department will continue to provide ongoing professional development to LEAs in a variety of ways. These will include utilizing the resources of our RBERNs, well-known researchers, and notable experts in the field to build capacity for school district ELL/MLL leaders and core leadership teams charged with spearheading systemic improvements for ELLs/MLLs. Professional development will include, but not be limited to, the provisions of ESSA and New York State's plan, the implementation of the New York State Next Generation P-12 English Language Arts (ELA) and Mathematics Standards, and the New Language Arts Progressions (NLAP), as well as the Home Language Arts Progressions (HLAP).

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 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 and in a culturally responsive manner. Finally, the Department has produced, publicly posted and disseminated a parent orientation video, available in these 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 and is culturally responsive to ELL/MLL populations. 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 these 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 (LEAs), 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 to strengthen and expand the Department's work in the following high-priority areas:

1. Supporting LEAs in providing programs and activities that offer well-rounded and culturally responsive 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, culturally responsive 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 that are 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, in an effort to understand how they shape schoolwide policies and practices, so as to inform plans for continual movement toward 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 will work to ensure that all students have access to a robust array of courses, activities, and programs in English, reading/language arts, writing, science, technology, engineering, mathematics, foreign languages, civics and government, economics, visual and performing arts, music, theater, history, geography, computer science, career and technical education, health and wellness, and physical education. The Department will also work to ensure that all students have access to effective, data-driven academic support services, including multi-tiered systems of support via Academic Intervention Services and/or Response to Intervention models. Further, the Department will encourage schools and districts to utilize curricula and education experiences that employ Universal Design for Learning principles, and create opportunities for students to see themselves in daily teaching and learning activities.

In addition to academic supports, the Department will work to ensure that students have access to non-academic support services, such as social-emotional, behavioral, mental health, and social services provided by specialized instructional support personnel, such as school counselors, school social workers, school psychologists, school nurses, speech language pathologists, audiologists,

behavioral specialists, and licensed creative arts therapists. The Department will promote the practice of integrating learning supports (e.g., behavioral, mental health, and social services), instruction, and school management within a comprehensive, cohesive approach that facilitates multidisciplinary collaboration. The Department will continue to promote school and district use of its [Social and Emotional Development and Learning \(SEDL\) Guidelines](#). This guidance document aims to give New York State school communities a rationale and the confidence to address child and adolescent affective development as well as cognitive development.

The Board of Regents also strongly supports providing students access to extra-curricular opportunities so that students can serve their schools and their communities, participate in community-based internships, and engage in sports and the arts. The Department recognizes that, for many students, the provision of access to these types of well-rounded educational experiences 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 that 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.

In addition, 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 in order to ensure that all students have access to a well-rounded education. 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 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 LEAs in fostering safe, healthy, supportive, and drug-free environments that support student academic achievement

The Department believes that effectively engaging parents and families is critical to establishing safe, healthy, and supportive environments for students in all schools across the State. To ensure that all students are supported by strong home-school-community partnerships, the Department will promote State-, district-, and school-level strategies for effectively engaging parents and other

family members in their children’s education, based on inclusive, equitable school cultures that recognize and foster student diversity. 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 to 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 languages that families best understand, including training for family facing staff and leaders on how to access services and gather 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 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 parents' 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 children's early literacy and language skills, and helping children achieve school success into the elementary grades.<sup>56</sup>

It is essential to offer training opportunities that familiarize parents with school, its expectations, and how best to support and advocate for 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 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.

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

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<sup>56</sup> *Association of State and Tribal Home Visiting Initiatives. Home Visiting Provisions in Every Student Succeeds Act. December 2015*

- 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/>).
- 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.

In addition to strong parent and family engagement, NYSED recognizes that schools and their communities play unique roles and have ongoing opportunities to positively influence every single student and his or her family, as it relates to health and well-being along the life continuum. The health and physical well-being of our students is a critical foundation for ensuring student learning. Student health is linked directly to students' academic success and future success in life. By building a strong health literacy foundation, schools can provide students with the knowledge needed to make healthful decisions and become healthy, productive adults. Research demonstrates that students who are both physically healthy and emotionally supported are more likely to attend school, be engaged, and be ready to learn.<sup>57</sup>

While Physical Education and Health are currently required subjects for all students in grades K-12, the current standards and regulations are outdated. The Department is committed to revising current physical education and health regulations. In addition to revising regulations, the Department will encourage LEAs to adopt a Whole School, Whole Community, Whole Child model, because health-related factors such as hunger, physical and emotional abuse, and chronic illness can lead to poor school performance.<sup>58</sup> Research shows that school health programs positively affect educational outcomes, health-risk behaviors, and health outcomes.<sup>59</sup> NYSED will work to build LEA- and school-level capacity in these areas through the following:

- Publish and distribute guidance to LEAs about the importance of developing a strong health literacy foundation in school and adopting a Whole School, Whole Community, Whole Child model
- Expand and build upon existing guidance and resources to enhance school efforts to coordinate with other providers within the community to develop sustainable infrastructures for health and wellness initiatives
- Promote LEA use of the Centers for Disease Control and Prevention (CDC) School Health Index (SHI); a free, online self-assessment and planning tool that schools can use to evaluate and improve their health and safety policies and practices. The SHI is based on CDC's research-based guidelines for school health programs, which identify the policies and practices most likely to be effective in reducing youth health risk behaviors. It is the most comprehensive assessment of the implementation of the Whole School, Whole Community, Whole Child Model.
- Issue guidance encouraging schools to assess and evaluate current policies and practices in place in the areas of Health Services, Nutrition Services, Counseling, Psychological and Social

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<sup>57</sup> Michael, S. L., Merlo, C. L., Basch, C. E., Wentzel, K. R. and Wechsler, H. (2015), *Critical Connections: Health and Academics*. *J School Health*, 85: 740–758. doi:10.1111/josh.12309 (<http://onlinelibrary.wiley.com/doi/10.1111/josh.12309/full>)

<sup>58</sup> Dunkle MC, Nash MA. *Beyond the Health Room*. Washington, DC: Council of Chief State School Officers, Resource Center on Educational Equity; 1991

<sup>59</sup> Basch CE. *Healthier Students Are Better Learners: A Missing Link in School Reforms to Close the Achievement Gap*. *Equity Matters: Research Review No. 6*. New York: Columbia University; 2010

Services, Healthy School Environment, Health Promotion for Staff, Health Education Family – Community Involvement, and Physical Education

Finally, 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 State'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 multi-dimensional measure of school climate aimed at engaging students, staff, parents, and community

The Department plans to administer the United States Department of Education 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 conducted 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 worked and what did not

- 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.

3. Supporting LEAs in increasing access to personalized, rigorous learning experiences supported by technology.

To improve the academic achievement and digital literacy of all students, and to enhance equitable access to quality learning experiences, the Department will support new and existing programs that focus on the utilization of technology to personalize learning; increase access to high-quality, rigorous learning experiences; and provide professional development to assist teachers in effectively utilizing technology to improve teaching and learning. The Department will work with stakeholders to provide guidance regarding digital literacy for students and will promote equitable access for all students to effective school library programs.

The Department recognizes that technology is a powerful tool that provides opportunities to more efficiently and effectively personalize learning, including providing individualized support and resources. Personalized learning is centered on tailoring instruction and learning experiences to support individual learners’ strengths and needs, in turn promoting cultural and linguistic responsiveness for all students. The Department also recognizes that technology can be utilized to provide opportunities, through online, blended, and distance learning, for increased equity in accessing high-quality courses and learning experiences that might not otherwise be available, such as in rural and high-needs schools, as well as in schools that serve special populations.

The [USNY Statewide Learning Technology Plan](#), approved by the Board of Regents in 2010, outlines the educational technology mission and vision of the Board of Regents. The Plan identifies the Regents’ expectation that “multiple environments will exist for teaching and learning, unbound by place, time, income, language or disability... Students will access learning resources anywhere, anytime through the use of technology.”<sup>60</sup>

A 2014 statute, co-sponsored by State Senator Catharine Young and Assemblywoman Catherine Nolan, and signed into law, required the Commissioner of Education to establish a temporary

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<sup>60</sup> *USNY Statewide Technology Plan*. [http://www.p12.nysed.gov/technology/TechPlans/usny\\_techplan.html](http://www.p12.nysed.gov/technology/TechPlans/usny_techplan.html)

Online Learning Advisory Council to develop recommendations to advance online and blended learning in New York State. The Council was charged with providing the Legislature, Governor, and Commissioner of Education with the following:

- Guidance for use of a statewide online and blended learning network
- Best practices and model school district policies to inform implementation of an online and blended learning program, including broadband access
- Academic programming suited for online and blended learning
- Partnerships with institutions of higher education and other relevant stakeholders for workforce opportunities using online and blended learning
- A review of teaching and professional development policies and practices <sup>61</sup>

The Council, composed of nominated representatives from P-20 education stakeholder groups, delivered [a Report](#) to the Governor, NYS Legislature, and the Commissioner in November 2015. According to [the Report](#), “Based on the Council’s findings, we believe New York as a whole is behind other states in many pedagogical innovations – particularly regarding online learning. These innovations warrant significant planning and work.”<sup>62</sup>

Under the Research, Methodologies, and Examples, section of the report, the Council highlighted that “[o]nline learning should be embraced for its potential to improve educational equality. Online learning can break down geographical, financial, and social-cultural barriers in alignment with the philosophy of democratic, readily accessible education for all citizens; its benefits for facilitating improved access and equity are relevant (NYSUT,n.d). When used strategically, technology can help schools with limited funding to equal the playing field.”<sup>63</sup>

The recommendations of the Council included “the development of high quality online learning courses and scalable systems of support to provide equitable access to [online learning] programs for students throughout New York State” and a “commitment to professional development...to support a transformation in pedagogy using online learning tools.”<sup>64</sup>

The Council recognized that there currently exist in New York State “encouraging opportunities to create access to new online learning experiences and to create a digital transformation with online learning tools.” Significantly, “unprecedented opportunity” exists “to advance online learning in its schools, and also to advance educational technology more broadly, with the investment of \$2 billion in the Smart Schools Bond Act.”<sup>65</sup>

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<sup>61</sup> *New York State Online Learning Advisory Council (OLAC) Report to New York’s Governor, Legislature, and Commissioner of Education. Final Report. November 12, 2015.*

[https://www.nysenate.gov/sites/default/files/articles/attachments/olac\\_final\\_report\\_1.pdf](https://www.nysenate.gov/sites/default/files/articles/attachments/olac_final_report_1.pdf)

<sup>62</sup> *OLAC Report p. 24*

<sup>63</sup> *OLAC Report p. 14*

<sup>64</sup> *OLAC Report p. 7*

<sup>65</sup> *OLAC Report p. 5*

The Smart Schools Bond Act (SSBA) was passed in the 2014-15 Enacted Budget and approved by the voters in a statewide referendum held during the 2014 General Election on Tuesday, November 4, 2014. The SSBA authorized the issuance of \$2 billion of general obligation bonds to finance improved educational technology and infrastructure to improve learning and opportunity for students throughout the State. Through this funding stream, New York State districts have an unprecedented opportunity to upgrade infrastructure and purchase the technology hardware required to bring New York State schools into the 21<sup>st</sup> Century and address issues of equity related to access to technology. However, expenses such as professional development, staffing, and program costs, while essential to creating the pedagogical shifts necessary to utilize the upgraded technology to improve student achievement, are not allowable for reimbursement with SSBA funds.

The Online Learning Advisory Council, in their Report, made the following proposal: “If New York’s policymakers and lawmakers wish to advance online learning experiences for children,” including the benefits of facilitating culturally and linguistically responsive teaching and increasing equitable access to high-quality learning experiences, “it is critical that this investment [SSBA] be leveraged to ensure that not only hardware and broadband connectivity are addressed, but teachers and school leaders are also developed to ensure that practices evolve, instructional resources are used effectively, and practices are sufficiently supported so as to be sustainable.”<sup>66</sup>

The Department recognizes that quality, ongoing teacher and administrator professional development on best practices and instructional methodologies related to educational technology is critical to successful implementation. The Department also understands that professional development continues to be a significant need in order for districts to realize their educational technology goals, based on analysis of district self-reported data included in District Instructional Technology Plans, which are required by Commissioner’s Regulation 100.12.

To address the expectations of the Board of Regents as stated in the USNY Statewide Technology Plan; address the recommendations brought forth by the New York Online Learning Advisory Council to the NYS Legislature, Governor’s Office, and Commissioner of Education; and further the work already occurring across the State, including initiatives made possible through Smart Schools Bond Act reimbursement funds, the Department plans to continue to support new and existing programs that focus on the utilization of technology to enhance teaching and learning, including

- Using technology to personalize learning
- Using technology to increase access to high-quality, rigorous learning experiences (such as through online, distance, and blended learning)
- Support professional development to assist teachers in effectively utilizing technology to improve teaching and learning

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<sup>66</sup> *OLAC Report p. 5*

The Department also recognizes that digital literacy is vital to success in college, careers, and citizenship. The [USNY Statewide Learning Technology Plan](#) identifies that “technology is a path for teaching and learning, but it is also a body of practices, skill, and knowledge to be learned. All New York State learners will develop technological literacy to enter college, become productive members of the workforce, and succeed as citizens.”<sup>67</sup> The Department will continue its work with stakeholder groups to create guidance on digital literacy for students.

The Department will further support the academic achievement and digital literacy of all students by promoting equitable access for all students to effective school library programs, which includes 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
- Provide student opportunities to engage in the creative process through STEAM initiatives

The Department will promote equitable access for all students to effective school library programs through a three-tiered approach. In Tier One, the Department will offer guidance on the use of Title 1 funds for activities such as: hiring certified school librarians, providing up-to-date literacy materials, including librarians in school and district-wide professional development opportunities, and supporting collaboration between school librarians and classroom teachers to infuse educational technology across classrooms. Tier Two would consist of Department support for LEA definitions of effective school library programs, appropriate staffing levels, and sharing of examples of model programs and promising practices. Tier Three includes the Department incorporating measures of effective school library programs as a non-accountability measure on the State’s data dashboard.

In addition to the three priority areas listed above, New York State will also provide training, technical assistance, and capacity-building to LEAs and will monitor LEAs that receive a Title IV, Part A allocation. Finally, the Department will work to identify and eliminate any 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).**

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<sup>67</sup> USNY Statewide Technology Plan. [http://www.p12.nysed.gov/technology/TechPlans/usny\\_techplan.html](http://www.p12.nysed.gov/technology/TechPlans/usny_techplan.html)

In accordance with ESEA Section 4105, the Department will allocate not less than 95% of funds to LEAs for implementation of approved activities. Consistent with the provisions in the Consolidated Appropriations Act of 2017, NYSED will use funds reserved under section 4104(a)(1) to award subgrants, on a competitive basis, to LEAs receiving Title I, Part A funds, or consortia of such LEAs, in order to enable the agencies or consortia to support activities authorized under one or more of sections 4107, 4108, and 4109(a). NYSED will award such subgrants with priority given to local educational agencies, or consortia of LEAs, with the greatest need based on the number or percentage of children counted under section 1124(c), in a manner that ensures geographic diversity among subgrant recipients representing rural, suburban, and urban areas, and in a manner that distributes the total amount of funds available to the State under section 4104(a)(1).

### **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 subgrantees, to assist the Department in supporting and monitoring subgrantees' 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, subgrantees are required to enter data annually into the federal Annual Performance Reporting (APR) system administered by the Tactile Group. Those data are 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 subgrantees 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 subgrantees.

- 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 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. These measures are known to be lagging indicators of success that tend to occur after improvements in such measures as school attendance, student engagement, social and emotional well-being, and reduction in disciplinary issues have taken place. 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 an 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 the reviewer's geographic location. 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 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 subgrant 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 single 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 subgrant 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 subgrantee 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<sup>68</sup>, including Struggling and Persistently Struggling Schools
- Focus Schools<sup>69</sup>
- High-Need Rural Schools.
- Persistently Dangerous Schools
- Limited English Proficiency Student count equal to or greater than 5%

For subgrantees 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 LEA 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>70</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

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<sup>68</sup> This will be updated to reflect CSI designations starting in 2018-2019 based on 2017-18 school year data.

<sup>69</sup> This will be updated to reflect TSI designations starting in 2018-2019 based on 2017-18 school year data.

<sup>70</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.

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 the 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, subgrantees are required to establish an advisory committee that includes all relevant stakeholders, including parents and students (when age-appropriate). 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.
- The administration of the Quality Self-Assessment (QSA) Tool by all 21st CCLCs twice each year for the purposes of 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/qa/>. 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 subgranted program is implemented with fidelity and that student outcomes are measured for program effectiveness. Subgrantees 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>71</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 to 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

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<sup>71</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)

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.**

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, Part 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, Part A of ESSA, such as:
  - a. Parental engagement activities to promote school/family collaboration and student success
  - b. 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
  - c. Activities to support the effective use of technology in the classroom
  - d. 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

**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.

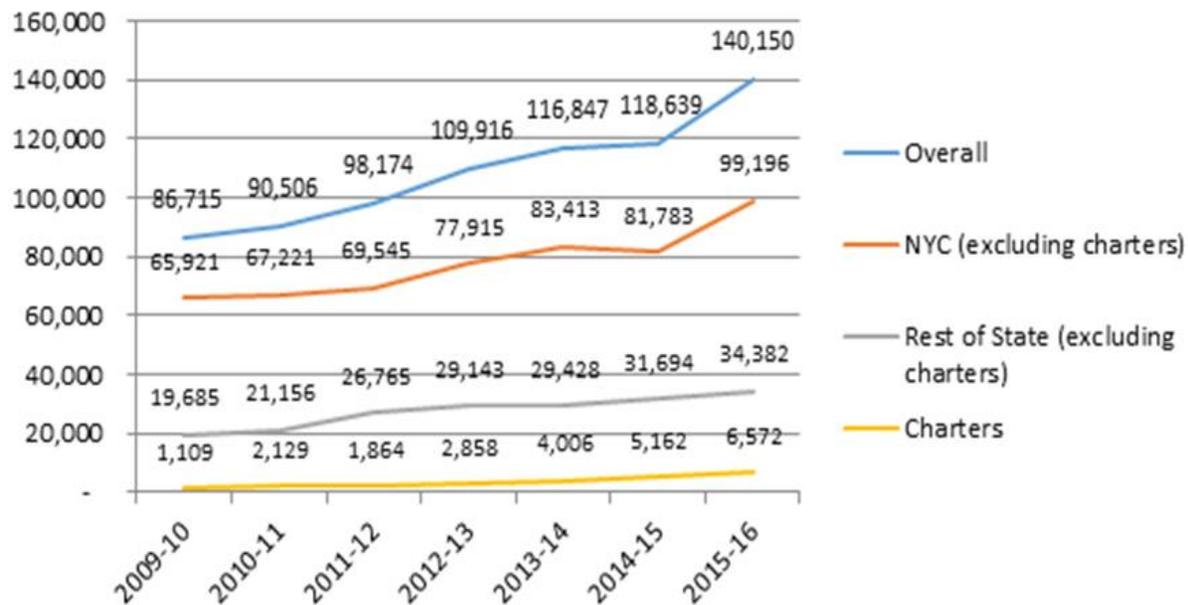
**I. Education for Homeless Children and Youth program, McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B**

**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.

## Students in Temporary Housing, NYS



The Department recognizes that much of the identification of our temporarily housed children and youth is accomplished through the local liaisons, as they serve as one of the primary contacts between temporarily housed families and school staff, district personnel, shelter workers, and other service providers. In support of the liaisons and LEAs, the Department currently engages multiple strategies to identify and assess the needs of homeless children and youth. These strategies include: training, outreach, technical assistance and guidance, monitoring, McKinney-Vento subgrants, NYS Education Law 3209, and Commissioner’s Regulations. Collectively these strategies are used to ensure that, regardless of where or when children become temporarily housed, the problems that homeless children and youth have faced in enrolling, attending, and succeeding in school are promptly addressed.

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), have 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. In addition, our use of multiple strategies in support include:

- Training: offered to an extensive audience, which include homeless liaisons; district staff; district administrators; other State agencies; and community service providers, within many venues and subject areas, with a particular focus on New York City.

- Outreach: to families, service providers, and partners to identify homeless children and youth and to assess their needs. This is accomplished by distribution of posters, website presence, presentations, and agency and interagency collaboration that has been critical to the implementation and identification of our temporarily housed students.

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's or youth's housing arrangement any time that a child or youth is seeking enrollment in the LEA or has 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 identifying 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 identifying 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 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 identifying children and youth experiencing homelessness and assessing their needs
- Conduct 22 regional trainings per year that include information about identifying children and youth experiencing homelessness and assessing their needs
- Conduct 22 webinars per year that include information about identifying 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 the 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 such as, but not limited to, school counselors; school social workers; school psychologists school nurses; speech language pathologists; audiologists; behavioral specialists; and licensed creative arts therapists) to heighten the awareness of such school personnel of the specific needs of homeless children and youth, including runaway and homeless children and youth. For more detailed information on the programs and strategies that the Department and its technical assistance center provide, see the responses to questions one and two above.

**4. Access to Services (722(g)(1)(F) of the McKinney-Vento Act): Describe procedures that ensure that:**

- i. **Homeless children have access to public preschool programs, administered by the SEA or LEA, as provided to other children in the State;**

Many of the procedures and strategies detailed above, such as the 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)). The Department 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 the 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 Commissioner’s 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 went 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” at <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	97	103	20.6	4.1	101	105	109	113	118	200
	Asian/Pacific Islander	157	43	8.6	1.7	159	160	162	164	166	200
	Black	89	111	22.2	4.4	93	98	102	107	111	200
	Economically Disadvantaged	87	113	22.6	4.5	92	96	101	105	110	200
	English Language Learners	58	142	28.4	5.7	64	69	75	81	86	200
	Hispanic	88	112	22.4	4.5	92	97	101	106	110	200
	Multiracial	97	103	20.6	4.1	101	105	109	113	118	200
	American Indian/Alaska Native	87	113	22.6	4.5	92	96	101	105	110	200
	Students with Disabilities	45	155	31.0	6.2	51	57	64	70	76	200
	White	93	107	21.4	4.3	97	102	106	110	114	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	101	99	19.8	4.0	105	109	113	117	121	200
	Asian/Pacific Islander	177	23	4.6	0.9	178	179	180	181	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
	Black	81	119	23.8	4.8	86	91	95	100	105	200
	Economically Disadvantaged	87	113	22.6	4.5	92	96	101	105	110	200
	English Language Learners	73	127	25.4	5.1	78	83	88	93	98	200
	Hispanic	86	114	22.8	4.6	91	95	100	104	109	200
	Multiracial	101	99	19.8	4.0	105	109	113	117	121	200
	American Indian/Alaska Native	88	112	22.4	4.5	92	97	101	106	110	200
	Students with Disabilities	50	150	30.0	6.0	56	62	68	74	80	200
	White	102	98	19.6	3.9	106	110	114	118	122	200

**Table 2: High School Measures of Interim Progress**

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	177	23	4.6	0.9	178	179	180	181	182	200
	Asian/Pacific Islander	194	6	1.2	0.2	194	194	195	195	195	200
	Black	148	52	10.4	2.1	150	152	154	156	158	200
	Economically Disadvantaged	156	44	8.8	1.8	158	160	161	163	165	200
	English Language Learners	87	113	22.6	4.5	92	96	101	105	110	200
	Hispanic	151	49	9.8	2.0	153	155	157	159	161	200
	Multiracial	183	17	3.4	0.7	184	184	185	186	186	200
	American Indian/Alaska Native	150	50	10.0	2.0	152	154	156	158	160	200
	Students with Disabilities	103	97	19.4	3.9	107	111	115	119	122	200
	White	195	5	1.0	0.2	195	195	196	196	196	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	151	49	9.8	2.0	153	155	157	159	161	200
	Asian/Pacific Islander	192	8	1.6	0.3	192	193	193	193	194	200
	Black	114	86	17.2	3.4	117	121	124	128	131	200
	Economically Disadvantaged	130	70	14.0	2.8	133	136	138	141	144	200
	English Language Learners	98	102	20.4	4.1	102	106	110	114	118	200
	Hispanic	123	77	15.4	3.1	126	129	132	135	138	200
	Multiracial	154	46	9.2	1.8	156	158	160	161	163	200
	American Indian/Alaska Native	125	75	15.0	3.0	128	131	134	137	140	200
	Students with Disabilities	85	115	23.0	4.6	90	94	99	103	108	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
	Disabilities										
	White	169	31	6.2	1.2	170	171	173	174	175	200

## B. Graduation Rates

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	80.4%	14.7%	2.9%	0.6%	80.9%	81.5%	82.1%	82.7%	83.3%	95.0%
	American Indian/Alaska Native	66.5%	28.5%	5.7%	1.1%	67.6%	68.8%	69.9%	71.1%	72.2%	95.0%
	Asian/Pacific Islander	87.5%	7.5%	1.5%	0.3%	87.8%	88.1%	88.4%	88.7%	89.0%	95.0%
	Black	69.3%	25.7%	5.1%	1.0%	70.3%	71.3%	72.4%	73.4%	74.4%	95.0%
	Economically Disadvantaged	73.2%	21.8%	4.4%	0.9%	74.1%	75.0%	75.8%	76.7%	77.6%	95.0%
	English Language Learners	46.6%	48.4%	9.7%	1.9%	48.5%	50.5%	52.4%	54.4%	56.3%	95.0%
	Hispanic	68.9%	26.1%	5.2%	1.0%	69.9%	71.0%	72.0%	73.1%	74.1%	95.0%
	Multiracial	80.7%	14.3%	2.9%	0.6%	81.2%	81.8%	82.4%	83.0%	83.5%	95.0%
	Students With Disabilities	55.3%	39.7%	7.9%	1.6%	56.9%	58.5%	60.0%	61.6%	63.2%	95.0%
	White	89.2%	5.8%	1.2%	0.2%	89.4%	89.7%	89.9%	90.1%	90.4%	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	83.0%	13.0%	2.6%	0.5%	83.5%	84.0%	84.6%	85.1%	85.6%	96.0%
	American Indian/Alaska Native	69.1%	26.9%	5.4%	1.1%	70.1%	71.2%	72.3%	73.4%	74.5%	96.0%
	Asian/Pacific Islander	88.8%	7.2%	1.4%	0.3%	89.1%	89.4%	89.7%	89.9%	90.2%	96.0%
	Black	73.7%	22.3%	4.5%	0.9%	74.6%	75.5%	76.4%	77.3%	78.1%	96.0%
	Economically Disadvantaged	77.5%	18.5%	3.7%	0.7%	78.2%	79.0%	79.7%	80.5%	81.2%	96.0%
	English Language Learners	52.9%	43.1%	8.6%	1.7%	54.6%	56.3%	58.1%	59.8%	61.5%	96.0%
	Hispanic	72.9%	23.1%	4.6%	0.9%	73.8%	74.8%	75.7%	76.6%	77.5%	96.0%
	Multiracial	81.1%	14.9%	3.0%	0.6%	81.7%	82.3%	82.9%	83.5%	84.1%	96.0%
	Students With Disabilities	60.8%	35.2%	7.0%	1.4%	62.2%	63.6%	65.0%	66.4%	67.8%	96.0%
	White	90.5%	5.5%	1.1%	0.2%	90.7%	90.9%	91.1%	91.3%	91.6%	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	84.1%	13.0%	2.6%	0.5%	84.6%	85.1%	85.6%	86.1%	86.6%	97.0%
	American Indian/Alaska Native	70.1%	26.9%	5.4%	1.1%	71.2%	72.3%	73.4%	74.4%	75.5%	97.0%
	Asian/Pacific Islander	89.6%	7.4%	1.5%	0.3%	89.9%	90.2%	90.5%	90.8%	91.1%	97.0%
	Black	75.7%	21.3%	4.3%	0.9%	76.6%	77.4%	78.3%	79.1%	80.0%	97.0%
	Economically Disadvantaged	79.5%	17.5%	3.5%	0.7%	80.2%	80.9%	81.6%	82.3%	83.0%	97.0%
	English Language Learners	56.0%	41.1%	8.2%	1.6%	57.6%	59.2%	60.9%	62.5%	64.2%	97.0%
	Hispanic	74.8%	22.2%	4.4%	0.9%	75.7%	76.6%	77.5%	78.4%	79.3%	97.0%
	Multiracial	81.6%	15.4%	3.1%	0.6%	82.2%	82.8%	83.4%	84.1%	84.7%	97.0%
	Students With Disabilities	61.9%	35.1%	7.0%	1.4%	63.3%	64.7%	66.1%	67.5%	68.9%	97.0%
	White	90.7%	6.3%	1.3%	0.3%	91.0%	91.2%	91.5%	91.7%	92.0%	97.0%

### C. Progress in Achieving English Language Proficiency

Subject	Group	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
ELP	ELLs/MLLs	43%	52%	10%	2%	45%	47%	49%	51%	53%	95%

Currently, 43% of New York State ELLs/MELLs meet their progress expectations. Since the end goal is to have 95% of students meet their progress expectations, the gap is 52%. The long-term goal is to have 20% of that gap closed within 5 years, which is the 2021-22 school year. Twenty percent of 52% equals 10%, when rounded to the nearest whole percent. The annual progress for the long-term goal is divided equally by the number of years, and, therefore, is 2%.

**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.

**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.



# “Youth! Voice! Integrates!”

## Student Organizing for School Integration

Aneth Naranjo

Hebh Jamal

Yana Kalmyka

Elijah Fox

Sarah Camiscoli

Matt Gonzales

Maurice Blackmon

Director of Youth Engagement

Director of Public Relations

Chief Legal Analyst

Chairman of the Board

Founder, Executive Director

Policy Coach

Political Education Coach



# ATTACHMENT VIII



# Who is IntegrateNYC?



Leadership Council



Youth Council on Integration

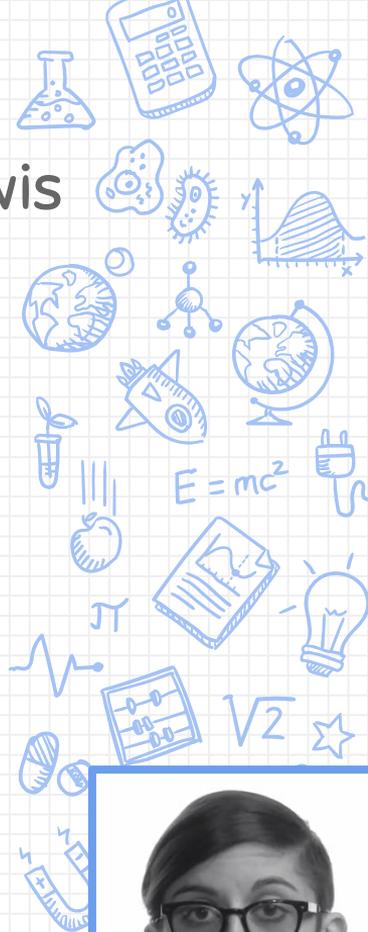


# Why students?



“Make it real. Make it plain. Make it simple.”

-Congressman John Lewis





### ORGANIZING AND GOVERNING

Youth have a central role in the organization's structure, driving programmatic or strategic decisions. Youth are empowered to be part of shared decision-making processes and have the opportunity for youth to learn from life experiences and expertise of adults.

### YOUTH-INITIATED LEADERSHIP

Youth serve as peer leaders in a paid or volunteer capacity. Youth lead activities with their peers or with adults. Adults are involved only in a supporting role.

### YOUTH-INITIATED PARTNERSHIPS

Youth and adults join together as equals to accomplish programming, plan activities, operate the program, or complete specific tasks.

### ADULT-INITIATED, SHARED DECISION-MAKING

Projects or programs are initiated by adults but the decision-making is shared with youth. Attempts are made to use youth-friendly procedures and language.

### INFORMED DIALOGUE

Youth give ongoing advice on projects or programs designed and run by adults. Youth are informed as to how their input will be used and the outcomes of the decisions made by adults. Youth are involved in evaluation of programming.

### ASSIGNED BUT INFORMED

Youth are assigned a specific role and informed as to how and why they are being involved. This includes inconsistent youth involvement or temporary consultations such as focus groups or surveys.

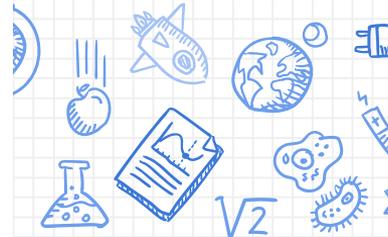
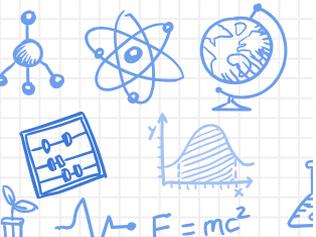
### TOKENISM

Young people appear to be given a choice, but in fact they have little or no choice about what they do or how they participate.

### DECORATION

Young people are used to bolster a cause in a relatively indirect way, although adults do not pretend that the cause is inspired by youth.

*Adapted from works by J. Nowicki and R. Hart.*

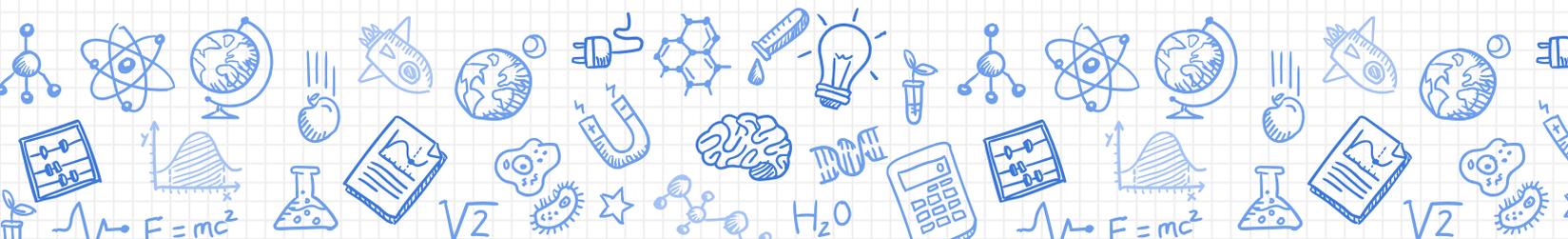


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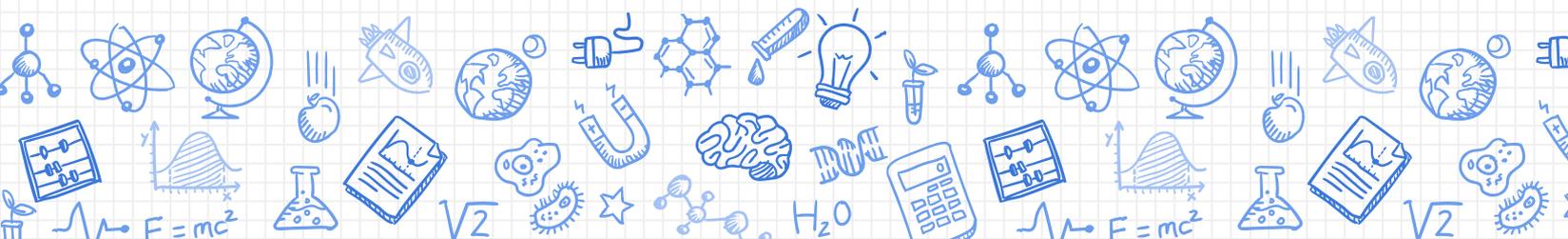


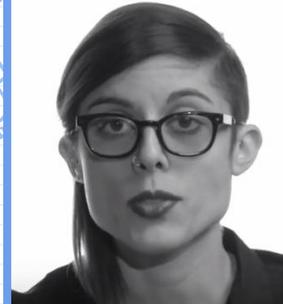
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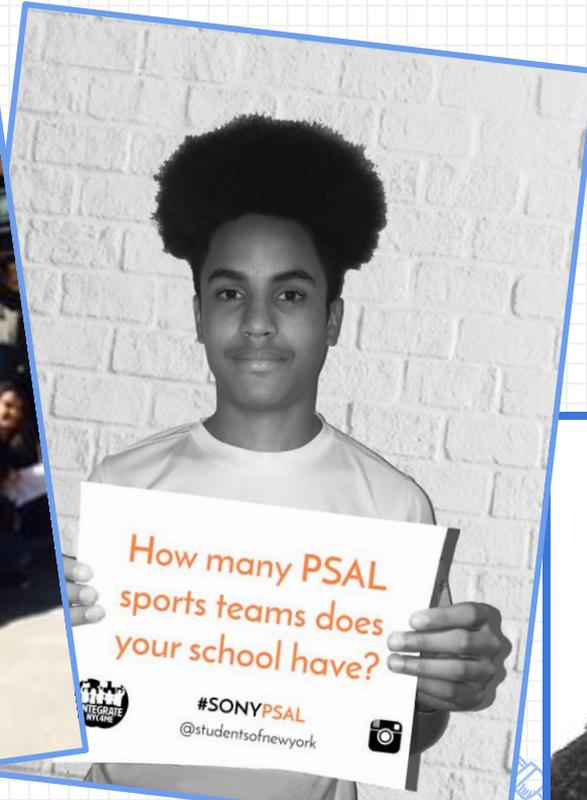


# Why integration?

“Separate”



“Unequal”



# The Five R's Framework for Integration

Who attends your school?

Who works in your school?

What is in your school?

How do people interact?

How is behavior managed?



# The Five R's Framework for Integration

Race and Enrollment

Representation of Staff

Resource Allocation

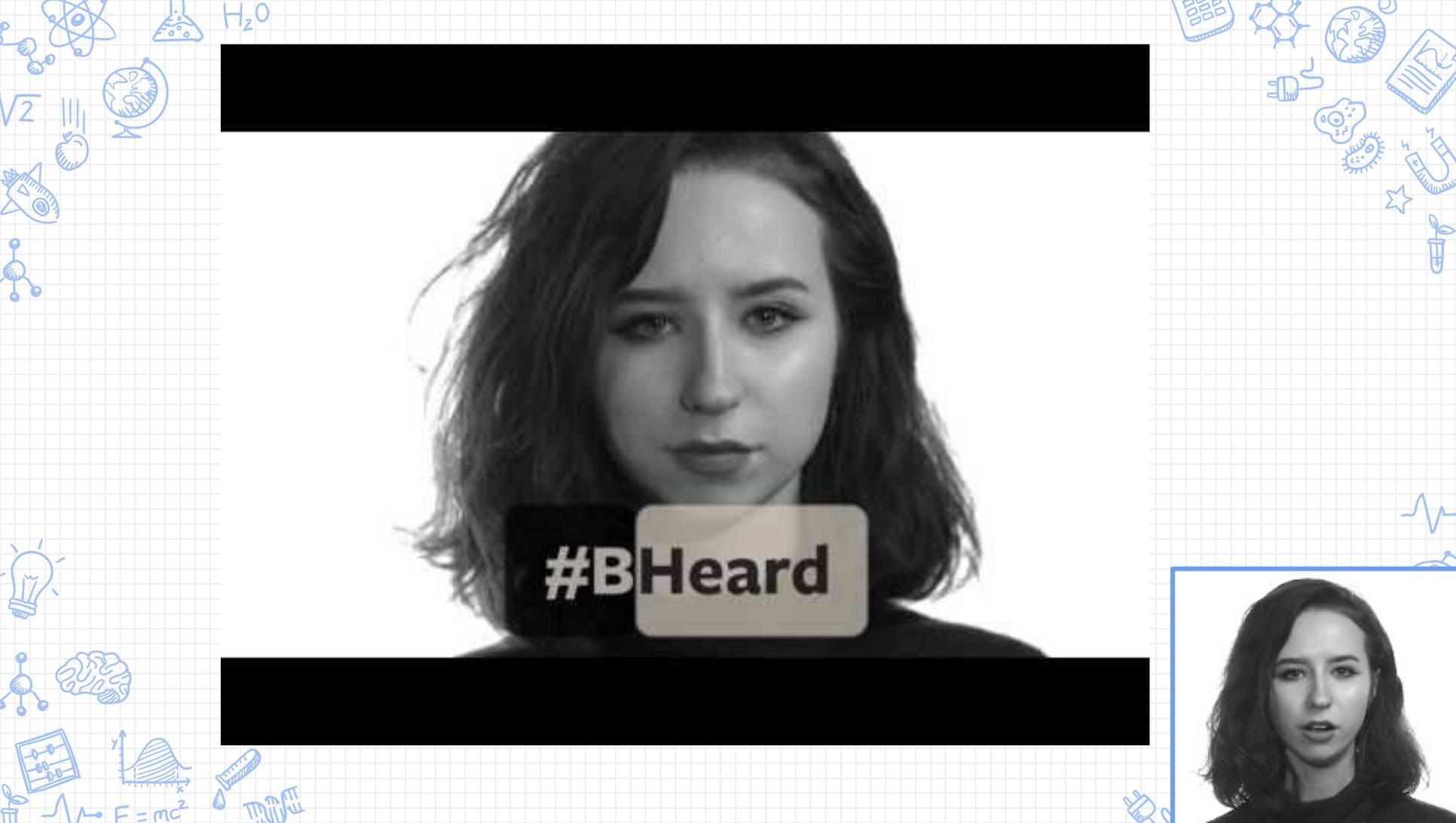
Relationships Across Group Identity

Restorative Practices



# 5 Committees



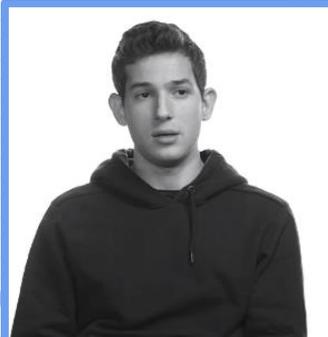


#BHeard



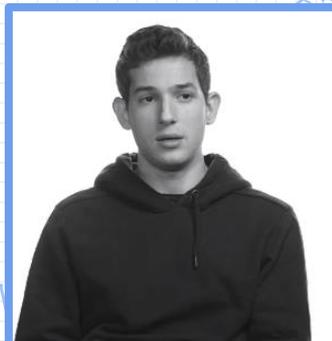


CONCRETE  
**POLICY**  
PROPOSALS



# Policy Proposal #1

## “Weighted Admissions Policy”



# Race and Enrollment



What is an algorithm?



The Schools

gold

prep

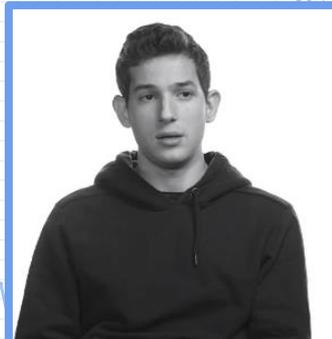
light

So we changed  
the algorithm



# Policy Proposal #2

“Monitor Resource Allocation”



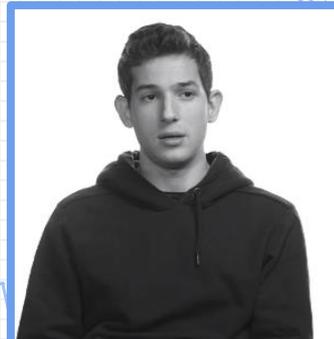


# Resource Allocation



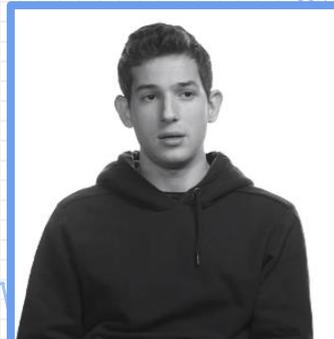
# \*Policy Proposal #3

Include us.



# \*Policy Proposal #3

## Student Working Group on Integration

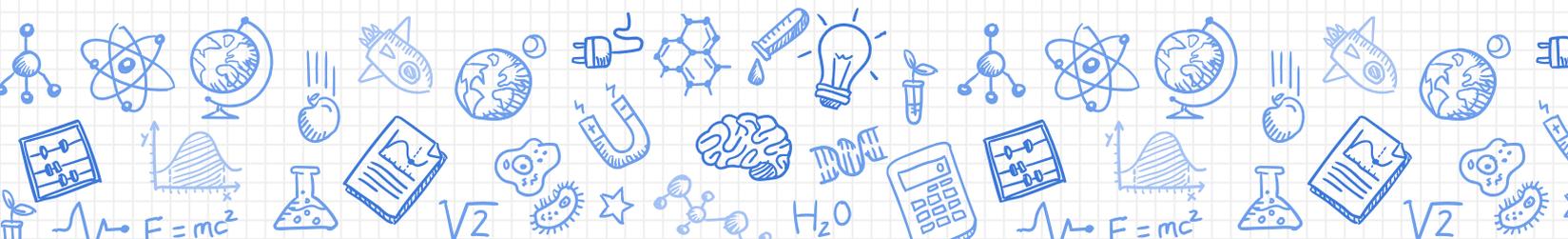


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# Our Future



Equity and Excellence for All:  
**Diversity in  
New York City  
Public Schools**



Thank you.



# ATTACHMENT IX

# INTEGRATENYC4ME



## Background:

After reading NY State housed the most segregated schools in the nation, former ESL teacher Sarah Camiscoli and six emerging leaders from the South Bronx founded IntegrateNYC4Me- a student-led organization that builds community and civic leadership between students from segregated schools across all five boroughs to design solutions for integration.

## The Work:

IntegrateNYC4Me is a student-led effort that facilitates dialogue and partnership between students attending racially and socioeconomically isolated schools across New York City (and, now in cities, across the US), equipping them with the information and tools they need to effect structural change. IntegrateNYC4me connects these young leaders with local, state, and national legislators, schools, advocacy networks, and community-based organizations to transform law, policy, practice, and dialogue in the integration movement. Co-founded by a teacher in the Bronx and six students from her high school advisory class, the growing IntegrateNYC4Me movement now spans the city. IntegrateNYC4Me students speak about integration holistically, advocating for policy changes through a framework developed by the student leaders through two years of dialogue and research. The "5Rs" framework for racial integration and equity has transformed into five student lead action committees:

- 1) Race and Enrollment
- 2) Relationships
- 3) Restorative Justice
- 4) Resource Allocation
- 5) Representation of Staff

Sarah (the co-founder) and the student leadership council work to share this framework with local, state, and federal legislatures with a commitment to build democratically elected committees of students within the city, state, and national departments of education so that every young person can co-create, inform, and sustain school integration. IntegrateNYC4me prioritizes modeling the integration it advocates for in working to invite, support, and elevate the leadership of African American, Latino, Arab, low-income, court-involved, immigrant, and homeless youth on it's centralized student leadership body. As such, the IntegrateNYC4me students have been developing a variety of transformative projects and efforts, and are actively engaging with decision makers at a variety of levels. Some examples include:

# INTEGRATENYC4ME



## Supplemental Materials

### Transforming Opportunities for Civic Dialogue

2016 IntegrateNYC4me Youth Council on School Integration speaks to BRIC TV "How Can We Break the Pattern of Segregation?"

