



Arizona State Board of Education  
Arizona State Board for Vocational  
and Technological Education

**AMENDED AGENDA**  
**NOTICE OF PUBLIC MEETING**

Pursuant to Arizona Revised Statutes (A.R.S.) § 38-431.02, notice is hereby given to the members of the Arizona State Board of Education, the Arizona State Board for Vocational and Technological Education, and to the general public that the Boards will hold a meeting, open to the public, on **Monday, September 25, 2017, at 9:00 A.M. at the Arizona Department of Education, Room 122**, 1535 W. Jefferson, Phoenix, AZ 85007. A copy of the agenda for the meeting is attached. The Boards reserve the right to change the order of items on the agenda, with the exception of public hearings. One or more members of the Boards may participate telephonically. Agenda materials can be reviewed online at <http://azsbe.az.gov>

Pursuant to A.R.S. § 38-431.02 (H), the Boards may discuss and take action concerning any matter listed on the agenda.

Pursuant to A.R.S. § 38-431.03(A)(1), the Arizona State Board of Education may vote to convene in executive session, which will not be open to the public, for discussion or consideration of employment matters.

Pursuant to A.R.S. § 38-431.03(A)(2), the Arizona State Board of Education may vote to convene in executive session, which will not be open to the public, to consider records exempt by law from public inspection, including the receipt of information and discussion of information that is required to be maintained as confidential by state or federal law.

Pursuant to A.R.S. § 38-431.03(A)(3), the Boards may vote to convene in executive session, which will not be open to the public, for discussion or consultation for legal advice with the Board's attorneys concerning any item on this agenda.

Persons with a disability may request a reasonable accommodation such as a sign language interpreter, by contacting the State Board Office at (602) 542-5057. Requests should be made as early as possible to allow time to arrange the accommodation.

DATED AND POSTED this 22<sup>nd</sup> day of September, 2017.

Arizona State Board of Education

By: \_\_\_\_\_

  
Dr. Karol Schmidt  
Executive Director  
(602) 542-5057

**AMENDED AGENDA**

ARIZONA STATE BOARD OF EDUCATION

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Monday, September 25, 2017

9:00 AM

Arizona Department of Education, Room 122

1535 W. Jefferson, Phoenix, AZ 85007

9:00 a.m. CALL TO ORDER, PLEDGE OF ALLEGIANCE, NATIONAL ANTHEM,  
PRAYER AND ROLL CALL

1. BUSINESS REPORTS: The Board may discuss and take action concerning any matters listed on the agenda for Business Reports.

A. President's Report

1. Executive Director Search Update (Vice President)
2. Strategic Plan Update
3. Review of Newly Approved Public Comment Procedures

B. Superintendent's Report

1. 2017 Arizona History Teacher of the Year:  
John-David Bowman, Westwood High School, Mesa School District

C. Executive Director's Report

D. STUDY SESSION: Presentation and discussion regarding the State Board of Education's Strategic Plan

2. CALL TO THE PUBLIC: This is the time for the public to comment. Members of the Board may not discuss items that are not specifically identified on the agenda. Therefore, pursuant to A.R.S. 38-431.01(H), action taken as a result of public comment will be limited to directing staff to study the matter, responding to any criticism or scheduling the matter for further consideration and decision at a later date.

3. CONSENT AGENDA: All items on this Consent Agenda will be considered by a single motion with no discussion, unless an item is removed and discussed as a regular agenda item upon the request of any Board member.

~~A. Update regarding the ADE Standards Development Process for the Arizona Science and Social Studies Standards~~

B. Update regarding the ADE Standards revision of the Arizona English Language Proficiency Standards

## AMENDED AGENDA

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- C. Update regarding the ADE Standards revision of the Arizona Early Learning Standards
- D. Receipt of the concurrent coursework update, pursuant to A.R.S. § 15-901.07
- E. Approval of Federal Grant monies for the Student Support and Academic Enrichment Program (ESSA Title IV, Part A) on behalf of the State, in the amount of \$8,615,662.00
- F. Approval of Structured English Immersion Course training programs, pursuant to A.R.S. § 15-756.09
- G. Approval of the Arizona K-12 Center's Master Teacher Program
- H. Approval of appointments to the Alternative Educator Preparation Application Review Committee
- I. Approval of Move on When Reading literacy plans for the release of K-3 Reading Base Support Funds

#### 4. GENERAL SESSION

- A. Presentation, discussion and possible action regarding setting cut scores on A-F School Accountability letter grades for K-8 and 9-12 traditional schools
- B. Presentation, discussion and possible action on identifying levels of performance for A, B, C, D and F schools

**BB. Presentation, discussion and possible action regarding adoption of processes and the creation of a technical advisory committee for consideration of revisions/enhancements to A-F School Accountability for the 2018-2019 school year.**

- C. Presentation, discussion, and possible action regarding semi-annual progress review of Simon Consulting, L.L.C., as Receiver for Cedar Unified School District No. 25
- D. Presentation, discussion and possible action to determine noncompliance by Toltec School District with the Uniform System of Financial Records ("USFR") and to withhold state funds pursuant to A.R.S. § 15-272(B)
- E. Presentation and discussion of statewide 2016-2017 ACT scores

**AMENDED AGENDA**

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EE. Update regarding the ADE Standards revision of the Arizona Science and Social Studies Standards

F. Presentation, discussion and possible action to initiate rulemaking procedures for proposed amendments to R7-2-301 and R7-2-302 regarding the Minimum Course of Study for common schools and high schools

G. Presentation, discussion and possible action regarding approval of Tucson Unified School District's Alternative Structured English Immersion Model

Pursuant to A.R.S. § 38-431.03(A)(3), the Board may vote to convene in executive session to consider records exempt by law from public inspection, including the receipt and discussion of information that is required to be maintained as confidential by state or federal law, and/or for discussion or consultation for legal advice with the Board's attorneys on this agenda item.

H. Discussion, consideration and possible action on the search and selection of the new Executive Director

Pursuant to A.R.S. § 38-431.03(A)(1) and (3) the Board may vote to convene in executive session, which will not be open to the public, for discussion and consideration of employment matters and/or for legal advice on this agenda item.

5. ARIZONA STATE BOARD OF EDUCATION CONVENING/ACTIONING AS THE ARIZONA STATE BOARD FOR VOCATIONAL AND TECHNOLOGICAL EDUCATION FOR THIS ITEM ONLY

A. Presentation, discussion and possible action regarding the adoption of the Joint Technical Education District A-F Accountability framework and timeline

6. CONSENT AGENDA – CERTIFICATION ENFORCEMENT ACTIONS: All items on this Consent Agenda will be considered by a single motion with no discussion, unless an item is removed and discussed as a regular agenda item upon the request of any Board member.

A. Approval of the voluntary surrender of the educator certificates held by:

1. Randy Clarke
2. James Corbett
3. Rhonda Crose

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4. Larry De Bruin
5. Terri Hunsberger

7. GENERAL SESSION – CERTIFICATION ENFORCEMENT ACTIONS

- A. Presentation, discussion and possible action regarding guidelines on educator applications and certification enforcement actions involving individuals with DUIs
- B. Presentation, discussion and possible action to approve the Negotiated Settlement Agreements for:
  1. Marina Castro
  2. Ray Wallace
- C. Presentation, discussion and possible action on the findings of fact, conclusions of law and recommendation of the Professional Practices Advisory Committee to approve the application for certification(s) of:
  1. Matthew Gehrman  

Pursuant to A.R.S. § 38-431.03(A)(3), the Board may vote to convene in executive for discussion or consultation for legal advice with the Board's attorneys on this agenda item.
  2. Rene Rodriguez  

Pursuant to A.R.S. § 38-431.03(A)(3), the Board may vote to convene in executive session for discussion or consultation for legal advice with the Board's attorneys on this agenda item.
- D. Presentation, discussion and possible action on the findings of fact, conclusions of law and recommendation of the Professional Practices Advisory Committee to approve the suspension of certificate held by Rudolph King
- E. Presentation, discussion and possible action on the findings of fact, conclusions of law and recommendation of the Professional Practices Advisory Committee to approve the revocation of certificate(s) held by:

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1. Rebecca Dargan
  2. Carli Hebert
  3. Edward Kohl
  4. Annie Love
- 
8. SUMMARY OF CURRENT EVENTS, FUTURE MEETING DATES AND ITEMS FOR FUTURE AGENDAS. The executive director, presiding officer or a member of the Board may present a brief summary of current events pursuant to A.R.S. § 38-431.02(K), and may discuss future meeting dates and direct staff to place matters on a future agenda. The Board will not discuss or take action on any current event summary.

This item has been moved to 4EE

**EXECUTIVE SUMMARY**

**Issue:** Update regarding the ADE Standards revision of the Arizona English Language Development Standards

Action/Discussion Item

Information Item

**Background and Discussion**

The Arizona Department of Education (ADE), specifically the Office of English Language Acquisition Services (OELAS), last presented the Arizona English Language Proficiency Standards (ELPS) for approval by the EL Task Force in 2010.

Revisions of the ELPS will commence in October 2017, and continue through April 2018. The purpose is to align the ELPS to Arizona's English Language Arts Academic Standards, as required by the Every Student Succeeds Act (ESSA) (*ESEA section 3113(b)(6)*). ADE will convene educators, content experts, and other stakeholders from across Arizona to begin the standards revision process. Throughout the process, there will be opportunities for broad engagement by these groups, in addition to opportunities for public feedback.

The timeframes associated with this process may be extended or shortened based on the scope of the task, breadth of implementation, and other statewide education initiatives. During this process, the State Board will be updated as requested and the general public would be encouraged to attend meetings to learn more about the process and the progress.

Arizona English Language Proficiency Standards: <http://www.azed.gov/oelas/elps/>

**Recommendation to the Board**

Information item only. No action is needed.

**Contact Information:**

Kate Wright, Deputy Associate Superintendent, Office of English Language Acquisition Services  
Carol Lippert, Associate Superintendent, High Academic Standards for Students



**EXECUTIVE SUMMARY**

**Issue:** Update regarding the ADE Standards revision of the Arizona Early Learning Standards (AzELS)

Action/Discussion Item

Information Item

**Background and Discussion**

The Arizona Department of Education (ADE), specifically the Early Childhood Education Unit/High Academic Standards for Students Division, last presented the Arizona Early Learning Standards (AzELS) for approval by the State Board of Education in May 2013. The document was approved and adopted at that time.

Revisions of the AzELS will commence in October 2017, and continue through March 2018. ADE will convene educators, content experts, and other stakeholders from across Arizona to begin the standards revisions process. Throughout the process, there will be opportunities for broad engagement by these groups, in addition to opportunities for public feedback.

The timeframes associated with this process may be extended or shortened based on the scope of the task, breadth of implementation, and other statewide education initiatives. During this process, the State Board will be updated as requested and the general public would be encouraged to attend meetings to learn more about the process and the progress.

Link to current AzELS standards:

<https://cms.azed.gov/home/GetDocumentFile?id=58795495aadebe0c98a804fc>

**Recommendation to the Board**

Information item only. No action is needed.

**Contact Information:**

Nicol Russell, Deputy Associate Superintendent, Early Childhood Education  
Carol Lippert, Associate Superintendent, High Academic Standards for Students

**EXECUTIVE SUMMARY**

**Issue:** Update regarding concurrent coursework pursuant to A.R.S. § 15-901.07.

Action/Discussion Item

Information Item

**Background and Discussion**

Established in 2016 and modified in 2017, A.R.S. § 15-901.07 allows school districts and charter schools to include students enrolled in concurrent coursework for the purposes of calculating average daily membership if the school district has received approval from the State Board of Education or the charter school has received approval from its sponsor to offer concurrent coursework.

Concurrent coursework is a course that meets the minimum course of study requirements for high school graduation and is taken at an Arizona community college or university under the jurisdiction of the Arizona Board of Regents.

To qualify as concurrent coursework:

1. The student must earn at least three semester hours of credit, per semester, in the community college or university course;
2. The student is awarded academic credit by the school district or charter school;
3. The concurrent coursework is at a higher level than the high school course taught at the school district or charter school;
4. The student also attends at least one course offered at the school district or charter school per semester;
5. The concurrent coursework is applicable to an established community college degree or certificate program that is transferable to a university under the jurisdiction of the Arizona Board of Regents; and
6. The school district or charter school pays the community college or university for the tuition cost or reimburses the student for the tuition cost of the concurrent coursework.

Due to its inclusion in the A-F Accountability System as a College and Career Readiness Indicator measure, concurrent coursework must meet the statutory requirements of A.R.S. § 15-901.07 and comply with school finance requirements.

**Recommendation to the Board**

This item is presented to the Board for information only, and no action is requested.

**Contact Information:**

Karol Schmidt, Executive Director, State Board of Education  
Catcher Baden, Deputy Director, State Board of Education

**Arizona 2016-2017 9-12 A-F School Accountability Plan  
adopted by the State Board of Education on April 24, 2017**

Category	Component	Weight	Points/ Percentage
Proficiency	Az MERIT English Language Arts and Math and AIMS Science Proficiency <ul style="list-style-type: none"> <li>• 0 credit for minimally proficient (MP)</li> <li>• .6 for partially proficient (PP)</li> <li>• 1 for proficient (P)</li> <li>• 1.3 for highly proficient (HP)</li> </ul> 1 Year Full academic year (FAY) <ul style="list-style-type: none"> <li>• 30 points for 1 year</li> </ul>	30%	30%
Growth	Student Growth Percentiles on Az MERIT English Language Arts and Math (SGP) <ul style="list-style-type: none"> <li>• Students are classified as low (1-33), average (34-66) or high (67-99) SGP</li> <li>• Points are awarded based on their performance level the prior year (MP, PP, P, HP) and their growth level in the current year</li> </ul>	10%	20%
	Student Growth to Target on Az MERIT English Language Arts and Math (SGT) <ul style="list-style-type: none"> <li>• Students are assigned a target to scale score needed to reach proficiency within 3 years</li> <li>• Points are awarded based on students reaching their annual target, with lower performing students reaching their target receiving the most points.</li> </ul>	10%	
English Language Learners*	Proficiency on AZELLA <ul style="list-style-type: none"> <li>• Based school's percentage of students proficient compared to the state average ELL proficiency</li> </ul>	5%	10%
	Growth on AZELLA <ul style="list-style-type: none"> <li>• Based on school's change in performance levels compared to the state's average change in performance levels the prior year.</li> </ul>	5%	
High School Graduation Rate	Cohort 2015 4-year graduation rate x .10	10	20%
	Cohort 2014 5-year graduation rate x .08	8	
	Cohort 2013 6-year graduation rate x .05	5	
	Cohort 2012 7-year graduation rate x .01	1	
College and Career Readiness	Schools self-report data report for grade 12 graduating students to generate an overall score. <ul style="list-style-type: none"> <li>• A school's College and Career Readiness (CCR) A-F Point total will be determined by averaging the CCR A-F points from that year's graduates.</li> <li>• A student who accumulates 1 Indicator Point = 7.5 CCR A-F Points, scaled to 20% weighting.</li> <li>• A student who accumulates 2 Indicator Points = 15 CCR A-F Points, scaled to 20% weighting.</li> <li>• A student who accumulates less than 1.0 Indicator points = 0</li> <li>• A student who accumulates 1 point of <b>Red</b> Indicators AND 1 point of <b>Blue</b> Indicators will generate 2 bonus CCR A-F points.</li> <li>• A school that increases the percent or has 85% of post-secondary enrollment and/or military service of prior year's graduates will generate 1 bonus point.</li> </ul>	20%	20%

