
ESEA FLEXIBILITY MONITORING, PART B: An Overview

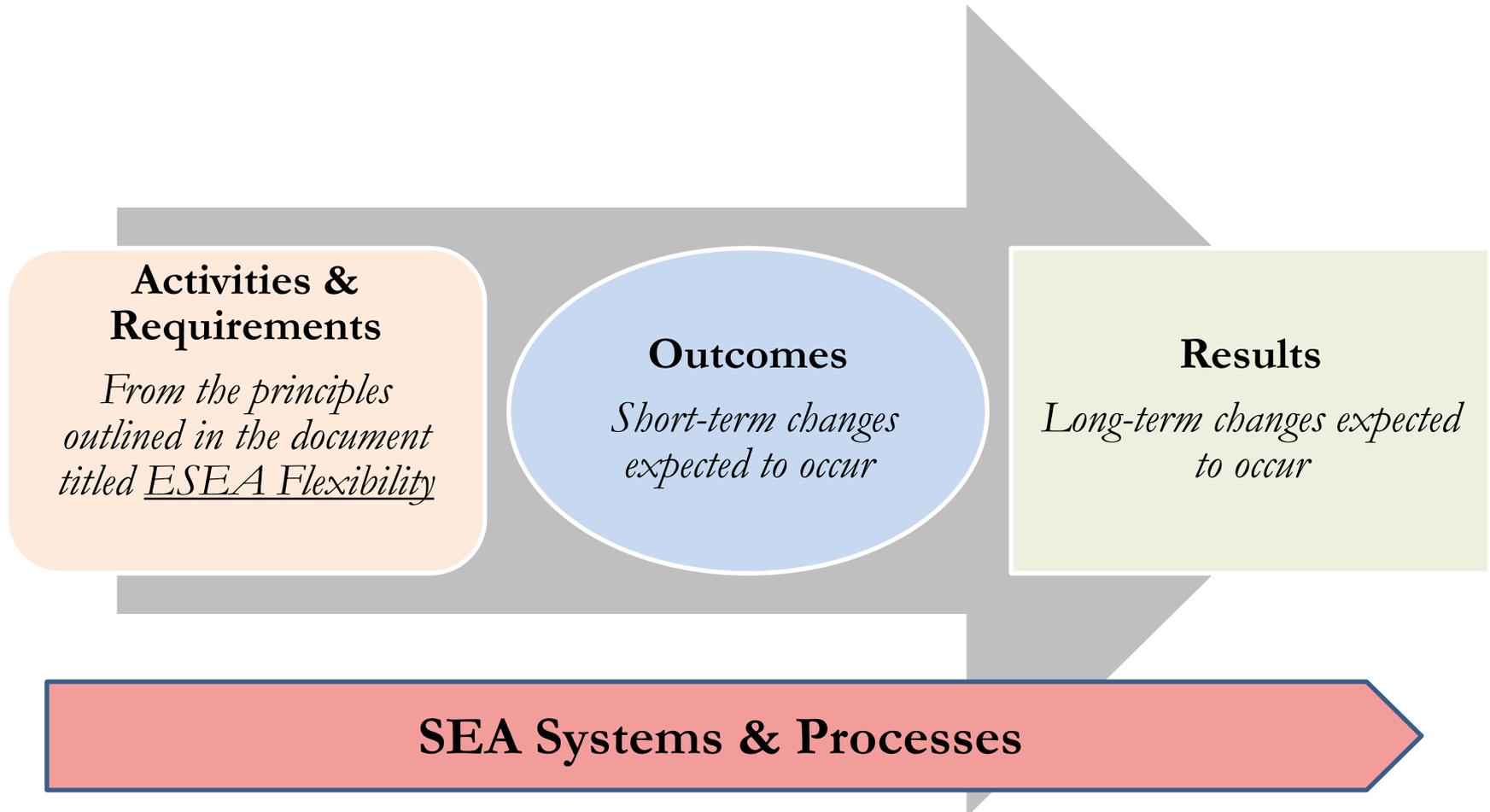


April 11, 2013

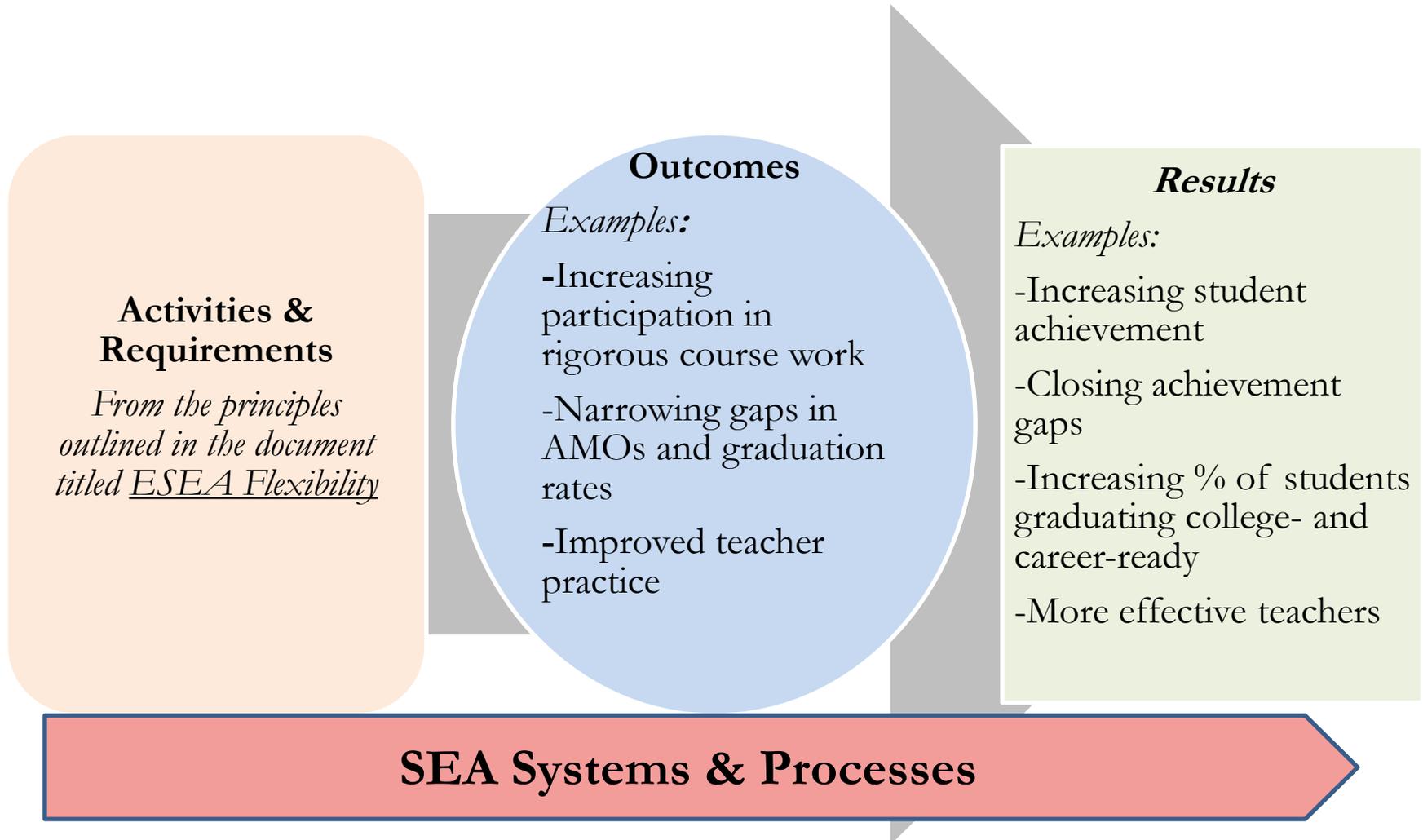
Topics Covered Today

- ESEA Flexibility Logic Model
- Overview of ESEA Flexibility Monitoring
- Part B Monitoring
 - Overview
 - Framework
 - Structure
- Questions