Link: <http://www.wnyc.org/story/class-divide-breaking-pattern-school-segregation/>

### Expanding Civic Engagement

2017 Youth Council on School Integration organizes the first student-led demonstration for school integration in NYC since 1964 with City Council and local advocacy groups

Link: <https://demonstration4integration.splashthat.com/>

### Deepening Dialogue on Race, Education, & Equity

2017 Youth Council on School Integration organizes a youth-led conference to discuss the complexity of school integration and to design new solutions for change

Link <https://areweintegrated.splashthat.com/>

### Elevating Unheard Voices, Creating New Listening

2016 The founding students of IntegrateNYC4me were featured on Huffington Post to reflect on their Intra-District "Yellow Bus School Exchange" Project

Link: [http://www.huffingtonpost.com/entry/integratenyc4me-new-york-school-segregation\\_us\\_5759d5d5e4b00f97fba7c164](http://www.huffingtonpost.com/entry/integratenyc4me-new-york-school-segregation_us_5759d5d5e4b00f97fba7c164)

### Cultivating a National Movement of Young Leaders

*In August 2017 student leaders will train students from across the United States in their model of community building and civic engagement*

Link: <https://integrateusvirtuallsummerinstit.splashthat.com/>

# ATTACHMENT X

## Student Voices

### Strengthening the Student Movement for More Equitable Schools

#### Presenting Organizations

- [IntegrateNYC](#) is a student-led advocacy group committed to transforming the conversation around school segregation through research, advocacy and action.
- [Epic Theatre Ensemble](#) is an off Broadway theatre group that has developed an Arts Leadership Program Epic NEXT, which utilizes a comprehensive, individualized approach to artistic and youth development.
- [New York Appleseed](#) advocates for equity of access and fair allocation of resources to schools and neighborhoods in New York City and its greater metropolitan area.

#### Theme and Purpose

- Between 5-10 student leaders with ages ranging from 16-19 from IntegrateNYC will present their 5 action projects developed over the last year which articulate a comprehensive definition of 21st century school integration. They will offer student generated policy recommendations to the Board of Regents to combat segregation across the state.
- 2-3 high school students from Epic Next with ages ranging from 16-18 will perform scenes from the original play “Laundry City,” a play about educational segregation in New York City that was researched, written, and is performed by NYC public high school students.

#### Message

- IntegrateNYC, Epic Next, and New York Appleseed are committed to uplifting the voices of young people in educational policy debates. They will share their models of student engagement, their personal experiences as public high school students, and ideas for further collaboration between students and the Board of Regents.

# INTEGRATENYC4ME



## School Integration Report Card

Your School: \_\_\_\_\_ Your Name: \_\_\_\_\_ Grade: \_\_\_\_\_

### Task

Based on the presentation, how would you rate your school in the following categories (The 4 R's of Integration)?

Answer the questions in the boxes. Then, rate how integrated your school is on a scale of 1 to 10, with **1** being **completely segregated** and **10** being **completely integrated**.

<b><u>I. Relationships across group identities</u></b>	<b><u>III. Restorative Practices to address racial disparities in suspension</u></b>	<b><u>IV. Resource Allocation in the school?</u></b>	<b><u>V. Race and Enrollment policies in the school?</u></b>
<p>-How many cultural clubs are there in the school?                      _____                      _____</p> <p>-Does the school have a mandatory social justice and identities class for all students for graduation requirement?                      _____                      _____</p> <p>How do students unite? Is there a student government? How does the school react?                      _____                      _____</p> <p><b><u>II. Representation on School Staff</u></b></p> <p>Do your teachers represent the diversity of the student body?                      _____                      _____</p>	<p>-Does the school have metal detectors?                      _____                      _____</p> <p>-Have you or do you know someone ever been suspended for low level infractions?(uniform, lateness, talking back to a teacher)                      _____                      _____</p> <p>-Do you feel like your school provides enough amnesty for low level infractions?                      _____                      _____</p> <p>-Does your school have peer mediation?                      _____                      _____</p>	<p>-Do you feel like your school gets enough resources?                      _____                      _____</p> <p>-Do you have your own building?                      _____                      _____</p> <p>-Are clubs/sports teams offered?                      _____                      _____</p> <p>-How many AP/IB courses do you have?                      _____                      _____</p> <p>-How many music and arts courses do you have?                      _____                      _____</p> <p>-Do students have appealing lunch options?                      _____                      _____</p>	<p>-Does the admissions process take race/ cultural background into account?                      _____                      _____                      _____</p> <p>-Did you take in account racial demographics before applying to your school?                      _____                      _____                      _____</p> <p>-Does the school speak about intentions to create diversity in the community?                      _____                      _____                      _____</p>
<p><b>1 2 3 4 5 6 7 8 9 10</b></p>	<p><b>1 2 3 4 5 6 7 8 9 10</b></p>	<p><b>1 2 3 4 5 6 7 8 9 10</b></p>	<p><b>1 2 3 4 5 6 7 8 9 10</b></p>

# ATTACHMENT XI

# INTEGRATENYC4ME



# ATTACHMENT XII

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engage<sup>ny</sup>

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Our Students. Their Moment.

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## Integration: Framing the Conversation

# New York State Board of Regents Policy (1968 - 1993)

- ***To reaffirm the Regent determination to see that segregation in education is eliminated, and the conditions under which each individual may grow in self-respect, respect for others and the attainment of his/ her full potential, shall exist everywhere in the State.***
  - **Excerpt:** Fundamental in all efforts to achieve the objective of an integration society is the principle of equality educational opportunities. A manifestation of the vitality of our American democratic society and essential to its continuation, this basic principle, deeply embedded in the education law and policy, has been continually reaffirmed in both its practical advantages and its moral justice by new developments and needs of the changing times.
  - **Date:** January 1968
  - **Program Area:** Elementary and Secondary Higher Education
- ***To eliminate racial segregation in the schools - a restatement of the Regents 1968 position.***
  - **Excerpt:** Events and trends since January 1968, when our statement entitled Integration and the Schools was released, lead us to believe that we should again address ourselves to this critical issue. We have carefully reviewed experience in the last year and a half, and at this time comment on this experience and restate our beliefs. The efforts of the State of New York to eliminate segregation and to speed integration must be increased. We pledge our efforts and those of the State Education Department to greater vigilance in this area.
  - **Date:** December 1969
  - **Program Area:** Elementary and Secondary

# Problem Statement

“The push toward socioeconomic and racial integration is perhaps the most important challenge facing American public schools. Segregation impedes the ability of children to prepare for an increasingly diverse workforce; to function tolerantly and enthusiastically in a globalized society; to lead, follow, and communicate with a wide variety of consumers, colleagues, and friends. The democratic principles of this nation are impossible to reach without universal access to a diverse, high quality, and engaging education.”

\* Source: Potter, H., Quick, K., & Davies, E. (2016). A new wave of school integration: Districts and charters pursuing socioeconomic diversity. *The Century Foundation*.

If achievement gap disparities are a factor of opportunity to learn disparities that appear to be based on ethnicity, family income, fiscal resources and home zip code, what social, political, policy, and legal obstacles must the Board of Regents confront to ensure all students have equitable opportunities to prepare for college, careers and civic engagement? What leadership can the Board provide to remove these obstacles?

## History - Education Law Section 921

Section 921 provided: “The trustees of any union school district, or any school district organized under a special act, may, when the inhabitants of any district shall so determine, by resolution, at any annual meeting, or at a special meeting called for that purpose, established separate schools for the instruction of colored children resident therein, and such school shall be supported in the same manner and receive the same care, and be furnished with the same facilities for instruction, as the white schools therein.” N.Y. Education Law § 921 (McKinney 1916) (repealed 1938).

# History

## Court Cases

- ***Hillburn NY - 1943***. Thurgood Marshall, representing the petitioners, parents of the children of color, argued successfully for the elimination of a segregated elementary schools system in Hillburn NY - a village in Rockland County. The argument focused in inequitable resources including building facilities. Education Commissioner Allen directed the Board of Education to immediately desegregate to two elementary schools. Prior to this court case, white and black children attended two unequally resourced buildings. Today, the school district enrollment is largely white children. This is largely a residential community of private homes. The district is experiencing a steady influx of Latino children.
- ***Vetere v. Allen***, 15 N.Y. 2d 259 (1965), in which the New York Court of Appeals held that the Commissioner of Education properly exercised his discretion in ordering the rezoning of certain Hempstead-area elementary schools in order to desegregate them.
- ***Arthur v. Nyquist***, 573 F.2d 134 (2d Cir. 1978). In this case, the NYCLA represented plaintiffs challenging segregation in the Buffalo public schools. The federal district court found that the school district had created and maintained policies that increased racial segregation in the city's schools, and the Court of Appeals for the Second Circuit affirmed that holding. The case resulted in a court-mandated desegregation plan. Court monitoring ended, however, in 1987, and Buffalo's public schools have largely re-segregated since that time.
- ***United States v. Yonkers Board of Education***, 837 F.2d 1181 (2d Cir. 1987). In this case, plaintiffs filed suit to challenge segregation in both housing and education policies and practices in Yonkers, and the federal district court held, among other things, that the school board's neighborhood-school policy (and segregative housing policies) constituted intentional racial segregation in the city's schools. The various remedies implemented (and funding disputes between the city and the state) continued to be litigated through the early 2000s. See, e.g., *United States v. Yonkers Bd. of Educ.*, 123 F. Supp. 2d 694, 697 (S.D.N.Y. 2000) (describing the history of the case, court-imposed remedies, and disputes between the city and the state regarding funding for integration plans).

# Common Language for Discourse

- **Racially isolated schools:** Different school districts, states, and researchers have varying approaches for defining “racially isolated” schools, but most start with the percentage white or children of color in the school at a single point in time as the baseline. Some possibilities are to define “racially isolated” schools and districts, respectively, as:
  - Those with at least 90% students attend school with a homogeneous population, or that deviate by some percentage from the district/ school share of children of color.<sup>6</sup>
  - Those where the percentages children of color deviates by 20 percentages points from the percentage children of color in the district/ school student population.<sup>7</sup>
  - Those with a percentage children of color that is 25 percentage points different from the district/ school children of color share.<sup>8</sup>
- **Tracking:** Educational tracking refers to the placement of students into different classes or educational programs according to a defined criterion, such as interest, ability, or achievement. It is strongly correlated with socioeconomic status, race, and ethnicity, and thus can lead to segregation within a school.<sup>9</sup> This is due to confounding factors, such as students’ race/ ethnicity, socioeconomic status, gender, and parental pressure, in the assignment of students into academic tracks which vary in subject content, rigor and instruction methods.<sup>10</sup>
- **Low Wealth Districts** - a district where at least 60% of the students are eligible for free or reduced lunch.
- **High Wealth Districts** - a district in where 0%-10% of students are eligible for free or reduced lunch program.

# Common Language

- **Segregation** is the separation or isolation of a race, class, or ethnic group by enforced or voluntary residence in a restricted area, by barriers to social intercourse, by separate educational facilities, or by other discriminatory means, integration and desegregation (Merriam-Webster, 2004)
- **Integration** incorporates as equals into society or an organization of individuals of different groups (such as race); (Merriam-Webster, 2004)
- **Disproportionality** is the under or over representation of a given population group (Merriam-Webster, 2004)
- **Equity vs. equality** - Equity is giving every student what they need to be successful. Equality is giving every student equal access and opportunity (Skiba, 2016)
- **Culturally Responsive Framework** recognizes the importance of including students' cultural references in all aspects of learning (Ladson-Billings, 1994)
- **Restorative practices** take a restorative approach to resolving conflict and preventing harm through inclusivity, establishing relationships and building a sense of community (Restorative Practice Workgroup, 2014).
- **Public good** is an item whose consumption is not decided by the society as a whole, and which is financed by taxation (businessdictionary.com)

# Common Language

- **Low performing:** Schools that are low-performing for all students in the aggregate identified as “Priority School”; Schools that are low-performing for specific subgroups of students are identified as “Focus Schools”.
- **High performing:** We identify high performing Reward Schools annually. Reward Schools are schools that demonstrate either high academics achievement or the most progress with minimal gaps in students achievement between certain populations of students. Based on our current methodology these schools are almost always, either located in low-need school districts or have at least some students selected through admissions’ criteria.
- **Segregated schools:** The Merriam-Webster dictionary defines “segregated education” as an educational system that is “divided in facilities or administered separately for members of different groups or races” and “segregated schools” as schools that are “restricted to members of one group or one race by a policy of segregation”. In education policy, states sometimes quantify segregation by the percentages of a school’s or district’s student population that belong to particular racial or socioeconomic groups.
  - For example, Connecticut defines a segregated school as “having a student population that is 75% or more black or latino”.<sup>4</sup>
  - In 1968, the then Commissioner of the New York State Education Department ordered New York City to desegregated and defined a segregated school as one that was “90% or more black/ Puerto Rican or 90% or more white”.<sup>5</sup>

# **PROMOTING DIVERSITY: INTEGRATION IN NEW YORK STATE**

**BOARD OF REGENTS RESEARCH WORK GROUP**

**JULY 2017**

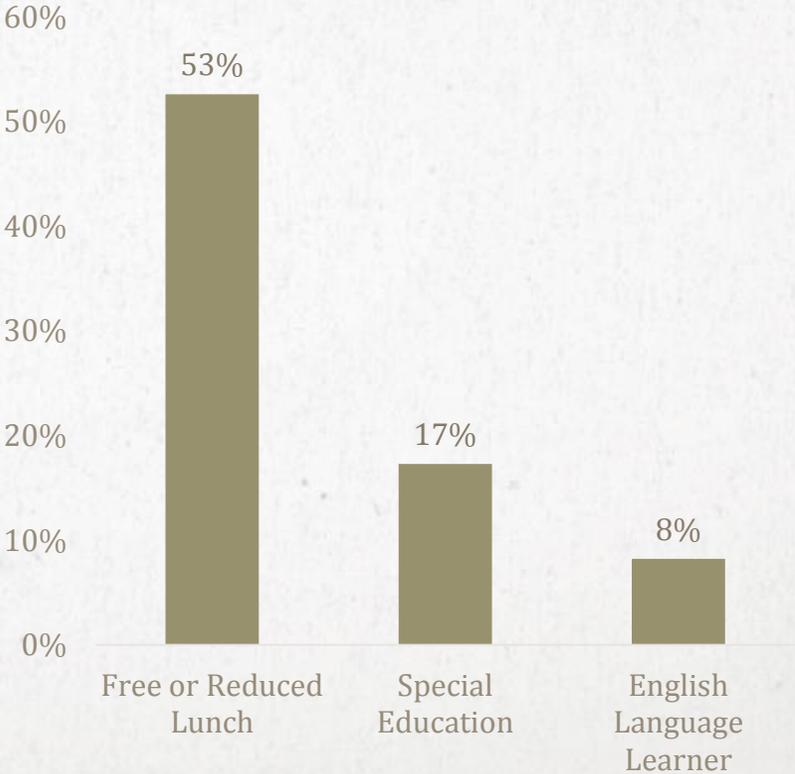
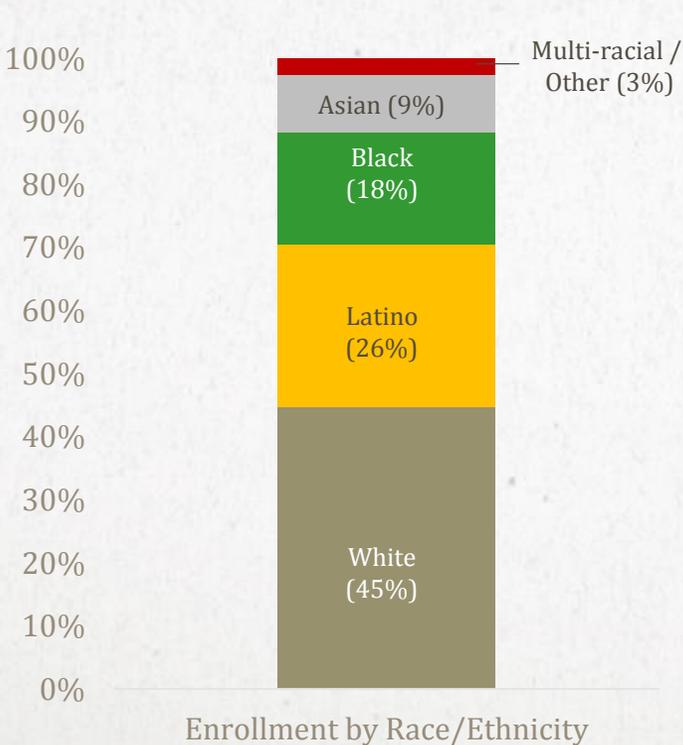
# NEW YORK IS A VERY RACIALLY AND SOCIOECONOMICALLY DIVERSE STATE

Key Facts:

2.6 million students

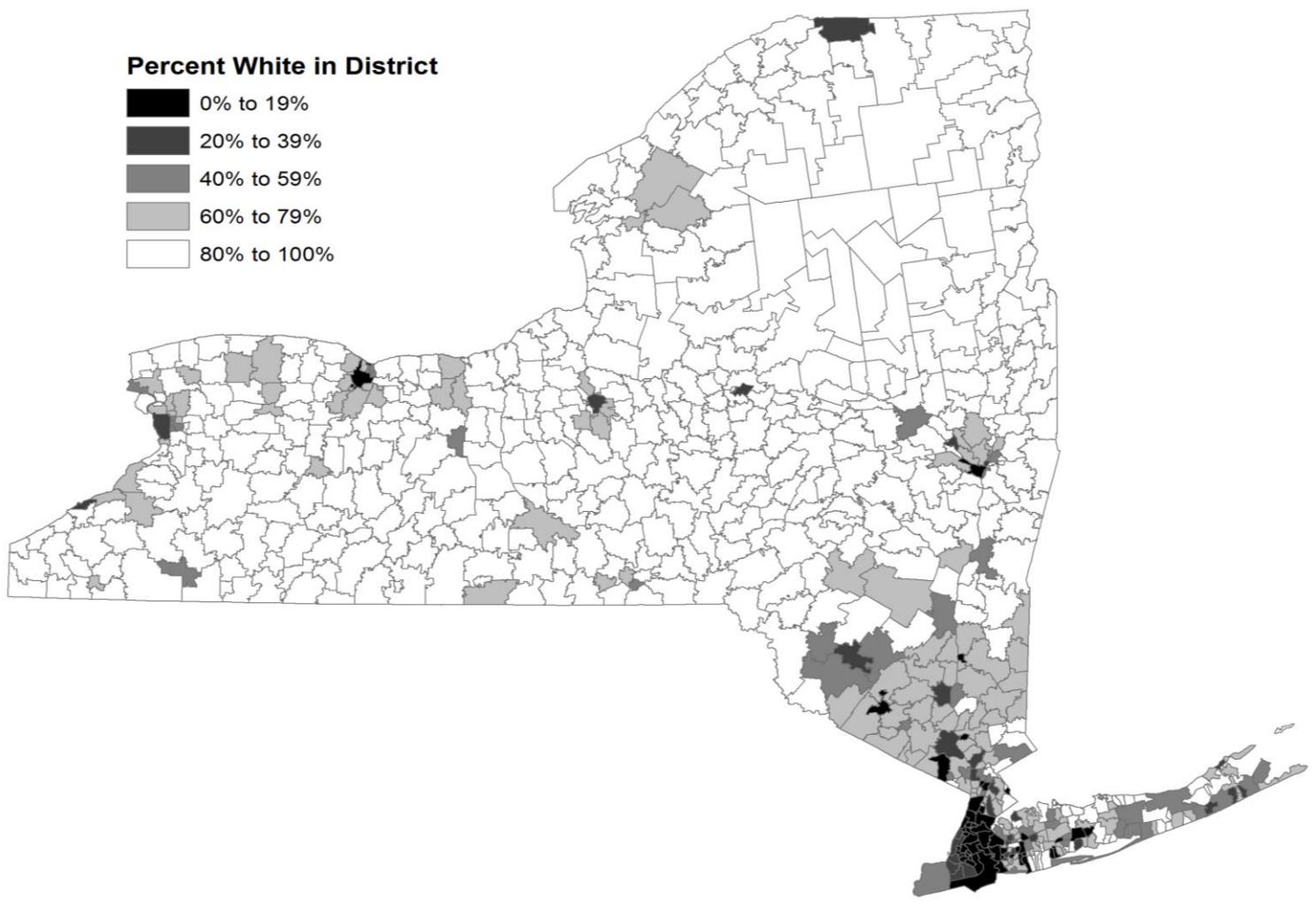
4,739 schools

721 school districts



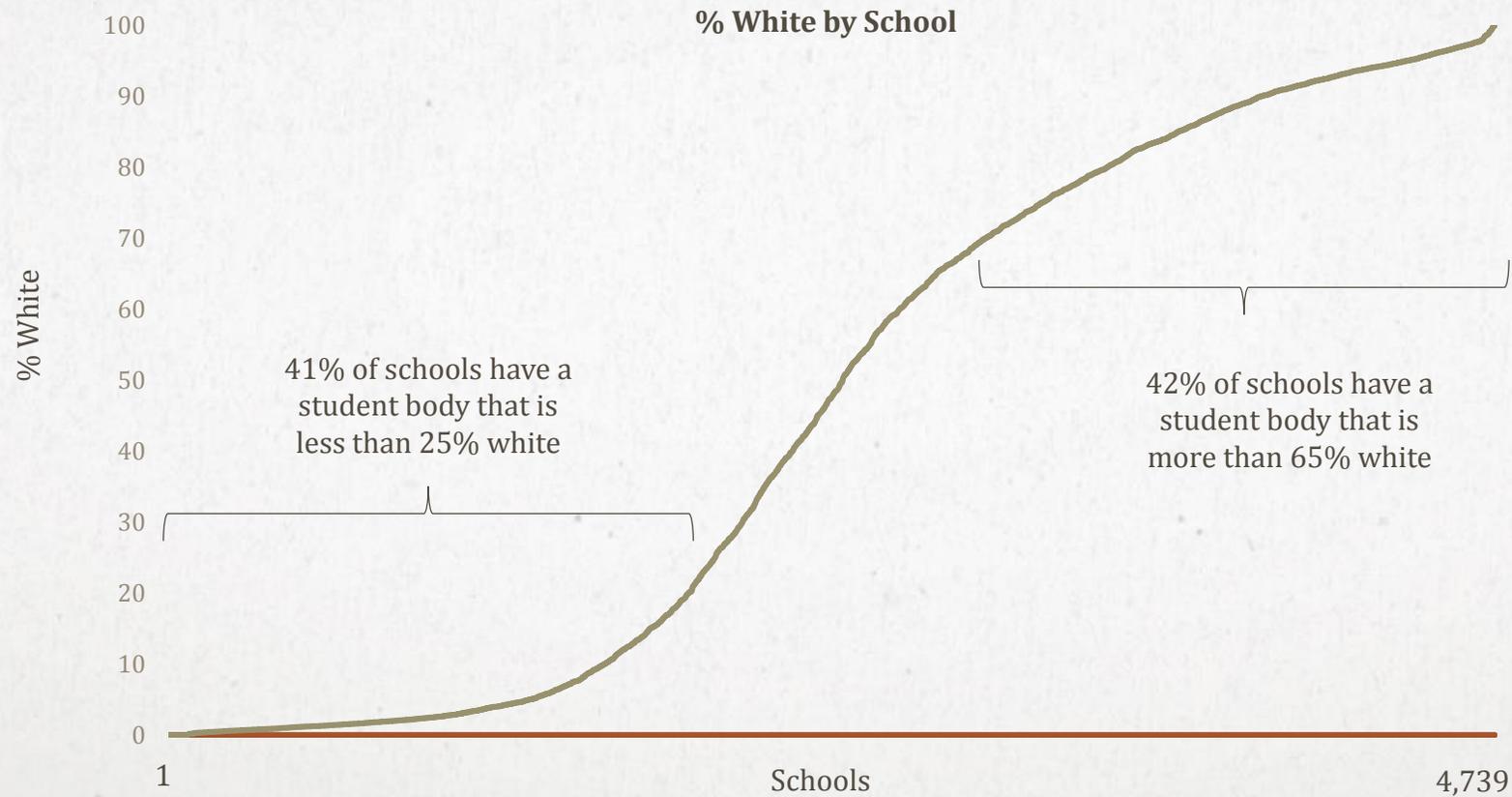
Source: 2016 New York State School Report Card database. Note: charter schools are grouped into their geographic district for this analysis.

# NEW YORK HAS POCKETS OF RACIALLY ISOLATED COMMUNITIES, WITH LATINO, BLACK, AND ASIAN STUDENTS CONCENTRATED IN THE NYC METRO AREA, LONG ISLAND, CITIES ALONG THE HUDSON RIVER AND ERIE CANAL

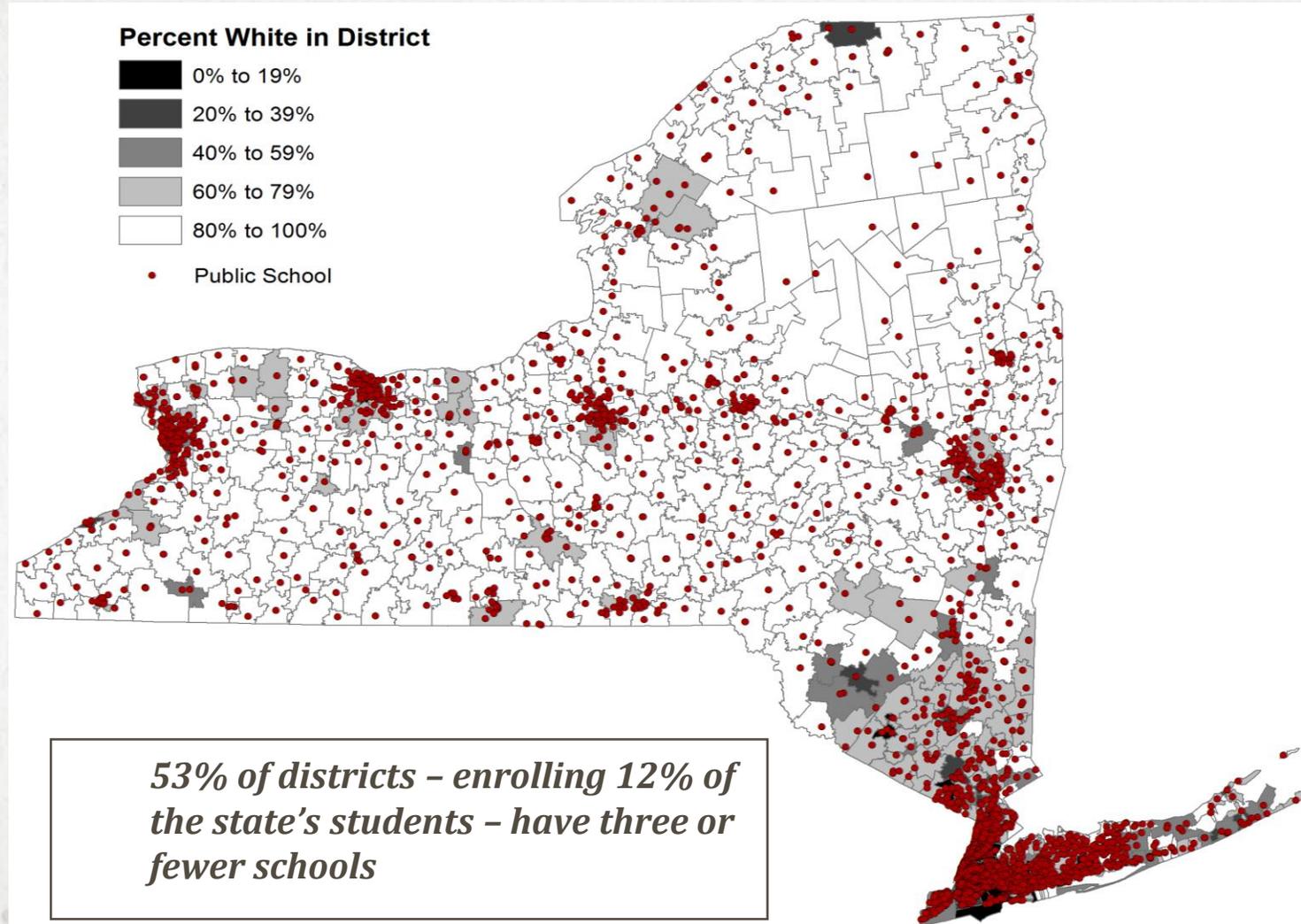


Source: School district boundaries from GIS.NY.GOV. Demographics from NYSED.

# 45% OF NEW YORK STATE STUDENTS ARE WHITE; THE MAJORITY OF SCHOOLS ARE FAR FROM THE STATEWIDE AVERAGE



# THE PREDOMINANTLY WHITE, RURAL AREAS OF THE STATE HAVE FAIRLY FEW SCHOOLS; MOST SCHOOLS ARE CONCENTRATED IN THE URBAN AND SUBURBAN AREAS OF THE STATE



## MEASURING ISOLATION IN NEW YORK STATE

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- For the purpose of measuring isolation (including that related to race, socioeconomic status, English Language Learners, and special education), we can look at several categories of student groups that make up the diversity in our state:
  - Race, Socioeconomic status, English Language Learners, Students with Disabilities
- Isolation across the state varies greatly, in order to get a full picture we need to measure isolation both within districts and between districts.
- There are many ways to do this, the following are a few examples to illustrate the picture of isolation across the state.

## BETWEEN DISTRICT ISOLATION

### SAMPLE DISTRICT COMPARED TO ITS COUNTY DEMOGRAPHICS

Group	District	County
Asian	1%	12%
Black	25%	12%
Latino	72%	23%
White	1%	51%
Other Race	0%	1%
Free or Reduced Lunch	88%	30%
Special Education	9%	13%
English Language Learner	32%	7%

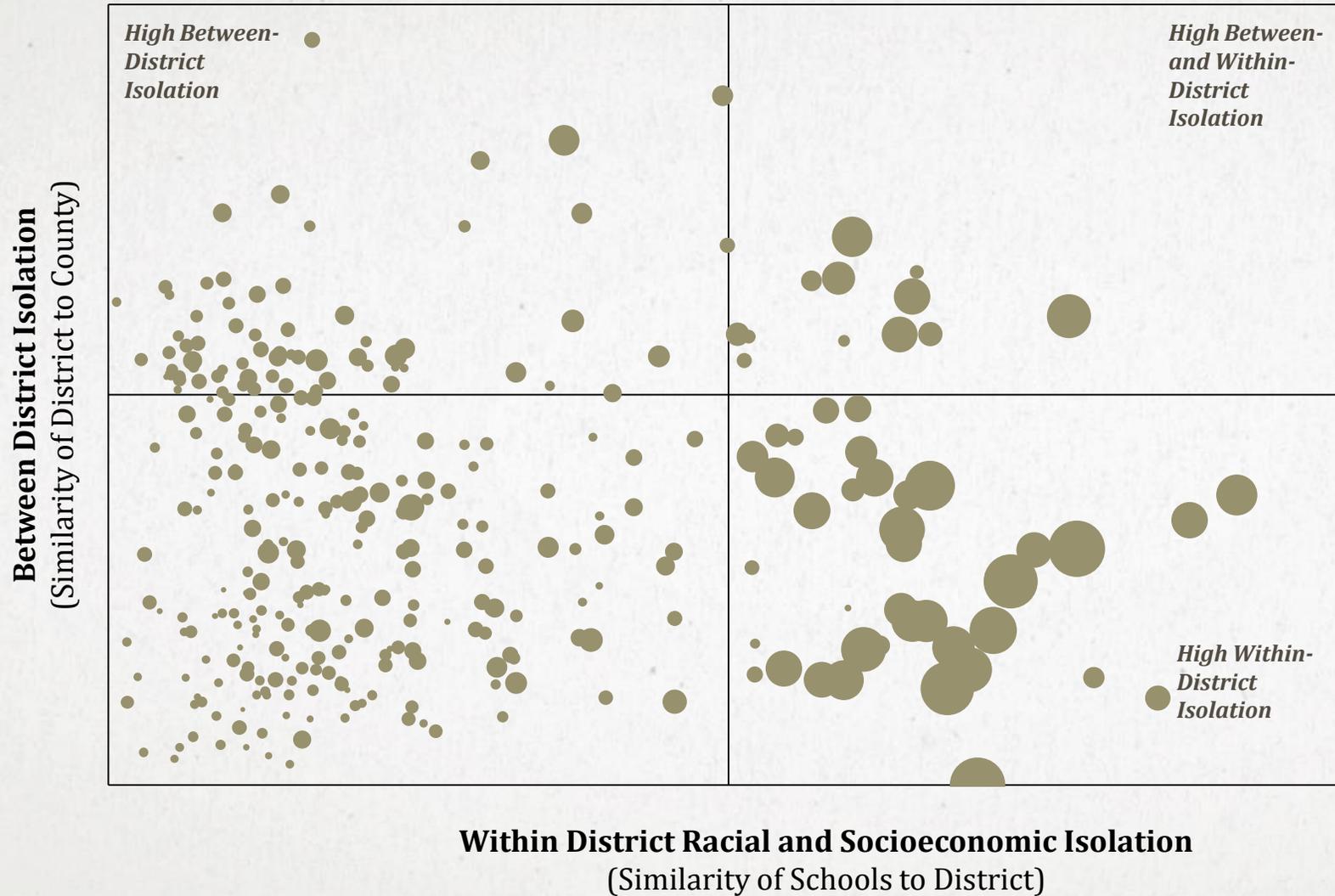
- One simple way to look at between district isolation is to compare each district to its county
- This allows you to see isolation between school districts in the same county
- In this example we can see that this district has much higher concentrations of Latino, Black, Free and Reduced Lunch and English Language Learners than the County in which it lies

# INTRA-DISTRICT ISOLATION

- A simple way to look at within-district isolation is to compare each school to its district
- This allows you to isolation between schools in the same district
- In this example, the school in this district does not reflect the district's diversity and is very isolated

SAMPLE SCHOOL COMPARED TO ITS DISTRICT DEMOGRAPHICS		
Group	School	District
Asian	10.5%	5.3%
Black	4.5%	32.3%
Latino	8.6%	31.8%
White	70.3%	26.7%
Other Race	6.1%	3.8%
Free or Reduced Lunch	10%	53.5%
Special Education	4.3%	21.8%
English Language Learner	0.2%	6.3%

# COMBINING THE WITHIN- AND BETWEEN-DISTRICT ISOLATION MEASURES, ONE CAN CREATE A MATRIX HIGHLIGHTING RACIAL AND SOCIOECONOMIC ISOLATION ALONG BOTH DIMENSIONS



Note: size of the circle is based on the total enrollment of the district. Excludes 12 school districts with 50% or more students receiving special education services. Excludes schools for which within-district racial and socioeconomic isolation cannot be calculated.

## IMPACT OF ISOLATION ON STUDENT OUTCOMES

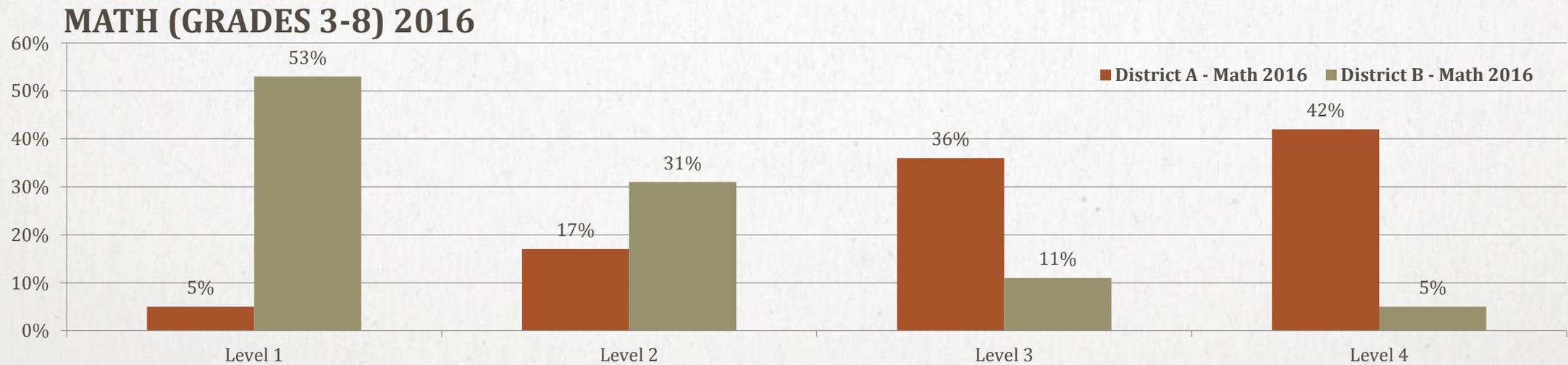
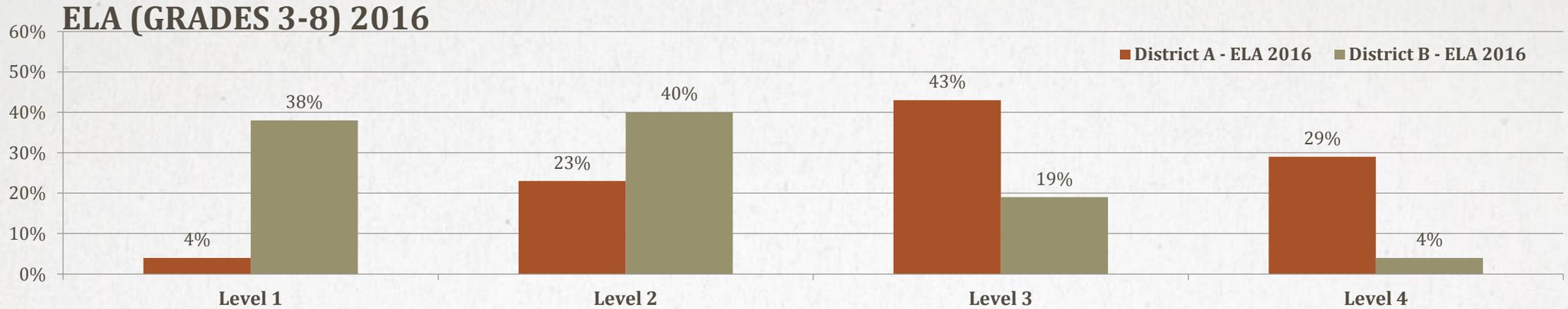
- The data on isolation measures helps us understand how isolation manifests throughout the state.
- When we look at the resulting performance gap between isolated schools and districts we get a full sense of the impact of that isolation in the state.
- To do this we can compare two districts that we identified as having a lot of between district isolation.

# STUDENT ENROLLMENT BY ETHNICITY & SUBGROUP 2015-2016

DISTRICT - A	
<b>AMERICAN INDIAN OR ALASKA NATIVE</b>	
0	0%
<b>BLACK OR AFRICAN AMERICAN</b>	
7	0%
<b>HISPANIC OR LATINO</b>	
89	5%
<b>ASIAN OR NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER</b>	
116	7%
<b>WHITE</b>	
1,406	84%
<b>MULTIRACIAL</b>	
60	4%
<b>ENGLISH LANGUAGE LEARNERS</b>	
13	1%
<b>STUDENTS WITH DISABILITIES</b>	
137	8%
<b>ECONOMICALLY DISADVANTAGED</b>	
0	0%

DISTRICT - B	
<b>AMERICAN INDIAN OR ALASKA NATIVE</b>	
12	0%
<b>BLACK OR AFRICAN AMERICAN</b>	
5,881	73%
<b>HISPANIC OR LATINO</b>	
1,653	20%
<b>ASIAN OR NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER</b>	
122	2%
<b>WHITE</b>	
388	5%
<b>MULTIRACIAL</b>	
40	0%
<b>ENGLISH LANGUAGE LEARNERS</b>	
723	9%
<b>STUDENTS WITH DISABILITIES</b>	
1,482	18%
<b>ECONOMICALLY DISADVANTAGED</b>	
5,992	74%

# 2016 ELA & MATH (GRADES 3-8) PERFORMANCE ALL STUDENTS – DISTRICT A VS. DISTRICT B



# ADVANCED PLACEMENT COURSES & GUIDANCE COUNSELOR RATIO 2015-16

## District A

- 28% of students are enrolled in AP courses in District A
- 240 students per Counselor

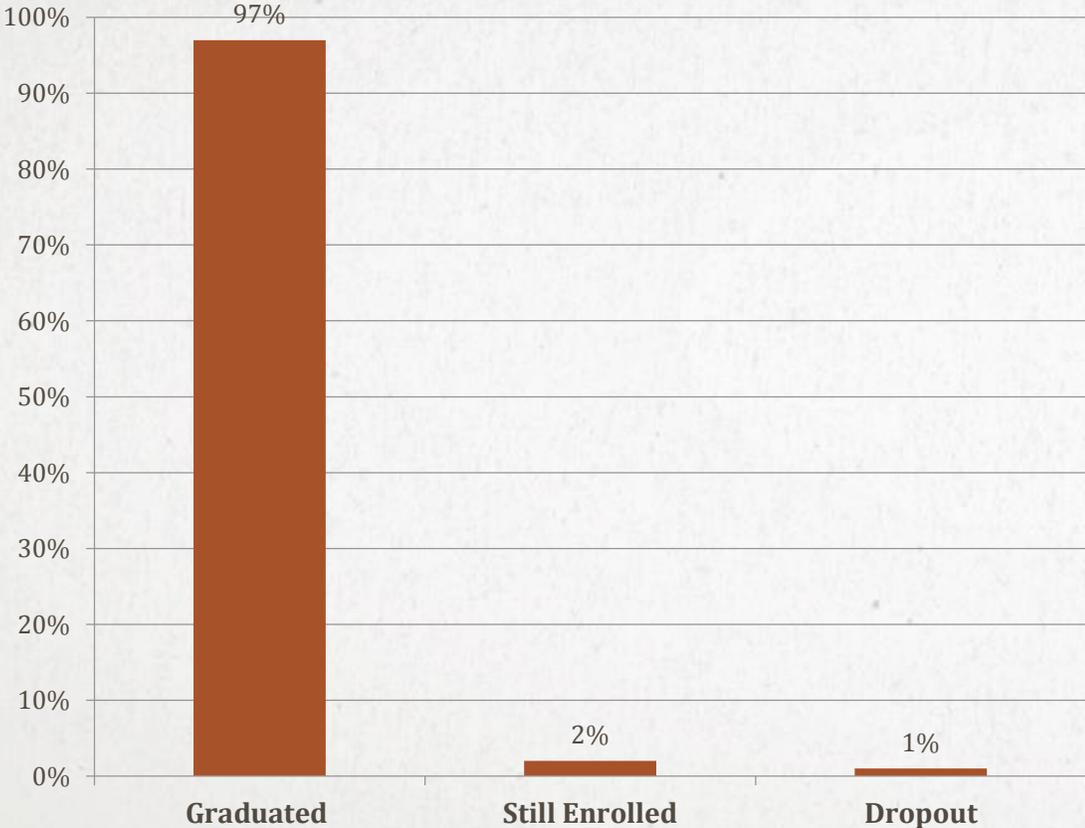
## District B

- 9.8% of students are enrolled in AP courses in District B
- 300 students per Counselor

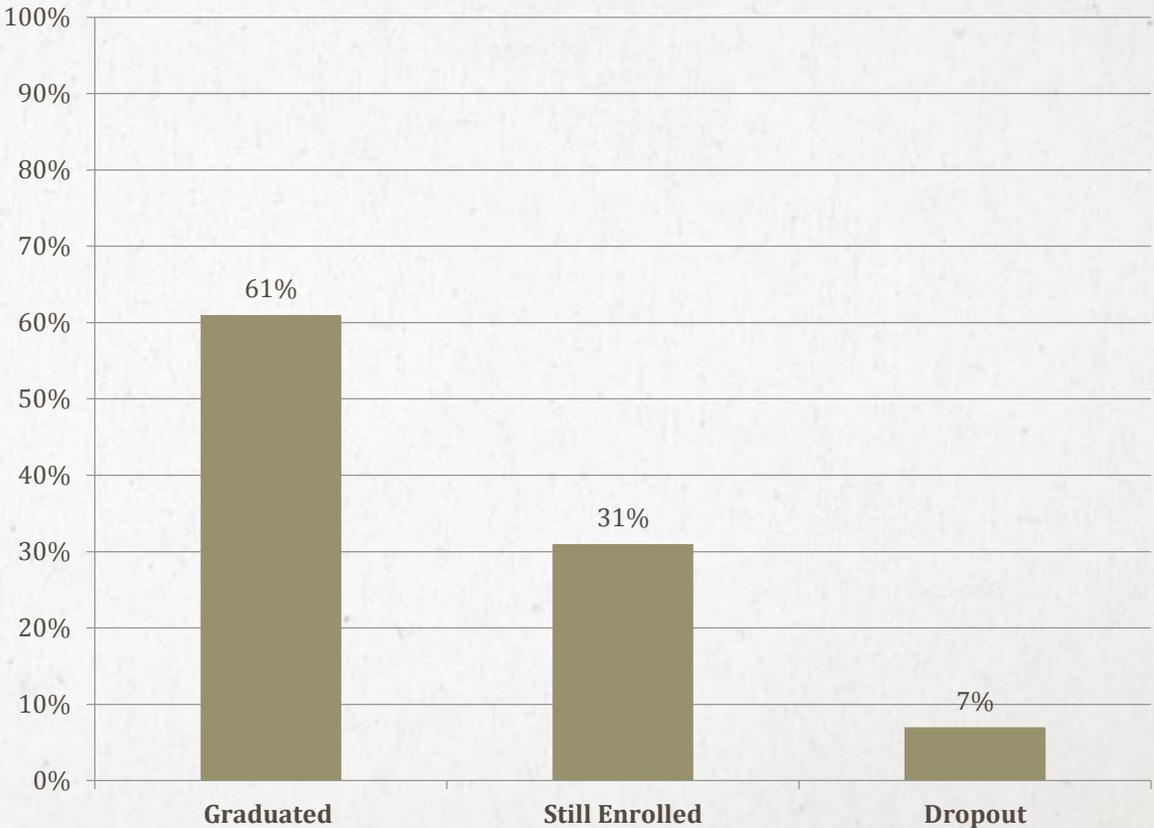
Source: NYS Information and Reporting Services (IRS)

# 2016 GRADUATION OUTCOMES ALL STUDENTS

### DISTRICT A

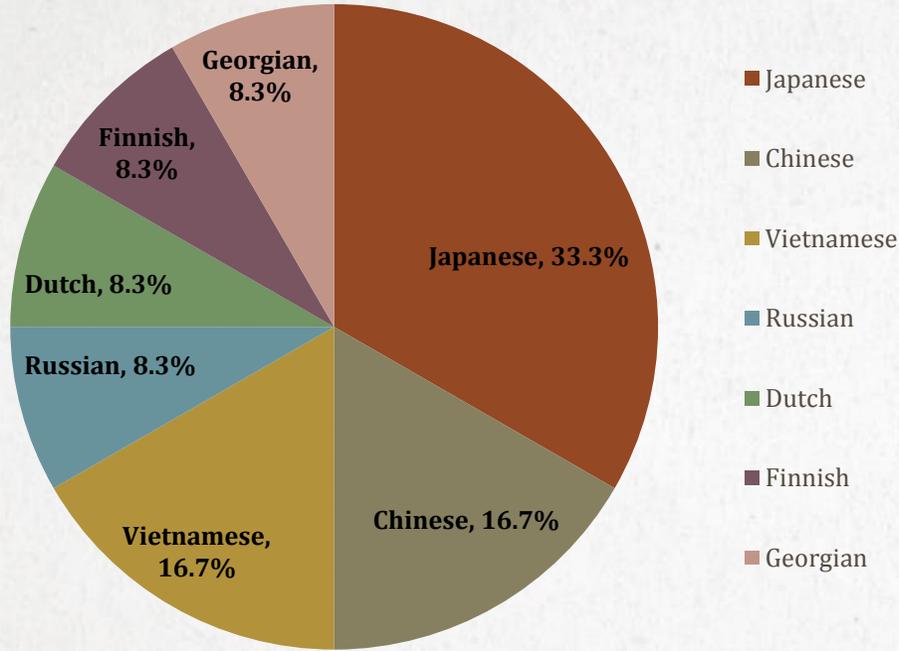


### DISTRICT B



# ELL DEMOGRAPHICS DISTRICT A & DISTRICT B 2015-2016 SY

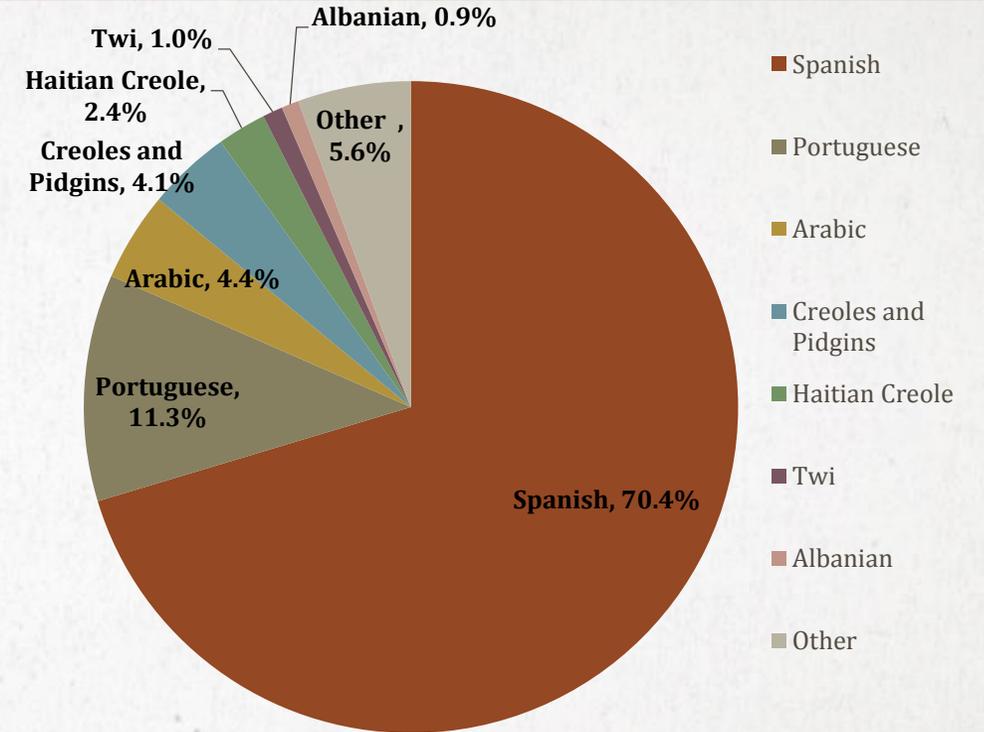
## District A-Top ELL Languages 2015-2016 SY



ELL Demographics

ELLs as a share of All Students	ELL SWDs as a share of all ELLs	ELLs Economically Disadvantaged as a share of all ELLs
13	1%	2
	15.3%	0
		0

## District B -Top ELL Languages 2015-2016 SY



ELL Demographics

ELLs as a share of All Students	ELL SWDs as a share of all ELLs	ELLs Economically Disadvantaged as a share of all ELLs
723	8%	136
	18.8%	560
		77.4%

# SOCIOECONOMIC INTEGRATION PILOT PROGRAM (SIPP)

## PURPOSE AND FUNDING

- In December 2014, NYSED announced the SIPP grant program that would run from 2015 to 2018, which aims to increase student achievement in Priority and Focus Schools by encouraging greater socioeconomic integration in these schools.
- 25 Title I Priority and Focus Schools in districts with poverty rates of 60% or higher were eligible to apply for 3 year grants of up to \$1.25 million.
- The grants support up to 18 months of planning activities and two years of program implementation.