Value	Indicators		
1.25 <b>Blue</b>	Earns a Grand Canyon Diploma or International Baccalaureate Diploma		
1.25 <b>Red</b>	Completes a CTE sequence and passes the Arizona Technical Skills Assessment for that sequence		
.5 per exam <b>Blue</b>	Passing score on AzMERIT Algebra 2 or ELA 11		
.35 per exam <b>Blue</b>	Meets cut score on ACT English, math, reading or science exam		
.5 per exam <b>Blue</b>	Meets cut score on SAT English or math exam		
.5 per exam <b>Blue</b>	Meets cut score on any AP exam		
.3 <b>Red or Blue</b>	Completes the FAFSA		
.5 per course <b>Red</b>	Passes a college level career pathway (CTE) course for which college credit can be earned with an A, B, or C (i.e. dual enrollment and <b>concurrent enrollment</b> )		
.5 per course <b>Blue</b>	Passes a college level English, math, science, social studies, or foreign language course for which college credit can be earned with an A, B, or C (i.e. dual enrollment and <b>concurrent enrollment</b> )		
.25 per course <b>Red</b>	Completes a CTE course with an A, B, or C (outside of completed sequence referenced above) –		
.5 <b>Red</b>	Meets benchmarks for ASVAB		
.5 <b>Red</b>	Meets benchmarks for ACT WorkKeys		
.35 per exam <b>Blue</b>	Meets cut score on ACCUPLACER, ALEKS, COMPASS (or any nationally recognized college placement exam currently used by an Arizona institution), or Cambridge IGCSE English, reading, writing, math, social studies, science, or foreign language exam		
.5 per exam <b>Blue</b>	Meets cut score on CLEP, Cambridge A or AS, or IB English, math, social studies, science, or foreign language exam		
.5 per credential, certificate, or license <b>Red</b>	Earns an Industry-Recognized Credential, Certificate, or License <b>No more than one point may be awarded in this indicator.</b>		
1 <b>Red</b>	Completes well-defined Work-Based Learning (i.e. internship) of at least 120 hours		
1 <b>Blue</b>	Meet all 16 Arizona Board of Regents program of study requirements		

\*Schools with an *n* count of less than 20 ELL students are not eligible for ELL points and will have letter grades calculated based on a 90/90 scale

15-901.07. Concurrent coursework; calculation of average daily membership; definition

A. A school district or a charter school may include students enrolled in concurrent coursework for the purposes of calculating average daily membership if the school district has received approval from the state board of education or the charter school has received approval from its sponsor to offer concurrent coursework and all of the following apply:

1. A student earns at least three semester hours of credit per semester in the community college or university course.
2. A student is awarded academic credit by the school district or charter school for the concurrent coursework pursuant to section 15-701.01.
3. The concurrent coursework is at a higher level than the course taught at the school district or charter school in grades nine through twelve.
4. A student who is enrolled in concurrent coursework also attends at least one course offered at the school district or charter school per semester.
5. The concurrent coursework is applicable to an established community college academic degree or certificate program that is transferable to a university under the jurisdiction of the Arizona board of regents. Concurrent coursework that is applicable to a community college occupational degree or certificate program may be transferable to a university under the jurisdiction of the Arizona board of regents.
6. The school district or charter school pays the community college or university for the tuition cost of the concurrent coursework or reimburses the student for the tuition cost of the concurrent coursework.

B. A course at a community college or university of three semester hours of credit or more is considered a subject for the purposes of meeting the definition of full-time student prescribed in section 15-901. A course at a community college or university of three semester hours of credit or more is not required to meet one hundred twenty-three hours a year, or the equivalent, to be considered a subject.

C. Instructional hours provided by a community college or university to a student in concurrent coursework shall be included in the calculation of the average daily membership for that student pursuant to section 15-901.

D. Notwithstanding the subject requirements prescribed in section 15-901, the hours in which a student who is enrolled in concurrent coursework attends a high school shall be included in the calculation of the average daily membership for that student.

E. Average daily membership shall be based on the combined hours that the student is enrolled in at the school district or charter school and at the community college or university. Average daily membership shall be calculated by dividing the combined hours by seven hundred twenty, except that if a student in grade nine through twelve participates in Arizona online instruction, average daily membership shall be calculated by dividing the combined hours by nine hundred. Except as otherwise provided by law, for a full-time high school student who attends concurrent enrollment courses pursuant to this section, the average daily membership may not exceed 1.0.

F. For the purposes of this section, "concurrent coursework" means courses at a community college under the jurisdiction of a community college district in this state or at a university under the jurisdiction of the Arizona board of regents in the required or elective subjects that satisfy high school graduation requirements pursuant to section 15-701.01.

**EXECUTIVE SUMMARY**

<b>Issue:</b> Federal Grant monies for the Student Support and Academic Enrichment Program (ESSA Title IV)
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Action/Discussion Item

Information Item

**Background and Discussion**

Per Arizona Revised Statutes § 15-206, the State Board of Education may accept on behalf of this state from any federal agency monies which have been appropriated by act of Congress for defense in education, reduction of illiteracy, teaching of immigrants, employment and training, educational support services or other educational purpose.

Newly authorized under subpart 1 of *Title IV*, Part A of the *ESEA*, the Student Support and Academic Enrichment (SSAE) program is intended to help by increasing the capacity of State educational agencies (SEAs), local educational agencies (LEAs), schools, and local communities to: 1) provide all students with access to a well-rounded education, 2) improve school conditions for student learning, and 3) improve the use of technology in order to improve the academic achievement and digital literacy of all students (*ESEA* section 4101).

These funds could be allocated by formula or competition. ADE and Title I stakeholders have determined that these funds would be awarded via formula. Under section 4105(a) of *ESEA*, an State Education Agency (SEA) that makes subgrants to its LEAs by formula must do so based on their relative shares of funds under Title I, Part A for the preceding fiscal year, except that no LEA may receive an allocation that is less than \$10,000.

The SSAE program provides SEAs, LEAs, and schools the flexibility to tailor investments based on the needs of their unique student populations. Where possible, the U.S. Department of Education (USDOE) encourages coordination and integration of the SSAE program with activities authorized under other sections of the law, as well as other federal programs to improve outcomes for students. USDOE notes that ensuring all students have access to a holistic well-rounded education is central to the shared work across programs in *ESSA*.

Allowable uses of funds for the SSAE program under each of the three content areas may include, but are not limited to: direct services for students, professional development for teachers and administrators, salaries of personnel to carry out identified programs and services, and supplemental educational resources and equipment.

**Contact Information:**

Peter Laing, Deputy Associate Superintendent of Assessment

Kelly Koenig, Associate Superintendent Student Achievement and Educator Excellence Division

**EXECUTIVE SUMMARY**

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**Recommendation to the Board**

It is recommended that the Board accept on behalf of the State, Federal Grant monies for the Student Support and Academic Enrichment Program (ESSA Title IV, Part A) in the amount of \$8,615,662.00.



S424A170003

Diane Douglas  
Arizona Department of Education  
1535 West Jefferson Street  
Phoenix, AZ 85007 - 3209



**US Department of Education  
Washington, D.C. 20202**

S424A170003

**GRANT AWARD NOTIFICATION**

<p><b>1</b> RECIPIENT NAME</p> <p>Arizona Department of Education 1535 West Jefferson Street Phoenix, AZ 85007 - 3209</p>	<p><b>2</b> AWARD INFORMATION</p> <p>PR/AWARD NUMBER      S424A170003 ACTION NUMBER        1 ACTION TYPE            New AWARD TYPE            Formula</p>																				
<p><b>3</b> PROJECT STAFF</p> <p>RECIPIENT STATE DIRECTOR Peter C Laing                      (602) 364-1957 <a href="mailto:Peter.Laing@azed.gov">Peter.Laing@azed.gov</a></p> <p>EDUCATION PROGRAM CONTACT Bryan K Williams                (202) 453-6715 <a href="mailto:bryan.williams@ed.gov">bryan.williams@ed.gov</a></p> <p>EDUCATION PAYMENT HOTLINE G5 PAYEE                              888-336-8930 HELPDESK <a href="mailto:edcaps.user@ed.gov">edcaps.user@ed.gov</a></p>	<p><b>4</b> PROJECT DESCRIPTION</p> <p>84.424A Student Support and Academic Enrichment Grants</p>																				
<p><b>5</b> KEY PERSONNEL</p> <p>N/A</p>																					
<p><b>6</b> AWARD PERIODS</p> <p>BUDGET PERIOD            07/01/2017 - 09/30/2018 FEDERAL FUNDING PERIOD    07/01/2017 - 09/30/2018</p> <p>FUTURE BUDGET PERIODS</p> <p>N/A</p>																					
<p><b>7</b> AUTHORIZED FUNDING</p> <p>CURRENT AWARD AMOUNT        \$8,615,662.00 PREVIOUS CUMULATIVE AMOUNT    \$0.00 CUMULATIVE AMOUNT            \$8,615,662.00</p>																					
<p><b>8</b> ADMINISTRATIVE INFORMATION</p> <p>DUNS/SSN                    804746097 REGULATIONS                EDGAR AS APPLICABLE                                       2 CFR AS APPLICABLE ATTACHMENTS                1 , 3 , 8 , 9 , 11 , 12 , 13 , 14 , E-3 , E4 , E5</p>																					
<p><b>9</b> LEGISLATIVE AND FISCAL DATA</p> <p>AUTHORITY:                    PL 20 U.S.C. 7101 TITLE IV ESEA, AS AMENDED BY ESSA PROGRAM TITLE:                STUDENT SUPPORT AND ACADEMIC ENRICHMENT (SSAE)     PROGRAM CFDA/SUBPROGRAM NO:        84.424A</p> <table border="1"> <thead> <tr> <th>FUND CODE</th> <th>FUNDING YEAR</th> <th>AWARD YEAR</th> <th>ORG. CODE</th> <th>CATEGORY</th> <th>LIMITATION</th> <th>ACTIVITY</th> <th>CFDA</th> <th>OBJECT CLASS</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td>1000M</td> <td>2017</td> <td>2017</td> <td>ES000000</td> <td>B</td> <td>QMA</td> <td>000</td> <td>424</td> <td>4101A</td> <td>\$8,615,662.00</td> </tr> </tbody> </table>		FUND CODE	FUNDING YEAR	AWARD YEAR	ORG. CODE	CATEGORY	LIMITATION	ACTIVITY	CFDA	OBJECT CLASS	AMOUNT	1000M	2017	2017	ES000000	B	QMA	000	424	4101A	\$8,615,662.00
FUND CODE	FUNDING YEAR	AWARD YEAR	ORG. CODE	CATEGORY	LIMITATION	ACTIVITY	CFDA	OBJECT CLASS	AMOUNT												
1000M	2017	2017	ES000000	B	QMA	000	424	4101A	\$8,615,662.00												



**US Department of Education  
Washington, D.C. 20202**

S424A170003

**GRANT AWARD NOTIFICATION**

**10**

PR/AWARD NUMBER: S424A170003  
RECIPIENT NAME: Arizona Department of Education

**TERMS AND CONDITIONS**

- (1) The Office of Management and Budget requires all Federal agencies to assign a Federal Award Identifying Number (FAIN) to each of their financial assistance awards. The PR/AWARD NUMBER identified in Block 2 is your FAIN.

If subawards are permitted under this grant, and you choose to make subawards, you must document the assigned PR/AWARD NUMBER (FAIN) identified in Block 2 of this Grant Award Notification on each subaward made under this grant. The term subaward means:

- 1. A legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - 2. The term does not include your procurement of property and services needed to carry out the project or program (The payments received for goods or services provided as a contractor are not Federal awards, see 2 CFR 200.501(f) of the OMB Uniform Guidance: "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards").
  - 3. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- (2) The negotiated indirect cost rate or the indirect cost allocation plan approved for the entity identified in Block 1 of this GAN applies to this grant award.
  - (3) THIS GRANT AWARD IS MADE SUBJECT TO THE PROVISIONS OF ALL APPLICABLE ACTS, REGULATIONS, AND ASSURANCES.

THIS GRANT IS SUBJECT TO THE PROVISIONS OF TITLE IV AND TITLE VIII, AS APPLICABLE, OF THE ELEMENTARY AND SECONDARY EDUCATION ACT AND THE GENERAL EDUCATION PROVISIONS ACT (P.L. 103-382). THIS GRANT IS ALSO SUBJECT TO THE EDUCATION DEPARTMENT GENERAL ADMINISTRATIVE REGULATIONS (EDGAR) IN 34 CFR PARTS 76, 77, 81, AND 82, 2 CFR 3485, AND THE UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS IN 2 CFR PART 200 AND 3474.

- (4) UNDER THE "TYDINGS AMENDMENT," SECTION 421(b) OF THE GENERAL EDUCATION PROVISIONS ACT, 20 U.S.C. 1225(B), ANY FUNDS THAT ARE NOT OBLIGATED AT THE END OF THE FEDERAL FUNDING PERIOD SPECIFIED IN BLOCK 6 SHALL REMAIN AVAILABLE FOR OBLIGATION FOR AN ADDITIONAL PERIOD OF 12 MONTHS.



**US Department of Education  
Washington, D.C. 20202  
GRANT AWARD NOTIFICATION**

A handwritten signature in cursive script that reads "Jason Botel".

**Jason Botel  
Acting Assistant Secretary**

**07/03/2017**

**AUTHORIZING OFFICIAL**

**DATE**



# **Non-Regulatory Guidance**

## ***Student Support and Academic Enrichment Grants***

Under the Congressional Review Act, Congress has passed, and the President has signed, a resolution of disapproval of the accountability and State plans final regulations that were published on November 29, 2016 (81 FR 86076). This guidance document is unaffected by that resolution and remains applicable.

*The U.S. Department of Education does not mandate or prescribe practices, models, or other activities in this non-regulatory guidance document. This guidance contains examples of, adaptations of, and links to resources created and maintained by other public and private organizations. This information, informed by research and gathered in part from practitioners, is provided for the reader's convenience and is included here to offer examples of the many resources that educators, parents, advocates, administrators, and other concerned parties may find helpful and use at their discretion. The U.S. Department of Education does not control or guarantee the accuracy, relevance, timeliness, or completeness of this outside information. Further, the inclusion of links to items and examples do not reflect their importance, nor are they intended to represent or be an endorsement by the U.S. Department of Education of any views expressed, or materials provided.*

**U.S. Department of Education**

John King  
Secretary

**Office of Elementary and Secondary Education**

Ann Whalen  
*Delegated the authority to perform the functions and duties of Assistant Secretary for Elementary and Secondary Education*

**October 2016**

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This report is available at <http://www2.ed.gov/policy/elsec/leg/essa/index.html>.