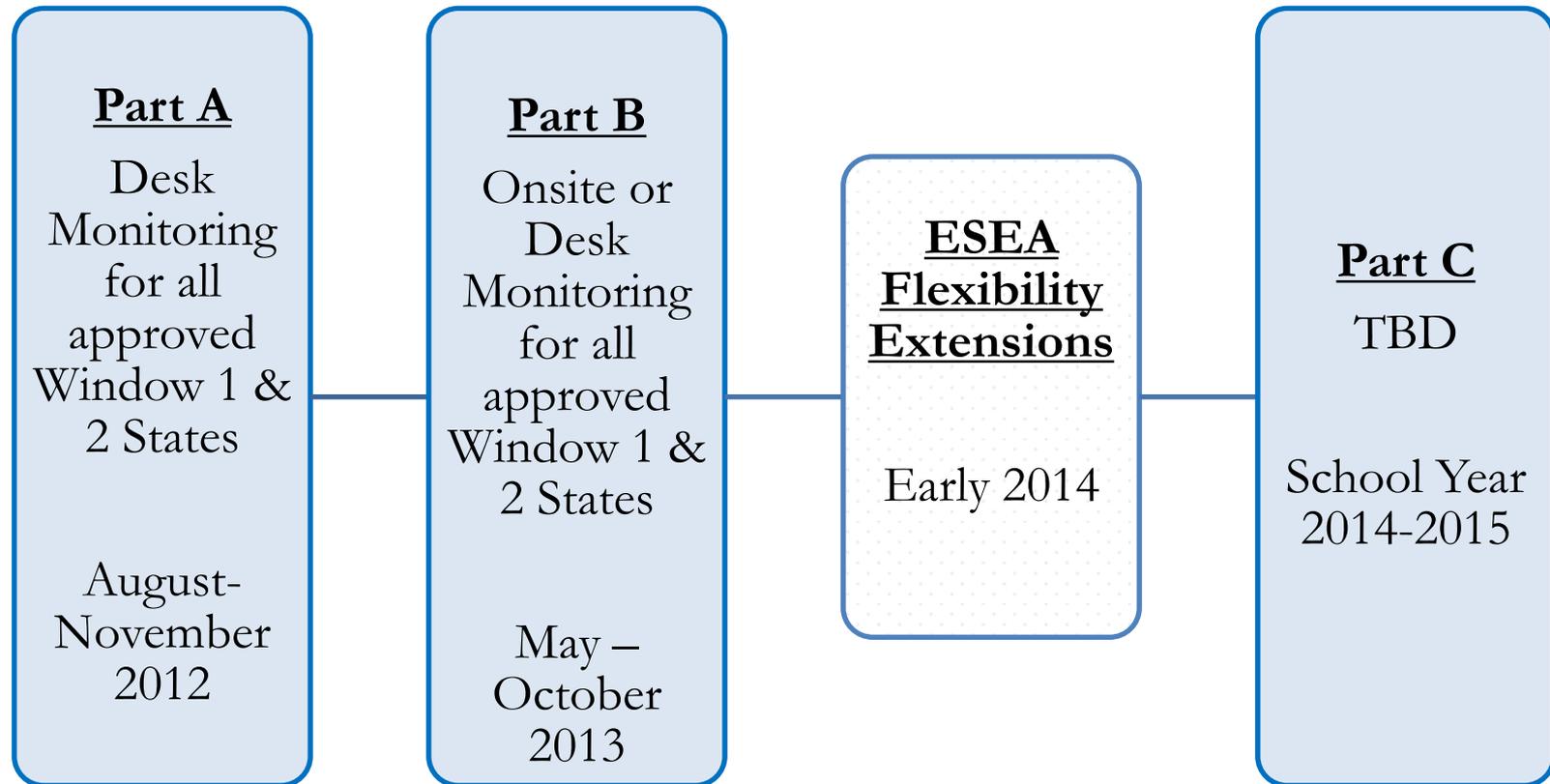
ESEA Flexibility Logic Model



ESEA Flexibility Logic Model



Overview Of ESEA Flexibility Monitoring



ESEA FLEXIBILITY MONITORING PART B

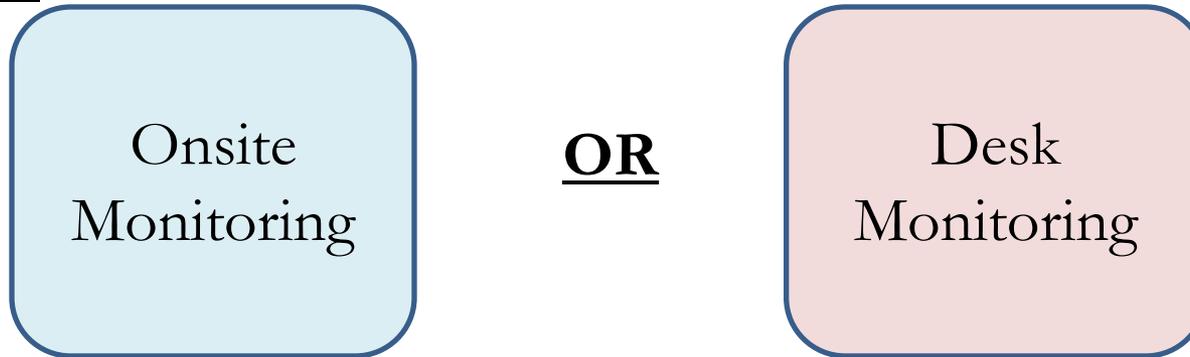
Purpose of Part B Monitoring

- To assess implementation of ESEA flexibility so that SEAs can increase student achievement and improve the quality of instruction for all students
- An SEA's implementation of ESEA flexibility will be assessed by identifying the extent to which an SEA:
 - Is ensuring that implementation is occurring consistent with the SEA's approved request and the principles and timelines of ESEA flexibility
 - Is continuing to review and make adjustments to support implementation
 - Is sustaining implementation and improvements
- Use information gathered to inform selection and delivery of technical assistance

Overview of Part B Monitoring

Differentiated & Customized Monitoring

Format:



States identified for onsite monitoring based on an analysis of criteria such as:

- Amount of Title I Funding
- Information gathered from other programs (e.g., Title I, Title III, IDEA, SIG, Race to the Top, and TIF)
- Changes within an SEA
- Status of early implementation of ESEA flexibility

Overview of Part B Monitoring

Differentiated & Customized Monitoring

Depth:

Foundational Review

- A basic review of SEA implementation of elements of ESEA flexibility that focuses on the status of implementation to ensure the SEA meets expectations
- Foundational reviews will be conducted for all elements of ESEA flexibility

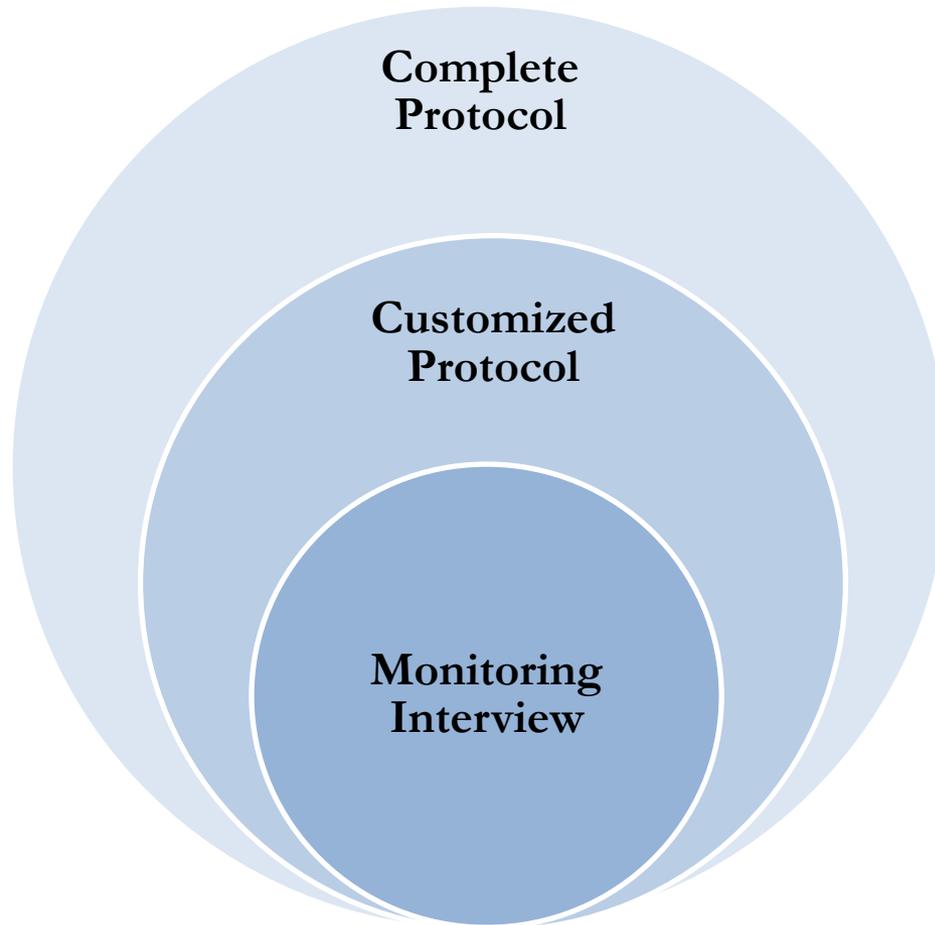
**AND/
OR**

Comprehensive Review

- An in-depth review of SEA implementation of certain elements of ESEA flexibility
- Comprehensive reviews will be conducted for:
 - SEA Systems and Processes for all SEAs
 - Select elements within Principles 1, 2, and 3 for SEAs monitored onsite