# SIPP GRANT BENEFITS

- Interview with grantees of promising SIPP models revealed several benefits of the SIPP grant program :
  - Started **conversations** around integration and isolation in districts.
  - Enabled **community engagement** to support programs and develop integration plans.
  - Supported **professional development** around integration and cultural responsiveness.
  - Led to creation of **new programs** which include a goal of furthering integration.
  - Supported **implementation** of some new integration programs.

# SIPP PROGRAM EVALUATION AND NEXT STEPS

- Upon completion of the grant period, districts are required to provide a final report that demonstrates how the goals of the project were achieved and the impact on student achievement.
  - Final reports are due July 31, 2018.
- 2017-18 Socioeconomic Integration Community of Practice Grants:
  - Grants of \$40,000 will be provided for up to 25 districts to participate in a community of practice to learn more about strategies to reduce socio-economic and racial/ethnic isolation in identified Title I schools.

# Every Student Succeeds Act (ESSA)

State plans must describe how the state will ensure that children receive high-quality education and close achievement gaps, provide additional educational assistance to individual students who need help, identify and implement strategies to strengthen academic programs, and improve school conditions for learning. Plans must also describe the poverty criteria that will be used to select school attendance zones to minimize schools serving concentrations of children in poverty, while others may serve mostly affluent children. They must also outline programs to be conducted that serve students living in local institutions for neglected and delinquent children.

# Resource Allocation

- Children of Color Who Live in High Poverty Environments**
- Inequitable access to technology, CTE, and digital literacy programs.
  - High teacher turnover
  - Little-to-no access to college credit courses
  - Outdated athletic facilities
  - Limited Instructional Resources: limited property tax base
  - Disproportionate distribution of expulsions and suspensions.
  - Stereotypes define expectations

**Equity Indicators: Opportunities to Learn**

Basic	Enriched
Small class size that is grade, content and age appropriate	A manageable ratio of pupil personnel staff to student case load.
Adequate resources for students with disabilities and English Language Learners	A progressive inquiry based curriculum format across all subject areas that focuses on performance based projects and civic engagement.
Effective, well trained teachers	Fine and Performing Arts classes
Contemporary instructional supplies and technology.	Access to CTE programs
Sufficient numbers of certified staff	An array of college credit courses to select from that are open to all students.
A safe, orderly and welcoming environment.	An array of athletic teams, interscholastic sports, and clubs.
Culturally Responsive Teaching Strategies	Professional Learning Communities
An expanded platform of services for struggling students.	

- Integrated Schools**
- Updated classroom supplies
  - High teacher retention rates
  - Access to AP/ CTE and college credit courses
  - Diverse student body
  - Updated athletic facilities
  - Access to more public and private resources

Sources: Bifulco, R., Cobb C. D., & Bell C. (2009). Can interdistrict Choice Boost Student Achievement? The Case of Connecticut's Interdistrict Magnet School Program. *Educational Evaluation and Policy Analysis*, 31 (4). See also, Wells, A. S., & Miles, A. (2015). Still Separate, Still Unequal in a Post-Milliken Era: Why Rodriguez Would Have Been Good but Not Good Enough. *The enduring legacy of Rodriguez: creating new pathways to equal educational opportunity*. Cambridge, MA: Harvard Education Press

# Proposed Research Agenda

- Develop a work plan.
- Review of studies and literature
- Author/ researcher/ practitioner presentations
- Listening tours
- Identify site visit opportunities - prepare a framework, guiding questions and a coding system to ensure the visits offer reliable comparisons.
- Data collection and analysis
- Create an advisory board of external stakeholders with diverse views on the nature, scope and content of our work.
- Review and understand the statutory authority the state constitution gives the Board of Regents.
- Prepare a set of recommendations for board consideration - offer advantages and disadvantages of each.

These are items are extracted from a fully developed action plan.

# POLICY QUESTIONS

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## Setting the Stage for Integration Policy in New York State

- How can the Board of Regents prioritize integration and create a vision for districts and schools?
- As the data shows, there is both an issue with within district isolation and between district isolation. What can the state do to encourage districts to work together on this issue and create inter-district solutions?
- There are a myriad of social and institutional factors that lead to isolation, both within and outside of education policy. How can we engage with other state agencies to begin to work together on this issue?

# For Board of Regents Discussion

- **Next Steps: Where do we go from here?**

How might previously published studies that examine the implications of the absence or presence of integrated educational communities inform and guide Regent policies? There are examples of past efforts that failed as well as efforts that were successful, what are the lessons to be learned?

- **What are the implications for democracy? Why Care?**

What can we predict about the life goals of students who, over the course of their K-12 segregated school experiences, continuously perform below proficiency levels on state and locally administered standardized tests? What can we learn about the life goals of students who attend schools that seek incentives to sustain policies that focus on economic diversity? What might be the outcome for our democracy?

*“Commitment to the success of every student means that we acknowledge the uneven playing (resource inequalities) field that currently exist in many schools for so many children. We must have courageous conversations about the issues that impact on those that are disadvantaged by economic disparities.”*

*- Chancellor Betty Rosa, New York State Board of Regents (July, 2017)*

# ATTACHMENT XIII



NEW YORK STATE

# My Brother's Keeper

**An Update on My Brother's Keeper**

**for the**

**Board of Regents Public Retreat**

**July 18, 2017**



NEW YORK STATE

# My Brother's Keeper

## National MBK Milestones

At the national level, MBK is focused on ensuring that all children:

1. Enter school ready to learn;
2. Read at grade level by third grade;
3. Graduate from high school ready for college and career;
4. Complete postsecondary education or training;
5. Successfully enter the workforce; and
6. Grow up in safe communities and get a second chance if they make a mistake.



NEW YORK STATE

# My Brother's Keeper

With the adoption of the 2016–2017 New York State Budget, New York became the first state to accept the President's challenge and enacted the My Brother's Keeper initiative into law.

## **My Brother's Keeper In New York State**

In addition to supporting the six milestones set at the national level, New York's MBK initiative is also committed to:

1. Ensuring equitable access to high quality schools and programs;
2. Expanding prevention, early warning, and intervention services;
3. Using differentiated approaches based on need and culture;
4. Responding to structural and institutional racism;
5. Making comprehensive and coordinated support services widely available; and
6. Engaging families and communities in a trusted and respectful way.



NEW YORK STATE

# My Brother's Keeper

## Family and Community Engagement Grant Program

- Goal 1: Develop the knowledge and skills of school and district personnel, as well as families and community members, to increase required trust and relationships necessary to address student learning needs and abilities at each grade level.
- Goal 2: Provide access to multi-level networks that foster respect and trust in building family relationships with the school and school community.
- Goal 3: Create an environment where partnerships thrive in a comfortable, culturally diverse, and engaging atmosphere that fosters respect and trust.
- Goal 4: Commit to building and sustaining child-centered roles for the school, family, and community that values student learning and social and emotional development as equal educational partners.



NEW YORK STATE

# My Brother's Keeper

## Exemplary School Models and Practices

**Purpose:** The purpose of the Exemplary School Models and Practices grant is to close the achievement gap and increase the academic achievement and college and career readiness (CCR) of students in urban school districts with an emphasis on boys and young men of color. The primary object of this program is to investigate and replicate educational programs and models that build academic identity and social capital for underachieving youths.

**Program services** – The primary objectives of this program are to: develop and/or expand an exemplary high-quality college and career readiness school model(s), program(s) and practice(s) that demonstrates cultural and linguistic responsiveness, that emphasize the needs of boys and young men of color; and to investigate and replicate those educational programs, practices and models that build academic identity and social capital for underachieving youths.



NEW YORK STATE

# My Brother's Keeper

## Teacher Opportunity Corps II

**The purpose of TOC II is to increase the participation rate of historically underrepresented and economically disadvantaged individuals in teaching careers.**

TOC II programs will:

- include instructional strategies designed to meet the learning needs of students placed at risk;
- incorporate the use of mentors and other high-quality support systems for pre-service and new teachers that are designed to ensure a lasting and positive effect on classroom performance;
- reflect current research on teaching and learning; culturally and linguistically relevant teaching;
- include youth development, restorative practices, and STEM concentrations at the elementary, middle, & high school levels;
- integrate a clinically-rich pre-service model with a 10-month internship experience and include partnerships with high-needs schools to help them address the recurrent teacher shortage areas; and
- foster retention in teaching of highly qualified individuals who value diversity and equity.



NEW YORK STATE

# My Brother's Keeper

The purpose of My Brother's Keeper Challenge Grant is to incentivize and support school districts to accept the My Brother's Keeper Challenge and implement a coherent cradle-to-college strategy aimed at improving the life outcomes for disadvantaged youth, particularly boys and young men of color.

## MBK Challenge Grant Goals:

- **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;
- **Completing and 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 work access to internship experiences while in high school; and
- **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.





# My Brother's Keeper – Brief Historical Overview

NYS Board of Regents  
April, 2015

Regents Workgroup to Improve Outcomes for Boys & Young Men of Color  
May, 2015

## Initial Focus Areas

1. Ensuring equitable access to quality schools, programs, curriculum, and opportunities during Pre K-12 & Postsecondary education;
2. Executing differentiated approaches based on need and culture, that are racially, ethnically, linguistically, and socioeconomically appropriate ;
3. Providing access to comprehensive and coordinated support services;
4. Establishing prevention, early warning, and intervention services;
5. Engaging families & community;
6. Improving professional capacity (rethinking teacher/administrator preparation);
7. Developing a unified vision: ensuring that leaders at various levels, particularly elected officials, are armed with the information necessary to make better and informed decisions;
8. Responding to structural and institutional racism;
9. Monitoring strategies to ensure that students are on track; and
10. Specifying the availability of second chance opportunities.

June , 2015

## Final Priority Areas

1. Ensuring equitable access to quality schools, programs, curriculum, and opportunities during Pre K through Grade 12 and Postsecondary Education.
2. Establishing prevention, early warning, and intervention services.
3. Executing differentiated approaches based on need and culture that are racially, ethnically, linguistically, and socioeconomically appropriate.
4. Responding to structural and institutional racism.
5. Providing access to comprehensive and coordinated support services.
6. Engaging families and communities.

July, 2015

Blue Ribbon Committee  
August, 2015  
(67 Members)

# ATTACHMENT XIV

**Proposed Timeline**

- ❑ June, 2015: Formation of Regents Workgroup
- ❑ July, 2015: Identification and selection of Blue Ribbon Committee, Charge to Committee Members
- ❑ September, 2015: First Meeting of Workgroup & Blue Ribbon Committee Members
- ❑ October, 2015: Submission of draft recommendations
- ❑ November, 2015: Second Meeting of Workgroup & Blue Ribbon Committee (finalize draft recommendations)
- ❑ December 2015 / January, 2016: Presentation of proposed policy recommendations to Full Board

Brooklyn, NY  
**September 29, 2015**  
 MEC, CUNY

Board of Regents Vote to Adopt Recommendations  
**December 2015**

Rochester, NY  
**November 9, 2015**  
 Nazareth College

Initial Recommendation and included in the Assembly One House (Amount in Millions)
Office of Family and Community Engagement <b>\$12.9</b>
Expanded Career and Technical Education (CTE) programs <b>\$6.5</b>
Expansion and development of exemplary school models and practices <b>\$5.5</b>
Expand the Teacher Opportunity Corps <b>\$8</b>
Incentive for school districts to accept the My Brother's Keeper Challenge <b>\$7</b>
Supporting school professional development programs <b>\$10</b>
Statewide Council to analyze and review data to address issues related to racial disparities <b>\$100K</b>
<b>Total Funding Requested \$50 M</b>

Final Recommendation	Approved Funding (in millions)
Expand the Teacher Opportunity Corps	<b>\$ 3</b>
Office of Family and Community Engagement	<b>\$ 8</b>
NYS My Brother's Keeper Challenge	<b>\$ 7</b>
Expansion and development of exemplary school models and practice	<b>\$ 2</b>
<b>Total Funding</b>	<b>\$20</b>

# **ATTACHMENT XV**

**OFFICE  
OF  
FAMILY  
AND  
COMMUNITY  
ENGAGEMENT**

**and**

**MY BROTHER'S KEEPER  
UPDATE**

**Tuesday, July 18, 2017**

Office of Access,  
Equity and  
Community  
Engagement  
Services

Bundy  
Aid

Alternative  
Education  
Programs

High  
Needs Nursing

Office of  
Postsecondary  
Access, Support  
and Success

Science and  
Technology  
Entry Program

Scholarships for  
Academic  
Excellence

Smart Scholars  
Early College  
High School

Pathways  
in Technology

Data/Reporting

Physician Loan  
Forgiveness  
Program

Computer  
Science  
ECHS

Collegiate  
Science and  
Technology  
Entry Program

Higher  
Education  
Opportunity  
Program

Perkins  
Postsecondary  
Career &  
Technical  
Education  
Program

Foster Youth  
College Success  
Initiative

Tuition  
Assistance  
Program

Smart Transfer  
ECHS

Office of Family  
and Community  
Engagement

Teacher  
Opportunity  
Corps II

Family and  
Community  
Engagement

Liberty  
Partnerships  
Program

USNY/RRF  
RFB

MBK  
Challenge

Exemplary  
School Models  
and Practices

Data/Reporting

State Consortium  
on Family  
Engagement

Teacher  
Development  
Programs Unit

Teacher  
Opportunity  
Corps

Teacher Leader  
Quality  
Partnerships  
PD & LD

Mentor Teacher  
Internship  
Program

Teachers of  
Tomorrow

Milken Educator  
Awards

Shanker National  
Board  
Certification

Better  
Beginnings  
Award

## **Office of Family and Community Engagement**

Across the country and here in New York State, there is a growing movement to engage families and communities in the academic development of students. The New York State Education Department has embraced this concept, recognizing that to increase academic achievement, families and communities must be engaged in the process. To this end, the Office of Family and Community Engagement has been established. While family and community engagement is embedded throughout the Department's programs, this new Office elevates the focus on its importance as a factor in student achievement.

The Office of Family and Community Engagement in conjunction with other offices in Department will develop statewide policy and offer school districts best practices for communicating with families and local communities.

This office oversees 6 grant programs; Liberty Partnerships Program, Teacher Opportunity Corps II, Exemplary Schools Models and Practices, My Brother's Keeper Challenge, Family and Community Engagement Grant Program and a USNY/RRF program funded by the Gates Foundation. In addition, the Office recently became one of six states participating in the State Consortium on Family Engagement through the Council of Chief State School Officers (CCSSO).

**Two new initiatives are scheduled to be implemented in 2017:**

- Native American Communities RFP is limited to the Native American communities in NYS. This will be designed as a Family and Community Engagement RFP to include parent advocacy and/or creating outreach material in home languages so families can learn how to enhance school success for their students beginning at the earliest ages through high school and beyond.
- NYS MBK Fellows will be a program designed to provide 11<sup>th</sup> and 12<sup>th</sup> grade students with leadership opportunities service projects in various venues (government, and the private sector).

## **Family and Community Engagement Program Grant**

NYSED has awarded six million dollars in grants to 45 school districts to work with community-based organizations, and other groups to improve family engagement efforts in local communities.

These efforts might include parent advocacy and/or creating outreach material in home languages so families can learn how to enhance school success for their children beginning at the earliest ages through high school and beyond.

### **Grant Highlights**

- The **purpose of the FCEP** is to increase the academic achievement and college and career readiness of boys and young men of color.
- Many schools and districts struggle with the challenge of how to develop and sustain effective relationships with families toward the goal of student success. Teachers, Principals and School District leaders identify family engagement as one of the most challenging aspects of their work. When narrowing the scope of this ongoing concern to the issues of boys and young men of color, it is not only an issue of engaging and connecting to the family, but to the extended family and community as a whole.

### **Grant Goals:**

- Goal 1: Develop the knowledge and skills of school and district personnel, as well as families and community members, to increase required trust and relationships necessary to address student learning needs and abilities at each grade level.
- Goal 2: Provide access to multi-level networks that foster respect and trust in building family relationships with the school and school community.
- Goal 3: Create an environment where partnerships thrive in a comfortable, culturally diverse, and engaging atmosphere that fosters respect and trust.
- Goal 4: Commit to building and sustaining child-centered roles for the school, family, and community that values student learning and social and emotional development as equal educational partners.

### Family and Community Engagement Program

District	Award Amount	Grant activities	Schools Served
Binghamton	\$149,972	Restorative Practices, Parent Café, Parent Mentors Goals: 1 and 3	10- District wide
Brentwood	\$150,000	Parent Teacher Home Visit Project College and Career Readiness Goals: 2 and 4	Brentwood Freshman Center
Buffalo	\$127,500	Parent Community Engagement advisory committee, Parent Centers Goals: 1 and 3	70 – District wide
Dunkirk	\$150,000	FCEP director- oversee outreach team Hispanic Outreach Coordinator Goals: 2 and 3	6- District wide
East Ramapo	\$150,000	Parent workshop PD for staff on engaging families Parent Teacher teams Goals: 1 and 3	14- District Wide
Ellenville	\$150,000	Parent Peer Trainer Translation services Goals: 2 and 3	3- District Wide Ellenville Elementary School Ellenville Middle School Ellenville High School
Fallsburg	\$150,000	Family Community Liaison Staff PD on engaging parents Community Change Project Advisory Committee Goals: 1, 3 and 4	2- District Wide Benjamin Cosor Elementary School Fallsburg Junior-Senior High School
Freeport	\$150,000	Family Community Liaison Parent University Goals: 1 and 3	7- District Wide
Greenburgh	\$141,467	Parent Coordinator Parent volunteers in the classroom Goal: 3	5- District Wide
Hudson	\$145,500	Parent Coordinator Mentoring Goals: 3 and 4	Hudson Junior High school Hudson High School
Ithaca	\$150,000	MBK Coordinator PD for staff and parents Goals: 1 and 3	12- District Wide
Johnson City	\$150,000	Parent mentors Family and community specialist Goals: 3 and 4	4- District Wide
Kingston	\$150,000	PD of staff and families Community Coordinator Mentors Goals: 1, 3 and 4	10- District Wide
Lawrence	\$150,000	Family Advocate (Spanish and Arabic speaking)	5- District Wide

		Parent workshops Hero Internet and Mobile Phone Application Goals: 1 and 2	
Longwood	\$150,000	FCEP Director Transition Program staff Goals: 3 and 4	Grades 5, 7, 9 Longwood Middle School Longwood Junior High School Longwood High School
Lyons	\$150,000	FCEP Director PD for Staff and Families Mentors Parent /Community Back to School Event Goals: 1, 3 and 4	2- District Wide Lyons Elementary Lyons Middle High School
Monticello	\$150,000	FCEP Director PD for Staff and students Goals: 1 and 3	5-District Wide EMMA C. Chase George L Cooke Kenneth L Rutherford Robert Kaiser Monticello High School
Mount Vernon	\$150,000	Peer Leadership Club Translation Services Mentoring Community Events Goals: 2, 3 and 4	16- District Wide
Newark	\$150,000	Community Engagement Outreach Counselor FCEP Director Minority Parent Liaison Goal: 3	5- District Wide Perkins School Lincoln School Kelley School Newark Middle School Newark High School
Newburgh	\$150,000	Parent Liaison Teacher/ Family Workshops Family Mentor Program Goals: 1, 3 and 4	13 -District Wide
Niagara Falls	\$150,000	FCEP Director FCEP Liaisons Mentors / Workshops Goals: 1, 3 and 4	11- District Wide
NYC	Four CSD's at \$150,000 and 10 CSD's at \$90,000  NYCDOE Total \$1,500,000	Family Resource Centers Community Fairs Workshops MBK Family Engagement Leadership Team (9&19) Goals: 1 and 3	With support of the MBK grant all 14 targeted districts will receive robust Family and community engagement resources and supports, 2 districts (9&19) will receive additional intensive family engagement supports
Ossining	\$147,415	PD for Staff Academic Parent Teams Goals: 1 and 3	6-District Wide
Peekskill	\$150,000	Young Men's Group Adult and Peer mentoring Workshops Translations services Goals: 1, 2, 3 and 4	7- District Wide
Poughkeepsie	\$139,502	FCEP Director Goal: 3	8- District Wide
Rochester	\$104,877	Project manager Parent workshops- 2 weekly	50-District Wide

		Parent Training Goals: 1 and 3	
Roosevelt	\$149,533	Boys to Men Initiative Project Director Parent Liaison Goals: 3 and 4	Grades 6-12 Roosevelt Middle School Roosevelt High School
Schenectady	\$149,975	MBK Ambassador MBK Coordinator Family Book Club PD for Staff Workshops for families Goals: 1 and 3	17-District Wide year1- 6,7,8,9 and 4,5,10 year2- 2,3,11,12 year 3- Pre-K, K and 1
Syracuse	\$150,000	Building Men Program Parent and Teacher Workshops Goals: 1 and 4	38-District Wide
Uniondale	\$150,000	Project Director Restorative Justice club Mentors STEM Career Program Goals: 1, 3 and 4	9- District Wide (Turtle Hook Middle School & Lawrence Middle School for Restorative Justice Club)
Westbury	\$150,000	PD for Staff and Families Goal: 1	6 -District Wide
Yonkers	\$150,000	Family and Me MBK Future Leaders Goals: 3 and 4	40-District Wide

## **Exemplary School Models and Programs Grant**

**Purpose:** The purpose of the Exemplary School Models and Practices grant is to close the achievement gap and increase the academic achievement and college and career readiness (CCR) of students in urban school districts with an emphasis on boys and young men of color. The primary object of this program is to investigate and replicate educational programs and models that build academic identity and social capital for underachieving youths.

**Background** - As part of the national initiative launched in February 2014, My Brother's Keeper seeks to close the persistent gaps in educational achievement and opportunity between young minority men and boys and their peers. Chapter 53 of the laws of 2016: with the adoption of the 2016-2017 New York State Budget, New York became the first state, and to date the only state, to accept President Obama's My Brother's Keeper challenge.

**Eligibility** - Eligible applicants are NYS public school districts or NYS public school districts contracted to provide educational services to American Indian reservation populations. The applicant district must have at least one school designated to serve as the demonstration site. The demonstration site school(s) must not be classified as a struggling, persistently struggling, or priority school.

**Program services** – The primary objectives of this program are to: develop and/or expand an exemplary high-quality college and career readiness school model(s), program(s) and practice(s) that demonstrates cultural and linguistic responsiveness, that emphasize the needs of boys and young men of color; and to investigate and replicate those educational programs, practices and models that build academic identity and social capital for underachieving youths. The awarded applicants, which is the demonstration site, will partner with a demographically similar struggling or persistently struggling school in another district within their region. Applicants who are contracted American Indian Education Services districts must partner with a school in another American Indian Education Services district; if no struggling or persistently struggling partner school is available in this category, the partner may be a priority or focus school. Projects will: improve student academic outcomes and learning environments, integrate promising strategies in participating replication sites, and sustain the ability of replication site teams to implement and evaluate the successful integration of the promising strategy.

**Key evaluation measures** – The ultimate goal of success for the MBK ESMP is that the school district employs educational programs and models that build academic identity and social capital for underachieving youths. For the purposes of data reporting and analysis, projects will be deemed as meeting project expectations if they produce:

- Statistically significant improved academic performance for students from low-socioeconomic status (SES) families based on NYS assessments
- A statistically significant reduction in the academic performance gap between boys and young men of color and all other students
- Statistically significant improved graduation rates for boys and young men of color, students eligible for free or reduced lunch, English Language Learners (ELL), and students in special education.

## Teacher Opportunity Corps II

**The purpose of TOC II is to increase the participation rate of historically underrepresented and economically disadvantaged individuals in teaching careers.**

### **TOC II programs will:**

- include instructional strategies designed to meet the learning needs of students placed at risk;
- incorporate the use of mentors and other high-quality support systems for pre-service and new teachers that are designed to ensure a lasting and positive effect on classroom performance;
- reflect current research on teaching and learning; culturally and linguistically relevant teaching;
- youth development; restorative practices; and STEM concentrations at the elementary, middle & high school levels;
- integrate a clinically rich pre-service model with a 10-month internship experience and includes partnerships with high- needs schools to help them address the recurrent teacher shortage areas; and
- foster retention in teaching of highly qualified individuals who value diversity and equity.

The Teacher Opportunity Corps II is part of the State Education Department's effort to not only recruit and retain more people from underrepresented groups into the teaching field, but by doing so, to help resolve the shortage of teachers who are both qualified and prepared to teach students that have been placed at risk in severely underserved areas.

NYSED has awarded three million dollars for TOC II programs at sixteen institutions of higher education (SUNY, CUNY and the independent sector).

### Teacher Opportunity Cop II Program

College/University	Award Amount	Students Enrolled as of 5/31/17	Partnerships
Clarkson University	\$33,023	2	Student Research Projects on teaching strategies for students in high needs schools- May 2017 High School two-day camps to encourage interest in teaching- July 20-21, 2017 Round table discussions for TOC students- October 2016- December 2017 Teacher Preparation Exam Sessions- Thursdays, September 2017- March, 2018
CUNY Brooklyn College	\$97,500	10	Coaching and Mentoring of students- Spring 2017 and summer 2017 TOC II student planned Symposium- Spring 2018 Teacher Preparation Exam Sessions- Ongoing
CUNY Herbert Lehman College	\$315,265	42	Information Session-February and March 2017 Classroom visits to 17 education classes- March 6-13, 2017 Restorative Justice Conference- May 5, 2017 TOC II New Student Orientation- June 3, 2017 Mentor Training – June 4, 2017 Teacher Prep Exam Workshops- June 8th and 16, 2017 Student Learning Community Meetings- Fridays beginning September 2017 Weekly Meetings with Partner Schools
CUNY Hunter College	\$106,095	15	Information Sessions- June, July and August 2017 Summer Classroom experiences at PS 96- June 2017 Teacher Training Workshops- February, March, May and June 2017
CUNY Medgar Evers College	\$324,997	44	New student Induction Ceremony- May 31, 2017 Partnership Meeting between Buffalo and Brooklyn partners- May 31, 2017 Meetings will be every third Wednesdays through May 2018. Student Workshops- June-July,2017 TOC Academy activities- Daily- July 2017
CUNY Queens College	\$323,889	0	TOC Information- April 5, 2017 Hosted MBK Queens Action summit- April 26, 2017 Next meetings will be September,2017 Advisory Board Meetings with QSFSC- May 11, 2017- TOC New Student Initiation- August,2017 Student Visits/observations at District 27, 28, and 29- Beginning September 2017 Information Session for High School students in partner schools-September,2017

Manhattan College	\$132,005	6	Graduate Open House- April 2017 TOC II students participating in Service Learning in Urban Schools- Fall 2017-ongoing Trainings/Workshops with PS 294. Fall 2016, March 2017 Summer courses and specialized seminars focused on teaching at-risk and special populations (May 2017- August 2017 Student -Mentor Meetings- Spring 2017-ongoing
Metropolitan College	\$162,500	14	Recruitment Sessions- June 10, 27 and July 15th, August 5 and 28, 2017 Teacher Prep Exam Sessions- Monthly-May- June 2017 Visits to students in internship site- May 8- June 22, 2017 Students visit District 75-Beginning Spring 2017-ongoing through 2018. Summer internships at PS 1,5,15,19,34,115,140 and TFOA Charter School MCNY Recruitment Event - July 15, 2017
Monroe College	\$325,000	19	Classroom observations in partner schools- October- November 2016  Academic and Personal Development Workshops- October 2016- July 25, 2017  Teach like a Champion 2 Seminar- July 11, 2017  Technology Coaching Sessions (Weekly)- May 16, 2017- July 24, 2017
Mount Saint Mary College	\$39,000	6	TOC II Seminar- March 2017- May- 2017 Teach the Change Conference- May 1, 2017- Information Sessions for HEOP- July 2017 TOC II Seminar- Scheduled for Fall 2017 Educator Rising Chapter meetings in Partner school beginning September 2017 Profession Development Sessions with partner schools- Fall 2017-ongoing
Nazareth College	\$130,000	7	TOC Network Meeting- May 5, 2017 Next meeting October 2017 Student Summer Internships- July-August 2017. (Freedom Academy)
Sarah Lawrence College	\$103,334	12	TOC Seminars-April- May 2017 Student Orientation to TOC- May 24, 2017 TOC Enrichment Sessions (six) at Cedar Place Elementary- September 2017- June 2018.

SUNY Cortland	\$127,458	0	Mentoring and Network Meeting- August 14 and September 21, 2017 TOC Orientation- August 27, 2017 TOC Mentor Network- August 30, 2016
SUNY Old Westbury	\$324,934	41	TOC Town Hall Meetings, January, May and August, 2017 Partnership meeting June 19, 2017 Parent and student visits to Old Westbury- beginning September, 2017
SUNY Oswego	\$325,000	0 TOC II 28 Original TOC I	Summer Campus visits for students in grades five through eight- May 31, June 1, 2, 5 and 9, 2017 Summer Institutes- June 6-8, 2017 and June 21-23, 2017 Professional Development for staff- Advancement Via Individual Determination (AVID) July 19-21, 2017 Eagle Academy Summer Institute- July 25-27, 2017 TOC presentations to EOP Summer Program and Orientation Programs- August, 2017
Teachers College Columbia University	\$130,000	13	Eagle Academy Conference- May 11, 2017 TOC II Kick-off and Alumni Panel- June 1, 2017 Summer Session Internships- May 1, 2017-June 30, 2017 Professional Development Sessions May 18 and June 30, 2017
<b>Total Amount Awarded</b>	<b>\$3,000,000</b>		

## **MBK Challenge Grant**

NYSED has awarded seven million dollars in grants to 40 school districts to address two or more of the MBK Challenge Goals.

### **Purpose**

The purpose of My Brother's Keeper Challenge Grant is to incentivize and support school districts to accept the My Brother's Keeper Challenge and implement a coherent cradle-to-college strategy aimed at improving the life outcomes for disadvantaged youth, particularly boys and young men of color.

### **MBK Challenge Grant Goals:**

1. **Entering school ready to learn**, as evidenced by universal Pre-k access;
2. **Reading at grade level by third grade**, as evidenced by a significant narrowing of the achievement gap for disadvantaged youth, particularly boys of color;
3. **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;
4. **Completing and 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;
5. **Entering the workforce successfully with middle skills jobs**, as evidenced by disadvantaged youth, particularly young men of color having work access to internship experiences while in high school; and
6. **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.

### MBK Challenge Grant

School District	Participating schools	Award	Goals	Updates
Albany City School District		\$346,226	1/2/6	-Open House(June)
Binghamton City School District		\$84,188	3/6	Summer Promise Zone July 10 <sup>th</sup> – August 13th
Buffalo City School District	-Burgard H.S -Emerson School of Hospitality	\$812,610	1/3/5/6	All Male Academy for Middle School students will be August 7 – August 22nd
Central Islip City School District		\$59,771	1/3/5	MBK Summer Camp/Secondary student leadership- June 30 <sup>th</sup> – August 24th
East Ramapo City School District	-Ramapo H.S -Spring Valley H.S.	\$44,135	3/6	
Gloversville School District	-Gloversville H.S -Gloversville Middle school	\$26,574	2/3	
Hempstead Union Free School District		\$391,055	2/3/5/6	Summer Academy June 26 <sup>th</sup> – July 14th
Mount Vernon City School District	-Mount Vernon H.S.	\$105,831	2/6	
NYC DOE Dist. 3		\$37,655	2/6	Enhanced student writing program July - August
NYC DOE Dist. 4		\$40,669	2/6	
NYC DOE Dist. 5		\$68,013	3/6	
NYC DOE Dist. 7		\$274,054	3/4/6	
NYC DOE Dist. 8		\$278,060	3/4/6	National Training Network will engage teachers & school leaders to a practical lesson plan framework targeting grades 5 & 8 with a focus on the disproportionate levels of deficiency of our boys & young men of color
NYC DOE Dist. 9		\$307,173	2/3/6	
NYC DOE Dist. 10		\$290,922	2/3/6	
NYC DOE Dist. 11		\$125,087	3/4	School teams will participate in the Eagle Foundation's summer Institute
NYC DOE Dist. 12		\$153,047	2/4/6	
NYC DOE Dist. 13		\$49,295	2/6	
NYC DOE Dist. 14		\$49,450	2/6	
NYC DOE Dist. 16		\$45,136	3/5	

NYC DOE Dist. 17		\$20,257	1	
NYC DOE Dist. 18		\$17,639	6	
NYC DOE Dist. 19		\$156,667	2/3/6	Session II – Tomorrow’s Leader will provide parents & parent coordinators with information and resources on how to support young boys of color at home. Resources will be provided to help teachers with engagement and motivation. Principals will be provided with supports to build structures in the school to facilitate academic achievement.
NYC DOE Dist. 22		\$28,499	6	
NYC DOE Dist. 23		\$145,500	2/6	
NYC DOE Dist. 25		\$144,344	2/6	
NYC DOE Dist. 26		\$114,382	2/6	Metamorphosis Teaching Learning Communities’ Session II - Building Literacy & Cultural Understanding in Mathematics for Middle Schools: School leaders and lead teachers will be strengthening their math pedagogical knowledge while also examining the cultural responsiveness of their curriculum and seeking to improve the mathematical practices for all students July 7th
NYC DOE Dist. 27		\$176,386	2/3/6	Metamorphosis PD – July 26 <sup>th</sup> – 27th
NYC DOE Dist. 28		\$9,628	3	
NYC DOE Dist. 30		\$21,336	3	
NYC DOE Dist. 32		\$62,544	3/6	PD – July 11th
Poughkeepsie City School District		\$142,419	1	STEM/Sports Camp – July 5 <sup>th</sup> – August 10th
Rochester City School District		\$1,307,954	3/6	Restorative Practices/PD – July 17 <sup>th</sup> – July 19th
Salamanca city School District		\$38,743	2/6	-Summer MBK program July 10 <sup>th</sup> – August 03
Schenectady City School District		\$48,602	3/6	Mentoring Programs, School Based Diversion, Strengthening Families, Young Fathers Male Achievers
Syracuse City School District		\$585,388	3/5/6	Building Men Summer Program July 19 <sup>th</sup> – July 27th
Troy City School District	-ALP School 12	\$57,384	2/6	
Utica City School District		\$49,450	2/6	

Wyandanch Union Free School District		\$134,330	3/5/6	
Yonkers city School District		\$149,582	1 - 6	College Tour- July 6 <sup>th</sup> – August 31 <sup>st</sup> ; Grad 7/8 STEM/ Districtwide summer program – July 6 <sup>th</sup> – August 28 <sup>th</sup>

## **Liberty Partnerships Program**

The Liberty Partnerships Program (LPP) was established in 1988 under Section 612, Subdivision 6 of the Education Law to address the significant dropout rate among New York's youth.

LPP funds postsecondary institutions to work with secondary schools (students in 5<sup>th</sup> through 12<sup>th</sup> grade) and Community Based organizations (CBO's). Each LPP project must have at least three partners:

1. Institution of Higher Education
2. A school or school district
3. Community Based organization

The program provides comprehensive year-round services for students identified as being placed at risk with services designed to improve their ability to graduate from high school and enter postsecondary education and the workforce.

Currently there are 41 funded projects for a total of 18 million dollars. Liberty Partnerships Programs offer comprehensive pre-collegiate/dropout prevention programs and services to youth in Urban, Rural and Suburban communities of Western New York, Finger Lakes, Central New York, Southern Tier, North Country, Mohawk Valley, Capital District, Mid-Hudson Valley, NYC and Long Island.

There is a new RFP that was released earlier this year. Proposals have been received and we are in the process of final review for computing scores to recommend awards for the next 5-year cycle beginning in September 2017.

### **The Need**

As higher standards are implemented and student expectations rise, students already at risk in the State's high need/low performing schools and districts will face additional pressures to perform.

### **What are the Challenges**

Disparity between resources available to students in high-need communities and high expectations for their performance.

- Increased demand for high-quality academic interventions that will close the performance gap among students.
- Increased demand for innovative social interventions that will reduce or eliminate the developmental impact of poverty on learners.
- Insufficient funding.

## **Keys to Success**

- Visionary statewide and local strategic plans.
- Twelve-month comprehensive programs and services that promote educational and personal excellence among at-risk youth.
- Effective k-16 articulation.
- Professional development strands that facilitate innovations in academic and social intervention.
- Collaborative venues for generating systemic and sustained resources for at-risk students and high need schools.
- Parent/extended community involvement.

## **Regents Goals:**

- All students will meet high standards for academic performance and personal behavior and demonstrate the knowledge and skills required by a dynamic world.
- The Public will be served by qualified, ethical professionals who remain current with the best practice in their field and reflect the diversity of New York State.
- Education, information and cultural resources will be available to all people.

## **LPP seeks statewide partners that can help facilitate one or more of the following initiatives:**

- Interactive technology to improve the academic performance of at-risk students.
- Expansion of College, career exploration program.
- After-school, extended day and summer educational, cultural and recreation programs.
- After-school and summer training/employment opportunities for students, parents and other significant family members.
- Institutes to advance innovative practices among administrators, teachers, counselors and other practitioners.
- Whole school adoption.

## **Benefits**

- LPP will maintain its status as an effective dropout prevention program.
- LPP students will have improved abilities to achieve the higher learning standards.
- LPP graduates will be prepared for the rigors of postsecondary education and the workforce.
- Academic intervention strategies of partner schools will be enhanced.

## State Consortium on Family Engagement

### Project Description

#### Context and Rationale

Family engagement is an integral component of success in education. Primarily during the early years of a child's life, the imprint of socialization and early learning is greatly influenced by the family and its surroundings and engaging families in the education of their children continues throughout their school careers. State and Federal education agencies recognize the importance of family engagement and defined policies that guide practitioners in implementing effective strategies on engaging families in the educational process. State policies on parental involvement and support structures for families are prevalent as is Federal policy through the Elementary and Secondary Education Act (ESEA).

Its latest version, Every Student Success Act (ESSA), places special emphasis on family engagement and repeatedly, throughout the statute, refers to the inclusion of early childhood education as a critical element of family engagement. Not unlike previous iterations of the law, ESSA includes provisions for States to provide funds to local educational agencies to conduct outreach to all parents and to implement programs, activities, and procedures for the involvement of parents and family members in programs with meaningful consultation with parents of participating children<sup>1</sup>. In fact, ESSA lays out the management and performance by local districts to:

- provide the coordination, technical assistance, and other support necessary to assist and build the capacity of all participating schools within the local educational agency in planning and implementing effective parent and family involvement activities;
- involve parents in the activities of the schools which may include establishing a parent advisory board;
- coordinate and integrate parent involvement programs and activities with other Federal, State, and local programs, including public preschool programs; and
- conduct, with the meaningful involvement of parents and family members, an annual evaluation of the content and effectiveness of the parent and family engagement to design evidence-based strategies for more effective parental involvement.

State education agencies (SEA) play a significant role in supporting local districts in implementing effective family engagement policies and strategies. While SEAs provide funding to local districts to implement effective family engagement strategies, they also interact more collaboratively with districts in the areas of school improvement as well as general multi-tiered support for schools and students. Early childhood education, Birth to Kindergarten, which is typically outside the governance of SEAs is an essential element to effective family engagement strategies and, thereby, the foundation of a Birth to Grade 12 family engagement framework.

In 2011, the U.S. Departments of Health and Human Services (HHS) and the Education (DOE) released the Head Start Parent, Family, and Community Engagement (PFCE) Framework which uses a research-based, organizational development approach to high performance family engagement. It specifies the structures and functions in early childhood organizations that can be integrated to bring about continuous learning and improvement, and to institutionalize and sustain effective family engagement practices. There is a strong emphasis on engagement that is systemic, embedded and integrated across organizations.

This Framework has been applied to the work of the Maryland State Department of Education (MSDE) which created a coalition of stakeholders with a vested interest in family engagement to embark on an ambitious pathway to improving the fundamental levels of engagement by families in education. Over the past two years, and with the support from the W.K. Kellogg Foundation, the SEA in Maryland not only developed a comprehensive Family Engagement Framework under the advisement of the stakeholder coalition, but expanded its scope to K-12 education, thereby creating a seamless framework of engaging families from a child's infancy to high school graduation.

In addition to state models on a Birth to Grade 12 family engagement framework (e.g., Maryland, North Carolina, California), the National Academy of Sciences, Engineering, and Medicine has published *Parent Matters: Supporting Parents of Children 0 to 8*,<sup>3</sup> which includes recommendations for a national framework.

### **Organizational Background**

CCSSO is the only organization in the country that is led by education chiefs and represents top officials and staff within every state education agency (SEA). CCSSO has an impressive depth of experience with providing high-quality technical assistance to SEAs through its member chief state school officers, deputy chiefs, and leading SEA staff. In collaboration with many philanthropic partners and by using its power and authority to convene and broker cross-collaboration among states and leading partners, CCSSO has successfully moved states to collaborate and co-develop reform policies and actions/practices, adopt them, and implement them through their education systems. Moreover, through various consortia, networks and collaborative groups, CCSSO has been able to disseminate new information and enhance skills in individuals and groups working in SEAs and those serving them directly in order to improve their performance in solving problems and meeting objectives.

### **Specific Objectives**

CCSSO will establish a *State Consortium on Family Engagement* with six (6) state teams comprised of SEA staff from early child education, school improvement/Title 1, or other agencies charged with impacting family engagement policies and practices. The Consortium will focus on:

- Developing a Community of Practitioners (CoP) among state teams to examine updated research and exemplary models of family engagement;

- Establishing a coalition of stakeholders within each state with a vested interest in family engagement;
- Developing a Birth to Grade 12 Family Engagement Framework, customized to the needs of each state and informed by state models, including Maryland, and other resources;
- Creating a technical assistance forum of experts in family engagement for the purpose of exploring technical as well as policy-related perspectives in alignment with the participating states' ESSA plans or the SEAs' strategic plans; and
- Establishing a repository on family engagement research and implementation tools developed by states and national organizations.

The outcomes of the State Consortium, contingent upon the particular needs of the participating states, include the following:

- Increased awareness of research and evidence-based practices in family engagement;
- Establishment of a Coalition on Family Engagement of family engagement stakeholders in each state to initiate and sustain the development and implementation of the Framework;
- Creation of a repository of research on family engagement, including evidence-based models.

## University of the State of New York/Regents Research Fund

The USNYRRF was awarded a \$225,000 grant from the Gates Foundation to help close the opportunity and access gaps faced by boys and young men of color in New York State.

The USNYRRF issued an RFB to secure proposals from vendors with a proven track record of success with P-12 school turnaround strategies and culturally relevant instruction. The project scope includes four deliverables:

1. Data collection and analyses to **identify “successful” schools**: those already achieving positive outcomes for boys and young men of color.
2. **Develop a resource guide** with information about how the newly identified successful school achieve their success with boys and young men of color.
3. **Organize and run regional meetings** where struggling and successful schools will both be present; meeting to introduce the guide to school and provide instruction on how to use it.
4. **Establish demographically and geographically compatible partnerships** between successful and struggling schools so successful schools can share their knowledge with struggling schools so the latter can replicate the outcomes being achieved by the former.

Reimagine Excellence and Achievement Consulting House (REACH), LLC, of NYC, was the vendor with the winning proposal. The term of this project is from this summer through next spring.