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## **Purpose of the Guidance**

*The U.S. Department of Education has determined that this guidance is significant guidance under the Office of Management and Budget's, Final Bulletin for Agency Good Guidance Practices, 72 Fed. Reg. 3432 (Jan. 25, 2007). See*

*www.whitehouse.gov/sites/default/files/omb/memoranda/fy2007/m07-07.pdf. Significant guidance is non-binding and does not create or impose new legal requirements. The U. S. Department of Education is issuing this guidance to provide State and local educational agencies with information to assist them in meeting their obligations under the Elementary and Secondary Education Act.*

*If you are interested in commenting on this guidance, please email us your comment at [OESEGuidanceDocument@ed.gov](mailto:OESEGuidanceDocument@ed.gov) or write to us at the following address:*

U.S. Department of Education  
Office of Elementary and Secondary Education  
400 Maryland Avenue, S.W.  
Washington, D.C. 20202

*For further information about the Department's guidance processes, please visit [www2.ed.gov/policy/gen/guid/significant-guidance.html](http://www2.ed.gov/policy/gen/guid/significant-guidance.html)*

## **INTRODUCTION**

President Obama signed the *Every Student Succeeds Act (ESSA)* into law in December 2015, which reauthorized the *Elementary and Secondary Education Act of 1965 (ESEA)*. *ESSA* reflects the civil rights tradition of *ESEA*, which reflects our nation's longstanding commitment to equity of opportunity for all students.<sup>1</sup> The new law has a clear goal of ensuring our education system prepares every child to graduate from high school ready to thrive in college and careers. The *ESEA* includes a number of provisions that promote equitable access to educational opportunity, including holding all students to high academic standards, ensuring meaningful action is taken to improve the lowest-performing schools and schools with underperforming student groups, and providing more children with access to high-quality preschool. As we work to improve education outcomes for students the ultimate goal is to provide all students—regardless of zip code, race, ethnicity, religion, family income, sex (including gender identity), sexual orientation, disability, language status, gender, or migrant status—with a high-quality education.

Newly authorized under subpart 1 of *Title IV, Part A* of the *ESEA*, the Student Support and Academic Enrichment (SSAE) program is intended to help meet these goals by increasing the capacity of State educational agencies (SEAs), local educational agencies (LEAs), schools, and local communities to: 1) provide all students with access to a well-rounded education,<sup>2</sup> 2)

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<sup>1</sup> Throughout this document, unless otherwise indicated, citations to the *ESEA* refer to the *ESEA*, as amended by the *ESSA*.

<sup>2</sup> "Well-rounded education" is defined in *ESEA* section 8101(52). The text of the *ESEA*, as amended by *ESSA*, is available at: <http://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20of%201965.pdf>.



improve school conditions for student learning, and 3) improve the use of technology in order to improve the academic achievement and digital literacy of all students. (*ESEA* section 4101).

In this guidance document, the U.S. Department of Education (Department) provides key information on the provisions of the new SSAE program including a discussion of the allowable uses of funds, role of the SEA, fiscal responsibilities, and the local application requirements. In addition, the guidance provides examples of several innovative activities that demonstrate some of the SSAE program allowable uses of funds. It is important to note that SSAE funds may not be sufficient to independently fund many of these innovative activities. This guidance discusses leveraging other state and local resources in combination with the SSAE grant funds to achieve the goals of SSAE programs and activities. Finally, the Appendix provides resources, tools, and additional innovative strategies to support effective implementation of the SSAE program to improve outcomes for all students.

The SSAE program provides SEAs, LEAs, and schools the flexibility to tailor investments based on the needs of their unique student populations. Where possible, the Department encourages coordination and integration of the SSAE program with activities authorized under other sections of the law, as well as other federal programs to improve outcomes for students. The Department notes that ensuring all students have access to a holistic well-rounded education is central to the shared work across programs in *ESSA*.<sup>3</sup> LEAs or a consortium of LEAs may apply for SSAE program funds<sup>4</sup> and must prioritize the distribution of funds to schools based on one or more of several factors, including schools that are (i) are among those with the greatest needs, as determined by the LEA, (ii) have the highest numbers of students from low-income families, (iii) are identified for comprehensive support and improvement under *Title I*, Part A of the *ESEA*; (iv) are implementing targeted support and improvement plans under *Title I*, Part A of the *ESEA*; or (v) are identified as a persistently dangerous public school under section 8532 of the *ESEA*. (*ESEA* section 4106(e)(2)). This provision is discussed further in the local application requirements section of this document.

Table 1 provides an overview of activities LEAs may consider as they prepare for implementation of the SSAE program. Allowable uses of funds under each of the three content areas may include, but are not limited to: direct services for students, professional development for teachers and administrators, salaries of personnel to carry out identified programs and services, and supplemental educational resources and equipment.

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<sup>3</sup> See [Dear Colleague Letter on Using Federal funds to Support Humanities](#) and [Dear Colleague Letter: Federal Funding for Technology](#).

<sup>4</sup> Throughout this document, when the term “LEA” is used, it includes a singular LEA or a consortium of LEAs, as SSAE subgrants may be made to LEAs or consortia of LEAs. (*ESEA* section 4105(a)(3)).

**Table 1. Overview of Examples of Allowable SSAE Uses of Funds\***

Overview of Allowable SSAE Program Activities		
Well-Rounded Educational Opportunities (ESEA section 4107)	Safe and Healthy Students (ESEA section 4108)	Effective Use of Technology (ESEA section 4109)
<ul style="list-style-type: none"> <li>Improving access to foreign language instruction, arts, and music education</li> <li>Supporting college and career counseling, including providing information on opportunities for financial aid through the early FAFSA</li> <li>Providing programming to improve instruction and student engagement in science, technology, engineering and mathematics (STEM), including computer science, and increasing access to these subjects for underrepresented groups</li> <li>Promoting access to accelerated learning opportunities including Advanced Placement (AP) and International Baccalaureate (IB) programs, dual or concurrent<sup>5</sup> enrollment programs and early college high schools<sup>6</sup></li> <li>Strengthening instruction in American history, civics, economics, geography, government education, and environmental education</li> </ul>	<ul style="list-style-type: none"> <li>Promoting community and parent involvement in schools</li> <li>Providing school-based mental health services and counseling</li> <li>Promoting supportive school climates to reduce the use of exclusionary discipline and promoting supportive school discipline</li> <li>Establishing or improving dropout prevention</li> <li>Supporting re-entry programs and transition services for justice-involved youth</li> <li>Implementing programs that support a healthy, active lifestyle (nutritional and physical education)</li> <li>Implementing systems and practices to prevent bullying and harassment</li> <li>Developing relationship building skills to help improve safety through the recognition and prevention of coercion, violence, or abuse</li> <li>Establishing community partnerships</li> </ul>	<ul style="list-style-type: none"> <li>Supporting high-quality professional development for educators, school leaders, and administrators to personalize learning and improve academic achievement</li> <li>Building technological capacity and infrastructure</li> <li>Carrying out innovative blended learning projects</li> <li>Providing students in rural, remote, and underserved areas with the resources to benefit from high-quality digital learning opportunities</li> <li>Delivering specialized or rigorous academic courses and curricula using technology, including digital learning technologies and assistive technology</li> </ul>
<p>*Note: This table provides examples of allowable activities and is not an exhaustive list. Please consult the statute for more information. The text of the <i>ESEA</i>, as amended by <i>ESSA</i>, is available at: <a href="http://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf">http://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf</a>.</p>		

An LEA that receives at least \$30,000 in SSAE program funds must conduct a comprehensive needs assessment that includes, at a minimum, a focus on the three content areas identified in Table 1. (*ESEA* section 4106(d)). Additional recommendations about conducting a needs

<sup>5</sup> “Dual or concurrent enrollment programs” are defined in section 8101(15) of the *ESEA*. The text of the *ESEA*, as amended by *ESSA*, is available at: <http://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf>.

<sup>6</sup> “Early college high school” is defined in section 8101(17) of the *ESEA*. The text of the *ESEA*, as amended by *ESSA*, is available at: <http://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20Of%201965.pdf>.

assessment are located in the “Implementing Effective SSAE Program Activities” section of this document. Based on the results of that assessment, the LEA must use:

- At least 20 percent of funds for activities to support well-rounded educational opportunities (*ESEA* section 4107);
- At least 20 percent of funds for activities to support safe and healthy students (*ESEA* section 4108); and
- A portion of funds for activities to support effective use of technology (*ESEA* section 4109).

Within each of these areas, LEAs have broad flexibility to use the SSAE program funds for a variety of activities to improve student outcomes and address the opportunity gaps identified through the needs assessment.

### **Leveraging Federal, State and Local Resources**

In order to maximize the use of the SSAE program resources, SEAs, LEAs, and schools may partner with organizations such as nonprofits, institutions of higher education (IHEs), museums, and community organizations to offer programs and services to students. In addition, State and local leaders should consider how other Federal, State and local funds may be leveraged to support a holistic approach to well-rounded education. Under the law, SEAs must review existing resources and programs across the State and coordinate any new plans and resources under the SSAE program with existing resources and programs. (*ESEA* section 4103(c)(2)(C)(i)).

At the local level, schools may use other *ESEA* program funds to coordinate and strengthen complimentary services. For example, *Title IV*, Part B funding for 21st Century Community Learning Centers also provide opportunities for academic enrichment through an array of programs and activities such as nutrition and health education, drug and violence prevention, and arts education. The SSAE grant can also be used in conjunction with other titles within *ESEA* to support specific interventions, activities, or services. For example, *Title I*, Part A (*Title I*) of the *ESEA* may be used to promote supportive school climates to reduce the use of exclusionary discipline practices in a *Title I* schoolwide program. Likewise, LEAs may use *Title II* funds to provide training for school personnel to address issues related to school conditions for student learning, such as safety, peer interaction, drug and alcohol abuse, and chronic absenteeism. Rural LEAs that receive funding under either the Small, Rural School Achievement Program (SRSA) or the Rural and Low-Income School Program (RLIS) under *Title V*, Part B, may use those funds for activities allowed under the SSAE program funds, among other things. Additionally, LEAs may consider leveraging other federal resources such as AmeriCorps funds, if applicable, by partnering with grantees that provide similar programs or services in low-income schools and communities.<sup>7</sup>

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<sup>7</sup> For a listing of individual AmeriCorps grantees in each State, please see: [www.NationalService.gov/State-Service-Locations](http://www.NationalService.gov/State-Service-Locations)

LEAs may also consider applying for funds in consortium to implement programs across districts. Working together, LEAs may be able to more efficiently deliver services through economies of scale that enable them to serve more students at lower cost and reduce administrative overhead.

### **Supplement not Supplant Requirement**

In considering how to use SSAE program funds, SEAs and LEAs should be mindful that SSAE program funds may be used only to supplement, and not supplant, non-Federal funds that would otherwise be available for activities authorized under the SSAE program. (*ESEA* section 4110). This means that, in general, SEAs and LEAs may not use SSAE program funds for the cost of activities in the three SSAE program content areas – well-rounded education, safe and healthy students, and technology – if the cost of those activities would have otherwise been paid with State or local funds in the absence of the SSAE program funds.<sup>8</sup>

### **Federal Civil Rights**

The SSAE grant recipients must comply with Federal civil rights laws that prohibit discrimination based on race, color, national origin, sex, disability, and age. These laws include *Title VI* of the *Civil Rights Act of 1964*, *Title IX* of the *Education Amendments of 1972*, *Title II* of the *Americans with Disabilities Act*, the *Equal Educational Opportunities Act*, Section 504 of the *Rehabilitation Act of 1973*, and the *Age Discrimination Act of 1975*. Further, Section 427 of the *General Education Provisions Act* (20 U.S.C. §1228a(a)) require the SSAE grant recipients to include in its application for the SSAE program funds, 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, the SSAE grant recipient(s) should determine whether these or other barriers may prevent their students, teachers, etc. from such access or participation in, the Federally-funded project or activity. Recipients should be aware that failure to meet their civil rights obligations, or respond to the Section 427 requirement, may be considered violations of grant conditions as well as violations of the civil rights laws and therefore, they may be subject to civil rights and programmatic enforcement mechanisms if there is a possibility of a violation of these requirements. This may include adding special conditions on a grant, designating a grantee as having high risk status, and/or possibly withholding funds (subject to a hearing requirement).

## **ROLE OF THE STATE EDUCATIONAL AGENCY**

The SEA plays an important role in ensuring equitable access to an excellent education. In general, the Department allocates the SSAE program funds to States by formula based on each State's share of funds under *Title I*, Part A of the *ESEA*. (*ESEA* section 4103(b)). To receive its

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<sup>8</sup> For additional information on the SSAE program supplement not supplant provision, please see Key Question 1 in Role of the SEA and Key Question 4 in the Local Application Requirements sections of this guidance.

allocation, an SEA must submit a plan to the Secretary of Education that, if submitted individually for the SSAE program,<sup>9</sup> must include the in *ESEA* sections 4103(c)(2)(A)-(C).

An SEA must reserve at least 95 percent of its SSAE program allocation for subgrants to LEAs and not more than one percent of its SSAE program allocation for administrative costs, including public reporting on how LEAs are using the funds and the degree to which LEAs have made progress towards meeting identified objectives and outcomes. (*ESEA* section 4104(a)(1) and (2)). SEAs award SSAE subgrants to LEAs by formula<sup>10</sup> in the same proportion as to the LEAs' prior year's *Title I*, Part A allocations. (*ESEA* section 4105(a)(1)). An SEA may use any remaining funds to support LEA activities and programs designed to meet the purposes of the program, which may include monitoring and providing technical assistance to LEAs; identifying and eliminating State barriers to the coordination and integration of programs, initiatives, and funding streams that meet the purposes of the program; and otherwise supporting LEAs in carrying out activities in the three SSAE program content areas. (*ESEA* section 4104(a)(3)).

SEAs are also responsible for developing the application that LEAs must submit to receive their funds from the State. At a minimum, the application must contain the elements described in the "Local Application Requirements" section of this guidance, and may include such other information as the SEA may reasonably require. (*ESEA* section 4106(a)(1)). An SEA may wish to consider how the local application for funding may promote strategies to maximize the impact of the SSAE program funds and advance the State's goals related to implementation of the *ESEA*. For example, an SEA may consider:

- Needs assessment criteria and protocol – SEAs may include specific needs assessment criteria for LEAs to address, consistent with the statutory requirements in section 4106(d) of the *ESEA*.
- Matching funds – SEAs may identify particular activities for which a State would provide matching funds to LEAs. For example, an SEA may publish a list of activities for which, if implemented by LEAs with SSAE program funds, the State would contribute matching funds to help enhance or scale-up the activity.
- Encouraging consortia – States may wish to encourage LEAs to apply for funding as a consortium as authorized in *ESEA* section 4105(a)(3). Combining SSAE program funds may result in economies of scale so that smaller LEAs may benefit more than if they had received their individual allocation. LEAs in a consortium may also benefit from

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<sup>9</sup> Under section 8302 of the *ESEA*, a State has the option to submit to the Secretary a consolidated State plan covering multiple *ESEA* programs including the SSAE program. On May 31, 2016, the Department published a Notice of Proposed Rulemaking (NPRM) in the *Federal Register* that proposed specific requirements for the submission of State plans under *ESEA* programs, including optional consolidated State plans. Please note that these regulatory provisions are what the Department has proposed. They may change based on the Department's review of comments received during the public comment period, which closed on August 1, 2016.