Overview of Part B Monitoring

Differentiated & Customized Monitoring



Overview of Part B Monitoring

Timeline:

- Pilots:
 - 2 States will participate in onsite monitoring pilot in May-early June
 - 1-2 States will participate in Desk pilot in June
- All remaining States will be monitored between June and late-October 2013

ESEA FLEXIBILITY PART B MONITORING FRAMEWORK

Monitoring Implementation Rubric

		Meeting Expectations			Future Goal
Element	Not Meeting Expectations	Foundation	Continuing Improvement		Sustainability
Activities and requirements related to: <ul style="list-style-type: none"> SEA Systems and Processes Principle 1 Principle 2 Principle 3 Unwaived Title I Requirements 	<p>The SEA has not demonstrated that the element is carried out consistent with its approved ESEA flexibility request and the principles and timelines outlined in the document titled <i>ESEA Flexibility</i>.</p>	<p>The SEA is ensuring that the element is carried out consistent with its approved ESEA flexibility request and the principles and timelines outlined in the document titled <i>ESEA Flexibility</i>.</p>	<p>The SEA meets the Foundation level expectations for this element.</p> <p>The SEA is engaged in a process of continuous review and analysis to diagnose and improve implementation systems and processes. The review is informed by data and the SEA takes action to ensure desired out comes for each element or ensures that revisions and mid-course corrections and improvements are made to implementation and/or systems to support that implementation</p>		<p>The SEA meets the Foundation and Continuing Improvement level expectations for this element.</p> <p>The SEA has demonstrated positive impacts of the element’s implementation. Student achievement across all groups continues to increase.</p> <p>The SEA has policies, procedures, and practices in place to sustain improvements.</p> <p>The SEA has maximized its human capital and has streamlined the coordination of various personnel, departments, and external organizations to sustain results.</p> <p>There is coherence and clarity of purpose across programs and the SEA efficiently leverages resources to match the operational needs of LEAs.</p> <p>The SEA provides differentiated and targeted services to address specific operational and performance gaps for LEAs.</p> <p>The SEA is able to scale up and promote successful practices.</p>

Part B Monitoring Protocol

Elements	Questions	Documentation
<p>Activities and requirements related to:</p> <ul style="list-style-type: none"> • SEA Systems and Processes • ESEA Flexibility Principle 1 • ESEA Flexibility Principle 2 • ESEA Flexibility Principle 3 • Unwaived Title I Requirements 	<p>For each element, questions will generally address the following:</p> <p><i>Foundational Review Questions</i></p> <ul style="list-style-type: none"> • Status of implementation • Method to determine status <p><i>Additional Questions for Comprehensive Review</i></p> <ul style="list-style-type: none"> • Method to determine effectiveness or impact of implementation • SEA's assessments of effectiveness and impact of activity • Adjustments to address challenges • Efforts to review, assess, and revise implementation <p><i>Additional Questions to Inform Technical Assistance</i></p> <ul style="list-style-type: none"> • Potential challenges and technical assistance needs 	<p>Documentation to be provided by the SEA to the extent available and appropriate</p>

Elements for Monitoring

- **SEA Systems & Processes**
 - Monitoring
 - Includes 2.G of SEA's ESEA flexibility request
 - Technical Assistance
 - Includes 2.G of SEA's ESEA flexibility request
 - Data Collection & Use
 - Family & Community Engagement & Outreach
 - Includes Parental Involvement requirements under Title I

Elements for Monitoring (cont'd)

- **ESEA Flexibility Principle 1**
 - Transitioning to and Implementing College- and Career-ready (CCR) Standards (1.B)
 - Adopt English language proficiency standards (Assurance 2)
 - Develop and administer high-quality assessments (1.C)
 - Transition from alternate assessments based on modified academic achievement standards to high-quality assessments
 - Develop and administer alternate assessments (Assurance 3)
 - Develop and administer ELP assessments (Assurance 4)
 - Annually report college-going and college-credit accumulation rates (Assurance 5)

Elements for Monitoring (cont'd)