## **NYS MBK Meetings**

March 29, 2017

### **Capital District MBK meeting**

- Initial kick-off organizing meeting attended by representatives from Albany MBK, Troy CSD, Schenectady CSD and NYSED MBK staff
- Hosted by NYS School Boards Association
- Discussed plans to formally organize the group and include other Capital District cities such as Hudson, New York

Saturday, April 1, 2017

### **Yonkers, NY**

- Community Meeting held at Lincoln High School
- Over two hundred participants including the Mayor, School superintendent, Police Chief, local elected officials, member of NYS Board of Regents, parents, students, teachers, clergy, NYSED staff, CBOs and the general public and other local MBK community representatives from White Plains, Mt. Vernon, New Rochelle and Greenburgh
- They shared data on target population in Yonkers district and held break-out sessions where all participants could share input on strategies towards development and implantation of MBK milestones:
  1. Ensure all children enter school cognitively, physically, socially, and emotionally ready.
  2. Ensure all children read at grade level by third grade.
  3. Ensure all youth graduate from high school.
  4. Ensure all youth complete post-secondary education or training.
  5. Ensure all youth out of school are employed.
  6. Ensure all youth remain safe from violent crime and have a second chance.

Monday, April 24, 2017

### **City of White Plains My Brother's Keeper**

- Community Report out attended by approximately 50 participants
- Included Mayor of White Plains, middle school principal, teachers, students, parents, NYSED MBK staff, MBK White Plains MBK committee members, local elected officials and community members
- White Plains Committee chairs shared the outcome of their work over the past six months including various MBK activities held throughout the city
- They also shared upcoming goals to meet their milestone objectives such as securing summer youth employment for MBK participants

April 26, 2017

### **MBK Queens Action Summit**

- Initial Queens convening meeting held at Queens College
- Attendees included host, Félix V. Matos Rodríguez, Queens College President, NYS Board of Regents member, Dr. Lester W. Young Jr., NYC Chancellor Carmen Farina, education staff from Queens Borough President's office, NYCDOE staff, NYSED MBK staff, representatives from Congressman Meeks and Congresswoman Meng, NAACP, other community representatives
- Featured break-out sessions that centered around small group guided discussions focused on the six New York State MBK Milestones for the borough of Queens

April 29, 2017

### **Bronx MBK Meeting**

- Hosted by Bronx Community College
- Attendees included Speaker Hastie, Assemblyman Blake, Borough President Ruben Diaz, NYS Chancellor Betty Rosa, NYC Chancellor Carmen Farina, local parents, students, CBOs, NYSED staff and NYCDOE staff
- Featured student panel and sessions to discuss the six MBK milestones for the Bronx

Friday, May 5

**MBK Collaboration Meeting**

- Hosted by Campaign for Black Male Achievement
- Other attendees included representatives from CUNY Black Male Initiative, Expanded Success Initiative, NYC Young Men’s Initiative, the Campaign for Black Male Achievement and the NYSED MBK Statewide Community Network
- Discussion focused on launching a collaboration
- Next meeting scheduled for June 2, 2017

A meeting to discuss collaboration between several regional and national entities serving boys and young men of color including: CUNY Black Male Initiative (BMI), Expanded Success Initiative (ESI), NYC Young Men’s Initiative (YMI), the Campaign for Black Male Achievement (CBMA) and NYS My Brother’s Keeper (NYSMBK).

May 19, 2017

**“Scaling Up to Excellence: Changing the Mindset”  
Pre-K to College and Career Summit for Boys and Young Men**

LIU-Brooklyn - 9:00am-3:00pm

Brooklyn event focusing on strategies to improve outcomes for boys and young men of color. Participants included school communities, superintendents, Field Support Centers, parents, central DOE initiatives, Community Based Organizations and other stakeholders. Speakers included Brooklyn Borough President Eric Adams and NYS Board of Regent member Dr. Lester Young, Jr.

June 12, 2017

**Exceptional NYC Partnership**

CASA Middle School, 3441 Steenwick Avenue Bronx, NY 10475 - 1:00pm-3:00pm

A gathering of several area middle schools and their male students in the Bronx sponsored by: CUNY Black Male Initiative (BMI), Expanded Success Initiative (ESI), NYC Young Men’s Initiative (YMI), the Campaign for Black Male Achievement(CBMA) and NYS My Brother’s Keeper (NYSMBK) and the Exceptional Project.

June 17, 2017

**Mt. Vernon Community Meeting**

Mt. Vernon High School - 8:00 a.m.- 1:00p.m.

A Stakeholders Summit that convened community leaders working on the six MBK goals recommended by the White House:

1. Entering school ready to learn
2. Reading at grade level by third grade
3. Graduating from high school ready for college and career
4. Completing post-secondary education or training
5. Successfully entering the workforce
6. Safe from violence and provided second chances

Attendees included Mt. Vernon mayor, CSD Superintendent, parents, teachers, elected officials, police chief, community leaders. Speakers included Regents Judith Johnson and Dr. Lester Young, Jr.

Office of Family and Community Engagement

2016-17 Funding by Region

	Total Projects by Region	Total Awards by Region	Family and Community Engagement	Liberty Partnership Program	MBK Challenge	Teacher Opportunity Corps II
Capital	7	\$ 1,636,301	2 \$ 295,475	2 \$ 888,614	3 \$ 452,212	
Central	9	\$ 3,313,582	1 \$ 150,000	5 \$ 2,125,736	1 \$ 585,388	2 \$ 452,458
Finger Lakes	8	\$ 3,193,150	3 \$ 404,877	3 \$ 1,350,319	1 \$ 1,307,954	1 \$ 130,000
Hudson Valley	22	\$ 4,019,602	12 \$ 1,778,384	4 \$ 1,656,936	4 \$ 441,948	2 \$ 142,334
Long Island	15	\$ 3,774,563	7 \$ 1,049,533	4 \$ 1,814,940	3 \$ 585,156	1 \$ 324,934
Mohawk Valley	5	\$ 1,496,805		3 \$ 1,420,781	2 \$ 76,024	
NYC - Bronx	16	\$ 3,634,515	5 \$ 510,000	2 \$ 923,902	6 \$ 1,428,343	3 \$ 772,270
NYC - Brooklyn	19	\$ 2,824,297	5 \$ 630,000	3 \$ 1,196,813	9 \$ 574,987	2 \$ 422,497
NYC - Manhattan	14	\$ 3,117,304	3 \$ 270,000	5 \$ 2,302,363	3 \$ 146,346	3 \$ 398,595
NYC - Queens	10	\$ 2,079,440	1 \$ 90,000	3 \$ 1,199,588	5 \$ 465,963	1 \$ 323,889
NYC - Staten Island	1	\$ 497,485		1 \$ 497,485		
North Country	2	\$ 530,508		1 \$ 497,485		1 \$ 33,023
Southern Tier	5	\$ 1,031,645	3 \$ 449,972	1 \$ 497,485	1 \$ 84,188	
Western	9	\$ 3,268,111	3 \$ 427,500	4 \$ 1,989,413	2 \$ 851,198	
<b>Total</b>	<b>142</b>	<b>\$ 34,417,308</b>	<b>45 \$ 6,055,741</b>	<b>41 \$ 18,361,860</b>	<b>40 \$ 6,999,707</b>	<b>16 \$ 3,000,000</b>

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Office of Family and Community Engagement  
2016-17 Funding by Institution and Institution Type

	Total Projects by Institution	Total Awards by Institution	Family and Community Engagement	Liberty Partnership Program	MBK Challenge	Teacher Opportunity Corps II
Bank Street College of Education	1	\$ 426,417		1 \$ 426,417		
CUNY Brooklyn College	1	\$ 97,500				1 \$ 97,500
CUNY College of Staten Island	1	\$ 497,485		1 \$ 497,485		
CUNY Herbert H. Lehman College	1	\$ 315,265				1 \$ 315,265
CUNY Hunter College	2	\$ 603,580		1 \$ 497,485		1 \$ 106,095
CUNY Queens College	1	\$ 323,889				1 \$ 323,889
Clarkson University	1	\$ 33,023				1 \$ 33,023
Columbia University	1	\$ 383,780		1 \$ 383,780		
Eugenio Maria De Hostos Comm College	1	\$ 426,417		1 \$ 426,417		
Fiorello H. La Guardia Comm College	1	\$ 390,883		1 \$ 390,883		
Fordham Univ (Rose Hill-Lincoln Ctr)	1	\$ 497,485		1 \$ 497,485		
Fulton-Montgomery Community College	1	\$ 426,417		1 \$ 426,417		
Genesee Community College	1	\$ 426,417		1 \$ 426,417		
Hofstra University-Main Campus	1	\$ 497,485		1 \$ 497,485		
Iona College	1	\$ 497,485		1 \$ 497,485		
Kingsborough Community College	1	\$ 415,045		1 \$ 415,045		
Le Moyne College	1	\$ 399,765		1 \$ 399,765		
Long Island University-Brooklyn Campus	1	\$ 284,283		1 \$ 284,283		
Manhattan College	1	\$ 132,005				1 \$ 132,005
Marist College	1	\$ 426,417		1 \$ 426,417		
Medgar Evers College	2	\$ 822,482		1 \$ 497,485		1 \$ 324,997
Metropolitan College of New York	1	\$ 162,500				1 \$ 162,500
Monroe College	1	\$ 325,000				1 \$ 325,000
Monroe Community College	1	\$ 426,417		1 \$ 426,417		
Mount Saint Mary College	1	\$ 39,000				1 \$ 39,000
Nassau Community College	1	\$ 426,417		1 \$ 426,417		
Nazareth College of Rochester	1	\$ 130,000				1 \$ 130,000
New York University	1	\$ 497,196		1 \$ 497,196		
Niagara County Community College	1	\$ 497,485		1 \$ 497,485		
Onondaga Community College	1	\$ 366,467		1 \$ 366,467		
Pace University - NYC Campus	1	\$ 497,485		1 \$ 497,485		
Queensborough Community College	1	\$ 425,119		1 \$ 425,119		
Rochester Institute of Technology	1	\$ 497,485		1 \$ 497,485		
Rockland Community College	1	\$ 312,645		1 \$ 312,645		

Office of Family and Community Engagement  
2016-17 Funding by Institution and Institution Type

	Total Projects by Institution	Total Awards by Institution	Family and Community Engagement		Liberty Partnership Program		MBK Challenge		Teacher Opportunity Corps II	
					1	\$				
SUNY College at Buffalo	1	\$ 496,958			1	\$ 496,958				
SUNY College at Cortland	2	\$ 624,943			1	\$ 497,485			1	\$ 127,458
SUNY College at Fredonia	1	\$ 497,485			1	\$ 497,485				
SUNY College at Old Westbury	1	\$ 324,934							1	\$ 324,934
SUNY College at Oswego	1	\$ 325,000							1	\$ 325,000
SUNY College at Purchase	1	\$ 420,389			1	\$ 420,389				
SUNY College of Agriculture And Technology at Morrisville	1	\$ 497,062			1	\$ 497,062				
SUNY College of Agriculture And Technology at Cobleskill	1	\$ 497,485			1	\$ 497,485				
SUNY College of Technology at Canton	1	\$ 497,485			1	\$ 497,485				
SUNY College of Technology at Farmingdale	1	\$ 393,553			1	\$ 393,553				
SUNY at Albany	1	\$ 497,485			1	\$ 497,485				
SUNY at Binghamton	1	\$ 497,485			1	\$ 497,485				
SUNY at Buffalo	1	\$ 497,485			1	\$ 497,485				
Sarah Lawrence College	1	\$ 103,334							1	\$ 103,334
Schenectady County Community College	1	\$ 391,129			1	\$ 391,129				
St. John's University	1	\$ 383,586			1	\$ 383,586				
Suffolk County Community College	1	\$ 497,485			1	\$ 497,485				
Syracuse University	1	\$ 364,957			1	\$ 364,957				
Teachers College	1	\$ 130,000							1	\$ 130,000
Utica College	1	\$ 496,879			1	\$ 496,879				
Total	57	\$ 21,361,860			41	\$ 18,361,860			16	\$ 3,000,000
Albany City School District	1	\$ 346,226					1	\$ 346,226		
Binghamton City School District	2	\$ 234,160	1	\$ 149,972			1	\$ 84,188		
Brentwood Union Free School District	1	\$ 150,000	1	\$ 150,000						
Buffalo City School District	2	\$ 940,110	1	\$ 127,500			1	\$ 812,610		
Central Islip Union Free School District	1	\$ 59,771					1	\$ 59,771		
Dunkirk City School District	1	\$ 150,000	1	\$ 150,000						
East Ramapo Central School District (Spring Valley)	2	\$ 194,135	1	\$ 150,000			1	\$ 44,135		
Ellenville Central School District	1	\$ 150,000	1	\$ 150,000						
Fallsburg Central School District	1	\$ 150,000	1	\$ 150,000						
Freeport Union Free School District	1	\$ 150,000	1	\$ 150,000						
Gloversville City School District	1	\$ 26,574					1	\$ 26,574		
Greenburgh Central School District	1	\$ 141,467	1	\$ 141,467						
Hempstead Union Free School District	1	\$ 391,055					1	\$ 391,055		
Hudson City School District	1	\$ 145,500	1	\$ 145,500						
Ithaca City School District	1	\$ 150,000	1	\$ 150,000						
Johnson City Central School District	1	\$ 150,000	1	\$ 150,000						
Kingston City School District	1	\$ 150,000	1	\$ 150,000						

Office of Family and Community Engagement  
2016-17 Funding by Institution and Institution Type

	Total Projects by Institution	Total Awards by Institution	Family and Community Engagement	Liberty Partnership Program	MBK Challenge	Teacher Opportunity Corps II
Lawrence Union Free School District	1	\$ 150,000	1 \$ 150,000			
Longwood Central School District	1	\$ 150,000	1 \$ 150,000			
Lyons Central School District	1	\$ 150,000	1 \$ 150,000			
Monticello Central School District	1	\$ 150,000	1 \$ 150,000			
Mount Vernon School District	2	\$ 255,831	1 \$ 150,000		1 \$ 105,831	
New York City Geographic District # 3	1	\$ 37,665			1 \$ 37,665	
New York City Geographic District # 4	1	\$ 40,669			1 \$ 40,669	
New York City Geographic District # 5	2	\$ 158,012	1 \$ 90,000		1 \$ 68,012	
New York City Geographic District # 6	2	\$ 180,000	2 \$ 180,000			
New York City Geographic District # 7	1	\$ 274,054			1 \$ 274,054	
New York City Geographic District # 8	2	\$ 368,060	1 \$ 90,000		1 \$ 278,060	
New York City Geographic District # 9	2	\$ 457,173	1 \$ 150,000		1 \$ 307,173	
New York City Geographic District #10	2	\$ 380,922	1 \$ 90,000		1 \$ 290,922	
New York City Geographic District #11	2	\$ 215,087	1 \$ 90,000		1 \$ 125,087	
New York City Geographic District #12	2	\$ 243,047	1 \$ 90,000		1 \$ 153,047	
New York City Geographic District #13	1	\$ 49,295			1 \$ 49,295	
New York City Geographic District #14	1	\$ 49,450			1 \$ 49,450	
New York City Geographic District #16	2	\$ 195,136	1 \$ 150,000		1 \$ 45,136	
New York City Geographic District #17	2	\$ 170,257	1 \$ 150,000		1 \$ 20,257	
New York City Geographic District #18	1	\$ 17,639			1 \$ 17,639	
New York City Geographic District #19	2	\$ 306,667	1 \$ 150,000		1 \$ 156,667	
New York City Geographic District #22	1	\$ 28,499			1 \$ 28,499	
New York City Geographic District #23	2	\$ 235,500	1 \$ 90,000		1 \$ 145,500	
New York City Geographic District #25	1	\$ 144,234			1 \$ 144,234	
New York City Geographic District #26	1	\$ 114,382			1 \$ 114,382	
New York City Geographic District #27	1	\$ 176,383			1 \$ 176,383	
New York City Geographic District #28	1	\$ 9,628			1 \$ 9,628	
New York City Geographic District #29	1	\$ 90,000	1 \$ 90,000			
New York City Geographic District #30	1	\$ 21,336			1 \$ 21,336	
New York City Geographic District #32	2	\$ 152,544	1 \$ 90,000		1 \$ 62,544	
Newark Central School District	1	\$ 150,000	1 \$ 150,000			
Newburgh City School District	1	\$ 150,000	1 \$ 150,000			
Niagara Falls City School District	1	\$ 150,000	1 \$ 150,000			
Ossining Union Free School District	1	\$ 147,415	1 \$ 147,415			
Peekskill City School District	1	\$ 150,000	1 \$ 150,000			
Poughkeepsie City School District	2	\$ 281,902	1 \$ 139,502		1 \$ 142,400	
Rochester City School District	2	\$ 1,412,831	1 \$ 104,877		1 \$ 1,307,954	
Roosevelt Union Free School District	1	\$ 149,533	1 \$ 149,533			

Office of Family and Community Engagement  
2016-17 Funding by Institution and Institution Type

	Total Projects by Institution	Total Awards by Institution	Family and Community Engagement		Liberty Partnership Program		MBK Challenge		Teacher Opportunity Corps II	
Salamanca City School District	1	\$ 38,588					1	\$ 38,588		
Schenectady City School District	2	\$ 198,577	1	\$ 149,975			1	\$ 48,602		
Syracuse City School District	2	\$ 735,388	1	\$ 150,000			1	\$ 585,388		
Troy City School District	1	\$ 57,384					1	\$ 57,384		
Uniondale Union Free School District	1	\$ 150,000	1	\$ 150,000						
Utica City School District	1	\$ 49,450					1	\$ 49,450		
Westbury Union Free School District	1	\$ 150,000	1	\$ 150,000						
Wyandanch Union Free School District	1	\$ 134,330					1	\$ 134,330		
Yonkers City School District	2	\$ 299,582	1	\$ 150,000			1	\$ 149,582		
Total	85	\$ 13,055,448	45	\$ 6,055,741			40	\$ 6,999,707		
Grand Total	142	\$ 34,417,308	45	\$ 6,055,741	41	\$ 18,361,860	40	\$ 6,999,707	16	\$ 3,000,000

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# ATTACHMENT XVI

## *Principal Preparation Project*

Final Report from the  
Principal Project Advisory Team

Presented to the

Board of Regents

July 18, 2017

# PROJECT INTENT

Establish a 37-member Advisory Team to:

- Examine the preparation of school building leaders;
- Determine if changes are needed and, if warranted, make recommendations to the Board of Regents for change; and
- Review and consider a recommendation to adopt the new *Professional Standards for Educational Leaders (PSELs)*.

# FINDINGS

The Principal Project Advisory Team convened for a final meeting May 31, 2017 and reached consensus (Appendix A).

The Team made 11 recommendations.

The first recommendation was to adopt the *PSELS*.

# A CLOSER LOOK AT MOST-CURRENT NATIONAL STANDARDS FOR EDUCATIONAL LEADERS

*National Policy Board for Educational Administration* produced 2015 *Professional Standards for Educational Leaders* (Appendix B). They include 10 standards.

1. The Mission, Vision, and Core Values
2. Ethics and Professional Norms
3. Equity and Cultural Responsiveness
4. Curriculum, Instruction, and Assessment
5. Community of Care and Support for Students
6. Professional Capacity of School Personnel
7. Professional Community for Teachers and Staff
8. Meaningful Engagement of Families and Community
9. Operations and Management
10. School Improvement

Note:

The three underlined items highlight areas where the *PSEL* standards represent the greatest change from the 2008 standards (that were created by the *Interstate School Leaders Licensure Consortium, or ISLLC*).

# BACKGROUND ON THOSE PRODUCING THESE STANDARDS (*NAT'L POLICY BOARD FOR EDUCATIONAL ADMINISTRATION*)

Since 1996, the *National Policy Board for Educational Administration (NPBEA)* has sponsored publication of national standards for educational leaders. For two decades, states have used these to guide certification for educational leaders.

- In 1996, the *Standards for School Leaders* were published. Developed in association with the *Interstate School Leaders Licensure Consortium (ISLLC)*, they were commonly called *ISLLC Standards*.
- In 2008, the *Education Leadership Policy Standards* were published. Again prepared with the assistance of the *Interstate School Leaders Licensure Consortium*, these are the standards that now guide initial certification for school building leaders in New York State.
- In 2015, the *Professional Standards for Educational Leaders (PSELs)* were published. While *NPBEA* sponsored and led the production, the 2015 *PSELs* are copyrighted by the Council of Chief State School Officers.

# WHAT SUPPORT EXISTS FOR UPDATING THE STANDARDS (FROM 2008 TO 2015 VERSION)?

1. The 37-member Advisory Team reached consensus to update the standards.
2. Groups sent letters in May, 2016 urging the Regents to adopt updated standards (Appendix D):
  - Metropolitan Council for Educational Administration Programs or MCEAP
  - Collegiate Association for Development of Educational Administration or CADEA
3. Others reviewed standards and recommendations (asterisk shows those that submitted letters):
  - Deans at Independent Colleges and University that offer SBL programs \*
  - Empire State Supervisors and Administrators Association or ESSAA \*
  - New York State United Teachers or NYSUT \*
  - Ed School Deans at CUNY institutions offering SBL programs \*
  - Professional Standards and Practices Board at NYSED \*
  - Council for School Supervisors and Administrators or CSA
  - School Administrators Association of New York State or SAANYS
  - New York State Federation of School Administrators or NYSFSA
  - New York State Council of School Superintendents or NYSCOSS
  - Rochester-based organizations (Urban League, Hillside Children's Center, Mayor's Office) \*
  - New York State School Board Association or NYSSBA
  - Ed Schools Deans at SUNY institutions offering SBL programs
  - United Federation of Teachers or UFT
  - Chancellor of NYCDOE and Superintendents of Buffalo, Rochester, Syracuse, and Yonkers
  - Parent-Teacher Association or NYS PTA

\* Letters in Appendix E

# ADVISORY TEAM RECOMMENDATIONS

1. Adopt new standards adding emphasis to “culturally responsive practices,” “love of learning,” and the concept of “all means all.”
2. Make initial principal certification competency-based by translating the standards into competencies and altering expectations so that aspiring leaders earn certification by applying knowledge and skills in a P-12 setting.
3. Explore options and/or opportunities leading to full-time, extended period, school-based internships for aspiring principals.
4. Provide incentives and expectations that promote stronger and more sustainable P-20 partnerships involving districts and universities.
5. Ensure high-quality coaching and mentoring support extends through the first full year that a principal is on the job.

# RECOMMENDATIONS (CONT'D)

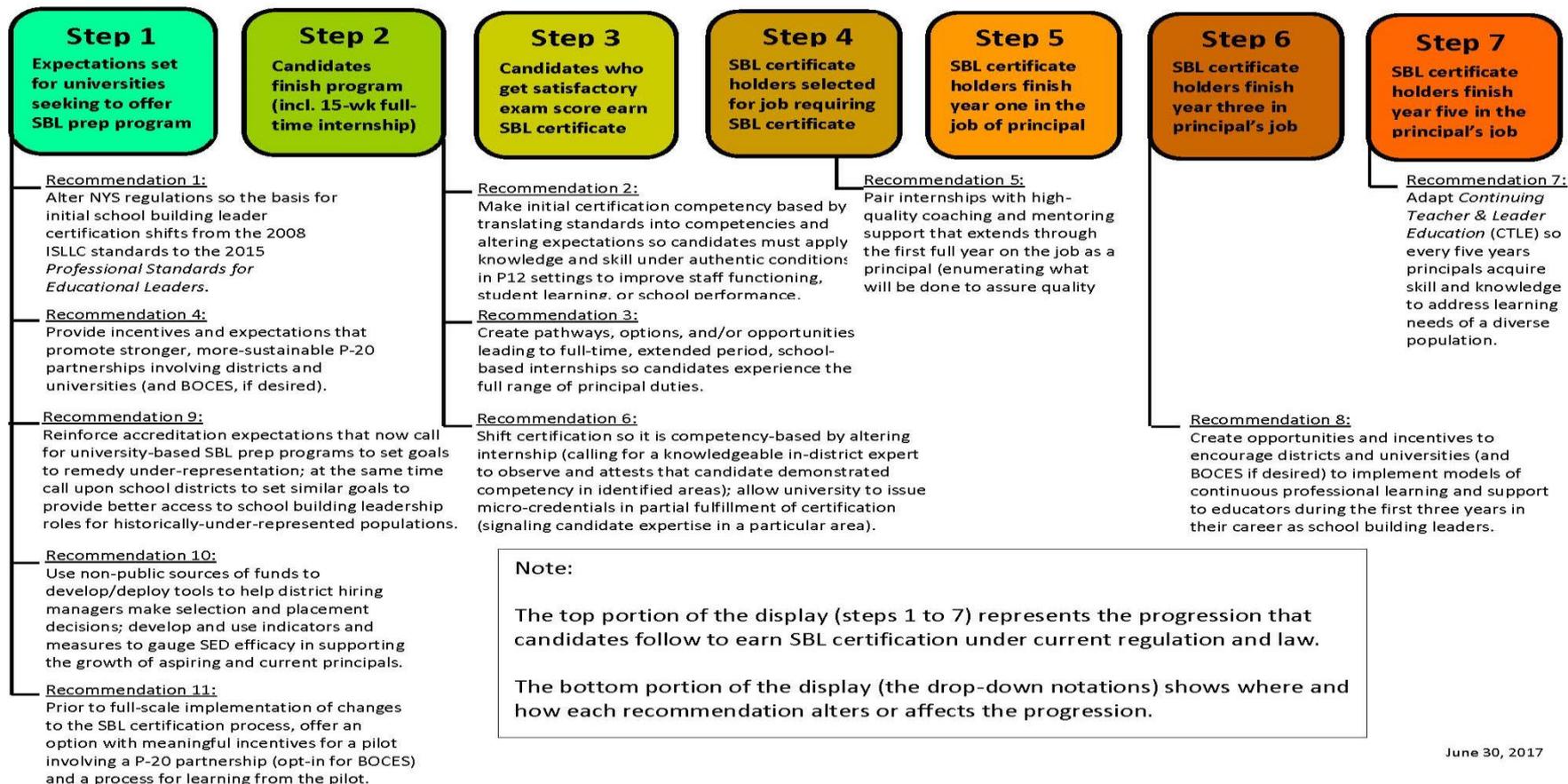
6. In a competency-based internship establish an internship requirement that calls upon knowledgeable in-district experts to observe and attest that a candidate has demonstrated competency in identified areas. Consider micro-credentials to be issued in partial fulfillment of certification (these may take the form of an annotation to the certificate signaling particular expertise of the bearer).
7. Adopt CTLE expectations that call for current principals to acquire the knowledge and skills (i.e., culturally responsive practices) that prepare them to supervise instruction in ways that meet the learning needs of a diverse student population.
8. Create opportunities (e.g., pilots) and incentives to encourage districts and universities (and BOCES if desired) to implement models of continuous professional learning and support to School Building Leaders during the first three years in their career.

# RECOMMENDATIONS (CONT'D)

9. Reinforce accreditation expectations that call for higher education institutions that offer School Building Leader programs to set goals, targets, and milestones for increasing the number and percent of candidates from historically under-represented populations. Call for districts to set similar goals to recruit, select, develop, and place individuals from historically under-represented populations within the ranks of school building leaders.
10. Use non-public sources of funds to develop and deploy tools to help district hiring managers in their selection and placement decisions; develop and use indicators and measures to gauge the efficacy of SED efforts to support and enhance the growth of aspiring and current principals and to develop sustainable P-20 partnerships (that exist to support development and improvement of principal talent pipeline).
11. Create step-up implementation plan (include possible pilot P-20 partnership)

# HOW DO THESE RECOMMENDATIONS CORRESPOND TO THE SBL PROGRESSION THAT IS NOW IN PLACE IN NYS?

How recommendations correspond to progression leading to candidate acquiring SBL certification in NYS



# HOW DO 2015 *PROFESSIONAL STANDARDS FOR EDUCATIONAL LEADERS (PSELS)* COMPARE TO THE 2008 *ISLLC STANDARDS*?

The 2015 *Professional Standards for Educational Leaders (PSELS)* also improve on the 2008 *ISLLC* standards in five ways:

1. The *PSELS* have a stronger, clearer emphasis on academic success AND broader learning, student development, and student well-being.
2. The *PSELS* take a more systemic view of leadership work.
3. The *PSELS* place more importance on “each” student and “all” students.
4. The *PSELS* more explicitly use logic to link leadership to learning.
5. The *PSELS* call out certain areas for particular emphasis:
  - Equity and Cultural Responsiveness
  - Community of Care and Support for Students
  - Meaningful Engagement of Families and Communities

Staff-produced crosswalk is in Appendix F.

CCSSO-created crosswalk is in Appendix G, [http://www.gtlcenter.org/sites/default/files/PSEL\\_ISLLC\\_Crosswalk.pdf](http://www.gtlcenter.org/sites/default/files/PSEL_ISLLC_Crosswalk.pdf)

Table illustrating special emphasis PSELS place on equity is in Appendix H.

Reference: <http://www.npbea.org/wp/wp-content/uploads/2014/11/PSEL-WebinarPowerPointSlides.pdf>

# HOW DID ADVISORY TEAM RESPOND TO QUESTIONS REGENTS POSED MAY 8<sup>TH</sup>?

1. If NYS adopts *PSELs*, what will it mean for those who supervise principals?

Answer: If the Regents agree to shift the basis for SBL certification from the 2008 *ISLLC* standards to the 2015 *PSELs*, this is immediately relevant. In advance of Regents action, it is premature to alter requirements for certifying or evaluating School Building Leaders.

2. When arranging a clinical experience, too many programs leave it to candidates to find a site and/or to find an individual who agrees to serve as a mentor; what can be done about this?

Answer: It makes sense to offer guidance on how roles and responsibilities for districts and universities will change in order to improve the quality of support that mentors provide to aspiring principals. If Regents adopt a recommendation to improve mentoring, clarification will come via regulations, guidance documents, or both.

# HOW DID ADVISORY TEAM RESPOND TO QUESTIONS REGENTS POSED (CONT'D)

3. What about love and care for students? Does it enter into discussion about principal prep standards?

Answer: Advisory Team members had a spirited exchange. One offered this, "Students who are loved at home come to school to learn; others come to be loved." The member stated, "To be successful, principals must love the students and the work." Members debated if standards could address this. One from higher education advocated for using behavioral "look fors" that can be used to determine if the candidate demonstrates care for students while certification readiness is being assessed.

4. With respect to the belief titled "Valuing Diversity", does the Advisory Team understand and appreciate that there is a difference between tolerating diversity and seeing diversity as an asset?

Answer: Advisory Team members agreed with the distinction and observed that the question reinforces *PSEL* standard 3b. It states, "Recognize, respect, and employ each student's strengths, diversity, and culture as assets for teaching and learning."

# HOW DID ADVISORY TEAM RESPOND TO QUESTIONS REGENTS POSED (CONT'D)?

5. Does the Advisory Team plan to suggest that SBL programs recruit more diverse leader candidates?

Answer: Yes. The Council for the Accreditation of Educational Programs (CAEP) accredits higher ed institutions nationally and in NYS. Standard 3.1 from CAEP states that the “provider presents plans and goals to recruit and support completion of high-quality candidates from a broad range of backgrounds and diverse populations to accomplish their mission. The admitted pool of candidates reflects the diversity of America’s P12 students.”

6. How has the Advisory Team come to grips with the reality that school building leader candidates earn the SBL certificate but head off to become leaders in school settings that are widely different?

Answer: The Team agreed on a recommendation that can enable candidates to acquire specialized knowledge and skill. More work is needed to make it operational, but the recommendation states, “create a mechanism that employs a clinically-rich experience, calls upon a knowledgeable in-district expert to observe and attest that a candidate has demonstrated competency with respect to a particular certification standard, culminates in issuance of a micro-credential that is recognized by NYS, and provides a way for micro-credentials to be combined in partial fulfillment of requirements for SBL certification. Micro-credentials may take the form of an annotation to a certificate that signals particular expertise of the bearer of the certificate.” The micro-credential concept is being explored by SUNY as well.

# HOW DID ADVISORY TEAM RESPOND TO QUESTIONS REGENTS POSED (CONT'D)?

7. When we talk about “competency-based”, do we fully appreciate that the competencies required of different types of school leaders vary considerably?

Answer: In a manner similar to medicine or law, at present the certification of school building leaders has one portal. Lawyers first earn a Juris Doctorate. Doctors first earn the MD. Later, lawyers head off to study for the bar exam in a state where they plan to practice. They may later specialize in litigation or patent law or school law, etc. After aspiring doctors earn the MD, they experience a range of specialties during residency and then settle into one or another. So too, those who plan to be a school building leader in NYS earn the same initial certification. If the Regents accept the recommendation of the Advisory Team to make initial SBL certification competency-based, then work will need to be done to make that operational. At that point this topic will need to be studied, defined, and detailed.

# HOW DID ADVISORY TEAM RESPOND TO QUESTIONS REGENTS POSED (CONT'D)?

8. Often consensus decisions leave behind important points that ought to be part of the conversation but because they didn't gain support from everyone, they are swept away and don't move forward. What issues did not gain consensus support but we still need to be aware of nonetheless?

Answer: The Advisory Team initially may have viewed its work too narrowly. While the Team was charged with considering how to enhance school building leadership, what matters most is the interaction of students and teachers. The Advisory Team has come to understand that for teachers to thrive, they need competent school principals who can provide meaningful guidance and support. So the standards and policies established by the Board of Regents that guide the preparation of principals matters. But for principals to be able to thrive and do their best work, they too need competent supervisors who can provide useful guidance and feedback. So, the development of certification standards should be aligned from teachers to principals to superintendents.

# GRANT FUNDING EXTENSION APPROVED BY THE REGENTS IN DECEMBER 2016

The NYS Board of Regents approved a \$500,000 Wallace grant to extend work this way:

- Better define the relationship between university-based principal preparation programs and districts that host internships for aspiring school building leaders.
- Produce a case study that documents the NYS approach to ESSA planning.  
Note: This will be used to identify lessons learned in NYS during ESSA planning and make them accessible to a wide audience of state policymakers in the United States.
- Study ways to add competency-based tasks to initial principal certification.
- Provide support for the proposition that aspiring principals must apply what they know in authentic settings prior to initial certification.

# THIS EXTENDED FUNDING WILL ALSO ADVANCE ORIGINAL PROJECT GOALS

Additionally, the \$500,000 grant from the Wallace Foundation makes it possible to:

- Work with higher education leadership programs and the integration of the standards guiding principal preparation programs (*National Educational Leadership Preparation Standards* or *NELP*).
- Translate the *Professional Standards for Educational Leaders* into competencies.
- Convert competencies into a rubric to guide principal professional development.
- Convert competencies into a rubric that is suitable for principal evaluation.
- Use suggestions from the field to strengthen the implementation of 11 recommendations emerging from the Principal Project Advisory Team.

# NEXT STEPS

Timeline (if the Regents accept Advisory Team recommendations):

- September 2017: Regents consider a motion to approve the following.
  - o Make the 2015 *Prof'l Standards for Educ'l Leaders* the basis of initial SBL certification.
- October 2017: Regents consider Advisory Team recommendations.
- November 2017: Issue guidance to field regarding changes to standards and adopted regulations (includes implementation dates).

# REFERENCES

## Related Regents Items

<http://www.regents.nysed.gov/common/regents/files/517hed2.pdf>

<http://www.regents.nysed.gov/common/regents/files/HE%20-%20Principal%20Preparation%20Project%20Update.pdf>

<http://www.regents.nysed.gov/common/regents/files/916brd1revised.pdf>

<http://www.regents.nysed.gov/common/regents/files/Principal%20Preparation%20Project%20-%20Full%20Board%20Monday.pdf>

<http://www.regents.nysed.gov/common/regents/files/1216bra7.pdf>

All material for the Principal Preparation Project Advisory Team can be found at:

<http://www.nysed.gov/principal-project-advisory-team>

# APPENDICES

- A: Final Report from the Principal Preparation Project Advisory Team
- B: 2015 *Professional Standards for Educational Leaders (PSELs)*
- C: Table Comparing 11 Recommendations to May 8, 2017 version of NYS ESSA Plan
- D: Letter Urging the Regents to Adopt *PSELs* (from *MCEAP* and *CADEA*)
- E: Letters from Organizations with Opinions on Advisory Team recommendations
- F: Staff-produced Cross-Walk Comparing 2015 *PSELs* and the 2008 *ISLLC* Standards
- G: CCSSO-produced Cross-Walk Comparing 2015 *PSELs* and 2008 *ISLLC* Standards
- H: 3-Column Table Showing How *PSELs* Emphasize Equity

# **ATTACHMENT XVII**

## **APPENDIX A**

### ***FINDINGS***

***OF THE***

### ***PRINCIPAL PROJECT ADVISORY TEAM***

**WITH**

**CONSENSUS BELIEFS**

**AND**

**RECOMMENDATIONS**

**FOR THE**

**COMMISSIONER AND NYS BOARD OF REGENTS**

July 11, 2017

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## ACKNOWLEDGEMENTS

These findings were prepared for the New York State Commissioner and the Board of Regents. They are the product of work that was made possible by a grant to New York State Education Department from the Wallace Foundation.

The undertaking was led by 37 individuals. Each accepted an invitation that was extended by the New York State Commissioner MaryEllen Elia. The group was called the *Principal Project Advisory Team*.

David Babikian	Teacher	North Syracuse Central School District
Marc Baiocco	Principal	Alexander Hamilton Junior-Senior High School
Grace Barrett	Teacher	Commack Central School District
John Blowers	Local school board member	Burnt Hills-Ballston Lake School District
David Cantaffa	Higher education	Assistant Provost, State University of New York (SUNY)
Hazel Carter	Higher education	Chair, Leadership Department, City College, City University of New York
William Clark	Civil rights/community group	CEO and Executive Director, Urban League of Rochester, NY
Bergre Escorbores	Principal	South Middle School
Shireen Fasciglione	Principal	Hillsdale Elementary School
Kathleen Feeley	Parent/family representative	Director, Center for Community Inclusion, Long Island Center for Inclusion
David Flatley	Superintendent	Carle Place School District
Soribel Genao	Higher education	Professor, Leadership, Queens College, City University of New York
Adrienne Gliha-Bell	Parent/family representative	Rural Specialist, New York State Parent Teacher Association
Cecilia Golden	Civil rights/community group	Executive Director of Education, Hillside Children's Center
Marie Guillaume	Principal	High School for Energy and Technology
Erika Hunt	Outside expert	Sr. Policy Analyst/Researcher, Center for Study of Ed Policy, Illinois State Univ.
Tracey Johnson	Commissioner appointee	NYSED Associate in Education Improvement Services
Sr. Remigia Kushner	Higher education	Director, SBL Master's Program, Manhattan College
Lynn Lisy-Macan	Higher education	Visiting Assistant Professor in Educational Administration, Univ. at Albany
Kevin MacDonald	District Superintendent	Genesee Valley BOCES
John McKenna	Principal	Fletcher Elementary School
James N. Mills	Higher education	Supervisor of Educational Leadership, Niagara University
Greg Mott	Principal	Pfc. William J. Grabiarz School of Excellence
Pamela Odom	Principal	Grant Middle School
Moses Ojeda	Principal	Thomas A. Edison Career & Technical Education High School
Maria Pacheco	Teacher	Rotterdam-Mohonasen
Edwin Quezada	Superintendent	Yonkers Public Schools
Annette Romano	Teacher	Niskayuna Central Schools
Helen Scharff-Panero	Higher education	Dir., Center for Educ'l Leadership, Baruch College, City University of New York
Howard Schoor	Teacher	Secretary, United Federation of Teachers
Carron Staple	Superintendent	New York City Districts 7, 8, 9, 10, 11
Omar Tabb	Parent/family representative	Educational Partnership Organization Superintendent
Colleen Taggerty	Superintendent	Olean School District
Stephen Todd	District Superintendent	Jeff-Lewis-Hamilton-Herkimer-Oneida BOCES
Allen Williams	Civil rights/community group	Director of Special Projects & Educational Initiatives, City of Rochester
Larry Woodbridge	Local school board member	Executive Director, Principal Preparation Programs
Michelle Young	Outside expert	UCEA Executive Director and professor, Curry School at Univ. of Virginia

Two co-chairs led this effort. They were Helen "Nell" Scharff-Panero and David Flatley. Acting as project executive team sponsor, New York State Education Department Deputy Commissioner for Higher Education John D'Agati provided guidance and direction. Facilitation and report-writing support was provided by Ken Turner.

Efforts have been made to attribute referenced material to the proper and first author. Through public review and comment, the intent is to correct any oversight or omission if notice is provided.

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## PREAMBLE

This begins with a proposition. If we agree that students thrive in the presence of great teachers and great school leaders and if we believe teachers are better equipped to promote learning when they have access to the leadership, guidance, and support of a well-prepared and well-supported principal, then enhancing principal preparation can contribute to greater success for all students.

This ends with a claim. By adopting the enclosed beliefs and recommendations, the Board of Regents can improve the preparation of aspiring principals and support for current principals thereby improving the likelihood of success for students throughout New York State.

Attached are findings and conclusions developed by a Principal Project Advisory Team that was appointed by New York State Commissioner of Education MaryEllen Elia (hereafter “the team”).<sup>i</sup> A total of 37 individuals accepted the appointment and the charge to study whether it is possible to improve the development of school building leadership.<sup>ii</sup> Included were parents, teachers, principals (or those holding school building leader certification), superintendents, district superintendents, local school board members, deans and faculty of schools of education at institutions of higher education, civil rights representatives, and individuals with national expertise in this arena.<sup>iii</sup> Convened initially on September 22, 2016, members met seven times and completed work on May 31, 2017. During that period, the team gathered evidence and weighed options that were designed to improve standards that form the basis for principal certification and standards used to guide principal preparation programs.<sup>iv</sup> Also considered were issues related to professional development, supervision, and evaluation.

The team used a consensus-building process to finalize beliefs and recommendations. Consequently, the proposals that follow have the support of every member. By initially articulating a set of beliefs, the Advisory Team described a vision of the ideal principal preparation program and the well-prepared school building leader. In this way, a framework of beliefs grounded this work. By then formulating recommendations, the team identified what New York State can do to enhance the quality and increase the quantity of aspiring principals as well as improve the support for existing principals and improve retention of effective leadership.

Work proceeded in three stages. In the first phase, timelines were set, deliverables identified, success criteria established, and a project plan developed.<sup>v</sup>

In the second phase, efforts focused on learning what is working with respect to principal preparation, both from a national perspective and in New York State. This was accomplished through 50+ interviews, 21 focus group meetings involving 202 participants, two statewide surveys of 979 stakeholders, and by collecting, reviewing, and summarizing policy-related literature on the topic.<sup>vi</sup> The document review included analysis of laws and regulations concerning school building leader preparation.<sup>vii</sup> Publications were collected (80 documents totaling 5,000 pages), summarized, and housed on a web site with other collateral related to the project.<sup>viii</sup>

This second phase also included collection and analysis of quantitative data comparing university-based preparation programs with respect to candidate enrollment and the pass rates for candidates from those institutions who take the School Building Leader exam (SBL).<sup>ix</sup> Analysis also addressed change over time in the distribution (by age) of those enrolled in SBL programs.<sup>x</sup> It focused on changes over time in the racial and ethnic composition of students, teachers, and principals in New York State public schools with particular attention to fluctuations in the non-White share of each group.<sup>xi</sup> As well, the analysis explored how pass rates for SBL exams varied by race/ethnicity and also varied across time (pass rates for test-takers on earlier forms of the exam were compared to pass rates for test-takers on the current form).<sup>xii</sup>

The third and final stage involved assembling a coalition to guide this work, identifying needed improvements, and building a consensus for change. To assist in the consensus-building process, the 37-member Advisory Team was aided by input from 235 participants in 22 focus group meetings, five different surveys involving 505 stakeholders, and input from the members of various statewide organizations (the *NYS Board of Regents*, the *Metropolitan Council of Educational Administration Programs*, the *Professional Standards and Practices Board*, the *New York State Staff and Curriculum Development Network*, and the *Committee for Identifying and Developing Educational Leadership*).<sup>xiii xiv xv</sup>

The next section provides context for this work.

\* \* \* \* \*

## CONTEXT

Because everything is understood in context, it is useful to situate the topic of principal preparation in New York within a larger landscape. Through the *Every Student Succeeds Act (ESSA)* the federal government has focused both educators and the country on one question.

How do we create conditions that are more conducive to teacher instruction and student learning in ways that contribute to better, more-equitable opportunities and outcomes for all students?<sup>xvi</sup>

Work on the current project has taken place during a time of larger social change. While the principal's job has traditionally been viewed as demanding, responses from surveys and focus group participants suggest that it has become more complex in recent years due to forces and trends both inside and outside of education. This includes a wave of laws that have heightened educator accountability. Demographic shifts make communities more diverse than ever and the presence of English learners commonplace in classrooms.<sup>xvii</sup> Among many New York communities, childhood poverty is growing and racial isolation is increasing.<sup>xviii</sup> Technology advances have opened the door to new teaching avenues; at the same time, social media and ubiquitous smart phones have surfaced new ethical questions related to security, safety, and privacy. As a result, the job of school principal is today viewed as more challenging than a decade ago.

Through surveys, focus groups, and interviews, practitioners have noted and expressed concern that the preparation of school building leaders has not kept pace with these changes. At the same time, through interviews, surveys, focus groups, it is clear that some forward-thinking principal preparation programs stand out for the proactive way they have adapted to take on these new challenges. Nevertheless, the most frequent theme arising from early focus groups was the perception that many earn SBL certification in New York State but not enough are ready to step into the position of principal and be successful.

Fortunately, growing attention is being devoted to the role and importance of school building leadership. This is reflected in several ways. One is a movement among states to modernize the standards that guide certification of school building leaders. An informal poll conducted in January 2017 by the *Council for Chief State School Officers* shows that six states have made the shift to update these standards and 14 others (including NYS) are in process of doing so.<sup>xix</sup> More evidence is seen in a provision within *ESSA* that allows states to set aside three percent of Title II – Part A funds for the purpose of leadership development.<sup>xx</sup>

Leaders of local districts in New York have taken note. Because districts throughout the state expend 80 percent or more of operating funds on personnel, one of the most important decisions district leaders make involves how to recruit, select, develop and retain effective principals.

The next section of contains insights developed by the Principal Project Advisory Team.

\* \* \* \* \*

## INSIGHTS

The collection and analysis of data generated insights that guided team members. A list follows.

1. Many are certified to be school building leaders in NYS but not enough have what is needed to be effective as a principal.
2. When it comes to principal prep, standards are important but “enacted competencies” matter more.
3. Better alignment is needed between what is needed to be a successful principal, what is taught in SBL programs, and what it takes to be SBL certified. For example, the basis of school building leader certification in New York State is a set of standards created in 2008 by the *Interstate School Leaders Licensure Consortium* (or ISLLC).<sup>xxi</sup> However, in 2015 a new set of national standards was released called the *Professional Standards for Educational Leaders* or PSELs).<sup>xxii</sup>
4. Insufficient opportunities exist for school building leader candidates to lead projects in P12 settings so they can apply what they learned in their SBL program. That is to say, at present, to earn SBL certification in NYS, candidates must satisfy three conditions.
  - A statement from an SBL program attesting that a candidate completed a program (including an internship)
  - A satisfactory score on the state-approved SBL exam that is externally administered
  - Three years of teaching experience (or three years in pupil personnel services)

What is absent from regulations is any formal expectation that aspiring principals take what they learn in an SBL program and apply it successfully in an authentic setting to improve staff functioning, student learning, or school performance.