<sup>10</sup> The specific formula in Section 4105(a)(1) provides: "The State shall allocate to each local educational agency in the State that has an application approved by the State educational agency under section 4106 an amount that bears the same relationship to the total amount of such reservation as the amount the local educational agency received under subpart 2 of part A of *Title I* for the preceding fiscal year bears to the total amount received by all local educational agencies in the State under such subpart for the preceding fiscal year."

communities of practice and glean lessons from other LEAs implementing similar activities.

## **Key Questions**

- 1) How should an SEA determine if an activity included in a local application is an allowable use of funds under the SSAE program?

*Generally, an SEA should first consider whether a proposed activity is consistent with the purposes of the three content areas in the SSAE program (well-rounded education in section 4107, safe and healthy students in section 4108, or the effective use of technology in section 4109). Assuming that the activity is consistent with the purposes of one of the three content areas, as applicable, the SEA should make further determinations as to allowability of costs in accordance with the cost principles in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) at 2 CFR Part 200, Subpart E. Specifically, the cost of an activity is allowable under the SSAE program, is reasonable and necessary for performance of the grant (i.e., it is of a type generally recognized as ordinary and necessary for operation of the grant) and allocable to the grant (i.e., it is chargeable to the grant award in proportion to the benefits received by the grant award as a result of the cost). Also, because section 4110 prohibits supplanting, the SEA should consider whether the proposed use of funds for the activity is supplemental and would not supplant other State or local funds that would otherwise be used for the activity in the absence of the SSAE program funds.*

- 2) What is the SEA required to do if the amount of SSAE program funds reserved for LEA allocations is insufficient to make allocations to LEAs equal to the minimum amount of \$10,000?

*If the SEA does not have sufficient funds to make allocations to any of its LEAs in an amount equal to the minimum of \$10,000, it must ratably reduce the LEA allocations, as required by section 4105(b) of the ESEA. This means that the SEA must reduce all LEA allocations proportionately to fit the funds that the SEA has available for LEA allocations. Ratable reduction ensures that all of the LEAs will receive allocations of some amount.*

## LOCAL APPLICATION REQUIREMENTS

LEAs are required to submit an application to the SEA to receive their SSAE program allocation. An LEA may, if it chooses, apply for funds in consortium with one or more surrounding LEAs. (*ESEA* section 4106(b)). During the design and development of its application, an LEA or consortium of LEAs must engage in consultation with stakeholders in the area served by the LEA. (*ESEA* section 4106(c)(1)). Such stakeholders must include, but are not limited to, the following:

- Parents
- Teachers
- Principals
- Students
- School leaders
- Charter school teachers, principals, and other school leaders, when applicable
- Specialized instructional support personnel
- Indian tribes or tribal organizations, when applicable
- Local government representatives
- Others with relevant and demonstrated expertise
- Community-based organizations

An LEA or consortium of LEAs must continue to consult with the stakeholders identified above to improve the activities it conducts and coordinate implementation with other related activities conducted in the community. (*ESEA* section 4106(c)(2)). The Department recently released a [Dear Colleague Letter on Stakeholder Engagement](#) highlighting the importance and value of stakeholder engagement. The letter provides tips for removing barriers and resources that may help with the development of a meaningful stakeholder engagement plan.

Note: LEAs must also consult with private school officials to identify the needs of eligible private school students and teachers consistent with the requirements in section 8501 of the *ESEA*. This process is different from the consultation related to the development of an LEA application described above.

*ESEA* section 4106(d) requires that an LEA receiving an SSAE program allocation of at least \$30,000 must conduct a comprehensive needs assessment prior to receiving its allocation,<sup>11</sup> and subsequent needs assessments at least once every three years, to examine its needs for improvement of:

- Access to, and opportunities for, a well-rounded education for all students;
- School conditions for student learning to create a healthy and safe school environment; and
- Access to personalized learning experiences supported by technology and professional development for the effective use of data and technology.

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<sup>11</sup> An individual LEA receiving an allocation that is less than \$30,000 is not required to conduct a comprehensive needs assessment. (*ESEA* section 4106(d)(2)).)

The LEA's application must describe the SSAE programs and activities the LEA proposes to implement, which must include as applicable, descriptions of any partnership with an IHE, business, nonprofit organization, community-based organization, or other public or private entity with a demonstrated record of success in implementing allowable activities under the SSAE program. The LEA must also describe, as applicable, how funds will be used for activities in the three content areas – well-rounded educational opportunities, safe and healthy students, and effective use of technology. Furthermore, the LEA's application must also include program objectives and intended outcomes and describe how the LEA or its partners will periodically evaluate the effectiveness of its SSAE program activities based on those objectives and outcomes. (*ESEA* section 4106(e)(1)). In addition, the LEA's application should describe any proposed uses of funds for the direct administrative costs of carrying out the LEA's program responsibilities, consistent with the LEA's authority to reserve up to two percent of its allocation for such costs as authorized under *ESEA* section 4105(c).

### **LEA or Consortium of LEAs Assurances**

In accordance with *ESEA* section 4106(e) (2) and (f), an LEA or consortium of LEAs must assure in its application that it will:

- Prioritize the distribution of funds to schools served by the LEA based on one or more of the following criteria—
  - Are among the schools with the greatest needs;
  - Have the highest percentages or numbers of children counted under section 1124(c) (*i.e.*, children counted for purposes of basic grants to LEAs under *Title I*, Part A of the *ESEA*);
  - Are identified for comprehensive support and improvement under section 1111(c)(4)(D)(i) (*i.e.*, are among the lowest-achieving schools);
  - Are implementing targeted support and improvement plans as described in section 1111(d)(2) (*i.e.*, have consistently underperforming student subgroups); or
  - Are identified as a persistently dangerous public elementary school or secondary school under section 8532. (*ESEA* section 4106(e)(2)(A)).
- For an LEA or consortium that receives \$30,000 or more, use—
  - Not less than 20 percent of funds to support one or more of the activities authorized under section 4107 pertaining to well-rounded educational opportunities;
  - Not less than 20 percent of funds to support one or more activities authorized under section 4108 pertaining to safe and healthy students; and
  - A portion of funds to support one or more activities authorized under section 4109(a) pertaining to the effective use of technology, including an assurance that it will not use more than 15 percent of the remaining portion for purchasing technology infrastructure as described in section 4109(b).<sup>12</sup>

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<sup>12</sup> An LEA that receives less than \$30,000 is required to provide only one of these assurances. (*ESEA* section 4106(f)).



(ESEA section 4106(e)(2)(C)-(E)).

- Comply with section 8501-8504, regarding equitable participation of private school children and teachers. (ESEA section 4106(e)(2)(B)).<sup>13</sup>
- Complete an annual State report regarding how funds for the SSAE program are being used. (ESEA section 4106(e)(2)(F)).

## Key Questions

- 1) May an LEA use a single activity to address more than one of the application assurances regarding use of funds in the three SSAE program content areas (*i.e.*, well-rounded education, safe and healthy students, effective uses of technology) ?

*There may be certain activities an LEA wishes to fund that could fit into more than one of the SSAE program content areas and could be used to address the application assurances regarding use of funds in each area. For example, a student trauma recovery program that utilizes student performance art could be categorized in either the safe and healthy students content area (ESEA section 4108) or the well-rounded education content area (ESEA section 4107) and could be used to satisfy expenditures requirements in both areas. In such cases, the LEA should explain in its application to the SEA how the activity fits in more than one content area. The SEA will ultimately approve or disapprove the activity through its application approval process consistent with relevant statutory application requirements.*

- 2) What other stakeholders should an LEA consider consulting with as it develops its application?

*In addition to the list provided above in the “Local Application Requirements” section, an LEA should consider involving members from the business community, health providers, police, social workers, librarians, technology experts, service providers, faith-based community leaders, and other key stakeholders, as appropriate. Under ESEA sections 4107(a)(2) (well-rounded education) and 4108(4) (safe and healthy students), LEAs are explicitly authorized to use a portion of funds in these areas to develop and implement programs and activities that may be conducted in partnership with an IHE, business, nonprofit organization, community-based organization, or other public or private entity with a demonstrated record of success in implementing these activities. In*

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<sup>13</sup> Under sections 8501- 8504 of the ESEA, LEAs and SEAs receiving funds under *Title IV*, Part A must provide for the equitable participation of private school students, teachers and other educational personnel in private schools located in areas these agencies serve in *Title IV*, Part A-funded activities, including by engaging in timely and meaningful consultation with private school officials during the design and development of their *Title IV*, Part A programs. New or changed requirements that affect the equitable participation of private school students, teachers and other educational personnel under the ESEA will be addressed in forthcoming guidance. Except as otherwise provided in that guidance, the existing non-regulatory *Title IX, Part E Uniform Provisions, Subpart 1 – Private Schools (Revised March 2009)* will remain applicable.

*addition, LEAs may find it particularly helpful to include such partners in the needs assessment process.*

- 3) If LEAs apply for funds as a consortium, how is the consortium's funding determined?

*Section 4105(a)(1) requires that the State make allocations to its LEAs based on each LEA's share of funds under Title I, Part A of the ESEA, and section 4105(a)(3) provides that LEAs may form consortia and combine the allocation that each LEA in the consortium receives to jointly carry out allowable activities. Accordingly, the funding for a consortium is the sum of the allocations of its member LEAs.*

- 4) Is an individual LEA that receives an allocation of less than \$30,000 of SSAE program funds required to use a certain percentage of funds for each of the three content areas?

*No. Section 4106(f) allows an individual LEA receiving an allocation of less than \$30,000 to use funds for only one (or more) of the three content areas in the SSAE program. Such LEAs must provide an assurance that they will either use not less than 20 percent of SSAE funds for well-rounded education, use not less than 20 percent of SSAE funds for safe and healthy students, or use a portion of SSAE funds to support the effective use of technology consistent with 4106(f).*

- 5) What does supplement not supplant mean in the context of the SSAE program?

*Section 4110 requires that SSAE program funds be used to supplement, and not supplant, non-Federal funds that would otherwise be used for activities authorized under the SSAE program. This means that an SEA or LEA may not use SSAE program funds to carry out activities that would otherwise be paid for with State or local funds. In determining whether a particular use of funds would violate the non-supplanting requirement, SEAs and LEAs should consider matters such as whether the cost involved is currently paid for using State or local funds or whether the cost involved is for an activity that is required by State or local law. In no event may an SEA or LEA decrease the amount of State or local funds used to pay the cost of an activity simply because of the availability of the SSAE program funds. There is a presumption of supplanting if Federal funds are used for State-required costs or costs previously covered with non-Federal funds. The presumption may be overcome if the SEA or LEA is able to demonstrate through written documentation (e.g., State or local legislative action, budget information, or other materials) that it does not have the funds necessary to implement the activity and that the activity would not be carried out in the absence of the SSAE program funds.*

- 6) Must an LEA distribute SSAE program funds to each of its schools?

*No. An LEA is not required to distribute SSAE program funds to each of its schools. Consistent with ESEA section 4106(e)(2)(A), an LEA must prioritize the distribution of funds to schools as described in the LEA or Consortium Assurances section of this document and must implement the SSAE program consistent with all relevant statutory*

requirements. In prioritizing the distribution of funds, an LEA that provides district-wide services with the SSAE program funds must focus those services on schools with the greatest need identified in ESEA section 4106(e)(2)(A).

- 7) Do the application assurances regarding use of funds in the three main content areas apply to the schools to which an LEA distributes funds?

*No. The application assurances regarding use of funds in the three SSAE program content areas apply at the LEA level. These assurances serve to establish minimum expenditure requirements (i.e., not less than 20 percent of funds for activities to support well-rounded educational opportunities, not less than 20 percent for activities to support safe and healthy students, and a portion for activities to support the effective use of technology) that an LEA must meet with respect to its entire allocation. In meeting these requirements, an LEA has flexibility in determining the amount of funds to distribute to a school and for which activities, provided its determinations are consistent with its needs assessment and school prioritization. An LEA might, for example, use 20 percent of its funds for an arts program in only two of its elementary schools and use 40 percent of its funds for a district-wide school climate program, consistent with its assurance to prioritize schools most in need.*

- 8) In the case of a consortium of LEAs, do the application assurances regarding use of funds in the three content areas apply to the consortium as a whole or to each member LEA?

*The application assurances regarding use of funds apply to the consortium as a whole, i.e. each LEA in a consortium is not required to meet the expenditure requirements individually with respect to its allocation. Thus, a consortium may, for example, spend less than 20 percent of a single member LEA's allocation of SSAE program funds for activities to support well-rounded educational opportunities in that LEA, provided the consortium spends at least 20 percent of its aggregate funds for those activities.*

## **IMPLEMENTING EFFECTIVE SSAE PROGRAM ACTIVITIES**

While LEAs must comply with local application requirements as outlined in the previous section, they also have substantial flexibility in how they utilize the SSAE program funds to provide students access to a well-rounded education, improve school conditions for student learning, and utilize educational technology. In addition to the required needs assessment, education leaders should consider using further steps described below to improve the overall effectiveness of the SSAE program activities to improve student outcomes.

### **Identifying Local Needs**

Conducting a needs assessment is an important and required aspect of the SSAE program. The needs assessment must be comprehensive and examine areas for improvement related to students' access to well-rounded educational opportunities, learning conditions that cultivate a

safe and healthy environment for students, and effective use of technology. (*ESEA* section 4106(d)). LEAs that receive an allocation of \$30,000 or greater must conduct a comprehensive needs assessment at least once every three years.<sup>14</sup> As noted in the “Local Application Requirements” section, when embarking on the local needs assessment, LEAs must engage in timely and meaningful consultation with a broad range of stakeholders (*ESEA* section 4106(c)) and should examine relevant data to understand students’ and schools’ most pressing needs, including the potential root causes of such needs. In addition, if the LEA has recently conducted a needs assessment that corresponds to the SSAE sections, the LEA may want to consider how best to incorporate the information for the completed needs assessment into the comprehensive needs assessment for the SSAE program.

Questions to consider:

- *Which stakeholders can help identify local needs and/or root causes? How can they be engaged early and in a meaningful way throughout the process?*
- *What data are needed to best understand local needs?*
- *Do our current systems fully capture the needs of our hardest to serve students – including those who might experience adversity that might not come-up in a survey or other data tools (e.g. trauma experienced by a recent influx of refugee students)?*
- *Are there inequities inherent in the system that is driving some of the local needs?*
- *How should the identified needs be prioritized when several significant needs are identified?*

### **Select Relevant, Evidence-Based Activities<sup>15</sup>**

Once the needs have been identified, stakeholders should select relevant evidence-based activities, when evidence is available, that will have the likelihood of working in the local context . Evidence-based activities are more likely to improve student outcomes but the effectiveness also depends on the local context (e.g., the alignment of that activity to other efforts underway, the population being served) and local capacity (e.g., funding, staff and staff skills, resources, buy-in from stakeholders).

Questions to consider:

- *Are there any evidence-based activities that would address the identified needs (Also see Guidance on the Definition of “Evidence-Based”)?*
- *Are there identified interventions supported by strong or moderate evidence, as defined in the ESEA that would address the identified needs of the student population being served (Also see Guidance on the Definition of “Evidence-Based”)?*
- *How does the local context, including the district’s larger strategic goals and improvement plans, influence which activity may be best suited for the district and/or the school?*

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<sup>14</sup> LEAs receiving an allocation less than \$30,000 are not required to conduct a comprehensive needs assessment. However, a needs assessment is an important first step in using SSAE program funds to improve student outcomes.