- **ESEA Flexibility Principle 2**
 - Implement a system of differentiated recognition, accountability, and support (2.A)
 - Provide incentives and recognition to reward schools (2.C)
 - Implement interventions aligned with the turnaround principles in priority schools (2.D)
 - Implement interventions in focus schools based on reviews of the specific academic need (2.E)
 - Provide incentives and supports to other Title I schools based on graduation rates, AMOs, and other measures(2.F)
 - Publish annual State and school report cards (2.B and Assurance 14)

Elements for Monitoring (cont'd)

- **ESEA Flexibility Principle 3**
 - Development, adoption, piloting, and implementation of teacher evaluation and support systems (3.B)
 - Development, adoption, piloting, and implementation of principal evaluation and support systems (3.B)

Elements for Monitoring (cont'd)

- **Unwaived Title I Requirements**
 - Fiscal Integrity
 - Within State Allocation, Reallocations, and Carryover
 - LEA Plan
 - Within District Allocation
 - Fiscal Requirements: Maintenance of Effort, Comparability, Supplement not Supplant, and Internal Controls
 - Services to Eligible Private School Children
 - Test Security
 - Schoolwide & Targeted Assistance Plans
 - Parental Involvement (in SEA Systems & Processes)

Rubric Example: Focus Schools

		Meeting Expectations			Future Goal
Element	Not Meeting Expectations	Foundation	Continuing Improvement		Sustainability
Focus Schools (2.E)		SEA is ensuring that LEAs implement, consistent with the SEA’s approved request, interventions in <u>each</u> focus school based on academic data targeted to the specific school need/subgroup performance.	The SEA is using systems and processes to examine the impact of interventions in focus schools on student learning for the particular subgroups or reason the school was identified and revising implementation, as needed		<p>The SEA is ensuring that LEAs/schools have demonstrated positive impact of interventions in focus schools on student learning for the particular subgroups or reason the school was identified.</p> <p>The SEA has systems, policies, procedures, and resources in place to sustain improvements.</p>

Protocol Example: Focus Schools

Element	Questions	Documentation
<p>Focus Schools (2.E)</p>	<p><i>Foundational Review Questions</i></p> <ul style="list-style-type: none"> • Where are you statewide in the process of implementing interventions in your focus schools? • If there have been changes since Part A monitoring to your method for determining that implementation of interventions in your focus schools is on track, , please describe those changes and the reasons for making the changes. <p><i>Additional Questions to Inform Technical Assistance</i></p> <ul style="list-style-type: none"> • What obstacles or challenges do you foresee moving forward in continuing to implement interventions in focus schools or sustaining positive impact? 	<p><i>Foundational Review Documentation</i></p> <ul style="list-style-type: none"> • SEA provides evidence of progress made in implementing interventions in focus schools statewide since Part A monitoring, including: <ul style="list-style-type: none"> ○ evidence of how SEA addressed any “Next Steps” in its Part A monitoring report; ○ evidence of carrying out any activities identified in its approved ESEA flexibility request. • SEA provides evidence that its process to ensure the implementation of interventions in focus schools is occurring, consistent with the SEA’s approved request and timelines and principles of ESEA flexibility (if not provided for Part A monitoring), and evidence of SEA actions taken to address focus schools not implementing interventions appropriately.

Protocol Example: Focus Schools (cont'd)

Element	Questions	Documentation
Focus Schools (2.E)	<p><i>Additional Questions for Comprehensive Review</i></p> <ul style="list-style-type: none"> • How are you determining or planning to determine that implementation of interventions in focus schools is having an impact on students in subgroups for which schools were identified? • Based on what you are using to determine impact how would you say this implementation of interventions in focus schools has been/is going? • For any areas in which you are not seeing a positive impact why do you think that is happening and what is being done to achieve the desired impact? • For those areas for which you are seeing a positive impact what is being done to sustain this positive impact and to encourage continued review, assessment, and revisions when needed? 	<p><i>Comprehensive Review Documentation</i></p> <ul style="list-style-type: none"> • SEA provides evidence of how it determines the impact of interventions in focus schools on students in subgroups for which the school is identified and evidence of any impact. • SEA provides evidence of actions taken in response to a lack of positive impact. • SEA provides evidence of its process to enable LEAs and schools to sustain any positive impact and encourage continuous improvement.