5. Internships are considered an effective way to improve preparation. Internships make guided practice possible within the actual P12 setting. This is especially so when internships are combined with close support from a successful, practicing, school-based administrator. For this to occur, a close relationship must exist between K12 and Higher Education. A decision to place a particular candidate in a particular internship is best made where there is a coordinated effort involving the candidate, the

school district hosting the internship, and representatives from the SBL program in the higher education institution.

6. While there is wide agreement that principals assume the responsibility to improve the schools they lead, the reality is that principal success often depends on the support they get in the job. Unfortunately, in the absence of a mentor to turn to, first-time-ever principals can tend to avoid asking for help (this can lead to a dangerous downward spiral). For this reason, high-quality mentoring that extends through the first year on the job is increasingly considered by most who are well-informed to be an essential element of a high-quality preparation program.
7. In various ways, diversity plays a larger role today than in the past. Even as the racial/ethnic diversity of the student population in NYS is increasing, the racial/ethnic diversity of the principal corps is declining. According to data from the National Center for Education Statistics *School and Staffing Survey*, the non-White share of P12 enrollment in NYS had grown to more than 50% by 2011, but during the same time period the non-White share of school building leaders was shrinking. Whereas one in four principals was non-White in NYS in 2007; by 2011 (the most recent year for which data are available) the share dropped to one in five. At the same time, there is widespread agreement that principals everywhere need the knowledge, skill, and dispositions to be able to address the learning needs of an increasingly diverse student population.
8. With respect to school building leader preparation, the State has a four-part purpose. First, the State sets expectations concerning the standards for individual certification and program design/approval. Second, the State specifies the respective responsibilities of individuals seeking certification, higher education institutions offering programs, districts providing internships, and any other interested parties (BOCES, etc.). Third, the State deploys resources that enable the P-20 system of principal preparation to improve in effectiveness and efficiency. Finally, the State has the responsibility to clearly communicate the source and boundaries of its authority and to fairly exercise that authority in ways that promotes quality, equity, efficiency, and access within the statewide system of school building leader certification.

9. By regulation (8 CRR-NY 52.21 (c)(1-2)), higher education institutions that enroll aspiring principal candidates “shall be continuously accredited by either an acceptable professional accrediting association, meaning an organization which is determined by the department to have equivalent standards to the standards set forth here, or by the Regents, pursuant to a Regents accreditation process.” (This refers to organizations such as the *Council for the Accreditation of Educator Preparation* or CAEP).

The next section contains consensus beliefs statements developed by the Principal Project Advisory Team.

\* \* \* \* \*

## BELIEFS STATEMENTS

### A. Equity

Well prepared school building leader candidates cultivate a climate of compassion and care for the well-being of every child in the school; candidates create a culture that strives to support the learning needs of every student in an environment where all students are valued, are respected, and experience success regardless of their differences (age, gender, socio-economic status, religion, race, ethnicity, sexual orientation, disability, native language, national origin, and other characteristics).

### B. Value Diversity

Effective school building leader preparation programs recruit and produce aspiring leaders from varied backgrounds and historically-under-represented populations who are committed to the success of every student, who value different learning styles, who promote instructional practices that capitalize on a range of cultural traditions, and who strive to eliminate prejudice, stereotype, bias, and favoritism.

### C. Purpose

Well prepared school building leader candidates make it their mission to support staff in the school so every student is equipped for success in the next level of schooling, career, and life; further, candidates have the ability to translate goals into plans, action, and desired results.

### D. Shared Decision-Making and Shared-Leadership

Well prepared school building leader candidates have the willingness and ability to share decision-making and distribute leadership.

### E. Instruction

Well prepared school building leader candidates have the knowledge and skill to improve teacher instruction and student learning.

F. Collaborative Partnership

Well-prepared building leader candidates have the skill, ability, and desire to collaborate so students, staff, and parents feel they belong and community members are valued and appreciated as respected partners.

G. Skillful Practice under Authentic Conditions

Effective school building leader preparation programs produce aspiring principals who demonstrate their readiness for school leadership by successfully applying the skills and knowledge they acquire within authentic settings throughout their preparation program.

H. Reflective Practice

Effective school leader preparation programs require candidates to reflect upon their actions. Well-prepared building leader candidates rely on collegial feedback, student evidence, and current research to inform their reflection and guide their practice.

I. Continuous Improvement and Change Management

Well prepared school building leader candidates display the emotional intelligence, skill, and grace needed to manage the tension and conflict that can arise when schools engage in continuous improvement efforts.

The final section contains consensus recommendations developed by the Principal Project Advisory Team.

\* \* \* \* \*

## RECOMMENDATIONS

- I. Base initial principal certification on the most-current national standards for educational leaders but with emphasis added on educating all students to high levels of performance, the necessity of cultural competence, the utility of culturally-relevant curricula, and the role school leaders should play in efforts to instill a love of learning in young people.<sup>xxiii xxiv xxv xxvi xxvii</sup>
- II. Make initial school building leader certification competency-based. To accomplish this, translate the *Professional Standards for Educational Leaders* into competencies that become the basis for determining certification readiness. That is to say, aspiring school building leaders become eligible for certification by applying the knowledge, skill, and dispositions (acquired in a university-based preparation program) in a school setting to improve staff functioning, student learning, or school performance.<sup>xxviii xxix</sup>
- III. Provide better and different pathways, options, and/or opportunities leading to full-time, extended-period, school-based internships for all aspiring principal candidates. As practical, furnish candidates with an internship that enables them to experience the full range of roles and duties of a principal.
- IV. Provide incentives and expectations that promote stronger and more-sustainable P-20 partnerships involving districts and universities (and if useful BOCES and/or third party organizations with interest and expertise in this arena).<sup>xxx</sup>
- V. Pair internship with high-quality coaching and mentoring support that extends through first full year that a candidate is in the principal job (enumerating what will be done to assure quality mentoring).<sup>xxxi</sup>
- VI. Consistent with existing language within NYS regulations pertaining to competency-based practices and the internship, create a mechanism that: (a) employs a clinically-rich experience; (b) calls upon a knowledgeable in-district expert to observe and attest that a candidate has demonstrated competency with respect to a particular certification standard; (c) culminates in issuance of a micro-credential that is recognized by NYS; and (d) provides a mechanism whereby micro-credentials can be combined in partial fulfillment of requirements for SBL certification.<sup>xxxii</sup> Micro-credentials may take the form of an annotation to an SBL certificate that signals particular expertise of the bearer of the certificate.

- VII. Revise the expectations within the *Continuing Teacher and Leader Education* (CTLE) requirements in such a way that in order to re-register once every five years principals must demonstrate they have acquired the knowledge, skill, and dispositions (i.e., culturally-responsive practices) that prepare them to supervise instruction in ways that address the learning needs of a diverse student population.<sup>xxxiii</sup>
- VIII. Create funding opportunities and non-pecuniary incentives to encourage districts and universities (and if desired, Boards of Cooperative Education Services) to implement models of continuous professional learning for and support to educators during the first three years of their career as school building leaders. These include (but are not limited to) sustainable induction models that may be tied to a principal preparation portfolio in ways that provides feedback to the individual school building leader, to the university-based SBL program, and to the school district leadership. Take steps to furnish on-going, job-embedded professional learning and authentic experiences with diverse student populations (including English language learners, students with disabilities, etc.) during preparation and the first year on the job as a school building leader.
- IX. Reinforce the expectations in current NYS statutes and regulations that require university-based preparation programs to maintain national accreditation (via the *Council for the Accreditation of Educator Preparation* or CAEP). In part, these expectations call for higher education institutions to set goals, targets, and milestones (and report success in efforts) to increase the number and percent of candidates from historically-under-represented populations who enroll and complete programs of study.<sup>xxxiv</sup> Similarly, create expectations and incentives that prompt school districts to set goals (and report on success in efforts) to recruit, select, develop, and place individuals from historically under-represented populations within the ranks of their school building leaders.
- X. In support of VIII and IX (above), identify and deploy non-public sources of funds to improve the ability of district hiring managers to identify, recruit, select, place, and develop talented principals (both aspiring and current school building leaders). Design and implement indicators and measures to gauge the efficacy of SED efforts to: (a) support and enhance the growth of individual principals and the staff members in schools they lead; and (b) support P-20 partnerships in their efforts to improve the identification, recruitment, selection, placement and development of aspiring school building leaders (especially but not exclusively those from historically-under-represented populations).

- XI. As a possible option (prior to full-scale implementation of state-adopted changes to the process of school building leader certification), design and offer a step-up plan that includes meaningful incentives and that makes possible a pilot involving a P-20 partnership (opt-in participation for BOCES) and a process of learning from the pilot.

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<sup>i</sup> In this context, the term “principal” refers to an individual who earned the School Building Leader (SBL) certificate in New York State and who is employed to lead a school. Beyond principals, others may hold the SBL certificate in NYS. Those who have earned SBL certification can include assistant principals, program coordinators, central office administrators, or other staff positions that perform administrative duties. In some cases, aspiring principals may include classroom teachers who hold the SBL certificate but have not yet attained a position that has the title of “principal”. Because the purpose of the Principal Project Advisory Team is to identify ways to improve the development of school building leaders, the Advisory Team members considered and addressed the runway leading to the principal-ship. Thus, aspiring principals were of interest and concern to the Advisory Team. Unless otherwise noted in the text, when the term “school building leader” appears, it generally refers to anyone holding the title of principal with the understanding that it may more broadly pertain to others who hold the SBL certificate but do not yet hold the principal title.

<sup>ii</sup> Invitation is at <http://www.nysed.gov/common/nysed/files/commissioner-letter-of-invitation-to-serve-on-the-advisory-team.pdf>. A memo from the Commissioner is at <http://www.nysed.gov/common/nysed/files/principal-project-memo-from-commissioner-to-principal-proj-adv-tm.pdf>.

<sup>iii</sup> A list of members is found at <http://www.nysed.gov/common/nysed/files/members-of-the-principal-project-advisory-team.pdf>

<sup>iv</sup> The term “school building leader preparation program” means any of the 47 graduate-level programs in New York State that universities offer which have earned permission of the New York State Education Department to enroll students who seek to acquire the school building leader certification. This is the certification that is needed to be employed as principal in a school. The SBL acronym refers to school building leader.

<sup>v</sup> <http://www.nysed.gov/common/nysed/files/charge-deliverables-and-success-criteria.pdf>

<http://www.nysed.gov/common/nysed/files/management-action-plan-for-principal-preparation-project.pdf>

<sup>vi</sup> Themes emerging from 21 focus group meetings are found at <http://www.nysed.gov/common/nysed/files/focus-group-themes.pdf>. Graphs showing survey responses are found at <http://www.nysed.gov/common/nysed/files/graphs-from-the-surveys-completed-by-focus-groups.pdf>. A summary of the literature is found at <http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation.pdf>. Another summary is found at <http://www.nysed.gov/common/nysed/files/summary-of-the-literature-on-principal-preparation-part-two.pdf>. Another is at <http://www.nysed.gov/common/nysed/files/principal-project-summary-of-the-literature-on-principal-preparation-part-three.pdf>.

<sup>vii</sup> <http://www.nysed.gov/common/nysed/files/graphic-showing-relationship-of-nys-laws-regs-and-sbl-standards.pdf>

<http://www.nysed.gov/common/nysed/files/table-of-requirements-affecting-individuals-programs-institutions.pdf>

<http://www.nysed.gov/common/nysed/files/table-showing-relationship-of-standards-for-programs-and-individuals.pdf>

<http://www.nysed.gov/common/nysed/files/long-form-of-title-viii-regulations-from-nys-re-school-building-leader-preparation.pdf>

<sup>viii</sup> <http://www.nysed.gov/schools/principal-project-advisory-team>

<sup>ix</sup> <http://www.nysed.gov/common/nysed/files/principal-project-cautionary-note-three-graphs.pdf>

<sup>x</sup> <http://www.nysed.gov/common/nysed/files/principal-project-age-distribution-for-sbl-candidates.pdf>

<sup>xi</sup> <http://www.nysed.gov/common/nysed/files/principal-project-mismatch-display-nov-1-2016.pdf>

<sup>xii</sup> <http://www.nysed.gov/common/nysed/files/principal-project-chart-displaying-results-of-sbl-exams.pdf>

<sup>xiii</sup> <http://www.nysed.gov/common/nysed/files/themes-emerging-22-focus-groups-conducted-march-april-2017.pdf>

<sup>xiv</sup> <http://www.nysed.gov/common/nysed/files/graphs-reaction-235-survey-respondents-belief-statements-apr-11-2017.pdf>

<sup>xv</sup> <http://www.nysed.gov/common/nysed/files/graphs-reaction-235-survey-respondents-to-recommendations-apr-11-2017.pdf>

<sup>xvi</sup> Reference here to “all students” involves providing the access and services needed for students to acquire the knowledge and skills to successfully pursue their chosen path in life. This may involve customized opportunities and individualized support. The understanding that “all means all” explains the moral obligation of educators and especially school building leaders to advocate for and take action to promote the success of every student, regardless of a student’s disability or circumstance. This contemporary view of a social covenant that includes a duty to advance the welfare of others has been articulated by many including NYU scholar Kwame Anthony Appiah. Paraphrasing Appiah’s view of commonness plus difference, he says, “Two things are true. We are all alike. We are all different.” (*Cosmopolitanism: Ethics in a World of Strangers*).

<sup>xvii</sup> In this context, the term “diverse” or “diversity” means differences in a variety of way. This includes but is not limited to age, gender, socio-economic status, religion, race, ethnicity, sexual orientation, disability, native language, or national origin.

<sup>xviii</sup> <http://www.nysed.gov/common/nysed/files/kucsera-new-york-extreme-segregation-2014.pdf>

<sup>xix</sup> <http://www.nysed.gov/common/nysed/files/principal-project-table-showing-state-progress-toward-revising-leadership-standards.pdf>

<sup>xx</sup> See *Non-Regulator Guidance for Title II Part A* issued September 27, 2016 by the U.S. Department of Education. This is found at this link. <https://www2.ed.gov/policy/elsec/leg/essa/essatitleiipartaguidance.pdf>. It states, “Under ESEA section 2101(c)(3), an SEA may also reserve up to an additional 3 percent of the total amount available for LEA subgrants to support activities for principal [preparation and development].”

<sup>xxi</sup> <http://www.nysed.gov/common/nysed/files/principal-project-file-53-isllc-standards-2008.pdf>

<sup>xxii</sup> <http://www.nysed.gov/common/nysed/files/file-23-professional-standards-for-educational-leaders-2015.pdf>

<sup>xxiii</sup> For the purpose of this work, references to students in Standards 4, 5 and 6 have been changed from the original 2015 *Professional Standards for Educational Leaders (PSELs)*. Whereas the PSELs in the original refer to “each student”, for these recommendations, reference is instead made to “all students.” The rationale for this shift follows. Students differ in many ways. This includes age, gender, disability, socio-

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economic status, religion, race, ethnicity, sexual orientation, native language, national origin, and other characteristics. Nevertheless, the standards express the commitment of effective educational leaders to the academic success and well-being of all students. “All means all.”

<sup>xxiv</sup> In this context, the term “culturally-relevant” means an approach that enables students to acquire knowledge and skill by connecting new learning to prior experience. The term “cultural competence” means the ability to use culturally-relevant approaches

<sup>xxv</sup> Standard 4 of the PSELs pertains to Curriculum, Instruction, and Assessment. It is recommended that the phrasing of Standard 4 be revised to state the following. “Effective educational leaders develop and support intellectually rigorous, culturally relevant, and coherent systems of curriculum, instruction, and assessment to promote the academic success and well-being of all students,”

<sup>xxvi</sup> Standard 5 of the PSELs pertains to Community of Care and Support for Students. It is recommended that the language be revised to state the following. “Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of all students.”

<sup>xxvii</sup> Standard 6 of the PSELs pertains to Professional Capacity of School Personnel. It is recommended that the language be revised to state the following. “Effective educational leaders develop the professional capacity, cultural competence, and practice of school personnel to promote the love of learning, academic success, and well-being of all students.”

<sup>xxviii</sup> Within this recommendation there is an element that involves the decision about whether to eliminate, revise, or replace the current School Building Leader exam. Given the results of alignment studies, New York State should consider augmenting or replacing the current SBL exam with a competency-based assessment.

<sup>xxix</sup> As the state considers whether to eliminate, revise, or replace the current SBL exam with a competency-based assessment, the state should give thought to how a move in the direction of competency-based assessment can help support and enhance state efforts to advance its goals of improving the representation of historically-under-represented populations within the corps of school building leaders. That is, while maintaining a commitment to quality (when it comes to certification, program approval and institutional accreditation), the state should take steps to improve the presence of historically-under-represented populations in the ranks of successful school building leaders by employing multiple pathways to SBL certification that include competency-based demonstrations and peer review of portfolios containing multiple forms of evidence (beyond test-based results). In this context, the term “multiple pathways” does not refer to alternative certification but instead on broadening the tools used to determine candidate readiness for certification beyond test-based assessments.

<sup>xxx</sup> To institutionalize the P20 partnerships, through regulation create a set of expectations that formalizes the roles that university and district partners play in assessing candidate competency in each required standards.

<sup>xxxi</sup> Create a measurable first-year mentoring requirement that features a full school year of formal mentoring. Structure it so higher education partners with districts (and if desired other organizations with expertise in mentoring) so there is a continuation of formal training received in principal preparation. To allow this, develop a job embedded candidate portfolio process to accompany principal preparation so the portfolio follows candidates into the job. The portfolio contains a competency-based assessment – that includes but is not limited to self-assessment -- that starts in preparation but with a line of sight to on-the-job evaluation and which measures each candidate’s strengths and weaknesses in an effort to focus mentoring efforts on target areas of growth and development that are tailored to the strengths and needs of each candidate. Further, provide targeted support to train and develop mentors as well as for consideration for mentor placement, including working with professional organization for assistance and guidance from existing models of success, e.g., Committee for Identifying and Developing Educational Leaders in Western New York State (or CIDEL).

<sup>xxxii</sup> <http://www.nysed.gov/common/nysed/files/principal-project-context-for-a-discussion-today-about-a-competency-based-approach-mar-22-2017.pdf>

<sup>xxxiii</sup> This shall include knowledge of and proficiency with both “universal design” and “culturally responsive practices”.

<sup>xxxiv</sup> This especially pertains to CAEP Standard 3.1 that calls for the “provider to present plans and goals to recruit and support completion of high-quality candidates from a broad range of backgrounds and diverse populations to accomplish their mission. The admitted pool of candidates reflects the diversity of America’s P-12 students.”

## APPENDIX B

### Professional Standards for Educational Leaders Produced by the National Policy Board for Educational Administration (CCSSO, copyright 2015)

Standard 1: Mission, Vision, and Core Values: Effective educational leaders develop, advocate, and enact a shared mission, vision, and core values of high-quality education and academic success and well-being of each student.

- a. Develop an educational mission for the school to promote the academic success and well-being of each student.
- b. In collaboration with members of the school and the community and using relevant data, develop and promote a vision for the school on the successful learning and development of each child and on instructional and organizational practices that promote such success.
- c. Articulate, advocate, and cultivate core values that define the school's culture and stress the imperative of child-centered education; high expectations and student support; equity, inclusiveness, and social justice; openness, caring, and trust; and continuous improvement.
- d. Strategically develop, implement, and evaluate actions to achieve the vision for the school.
- e. Review the school's mission and vision and adjust them to changing expectations and opportunities for the school, and changing needs and situations of students.
- f. Develop shared understanding of and commitment to mission, vision, and core values within the school and the community.
- g. Model and pursue the school's mission, vision, and core values in all aspects of leadership

Standard 2: Ethics and Professional Norms: Effective educational leaders act ethically and according to professional norms to promote each student's academic success and well-being.

- a. Act ethically and professionally in personal conduct, relationships with others, decision-making, stewardship of the school's resources, and all aspects of school leadership.
- b. Act according to and promote the professional norms of integrity, fairness, transparency, trust, collaboration, perseverance, learning, and continuous improvement.
- c. Place children at the center of education and accept responsibility for each student's academic success and well-being.
- d. Safeguard and promote the values of democracy, individual freedom and responsibility, equity, social justice, community, and diversity.
- e. Lead with interpersonal and communication skill, social-emotional insight, and understanding of all students' and staff members' backgrounds and cultures.
- f. Provide moral direction for the school and promote ethical and professional behavior among faculty and staff.

Standard 3: Equity and Cultural Responsiveness: Effective educational leaders strive for equity of educational opportunity and culturally responsive practices to promote each student's academic success and well-being.

- a. Ensure that each student is treated fairly, respectfully, and with an understanding of each student's culture and context.
- b. Recognize, respect, and employ each student's strengths, diversity, and culture as assets for teaching and learning.
- c. Ensure that each student has equitable access to effective teachers, learning opportunities, academic and social support, and other resources necessary for success.
- d. Develop student policies and address student misconduct in a positive, fair, and unbiased manner.
- e. Confront and alter institutional biases of student marginalization, deficit-based schooling, and low expectations associated with race, class, culture and language, gender and sexual orientation, and disability or special status.

- f. Promote the preparation of students to live productively in and contribute to the diverse cultural contexts of a global society.
- g. Act with cultural competence and responsiveness in their interactions, decision making, and practice.
- h. Address matters of equity and cultural responsiveness in all aspects of leadership

**Standard 4: Curriculum, Instruction, and Assessment:** Effective educational leaders develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student's academic success and well-being.

- a. Implement coherent systems of curriculum, instruction, and assessment that promote the mission, vision, and core values of the school, embody high expectations for student learning, align with academic standards, and are culturally responsive.
- b. Align and focus systems of curriculum, instruction, and assessment within and across grade levels to promote student academic success, love of learning, the identities and habits of learners, and healthy sense of self.
- c. Promote instructional practice that is consistent with knowledge of child learning and development, effective pedagogy, and the needs of each student.
- d. Ensure instructional practice that is intellectually challenging, authentic to student experiences, recognizes student strengths, and is differentiated and personalized.
- e. Promote the effective use of technology in the service of teaching and learning.
- f. Employ valid assessments that are consistent with knowledge of child learning and development and technical standards of measurement.
- g. Use assessment data appropriately and within technical limitations to monitor student progress and improve instruction.

**Standard 5: Community of Care and Support for Students:** Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of each student.

- a. Build and maintain a safe, caring, and healthy school environment that meets that the academic, social, emotional, and physical needs of each student.
- b. Create and sustain a school environment in which each student is known, accepted and valued, trusted and respected, cared for, and encouraged to be an active and responsible member of the school community.
- c. Provide coherent systems of academic and social supports, services, extracurricular activities, and accommodations to meet the range of learning needs of each student
- d. Promote adult-student, student-peer, and school-community relationships that value and support academic learning and positive social and emotional development.
- e. Cultivate and reinforce student engagement in school and positive student conduct.
- f. Infuse the school's learning environment with the cultures and languages of the school's community.

**Standard 6: Professional Capacity of School Personnel:** Effective educational leaders develop the professional capacity and practice of school personnel to promote each student's academic success and well-being.

- a. Recruit, hire, support, develop, and retain effective and caring teachers and other professional staff and form them into an educationally effective faculty.
- b. Plan for and manage staff turnover and succession, providing opportunities for effective induction and mentoring of new personnel.
- c. Develop teachers' and staff members' professional knowledge, skills, and practice through differentiated opportunities for learning and growth, guided by understanding of professional and adult learning and development.
- d. Foster continuous improvement of individual and collective instructional capacity to achieve outcomes envisioned for each student.
- e. Deliver actionable feedback about instruction and other professional practice through valid, research-anchored systems of supervision and evaluation to support the development of teachers' and staff members' knowledge, skills, and practice.
- f. Empower and motivate teachers and staff to the highest levels of professional practice and to

continuous learning and improvement.

- g. Develop the capacity, opportunities, and support for teacher leadership and leadership from other members of the school community.
- h. Promote the personal and professional health, well-being, and work-life balance of faculty and staff.
- i. Tend to their own learning and effectiveness through reflection, study, and improvement, maintaining a healthy work-life balance.

**Standard 7: Professional Community for Teachers and Staff:** Effective educational leaders foster a professional community of teachers and other professional staff to promote each student's academic success and well-being.

- a. Develop workplace conditions for teachers and other professional staff that promote effective professional development, practice, and student learning.
- b. Empower and entrust teachers and staff with collective responsibility for meeting the academic, social, emotional, and physical needs of each student, pursuant to the mission, vision, and core values of the school.
- c. Establish and sustain a professional culture of engagement and commitment to shared vision, goals, and objectives pertaining to the education of the whole child; high expectations for professional work; ethical and equitable practice; trust and open communication; collaboration, collective efficacy, and continuous individual and organizational learning and improvement.
- d. Promote mutual accountability among teachers and other professional staff for each student's success and the effectiveness of the school as a whole.
- e. Develop and support open, productive, caring, and trusting working relationships among leaders, faculty, and staff to promote professional capacity and the improvement of practice.
- f. Design and implement job-embedded and other opportunities for professional learning collaboratively with faculty and staff.
- g. Provide opportunities for collaborative examination of practice, collegial feedback, and collective learning.
- h. Encourage faculty-initiated improvement of programs and practices.

**Standard 8: Meaningful Engagement of Families and Community:** Effective educational leaders engage families and the community in meaningful, reciprocal, and mutually beneficial ways to promote each student's academic success and well-being.

- a. Are approachable, accessible, and welcoming to families and members of the community.
- b. Create and sustain positive, collaborative, and productive relationships with families and the community for the benefit of students.
- c. Engage in regular and open two-way communication with families and the community about the school, students, needs, problems, and accomplishments.
- d. Maintain a presence in the community to understand its strengths and needs, develop productive relationships, and engage its resources for the school.
- e. Create means for the school community to partner with families to support student learning in and out of school.
- f. Understand, value, and employ the community's cultural, social, intellectual, and political resources to promote student learning and school improvement.
- g. Develop and provide the school as a resource for families and the community.
- h. Advocate for the school and district, and for the importance of education and student needs and priorities to families and the community.
- i. Advocate publicly for the needs and priorities of students, families, and the community.
- j. Build and sustain productive partnerships with public and private sectors to promote school improvement and student learning.

**Standard 9: Operations and Management:** Effective educational leaders manage school operations and resources to promote each student's academic success and well-being.

- a. Institute, manage, and monitor operations and administrative systems that promote the mission and vision of

the school.

- b. Strategically manage staff resources, assigning and scheduling teachers and staff to roles and responsibilities that optimize their professional capacity to address each student's learning needs.
- c. Seek, acquire, and manage fiscal, physical, and other resources to support curriculum, instruction, and assessment; student learning community; professional capacity and community; and family and community engagement.
- d. Are responsible, ethical, and accountable stewards of the school's monetary and non-monetary resources, engaging in effective budgeting and accounting practices.
- e. Protect teachers' and other staff members' work and learning from disruption.
- f. Employ technology to improve the quality and efficiency of operations and management.
- g. Develop and maintain data and communication systems to deliver actionable information for classroom and school improvement.
- h. Know, comply with, and help the school community understand local, state, and federal laws, rights, policies, and regulations so as to promote student success.
- i. Develop and manage relationships with feeder and connecting schools for enrollment management and curricular and instructional articulation.
- j. Develop and manage productive relationships with the central office and school board.
- k. Develop and administer systems for fair and equitable management of conflict among students, faculty and staff, leaders, families, and community.
- l. Manage governance processes and internal and external politics toward achieving the school's mission and vision.

Standard 10: School Improvement: Effective educational leaders act as agents of continuous improvement to promote each student's academic success and well-being.

- a. Seek to make school more effective for each student, teachers and staff, families, and the community.
- b. Use methods of continuous improvement to achieve the vision, fulfill the mission, and promote the core values of the school.
- c. Prepare the school and the community for improvement, promoting readiness, an imperative for improvement, instilling mutual commitment and accountability, and developing the knowledge, skills, and motivation to succeed in improvement.
- d. Engage others in an ongoing process of evidence-based inquiry, learning, strategic goal setting, planning, implementation, and evaluation for continuous school and classroom improvement.
- e. Employ situationally-appropriate strategies for improvement, including transformational and incremental, adaptive approaches and attention to different phases of implementation.
- f. Assess and develop the capacity of staff to assess the value and applicability of emerging educational trends and the findings of research for the school and its improvement.
- g. Develop technically appropriate systems of data collection, management, analysis, and use, connecting as needed to the district office and external partners for support in planning, implementation, monitoring, feedback, and evaluation.
- h. Adopt a systems perspective and promote coherence among improvement efforts and all aspects of school organization, programs, and services.
- i. Manage uncertainty, risk, competing initiatives, and politics of change with courage and perseverance, providing support and encouragement, and openly communicating the need for, process for, and outcomes of improvement efforts.
- j. Develop and promote leadership among teachers and staff for inquiry, experimentation and innovation, and initiating and implementing improvement.

## APPENDIX C

In part, the plan NYS developed to meet ESSA requirements makes specific reference to the work of the *Principal Preparation Project*.

“With assistance from the Wallace Foundation, the Department has launched the *Principal Preparation Project*, which aims to enhance State support for the development of school building leaders.”

*Table 1: Comparison of the Recommendations from the Principal Project Advisory Team and the Plan from New York State to Respond to ESSA Requirements*

<i>Principal Prep Project Recommendations</i>	<i>Citations from the ESSA Plan for New York State</i>
<p>1. Base initial principal certification on the most current national <u>standards</u> for educational leaders (but with added emphasis on educating all students to high levels of performance, the necessity of cultural competence and culturally-relevant curricula, and the role principals should play in efforts to instill a love of learning in young people).</p>	<p>Specific to the preparation of school building leaders and consistent with the recommendations of the <i>Principal Preparation Project</i>, Department staff will explore the following approaches to ensure better professional learning and support for aspiring leaders. [This includes] organizing certification around the 2015 <u>Professional Standards for Educational Leaders (PSEL)</u>.</p>
<p>2. Make certification <u>competency-based</u>. Candidates are certified by applying skill/knowledge from a preparation program in a P12 setting to improve staff functioning, student learning, or school performance.</p>	<p>“Specific to the preparation of school building leaders and consistent with the recommendations of the <i>Principal Preparation Project</i>, Department staff will explore the following approaches to ensure better professional learning and support for aspiring leaders. [This includes] adding a <u>competency-based expectation</u> 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.”</p> <p>“At the same time that the Department will begin to work more closely with LEAs to address gaps in equitable access to effective, qualified, culturally-responsive and experienced educators, the Department will undertake a number of other State-level initiatives . . . Building on the recommendations of the <i>TeachNY</i> Advisory Council and the <i>Principal Preparation Project</i>, 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 <u>prepared on day one to have the greatest effect on improving student outcomes</u>.</p>
<p>3. Make available full-time, extended-period, school-based <u>internships</u> for aspiring principals so they experience the full range of principal roles.</p>	<p>“Specific to the preparation of school building leaders and consistent with the recommendations of the <i>Principal Preparation Project</i>, Department staff will explore the following approaches to ensure better professional learning and support for aspiring leaders. [This includes] strengthening university-based School Building Leader (SBL) programs by closely linking the 2015 PSEL with extended school-based <u>internship</u> [and] creating pathways, options, and/or opportunities leading to full-time, year-long, school-based <u>internships</u> for aspiring principals.”</p>

Principal Prep Project Recommendations	Citations from the ESSA Plan for New York State
<p>4. Promote stronger, more-sustainable <u>P-20 partnerships</u> [for the purpose of principal preparation] involving districts and universities and if useful BOCES or others with expertise in this area.</p>	<p>“Consistent with the recommendations of the <i>TeachNY</i> Advisory Council, the Department will also encourage the creation of <u>P-20 partnerships</u> 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.”</p>
<p>5. Pair internship with high-quality <u>coaching and mentoring</u> support that extends through the first full year on the job as a principal.</p>	<p>“Teachers and principals who have an initial certificate and who are working toward a professional certificate must complete a <u>mentoring</u> experience in their first year of teaching or school building leadership service in a public school district. Pursuant to section 100.2(dd) of Commissioner Regulations, mentoring program is to be developed and implemented locally, consistent with collective bargaining obligation required by article 14 of Civil Service Law.”</p> <p>“In its Professional Development Plan, each district must describe its <u>mentoring</u> program:</p> <ul style="list-style-type: none"> <li>- The procedure for selecting mentors,</li> <li>- The role of mentors,</li> <li>- 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</li> <li>- 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</li> <li>- Time allotted for mentoring</li> </ul> <p>The purpose of the <u>mentoring</u> 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.”</p> <p>“Research included in the <i>TeachNY</i> Advisory Council Report has shown that educators who engage in collaborative activities that encourage high-level collegiality such as <u>mentoring</u> are more likely to report greater satisfaction in their career and more likely to stay in their current roles . . . However, the quality of this experience currently varies significantly across districts in New York State.”</p> <p>“Department staff will explore revisions to the current first-year <u>mentoring</u> 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.”</p>

<i>Principal Prep Project Recommendations</i>	<i>Citations from the ESSA Plan for New York State</i>
<p>6. Create a mechanism that employs a clinically-rich experience, calls on in-district expert to observe and then to attest that candidates demonstrate competency on certification standard and then culminates in issuance of a micro-credential.</p>	<p>“Before a university attests that an aspiring school building leader who has completed its SBL program is “certification ready,” <u>the superintendent or mentor who is sponsoring the aspiring leader’s internship must also attest</u> that the candidate demonstrated readiness for certification by successfully completing a set of projects that <u>demonstrate competency</u> with respect to the State-adopted certification standards.”</p>
<p>7. Revise <i>Continuing Teacher and Leader Education (CTLE)</i> so every 5 years principals show they are prepared to address the learning needs of an <u>increasingly-diverse student population</u></p>	<p>[The Department will explore] “creating formative <u>assessments of cultural competence</u> and will support the admission and retention of excellent teacher and leader candidates.”</p>
<p>8. Create <u>induction</u> models that provide feedback to a principal, to university-based prep program and to school district leadership. Furnish on-going, job-embedded professional learning and authentic experiences with diverse populations (English language learners, students with disabilities, etc.) during preparation and first year on the job as principal.</p>	<p>“The Department will work with higher education school leader preparation programs to provide appropriate and ongoing support to LEAs in curriculum development and expansion of instruction and professional development. This includes strengthening existing <u>induction</u> programs, expanding recruitment activities to attract a wider pool of diverse candidates, 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. . . . Recognizing that educators need support beyond just their first year of school leadership, Department staff will develop and encourage districts/BOCES to adopt induction models that provide a menu of differentiated supports during the first three years of 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.”</p>
<p>9. Call for prep programs and districts to set goals to increase the number and the percentage of candidates from <u>historically-under-represented populations</u> who enroll and complete programs, and are employed.</p>	<p>“The Department believes it is important to ensure that the pipeline of future educators includes <u>culturally and linguistically diverse candidates</u> such that the demographics of the educator workforce can better <u>mirror the demographics of New York State’s student population</u> . . . For principals, the Department adopted 2008 ISSLC standards. Standards 2, 4, 6 most directly address expectations for educational leaders to meet the needs of all students. The Department has launched the <i>Principal Preparation Project</i> 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 moving from the 2008 ISSLC standards to the 2015 PSEL standards. The 2015 PSEL standards more explicitly address the <u>need for education leaders to address the needs of a diverse student population</u> than do the 2008 ISSLC standards.”</p>

<i>Principal Prep Project Recommendations</i>	<i>Citations from the ESSA Plan for New York State</i>
<p>10. Implement indicators to <u>gauge the efficacy of SED</u> efforts to: (a) support growth of principals and schools; (b) support P-20 partnerships efforts to improve principal development (especially but not exclusively historically-under-represented populations).</p>	<p>“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, <u>the Department will set-aside a portion of its Title IIA funds</u>, 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 <u>potential uses of funds could include the establishment of Principals Centers, communities of practice</u>, residency and other extended internships, mentoring programs, and on-site expert technical assistance and coaching for principals.”</p> <p>“The Department’s use of Title II, Part A funding is centered on . . . <u>helping school districts and BOCES develop comprehensive systems of support for school leaders</u> that will help ensure that all students have equitable access to effective, experienced, and appropriately qualified teachers and leaders.”</p>
<p>11. Offer incentives that make possible a pilot involving a <u>P-20 partnership</u> (opt-in for BOCES) and a process of learning from the pilot.</p>	<p>“[The] Department intends that a portion of Title IIA <u>funding be set aside to expand preparation programs</u> that provide greater opportunities for candidates (both teachers and principals) to apply the knowledge and skills that they acquire in authentic settings. This <u>funding could be allocated to residency programs or other innovative preparation models</u> that provide aspiring teachers and school leaders with greater opportunities for practical experience throughout their preparation programs.”</p>

## Metropolitan Council of Educational Administration Programs

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May 20, 2016

Dr. Betty Rosa, Chancellor  
New York State Board of Regents  
89 Washington Avenue  
Albany, New York 12234

RECEIVED

JUN 20 2016

Dr. MaryAnn Elia  
NYS Education Commissioner  
89 Washington Avenue  
Albany, New York 12234

COMMISSIONER  
OF EDUCATION

Dear Dr. Betty Rosa:

*Dr. MaryAnn Elia*

We are writing to provide a policy recommendation on behalf of the Metropolitan Council of Educational Administration Programs (MCEAP) and the Collegiate Association of Departments of Educational Administration (CADEA). MCEAP is an association of 20-30 public and private leadership preparation programs in the greater New York City area and CADEA is an association of all 50+ leadership preparation programs statewide.

We propose that New York State adopt the 2015 Professional Standards for Educational Leaders as the state's educational leadership standards, replacing the state's adoption of the 2008 ISLLC standards, which are an earlier version. The new professional standards were developed to "refresh" the 2008 ISLLC standards. They were formally adopted by the national Policy Board in November 2015, following almost two years of research, review and analysis of the changing role of principals and aspirational expectations for effective leaders. These new standards draw broadly from the professions and higher education.

In 2010, New York State adopted the 2008 ISLLC standards as the state's leadership standards and since then has used these to foster policy coherence in principal preparation, licensure, professional development and evaluation

<http://www.regents.nysed.gov/meetings/2010Meetings/February2010/0210hed1.htm>;

<http://www.highered.nysed.gov/tcert/resteachers/memos/memo111710.html>;

[file:///C:/Users/mterr\\_000/Downloads/appr-guidance-3012-d.pdf](file:///C:/Users/mterr_000/Downloads/appr-guidance-3012-d.pdf) (see p. 18);

<http://www.highered.nysed.gov/tcert/resteachers/tlqp/tlqpleadershiprfp2015.pdf>).

Specifically, New York State used the 2008 ISLLC standards as:

- A recommended framework for preparation program content
- A required alignment for program accreditation (because the state requires national accreditation which is aligned with the national leadership standards)
- A basis for the NYS school building leader and school district leader assessments for licensure
- A required alignment for principal evaluation

## Metropolitan Council of Educational Administration Programs

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- A required framework for state leadership development funding, such as Teacher Leader Quality Program (TLQP) funding.

There are several reasons that NY state should now replace the 2008 standards in all these purposes with the new 2015 standards. First is their alignment with NYS policies and priorities:

- the new standards are more closely aligned with the state's educational reform priorities, with separate standards on leadership for curriculum, instruction, and assessment, developing the professional capacity and practice of school personnel and fostering a professional community for teachers and staff.
- The new standards reflect more clearly Regents' priority for equity, cultural responsiveness, school improvement and cultivating an inclusive, caring, and supportive school community.

Second, their alignment with national professional standards will facilitate access and use of any new tools and resources for principal preparation, program accreditation, and principal evaluation which are currently being developed.

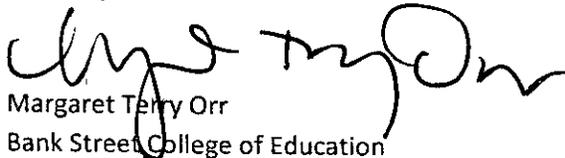
Finally, by adopting their use for all core leadership policies, the state will continue its policy coherence, which reinforces the benefits in their use in providing direction and assessment criteria for school leaders.

We recommend that the Regents and Department take action to:

- Adopt the 2015 Professional Standards for Educational Leaders
- Use these to replace the use of the 2008 ISLLC standards for:
  - preparation program requirements and accreditation
  - SBL/SDL frameworks
  - Principal evaluation observations under the APPR
  - State funding for educational leadership development

MCEAP members voted unanimously to support these actions and offer to work with the Regents and Department on the standards' adoption and use.

Sincerely,



Margaret Terry Orr  
Bank Street College of Education  
Faculty, and  
President, Metropolitan Council  
For Educational Administration  
Programs (MCEAP)(NYC metro area)



Rose Rudnitski, SUNY-New Paltz.  
Professor Emeritus and  
President, Collegiate Association of  
Departments of Educational  
Administration (CADEA) (statewide)

## APPENDIX E: LETTERS FROM ORGANIZATIONS WITH OPINIONS ON RECOMMENDATIONS

### THESE ORGANIZATIONS SUBMITTED LETTERS

- Rochester-based organizations (Urban League, Hillside Children's Center, Mayor's Office)
- Deans at Independent Colleges and Universities that offer SBL programs
- Empire State Supervisors and Administrators Association or ESSAA
- New York State United Teachers or NYSUT
- Ed School Deans at CUNY institutions offering SBL programs
- Metropolitan Council for Educational Administration Program or MCEAP
- Collegiate Association for Development of Educational Administration or CADEA

### THESE ORGANIZATIONS HAVE BEEN INVITED TO SUBMIT LETTERS – AWAITING RECEIPT

- Ed Schools Deans at SUNY institutions offering SBL programs
- Council for School Supervisors and Administrators or CSA
- School Administrators Association of New York State or SAANYS
- New York State Federation of School Administrators or NYSFSA
- New York State Council of School Superintendents or NYSCOSS
- New York State School Board Association or NYSSBA
- Professional Standards and Practices Board at NYSED
- United Federation of Teachers or UFT
- Chancellor of NYCDOE and Superintendents of Buffalo, Rochester, Syracuse, and Yonkers
- Parent-Teacher Association or NYS PTA



Urban League of  
Rochester, N.Y., Inc.

July 5, 2017

Deputy Commissioner  
Office of Higher Education  
Room 975, Education Building Annex  
Albany, New York 12234

Dear Commissioner D'Agati:

First, we would like to thank you for the opportunity to share our collective perspective regarding the Principals' Preparation Project Advisory Team, in which we participated as the Rochester, New York contingency. Representing the Mayor's office of City of Rochester, Allen Williams; the President and CEO of the Urban League of Greater Rochester, William Clark; and the Executive Director of Education for the Hillside Family of Agencies, Cecilia G. Golden, we were able to bring our commitment to, knowledge of and leadership to this initiative.

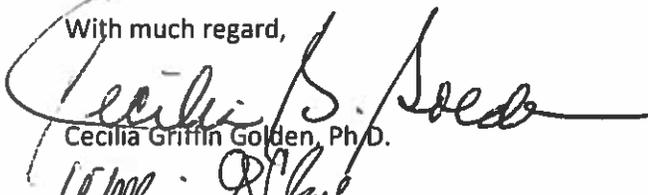
It is our opinion that the work of the Advisory Team was facilitated with a focused attention to collaboration and consensus building. With the size of the group and varied perspectives of the participants, this was no easy task. From our points of view, the results of the process do indeed represent the best thinking of not only those in the room, but from a broad range of stakeholders in the state. While this is an important step in the right direction as it pertains to the development, support and implementation science regarding the effective preparation of school principal, the next very critical step is for the New York State Board of Regents to adopt and support the recommendations of the Advisory Team.

We encourage the Regents to view the endorsements of the Advisory Team as an earnest and comprehensive effort to accomplish two things: 1) the equipping our next generation of school leaders with the knowledge, skills, and dispositions that promote engagement and propel learning; and, 2) the elevation of the knowledge base, cultural understanding and practices of current school leader practitioners. It is apparent that many of our school districts are performing at levels that are inconsistent with the needs of our communities in general, and higher education and the world of work in particular. Our rural and urban school centers appear to be suffering the most. In order to transform these schools, we believe that school principals/leaders are needed that can effectively serve as instructional leaders; who have the ability to make data informed decisions; and who have a proclivity for consensus building. All of these assets, we believe are needed in order to create highly effective, culturally competent learning organizations. Further, we believe, as does the entire Advisory Team, that diversity of school leadership matters. The recruitment and retention of diverse school leaders as well as culturally responsive practices must be a focused agenda for education administration programs and school districts. While pockets of academic excellence may be found, there are far too many school districts that persistently struggle, particularly with schools in our urban centers facing increased poverty, homelessness, and high rates of student mobility. These are realities, but none have to be determinants of students' academic abilities or their achievement. Effective leadership does make a difference; however, the appropriate resources must be allocated when and where they are needed most—at the preparation level and first years of a school principal's tenure.

As an Advisory Team, our recommendations are designed to equip aspiring principals with more opportunities to demonstrate proficiencies when applying to education administration programs and for certification. We believe it is imperative that we ensure the admission and certification of quality diverse candidates; that sufficiently supported/funded internships models are approved; that more-consistent and higher-quality mentoring programs are in place; that more rigorous, meaningful curricula are incorporated; and that just-in-time coaching is included in the design. In addition, we recommend a shift to multiple assessments to determine one's readiness for administration certification instead of the sole emphasis on a computer-based exam. Several of the recommendations from the Advisory Team urge NYS to adopt a competency-based model for initial certification. For example, to become a NYS certified school principal, the candidate will be required to apply what s/he has learned in a university classroom by leading an agreed upon, school-wide project, in a school setting, intended to lead to the improvement of the performance of staff; an aspect of the school operation such as parent engagement; or the academic and behavioral skill development of students. As we work to ensure quality future school leaders, it is our view that all of the aforementioned as well as those included in our full proposal are essential to the future success of our schools.

Summarily, the process utilized by our facilitator, Kenneth Turner, was an excellent one, and the product is one that we endorse fully. Further, because we believe that the future success of our public school system is dependent on the proposed changes that we are recommending, we strongly and humbly request that the Regents review, adopt and fund the Advisory Team's proposal. Thank you very much for your time.

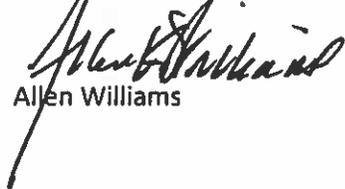
With much regard,



Cecilia Griffin Golden, Ph.D.



William Clark



Allen Williams



The Commission on  
**INDEPENDENT**  
Colleges & Universities  
in New York

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June 12, 2017

John L. D'Agati  
Deputy Commissioner  
Office of Higher Education  
New York State Education Department  
Room 975, Education Building Annex  
Albany, New York 12234

Kenneth Turner  
Director, Principal Preparation Project  
USNY - Regents Research Fund

Dear Deputy Commissioner D'Agati and Dr. Turner:

Thank you for the opportunity to provide feedback on the Principal Preparation Project that SED undertook with Wallace Foundation funding. To that end, CICU shared the report titled *Findings of the Principal Project Advisory Team* that you sent on June 20 with our member colleges and universities and asked them to review and provide comments to CICU. Please find below the feedback we received in response to the three questions you posed:

1. Do the beliefs and recommendations move in the proper direction?
2. Do the recommendations have the potential to improve preparation of and support for school building leaders?
3. What suggestions do you have for strengthening this work going forward?