<sup>15</sup> Please see Guidance on the Definition of “Evidence-Based” in the Appendix for further discussion of evidence levels.

- *Does the district have the capacity to implement this activity or intervention, (time, people, money)? If not, would additional staff development help, or should an alternative activity be considered?*
- *Does the potential outcome of an activity or intervention justify its costs, or are there other activities that would be a more cost-effective way to address identified needs?*
- *How will the selected activity be sustained over time (e.g., are ongoing funding sources available)?*

### **Plan for Implementation**

An implementation plan, developed with input from stakeholders, sets up LEAs and schools for successful implementation (see here for an example of a Department-funded implementation planning and monitoring tool). Such plans typically include the following components:

- ✓ A logic model, which demonstrates a theory of action by visually connecting the activity to expected outcomes that are stated as well-defined and measurable goals and clarifies how the activity will work (see here for how Department regulations define “logic model” and for a description of logic models);
- ✓ Well-defined, measurable goals with implementation timelines for successful execution;
- ✓ Clearly outlined roles and responsibilities for people involved, including the person or people responsible for the activity’s success, those with a deep understanding of the activity, and those working to implement the activity on the ground;
- ✓ Identified resources required to support the activity (e.g., staff time, funding, materials, support from community stakeholders, technical assistance);
- ✓ A process to monitor implementation, as well as to collect information on how the activity is working, to ensure continuous improvement, including plans for data collection, analysis, and/or evaluation to examine performance against well-defined and measurable goals; and
- ✓ An outreach strategy to regularly engage stakeholders.

### **Implement Activities**

Effective implementation of the selected activity is essential to achieving identified goals. Inevitably, there will be unexpected hurdles during implementation, so having an ongoing mechanism to identify and address these issues, and to collect information for performance monitoring and evaluation, is crucial.

Questions to consider:

- *Is the implementation plan being followed as designed? If not, why not?*
- *What mid-course adjustments could be made to improve implementation? Is there stakeholder feedback that could be used to inform such adjustments?*
- *Do resources need to be realigned or timelines adjusted?*
- *What are barriers to successful implementation? Who needs to be involved in order to make changes that result in removal of these barriers?*

## **Examine and Reflect**

The final step for improving effective implementation is to examine how the activity is working and then use that information to make decisions about mid-course correction, steps for continuous improvement, and next steps. There are different ways to examine how activities are working. Performance monitoring, for instance, involves tracking data about an activity to see how outcomes compare to identified targets and goals. Rigorous evaluations, on the other hand, measure the effectiveness of an activity, answering questions about the impact of a specific activity on measured outcomes. These activities produce information that should be used to guide future investments.

Questions to consider:

- *What are reasonable expectations of success at the beginning, middle, and end of an activity or intervention, and how should success be measured?*
- *Is performance data sufficient or is there a need to assess the effectiveness of the activity with a rigorous evaluation? If so, are there resources to support a rigorous evaluation?*
- *What interim progress and/or performance milestones should be collected?*
- *What does the information collected suggest about ways to improve the activity and/or to improve future activities and investments?*

## **Key Questions**

- 1) What tools and data may be available for an LEA to use in its comprehensive needs assessment and to help in choosing evidence-based programs and practices?

*Although the Department does not endorse any specific tools, the Appendix includes a list of resources and examples that LEAs may find helpful in conducting a needs assessment and in choosing programs and practices.*

- 2) What if no evidence of effectiveness is available for an activity to address an identified need?

*If there is no evidence of effectiveness for an activity to address an identified need, an LEA should use a logic model to demonstrate a rationale for why an activity is expected to address the need in the LEA's specific context. The logic model should use prior research or data from performance monitoring to provide support that the activity is likely to improve the relevant outcome(s).*

## **ALLOWABLE ACTIVITIES**

The following section provides information on the activities that LEAs may conduct under the three content areas of the SSAE program and offers examples of practices that may be helpful to grantees. Generally, LEAs may use funds for a wide variety of activities within each content area, including, but not limited to, direct services for students, professional development<sup>16</sup> for

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<sup>16</sup> ESEA section 8101(42) defines "professional development." The text of the ESEA, as amended by ESSA, is available at: <http://legcounsel.house.gov/Comps/Elementary%20And%20Secondary%20Education%20Act%20of%201965.pdf>.

teachers and administrators, salaries of personnel to carry out identified programs and services, including but not limited to athletic administrators, and supplemental educational resources and equipment. The examples provided below are not an exhaustive list of strategies, but rather, describe a range of practices that are illustrative of the possibilities under the law. Additional resources are provided in the Appendix.

### **Activities to Support Well-Rounded Educational Opportunities**

Consistent with section 4106(e)(2)(C) of the *ESEA*, an LEA or consortium of LEAs receiving an SSAE program allocation of at least \$30,000 must use at least 20 percent of the SSAE program funds for activities under section 4107 that support student access to a well-rounded education. Programs and activities carried out under this section must be coordinated with other schools and community-based services and may be conducted in partnership with IHEs and other entities. (*ESEA* section 4107(a)(1)-(2)) The purpose of a well-rounded education is to provide an enriched curriculum and education experiences to all students. It includes programs and activities in the subjects discussed in more detail below as well as other activities, including those that integrate multiple academic disciplines. In general, an LEA may use funds under section 4107 for any program or activity that supports student access to and success in well-rounded educational experiences.

A well-rounded education starts with early learning opportunities that make time for exploration and continues with K-12 education that helps students make important connections among their studies, their curiosities, their passions, and the skills they need to become critical thinkers and productive members of society. In addition, a well-rounded education promotes a diverse set of learning experiences that engages 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.<sup>17</sup>

Research supports the benefits of a well-rounded education. For example, students are better able to understand a text when they have had exposure to the knowledge and experiences referenced in that text.<sup>18</sup> Experience shows that students who have been exposed to the language and vocabulary of the natural world, the sciences, and social studies are better readers. Research also shows that students who have strong experiences in the arts often perform better in math.<sup>19</sup> The arts also help children think creatively, and develop language skills in other languages.<sup>20</sup>

Programs and activities that support a well-rounded education may include--

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<sup>17</sup> Ibid.

<sup>18</sup> Afflerbach, Peter P. "The Influence of Prior Knowledge on Expert Readers' Main Idea Construction Strategies." *Reading Research Quarterly* 25, no. 1 (1990): 31-46. and Georgia Kosmoski, Geneva Gay, and Edward Vockell. "Cultural Literacy and Academic Achievement." *The Journal of Experimental Education* 58, no. 4 (1990): 265-272.

<sup>19</sup> "Arts Integration: A Promising Approach to Improving Early Learning" February 2016 <http://www.wolfltrap.org/~media/files/pdf/education/arts-integ-brief-2016-final.pdf?la=en>.

<sup>20</sup> Carolyn Asbury and Barbara Rich, *Learning, Arts, and the Brain: The DANA Consortium Report on Arts and Cognition*. (Washington, DC: Dana Press, 2008).

**Science, technology, engineering, and mathematics (ESEA section 4107(a)(3)(C)).** An LEA may use funds for programming and activities to improve instruction and student engagement in STEM subjects. STEM activities may include: increasing access for groups of underrepresented students to high-quality courses; supporting participation in nonprofit competitions (e.g. robotics, math competitions, computer programming); providing students hands-on learning and exposure to STEM, including through field-based and service learning; supporting the creation and enhancement of STEM-focused specialty schools; facilitating collaboration among programs that take place during the school day and those that take place during out-of-school time to improve the integration of STEM instruction in those programs; and integrating other academic subjects such as the arts into STEM curricula. In a high-quality STEM opportunity, STEM skills and content knowledge are integrated and learned through exploration, inquiry, problem solving, and often involve real-world contexts or applications.

*SPOTLIGHT: Studies show that prekindergarten and kindergarten students whose teachers integrated music and arts with STEM curricula and lessons experienced significant increases in math learning.<sup>21</sup> For example, the Early STEM/Arts project of the Wolf Trap Early Learning Institute paired teachers with Wolf Trap teaching artists to receive intensive professional development in applying arts-integrated techniques to math curricula. The artists visited teachers' classrooms for in-class sessions with the students and transitioned from classroom leaders to coaches as the teachers gained skills in integrating music, dance, and drama into their own instruction. An independent study found that students in the classrooms of teachers who participated in the Early STEM/Arts program received the equivalent of 1.7 additional months of learning, or 34 additional days, compared to their peers in the control groups.*

**Music and arts (ESEA section 4107(a)(3)(B)).** An LEA may use funds for programs and activities that use music and the arts, which may include dance, media arts, theater, and visual arts, as tools to support student success through the promotion of constructive student engagement, problem solving, and conflict resolution. ArtsEdSearch, a clearinghouse of rigorously reviewed evaluation research concerning the effects of arts on teaching and learning, contains a growing body of research<sup>22</sup> that affirms when part of a well-rounded education in schools, arts learning contributes to increased academic achievement and student success in preparation for college, career, and life. (See also ESEA section 4107(a)(3)(I)).

*SPOTLIGHT: Many schools and districts are implementing programs that have made the arts part of a well-rounded education for all students. In Boston, school district and city leaders have embarked on a revitalization of the arts throughout the district in order to close a longstanding “arts opportunity gap.” For example, at Otis Elementary School,*

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<sup>21</sup> Ludwig, Meredith and Song, Mengli. 2015. Evaluation of Professional Development in the Use of Arts-Integrated Activities With Mathematics Content: Findings From the Evaluation of the WolfTrap Arts in Education Model Development and Dissemination Grant Final Grant Report. Washington, DC: American Institutes for Research. <http://www.wolftrap.org/~media/files/pdf/education/aemdd-report-2016.pdf?la=en>

<sup>22</sup> ArtEdSearch, the national online research clearinghouse of student and educator outcomes focused on arts learning: <http://www.aep-arts.org/research-policy/artsedsearch/>. This resource is included in the Appendix and is supported by a cooperative agreement from the National Endowment for the Arts and the Department to the Education Commission of the States.



*where the student body is 80 percent Hispanic and more than 90 percent are eligible for free and reduced-price lunch, the arts are a critical component of the school's vision for success. In the initial data collected for the Boston Public Schools Arts Expansion initiative, Otis Elementary was providing some visual arts and music but wanted to ensure access for all students and provide additional arts disciplines. Through the Arts Expansion Initiative, in 2011 the school began adding arts disciplines by engaging in partnerships and hiring additional arts teachers. Arts integration collaborations between arts specialists and classroom teachers focused on making content connections across the curriculum. Partnerships with local arts institutions broadened students' artistic horizons and deepened their learning. A number of indicators have improved at the school, which could possibly be attributed to the arts expansion initiative. In the 2015-16 Student Climate Survey, Otis Elementary outscored other elementary schools in six of seven indicators and had a 94.8 percent attendance rate in 2014-15. Since its arts expansion, student proficiencies on the Massachusetts Comprehensive Assessment System in English language arts and mathematics have increased, and the school has moved from tier 3 to tier 2 in the district accountability and assistance levels.*

**Foreign language instruction (ESEA section 4107(a)(3)(F)).** An LEA may use funds to support instruction in foreign languages, which is essential for students to fully participate in today's global economy and increasingly diverse communities. The American Council on the Teaching of Foreign Languages finds that language learning can support academic achievement, provide cognitive benefits, and positively affect attitudes and beliefs about language and other cultures.<sup>23</sup>

**Accelerated learning programs (ESEA section 4107(a)(3)(D)).** An LEA may use funds for efforts to raise student academic achievement through accelerated learning programs, including by: reimbursing low-income students to cover all or part of the costs of AP, IB, or other accelerated learning program examinations; and increasing the availability of, and enrollment in, AP or IB programs, dual or concurrent enrollment programs, early college high schools, and other accelerated learning options. AP and IB programs are designed to help students prepare for college-level work and enable students to take college-level courses in high school and potentially earn college credit based on scores achieved on AP and IB exams. Dual or concurrent enrollment programs and early college high school programs enable students to prepare for college rigor and, through college course enrollment opportunities, graduate from high school with college credits and vocational certificates. Counseling, mentoring, or programs that develop study skills and critical thinking are also important components of accelerated learning programs.

*SPOTLIGHT: There are several programs providing students with extensive access to accelerated learning opportunities. For example, the Advance Kentucky initiative is boosting college and career readiness by increasing*

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<sup>23</sup> For more information on what the research shows, please see American Council on The Teaching of Foreign Languages website at <https://www.actfl.org/advocacy/what-the-research-shows>.

access to AP programs. Available in over 40 percent of its public high schools in Kentucky, the project is designed to start in middle school and give every student access to challenging coursework, not just to those traditionally eligible to participate, so that students will be ready and successful in AP courses in high school. While the program focuses on raising student and teacher expectations, it provides support to teachers through content-rich training and professional learning. More information on the program is available at <http://advancekentucky.org/>.

**High school redesign with dual or concurrent enrollment and early college high schools (ESEA section 4107(a)(3)(D)(ii)).** An LEA or consortium of LEAs may use funds to support strategies designed to decrease high school drop-out rates, and to increase high school graduation rates and college-entrance rates and to redesign what the high school experience can be. Early College High Schools have been particularly impactful for racial and ethnic minority students and students from low-income families.<sup>24</sup>

*SPOTLIGHT: Jobs for the Future Inc. (JFF) is one example of an early college program. Since 2002 JFF and their partners have helped start or redesign nearly 250 early college schools that currently serve more than 75,000 students nationwide. JFF has seen increased graduation rates with 90 percent of early college students graduating high school compared to the national rate of 78 percent. In addition, 23 percent of graduates of early college high schools graduate with an associates or college certificate along with their high school diploma. Seventy-three percent of early college students identify as students of color, 61 percent are from low-income families, and 56 percent will be the first in their immediate families to attend college.<sup>25</sup> Utilizing the JFF model these early colleges incorporate the following key features: 1) Aligned curricula and instruction; 2) Personalization and student supports; 3) Utilize the power of place (early colleges are located on or near college campuses); 4) College credit; and 5) Partnerships.*

**Civics instruction (ESEA section 4104(b)(3)(A)(i)(V)).** An LEA may use funds to promote the development, implementation, and strengthening of instructional programs in civics. Civics is generally understood to mean the content of what citizens should know about politics and government, including the foundations of the American political system. Schools can provide civics instruction through both formal and informal education beginning in the early years of the education process.

*SPOTLIGHT: There are many programs that help educators incorporate civics into the learning environment. Facing History and Ourselves is one such program that integrates*

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<sup>24</sup> Berger, Andrea, Lori Turk-Bicakci, Michael Garet, Joel Knudson, and Gur Hoshen. 2014. *Early College, Continued Success: Early College High School Initiative Impact Study*. Washington, DC: American Institutes for Research. <http://www.air.org/sites/default/files/downloads/report/AIR%20ECHSI%20Impact%20Study%20Report-%20NSC%20Update%2001-14-14.pdf>. and Edmunds, Julie A.; Larry Bernstein; Fatih Unlu; Elizabeth Glennie; John Willse; Arthur Smith; and N. Arshavsky. 2012. *Expanding the Start of the College Pipeline: Ninth-grade Findings from an Experimental Study of the Impact of the Early College High School Model*. *Journal of Research on Educational Effectiveness*, 5(2), 136–159. <http://www.tandfonline.com/doi/pdf/10.1080/19345747.2012.656182>

<sup>25</sup> <http://www.jff.org/initiatives/early-college-designs>.