ESEA FLEXIBILITY PART B STRUCTURE

Onsite Monitoring

- 2 days of interviews with appropriate SEA staff
 - ED will provide updated information on possible plans for including LEAs/schools in onsite monitoring as soon as it is available

- ED staff may tailor interviews by:
 - Omitting or streamlining questions that have been sufficiently addressed in documentation provided or other materials available to ED
 - Asking additional follow up and clarifying questions to get a more complete picture of how the SEA is implementing elements of ESEA flexibility

Onsite Monitoring (cont'd)

Foundational reviews of:

- All elements

Foundational Review Documentation:

- Sufficient documentation to completely address “Foundational Review Questions” (See protocol)

Onsite Monitoring (cont'd)

Comprehensive reviews of:

- All SEA Systems & Processes elements
- 3 elements from List A (ED selects 2, SEA selects 1)

Comprehensive Review

Documentation:

- Sufficient documentation to completely address “Additional Questions for Comprehensive Review” (See protocol)

LIST A

ED selects 2 and SEA selects 1

- Transition to & Implementation of CCR standards
- Implement System of Differentiated Recognition, Accountability and Support
- Priority Schools
- Focus Schools
- Other Title I Schools
- Development, adoption, piloting and implementation of teacher evaluation and support systems
- Development, adoption, piloting and implementation of principal evaluation and support systems

Onsite Monitoring (cont'd)

Review of critical unwaived Title I requirements in the same manner as reviewed prior to ESEA flexibility.

Title I Requirements Documentation:

- Sufficient documentation to completely address all questions for the unwaived Title I requirements (See protocol)

Unwaived Title I Requirements for Review

- Fiscal Integrity
- Within State Allocation, Reallocations, and Carryover
- LEA Plan
- Within District Allocation
- Fiscal Requirements: Maintenance of Effort, Comparability, Supplement not Supplant, and Internal Controls
- Services to Eligible Private School Children
- Test Security
- Schoolwide & Targeted Assistance Plans
- Parental Involvement (in SEA Systems & Processes)

SEA #1 Example: Onsite Monitoring

Depth of Review	Elements
Foundational Review Total Elements: 17	<ul style="list-style-type: none"> • All 17 elements
Comprehensive Review Total Elements: 7	<p>Of the 17 elements receiving a Foundational Review, the following will also receive a Comprehensive Review</p> <p><u>SEA Systems & Processes</u></p> <ul style="list-style-type: none"> • 4 elements <p><u>ED Selected</u></p> <ul style="list-style-type: none"> • 2 elements <p><u>SEA Selected</u></p> <ul style="list-style-type: none"> • 1 elements
Unwaived Title I Requirements Total Requirements: 8	<ul style="list-style-type: none"> • 8 requirements

SEA #1 Example: Foundational Review--Focus Schools

Element	Questions	Documentation
<p>Focus Schools (2.E)</p>	<p><i>Foundational Questions</i></p> <ul style="list-style-type: none"> • Where are you statewide in the process of implementing interventions in your focus schools? • If there have been changes since Part A monitoring to your method for determining that implementation of interventions in your focus schools is on track, , please describe those changes and the reasons for making the changes. <p><i>Additional Questions to Inform Technical Assistance</i></p> <ul style="list-style-type: none"> • What obstacles or challenges do you foresee moving forward in continuing to implement interventions in focus schools or sustaining positive impact? 	<p><i>Foundational Review Documentation</i></p> <ul style="list-style-type: none"> • SEA provides evidence of progress made in implementing interventions in focus schools statewide since Part A monitoring, including: <ul style="list-style-type: none"> ○ evidence of how SEA addressed any “Next Steps” in its Part A monitoring report; ○ evidence of carrying out any activities identified in its approved ESEA flexibility request. • SEA provides evidence that its process to ensure the implementation of interventions in focus schools is occurring, consistent with the SEA’s approved request and timelines and principles of ESEA flexibility (if not provided for Part A monitoring), and evidence of SEA actions taken to address focus schools not implementing interventions appropriately.

SEA #1 Example: Comprehensive Review --Focus Schools (cont'd)

Element	Questions	Documentation
Focus Schools (2.E)	<p><i>Additional Questions for Comprehensive Review</i></p> <ul style="list-style-type: none"> • How are you determining or planning to determine that implementation of interventions in focus schools is having an impact on students in subgroups for which schools were identified? • Based on what you are using to determine impact how would you say this implementation of interventions in focus schools has been/is going? • For any areas in which you are not seeing a positive impact why do you think that is happening and what is being done to achieve the desired impact? • For those areas for which you are seeing a positive impact what is being done to sustain this positive impact and to encourage continued review, assessment, and revisions when needed? 	<p><i>Comprehensive Review Documentation</i></p> <ul style="list-style-type: none"> • SEA provides evidence of how it determines the impact of interventions in focus schools on students in subgroups for which the school is identified and evidence of any impact. • SEA provides evidence of actions taken in response to a lack of positive impact. • SEA provides evidence of its process to enable LEAs and schools to sustain any positive impact and encourage continuous improvement.