Although difficult to reach faculty at this time of year, we did receive thoughtful comments and feedback from 10 member institutions that offer principal preparation programs. The feedback appears below arranged alphabetically by institution.

CICU and its independent colleges and universities look forward to continuing to work with SED and the Board of Regents in their efforts to strengthen the preparation of school leaders in New York.

Please let us know if you have questions or need additional information.

Very best,  
Susan Nesbitt Perez  
Vice President

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## INDEPENDENT SECTOR INSTITUTIONS' FEEDBACK AND CONCERNS ON THE FINDINGS OF THE PRINCIPAL PROJECT ADVISORY TEAM REPORT

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### **Bank Street College of Education**

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The Bank Street Leadership Department thanks the Principal Project Advisory Team for the excellent work they have done to craft this document. We feel that the belief statements are clear and concise. They provide guidance to the work of school leaders and to the development of future school leaders. We feel that they are aligned to the beliefs of the Bank Street community. We believe strongly that our leadership students/candidates need to take the leadership stance of a learner and a reflective practitioner. The belief statements ask that candidates reflect upon and examine who they are as persons and leaders and that they have clarity in their beliefs and use them to guide their continual growth as a leader.

In the belief statements, some focus on the building leader candidates while other focus on building leader preparation programs. Each statement is strong and makes sense. For consistency, might it make sense to attend to both in each belief statement. We offer this suggestion as there are implications for the program and the candidate in each belief statement.

The Bank Street Leadership Department is glad to see that the list of beliefs begins with equity. It is critical that our schools attend to the needs of every student. It is also important that schools do not use difference as an excuse for students. Our future leaders need to understand the importance of cultivating “a climate of compassion and care.” We have a concern about the statement the “candidates create a culture” which does not acknowledge that culture is built collaboratively. Might it make sense to acknowledge this and state that the candidate knows how to collaborate with staff to create a culture?

We also applaud your commitment to diversity. As a profession we need to continually find ways to bring people with diverse backgrounds into the field of educational leadership. To do this may require an examination of how we recruit and prepare people, how we demystify the roles of educational leadership, and how we support people on the job.

We appreciate the acknowledgement for shared decision-making and distributive leadership. We believe that distributive leadership exists within an organization when the ability to lead is widely and substantially present throughout the organization and that community members are given opportunity to exercise and act on these leadership skills and abilities.

In recommendation II, we agree that the Standards translate into competences that reflect the application of a student's knowledge, skills and dispositions. A concern is that the assessment of a student's competency might be reduced to what is most easily measured. This may require

that as the formal assessments of leadership candidates are being reviewed consideration is given to an expansive performance based assessment structure.

We support the recommendation that there needs to be incentives and expectations that promote stronger collaborations between districts and universities. In part, this may require that there is funding to incentivize these relationships and an agreement on the leadership pathway. This is linked to the recommendation that new considerations be given to how we structure and support students in their internship. We need to ensure that students have the opportunity to have meaningful leadership experiences in which they are able to apply their learning in real ways, have space to reflect on them, then apply them again. This requires that they are freed during the school day to engage in leadership work.

We agree that all first year school leaders should receive rich coaching and mentoring support. We would advocate that this support includes the development and support of novice principals professional learning communities. There is research that shows that bringing new professional together over time in this format has a positive impact on their development and performance.

We support the use of a principal preparation portfolio. There should continue to be considerations into its use as a tool to assess graduates, certification, evidence of professional learning and re-registration.

Submitted by:

*Anthony C. Conelli, Ph.D.*

*Chair, Leadership Department*

*Bank Street Graduate School of Education*

*aconelli@bankstreet.edu*

## **Canisius College**

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Before I address the questions posed by the PPP I wanted to offer general feedback and insight from my perspective. I was part of three focus group sessions in Western New York. Two were general focus groups, and another was sponsored by the Committee for the Identification and Development of Educational Leaders (CIDEL). I found in each of these sessions that general feedback was sought, but there was a strong push by the leaders of the sessions to focus on the development of a full-time, year-long internship experience.

I found this interesting since all principal preparation programs in New York State are required to provide a structured 600-hour internship experience for students. This is not only mandated by NYS, but also required by our program accreditors. As noted in Insight #4 from the PPP report:

*What is absent from NYSED regulations is any formal expectation that aspiring principals take what they learn in an SBL program and apply it successfully in an authentic setting to improve staff functioning, student learning, or school performance.*

This is obviously not the case because all NYSED principal preparation programs are required to include a school-based internship. The purpose of the internship is to allow aspiring principals to apply what they have learned in an authentic setting to improve staff functioning, student learning or school performance.

One other point that seemed to be discussed regularly in spite of vocal opposition of those at the table was the issue of a great number of graduates of principal preparation programs who did not pursue leadership positions. Discussions of practitioners and higher education professionals focused on reasons that program completers did not pursue leadership positions. The PPP notes in Insight #1:

*Many are certified to be school building leaders in NYS but not enough have what is needed to be effective as a principal.*

Discussion of this topic was very diverse in the focus groups I attended. Reasons presented include pay scales that are punitive to veteran teachers who are pursuing entry-level leadership positions; teachers completing principal preparation programs and using those skills to enhance their non-administrative leadership roles in schools; and teachers deciding that formal leadership roles are not the career move they choose based on the nature of the job. Strong principal preparation programs should not be measured by the number of completers who eventually become Assistant Principals or Principals for this very reason. I do not feel that the voice of the focus groups I attended is fairly represented on this issue.

The following notes address the questions posed by the PPP: (1) do the beliefs and recommendations move in the proper direction; (2) do the recommendations have the potential to improve preparation of and support for school building leaders; (3) what suggestions do you have for strengthening this work going forward?

Recommendation #1: Certainly the recommendations of the Project regarding adoption of national standards seem reasonable. Aligning current preparation programs to the new standards supports improvement of principal preparation.

Recommendation #2: The term “competency based” needs to be better defined. The standards are already stated in what a school leader must be able to do or competencies that must be exhibited. Because the internship is required for program completion and certification, students are already held accountable for applying their knowledge, skills and dispositions in school settings.

Recommendation #3: Requiring a full-time internship will be a hardship for many extraordinary teachers and potential leaders. Most leadership students complete their principal preparation program and applied internship while maintaining their teaching career. Flexibility of programming, including the internship, allows teachers pursuing leadership credentials to complete their internships while still serving the students they teach and supporting their families financially. Obviously this requirement will also have an impact on enrollment in principal preparation programs state-wide by limiting

the pool of candidates who are interested in pursuing the degree and able to commit to a full-time, one-year internship.

Recommendation #4: This recommendation is vague. Without clear details it is not possible to support this concept. The endnote (xxx) indicates that this recommendation would include defining how each partner would assess leadership competencies. This requirement is already in place as part of program accreditation and needs not be duplicated.

Recommendation #5: This assumes that the leadership program completer is offered a leadership position immediately upon program completion and certification. This is not always the case. Some do not pursue formal leadership positions and use the skills they have attained as teacher leaders.

Recommendation #6: The concept of “micro-credential” is not well-defined. The purpose of the “micro-credential” is not clear.

Recommendation #7: The requirement of re-credentialing may dissuade potential leaders from entering the field. Additionally it adds cost and bureaucratic load to an already overburdened educational system.

Recommendation #8: Incentivizing the continued development of in-service leaders would be a welcome initiative.

Recommendation #9: This is certainly a worthwhile target. However it is also one that most colleges, universities and districts have struggled to achieve for decades. In addition to requirements and incentives, the PPP should also look at NYSED certification requirements/policies that could support this effort.

Recommendation #10: It is not clear why the identification and deployment of non-public funds is aimed solely at this recommendation.

Recommendation #11: How would participants in the pilot plan be chosen? Would Independent Colleges and Universities be given equal opportunity to participate in such a pilot?

Submitted by:

*Anne Marie Tryjankowski, Ed.D.*

*Associate Professor, Graduate Education and Leadership*

*Director, Educational Leadership and Supervision Program*

*Canisius College*

*tryjanka@canisius.edu*

### I. Introduction

- Focus on what is working now makes sense as long as it can be validated as "working well."
- Standards are important but "**Enacted Competencies**" need to be sufficiently defined.
- Emphasis on teacher instruction and student learning make a great deal of sense as the foci. They are at the heart of educational leadership.

### II. Beliefs Identified by the Advisory Committee

- Overall, the identified beliefs are excellent and right on target. The beliefs of equity, values diversity, purpose (translate to goals and action plans), shared-decision, shared leadership, instruction, collaborative partnerships, skillful practices and authentic conditions and the important area of reflective practice and continuous improvement along with change management all make sense.
- Although emotional quotient is identified, areas such as resiliency, conflict resolution skills and interpersonal relationships **need to be highlighted throughout the document as critically important.**

The state regulation relative to outside accreditation (CAEP) is important, however, it is equally important not to have so many goals, action plans and CAEP claims etc. It is challenging to focus on a few goals and action plans that are doable and practicable.

### III. Recommendations from the Advisory Committee

1. Some Cognitive Dissonance. In some of the recommendations by the committee, there appears to be a "cognitive dissonance" between the beliefs that are excellent and the implementation of the recommendations. The recommendations need much more detail with ramifications of consequences.
2. National Standards. The utilization of the most current National Standards translated into "competencies" generally makes sense for consistency and clarity sake.
3. Possible Redundancy. As mentioned above, how do the professional standards translated into competencies dovetail with already existing mandates, e.g., EAS, CAEP claims that are presently used? There appears to be a danger of creating a multiplicity of "competencies" that are not sufficiently focused but are dissipated.
4. Greater Focus on Emotional Quotient. The key variable for success in educational leadership is certainly EQ, resiliency, interpersonal traits which motivate and create a culture of collaboration by the leader. This area was only given passing comment in the recommendations and actually should be the most pivotal disposition for success.
5. Extended Internships. Good idea with commensurate funding for students and college faculty to implement the extended internship proposal, particularly, for students who will be working in the urban setting.
6. Promoting Partnerships (P-20). Great idea for educational leadership programs, particularly for smaller programs, which are significantly under-resourced now and also have a significant number of urban EDL students.

7. Mentoring. Pairing high quality mentoring during the first year as an SBL-certified educator makes sense - again a resource issue.
8. Competency-Based Practices. Good present internships possess excellent detailed mentoring and feedback. In-district "experts" evaluating a specific standard seems on the face of it to make sense. This approach also involves resources for the appropriate in-district supervisor.
9. Proposal of Micro-Credentialing. As a partial fulfillment of requirements for the SBL certification with annotated segments and knowledge appears to be a bit artificial and contrary to a more holistic approach to educational leadership. It places discrete skills in isolation from the larger process of adult learning, particularly in the critical area of emotional quotient, resiliency and interpersonal relationships and communication. This appears to be a segmented approach to leadership that could well be counterproductive.
10. Re-Registration of SBL Certified Leader. The proposal of re-registration every 5 years appears somewhat drastic depending on the quality of the assessment tools and the skill of the evaluator. There are numerous questions with this proposal such as, "does it apply to ALL SBL certified individuals including chairs, principals, Assistant Principals, etc.?" Is the advisory committee confident in the assessment regimen? There are obvious political and negotiation ramifications in this proposal that need to be discussed with school districts.
11. Funding Opportunities and Non-Pecuniary Incentives. This funding is critical to move forward with some of these initiatives in support of professional development during the first 3 years.
12. Incorporation of Goals, Targets and Milestones under CAEP. This incorporation under CAEP should not be **duplicative** between CAEP claims, state requirements, etc. There should be a singular set of focused claims and targets consolidated together not goals and action steps randomly created.
13. Deploying Non-Public Resources. These resources can be tremendously helpful identifying and recruiting excellent candidates from under-represented population. Terrific concept to pursue!
14. A Plan for Implementation. Good idea to design and offer a plan for implementation with meaningful incentives prior to adoption statewide with the opt-in assistance of the BOCES.

These thoughts on both the Beliefs and Recommendations will require future discussion and conversations prior to adoption by The Board of Regents. In a nutshell, the identified BELIEFS ARE ON TARGET, however, much detail remains for the RECOMMENDATIONS. Thank you.

Submitted by:

*Walter J. Sullivan, Ph. D.*

*Program Director, Educational Leadership*

*Associate Professor, Graduate School*

*The College of New Rochelle*

*Wsullivan@cnr.edu*

## The College of Saint Rose

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The faculty and I have reviewed the information from the Principal Preparation workgroup and have the following comments:

1. Do the beliefs (pp. 14-15) and recommendations (pp. 16-18) move in the proper direction?
  - Yes in general they support an emphasis on practice and instructional leadership however, this could get lost if there are complicated regulations for implementation.
2. Do the recommendations have the potential to improve preparation of and support for school building leaders?
  - Yes but implementation must take into account the resources available to those interested in becoming principals.
  - Modifications will need to be made to content and program assessments to reflect proposed language and emphasis and this will take time.
  - If there are changes being considered at the district level certification these changes should be coordinated.
3. What suggestions do you have for strengthening this work going forward?
  - We have a concern that New York will make sure its leadership standards and assessment further stray from CAEP requiring leadership programs to be driven by two masters - the NYSTCE SLA and CAEP Accreditation.

Thanks for the opportunity to provide our input.

Submitted by:

*Margaret T. McLane, Ph.D.*  
*Dean, Thelma P. Lally School of Education*  
*The College of Saint Rose*  
*MCLANEM@mail.strose.edu*

## Hofstra University

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1. Do the beliefs (pp. 14-15) and recommendations (pp. 16-18) move in the proper direction?
  - Individually the beliefs contained in this section are positive and reflect the ideals of a quality program. They can be considered program vision statements and as such can provide direction for the development of sound program goals.
2. Do the recommendations have the potential to improve preparation of and support for school building leaders?

- The recommendations as presented are not cohesive. There are redundancies with only nuanced differences between some of the recommendations. I don't feel the recommendation account for geographic or socio-economic differences in the student composition of principal preparation programs.
3. What suggestions do you have for strengthening this work going forward?
- I feel more attention should be given to financial support via grants, scholarships, etc., for university principal preparation programs. It would be advantageous for recommendations to be ranked with well-developed and persuasive arguments justifying each rank. There should be some attention given to the quality and status of program faculty.

Submitted by:

*Eustace G. Thompson, Ph.D.*

*Chair: Teaching, Learning & Technology*

*Graduate Director: Adv. Cert. Leadership*

*Eustace.G.Thompson@hofstra.edu*

## **Manhattan College**

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1. Do the beliefs (pp. 14-15) and recommendations (pp. 16-18) move in the proper direction?
- Just two minor comments on the belief statements. Words in **red print** might add more universality to the hoped for outcomes for aspiring principals.
    - A. Equity. Well prepared school building leader candidates cultivate a climate of compassion and care for the well-being of every child/**person** in the school; candidates create a culture that strives to support the learning needs of every**one** student in an environment where all students/**persons** are valued, are respected, and experience success regardless of their differences (age, gender, socio-economic status, religion, race, ethnicity, sexual orientation, disability, native language, national origin, and other characteristics).
    - G. Skillful Practice under Authentic Conditions. Effective school building leader preparation programs produce **help? prepare? promote? serve?** aspiring principals who **to** demonstrate their readiness for school leadership by successfully applying the skills and knowledge they acquire within authentic settings throughout their preparation program.
2. Do the recommendations have the potential to improve preparation of and support for school building leaders?
- The recommendations make obvious the efforts currently being made. They offer food for thought and opportunities for improvement.

- The recommendations for funding to help interns have a full time internship without worrying about their current jobs and responsibilities will be especially helpful.
3. What suggestions do you have for strengthening this work going forward?
- Regular opportunities for preparation providers to share with each other about programs that work, how various components of the preparation programs work together to help aspiring principals become the leaders that promote the success of all.
  - NYSED should provide funds to support aspiring leaders in full time internships in diverse settings. Current job situations make it necessary for interns to do the work in their places of employment. Internship activities are "squeezed into" regular professional responsibilities.
  - For the experienced principal who mentors the interns, offer programs in mentoring that will be helpful to those site-based principals. the goal is to recognize the contribution of interns to a continuous improvement initiative where the internship is carried out.

Submitted by:

*Sr. Remigia Kushner, csj*

*Director, Educational Leadership Programs*

*sr.remigia.kushner@manhattan.edu*

## **New York Institute of Technology**

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The document is impressive, with many aspects with which it is hard to argue. I particularly appreciate the notion of mentoring for new principals and wide-ranging internships. Additional comments focused on concerns, not the many strengths of the document, include:

- Full-time internships require salaries. School districts cannot afford such "luxuries," and I would suspect that higher education cannot afford them either. The same could be said for mentors. Without a dedicated, long-term funding stream, such recommendations are just nice sentiments.
- The emphasis on instructional leadership is admirable and worthy. However, principals must also be effective building managers, whether we like it or not. This involves responsibilities for the physical plant, scheduling (which always reflects value-laden and political choices), communication with diverse stakeholders, the ability to supervise staff occupying different roles and at different stages of the life cycle, budgeting, and understanding organizational culture and climate.
- Competency-based approaches may address some of the above concerns, but there is a danger in such approaches that one never gets to see the forest for the trees. We have seen such issues before, as those in training master separate skills and understandings but cannot apply them in an integrated manner when presented with a complex issue.

- The implications of advances in technology receive short shrift.

Submitted by:

*Dr. Robert Feirsen*

*Future Director of NYIT School Leadership and Technology Program*

*Via Shiang-Kwei Wang, Associate Dean*

*School of Interdisciplinary Studies and Education | New York Institute of Technology*

*skwang@nyit.edu*

## **Pace University**

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As a former ed leadership faculty member who has worked with the Wallace Foundation on its principal preparation studies and has developed rich partnership programs in San Diego and Philadelphia for principal preparation, I am impressed by the recommendations put forward in this report. It reflects the critical importance of competency-based preparation aligned with standards, rich and extensive internship experiences, a deep and collaborative partnership with districts, schools, and BOCES, and addresses the need for resources to support such experiences. These findings are consistent with my own research with Linda Darling-Hammond in Wallace's earlier studies on preparation.

Submitted by:

*Maggie Barber, Ed.D., Director of Assessment & Planning*

*Pace University, School of Education*

*mbarber@pace.edu*

## **St. Bonaventure University**

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In reviewing the recommendations, I have some concerns related to item IV under the recommendations. There is a recommendation on the use of micro-credentials to either assist in the completion of the SBL certificate OR the ability to add onto the SBL certificate with a micro-credential to show extra skill/expertise/competency.

As someone who has done much research on the use of micro-credentials across industries, including education, there are few not for profit micro-credential providers (Digital Promise) and only a few are "for profit" vendors who seem to really embrace the importance of high quality competency based micro-credentials with an in-depth review process including the use of a rubric. (See BloomBoard)

It is concerning to me as faculty within a high quality educational leadership program and a school administrator for more than 25 years (including principal and central office) that we would run the risk of "watering down" the development of the necessary leadership

competencies in our future leaders by not establishing criteria about the types of micro-credentials that can be used within the SBL certificate and who can be an approved provider.

I am **not** opposed to the use of micro-credentials but believe the recommendation needs additional working that discusses the need for approved providers (SED now approves who can provide professional development to schools – the same should be done for micro-credentials!) and the types of competencies that may be demonstrated through the completion of a micro-credential.

Thank you for taking the time to share the report and to review the feedback. I am committed to assisting in any way I can with the implementation of the much needed improvements and recommendations within this report.

Submitted by:

*Dr. Margy Jones-Carey*

*Program Director, Educational Leadership*

*Assistant Professor*

*St. Bonaventure University*

*mjonesca@sbu.edu*

## **Syracuse University**

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The Syracuse University School of Education and the Study Council at Syracuse University submit these joint responses to your invitation, dated June 20, 2017, to provide feedback on the findings of the Principal Project Advisory Team (PPAT) issued June 1, 2017 that provided consensus beliefs and recommendations for the Commissioner and NYS Board of Regents on ways of strengthening the preparation of school building leaders in New York.

We endorse all of the belief statements outlined in the PPAT's report, and are generally supportive of all of the PPAT's recommendations, but we have concerns about how some of those recommendations would be interpreted and implemented.

We concur with the Advisory Team's belief statements, although those that refer to equity, purpose, instruction, and collaborative partnerships seem to reiterate principles already embedded in the NPBEA's Professional Standards for Education Leaders. The Advisory Team's references to valuing diversity, shared decision-making, reflective practice, and continuous improvement, while perhaps implicit in the PSEL, are worth stating explicitly. Its reference to skillful practice under authentic conditions is qualitatively different from the others, referring to the design of preparation programs rather than the knowledge, skills and dispositions candidates should develop, but we agree with the principle it enunciates.

We concur with the Advisory Team's eleven recommendations, with the following caveats, reservations, or observations:

- 1. National standards:** We agree that the State should use the 2015 Professional Standards for Educational Leaders as the basis for approving new leadership preparation programs and reviewing the performance of those it has already approved, provided the Council on Accreditation of Educational Programs and the Educational Leadership Constituent Council will accept them for CAEP accreditation. We would object to being held accountable for two sets of standards, and we cannot abandon the current ELCC standards unilaterally without jeopardizing our accreditation. If and when the ELCC does adopt the PSEL standards, we would need time to develop new assessments and assessment rubrics, but doing so would be worth the effort.
- 2. Competency-based assessment:** We strongly endorse the principle that candidates for school leadership should be required to demonstrate their mastery of leadership standards by applying their knowledge, skills, and dispositions in authentic school settings where they are expected to exercise leadership. We believe that CAEP and ELCC accreditation requirements already require us to use such competency-based assessments, especially for evaluating our administrative interns (see attached), but if there has been any question about that requirement, we welcome that the State would clarify and reaffirm it. If the State does adopt such a system, the Department, preparation programs and P12 leaders will need to collaborate in developing model performance exercises and rubrics for assessing them, leaving room for individual programs and their P12 partners to develop the specific exercises and rubrics that will fit the circumstances of their individual programs and districts.
- 3. Rigorous internships:** We endorse the principle that candidates for leadership certification should be required to complete rigorous, extended internships that require them to demonstrate their capacity for leadership (not just their familiarity or awareness of leadership functions) in situations varied enough to encompass the roles and duties of a principal and the knowledge, skills and dispositions addressed by PSEL standards. We would also endorse the principle that these internships should be "full-time," however we believe that this will not be feasible if we do not consider the means by which this can become an expectation with the support of the Regents, policy-makers, superintendents, school boards and leadership preparation programs across the state contributing to innovative, collaborative solutions for full time internships. The single greatest weakness in our current system for preparation of school leaders is the lack of a system for providing paid internships that allow candidates to be released from teaching and other responsibilities for extended periods of time during which they can develop and demonstrate their capacity for leadership.

One possible way of addressing that weakness would be for the Governor and Legislature to consider providing direct subsidies for districts to employ administrative

interns. Another potential solution would be to allow BOCES to provide coser support for such intern appointments, whether interns are assigned to single districts or two or more districts. The State would need to provide alternative funding support for internships in the Big Five districts, or else allow those districts to access BOCES cosers. If we expand opportunities for extended, paid internships for leadership candidates, other changes in how we prepare and support administrators are more likely to result in significant improvement throughout our present system

4. **Strengthening P-20 partnerships:** All of the Advisory Team's recommendations require closer ties between P12 systems and institutions of higher education. Preparation programs need to ensure that P12 leaders have a voice in shaping their curricula and admissions decisions, and P 12 systems need to assume responsibility for broadening their base of teacher leaders, encouraging teachers to go into administration, and supporting them during their preparation coursework and internships. Preparation programs and P12 systems need to share responsibility for supporting the professional development of beginning and more experienced administrators.
5. **Mentoring:** We agree that new principals should be provided with mentors through their first full year as principals, but beginning administrators usually do not (and as a general rule, should not) go directly into principal positions. Those who are appointed as assistant principals and other beginning administrators need professional development support as well (arguably even more support). Serious attention should be paid to how we can equip more senior administrators to supervise and support beginning administrators. While their relationships might, in some respects, look like mentoring, their daily contact and direct supervisory relations make them more like apprenticeships: a model that deserves more attention than it currently receives.
6. **Micro-credentials:** Most of the PSEL-aligned competency assessments should be incorporated in a candidate's administrative internship, but it might be appropriate to embed some of them in coursework or other experiences that candidates take earlier in their programs. Having some micro-credentialing system for recognizing when candidates complete these requirements might therefore be appropriate, but there are a number of potential pitfalls to implementing such a system. A competency-based system of assessments would depend upon candidates having bona fide opportunities to exercise leadership in authentic situations. That, in tum, would require districts to make such opportunities available. Unless a district has formally endorsed a student's candidacy, it is unlikely that a district would provide a candidate with leadership opportunities prior to his or her internship, and such assignments could not be embedded in courses unless all the candidates enrolled in a course had secured such district support. It is already a challenge for preparation programs to assure that administrators who supervise administrative interns are qualified and prepared to

provide high-quality supervision; recruiting "knowledgeable in-district experts" to oversee competency tests administered throughout a candidate's program would be an even greater challenge.

Our biggest concern about a micro-credentialing system, however, would be that it could undermine the principle of extended, intensive, full-time internships. Having established a system of micro-credentialing, it would be tempting to abandon the difficult work of arranging and managing extended internships and simply declare a collection of projects (each with its micro-credential) to be an internship. If that were the effect of a micro-credentialing system, instituting it would seriously compromise the quality of leadership preparation in New York. If the Regents do decide to institute such a system, we recommend consideration of guarantees that competency assessments administered outside extended internships are the exception and not the rule.

**7 – 10. Diversity initiatives:** We concur with the recommendations that administrators should be expected to receive continuing professional development in ways to address the needs of a diverse student population; that districts, BOCES and universities should be required and given incentives to provide professional development in support of that requirement; and that universities and districts should be required to account for their efforts to increase the numbers and percentage of leadership candidates and new administrators they admit or hire from historically under-represented populations. Each of these would represent a useful step in addressing the increasing diversity of our school systems and the still-troubling gaps in performance between advantaged and disadvantaged populations of students. We recommend that the Regents consider reinforcing these efforts by funding an intensive effort to identify, document and publicize the experience of preparation programs and school districts that have had significant success in addressing these needs.

One issue that we know, from direct experience, deserves attention is how beginning administrators of color are inducted into the ranks of administrators. Some of our most promising graduates of color have had their opportunities for advancement seriously compromised because a response to public pressure for the appointment of more principals of color thrust candidates too quickly into challenging principalships without giving them the opportunity to apprentice under experienced principals first. When these individuals made mistakes, as they often did, they were too-quickly deemed incapable of managing difficult assignments and sidelined in positions that did not allow them to develop and demonstrate their potential for strong leadership.

**11. Pilots:** We endorse the recommendation that the Regents provide for pilot projects to develop and test comprehensive models for implementing the Advisory Team's other recommendations. We are hopeful that the Regents will consider that the State already has six projects – those funded with federal Teacher/Leadership Quality Partnership

funds – which have been developing innovative approaches to leadership development for several years. As one of these pilots, Syracuse University has sponsored a number of initiatives, including clinical simulations to develop the conflict management skills of prospective and practicing administrators, close partnerships with P 12 districts in providing challenging internships, and various steps to develop and support the increasing number of teacher leaders in our region. We would welcome the opportunity to share the lessons we have learned with our preparation colleagues across the state, and to work with BOCES and districts in our region through the Study Council at Syracuse University to pilot a more comprehensive set of reforms.

While we are generally supportive of the Advisory Team's recommendations, we question why it decided not to take up one issue raised in its preliminary report of May 3, 2017. If the Regents are serious about developing a system of competency-based performance assessments, with or without provisions for micro-credentialing, there is no justification for retaining the current SBL examination. One of the key questions that needs to be addressed in any pilot of the competency-based system is whether the assessments of candidates' performance in such a system produce valid and reliable indicators of their mastery of PSEL standards and their readiness to begin work as administrators. If the pilots (given this question, there should be more than one) provide convincing evidence that they do, we should dispense with the current SBL exam. The current examination is of doubtful validity and reliability, and is useless for identifying concerns that individual candidates or programs need to address.

We thank you for this opportunity to comment on the Principal Project Advisory Team's report, and stand ready to cooperate with the Regents and the Department in furthering their efforts to strengthen the preparation of school leaders in New York.

**NOTE:** Supplemental material from Syracuse University was provided: *Syracuse University CAS Program Educational Leadership Administrative Internship Requirements – Requirements that must be addressed in the internship proposal that are designed to develop and demonstrate competency in executing leadership responsibilities*. **Please see attached file: SU & Study Council response to NYSED - principal preparation project 07...pdf, pp. 6-9).**

Submitted by:

*Joanna O. Masingila, Dean*

*Laura J. and L. Douglas Meredith Professor*

*Professor, Mathematics & Mathematics Education*

*jomasing@syr.edu*

*Donna DeSiato, President*

*The Study Council at Syracuse University*

*Superintendent, East Syracuse-Minoa Central School District*

*ddesiato@esmschools.org*

July 10, 2017

John L. D'Agati  
Deputy Commissioner, Office of Higher Education  
New York State Education Department

Kenneth Turner  
Director, Principal Preparation Project  
USNY – Regents Research Fund

Dear Mr. D'Agati and Mr. Turner:

The Syracuse University School of Education and the Study Council at Syracuse University submit these joint responses to your invitation, dated June 20, 2017, to provide feedback on the findings of the Principal Project Advisory Team (PPAT) issued June 1, 2017 that provided consensus beliefs and recommendations for the Commissioner and NYS Board of Regents on ways of strengthening the preparation of school building leaders in New York.

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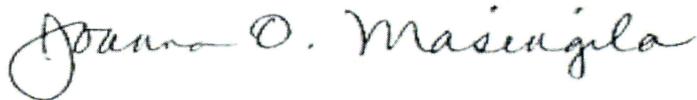
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We thank you for this opportunity to comment on the Principal Project Advisory Team's report, and stand ready to cooperate with the Regents and the Department in furthering their efforts to strengthen the preparation of school leaders in New York.

Sincerely,



Joanna O. Masingila, Dean  
Laura J. and L. Douglas Meredith Professor  
Professor  
Mathematics & Mathematics Education  
[jomasing@syr.edu](mailto:jomasing@syr.edu)



Donna DeSiato, President  
The Study Council at Syracuse University  
Superintendent, East Syracuse-Minoa Central School District  
[ddesiato@esmschools.org](mailto:ddesiato@esmschools.org)

Attachment: Syracuse University administrative internship requirements

**Syracuse University CAS Program  
Educational Leadership  
Administrative Internship Requirements**

**Requirements that must be addressed in the internship proposal that are designed to develop and demonstrate competency in executing leadership responsibilities:**

**Building Tasks**

1. Plan, implement, and evaluate a minimum of one professional development activity. Include a self-reflection of the process used related to this activity and any conclusions that you make regarding the planning and delivery of effective professional development.
2. Using the evaluation system and required forms in place in your district, complete a minimum of two cycles of clinical supervision to include the pre-conference, classroom observation and post conference. Include a self-reflection of the process and your assessment of your current level of skill related to observing effective instructional practices and providing feedback to teachers. These evaluations should reflect a knowledge of effective instruction as well as knowledge of effective strategies that encourage reflective practice. The evaluations must be in alignment with the current APPR regulations and the current contractual agreement with the district and completed using the tools that have been approved.
3. Identify and implement a project that involves strengthening communication with parents and community members in order to support students. This project should address the needs in your particular situation and could include activities such as planning parent meetings and workshops, special events to encourage parent participation and involvement, and/or plans to increase parent involvement in their child's education. Describe how the project strengthens parent communication and encourages participation for all groups. As a part of this, interns should familiarize themselves with the vehicles of communication used by the district to reach out to the community, as well as the community resources and groups available to support the schools.
4. Analyze the state assessment results for the school where you are working from the past three years as well as discipline data, students receiving special education services and ELL services and students in advanced courses at the secondary level, if applicable. Be sure that when looking at this data, that it is analyzed in a disaggregated format. Using this information, compare the activities included in the school improvement plan or other school priorities that have been identified, in order to determine if these focus areas are in alignment to the data you have analyzed. If there is a formal School Improvement Plan, analyze its effectiveness, given the data.
5. Provide leadership for a team or department on an ongoing basis on a school improvement project designed to strengthen the instructional program for students. This should involve the

analysis of student data, a review of the instructional strategies being used, the ways in which curriculum is being delivered and the materials being used, as well as any recommendations for professional development to support the efforts of teachers. This project should include working with a group of teachers on an ongoing basis in order to support their efforts.

6. Work a minimum of 30 days in the school's main office in order to gain insights into the daily tasks and responsibilities associated with building level leadership. This would involve student discipline, facilitating meetings with parents, supervising students, dealing with issues related to transportation, food service, scheduling, attending meetings with staff, participating in administrative team meetings, monitoring instruction and understanding the systems in place that contribute to the effectiveness of the school. Interns are asked to reflect upon these experiences not only to inform their own vision for learning and school leadership, but also to demonstrate how their actions contribute to a positive school, environment for students, staff and parents.

### **District Tasks**

1. Examine a District program being implemented in your school (e.g., the Special Education Program, ELL program, alternative school programs, AIS programs, PBIS) to determine effectiveness. In your analysis, look at the staffing available, the budget allocated for the program, the content of the program, the district and school level involvement in monitoring the program, and the data associated with the students within the program. As a part of this, interview multiple stakeholders to include District level leaders, school leaders, teachers and other support staff, parents and students, where feasible, to discuss their perceptions of the effectiveness of the program. Draw conclusions as to whether the program is effective in meeting the needs of students.
2. Contact a district level administrator (e.g., Superintendent, Asst. Superintendent, Director) and jointly identify a district level issue that needs to be studied for possible improvement. The kinds of projects associated with this requirement would be to examine a redistricting issue, improve the graduation rates, change grade level configurations in specific schools, plan and facilitate a school renovation, implement a new discipline policy etc. Develop strategies for collecting information, gaining insights from various stakeholders, and examining district documents and data in order to understand the issue. After analyzing this information, make recommendations for improvement and present your findings to the appropriate district level leaders (e.g., Superintendent's Cabinet, Board of Education, district administrative groups)

### **Additional requirements that build a candidate's knowledge and skills, but do not necessarily demonstrate competency in executing leadership responsibilities:**

1. Analyze the district report card that is found on the State Education website. Be sure that you look at the Accountability and Overview Report, the Comprehensive Information Report

as well as the Fiscal Supplement that is provided. In looking at these documents, please summarize your findings related to the performance levels of students, the student requiring support services, the allocation of resources and the characteristics of the staff that are provided. What are the areas of strength and what areas need improvement from your analysis? Please also determine if there is a strategic plan or other district wide plan in place that identifies district goals, vision and focus areas. How do the planning documents relate to the data that you have analyzed? What are the strengths of the plans and are there areas where you recommend that further attention be given? In addition, please also identify the following:

- What is the perceived culture and quality of the school and district considering both the formal way the state rates schools and the community perception of the schools?
  - Any significant changes that are being implemented in the district
  - Current district priorities as well as any major issues that the district is facing
  - How does the district communicate the information related to the district report card to others?
2. Attend a minimum of three Board of Education meetings in order gain insights into the decision-making strategies used in relation to policies, procedures and regulations to meet the needs of students. Be prepared to describe the actions taken, the relationship between Board members, with the Superintendent, and with the community members. Describe what you observe in terms of the kinds of issues the Board is discussing and how these issues relate to students and their learning. Finally, analyze the effectiveness of the Board of Education in achieving the district vision and focus areas.
  3. Look at the organizational chart for the district and briefly describe the responsibilities of those individuals on the chart. Through interviews with various individuals on the organizational chart, describe the relationship between the various departments and the relationship between the departments and the schools. Conclude how this organizational structure supports the needs of students and contributes to the attainment of the district vision.
  4. Seek permission to participate in any professional development for administrators or regularly held administrative meetings in order to gain insight into district priorities and to benefit from the professional development being provided. ***Please contact the University internship supervisor if this is a problem.***
  5. Become familiar with the teachers' contract and other contractual agreements that impact decision making and the overall operation of the school and district.
  6. Become familiar with the process for identifying students in need of Special Education services, the organizational and instructional models used to meet these needs, the philosophy of the district related to providing resources and identifying students with special learning needs, the staff available to support students, as well as communication with

parents. It is also important to be aware of local, state and federal mandates related to Special Education services. Finally, the intern should participate in meetings designed to provide effective programming for students with special needs.

7. Examine the school district policies and procedures that are in place to protect the welfare and safety of the students and staff as well as effectively manage the district.

While these requirements must be specifically addressed in the internship proposal, we also recognize that each district has varying priorities and unique characteristics. Because of this, we acknowledge that the internship must be individualized to some degree, based on the intern's current level of experience, the internship model chosen, the opportunities available, and the individual needs of the school and school district.

Interns are encouraged to communicate with their supervisors in order to assume other roles, tasks, and responsibilities that go beyond what is identified within this document in order to participate in as many opportunities as possible to demonstrate their leadership. Interns are asked to identify and include these additional responsibilities in their proposal.

It is essential that the intern and cooperating district recognize that the essence of leadership is working with others, and because of this we ask the intern to frame their responsibilities in as many ways as possible to include substantive experiences working with adults. The opportunity to work with others and facilitate discussions with both individuals and groups should be a major focus of the internship. While some responsibilities might be seen as "solo" projects, these projects should be held to a minimum. Regardless of the internship model chosen, it is expected that interns will have a variety of experiences that contribute to a rich, rigorous internship in order to prepare them for future roles as educational leaders.

Revised February 2017



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## EMPIRE STATE SUPERVISORS AND ADMINISTRATORS ASSOCIATION

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July 12, 2017

John L. D'Agati  
Deputy Commissioner, Office of Higher Education  
New York State Education Department  
Albany, NY 12234

Kenneth Turner  
Director, Principal Preparation Project  
USNY - Regents Research Fund  
Albany, NY 12234

Re: *ESSAA's Review of the Findings of the Principal Project Advisory Team*

Dear Messrs. D'Agati and Turner:

Thank you for your letter of June 20, 2017. Per your invitation, the Empire State Supervisors and Administrators Association ("ESSAA") respectfully submits the attached feedback concerning the findings developed by the Principal Preparation Project Advisory Team. We genuinely appreciate this opportunity and your strong leadership.

Please let us know if there is anything further we can do to enhance this important project.

Sincerely,

Michael A. Starvaggi,  
Executive Director



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## EMPIRE STATE SUPERVISORS AND ADMINISTRATORS ASSOCIATION

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### *Empire State Supervisors and Administrators Association's Review of the Findings of the Principal Project Advisory Team*

*Thank you kindly for allowing our administrative group the opportunity to provide input and recommendations on the findings of the Principal Preparation Project Advisory Team. The ESSAA executive team has reviewed the findings closely and offer the following suggestions to strengthen this work going forward.*

*It is apparent that a considerable amount of time, thought and effort was put forth in the development of the recommendations. Marc Baiocco and Shireen Fasciglione represented ESSAA on the Advisory Team and we are honored to provide additional input feedback in this response. ESSAA will without hesitation participate in any future work.*

*Our feedback is organized in the same format as that of the findings.*

The **Preamble** explains the structure of the paper. Throughout the paper there are citations, links to literature and data referenced. We suggest citing in the Preamble the two leading influences on student success during the school day (approx. teacher 25% and principal 5%) and the corresponding importance of further improving the preparation of aspiring and current principals.

To that end, we recommend citations to relevant literature as follows:

Researchers found that school principals matter to student achievement, accounting for almost five percent of the overall variation in pupil scores (Leithwood & Riehl, 2003). While this predominantly indirect effect is relatively small, it is statistically significant and meaningful (Hallinger & Heck, 1998). Leadership is second only to classroom instruction among all school-related factors that contribute to what students learn at school, accounting for about a quarter of total school effects (Leithwood et al., 2004).

The **Context** is clear and insightful, with underpinnings to the Every Student Succeeds Act (ESSA). Insights gathered appear to provide a rationale for beliefs and recommendation.

The **Insights** section provides a collection and analysis of data generated. The nine insights are linked with rationale, perhaps based on quantitative and qualitative data. However, the data does not appear to be explicitly stated and/or linked to vetted literature. The statements appear to at times be generalizations. Therefore, we suggest adding additional information to specify that these insights are not necessarily research based, but were gathered by practitioners in the field etc.

Another suggestion is to strengthen the claims in this section with more robust connections and detail surrounding the position being taken. For example, in Paragraph 2 of this section, the findings should state where the claim is coming from and what is meant by “enacted competencies.” In Paragraph 6, a citation to relevant literature would further highlight the need for high quality mentoring.

The **Belief Statements** section is strong. It clearly encapsulates practitioners’ values and ESSAA echoes its sentiments. However, we suggest changing the term “distribute leadership” to “distributed leadership” in paragraph D. We believe this terminology is in line with the literature. We further recommend citing to Spillane, J. (2009), *Managing to lead: Reframing school leadership and management*. Phi Delta Kappan 91(3), 70-73 and Leithwood et al., 2006, p.12, which states that “school leadership has a greater influence on schools and students when it is widely distributed”

The **Recommendations** are sound and will undoubtedly move New York education forward. ESSAA supports these efforts and we are willing to be partners in this important work and its implementation.

However, it is important to note that, because the Advisory Team sessions used a consensus-based approach, there were some areas which were not developed fully and will need more input from the field before final recommendations are implemented. Two examples of this are noted later in this document.

We suggest making some minor adjustments/clarification to strengthen five out of the eleven recommendations, as follows:

**Paragraph III, Internships.** We agree that candidates for leadership certification should be required to complete full-time, rigorous internships that require them to demonstrate their capacity for leadership. However, we believe that in practice, having full-time internships will not be practicable if the internships are unpaid. We believe that, if there is funding, full-time internships would a positive and viable way to increase participation in school leadership programs and to build and increase the capacity for successful leadership.

**Paragraph VI, “Micro-Credentials.”** This is one area where nuances were discussed during the meetings but, because of the consensus format, were not developed adequately. We feel that, in order to avoid unintended consequences, more input from the field would be needed before these recommendations are implemented. We would not want to see a mechanism created that requires potential administrators to go through unnecessary steps and pay avoidable micro-credential fees to attain certification.

**Paragraph VII, CTLE.** We believe that the statement that “in order to re-register once every five years principals must demonstrate they have acquired the knowledge, skill, . . .” is misleading. The CTLE requirements are a step in the right direction and will increase knowledge, skills, and dispositions. However, this accrual of these skills is an ongoing learning process and should be stated as a starting point to professional development, not a finite learning and acquisition of knowledge, skills, and dispositions.

**Paragraph VIII, Funding Opportunities and Non-Pecuniary Incentives.** This and the other diversity initiatives would represent a useful step in addressing the increasing diversity of our school systems and the still-troubling gaps in performance between advantaged and disadvantaged populations of students.

We suggest that this section should address how these incentives will be funded and should further provide an example of what this type of professional learning and support may look like. Finally, there should be a specific plan for publicizing the experience of preparation programs and school districts that have had significant success in addressing these needs.

**Paragraph X, Deploying Non-Public Sources of Funds.** We recommend that the reference to hiring managers in his section should be deleted and the phrase in the first sentence should be changed to “improve the ability of districts to identify, recruit, . . . .” The reference to hiring managers is misleading and may change the focus from recruitment, placement and development to the identity of who the “hiring managers” will be.

**Paragraph XI, Pilots.** We suggest adding, at the end of the paragraph, that this would be done “in an effort to make a sound decision in the re-creation of the school building leader certification and subsequent recommendations.”

*Once again, we thank you for your time and for the opportunity to share our opinions to strengthen and support this important work. We value the opportunity to partner with you in the enhancement of education in our State. If there are any suggestions that we shared that are unclear, or require additional information, please do not hesitate to contact ESSAA.*

**Andrew Pallotta**, *President*  
**Jolene T. DiBrango**, *Executive Vice President*  
**J. Philippe Abraham**, *First Vice President*  
**Paul Pecorale**, *Second Vice President*  
**Martin Messner**, *Secretary-Treasurer*

July 11, 2017

John L. D'Agati  
Deputy Commissioner, Office of Higher Education  
New York State Education Department  
Room 975, Education Building Annex  
Albany, NY 12234

Kenneth Turner  
Director, Principal Preparation Project  
USNY - Regents Research Fund  
New York State Education Department  
Albany, NY 12234

Dear John and Ken,

Thank you for the opportunity to provide comments on the findings of the Principal Preparation Project. NYSUT has identified three issues that raise questions for us and then we will provide answers to your three questions.

Recommendation VI states: *Consistent with existing language within NYS regulations pertaining to competency-based practices and the internship, create a mechanism that: (a) employs a clinically-rich experience; (b) calls upon a knowledgeable in-district expert to observe and attest that a candidate has demonstrated competency with respect to a particular certification standard; (c) culminates in issuance of a **micro-credential that** is recognized by NYS; and (d) provides a mechanism whereby micro-credentials can be combined in partial fulfillment of requirements for SBL certification.<sup>xxxii</sup> Micro-credentials may take the form of an annotation to an SBL certificate that signals particular expertise of the bearer of the certificate.*

NYSUT Questions: How would micro-credentials be developed and administered? Will higher education faculty be consulted and included in this process? Is this opening up the path to private entities rather than higher education institutions to fulfill certification requirements on a broader scale?

Recommendation VII states: *Revise the expectations within the Continuing Teacher and Leader Education (CTLE) requirements in such a way that in order to re-register once every five years principals must **demonstrate** they have acquired the knowledge, skill, and dispositions (i.e., culturally-responsive practices) that prepare them to supervise instruction in ways that address the learning needs of a diverse student population.*<sup>xxxiii</sup>

NYSUT Questions: Is the requirement for principals to “demonstrate” supervision of instruction intended to lead to some kind of assessment to meet a proficiency level? An assessment that measures “dispositions” would be of great concern since empirical measures of such things are still in their infancy and may never be perfected. We are concerned that this recommendation is placing some kind of grading process on the CTLE requirement that was not included in the law. Individuals who obtain a leadership certificate but are not currently working under it do not have to complete CTLE hours; how would this proposal work for these certificate holders?

Recommendation X states: ***identify and deploy non-public sources of funds** to improve the ability of district hiring managers to identify, recruit, select, place, and develop talented principals (both aspiring and current school building leaders).*

NYSUT Questions: Is this recommendation intended to make districts dependent on private funding to improve hiring practices? We cannot support this approach to such an important function.

NYSUT Responses to the three questions:

Question 1: Do the beliefs and recommendations move in the proper direction?

The recommendations should be more focused on the ways in which the role of the principal has changed over time. They emphasize the importance of supporting the needs of every child (equity) and say little about the importance of supporting teachers.

Developing teacher leaders is not an integral component in the recommendations.

In addition, the belief and recommendation statements do not specifically address candidate knowledge of how to support new teachers (mentoring and induction) and how to create good conditions to encourage teacher retention (positive school culture). Overall, the recommendations do not encompass a renewed vision of the school leader, but rather the school leader training program.

Question 2: Do the recommendations have the potential to improve preparation of and support for school building leaders?

Yes; however more specifics on the recommendations should be provided for comment **before** the Regents take action (For example, how will the standards in Recommendation II be fleshed out and translated into competencies and who will do this [IHEs or NYSED]? How would the micro-credentials referenced in Recommendation VI be developed and administered? What would be required for principals to re-register?