*the study of history, literature, and human behavior with ethical decision making and innovative teaching strategies. The program includes teacher professional development as well as classroom content (historical case studies) and pedagogy. Facing History aims to promote students' historical understanding, critical thinking, and social-emotional learning. The program is also designed to help humanities teachers effectively integrate civic education in their humanities courses to enhance both discipline-based and civic learning outcomes. A study published in April 2014<sup>26</sup> shows how Facing History helps students develop critical thinking skills and fosters both academic and civic growth, while also promoting teacher self-efficacy and professional satisfaction.*

**College and career counseling (ESEA section 4107(a)(3)(A)).** An LEA may use funds for college and career counseling programs and services. These programs and services are, generally, designed to help students make informed and better educational and career choices as they develop personal, social, educational, and career skills. Programs often offer students information starting in middle school about how to prepare for college, including the importance of choosing rigorous high school course offerings, how to choose from among career options, how to enroll in and receive federal financial aid through the FAFSA, and how to pursue academic and occupational training needed to succeed in the workplace. To help prepare students to transition to college, assistance is provided on identifying postsecondary opportunities that are associated with students' interests, applying for college admissions and obtaining financial aid, and preparing for college aptitude tests (*e.g.* SAT and ACT).

**Social emotional learning (SEL) (ESEA section 4107(a)(3)(J)).** An LEA may use funds for activities in social emotional learning, including interventions that build resilience, self-control, empathy, persistence, and other social and behavioral skills. Extensive research, as well as educators' own experiences, shows that school-based SEL programs play an important role in fostering healthy relationships and increasing academic and career success.<sup>27</sup> A growing body of research in this field is demonstrating that various tools and practices can enhance students' social and emotional development.<sup>28</sup> For example, implementing practices that support students' sense of belonging and value can increase students' academic success.<sup>29</sup>

*SPOTLIGHT: Many schools are incorporating SEL into their programs and services. For example, the Austin Independent School District (AISD) has succeeded in developing a model for systematic and systemic SEL for all of its 83,600 students focused on four core practices: explicit skills instruction, SEL integration, school climate and culture, and family and community engagement. SEL coaches are deployed throughout the system to*

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<sup>26</sup> Barr, D. J., Boulay, B., Selman, R. L., McCormick, R., Lowenstein, E., Gamse, B., ... Brielle Leonard, M. (2015). A randomized controlled trial of professional development for interdisciplinary civic education: Impacts on humanities teachers and their students. *Teachers College Record*, 117(2).

<sup>27</sup> Durlak, J.A., Weissberg, R.P., Dymnicki, A.B., Taylor, R.D., & Schellinger, K.B. (2011). The impact of enhancing students' social and emotional learning: A meta-analysis of school-based universal interventions. *Child Development*, 82(1), pp. 405–432.

<sup>28</sup> CASEL Guide to Effective Social and Emotional Learning Programs (<http://www.casel.org/guide/>).

<sup>29</sup> Blackwell, L.A., Trzesniewski, K.H., & Dweck, C.S. (2007). Implicit theories of intelligence and achievement across the junior high school transition: A longitudinal study and an intervention. *Child Development*, 78, 246–263. Available at: [mtoliveboe.org/cmsAdmin/uploads/blackwell-theories-of-intelligence-child-dev-2007.pdf](http://mtoliveboe.org/cmsAdmin/uploads/blackwell-theories-of-intelligence-child-dev-2007.pdf). Cohen, G. L., Garcia, J., Purdie-Vaughns, V., Apfel, N., & Brzustoski, P. (2009). "Recursive Processes in Self-affirmation: Intervening to Close the Minority Achievement Gap." *Science*, 324, 400–403.

*support implementation of SEL. Using a vertical structure, Austin started with two high schools and their feeder schools. As of 2015-16, all 130 schools in the district are receiving professional development in implementing SEL. Evidence-based SEL programs are one important part of AISD's implementation strategy. Elementary and middle schools are using explicit instructional materials and lessons are generally taught weekly by the classroom teacher and reinforced and integrated into instruction in all areas of the school. In several high schools, ninth-graders attend a Methods for Academic and Personal Success (MAPS) class to develop skills to help with their transition to high school. Results show those teachers' ratings of their 3rd grade students' SEL competencies were positively related to students' performance in STAAR reading and math. Also, secondary schools with more years in SEL showed greater improvement in attendance and greater reduction in campus discretionary removals than did schools with no years in SEL.<sup>30</sup>*

**Environmental education (ESEA section 4107(a)(3)(G)).** An LEA may use funds for activities in environmental education, which is generally understood as instruction that encourages students to develop knowledge, intellectual skills, attitudes, experiences, and motivation to make and act upon responsible environmental decisions. Environmental education is generally understood to be a multi-disciplinary field that integrates disciplines such as biology, chemistry, physics, ecology, earth science, atmospheric science, mathematics, and geography.

*SPOTLIGHT: Many schools across the nation provide environmental education classes for students. Project Learning Tree® (PLT) is one example of an award-winning environmental education program designed for teachers and other educators, parents, and community leaders working with youth from preschool through grade 12. PLT provides educators with supplementary curriculum materials, professional development, and resources to integrate environmental education into lesson plans for all grades and subject areas and to use the outdoors to engage students in learning about the world around them. GreenSchools, PLT's service-learning program, inspires students to apply STEM (science, technology, engineering, and math) to create greener and healthier schools by reducing energy and water use, improving their school site, recycling, and other projects that also save schools money. Program evaluations demonstrate that PLT's Green Schools program contributes positively to important outcomes in student learning and engagement including students' presentation, writing, planning, problem-solving, technology, leadership and teamwork skills. <https://www.plt.org/>*

### **Activities to Support Safe and Healthy Students**

The second purpose of the SSAE program is to improve school conditions for student learning. When students are healthy and feel safe and supported, they are more likely to succeed in school.

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<sup>30</sup> [https://www.austinisd.org/sites/default/files/dre-surveys/14.139\\_Social\\_and\\_Emotional\\_Learning\\_Key\\_Outcomes\\_2010-2011\\_Through\\_2014-2015.pdf](https://www.austinisd.org/sites/default/files/dre-surveys/14.139_Social_and_Emotional_Learning_Key_Outcomes_2010-2011_Through_2014-2015.pdf) and [https://www.austinisd.org/sites/default/files/dre-surveys/14.140\\_Social\\_and\\_Emotional\\_Learning\\_Competency\\_Survey\\_Relationships\\_With\\_AISD\\_Outcome\\_Measures\\_0.pdf](https://www.austinisd.org/sites/default/files/dre-surveys/14.140_Social_and_Emotional_Learning_Competency_Survey_Relationships_With_AISD_Outcome_Measures_0.pdf).

According to the *Indicators of School Crime and Safety 2015*<sup>31</sup> report, schools have made significant progress toward improving school safety and on many measures schools are safer than they have ever been. However, significant challenges still remain:

- In 2014, about 33 out of every 1,000 students ages 12-18 reported being the victim of a non-fatal crime at school. This was down from 85 students out of 1,000 in 2000.<sup>32</sup>
- The percentage of students who reported being bullied was still significant but lower in 2013 (22 percent) in comparison to every prior survey year (28 percent in 2005, 2009, and 2011 and 32 percent in 2007).<sup>33</sup>
- Twenty-two percent of students in grades 9–12 in 2013 reported that illegal drugs were made available to them on school property.<sup>34</sup>
- The percentage of public schools reporting student sexual harassment of other students at least once a week was lower in 2013-2014 (1.4 percent) than prior survey years, including 2009-2010, when it was 3.2 percent.<sup>35</sup>

In addition, students' physical health issues such as epilepsy, diabetes, and asthma may pose a barrier to learning.<sup>36</sup> Furthermore, poor eating habits and a lack of physical activity have contributed to a significant increase in the number of young people who are obese. According to the U.S. Centers for Disease Control and Prevention, childhood obesity is a serious problem in the United States. Despite recent declines in the prevalence among preschool-aged children, obesity among children is still high. For children and adolescents aged 2-19 years, the prevalence of obesity has remained fairly stable at about 17% and affects about 12.7 million children and adolescents for the past decade. In 2011-2012, 17.7% of 6- to 11-year-olds had obesity, and 20.5% of 12- to 19-year-olds.<sup>37</sup>

In addition, unaddressed mental health issues may also interfere with learning and place young people at greater risk of using drugs and engaging in other harmful behaviors.<sup>38</sup> Approximately 20 percent of youth ages 13 to 18 have experienced a severe mental disorder<sup>39</sup> and 13 percent of

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<sup>31</sup> Zhang, A., Musu-Gillette, L., and Oudekerk, B.A. (2016). *Indicators of School Crime and Safety: 2015* (NCES 2016-079/NCJ 249758). National Center for Education Statistics, U.S. Department of Education, and Bureau of Justice Statistics, Office of Justice Programs, U.S. Department of Justice. Washington, DC. Accessed from <http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2016079>.

<sup>32</sup> Zhang, A., Musu-Gillette, L., and Oudekerk, B.A. (2016).

<sup>33</sup> Ibid.

<sup>34</sup> Ibid.

<sup>35</sup> Ibid.

<sup>36</sup> If a student has a physical or mental health impairment (such as epilepsy, diabetes, or asthma) and that impairment substantially limits a major life activity, then the student is a student with a disability and may be entitled to services or reasonable modifications under section 504 of the *Rehabilitation Act of 1973* (Section 504) and *Title II of the Americans with Disabilities Act of 1990* (Title II). 34 C.F.R. Part 104; 28 C.F.R. Part 35.

<sup>37</sup> Ogden CL, Carroll MD, Kit BK, Flegal KM. Prevalence of Childhood and Adult Obesity in the United States, 2011-2012. *JAMA*.2014;311(8):806-814. doi:10.1001/jama.2014.732. Accessed from: <http://jama.jamanetwork.com/article.aspx?articleid=1832542>

<sup>38</sup> If a student has a mental health impairment that substantially limits a major life activity, then the student is a student with a disability and may be entitled to services or reasonable modifications under Section 504 and *Title II*. 34 C.F.R. Part 104; 28 C.F.R. Part 35.

<sup>39</sup> Merikangas, K. R., He, J., Burstein, M., Swanson, S. A., Avenevoli, S., Cui, L., ... Swendsen, J. (2010). Lifetime Prevalence of Mental Disorders in US Adolescents: Results from the National Comorbidity Study-Adolescent Supplement (NCS-A). *Journal of the American Academy of Child and Adolescent Psychiatry*, 49(10), 980–989. <http://doi.org/10.1016/j.jaac.2010.05.017>.

children ages 8 to 15 had a diagnosable mental disorder in a given year.<sup>40</sup> In summarizing studies on the relationship between children's emotional distress and academic achievement, researchers found that students with frequent feelings of internalized distress (such as sadness, anxiety, or depression) showed diminished academic functioning and those with externalized distress (such as anger, frustration, and fear) exhibited difficulties including learning delays and poor achievement.<sup>41</sup> School mental health programs improve educational outcomes by decreasing absences and discipline referrals and improving test scores.<sup>42</sup>

An LEA or consortium of LEAs that receives \$30,000 or more in SSAE program funds must use at least 20 percent of those funds to develop, implement, and evaluate comprehensive programs and activities that:

- Are coordinated with other schools and community-based services and programs;
- Foster safe, healthy, supportive, and drug-free environments that support student academic achievement;
- Promote the involvement of parents in the activity or program;
- May be conducted in partnership with an IHE, business, nonprofit organization, community-based organization, or other public or private entity with a demonstrated record of success in implementing activities authorized under section 4108; and
- May include a wide variety of programs and activities discussed in detail below among other programs and activities. (*ESEA* section 4108(1)-(5)).

It is important to note that a State or LEA receiving funds under the SSAE program, generally must obtain prior written, informed consent from the parent of each child who is under 18 years of age to participate in any mental-health assessment or service that is funded with SSAE program funds. Prior written, informed consent means active consent; silent (passive) consent does not constitute prior written, informed consent is therefore not sufficient. Section 4001 of the *ESEA* describes in detail the contents of such consent, as well as limitations and exceptions to when prior, written informed consent is required.<sup>43</sup>

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<sup>40</sup> National Institutes of Mental Health. (n.d.) Prevalence Statistics: Any Disorder among Children. Accessed from <http://www.nimh.nih.gov/health/statistics/prevalence/any-disorder-among-children.shtml>.

<sup>41</sup> Roeser, R. W., Eccles, J. S., & Strobel, K. R. (1998). Linking the study of schooling and mental health: Selected issues and empirical illustrations at the level of the individual. *Educational Psychologist*, 33, 153-176.

<sup>42</sup> Jennings, J., Pearson, G., & Harris, M. (2000). Implementing and maintaining school-based mental health services in a large, urban school district. *Journal of School Health*, 70, 201-205.

<sup>43</sup> *ESEA* section 4001 provides: SEC. 4001. GENERAL PROVISIONS. (a) PARENTAL CONSENT.— (1) IN GENERAL.— (A) INFORMED WRITTEN CONSENT.—A State, local educational agency, or other entity receiving funds under this title shall obtain prior written, informed consent from the parent of each child who is under 18 years of age to participate in any mental-health assessment or service that is funded under this title and conducted in connection with an elementary school or secondary school under this title. (B) CONTENTS.—Before obtaining the consent described in subparagraph (A), the entity shall provide the parent written notice describing in detail such mental health assessment or service, including the purpose for such assessment or service, the provider of such assessment or service, when such assessment or service will begin, and how long such assessment or service may last (C) LIMITATION.—The informed written consent required under this paragraph shall not be a waiver of any rights or protections under section 444 of the General Education Provisions Act (20 U.S.C. 1232g).

Generally, the SSAE program funds may be used under section 4108 for any program or activity that fosters safe, healthy, supportive, and drug-free school environments, including direct student services and professional development and training for school staff. As indicated in Table 2, the authorized LEA activities in section 4108 may be categorized by topic as: 1) Safe and supportive learning environments; and 2) Student physical and mental health, including substance abuse prevention. Three of the authorized activities--mentoring and school counseling, schoolwide positive behavioral interventions, and pay for success initiatives--are cross-cutting and are applicable to both topics.