Desk Monitoring

- ED will schedule interviews ranging between 3-6 hours via video or phone conference.
 - Interviews may be scheduled over a week
 - Conversations with LEAs/schools may be added

- ED staff may tailor interviews by:
 - Omitting or streamlining questions that have been sufficiently addressed in documentation provided or other materials available to ED
 - Asking additional follow up and clarifying questions to get a more complete picture of how the SEA is implementing elements of ESEA flexibility

Desk Monitoring (cont'd)

Foundational reviews of:

- All elements

Foundational Review Documentation:

- Sufficient documentation to completely address “Foundational Review Questions” (See protocol)

Comprehensive reviews of:

- All SEA Systems & Processes elements

Comprehensive Review Documentation:

- Sufficient documentation to completely address “Additional Questions for Comprehensive Review” (See protocol)

Desk Monitoring (cont'd)

Review of critical unwaived Title I requirements in the same manner as reviewed prior to ESEA flexibility.

Title I Requirements Documentation:

- Sufficient documentation to completely address all questions for the unwaived Title I requirements (See protocol)

Unwaived Title I Requirements for Review

- Fiscal Integrity
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Unwaived Title I Requirements Total Requirements: 8	<ul style="list-style-type: none"> • 8 requirements

Participants for Onsite/Desk Monitoring

- ED Staff:
 - ESEA flexibility State contact
 - Other members of ED's ESEA flexibility team
 - Staff from other related programs (SIG, IDEA, Title II, Title III, Race to the Top, TIF, Office of Civil Rights)
- SEA Staff
 - ESEA flexibility contact attend/participate in all interviews
 - Key SEA staff responsible for elements being discussed.
 - To the extent possible, include across all interviews, staff responsible for:
 - Title I
 - Title II
 - Title III
 - IDEA
 - Related programs

Preparation for Monitoring

- **ED contacts SEA regarding type of monitoring and scheduling**
- **Preliminary Monitoring Call (at least 6 weeks prior to visit)**
 - ED identifies areas for comprehensive review (Onsite only)
 - ED discusses SEA's choice of element for comprehensive review (Onsite only)
 - ED discusses with SEA documentation to be submitted
- **SEA selects element for comprehensive review (5 weeks prior to visit) (Onsite only)**
- **ED sends SEA final customized protocol (4-5 weeks prior to visit)**

Preparation for Monitoring (cont'd)

- **ED contacts SEA to discuss logistics and provides draft schedule (2-3 weeks prior to visit)**
- **SEA submits documentation (at least 2 weeks prior to visit)**
 - Email documents or links to State Contact
 - Clearly label documents by element
- **ED staff:**
 - Reviews documentation to address as many protocol questions as possible
 - Collaborates with program offices across ED to reduce duplication

Monitoring Follow Up

- **Exit Conference**
 - Follow-up call within 2 weeks of monitoring
 - Includes initial feedback based on review of documentation and monitoring

- **Monitoring Report**
 - Written report providing ED's review of the SEA's implementation
 - Within 35 business days of the monitoring visit

Monitoring Follow Up

Monitoring Report

- Overview
- Highlights of an SEA's implementation
- Summary & Analysis of an SEA's Implementation
- Additional Comments

Example of "Summary & Analysis of an SEA's Implementation"

Element #	Element
Level of Implementation	
Summary & Analysis of Implementation	
Next Steps	

Monitoring Follow Up (cont'd)

For elements where the SEA does not meet expectations:

- Next Steps indicating particular actions that must be completed
- Actions must be completed within specified timeframe
- Failure to take required Next Steps within the specified timeframe may result in additional enforcement action, including, but not limited to, a condition on the SEA's request for ESEA flexibility or non-renewal or termination of the flexibility

For elements where the SEA meets expectations (Foundation, Continuing Improvement, or Sustainability):

- No Next Steps
- Used as exemplars (Continuing Improvement or Sustainability)

Monitoring Follow Up (cont'd)

- **Technical Assistance**
 - Ongoing support to the SEA to resolve any Next Steps for monitoring
 - Information gathered from monitoring used to provide targeted and broad based technical assistance to support SEA's efforts to improve effectiveness

QUESTIONS?