Question 3: What suggestions do you have for strengthening this work going forward?

- More focus on a school leader's readiness to support and retain new teachers.
- Expanded emphasis on how to positively support teaching and instruction and how to develop a positive school climate.
- Expanded emphasis on teacher leadership.

We are always available to discuss our comments and questions. Thank you for the opportunity to provide input.

Sincerely,



Jolene DiBrango  
Executive Vice President

**From:** Ashleigh Thompson [mailto:Ashleigh.Thompson@cuny.edu]  
**Sent:** Wednesday, July 05, 2017 3:51 PM  
**To:** John D'Agati; Kenneth Turner  
**Cc:** Shannon Roberson  
**Subject:** RE: Principal Preparation Project

Dear John and Ken,

Thank you for the invitation to respond on behalf of CUNY regarding the Principal Preparation Project recommendations. I offer a few notes for your consideration.

1. Deans and faculty shared that they wanted to reiterate the MCEAP memo (attached) which several of our colleges were involved in. A response to PPP recommendations had already been contemplated and articulated in that memo.
2. One area of concern expressed was the need for a developmental focus. Many people completing programs begin as an Assistant Principal in a building, and recommendations should reflect the needs/work/standards of the Assistant Principal in a developmental framework for school leaders.
3. Pipeline programs for diverse SBL candidates, similar to how TOC supports diverse teacher candidates, are worthy of SED investment.
4. On p.5 of your document, Helen Scharff-Panero should be affiliated as Baruch College, City University of New York (not Baruch, City College of New York).

Please let me know if you have any questions for me or need anything further from CUNY.

Yours,  
Ashleigh

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Ashleigh Thompson, Ph.D.  
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City University of New York  
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New York, NY 10017  
646.664.8151

# Metropolitan Council of Educational Administration Programs

TO: John D'Agati, Deputy Commissioner, NYSED, and Ken Turner, director, Principal Preparation Project

From: MCEAP executive committee (Terry Orr, Bank Street College; Catherine DiMartino, St. Johns University; Terri Watson, CUNY; Ken Forman, Stonybrook University; and Marcia Knolls, Hunter College)

Date: May 12, 2017

Subject: feedback and recommendations for the NYSED proposed Principal Preparation Project recommendations

For communication: Terry Orr, [morr@bankstreet.edu](mailto:morr@bankstreet.edu) or 212-875-4546

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This memo is for the executive committee of the Metropolitan Council of Educational Administration Programs (MCEAP) to provide you with feedback and recommendations for the NYSED proposed Principal Preparation Project recommendations. On May 4, 2017, Ken Turner surveyed the deans of the schools of education in NYS with leadership preparation programs. As a regional association of 20+ leadership preparation programs from the greater NYC metropolitan region, we wanted to have an opportunity to provide qualitative feedback on the recommendations, highlighting areas of ambiguity or confusion and providing suggestions and recommendations.

As a professional association of faculty from leadership preparation programs, we have met, often quarterly, to explore ways to improve the quality and effectiveness of our leadership preparation programs, provide input into NYC and NYS leadership preparation policies and initiatives, and to advocate for ways of improving means for effective leadership preparation. We work closely with CADEA, the statewide association, which typically meets annually, for the same purpose. Because of our regional closeness, representing Long Island, NYC and the lower Hudson Valley, MCEAP members can meet and discuss shared interests more frequently.

Over the past 15 years, we have provided input into various NYS initiatives, particularly through representation on the state's advisory group to create a Cohesive Leadership system. Through that endeavor, we advocated for state adoption of the 2008 ISLLC standards to frame its leadership policies, including preparation. We also promoted the state's adoption of effective program features, as is outline in its TLQP RFP:

*"The Educational Leadership Program Enhancement Project supports improvements to educational leadership preparation programs so that they are more responsive to regional needs, and develop leaders focused on increasing student achievement. The elements identified below are important quality indicators for effective preparation programs in Educational Leadership. A successful Educational Leadership Program Enhancement Project:*

## Metropolitan Council of Educational Administration Programs

- A. Is focused on high quality teaching and improving student learning that incorporates activities and effective strategies that promote learning and future achievement for all students** (Attachment V Goal # 1, 2, 3); and
- B. Is aligned with research-based best practices (Attachment V Goal # 2, 4); and
- C. Is aligned with ISLLC Standards as the program foundation** (see <http://coe.fgcu.edu/faculty/valesky/isllcstandards.htm> for ISLLC Standards) (Attachment V Goal # 2, 5 ); and
- D. Is integrated with the systemic reform efforts of New York State’s high need schools and school districts (Attachment V Goal # 1, 2, 3, 4, 5); and
- E. Provides for an authentic, rigorous, full-time clinical internship** (Attachment V Goal # 1, 3); and
- F. Integrates theoretical and practical knowledge throughout all learning experiences (Attachment V Goal # 1, 2, 4, 5); and
- G. Uses authentic measures to assess program candidates** (Attachment V Goal # 3); and
- H. Has faculty committed to and capable of delivering the program (Attachment V Goal # 2, 4, 5); and
- I. Includes proactive activities to recruit highly effective certified teachers with leadership potential (Attachment V Goal # 1); and
- J. Bases selection of candidates on demonstrated success (Attachment V Goal # 3); and
- K. Ensures meaningful and active practitioner partnerships working closely with dedicated program faculty** (Attachment V Goal # 3, 4, 5);
- L. Plans for sustainability of successful elements (Attachment V Goal # 5 ); and 5
- M. Is evaluated using a variety of performance indicators (Attachment V Goal # 5); and
- N. Promotes supportive learning structures for students (Attachment V Goal # 1, 2, 4); and
- O. Is committed to sharing best practices with the field.

More important, we strongly support the TLQP grant’s overarching purpose as a goal we strive for with all our programs:

*The purpose of this Educational Leadership Program Enhancement Project will be to identify, cultivate, train, and support a new generation of educators to lead our schools into the future. Cultivating new, inspiring, and prepared leaders will require a better*

## Metropolitan Council of Educational Administration Programs

*understanding of what it means to be an effective school building leader and a fresh approach to support those looking to become educational leaders.*

In addition, the TLQP grant reports require documentation on how well the funded projects serve candidates based on racial/ethnic diversity, providing an opportunity for us all to learn different strategies for effectively recruiting and retaining racial/ethnic minority candidates and candidates from low-resource districts. This has been a source of discussion in some of our meetings as we share funded program features and results.

We are pleased that your Principal Preparation Project committee has reinforced many of these features, particularly those in **BOLD**, in the list above. We continue to support these features and strive for them in our own programs, both with and without funding support.

At that the time the TLQP grant was been planned and throughout the formation of the Cohesive Leadership System, we advocated for ways in which school districts could help pay for candidates' internship release time, counting it as professional development and using their CoSer for reimbursement. We had worked with CADEA members from Western New York to share possible funding models with NYSED officials, but without success. We hope that future internship policy planning will revisit this option as part of strengthening preparation throughout NYS.

The TLQP funding, made possible since 2009, has supported only six projects throughout NYS and, while individual projects have shared their results in various professional forums, and MCEAP and CADEA have offered opportunities to share results, there has been no other analysis and dissemination of lessons learned that could improve preparation programs and state policy support. We hope that the TLQP funded projects' experiences can be used systemically and strategically to inform policy here.

In addition to providing input into TLQP funding priorities, we also supported the Cohesive Leadership System policies that emphasize leadership development for new and experienced school leaders. While stressed in the Cohesive Leadership System proposal and proposed principal evaluation policies, this recommendation was never fully developed. We are pleased to see if stressed here and hope that it is more fully enacted than before. But, as noted below, we think all the elements described here (induction, mentoring, portfolio-based leadership development documentation and assessment) should be pulled together into an integrated set of policies, actions and funding.

Finally, we have continuously been committed to quality assessments to determine candidate readiness for initial school and district leadership. Several of our members have served on SBL assessment design committees and as trained scorers. Based on our experiences, we have been concerned about some aspects of the assessment and submitted a written request for validity and reliability information on the test, without response.

Finally, based on our experiences in recruiting, selecting, developing and supporting aspiring school leaders, and based our continued advocacy for high quality leadership preparation, longer more full-time internships that enable independent leadership work, productive district partnerships, better recruitment and support of candidates from under-served populations, and effective assessments, we offer the following

## Metropolitan Council of Educational Administration Programs

questions, reactions and suggestions on the proposed recommendations. We also list several of our own recommendations for consideration as well. Given the detail of feedback and our additional recommendations, we would like to offer you an opportunity to discuss these with us at more length, possibly through a conference call to be scheduled at your convenience. We strongly support NYSED aims to improve the quality and effectiveness of school leaders statewide and its investments in improving leadership preparation programs and school districts' leadership development toward that end. We believe that working together we can find viable, cost-effective strategies to meet these goals.

Recommendation	Questions	Reaction	Suggestions
<b>NYSED recommendations</b>			
<p>Recommendation #1: Aspiring and current principals demonstrate they have acquired and can apply the knowledge and skill required to meet the learning needs of an increasingly-diverse student population.</p>	<p>The recommendation includes three elements that require clarification. What is meant by: “have acquired,” “can apply” and which knowledge and skills?</p> <p>Is it the state’s intention to use PSEL for all leadership policies (preparation, certification exam, licensure, and principal evaluation)? If so, are there other policy recommendations that address this?</p> <p>How does the state intend to measure knowledge and skills of sitting administrators that meet the needs of diverse student populations? How will this be used in conjunction with the districts’ principal evaluation systems?</p> <p>Why is this limited to just “principals” and not all school building leaders?</p>	<p>We support the intention of this recommendation, particularly emphasizing leadership skills for leading increasingly diverse student populations.</p> <p>The recommendation seems to be overarching for the rest of the recommendations.</p> <p>We do not know which standards are being used for both aspiring and current principals.</p>	<p>This recommendation seems to bridge preparation and post-certification leadership development, linked to specific knowledge and skills. We suggest that the recommendation do the following:</p> <ol style="list-style-type: none"> <li>a. Clarify that NYS views leadership development as continuous from preparation through initial leadership positions and that preparation programs and districts strive to create a coherent, developmental experience.</li> <li>b. Clarify which standards (PSEL, CAEP or principal evaluation standards) are being applied and if there is an expectation that these be used for both preparation and principal evaluation.</li> <li>c. We recommend that the PSEL standards be used for both</li> </ol>

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			<p>leadership preparation and leadership practice.</p> <p>d. We recommend that all preparation programs be required to be nationally accredited, which means adhering to the CAEP standards and expectations.</p> <p>e. We recommend that the expectation be broadened to more than “serving” diverse student populations, but “educating effectively and equitably.”</p>
<p>Recommendation #2: Going forward, professional development plans that districts prepare and submit to the State Education Department will include annual goals that call for increasing the number and percentage of historically under-represented populations in the ranks of school building leaders employed by the district; districts make public annual reports that describe progress made toward these goals.</p>	<p>Are there benchmarks that the state plans to use and if so, what are these? What would the goals be for districts whose school leaders are predominately nonwhite?</p> <p>Is this goal going to be paired with a similar goal to diversify the teaching ranks from which future leaders are drawn?</p> <p>It is admirable to call for increasing the number and percentage of under-represented subgroups in school building leadership but how can the plethora of small school district across the state manage this effort?</p>	<p>Given the predominance of small districts throughout NYS, we wondered if this recommendation is feasible for all districts and whether the required documentation and reporting was unnecessarily burdensome.</p> <p>This goal could be nested within a larger statewide goal to diversify the teaching population, support the diversity of teaching candidates, and create viable pathways for students from historically under-represented populations to be able to be successful in college and consider the teaching profession.</p> <p>Different types of districts face different challenges in recruiting</p>	<p>We support this recommendation in spirit, strongly agreeing that school and district leaders should be racially/ethnically diverse and reflect their districts racial/ethnic make-up. But we are aware that the teaching force is not. Thus, we suggest that this recommendation include the following:</p> <p>a. Take into account district demographics when setting targets for school leader demographics.</p> <p>b. Add a recommendation for diversifying teacher preparation and teacher pools.</p> <p>c. Consider how to do this without adding documentation requirements.</p>

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	<p>What is the success rate of various districts to recruit and retain teachers and leaders from historically-underrepresented populations? What work conditions contribute to better recruitment and retention?</p>	<p>and retaining teachers and leaders from historically-underrepresented populations. More research is needed to understand the trends and issues in order to develop a targeted but differentiated strategy to diversify the teaching and leading staff in all types of districts and communities.</p>	<p>d. Provide funding to research the recruitment and retention of teachers and leaders from historically underrepresented populations, to identified trends and patterns and working conditions that positive influence these goals.</p>
<p>Recommendation #3: Future state approval for university-based School Building Leader (SBL) preparation programs will be predicated on the SBL program setting and reporting publicly on program progress toward annual goals that seek to increase the number and percentage of historically under-represented populations in the ranks of candidates enrolled and those that successfully earn SBL certification.</p>	<p>What would the benchmarks be for program diversity goals?</p> <p>How is historically under-represented defined?</p> <p>How will these benchmarks be set?</p>	<p>This is two goals, over which programs have different controls. The first goal pertains to recruitment, which is dependent upon the pool of applicants and the potential pool based from existing teacher and other professional staff ranks. Programs have only partial control over candidate diversity through recruitment and this varies regionally with some areas having more diverse teacher pools than others.</p> <p>The pool of candidates varies over time, based on demographics and labor market conditions. It appears that in some NYS regions, the potential applicant pool is shrinking generally, while school leadership openings are anticipated to increase in the next few years. Could the state provide data to</p>	<p>We support this recommendation in spirit, strongly agreeing that school and district leaders should be racially/ethnically diverse and reflect their districts racial/ethnic makeup.</p> <p>We do not recommend that there be enrollment goals for SBL program approval, given the fact that programs are dependent upon the diversity of teacher pools in their catchment area.</p> <p>We recommend that any demographically defined enrollment goals be based in part on the demographic population in programs' catchment area's teacher demographics.</p> <p>We propose that this recommendation be coupled with a</p>

## Metropolitan Council of Educational Administration Programs

		<p>track this and help programs target their recruitment and support?</p> <p>The second goal is related to retention and completion. Programs have more influence over this and should be encouraged to provide supports to enable better program completion rates among students from historically-underrepresented populations.</p>	<p>broader state strategy to support better diversification of its teaching ranks, particularly in recruiting and retaining teachers from historically-under-served populations.</p> <p>We recommend that the state provide scholarships to encourage teachers from historically under-served populations to pursue leadership preparation and school leadership licensure, as a means of supporting program recruitment and retention, particularly in regions most challenged by this goal.</p> <p>We recommend that there be program progress goals on diverse candidate retention, to emphasize how well programs support students of historically underserved populations in program completion.</p>
<p>Recommendation #4: While maintaining a commitment to quality (when it comes to certification, program approval and institutional accreditation), take steps to improve the presence of historically-under-represented populations in the ranks of successful school building leaders by employing multiple pathways to</p>	<p>What is the research evidence that multiple pathways will diversify the leadership pool?</p> <p>Does “multiple pathways” refer to different types of preparation or different types of assessment of readiness?</p>	<p>This recommendation appears to have two parts that should be separated—creating multiple pathways to leadership and diversifying the school leader pool. The latter part of the recommendation was addressed in recommendations #2 and #3 and does not need to be included here.</p>	<p>We cannot provide a recommendation without clarification about whether this is about multiple pathways to licensure or multiple pathways for assessment for licensure.</p> <p>In the absence of clarification, we do not recommend that there be multiple pathways to licensure.</p>

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<p>SBL certification that include competency-based demonstrations and peer review of portfolios containing multiple forms of evidence (beyond test-based results).</p>	<p>What are “competency-based demonstrations”?</p> <p>What is “peer reviewed”?</p>		<p>There is no research that supports non-graduate program based preparation and preliminary evidence from Massachusetts that candidates who are prepared through alternative (non-university) pathways are less well prepared and do more poorly on licensure-related performance assessments.</p> <p>We do support the exploration of other forms of assessment that would lead to licensure, but not multiple versions. There should be a common means of assessing readiness, to enable comparison.</p> <p>We propose that any recommendation about assessments for licensure should be posed as a separate, free standing recommendation.</p>
<p>Recommendation #5: Design, implement, and scale up statewide a mechanism that enables State-based incentives to be used to improve the identification, recruitment, selection, placement and development of aspiring school building leaders (especially but not exclusively those from historically-under-represented populations).</p>	<p>What would be the source funding of state-based incentives, given the current federal policy climate and budget cuts?</p> <p>What is meant by “state-based incentives”? Would this be grants for candidates, programs, or partnerships?</p>	<p>This recommendation seems to be like the current TLQP grant program purpose and design.</p> <p>There has been eight years of TLQP funding for 6 projects statewide. These projects were to be designed around program design features that are like the recommendations here. It would be useful to analyze what has been learned from these</p>	<p>We recommend that the state review the funded projects from current TLQP funding to gather the evidence of what worked and what did not in achieving the TLQP goals and objectives and use these to inform the design of a state-based incentive.</p> <p>We recommend that the state providing funding to share findings</p>

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	<p>How would this proposed recommendation be different from the TLQP grant program that is currently in place?</p> <p>What type of entities would be eligible to design and implement improvements like this?</p> <p>How would programs learn about these incentives to participate in “scale up”?</p>	<p>projects over the last eight years about the feasibility, innovation and challenges in meeting these goals.</p> <p>We used several CADEA and MCEAP meetings annually to share what programs have learned about their TLQP projects, but no other common dissemination strategy has occurred.</p>	<p>on the design, implementation and outcomes of current TLQP projects for local programs to use for possible replication.</p>
<p>Recommendation #6: Adopt the <i>Professional Standards for Educational Leaders</i> for principal preparation and evaluation but add emphasis to Standard 4, Standard 5, and Standard 6 (see underlined passages below).</p>	<p>The standards were amended to add cultural competence. Is this competence should be what leadership candidates demonstrate or should they demonstrate the capacity to foster cultural competence among staff?</p>	<p>This is the recommendation that MCEAP proposed last year in our letter to the Regents.</p>	<p>We agree that the state should adopt the PSEL standards as the foundation for leadership preparation.</p> <p>We recommend that the state also use the PSEL standards as the basis for all its leadership-related policies, including principal evaluation.</p>
<p>Recommendation #7: Institutionalize P-20 partnerships to strengthen the profession.</p>	<p>This recommendation includes several terms that warrant clarification to make the policy intent clearer:  “institutionalize”  “partnerships”  “strengthen the profession”. What is meant by these terms in this recommendation?</p> <p>Could NYS do an audit of the school district-leadership preparation</p>	<p>It is not clear what the actual intent of this recommendation is.</p> <p>All preparation programs, because of the internship, already work closely with local schools to support their candidates. Some programs have formalized partnerships to earmark some programs for their staff’s leadership preparation. And, some programs have advisory</p>	<p>We recommend that there be clear district-university policy expectations that provide clarity for districts and programs to work closely together, as is feasible, on candidates’ leadership preparation.</p> <p>We recommend that NYSED survey districts and programs to identify where leadership preparation partnerships already exist and where gaps for more strategic</p>

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	<p>partnerships that already exist statewide?</p>	<p>committees or other forms of close working relationships with one or more local districts. If the recommendation's intent is to expand district-university relationships, the form and nature of these relationships should be defined, with flexibility given the different sizes and needs of local districts.</p> <p>It is our understanding that many programs already have one or more formal partnership with local districts to develop aspiring leaders for their school leadership needs. It would be useful to identify the gaps and opportunities for more partnerships.</p>	<p>leadership preparation partnerships.</p> <p>We recommend that the state adopt the UCEA program quality guidelines definition of a partnership and that include at least some of the following:</p> <ol style="list-style-type: none"> <li>a. District-university advisory committee</li> <li>b. District curriculum review to update topics, tools and expectations.</li> <li>c. Use of school and district leaders as instructors or co-instructors.</li> <li>d. District assistance in recruiting and selecting candidates.</li> <li>e. School and district leader support on ensuring quality internship experiences.</li> <li>f. School and district feedback on candidate skill development.</li> </ol>
<p>Recommendation #8: Provide on-going, job-embedded professional learning and authentic experiences with diverse student populations (including English language learners, students with disabilities, etc.) during preparation and the first year on the job.</p>	<p>Who would be responsible for this?</p> <p>What kind of experiences are envisioned?</p> <p>What leadership skills are envisioned for this recommendation?</p>	<p>This seems to be two recommendations that should be separated:</p> <ol style="list-style-type: none"> <li>a. Recommendation for content and field based experiences in leadership preparation</li> <li>b. Recommendation for content and on-the-job</li> </ol>	<p>We recommend that this be separated into two separate recommendations and that all recommendations concerning post-preparation be combined.</p> <p>We also recommend that the purpose, content and expected leadership skills be defined further.</p>

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	<p>What is “first year on the job”? the first leadership position after program completion?</p> <p>Is the expectation that the professional learning would be articulated between preparation and the first year on the job?</p>	<p>training for new school leaders.</p>	<p>We recommend that the PSEL standards be used to define leadership skills and that expectation levels be established for skill proficiency as beginning (aspiring candidates), developing (for program completers), meeting (for new school leaders) and exemplary (for experienced school leaders)</p>
<p>Recommendation #9: Consider an annotation to the SBL Certification for principal-ship</p>	<p>What does “annotation” mean?</p> <p>Is this a proposal for an SBL certification that is specifically for the principalship, and not just school leadership generally?</p> <p>Does this mean to add an assessment requirement for SBL certification? As part of the PSEL standards, shouldn’t candidates demonstrate those qualities without an annotation? What other skills would be assessed?</p>	<p>We would propose that there be a special education annotation for school leader licensure.</p>	<p>We request that there be clarification of this recommendation before we provide feedback.</p>
<p>Recommendation #10: The preparation of school building leaders will:</p> <ul style="list-style-type: none"> <li>- Be grounded in CAEP or State-adopted standards for programs to prepare school building leaders;</li> <li>- Be competency-based;</li> </ul>	<p>Why the CAEP and not the PSEL standards? Is the state adopted CAEP?</p> <p>Which competencies? PSEL or CAEP?</p> <p>What does it mean to be “rooted in district-university partnerships”</p>	<p>The recommendations use several different standards:</p> <ol style="list-style-type: none"> <li>a. PSEL</li> <li>b. CAEP or state standards for preparation</li> <li>c. District principal evaluation expectations which are currently based on the 2008 ISLLC standards.</li> </ol>	<p>We agree with the recommendation that programs should be competency based (using the PSEL standards)</p> <p>We agree with the recommendation that candidates should have a lengthy internship.</p>

## Metropolitan Council of Educational Administration Programs

<ul style="list-style-type: none"> <li>- Be rooted in district-university partnerships;</li> <li>- Involve partners from P12 and higher education that play a role in assessment of competency in each standard via clinically-rich micro-credentialing experiences throughout the coursework;</li> <li>- Include an internship component with sustained time in one place;</li> <li>- Take steps to see that the above happens in a pilot initially with voluntary representation of university-district partnerships across the state and a process of learning from the pilot.</li> </ul>	<p>and is this different from recommendation #7 and if so how?</p> <p>What is meant by P12 partner? School or district leaders?</p> <p>What is meant by higher education? The school of education or just leadership department or just program faculty?</p> <p>How would P12 and higher education play a role in assessment? Who would determine the assessment and how would this be done?</p> <p>What are “clinically-rich micro-credentialing experiences” and why are these tied to coursework since the clinical part implies field work?</p> <p>What does “an internship component with sustained time in one place” mean?</p> <p>How is this recommendation different from the current state requirement that preparation programs must achieve national accreditation?</p>	<p>The standards to be used be programs needs to be clarified.</p> <p>This recommendation has several components that should be individually spelled out and not lumped together in one recommendation.</p> <p>The assessment component in this recommendation itself has multiple parts:</p> <ol style="list-style-type: none"> <li>a. That P12 and higher education role in assessment. This needs to be explained further.</li> <li>b. The use of clinically-rich micro-credentialing experiences. Programs currently have course-based assessments and, as required for national accreditation, program assessments. What does it mean that these would be credentialing experiences</li> </ol> <p>We have long asked the state for mechanisms to enable better internship design and support.</p>	
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	<p>How would extended term internships be funded? School districts? NYSED?</p>	<p>How can CoSer funding be used to help cover districts' in releasing candidates for their internship experiences?</p>	
<p>Recommendation #11: The preparation of school building leaders will create a measurable first-year mentoring requirement that features a full school year of formal mentoring. Structure it so higher education partners with districts (and if desired other organizations with expertise in mentoring) so there is a continuation of formal training received in principal preparation. To allow this, develop a job embedded candidate portfolio process to accompany principal preparation so the portfolio follows candidates into the job. The portfolio contains a competency-based assessment – that includes but is not limited to self-assessment -- that starts in preparation but with a line of sight to on-the-job evaluation and which measures each candidate's strengths and weaknesses in an effort to focus mentoring efforts on target areas of growth and development that are tailored to the strengths and needs of each candidate</p>	<p>Is this being mentored a new requirement for initial school leaders? Is this going to be part of the continued education requirement for new school leaders?</p> <p>What is the definition of mentoring?</p> <p>Who will do the mentoring?</p> <p>How will this be funded?</p> <p>Will new school leaders have to pay for mentoring just as they do for their preparation?</p> <p>Would preparation programs be one type of vendor to provide mentoring?</p> <p>How will candidates' progress be documented and how will this be used? How will this be related to a school district evaluation of the new school leader?</p>	<p>This recommendation combines two parts that should be separately addressed:</p> <ul style="list-style-type: none"> <li>a. Requirement of full-year mentoring for first year school leaders</li> <li>b. A competency-based portfolio that integrates learning objectives from preparation with learning objectives during the initial school leadership year.</li> </ul> <p>Many graduates do not move directly into a school building leadership position upon degree completion. On average, it takes graduates 2 years to advance to an assistant principal position and four years to advance to a principal position (and more in NYC).</p> <p>What continued leadership development is being proposed for those in time between graduation and their first leadership position?</p> <p>Could the state provide more career advancement</p>	<p>We agree with the recommendation that new school leaders be mentored. We are concerned with the logistics, policy challenges, and costs, particularly when aligning mentoring with school districts' initial induction, support and evaluation of initial school leaders.</p>

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		documentation for programs' graduates to help in planning for and support graduates over time?	
<p>Recommendation #12: Create incentives to encourage districts and universities (and if desired, Boards of Cooperative Education Services or BOCES) to align and adopt sustainable induction models tied to the principal preparation portfolios to provide continuous ongoing support to educators during the first three years of their educator's careers. The State Education Department will monitor, track, and report outcome gains to document growth and outcomes.</p>	<p>Why is this recommendation focused on "incentives to encourage districts and universities"?</p> <p>How is this recommendation for a three-year induction model different from the one-year mentoring in recommendation #11?</p> <p>How does it become the state education department's responsibility to track new leaders' leadership development and growth? How does this overlap with local districts' evaluation of school leaders?</p>	<p>This recommendation has several components that should be separated and spelled out further:</p> <ul style="list-style-type: none"> <li>a. A three-year induction program for initial school leaders</li> <li>b. A school leader portfolio that links learning in preparation to learning in the first three years.</li> <li>c. The state's role in monitoring each leader's learning outcomes</li> </ul>	<p>We recommend that recommendations 11 and 12 be sorted out further and the purpose, scope and design of new leader mentoring and induction be explained.</p> <p>We recommend that the use of leadership portfolio be a separate recommendation that is explained further.</p> <p>We do not recommend that the state monitor school leaders' learning outcomes.</p>
<p>Recommendation #13: Provide targeted support to train and develop mentors as well as for consideration for mentor placement, including working with professional organization for assistance and guidance from existing models of success, e.g., Committee for Identifying and Developing Educational Leaders in Western New York State (or CIDEL).</p>	<p>Who or what is the focus of the targeted support to train and develop mentors? Is this for organizations and institutions to develop mentor training models?</p> <p>How would the mentor training be conceived of separate from the design and implementation of mentoring and induction?</p>	<p>Based on our local area experiences (particularly with BOCES), we have found that most school districts do not want to pay for outside mentors and prefer to develop their own new principal mentoring and induction programs.</p>	<p>We recommend that mentor training be part of proposed designs for mentoring and induction.</p>
<b>MCEAP RECOMMENDATIONS</b>			

## Metropolitan Council of Educational Administration Programs

<p>MCEAP recommendation #1—align these recommendations to the CAEP standards when those become available</p>		<p>Programs will have two sets of standards to use as the foundation and structure of their preparation programs. The CAEP standards provide important criteria for preparation program design which should be used for all programs:</p> <ul style="list-style-type: none"> <li>a. Faculty/adjunct ratios to limit program use of adjuncts.</li> <li>b. Use of performance assessments to evaluate candidates' skills in improving student learning and schools.</li> </ul>	<p>We strongly recommend this.</p>
<p>MCEAP recommendation #2—create an integrated data system that links candidates' degree completion, licensure status and employment history that would be available on a restricted basis for program evaluation and research</p>		<p>Presently it is very difficult for programs to track their graduates' post program careers. An integrated data system, as is available in Texas and Tennessee, would be extremely useful and enable research into the priorities included here.</p>	<p>We strongly recommend this.</p>
<p>MCEAP recommendation #3—revising CoSer funding to cover internships as a form of professional development</p>		<p>Presently, school districts and preparation programs are challenged in funding release time for candidates to undertake school leader internship responsibilities. Only candidates in programs with TLQP grants, candidates in well-resourced districts, and candidates who are hired into a leadership position (using the internship</p>	<p>We strongly recommend that there be a funding mechanism created to enable candidates to have reasonable release time for authentic school-based internships.</p>

## Metropolitan Council of Educational Administration Programs

		certificate) are able to have release time for an internship. This creates an inequitable leadership preparation pathway. Past experiments with CoSer funding for internship experiences enabled districts and preparation programs to: a) fund release time for candidates to have rich, authentic school building internship experiences; and b) enable districts and programs to place candidates in different schools (other than their home schools) for internship experiences, giving candidates better access to quality leader mentoring.	
MCEAP recommendation #4— provide grant funding for preparation programs to collaborate on R& D on program improvement.		It is very challenging for programs to evaluate their own program effectiveness, given the lack of access to career data and lack of funds to conduct a rigorous school leadership study.	We strongly recommend this.
MCEAP recommendation #5— adopt the UCEA program quality criteria as a required program self-evaluation and goal setting.	What program quality criteria does the state propose to use and how will performance benchmarks be used?	UCEA has developed a clear set of preparation program criteria, with effectiveness rating scales that could serve as a model for NYS. These criteria overlap strongly with the NYS-TLQP effective program criteria. See: <a href="http://3fl71l2qoj4l3y6ep2tqpwra.wpengine.netdna-cdn.com/wp-content/uploads/2014/07/UCEAPr ogramCriteria.pdf">http://3fl71l2qoj4l3y6ep2tqpwra.wpengine.netdna-cdn.com/wp-content/uploads/2014/07/UCEAPr ogramCriteria.pdf</a>	We strongly recommend that the state adopt a clear set of program standards, with criteria, such as the UCEA program criteria.

## Metropolitan Council of Educational Administration Programs

<p>MCEAP recommendation #6— Provide additional school leader specialization options for aspiring and current school principals.</p>		<p>Given the persistent achievement gap schools and the state, we see a strong need to offer recognized preparation and specialization for school leaders in leading schools that effectively serve under-served populations. While we can offer coursework and other preparation, there is no formal recognition of such specialization.</p>	<p>We strongly recommend that the state create recognized subspecialties or additional specializations (like annotation) in school leadership effectiveness in promoting cultural competence among staff and fostering inclusion, especially for special education and ELLs, and working to close the achievement among federally designated high need groups based on race/ethnicity, economics, language and special education.</p>
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# CADEA

## Collegiate Association for Departments of Educational Administration (CADEA), New York

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**Dr. Rose Rudnitski, Mercy College**

President

Executive Committee

Steve Jacobson, SUNY-Buffalo

Rosa Rivera-McCutchen, Lehman College

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(MCEAP liaison)

Kathryn Schiller, SUNY-Albany

**Deputy Commissioner D'Agati and Director Turner**

New York State Education Department

89 Washington Street

Albany, New York 12234

May 30, 2017

Dear Deputy Commissioner D'Agati and Director Turner,

As members of the executive committee of the New York State association of leadership preparation programs (over 50 programs statewide), CADEA, we strongly support the principal preparation program recommendations and feedback provided by our regional affiliate, the Metropolitan Council of Educational Administration Programs (MCEAP) in their letter to you on May 25, 2017.

Sincerely,

Dr. Rose Rudnitski, Mercy College

Dean and Professor of Education

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**APPENDIX F: Crosswalk Comparing 2015 Professional Standards for Educational Leaders (PSEL) and 2008 Standards from Interstate School Leaders Licensure Consortium (ISLLC), June 30, 2017**

2015 Professional Standards for Educational Leaders (PSEL)	2008 ISLLC Standards (basis of NYS certification standards)
<p><b>PSEL Standard 1. Mission, Vision, and Core Values</b>            Effective educational leaders develop, advocate, and enact a shared mission, vision, and core values of high-quality education and academic success and well-being of each student.</p> <p>Effective leaders:</p> <ul style="list-style-type: none"> <li>a) Develop an educational mission for the school to promote the academic success and well-being of each student.</li> <li>b) In collaboration with members of the school and the community and using relevant data, develop and promote a vision for the school on the successful learning and development of each child and on instructional and organizational practices that promote such success.</li> <li>c) Articulate, advocate, and cultivate core values that define the school’s culture and stress the imperative of child-centered education; high expectations and student support; equity, inclusiveness, and social justice; openness, caring, and trust; and continuous improvement.</li> <li>d) Strategically develop, implement, and evaluate actions to achieve the vision for the school.</li> <li>e) Review the school’s mission and vision and adjust them to changing expectations and opportunities for the school, and changing needs and situations of students.</li> <li>f) Develop shared understanding of and commitment to mission, vision, and core values within the school and the community.</li> <li>g) Model and pursue the school’s mission, vision, and core values in all aspects of leadership.</li> </ul> <p><b>PSEL Standard 10 – School Improvement</b>            Effective educational leaders act as agents of continuous improvement to promote each student’s academic success and well-being.</p> <p>Effective leaders:</p> <ul style="list-style-type: none"> <li>a) Seek to make school more effective for each student, teachers and staff, families, and the community.</li> <li>b) Use methods of continuous improvement to achieve the vision, fulfill the mission, and promote the core values of the school.</li> <li>c) Prepare the school and the community for improvement, promoting readiness, an imperative for improvement, instilling mutual commitment and accountability, and developing the knowledge, skills, and motivation to succeed in improvement.</li> <li>d) Engage others in an ongoing process of evidence-based inquiry, learning, strategic goal setting, planning, implementation, and evaluation for continuous school and classroom improvement.</li> <li>e) Employ situationally-appropriate strategies for improvement, including transformational and incremental, adaptive approaches and attention to different phases of implementation.</li> <li>f) Assess and develop the capacity of staff to assess the value and applicability of emerging educational trends and the findings of research for the school and its improvement.</li> <li>g) Develop technically appropriate systems of data collection, management, analysis, and use, connecting as needed to the district office and external partners for support in planning, implementation, monitoring, feedback, and evaluation.</li> <li>h) Adopt a systems perspective and promote coherence among improvement efforts and all aspects of school organization, programs, and services.</li> <li>i) Manage uncertainty, risk, competing initiatives, and politics of change with courage and perseverance, providing support and encouragement, and openly communicating the need for, process for, and outcomes of improvement efforts.</li> <li>j) Develop and promote leadership among teachers and staff for inquiry, experimentation and innovation, and initiating and implementing improvement.</li> </ul>	<p><b>ISLLC 1. Develops, articulates, implements, and stewards a vision of learning, shared and supported by all stakeholders</b></p> <ul style="list-style-type: none"> <li>a) Collaboratively develop and implement a shared vision</li> <li>b) Collect and use data to identify goals, assess organizational effectiveness, and promote organizational learning</li> <li>c) Create and implement plans to achieve goals</li> <li>d) Promote continuous and sustainable improvement</li> <li>e) Monitor and evaluate progress and revise plans</li> </ul>

**PSEL Standard 3. Equity and Cultural Responsiveness.**

Effective educational leaders strive for equity of educational opportunity and culturally responsive practices to promote each student’s academic success and well-being.

Effective leaders:

- a) Ensure that each student is treated fairly, respectfully, and with an understanding of each student’s culture and context.
- b) Recognize, respect, and employ each student’s strengths, diversity, and culture as assets for teaching and learning.
- c) Ensure that each student has equitable access to effective teachers, learning opportunities, academic and social support, and other resources necessary for success.
- d) Develop student policies and address student misconduct in a positive, fair, and unbiased manner.
- e) Confront and alter institutional biases of student marginalization, deficit-based schooling, and low expectations associated with race, class, culture and language, gender and sexual orientation, and disability or special status.
- f) Promote the preparation of students to live productively in and contribute to the diverse cultural contexts of a global society.
- g) Act with cultural competence and responsiveness in their interactions, decision making, and practice.
- h) Address matters of equity and cultural responsiveness in all aspects of leadership.

**PSEL Standard 4 – Curriculum, Instruction, and Assessment**

Effective educational leaders develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student’s academic success and well-being.

Effective leaders:

- a) Implement coherent systems of curriculum, instruction, and assessment that promote the mission, vision, and core values of the school, embody high expectations for student learning, align with academic standards, and are culturally responsive.
- b) Align and focus systems of curriculum, instruction, and assessment within and across grade levels to promote student academic success, love of learning, the identities and habits of learners, and healthy sense of self.
- c) Promote instructional practice that is consistent with knowledge of child learning and development, effective pedagogy, and the needs of each student.
- d) Ensure instructional practice that is intellectually challenging, authentic to student experiences, recognizes student strengths, and is differentiated and personalized.
- e) Promote the effective use of technology in the service of teaching and learning.
- f) Employ valid assessments that are consistent with knowledge of child learning and development and technical standards of measurement.
- g) Use assessment data appropriately and within technical limitations to monitor student progress and improve instruction.

**ISLLC 2. Advocates, nurtures, and sustains a school culture and instructional program conducive to student learning and staff professional growth**

- a) Nurture and sustain a culture of collaboration, trust, learning, and high expectations
- b) Create a comprehensive, rigorous and coherent curricular program
- c) Create a personalized and motivating learning environment for students
- d) Supervise instruction
- e) Develop assessment and accountability systems to monitor student progress
- f) Develop the instructional and leadership capacity of staff
- g) Maximize time spent on quality instruction
- h) Promote the use of the most effective and appropriate technologies to support teaching and learning
- i) Monitor and evaluate the impact of the instructional program.

**PSEL Standard 9 – Operations and Management**

Effective educational leaders manage school operations and resources to promote each student’s academic success and well-being.

Effective leaders:

- a) Institute, manage, and monitor operations and administrative systems that promote the mission and vision of the school.
- b) Strategically manage staff resources, assigning and scheduling teachers and staff to roles and responsibilities that optimize their professional capacity to address each student’s learning needs.
- c) Seek, acquire, and manage fiscal, physical, and other resources to support curriculum, instruction, and assessment; student learning community; professional capacity and community; and family and community engagement.
- d) Are responsible, ethical, and accountable stewards of the school’s monetary and non-monetary resources, engaging in effective budgeting and accounting practices.
- e) Protect teachers’ and other staff members’ work and learning from disruption.
- f) Employ technology to improve the quality and efficiency of operations and management.
- g) Develop and maintain data and communication systems to deliver actionable information for classroom and school improvement.
- h) Know, comply with, and help the school community understand local, state, and federal laws, rights, policies, and regulations so as to promote student success.
- i) Develop and manage relationships with feeder and connecting schools for enrollment management and curricular and instructional articulation.
- j) Develop and manage productive relationships with the central office and school board.
- k) Develop and administer systems for fair and equitable management of conflict among students, faculty and staff, leaders, families, and community.
- l) Manage governance processes and internal and external politics toward achieving the school’s mission and vision.

**PSEL Standard 6 – Professional Capacity of School Personnel**

Effective educational leaders develop the professional capacity and practice of school personnel to promote each student’s academic success and well-being.

Effective leaders:

- a) Recruit, hire, support, develop, and retain effective and caring teachers and other professional staff and form them into educationally effective faculty.
- b) Plan for and manage staff turnover and succession, providing opportunities for effective induction and mentoring of new personnel.
- c) Develop teachers’ and staff members’ professional knowledge, skills, and practice through differentiated opportunities for learning and growth, guided by understanding of professional and adult learning and development.
- d) Foster continuous improvement of individual and collective instructional capacity to achieve outcomes envisioned for each student.
- e) Deliver actionable feedback about instruction and other professional practice through valid, research-anchored systems of supervision and evaluation to support the development of teachers’ and staff members’ knowledge, skills, and practice.
- f) Empower and motivate teachers and staff to the highest levels of professional practice and to continuous learning and improvement.
- g) Develop the capacity, opportunities, and support for teacher leadership and leadership from other members of the school community.
- h) Promote the personal and professional health, well-being, and work-life balance of faculty and staff.
- i) Tend to their own learning and effectiveness through reflection, study, and improvement, maintaining a healthy work-life balance.

**ISLLC 3. Manages the school, its operations and resources for a safe, efficient, and effective learning environment**

- a) Monitor and evaluate the management and operational systems
- b) Obtain, allocate, align, and efficiently utilize human, fiscal, and technological resources
- c) Promote and protect the welfare and safety of students and staff
- d) Develop the capacity for distributed leadership
- e) Ensure teacher and organizational time is focused to support quality instruction and student learning

**PSEL Standard 5 – Community of Care and Support for Students**

Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of each student.

Effective leaders:

- a) Build and maintain a safe, caring, and healthy school environment that meets that the academic, social, emotional, and physical needs of each student.
- b) Create and sustain a school environment in which each student is known, accepted and valued, trusted and respected, cared for, and encouraged to be an active and responsible member of the school community.
- c) Provide coherent systems of academic and social supports, services, extracurricular activities, and accommodations to meet the range of learning needs of each student.
- d) Promote adult-student, student-peer, and school-community relationships that value and support academic learning and positive social and emotional development.
- e) Cultivate and reinforce student engagement in school and positive student conduct.
- f) Infuse the school’s learning environment with the cultures and languages of the school’s community.

**PSEL Standard 7 – Professional Community for Teachers and Staff**

Effective educational leaders foster a professional community of teachers and other professional staff to promote each student’s academic success and well-being.

Effective leaders:

- a) Develop workplace conditions for teachers and other professional staff that promote effective professional development, practice, and student learning.
- b) Empower and entrust teachers and staff with collective responsibility for meeting the academic, social, emotional, and physical needs of each student, pursuant to the mission, vision, and core values of the school.
- c) Establish and sustain a professional culture of engagement and commitment to shared vision, goals, and objectives pertaining to the education of the whole child; high expectations for professional work; ethical and equitable practice; trust and open communication; collaboration, collective efficacy, and continuous individual and organizational learning and improvement.
- d) Promote mutual accountability among teachers and other professional staff for each student’s success and the effectiveness of the school as a whole.
- e) Develop and support open, productive, caring, and trusting working relationships among leaders, faculty, and staff to promote professional capacity and the improvement of practice.
- f) Design and implement job-embedded and other opportunities for professional learning collaboratively with faculty and staff.
- g) Provide opportunities for collaborative examination of practice, collegial feedback, and collective learning.
- h) Encourage faculty-initiated improvement of programs and practices.

**ISLLC 4. Collaborates with faculty and community members, responds to diverse community interests and needs, and mobilizes community resources**

- a) Collect and analyze data and information pertinent to the educational environment
- b) Promote understanding, appreciation, and use of the community’s diverse, cultural, social, and intellectual resources
- c) Build and sustain positive relationships with families and caregivers
- d) Build and sustain productive relationships with community partners

<p><b>Standard 2 – Ethics and Professional Norms</b> Effective educational leaders act ethically and according to professional norms to promote each student’s academic success and well-being.</p> <p>Effective leaders:</p> <ul style="list-style-type: none"> <li>a) Act ethically and professionally in personal conduct, relationships with others, decision-making, stewardship of the school’s resources, and all aspects of school leadership.</li> <li>b) Act according to and promote the professional norms of integrity, fairness, transparency, trust, collaboration, perseverance, learning, and continuous improvement.</li> <li>c) Place children at the center of education and accept responsibility for each student’s academic success and well-being.</li> <li>d) Safeguard and promote the values of democracy, individual freedom and responsibility, equity, social justice, community, and diversity.</li> <li>e) Lead with interpersonal and communication skill, social-emotional insight, and understanding of all students’ and staff members’ backgrounds and cultures.</li> <li>f) Provide moral direction for the school and promote ethical and professional behavior among faculty and staff</li> </ul>	<p><b>ISLLC 5. Acts with integrity, fairness, and in ethical manner</b></p> <ul style="list-style-type: none"> <li>a) Ensure accountability for every student’s academic/social success</li> <li>b) Model principals of self-awareness, reflective practice, transparency, and ethical behavior</li> <li>c) Safeguard the values of democracy, equity, and diversity</li> <li>d) Consider and evaluate the potential moral and legal consequences of decision-making</li> <li>e) Promote social justice and ensure that individual student needs inform all aspects of schooling</li> </ul>
<p><b>Standard 8 – Meaningful Engagement of Families and Communities</b> Effective educational leaders engage families and the community in meaningful, reciprocal, and mutually beneficial ways to promote each student’s academic success and well-being.</p> <p>Effective leaders:</p> <ul style="list-style-type: none"> <li>a) Are approachable, accessible, and welcoming to families and members of the community.</li> <li>b) Create and sustain positive, collaborative, and productive relationships with families and the community for the benefit of students.</li> <li>c) Engage in regular and open two-way communication with families and the community about the school, students, needs, problems, and accomplishments.</li> <li>d) Maintain a presence in the community to understand its strengths and needs, develop productive relationships, and engage its resources for the school.</li> <li>e) Create means for the school community to partner with families to support student learning in and out of school.</li> <li>f) Understand, value, and employ the community’s cultural, social, intellectual, and political resources to promote student learning and school improvement.</li> <li>g) Develop and provide the school as a resource for families and the community.</li> <li>h) Advocate for the school and district, and for the importance of education and student needs and priorities to families and the community.</li> <li>i) Advocate publicly for the needs and priorities of students, families, and the community.</li> <li>j) Build and sustain productive partnerships with public and private sectors to promote school improvement and student learning.</li> </ul>	<p><b>ISLLC 6. Understands, responds to, and influences the larger political, social, economic, legal, and cultural context</b></p> <ul style="list-style-type: none"> <li>a) Advocate for children, families and caregivers</li> <li>b) Act to influence local, district, state, and national decisions affecting student learning</li> <li>c) Assess, analyze, and anticipate emerging trends and initiatives in order to adapt leadership strategies</li> </ul>

APPENDIX G:

Center on **GREAT TEACHERS & LEADERS**  
at American Institutes for Research ■



# The Professional Standards for Educational Leaders (PSEL) 2015 and the Interstate Leaders Licensure Consortium (ISLLC) Standards 2008: A Crosswalk

October 2016





## Introduction

Expectations of current school leaders and conversations surrounding educational leadership are rapidly evolving. In addition to managing daily school activities, today's principals must also focus on instructional leadership, the cultivation of diversity in schools, and the assurance of equal access to equitable opportunities leading to the highest levels of learning and achievement for all students.