**Table 2. Overview of Authorized Topics Under Section 4108 of the ESEA\***

Safe and Supportive Schools	Student Physical and Mental Health
<ul style="list-style-type: none"> <li>• Preventing Bullying and Harassment</li> <li>• Relationship-Building Skills</li> <li>• School Dropout Prevention</li> <li>• Re-Entry Programs and Transition Services for Justice Involved Youth</li> <li>• School Readiness and Academic Success</li> <li>• Child Sexual Abuse Awareness and Prevention</li> <li>• Reducing Use of Exclusionary Discipline Practices and Promoting Supportive School Discipline</li> <li>• Suicide Prevention</li> <li>• Violence Prevention, Crisis Management and Conflict Resolution</li> <li>• Preventing Human Trafficking</li> <li>• Building School and Community Relationships</li> <li>• Culturally Responsive Teaching and Professional Development of Implicit Bias</li> </ul>	<ul style="list-style-type: none"> <li>• Drug and Violence Prevention</li> <li>• Health and Safety Practices in School or Athletic Programs</li> <li>• School-Based Health and Mental Health Services</li> <li>• Healthy, Active Lifestyle, Nutritional Education</li> <li>• Physical Activities</li> <li>• Trauma-Informed Classroom Management</li> <li>• Preventing Use of Alcohol, Tobacco, Marijuana, Smokeless Tobacco, Electronic Cigarettes</li> <li>• Chronic Disease Management</li> </ul>
<p><b>Cross Cutting Authorized Topics</b>            Mentoring and School Counseling            Schoolwide Positive Behavioral Interventions            Pay for Success Initiatives aligned with the purposes of <i>Title IV</i></p>	

\*NOTE: This chart provides a summary of topics and is not an exhaustive list

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(2) EXCEPTION.—Notwithstanding paragraph (1)(A), the written, informed consent described in such paragraph shall not be required in— (A) an emergency, where it is necessary to protect the immediate health and safety of the child, other children, or entity personnel; or (B) other instances in which an entity actively seeks parental consent but such consent cannot be reasonably obtained, as determined by the State or local educational agency, including in the case of— (i) a child whose parent has not responded to the notice described in paragraph (1)(B); or (ii) a child who has attained 14 years of age and is an unaccompanied youth, as defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a).

**Safe and Supportive Learning Environments.** As noted in Table 2, section 4108 of the ESSA provides LEAs with numerous options for enhancing their efforts to provide students and school staff with a positive school climate, which in turn can promote student academic achievement. The 2013 study, *A Climate for Academic Success*,<sup>44</sup> examined schools that were beating the odds (BTO) and compared them with chronically underperforming (CU) schools. The study found significant differences in the school climate measures between BTO and CU schools. The study also found the probability of beating the odds for a school with a climate score in the top five percent was over ten times that of a school with an average school climate score, reaffirming that school climate makes a difference in student achievement. For additional guidance and resources related to school climate, please see the Department's web page on [School Climate and Discipline](#).

Additionally, a school-based program that utilizes restorative justice is an example of an allowable activity under section 4108. Restorative justice is a practice that focuses on the rehabilitation of students with serious and/or harmful infractions and behaviors through the reconciliation with victims and the community at large by restoring those relationships in a way that is beneficial and healing to all involved. It can be used as part of local plan to reduce exclusionary discipline practices.

*SPOTLIGHT: There are many districts successfully implementing programs featuring restorative justice practices. For example, The Oakland Unified School District (OUSD) implements programs that utilize restorative practices. These restorative practices have positively influenced students to build caring relationships with adults and peers. As a result of these efforts, over the past two to three years, the overall number of out-of-school suspensions in the OUSD declined significantly. Almost 70 percent of school staff surveyed reported that restorative practices have improved school climate at their school in the past year. Students in restorative justice circles report having an enhanced ability to manage emotions, resolve conflict with parents, and maintain positive relationships with peers.*

The Department, along with the U.S. Department of Justice, also launched an initiative in 2011 to support the use of positive school discipline practices that included effective alternatives to exclusionary discipline while encouraging a reduction in disproportionality for students of color and students with disabilities. A link to these resources, including a toolkit for teachers, is available in the Appendix. It has been noted that incarcerated and court-involved youth have a higher rate of dropout, and need appropriate transition services and credit recovery services in order to be supported in school. A study from the Youth Law Center found that when looking at barriers to achievement for court involved youth in California that, youth in court schools typically come into the system from under-performing schools and test at levels significantly below their age-equivalent peers. Additionally, the vast majority of students have experienced

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<sup>44</sup> Voight, A., Austin, G., and Hanson, T. (2013). *A climate for academic success: How school climate distinguishes schools that are beating the achievement odds (Full Report)*. San Francisco: WestEd.



one or more forms of trauma, which can seriously interfere with concentration and other aspects of learning.<sup>45</sup>

*SPOTLIGHT: The Maya Angelou Schools supported by the See Forever Foundation, are one example of a public charter school system that is focused on offering holistic program to teens involved in the juvenile justice system. The schools combine rigorous academics with critical wrap-around supports and interventions designed to prevent young people from dropping out of high school and re-engage those who have already dropped out. The supports include onsite mental health counseling, paid internships and vocational training; extended day and weekend tutoring; credit recovery options; and intensive alumni support. The 2014 and 2015 graduates had a combined total of 63 percent of the students enroll in a post-secondary program. Additionally, during the 2014 and 2015 school years, 78 percent of the students who were enrolled in workforce programs earned their credentials (For more information visit <http://www.seeforever.org/>).*

**Student Physical and Mental Health.** As noted in Table 3, section 4108 funds can be used for a wide array of programs and activities that directly support student health and wellness as well as professional development and training for school personnel. Schools that support the physical and mental health of their students increase the likelihood of students' academic success. There is new research on the effects of drugs on the developing teen brain, and the connection between substance abuse and poor academic outcomes.<sup>46</sup> There is also a growing awareness of the need to increase the physical activity of our students and improve nutrition in and outside of our schools, and that focusing on these activities can promote student academic achievement and better behavior.<sup>47</sup>

*SPOTLIGHT: Many schools are improving the mental health services offered to students. For example, the Elk Grove Unified School District in California has implemented Project GROW (Getting Ready for our World) through a U.S. Department of Education grant. This program is one example of how grant funds have helped improve the mental health resources in five of the school district's most disadvantaged schools, with a special focus on addressing the needs of military children. With the grant funds, the school district has been able to increase the ratio of mental health professionals to students, reduce the number of disciplinary referrals, and reduce suspensions in three schools from 239 in the baseline year to 187 in year 2 of the grant. It has focused on using evidence-based interventions that build student resilience and strength and prevent mild problem behaviors from becoming worse, and directed intensive services where they*

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<sup>45</sup> Youth law center, Educational injustice: Barriers to Achievement and Higher Education for Youth in California Juvenile Court Schools. [www.ylc.org](http://www.ylc.org) (2016).

<sup>46</sup> *America's Dropout Crisis: The Unrecognized Connection to Adolescent Substance Use* online at: <http://preventeendruguse.org/pdfs/AmerDropoutCrisis.pdf>.

<sup>47</sup> Centers for Disease Control and Prevention. (n.d.) Physical Activity Facts. Accessed from <http://www.cdc.gov/healthyschools/physicalactivity/facts.htm>; Center for Disease Control and Prevention. (n.d.) Nutrition and the Health of Young People. Accessed from <http://www.cdc.gov/healthyschools/nutrition/facts.htm>.

*are most needed. The project director recently received the California Association of School Psychologists 2015-2016 Outstanding School Psychologist of the Year Award.*

**Cross-cutting.** Also as noted in Table 3, section 4108 supports programs, activities, and professional development and training activities that are cross-cutting in nature and that can positively impact both safe and supportive learning environments as well as physical and mental health. For example, the SSAE program presents an opportunity for LEAs and schools to promote safe, healthy, and affirming school environments that are inclusive of all students. The SSAE funds can be used to reduce incidences of bullying and harassment against all students, including bullying and harassment based on a student's (or their associates) actual or perceived race, color, national origin, sex (including gender identity), disability, sexual orientation, religion, or any other distinguishing characteristics that may be identified by the state or LEA. In addition, LEAs can use funds to implement school-wide positive behavioral interventions and supports (PBIS). PBIS provides a framework for SEAs and LEAs to develop their capacity to support the social, emotional, academic, and behavioral needs of all their students in which a wide range of evidence-based programs can be implemented including, but not limited to, prevention of the risk factors associated with substance abuse, bullying, and violence as well as promotion of mental health and wellness.

*SPOTLIGHT: Many schools are successfully implementing PBIS to improve outcomes for students. For example, Andrews Elementary in Three Rivers, Michigan has been implementing PBIS for both "behavior" and "literacy" for the past five years. The impact of PBIS implementation on student outcomes is evidenced both by low levels of problem behavior, and high performance on reading assessments. The national median for major office discipline referrals per 100 students per school day in elementary schools is .22. During the past four years the rate of major office discipline referrals per 100 students per school day at Andrews Elementary varied from .12 to .18. Students have also benefitted from having both a positive school-wide social culture and from the use of an effective literacy curriculum delivered with systematic and explicit instruction. During the past five years the proportion of students at Andrews Elementary meeting or exceeding literacy benchmarks has ranged from 72 percent to 82 percent. In part because of PBIS, Andrews Elementary is a learning community with a positive social culture, active instruction on and support of pro-social behaviors, low levels of problem behavior, clear instruction on basic early literacy skills, and a student body that is mastering the literacy skills that will lead to future educational success.*

Many SEAs and LEAs have implemented programs that help students transition from correctional facilities back to school. An allowable SSAE program activity includes the development and implementation of a plan (also known as a youth PROMISE plan) that includes evidence-based strategies to reduce exclusionary discipline practices, reduce entry into the prison system, and support reentry and transition of youth offenders returning from confinement back to their community and their local schools by providing mentoring, intervention, school counseling, and other education services to address unique risk factors.

*SPOTLIGHT: There are a number of programs that support reentry and transition services for youth offenders. For example, in Washington State, the Educational Advocacy Program (EA) works through nine regional Education Service Districts*

*(ESD) specially trained staff to provide comprehensive support and case management for youth transitioning out of juvenile detention centers. The program helps youth overcome barriers to return successfully to school; and facilitates school coordination activities for youth returning to or reengaging in school. The challenges these youth face call for a coordinated, collaborative, and multifaceted intervention. EAs are tasked with facilitating this challenging transition process using a multi-tiered, public health model. This model enables the effective management of student caseloads by identifying three tiers of services distinguished by their intensity and students' needs. EAs use State-level educational data to assess and monitor students' progress.*

*In School Year 2014-2015, ESD 112 released an EA evaluation report (Maiké & Nixon, 2015) summarizing the process and outcome of the EA program in Vancouver, Washington serving 78 youth between the ages of 15 and 17. The report showed that enrollment in the EA program was associated with improved academic outcomes and lower rates of recidivism. Prior to receiving EA services, 53 percent of youth participants (those with available academic data) failed to pass any classes; at follow-up, 73 percent of these students had passed at least one class during the most recent grading period. In terms of school engagement, of the 40 youth who transitioned back into secondary education, 73 percent continued to remain enrolled in school 90 days post re-entry. Among the 78 youth receiving EA services, 91 percent did not re-offend during their enrollment in the program.*

To assist LEAs and SEAs in improving their reentry strategies, ED recently released a [Reentry Education Tool Kit](#). The guide is designed to help education providers and their partners create a reentry education continuum in their communities.<sup>48</sup>

### **Activities to Support the Effective Use of Technology**

In addition to supporting a well-rounded education and safe and healthy schools, a portion of the SSAE program funds, if \$30,000 or greater, must be used for increasing effective use of technology to improve the academic achievement, academic growth, and digital literacy of all students.

When carefully designed and thoughtfully applied, technology can accelerate, amplify, and expand the impact of effective practices that support student learning, increase community engagement, foster safe and healthy environments, and enable well-rounded educational opportunities. Technology can expand growth opportunities for all students while affording historically disadvantaged students greater equity of access to high-quality learning materials, field experts, personalized learning, and tools for planning for future education. Such opportunities can also support increased capacity for educators to create blended learning opportunities for their students, rethinking when, where, and how students complete different components of a learning experience. However, for technology to be truly transformative,

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<sup>48</sup> RTI International. (n.d.) Reentry Education Tool Kit. Accessed from <http://lincs.ed.gov/reentryed/>.

educators need to have the knowledge and skills to take full advantage of technology-rich learning environments.

A Special Rule in the SSAE program states that no more than 15 percent of funds for activities to support the effective use of technology may be used "for purchasing technology infrastructure as described in subsection (a)(2)(B), which includes technology infrastructure purchased for the activities under subsection (a)(4)(A)." To clarify, LEAs or consortiums of LEAs may not spend more than 15 percent of funding in this content area on devices, equipment, software applications, platforms, digital instructional resources and/or other one-time IT purchases. (*ESEA* section 4109(b)).

Note that the modernization of the Federal Communications Commission's E-rate program has significantly increased access to funding for building a robust infrastructure to support learning enabled by technology. Additionally, coordination of Federal program support can help maximize the impact of available resources. For example, a school incorporating digital learning in a *Title I* schoolwide program might use *Title I* funds to purchase devices and digital learning resources to incorporate blended learning, *Title II* funds to help teachers improve instruction through effective blended-learning practices, and *Title III* funds to provide access to technology specifically for English Learners. Supplemental funds awarded to rural communities through the Small, Rural School Achievement Program (SRSA) and the Rural, Low-income School Program (RLIS) may additionally be used to support technology instruction in schools. As grantees incorporate technology into instructional practice, any use of technology for these purposes must comply with applicable privacy laws and the specific program requirements of each funding source. For more information please see the [Office of Educational Technology's privacy web page](#) and [ED's Technical Assistance Center \(PTAC\)](#).

In addition to purchases for technology infrastructure, at least 85 percent of funds used under section 4109 may be used to support a variety of professional development, defined in 8101(42) as activities that are an integral part of school and local educational agency strategies, activities and for capacity building and other activities directly related to improving the use of educational technology. Also emphasized in 8102 (42), professional development activities should be sustained, (not stand-alone, one-day, or short term workshops), intensive, collaborative, job-embedded, data-driven, and classroom-focused. SEAs and LEAs may use the SSAE program funds to support educators in accessing needed technology, in learning how to use it effectively, and to provide continuous, just-in-time support that includes professional development, mentors, and informal collaborations. This professional development should support and develop educators' identities as fluent users of technology, creative and collaborative problem solvers, and adaptive experts in the effective selection and implementation of educational technology. Funds may be used to provide ready access to high-quality content and expertise, and provide opportunities for more focused, relevant, and continuous professional development. Specifically, the SSAE program funds may be used to provide educators, school leaders, and administrators with the professional learning tools, devices, content and resources to do the following activities, among other allowable uses.

**Provide personalized learning (*ESEA* section 4109(a)(1)(A)).** Personalized learning allows educators to adjust the pace of learning and to optimize instructional approaches for the needs of each learner as they strive to meet rigorous expectations for college and career success. Learning

objectives, instructional approaches, and instructional content (and its sequencing) all may vary based on learner needs; and learning activities are meant to be meaningful and relevant to learners, driven by their interests, and often self-initiated.<sup>49</sup>

*SPOTLIGHT: Highline Public Schools, a district outside of Seattle with over 20,000 students, implemented personalized learning to create more equitable opportunities for all of their students. Federal funds were used to support a district taskforce and school-based personalized learning leadership teams that worked together to create personalized, standards-based goals based on learner strengths, needs, language, culture and aspirations. Students and teachers select tools purposefully for learners to explore ideas, develop skills and knowledge, design solutions to problems, and create artifacts that demonstrate learning. Through personalized learning pathways, learners use self-assessment and formative feedback to monitor growth, reflect on their learning and challenge themselves to reach more rigorous goals. Several indicators improved at the school, which could possibly be attributed to the personalized learning initiative. After implementing personalized learning, Highline students showed significant gains between 2014-2015 and 2015-2016; for example, 11<sup>th</sup> grade SBA ELA scores increased from 72% to 96% and math increased from 67% to 75%. Similarly, 8<sup>th</sup> grade science scores increased from 38% to 63% on the state science assessment (MSP).<sup>50 51</sup>*

**Discover, adapt and share high-quality resources (ESEA section 4901(a)(1)(B)).** These high-quality resources include openly licensed educational resources. Openly licensed educational resources, also referred to in ESEA as “open education resources” and “openly licensed content” (see ESEA section 4102, for the definition of “digital learning” that includes these terms), are teaching, learning, and research resources that reside in the public domain or have been released under a license that permits their free use, reuse, modification, and sharing with others. Open resources may include full online courses, curated digital collections, or more granular resources such as images, videos, and assessment items.<sup>52</sup>

*Many schools are sharing resources. For example Williamsfield Community School District, a small rural Illinois district with approximately 300 students was able to replace several textbooks by creating, curating and sharing openly licensed educational resources tailored for their community. Some textbook funds were redirected to provide personalized professional learning opportunities for teachers, librarians, and administrators to create and use openly licensed educational resources. Collectively, these activities supported the creation of a cutting edge STEM program with participating students winning multiple awards*

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<sup>49</sup> U.S. Department of Education, Office of Educational Technology, Future Ready Learning: Reimagining the Role of Technology in Education, Washington, DC, 2016. (NETP16). Available at <http://tech.ed.gov/netp/>.