The next iteration of standards that define effective educational leadership is the [Professional Standards for Educational Leaders \(PSEL\)](#), released in October 2015. The PSEL were developed to replace the Interstate Leaders Licensure Consortium (ISLLC) standards, which had been introduced in 1996 and revised in 2008. The PSEL were designed to respond to the new context of public education as well as to recent research studying the influence and impact of school principals on teaching and learning. The PSEL are intended to inform the work both of school leaders and of central office administrative leaders and school boards. The standards will impact leadership development over the next decade or, if the longevity of the ISLLC standards serves as an example, possibly longer. Some states have already begun the process of comparing their current educational leadership standards with the new PSEL and working to identify key areas of alignment or disconnect.

## Purpose

State leaders should consider this crosswalk as one of many resources that can help inform conversations at the state level or with district leaders regarding aligning current leadership standards with the new PSEL. This comparison of ISLLC and PSEL standards enables educational leaders to review how leadership standards have evolved since 2008 and to discuss key differences that will need to be addressed in existing state standards. Conversations about the comparison can serve as the foundation to: (1) inform revisions to state leadership standards; (2) foster common understanding of what educational leaders must know and be able to do to improve teaching, learning, and student achievement; and (3) help improve aspects of the principal pipeline, including preparation, licensure, recruitment and hiring, mentoring and induction, evaluation, and professional development.

Should a state decide to pursue an in-depth examination of the alignment between its current school leadership standards and the PSEL standards, please see the GTL Center tool, [Aligning Leadership Standards to the Professional Standards for Educational Leaders \(PSEL\): A Toolkit](#). This tool provides a sequential process for conducting standards alignment.

## How the Crosswalk Was Developed

Standards alignment experts from the Center on Great Teachers and Leaders (the GTL Center) developed this crosswalk document in the context of the following process:

1. First, GTL Center experts conducted an initial comparison of the PSEL and ISLLC standards to identify high-level common themes and key differences between similar standards.



2. Next, staff created a side-by-side comparison of each PSEL element with each ISLLC function to identify the degree of alignment—full, partial, or none— in language and focus. This step found that some PSEL elements are partially aligned with multiple ISLLC functions, while other PSEL elements are not included in the ISLLC standards.
3. Finally, the proposed crosswalk between the two sets of standards and their elements and functions went through a quality assurance review process, including internal review by an AIR researcher whose expertise is in the area of school leadership, as well as external review by a former superintendent and current consultant in the area of school leadership. This consultant was involved in the development of both the ISLLC 2008 and PSEL 2015 standards.

## Overview of the Crosswalk

This document provides a side-by-side comparison of the 2015 PSEL standards with the 2008 ISLLC standards, including a discussion of the overall thematic differences between the standards (Table 1). In addition, a detailed comparison of the 31 *functions* (i.e., the individual items under each standard) that are part of the 2008 ISLLC standards and the 83 *elements* of the 2015 PSEL is provided. This detailed comparison is organized by the 10 PSEL standards, shown in the right-side column of Table 2.

## High-Level Alignment and Comparison Between ISLLC 2008 and PSEL 2015 Standards

Table 1 shows the high-level alignment of the 2015 PSEL to the 2008 ISLLC standards. PSEL consists of 10 standards, while ISLLC 2008 has six standards. Table 2 below indicates instances of overlap and alignment across the two sets of standards.

The PSEL seek to challenge organizations that support educational leadership development to move beyond established practices and systems. They are framed by a future-oriented perspective that recognizes the changing world of educational leadership. And they emphasize an integrated implementation, since each standard is dependent on the others. Both ISLLC 2008 and PSEL 2015 underscore the importance of ongoing standards revisions so that the standards will always reflect changes in educational context and knowledge.

**Table 1. Side-by-Side Correlation of ISLLC 2008 and PSEL 2015 Standards**

ISLLC 2008	PSEL 2015
1. Vision	1. Mission, Vision, and Core Values 10. School Improvement
2. School Culture and Instructional Program	4. Curriculum, Instruction, and Assessment 5. Community of Care and Support for Students* 6. Professional Capacity of School Personnel* 7. Professional Community for Teachers and Staff
3. Operations, Management, and Resources	5. Community of Care and Support for Students* 6. Professional Capacity of School Personnel* 9. Operations and Management
4. Collaboration With Faculty and Community	8. Meaningful Engagement of Families and Community*
5. Ethics	2. Ethics and Professional Norms 3. Equity and Cultural Responsiveness*
6. Political, Social, Legal, Cultural Context	3. Equity and Cultural Responsiveness* 8. Meaningful Engagement of Families and Community*

\* Note. Individual PSEL standards designated with an asterisk (\*) correlate to multiple ISLLC standards.

## Detailed Standard-to-Standard Comparison Including Elements and Functions

This section provides a detailed comparison of the PSEL standards and their elements (a total of 83 items) with the ISLLC standards and their functions (a total of 31 items). Table 2 below includes 10 main sections that align with the 10 PSEL standards (vertical section headings on far left of table). Each section includes two columns that discuss: (1) key differences between the PSEL and the ISLLC standard(s) to which it aligns (according to Table 1 above); and (2) the PSEL elements that align with 2008 ISLLC functions and those PSEL elements that go beyond existing language and expectations in the 2008 ISLLC standards and functions.<sup>1</sup>

In general, the PSEL standards are presented at a finer grain size than are the ISLLC 2008 standards in order to better inform leader practice rather than simply high-level policy. For example, many of the PSEL elements include a “why” for the leadership actions proposed, such as “to promote student learning” or “to improve quality.”

<sup>1</sup> Appendix A includes a standards crosswalk index that provides a quick-glance reference to show how the elements and functions are aligned (or not aligned) in each standard.



Specifically, Table 2 suggests that four common themes emerge when comparing the two overall sets of standards and their elements and functions. These themes include equity, talent development, leadership capacity, and academic systems. This thematic breakout clearly highlights how the PSEL represents an evolution of the ISLLC standards.

- Equity: ISLLC mentions “responding to the cultural context” as well as other political and social contexts, while PSEL goes further by specifically addressing equity and cultural responsiveness in Standard 3.
- Talent Development: ISLLC calls for the leader to create a culture that is “conducive to professional growth” and the retention of effective teachers. However, PSEL Standard 6 is a specific call to leaders to act to develop the professional capacity and practice of school personnel.
- Leadership Capacity: ISLLC references the importance of developing, articulating, implementing, and stewarding a vision of learning across the system, but PSEL specifically addresses the concepts of continuous improvement—gathering, organizing, implementing, adjusting, and engaging stakeholders—in Standard 10.
- Academic Systems: The instructional program in PSEL, including curriculum, instruction, and assessment, is articulated in greater depth than it was in ISLLC and more specifically refers to intellectual rigor and coherence as foundational elements.

**Table 2. Detailed Comparison of ISLLC 2008 Standards and Functions With the PSEL Standards and Elements (Organized by the 10 PSEL Standards)**

Key. ● = Aligned with ISLLC function as designated

**PSEL 1: MISSION, VISION, AND CORE VALUES**

ISLLC 2008	PSEL 2015
<p><b>Standard 1 (5 functions)—Facilitating the development, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.</b></p>	<p><b>Standard 1 (7 elements)—Effective educational leaders develop, advocate, and enact a shared mission, vision, and core values of high-quality education and academic success and well-being of each student.</b></p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>1a—Develop an educational mission for the school to promote the academic success and well-being of each student. ● <b>1A</b></p> <p>1b—In collaboration with members of the school and the community and using relevant data, develop and promote a vision for the school on the successful learning and development of each child and on instructional and organizational practices that promote such success. ● <b>1B</b></p> <p>1d—Strategically develop, implement, and evaluate actions to achieve the vision for the school. ● <b>1C</b></p> <p>1e—Model and pursue the school’s mission, vision, and core values in all aspect of leadership. ● <b>1E</b></p> <p>1f—Develop shared understanding of and commitment to mission, vision, and core values within the school and the community. ● <b>1D</b></p>	<p>(2 of 7 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>1c—Articulate, advocate, and cultivate core values that define the school’s culture and stress the imperative of child-centered education; high expectations and student support; equity, inclusiveness, and social justice; openness, caring, and trust; and continuous improvement.</p> <p>1g—Model and pursue the school’s mission, vision, and core values in all aspects of leadership.</p>
<p><b>Key Differences:</b></p> <p>PSEL 1 makes a shift from a focus on organizational effectiveness to the success of each student. Also, it provides specific guidance for areas in which an effective leader sets goals including equity and social justice. There is a new focus on core values defining the school’s culture that goes beyond simply the mission and vision that drive improvement. Finally, effective leaders are expected to model and pursue these changes in all aspects of their leadership.</p>	



## PSEL 2: ETHICS AND PROFESSIONAL NORMS

ISLLC 2008	PSEL 2015
<p><b>Standard 5 (5 functions)—Acting with integrity, fairness, and in an ethical manner.</b></p>	<p><b>Standard 2 (6 elements)—Effective educational leaders act ethically and according to professional norms to promote each student’s academic success and well-being.</b></p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>2b—Act according to and promote the professional norms of integrity, fairness, transparency, trust, collaboration, perseverance, learning, and continuous improvement. <b>5B</b></p> <p>2c—Place children at the center of education and accept responsibility for each student’s academic success and well-being. <b>5A 5E</b></p> <p>2d—Safeguard and promote the values of democracy, individual freedom and responsibility, equity, social justice, community, and diversity. <b>5C 5E</b></p> <p>2f—Provide moral direction for the school and promote ethical and professional behavior among faculty and staff. <b>5D</b></p>	<p>(2 of 6 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>2a—Act ethically and professionally in personal conduct, relationships with others, decision-making, stewardship of the school’s resources, and all aspects of school leadership.</p> <p>2e—Lead with interpersonal and communication skill, social-emotional insight, and understanding of all students’ and staff members’ backgrounds and cultures.</p>
<p><b>Key Differences:</b></p> <p>PSEL 2 goes beyond ISLLC 2008 in making a clear call to action for leaders to model ethical and professional behaviors—especially trust, collaboration, and perseverance. Effective leaders are expected to do their jobs well while providing moral direction for the school and staff. Finally, there is a clear emphasis on placing children at the center of education and accepting responsibility for their academic success.</p>	



### PSEL 3: EQUITY AND CULTURAL RESPONSIVENESS

ISLLC 2008	PSEL 2015
<p>Standard 5 (5 functions)—Acting with integrity, fairness, and in an ethical manner.</p> <p>Standard 6 (3 functions)—Understanding, responding to, and influencing the political, social, economic, legal, and cultural context.</p>	<p>Standard 3 (8 elements)—Effective educational leaders strive for equity of educational opportunity and culturally responsive practices to promote each student’s academic success and well-being.</p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>3b—Recognize, respect, and employ each student’s strengths, diversity, and culture as assets for teaching and learning. <b>6A</b></p> <p>3c—Ensure that each student has equitable access to effective teachers, learning opportunities, academic and social support. <b>5E</b></p> <p>3d—Develop student policies and address student misconduct in a positive, fair, and unbiased manner. <b>5A</b></p> <p>3e—Confront and alter institutional biases of student marginalization, deficit-based schooling, and low expectations associated with race, class, culture and language, gender and sexual orientation, and disability or special status. <b>6B 6C</b></p> <p>3h—Address matters of equity and cultural responsiveness in all aspects of leadership. <b>6C</b></p>	<p>(3 of 8 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>3a—Ensure that each student is treated fairly, respectfully, and with an understanding of each student’s culture and context.</p> <p>3f—Promote the preparation of students to live productively in and contribute to the diverse cultural contexts of a global society.</p> <p>3g—Act with cultural competence and responsiveness in their interactions, decision making, and practice.</p>
<p><b>Key Differences:</b></p> <p>PSEL 3 requires leaders to ensure equity and cultural responsiveness for each student by encouraging perceptions of student diversity as an asset for teaching and learning, confronting and altering institutional biases rather than simply recognizing them, and serving as a true advocate for equity and cultural responsiveness in all aspects of leadership. In addition, the standard emphasizes preparing students to be productive in a diverse, global society rather than focusing only on improving their academic or social outcomes.</p>	



## PSEL 4: CURRICULUM, INSTRUCTION, AND ASSESSMENT

ISLLC 2008	PSEL 2015
<p><b>Standard 2 (9 functions)—Advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.</b></p>	<p><b>Standard 4 (7 elements)—Effective educational leaders develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student’s academic success and well-being.</b></p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>4a—Implement coherent systems of curriculum, instruction, and assessment that promote the mission, vision, and core values of the school, embody high expectations for student learning, align with academic standards, and are culturally responsive. <b>2B</b></p> <p>4b—Align and focus systems of curriculum, instruction, and assessment within and across grade levels to promote student academic success, love of learning, the identities and habits of learners, and healthy sense of self. <b>2E</b></p> <p>4c—Promote instructional practice that is consistent with knowledge of child learning and development, effective pedagogy, and the needs of each student. <b>2C</b></p> <p>4d—Ensure instructional practice that is intellectually challenging, authentic to student experiences, recognizes student strengths, and is differentiated and personalized. <b>2D</b></p> <p>4e—Promote the effective use of technology in the service of teaching and learning. <b>2H</b></p> <p>4g—Use assessment data appropriately and within technical limitations to monitor student progress and improve instruction. <b>2I</b></p>	<p>(1 of 7 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>4f—Employ valid assessments that are consistent with knowledge of child learning and development and technical standards of measurement.</p>
<p><b>Key Differences:</b></p> <p>PSEL 4 incorporates broad references to leadership expectations, such as supervising instruction, monitoring and evaluating, and supporting rigorous and coherent curriculum. PSEL 4 and its elements suggest specific indicators of how to do this well, such as how to promote effective instructional practices. Also, this standard goes further than ISLLC 2008 when addressing assessments by stating that effective leaders employ valid assessments.</p>	

## PSEL 5: COMMUNITY OF CARE AND SUPPORT FOR STUDENTS

ISLLC 2008	PSEL 2015
<p><b>Standard 2 (9 functions)</b>—Advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.</p> <p><b>Standard 3 (5 functions)</b>—Ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.</p>	<p><b>Standard 5 (6 elements)</b>—Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of each student.</p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>5a—Build and maintain a safe, caring, and healthy school environment that meets the academic, social, emotional, and physical needs of each student. <b>3c</b></p> <p>5b—Create and sustain a school environment in which each student is known, accepted and valued, trusted and respected, cared for, and encouraged to be an active and responsible member of the school community. <b>2c</b></p> <p>5d—Promote adult-student, student-peer, and school-community relationships that value and support academic learning and positive social and emotional development. <b>2A</b></p>	<p>(3 of 6 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>5c—Provide coherent systems of academic and social supports, services, extracurricular activities, and accommodations to meet the range of learning needs of each student.</p> <p>5e—Cultivate and reinforce student engagement in school and positive student conduct.</p> <p>5f—Infuse the school’s learning environment with the cultures and languages of the school’s community.</p>
<p><b>Key Differences:</b></p> <p>PSEL 5 extends ISLLC 2008’s global view of school culture and student learning by providing specific actions for leaders to take to improve school community. The standard places strong emphasis on supports for students and creating a trusting environment that mirrors the culture of the community while ensuring that all students feel accepted, valued, cared for, and encouraged.</p>	



## PSEL 6: PROFESSIONAL CAPACITY OF SCHOOL PERSONNEL

ISLLC 2008	PSEL 2015
<p><b>Standard 2 (9 functions)</b>—Advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.</p> <p><b>Standard 3 (5 functions)</b>—Ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.</p>	<p><b>Standard 6 (9 elements)</b>—Effective educational leaders develop the professional capacity and practice of school personnel to promote each student’s academic success and well-being.</p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>6c—Develop teachers’ and staff members’ professional knowledge, skills, and practice through differentiated opportunities for learning and growth, guided by understanding of professional and adult learning and development). <b>2F</b></p> <p>6g—Develop the capacity, opportunities, and support for teacher leadership and leadership from other members of the school community. <b>3D</b></p>	<p>(7 of 9 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>6a—Recruit, hire, support, develop, and retain effective and caring teachers and other professional staff and form them into an educationally effective faculty.</p> <p>6b—Plan for and manage staff turnover and succession, providing opportunities for effective induction and mentoring of new personnel.</p> <p>6d—Foster continuous improvement of individual and collective instructional capacity to achieve outcomes envisioned for each student.</p> <p>6e—Deliver actionable feedback about instruction and other professional practice through valid, research-anchored systems of supervision and evaluation to support the development of teachers’ and staff members’ knowledge, skills, and practice.</p> <p>6f—Empower and motivate teachers and staff to the highest levels of professional practice and to continuous learning and improvement.</p> <p>6h—Promote the personal and professional health, well-being, and work-life balance of faculty and staff.</p> <p>6i—Tend to their own learning and effectiveness through reflection, study, and improvement, maintaining a healthy work-life balance.</p>
<p><b>Key Differences:</b></p> <p>PSEL 6 breaks one function within ISLLC 2008 Standard 2 into nine elements that provide specific actions leaders can take to develop staff capacity. The standard emphasizes the importance of providing continuous professional and personal improvement supports for teachers, not simply focusing on improving professional capacity. The standard specifically mentions the need to promote a healthy work-life balance for both the educational leader and staff members.</p>	

## PSEL 7: PROFESSIONAL COMMUNITY FOR TEACHERS AND STAFF

ISLLC 2008	PSEL 2015
<p><b>Standard 2 (9 functions)—Advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.</b></p>	<p><b>Standard 7 (8 elements)—Effective educational leaders foster a professional community of teachers and other professional staff to promote each student’s academic success and well-being.</b></p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>7a—Develop workplace conditions for teachers and other professional staff that promote effective professional development, practice and student learning. <b>2G</b></p> <p>7b—Empower and entrust teachers and staff with collective responsibility for meeting the academic, social, emotional, and physical needs of each student, pursuant to the mission, vision, and core values of the school. <b>2G</b></p> <p>7e—Develop and support open, productive, caring, and trusting working relationships among leaders, faculty, and staff to promote professional capacity and the improvement of practice. <b>2A</b></p>	<p>(5 of 8 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>7c—Establish and sustain a professional culture of engagement and commitment to shared vision, goals, and objectives pertaining to the education of the whole child; high expectations for professional work; ethical and equitable practice; trust and open communication; collaboration, collective efficacy, and continuous individual and organizational learning and improvement.</p> <p>7d—Promote mutual accountability among teachers and other professional staff for each student’s success and the effectiveness of the school as a whole.</p> <p>7f—Design and implement job-embedded and other opportunities for professional learning collaboratively with faculty and staff.</p> <p>7g—Provide opportunities for collaborative examination of practice, collegial feedback, and collective learning.</p> <p>7h—Encourage faculty-initiated improvement of programs and practices.</p>
<p><b>Key Differences:</b></p> <p>PSEL 7 addresses two functions within ISLLC 2008 Standard 2 by breaking them into eight elements that provide specific actions leaders can take to develop a professional community for teachers and staff. The standard and its elements emphasize the school leader’s role in supporting effective professional learning opportunities that are collaborative, job-embedded, and faculty-initiated in order to promote professional capacity.</p>	



## PSEL 8: MEANINGFUL ENGAGEMENT OF FAMILIES AND COMMUNITY

ISLLC 2008	PSEL 2015
<p><b>Standard 4 (4 functions)</b>—Collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.</p> <p><b>Standard 6 (3 functions)</b>—Understanding, responding to, and influencing the political, social, economic, legal, and cultural context.</p>	<p><b>Standard 8 (10 elements)</b>—Effective educational leaders engage families and the community in meaningful, reciprocal, and mutually beneficial ways to promote each student’s academic success and well-being.</p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>8b—Create and sustain positive, collaborative, and productive relationships with families and the community for the benefit of students. <b>4C 4D</b></p> <p>8c—Engage in regular and open two-way communication with families and the community about the school, students, needs, problems, and accomplishments. <b>4A</b></p> <p>8d—Maintain a presence in the community to understand its strengths and needs, develop productive relationships, and engage its resources for the school. <b>4A</b></p> <p>8f—Understand, value, and employ the community’s cultural, social, intellectual, and political resources to promote student learning and school improvement. <b>4B</b></p> <p>8h—Advocate for the school and district, and for the importance of education and student needs and priorities to families and the community. <b>6B</b></p> <p>8i—Advocate publicly for the needs and priorities of students, families, and the community. <b>6B</b></p> <p>8j—Build and sustain productive partnerships with public and private sectors to promote school improvement and student learning. <b>4D</b></p>	<p>(3 of 10 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>8a—Are approachable, accessible, and welcoming to families and members of the community.</p> <p>8e—Create means for the school community to partner with families to support student learning in and out of school.</p> <p>8g—Develop and provide the school as a resource for families and the community.</p>
<p><b>Key Differences:</b></p> <p>PSEL 8 focuses on building productive relationships that lead to increased student learning and an improved school rather than concentrating only on family and community engagement. It encourages two-way communication and maintaining a presence in the community as specific ways to collect meaningful data and input.</p>	

## PSEL 9: OPERATIONS AND MANAGEMENT

ISLLC 2008	PSEL 2015
<p><b>Standard 3 (5 functions)—Ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.</b></p>	<p><b>Standard 9 (12 elements)—Effective educational leaders manage school operations and resources to promote each student’s academic success and well-being.</b></p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>9a—Institute, manage, and monitor operations and administrative systems that promote the mission and vision of the school. <b>3A</b></p> <p>9b—Strategically manage staff resources, assigning and scheduling teachers and staff to roles and responsibilities that optimize their professional capacity to address each student’s learning needs. <b>3B</b></p> <p>9e—Protect teachers’ and other staff members’ work and learning from disruptions. <b>3E</b></p> <p>9f—Employ technology to improve the quality and efficiency of operations and management. <b>3B</b></p>	<p>(8 of 12 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>9c—Seek, acquire, and manage fiscal, physical, and other resources to support curriculum, instruction, and assessment; student learning community; professional capacity and community; and family and community engagement.</p> <p>9d—Are responsible, ethical, and accountable stewards of the school’s monetary and non-monetary resources, engaging in effective budgeting and accounting practices.</p> <p>9g—Develop and maintain data and communication systems to deliver actionable information for classroom and school improvement.</p> <p>9h—Know, comply with, and help the school community understand local, state, and federal laws, rights, policies, and regulations so as to promote student success.</p> <p>9i—Develop and manage relationships with feeder and connecting schools for enrollment management and curricular and instructional articulation.</p> <p>9j—Develop and manage productive relationships with the central office and school board.</p> <p>9k—Develop and administer systems for fair and equitable management of conflict among students, faculty and staff, leaders, families, and community.</p> <p>9l—Manage governance processes and internal and external politics toward achieving the school’s mission and vision.</p>

### Key Differences:

PSEL 9 addresses the leader’s need to develop a broad perspective that goes beyond management and operations. It encourages leaders to work with an end in mind for every action (e.g., “to promote the mission and vision of the school”; “to improve quality and efficiency”). The standard maintains consistency with other PSEL elements by focusing on each student’s learning needs. In addition, the importance of developing and managing productive relationships—rather than simply perceiving management and operations as a list of things to accomplish—is emphasized.



## PSEL 10: SCHOOL IMPROVEMENT

ISLLC 2008	PSEL 2015
<p><b>Standard 1 (5 functions)—Facilitating the development, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.</b></p>	<p><b>Standard 10 (10 elements)—Effective educational leaders act as agents of continuous improvement to promote each student’s academic success and well-being.</b></p>
<p>(PSEL elements that align with ISLLC 2008 functions)</p> <p><b>Effective leaders:</b></p> <p>10a—Seek to make school more effective for each student, teachers and staff, families, and the community. <b>1D</b></p> <p>10b—Use methods of continuous improvement to achieve the vision, fulfill the mission, and promote the core values of the school. <b>1D</b></p> <p>10d—Engage others in an ongoing process of evidence-based inquiry, learning, strategic goal setting, planning, implementation, and evaluation for continuous school and classroom improvement. <b>1B</b></p> <p>10h—Adopt a systems perspective and promote coherence among improvement efforts and all aspects of school organization, programs, and services. <b>1D</b></p>	<p>(6 of 10 PSEL elements go beyond ISLLC 2008)</p> <p><b>Effective leaders:</b></p> <p>10c—Prepare the school and the community for improvement, promoting readiness, an imperative for improvement, instilling mutual commitment and accountability, and developing the knowledge, skills, and motivation to succeed in improvement.</p> <p>10e—Employ situationally-appropriate strategies for improvement, including transformational and incremental, adaptive approaches and attention to different phases of implementation.</p> <p>10f—Assess and develop the capacity of staff to assess the value and applicability of emerging educational trends and the findings of research for the school and its improvement.</p> <p>10g—Develop technically appropriate systems of data collection, management, analysis, and use, connecting as needed to the district office and external partners for support in planning, implementation, monitoring, feedback, and evaluation.</p> <p>10i—Manage uncertainty, risk, competing initiatives, and politics of change with courage and perseverance, providing support and encouragement, and openly communicating the need for, process for, and outcomes of improvement efforts.</p> <p>10j—Develop and promote leadership among teachers and staff for inquiry, experimentation and innovation, and initiating and implementing improvement.</p>
<p><b>Key Differences:</b></p> <p>PSEL 10 unpacks a single function within ISLLC 2008 Standard 1 into 13 elements that promote continuous learning and improvement. This standard emphasizes the importance of focusing improvement efforts on achieving the vision, fulfilling the mission, and promoting core values. The 13 elements of Standard 10 align with multiple ISLLC functions and are woven throughout the other PSEL, thus providing insight into the competencies that the PSEL’s developers expect of effective leaders.</p>	

# Appendix A.

## Standards Crosswalk Index

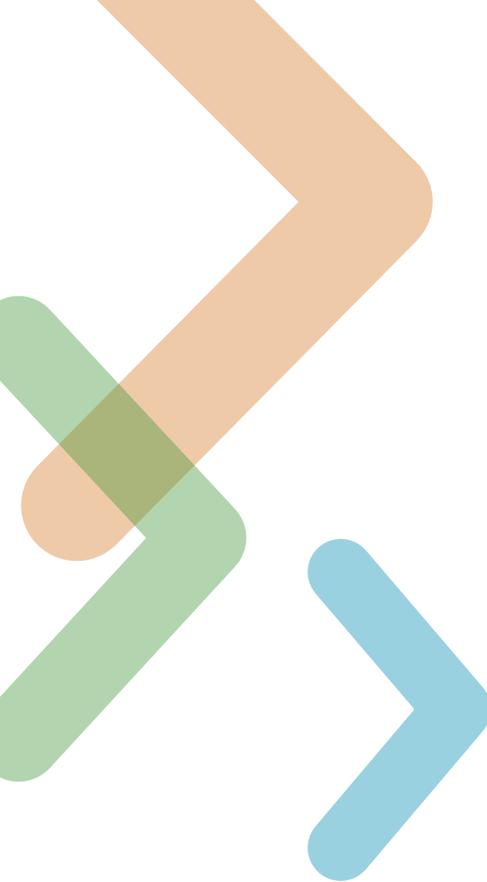
Note: In columns 2–7 of the index below, labeled “ISLLC 2008 Standards,” constructions such as 1a→1A indicate that, for example, PSEL Element 1a is aligned or partially aligned with ISLLC Function 1A.

PSEL 2015	ISLLC 2008 Standards					
	1–Vision (5 functions)	2–School Culture and Instructional Program (9 functions)	3–Operations, Management, and Resources (5 functions)	4–Collaboration with Faculty and Community (4 functions)	5–Ethics (5 functions)	6–Political, Social, Legal, Cultural Context (3 functions)
<b>STANDARD 1</b> Mission, Vision, and Core Values (7 elements) *Beyond ISLLC 2008– 1b, 1g	1a→1A 1c→1B 1d→1C 1e→1E 1f→1D					
<b>STANDARD 2</b> Ethics and Professional Norms (6 elements) *Beyond ISLLC 2008– 2a, 2e					2b→5B 2c→5A, 5E 2d→5C, 5E 2f→5D	
<b>STANDARD 3</b> Equity and Cultural Responsiveness (8 elements) *Beyond ISLLC 2008– 3a, 3f, 3g					3c→5E 3d→5A	3b→6A 3e→6B, 6C 3h→6C
<b>STANDARD 4</b> Curriculum, Instruction, and Assessment (7 elements) *Beyond ISLLC 2008–4f		4a→2B 4b→2E 4c→2C 4d→2D 4e→2H 4g→2I				
<b>STANDARD 5</b> Community of Care and Support for Students (6 elements) *Beyond ISLLC 2008–5c, 5e, 5f		5b→2C 5d→2A	5a→3C			



PSEL 2015	ISLLC 2008 Standards					
	1—Vision (5 functions)	2—School Culture and Instructional Program (9 functions)	3—Operations, Management, and Resources (5 functions)	4—Collaboration with Faculty and Community (4 functions)	5—Ethics (5 functions)	6—Political, Social, Legal, Cultural Context (3 functions)
<b>Standard 6</b> <b>Professional Capacity of School Personnel</b> (9 elements) *Beyond ISLLC 2008 –6a, 6b, 6d, 6e, 6f, 6h, 6i		6c→2F 6g→3D				
<b>STANDARD 7</b> <b>Professional Community for Teachers and Staff</b> (8 elements) *Beyond ISLLC 2008 –7c, 7d, 7f, 7g, 7h		7a→2G 7b→2G 7e→2A				
<b>STANDARD 8</b> <b>Meaningful Engagement of Families and Community</b> (10 elements) *Beyond ISLLC 2008 –8a, 8e, 8g				8b→4C, 4D 8c→4A 8d→4A 8f→4B 8j→4D		8h→6B 8i→6B
<b>STANDARD 9</b> <b>Operations and Management</b> (12 elements) *Beyond ISLLC 2008 –9c, 9d, 9g, 9h, 9i, 9j, 9k, 9l			9a→3A 9b→3B 9e→3E 9f→3B			
<b>STANDARD 10</b> <b>School Improvement</b> (10 elements) *Beyond ISLLC 2008 –10c, 10e, 10f, 10g, 10i, 10j	10a→1D 10b→1D 10d→1B 10h→1D					





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## APPENDIX H: Three-column table showing emphasis PSELs place on equity

Table 1: *Professional Standards for Educational Leaders* that describe how school building leaders have an impact on equity.

<b>PSEL 3:</b>	<b>PSEL 5:</b>	<b>PSEL 8:</b>
<b><i>Equity and Cultural Responsiveness</i></b>	<b><i>Community of Care and Support for Students</i></b>	<b><i>Meaningful Engagement of Families and Community</i></b>
3a: Ensure that each student is treated fairly, respectfully, and with an understanding of each student's culture and context	5a: Build and maintain a safe, caring, and healthy school environment that meets that the academic, social, emotional, and physical needs of each student.	8a: Are approachable, accessible, and welcoming to families and members of the community.
3b: Recognize, respect, and employ each student's strengths, diversity, and culture as assets for teaching and learning	5b: Create and sustain a school environment in which each student is known, accepted and valued, trusted and respected, cared for, and encouraged to be an active and responsible member of the school community.	8b: Create and sustain positive, collaborative, and productive relationships with families and the community for the benefit of students.
3c: Ensure that each student has equitable access to effective teachers, learning opportunities, academic and social support, and other resources necessary for success.	5c: Provide coherent systems of academic and social supports, services, extracurricular activities, and accommodations to meet the range of learning needs of each student	8c: Engage in regular and open two-way communication with families and the community about the school, students, needs, problems, and accomplishments.
3d: Develop student policies and address student misconduct in a positive, fair, and unbiased manner.	5d: Promote adult-student, student-peer, and school-community relationships that value and support academic learning and positive social and emotional development.	8d: Maintain a presence in the community to understand its strengths and needs, develop productive relationships, and engage its resources for the school.
3e: Confront and alter institutional biases of student marginalization, deficit-based schooling, and low expectations associated with race, class, culture and language, gender and sexual orientation, and disability or special status.	5e: Cultivate and reinforce student engagement in school and positive student conduct.	8e: Create means for the school community to partner with families to support student learning in and out of school.
3f: Promote the preparation of students to live productively in and contribute to the diverse cultural contexts of a global society.	5f: Infuse the school's learning environment with the cultures and languages of the school's community	8f: Understand, value, and employ the community's cultural, social, intellectual, and political resources to promote student learning and school improvement.
3g: Act with cultural competence and responsiveness in their interactions, decision making, and practice.		8g: Develop and provide the school as a resource for families and the community.
3h: Address matters of equity and cultural responsiveness in all aspects of leadership		8h: Advocate for the school and district, and for the importance of education and student needs and priorities to families and the community.
		8i: Advocate publicly for the needs and priorities of students, families, and the community.

# **ATTACHMENT XVIII**

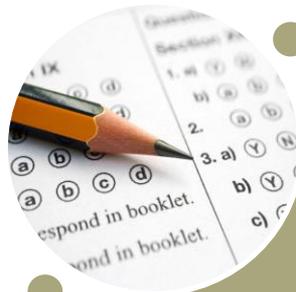
# **New York State High School Diploma Requirements**

**Board of Regents  
July 2017**

# Requirements



New York State High School Diploma

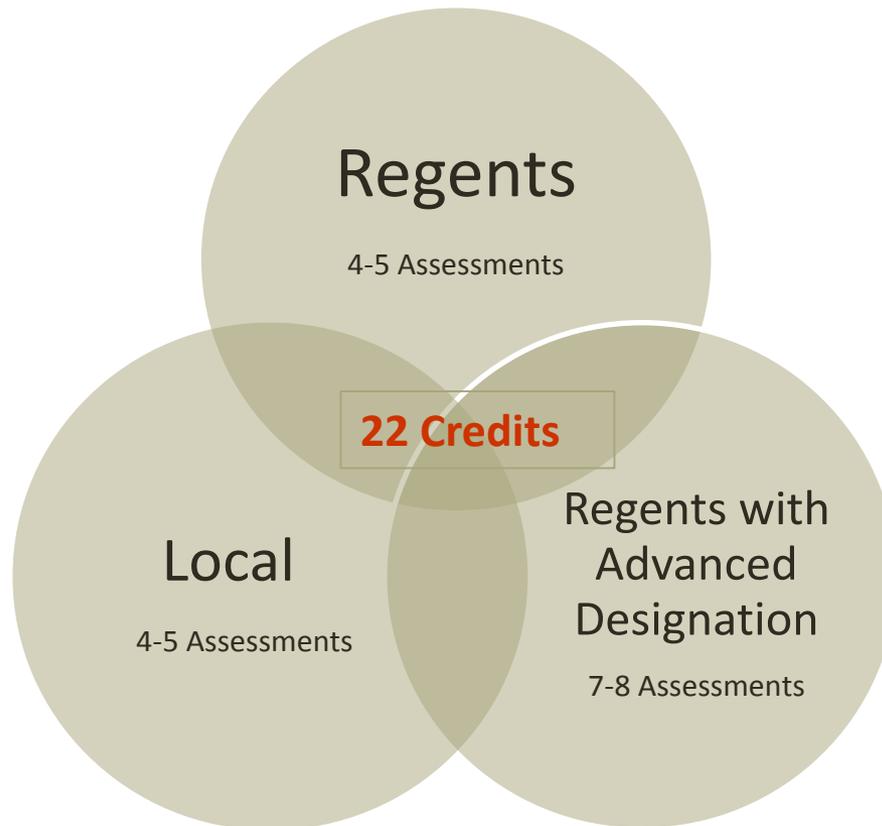


4 to 8 assessments accomplished by successfully passing Regents exams, Department approved alternatives or pathway exams



22 Credits accomplished by successfully completing course work

# Diploma Types

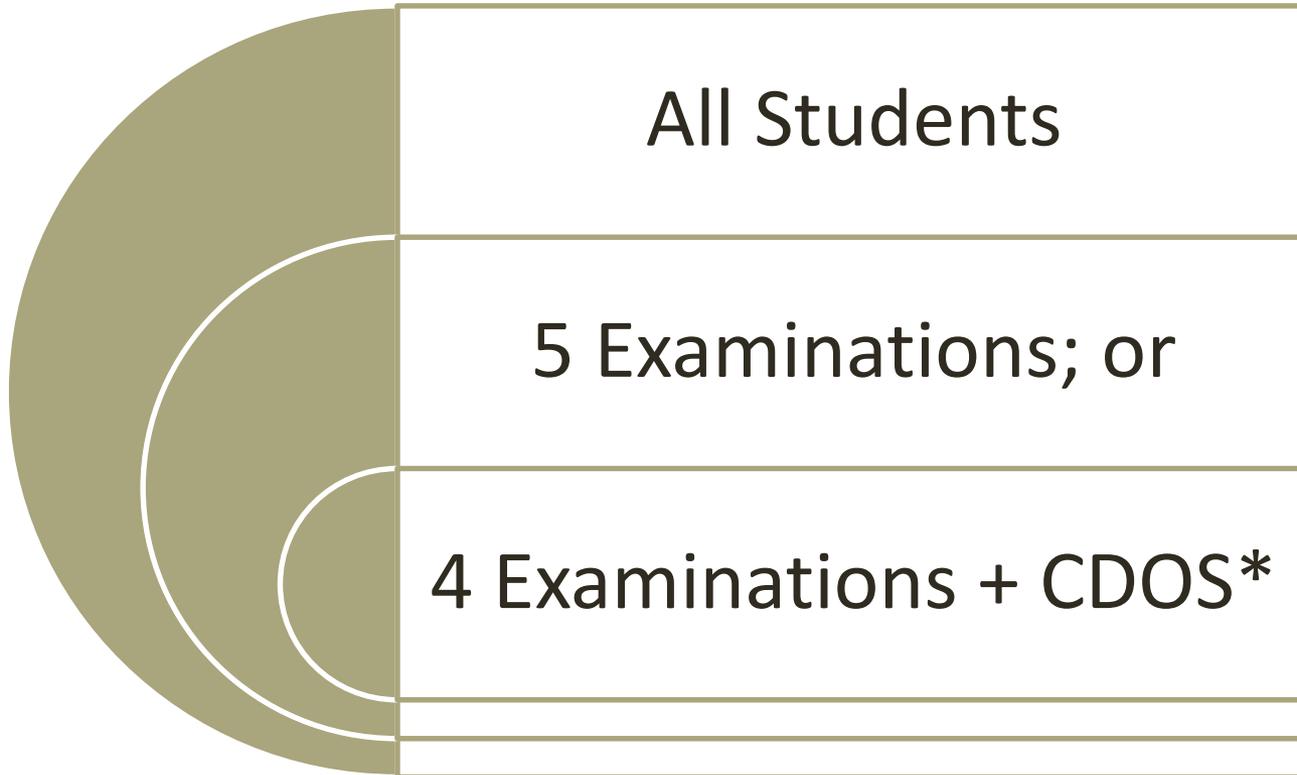


# Distribution of Credits

	Local Diploma, Regents Diploma, Regents Diploma with Advanced Designation
Content Area	Minimum Number of Credits
English	4
Social Studies Distributed as Follows: U.S. History (1) Participation in Government (1/2) Economics (1/2) Other (2) (students entering grade 9 in 2016 must earn 2 credits in Global History and Geography)	4
Science Distributed as Follows: Life Science (1) Physical Science (1) Life Science or Physical Science (1)	3
Mathematics	3
Languages Other than English (LOTE)	1*
Visual Art, Music, Dance, and/or Theater	1
Physical Education	2
Health	0.5
Electives	3.5
<b>Total</b>	<b>22</b>

\*Students with disabilities may be exempt from the LOTE required credit if so indicated on their IEP

# Assessment Requirements



\*Career Development Occupational Studies (CDOS)

# Pathways 4+1

CDO

All students must pass  
4 Required Regents Examinations:  
One in each discipline

Math

English

Science

Social  
Studies

+ 1

Pathways

Humanities

STEM

Arts

LOTE

CTE

CDOS

How do students meet the  
Pathway Requirements toward a  
Regents or Local Diploma?

# Meeting the Assessment Requirements for a Humanities Pathway

Humanities

- Any additional Social Studies Regents Exam or any Social Studies or English exam from the list of Department Approved Alternatives after a student has completed a course in the subject.

# Meeting the Assessment Requirements for a STEM Pathway

STEM

- Any additional Math or Science Regents exam or any Math or Science exam from the list of Department Approved Alternatives, after a student has completed a course in the subject.

# Meeting the Assessment Requirements for an Arts Pathway

Arts

- Any assessment from the list of Department Approved Arts Pathway Assessments after a student has been prepared in the associated content

# Meeting the Assessment Requirements for a Language Other Than English (LOTE) Pathway

Biliteracy  
(LOTE)

- This pathway is not currently available. Examinations are under review and will be posted on the Multiple Pathway page once approved.

# Meeting the Program and Assessment Requirements for a CTE Pathway

CTE

- After a student has successfully completed a Department approved CTE Program s/he passes an approved CTE Pathway Assessment found at the link below. The student must successfully complete **BOTH** the program and the assessment. Not all CTE technical assessments are approved as CTE Pathway Assessments

Multiple Pathways Resources

<http://www.p12.nysed.gov/ciai/multiple-pathways/>

# Meeting the Program or Assessment Requirements for a CDOS Pathway

CDOS

- Students who complete all the components of the CDOS commencement credential option 1 (program) or option 2 (assessment) may use that credential to meet the +1 pathway requirement toward a local or Regents diploma.
- Note: CDOS may also be earned as a standalone credential for those students unable to meet the other requirements for a Regents or local diploma

# Dual Role of Career Development Occupational Studies

## CDOS as a Pathway to Local or Regents Diploma

- Passing Regents Examinations in
  - ELA
  - Math
  - Science
  - Social Studies



- All the CDOS Credential Requirements

## CDOS as a Standalone Credential

- Students are unable to successfully complete all the Regents or local diploma requirements but do complete all the CDOS credential requirements

# CDOS Commencement Credential Requirements – 2 Options

## CDOS Commencement Credential – Option 1

- Available to all students except students assessed using the New York State Alternate Assessment seeking the Skills and Achievement Commencement Credential. Available as a stand alone credential or added to a Local or Regents diploma.
- Criteria:
  - Career Plan
  - Employability Profile
  - Demonstrated achievement of CDOS Standards
  - 216 hours of CTE coursework and/or work-based learning experiences (of which at least 54 hours must be in work-based learning experiences)

## CDOS Commencement Credential – Option 2

- Available to all students except students assessed using the New York State Alternate Assessment seeking the Skills and Achievement Commencement Credential. Available as a stand alone credential or added to a Local or Regents diploma.
- Criteria - meeting the requirements for one of the nationally recognized work readiness credentials
  - National Work Readiness Credential;
  - SkillsUSA Work Force Ready Employability Assessment;
  - National Career Readiness Certificate WorkKeys - (ACT);
  - Comprehensive Adult Student Assessment Systems Workforce Skills Certification System.

# What is the Difference Between a Regents and Local Diploma?

The answer depends on two factors:

- To which subgroup does a student belong?
  - Student with a Disability
  - English Language Learner
  - General Education
- What scores did the student attain on the required examinations for graduation?

# Assessment Requirements

## Regents Diploma

Regents Exam or passing score on a Department Approved Alternative	Regents Diploma for all students		Regents Diploma via Appeal for all students	
	# of Exams	Passing Score	# of Exams	Passing Score
English Language Arts (ELA)	1	65	1	1 exam with a score of 60-64 for which an appeal has been granted by the district and all other required exams with a 65 or greater
Math	1	65	1	
Science	1	65	1	
Social Studies	1	65	1	
Pathway	1 (or CDOS)	65 if Regents Exam	1 (or CDOS)	
Compensatory Safety Net	Non Applicable		Non Applicable	

Department Approved Alternatives to Regents Exams can be found at: <http://www.p12.nysed.gov/assessment/hsgen/archive/list.pdf>

# Local Diploma – 4 Ways

## (1) All Students - Appeal

	Local Diploma via Appeal for <u>All Students</u>	
Regents Exam or passing score on a Department Approved Alternative	# of Exams	Passing Score
English Language Arts (ELA)	1	2 exams with a score of 60-64 for which an appeal has been granted by the district and all other required exams with a 65 or greater
Math	1	
Science	1	
Social Studies	1	
Pathway	1 or CDOS	
Compensatory Safety Net	Non Applicable	

## (2) English Language Learner/Multi-Lingual Learner - Appeal

	Local Diploma via Appeal for English Language Learners	
Regents Exam or passing score on a Department Approved Alternative	# of Exams	Passing Score
English Language Arts (ELA)	1	ELA with a score of 55-59 for which an appeal has been granted and all other required exams with a score of 65 or greater <b>OR</b> 1 exam with a score of 60-64 and ELA with a score of 55-59 for which appeals have been granted by the district and all other required exams with a score of 65 or greater
Math	1	
Science	1	
Social Studies	1	
Pathway	1 or CDOS	
Compensatory Safety Net	Non Applicable	

# (3) Students with a Disability

## Low Pass Safety Nets

	Local Diploma for Students with a Disability via low pass safety nets	
Regents Exam or passing score on a Dept. App. Alt	# of Exams	Passing Score
English Language Arts (ELA)	1	55*
Math	1	55*
Science	1	55* ^
Social Studies	1	55* ^
Pathway	1 or CDOS	55* ^ ( if Regents exam)
Compensatory Safety Net	Scores of 45-54 on any required Regents exam (except ELA and Mathematics) can be compensated by a score of 65 or above on another required Regents exam including ELA and Mathematics.	

\*Students with a disability seeking the local diploma through the low pass safety-net may appeal scores of 52-54 on up to two Regents Examinations.

^ Students with a disability who are unable to obtain a passing score on these examinations may seek a local diploma by Superintendent's Determination. See <http://www.p12.nysed.gov/specialed/publications/2017-memos/superintendent-determination-of-graduation-with-a-local-diploma-updated.htm>

# (4) Superintendents Determination of a Local Diploma

Added as an option at the June 2016 BOR meeting; amended October 2016

- Eligibility:
  - Student with a current IEP
  - Passed ELA and Math Regent exams with a score of 55 or has successfully appealed a score of 52-54
  - has participated in the other Regents exams (science and social studies), but has not passed one or more of these as required for graduation
  - demonstrated competency in the subject area where the student was not able to demonstrate his/her proficiency of the State's learning standards through the Regents exam
  - Earned all required credits and passed, in accordance with district policy, all courses required for graduation
- Applicable to June 2016 grads and thereafter

Information and forms: <http://www.p12.nysed.gov/specialed/publications/2017-memos/superintendent-determination-of-graduation-with-a-local-diploma-updated.htm>

# Superintendent Determination

- The Superintendent may only conduct review after receipt of a written request from an eligible student's parent or guardian.
- The student and the parent of the student must receive written notice of the superintendent's determination with the copy of the completed form.

# Superintendent Determination

- Where the superintendent determines the student :
  - has met the requirements for graduation, the district must provide prior written notice that the student is not eligible to receive a free appropriate public education after graduation with a local diploma and may not return to school until the age of 21.
  - has not met the requirements for graduation, the written notice shall inform the student and parents that the student has the right to attend school until receipt of a local or Regents diploma or until the end of the school year in which the student turns age 21, whichever shall occur first.

# Conclusion

- Current requirements are diverse and complex.
- As you can see in recent years we have added multiple avenues to attain a diploma.



Questions?