<sup>50</sup> U.S. Department of Education, Office of Educational Technology, Highline Public Schools: Personalized Learning as a Pathway to Equity, Washington, DC, 2016. Available at <http://tech.ed.gov/stories/highline/>

<sup>51</sup> District Reform Support Network: Leading Change: The Emerging Human Capital Landscape in Personalized Learning Initiatives, 2016, prepared by the Applied Engineering Management Corporation for the U.S Department of Education. Available at <https://rttd.grads360.org/#communities/pdc/documents/12595>

<sup>52</sup> U.S. Department of Education, Office of Educational Technology, Future Ready Learning: Reimagining the Role of Technology in Education, Washington, DC, 2016. (NETP16). Available at <http://tech.ed.gov/netp/>.

*at state-level STEM competitions, that otherwise would have been impossible with traditional resources. Williamsfield also attributes its status of 21<sup>st</sup> most improved district in Illinois from 2014 to 2015 to its shift to using openly licensed educational resources.*

**Implement blended learning strategies (ESEA section 4109(a)(4)).** These strategies include a formal education program that leverages both technology-based and face-to-face instructional approaches that include an element of online or digital learning, combined with supervised learning time, and student-led learning, in which the elements are connected to provide an integrated learning experience, and in which students are provided some control over time, path, or pace. (ESEA section 4102(1)). Funds may be used for ongoing professional development on how to implement blended learning projects and to support planning activities. An LEA, for example, may use funds to provide initial professional learning for educators on effective blended learning model instruction, ongoing collaborative planning time, and ongoing, job-embedded professional learning opportunities to improve educator practice. These ongoing opportunities could include access to digital professional learning resources, a collaborative community of practice, and/or coaching.

**Implement school- and district-wide approaches to inform instruction, support teacher collaboration, and personalize learning (ESEA section 4109(a)(1)(D)).** Technology offers avenues for teachers to become more collaborative with other educators and community partners to improve their instruction and to extend learning beyond the classroom. Educators can create learning communities composed of students; fellow educators in schools, museums, libraries, and after-school programs; experts in various disciplines around the world; members of community organizations; and families. This enhanced collaboration, enabled by technology, may offer access to instructional materials as well as the resources and tools to create, manage, and assess their quality and usefulness.

The SSAE funds may be used to provide personalized professional development so that educators receive tailored, job-embedded support.

*SPOTLIGHT: Many schools are focusing on ways to extend learning beyond the classroom. For example, Kettle Moraine School District in Wisconsin used micro-credentials<sup>53</sup> to provide opportunities for teachers to engage in rigorous, self-paced, job-embedded professional learning aligned to district goals and connected to the daily skills they need in their classrooms. Teachers submit learning plans and measurable benchmarks, accomplish that learning in a manner that best fits their learning needs, apply the learning in their classrooms, submit artifacts, and then receive compensation based on the learning they demonstrated, as well as a micro-credential.*

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<sup>53</sup> Micro-credentials, often referred to as badges, focus on mastery of a singular competency and are more focused and granular than diplomas, degrees, or certificates. The earning and awarding of micro credentials typically is supported by a technology-based system that enables students and evaluators to be located anywhere and for these activities to take place everywhere and all the time. Micro-credentials also allow for the portability of evidence of mastery. Information about the student's work that earned a badge can be embedded in the metadata, as can the standards the work reflects and information about the awarder of the badge. As with other data systems, a key goal for the next generation of micro-credentialing platforms is interoperability with other educational information systems. (NETP16).

*After the initial successful pilot with 49 teachers, an additional 151 faculty members elected to earn a micro-credential on personalized learning.*<sup>54</sup>

The SSAE program funds can also be used to help educators learn how to use technology to increase the engagement of English learner (EL) students and communication with parents and caregivers of ELs, as well as parents and caregivers who lack English proficiency.

Funds, subject to the 15 percent Special Rule, may be used to build technology capacity and infrastructure, which includes procuring and ensuring quality of content, and purchasing devices, equipment and software to increase readiness. For example, an SEA or LEA could choose to purchase and implement a professional learning platform or software that would support virtual coaching and/or provide just-in-time professional development that enabled educators to learn how to use technology more effectively. Educators in rural areas, isolated community schools, and/or who are the sole teachers in their school or district of particular content, such as the arts or STEM, may especially benefit from such implementations. Funds could also be used to purchase or create a system that improves the procurement and evaluation process for identifying solutions and implementations that match the context of the SEA or LEA.

The SSAE program funds may also be used to develop or implement specialized or rigorous academic courses using technology, including assistive technology.<sup>55</sup> (*ESEA* section 4109(a)(3)). For example, the SSAE program funds may be used to provide rural, remote, and underserved areas with resources to take advantage of high-quality digital learning experiences, digital resources, and access to online courses taught by effective educators. (*ESEA* section 4109(a)(6)). Separate from the up to 15 percent of funds that may be used to purchase online courses (technology infrastructure), other technology funds under section 4109 may be used to train educators on how to implement these online courses. Funds could also be used to expand professional learning for educators in rural, remote or underserved areas through the use of virtual coaching models.

Additionally, the SSAE program funds may be used to support professional learning for STEM, including computer science. Educators, for example, could participate in virtual, blended, or face-to-face courses and workshops designed to increase their capacity to offer high-quality STEM courses, such as computer science, engineering, game design and/or other STEM-related courses. Opportunities to learn how to embed STEM elements, such as engineering design principles, computational thinking, and app design, within other learning experiences could also be included.

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<sup>54</sup> U.S. Department of Education, Office of Educational Technology, Washington, DC, 2015. *Future Ready: Micro-Credentialing for Professional Learning*. Kettle Moraine School District interviews conducted by American Institutes for Research. Available at <https://youtu.be/hxgyXmqxYEK?list=PLhdwy3ASoEfkU27IJ2HAKTJh-ACanSPsg>.

<sup>55</sup> Assistive technology includes any item, piece of equipment, software program, or product system that is used to improve access for or to increase, maintain or improve the functional capabilities of persons with disabilities.

Schools must make assistive technology available to students with disabilities when that technology is necessary to provide access to the curriculum for the student to receive a free appropriate public education under the *Individuals with Disabilities Education Act* and section 504 of the *Rehabilitation Act*. When a school provides technology to students without disabilities, the benefits provided by that technology must also be made available to students with disabilities in an equally accessible and equally integrated manner. When possible, creation or procurement strategies should support resources that are “born accessible.”<sup>56</sup> For example, an SEA or LEA could create professional learning, guidance and support structures necessary to build teacher capacity around accessible resources that are “born accessible” or “born digital,” and therefore attend to such features as - text descriptions for non-text items (e.g., animations, images, graphics, and other embedded media), use of color or contrast, and the ways in which information is organized and presented. As schools and districts use open educational resources, digital assessments, and online materials, State and district leaders can support teachers in learning about accessibility and provide trainings, resources and tools that will aid in procuring the appropriate resources for their students.

Additionally, acquisition of content creation tools will allow State and local staff to create digital texts, graphics, learning games, online courses and other resources that include accessibility features, to ensure educational materials, content, software and learning platforms including those that are openly licensed and are accessible to all students. Additional examples of effective use of funds for technology can be found throughout the National Education Technology Plan and in the Dear Colleague Letter from the Office of Educational Technology.

### **Key Questions for Activities to Support Well Rounded Education, Safe and Healthy Schools and the Effective Use of Educational Technology**

- 1) May an LEA use funds to pay for accelerated learning examinations taken by low-income students during the 2016-2017 school year?

*Yes. Under the special rule in section 4107(b) of the ESEA, an LEA may use FY 17 funds to cover part or all of the fees for AP, IB, or other accelerated learning examinations taken by low-income students in both the 2016-2017 school year and 2017-2018 school year.*

*Consistent with section 4104(b)(3)(A)(ii), a State may also use funds not reserved for LEA subgrants or State administrative costs to reimburse the costs of accelerated learning examinations for low-income students. Under the special rule in section 4104(c), a State may similarly use funds to pay for accelerated learning examinations taken by low-income students in the 2016-2017 school year.*

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<sup>56</sup> The term “born accessible” is used to convey the idea that content and learning materials, especially in the case of digital materials, can be created with accessibility features to meet the needs of individuals with disabilities and others build-in from the moment they are created as opposed to adding accessibility features later on. (NETP16/Benetech).



- 2) Can the SSAE program funds be used to develop and implement emergency operations plans?

*Yes. Any activity that fosters safe, healthy, supportive, and drug-free environments that supports student academic achievement, including the development and implementation of an emergency operations plan, is allowable under section 4108.*

- 3) Pay for Success initiatives are an allowable activity under the SSAE program. What is a Pay for Success initiative?

*ESEA section 8101(40) defines "pay for success initiative" as a performance-based grant, contract, or cooperative agreement awarded by a public entity in which a commitment is made to pay for improved outcomes that result in social benefit and direct cost savings or cost avoidance to the public sector.<sup>57</sup> Pay for Success initiatives may be particularly well-suited to interventions that improve the health and safety of students due to the cost savings often associated with improved outcomes. For additional information please see the Department's web page on [Pay for Success](#).*

- 4) What is the scope and applicability of the Special Rule in section 4109(b)?

*At least 85 percent of the educational technology funds must be used to support professional learning to enable the effective use of educational technology. LEAs or consortiums of LEAs may not spend more than 15 percent of funding in this section on devices, equipment, software applications, platforms, digital instructional resources and/or other one-time IT purchases.*

*Specifically, the statute states that LEAs may not use more than 15 percent for purchasing technology infrastructure as described in section 4109 (a)(2)(B) which states: "purchasing devices, equipment, and software applications to address readiness shortfalls" and in section 4109 (a)(4)(A) which states: "blended learning technology software and platforms, the purchase of digital instructional resources, initial professional development activities, and one-time information technology purchases."*

## CONCLUSION

Throughout the *ESEA* there is an emphasis on the importance of providing all students with a high-quality, well-rounded education. In particular, the SSAE program focuses on increasing the capacity of SEAs, LEAs, schools, and local communities to: 1) provide all students with access to a well-rounded education, 2) improve school conditions for student learning, and 3) more fully utilize educational technology to improve the academic achievement and digital literacy of all

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<sup>57</sup> [www2.ed.gov/about/inits/ed/pay-for-success/index.html](http://www2.ed.gov/about/inits/ed/pay-for-success/index.html).

students. The flexibility of the SSAE program funds allows educators to tailor investments based on the needs of their unique student populations.

While strong literacy and math skills are essential for success in college, careers, and life, designing an education system that solely focuses on the demonstration of proficiency in these areas will never be sufficient for developing well-rounded and engaged students. A well-rounded education allows students to develop skills and knowledge in a wide range of subjects, becoming expert and passionate about a few, and confident in their quest for more. A safe and healthy school that addresses the social and emotional well-being of their adults and students is also part of a well-rounded education. Furthermore, a well-rounded education is enhanced through the incorporation of educational technology to improve student outcomes. With the passage of *ESSA* there is an opportunity for SEAs, LEAs, and schools to broaden the definition of a well-rounded education. This reauthorization of *ESEA* provides an opportunity to get the balance right in places where the focus has become too narrow—and to do so in ways that and ensure access and equity for all students.

Through this guidance the Department provides resources and tools and also spotlights examples of innovative strategies to support the effective implementation of the SSAE program. Local leaders should consider how other Federal, State, and local funds may be leveraged across programs to maximize the impact of the programs and services that can be provided under the SSAE program to generate added value and improve outcomes for students. Additionally, SEAs, LEAs, and schools should thoughtfully consider how partnerships with organizations such as nonprofits, IHEs, museums, and community organizations might help leverage limited resources. Regardless of the emphasis or focus, the unique partnerships between schools and community stakeholders have the potential to expand opportunities for students and improve outcomes. If there are questions regarding this guidance document or the SSAE grant in general please contact David Esquith at [David.Esquith@ed.gov](mailto:David.Esquith@ed.gov).

## APPENDIX

### RESOURCES AND TOOLS BY SUBJECT AREA

*The following resources and tools are provided for the reader's reference . There are many examples that educators, parents, advocates, administrators, and other concerned parties may find helpful, and use at their discretion, with respect to implementing Title IV, Part A of the ESEA. The U.S. Department of Education does not control or guarantee the accuracy, relevance, timeliness, or completeness of this outside information. Further, the inclusion of links to items and examples does not reflect their importance, nor are they intended to represent or be an endorsement by the U.S. Department of Education of any views expressed, or materials provided.*

#### **Well-Rounded Educational Opportunities**

##### *Advanced Placement and Dual Enrollment*

##### **A Comparison of the College Outcomes of AP and Dual Enrollment Students**

(<http://research.collegeboard.org/sites/default/files/publications/2015/10/a-comparison-of-the-college-outcomes-of-ap-and-dual-enrollment-students.pdf.pdf>) A report on the college outcomes of AP and dual enrollment students suggests that educators are increasingly focused on ensuring that students experience a rigorous curriculum in high school and graduate college and career ready. One way of introducing rigorous course work is to have students take college-level work, often in the form of either an AP course and exam or a dual enrollment course. The results indicated that AP students who obtained at least one score of 3 or higher on an AP Exam performed well on all examined outcomes of the study except for four-year college enrollment, which was highest for students who had taken a dual enrollment course affiliated with a four-year college.

##### *Arts Education Research and Policy Clearinghouses*

**ArtsEdSearch** (<http://www.aep-arts.org/research-policy/artsedsearch/>) an online clearinghouse of student and teacher outcomes associated with arts learning in and outside of school. Research studies are vetted for rigor and address a range of outcomes including academic, cognitive, personal, socio-emotional, and professional. The Arts Education Partnership (<http://www.aep-arts.org/>), the manager of ArtsEdSearch, is supported by the Department and the National Endowment for the Arts through a cooperative agreement with the Education Commission of the States.

**ArtsScan** (<http://www.aep-arts.org/research-policy/artscan/>), also managed by the Arts Education Partnership, is a searchable database of State policies supporting education in and through the arts from all 50 States and the District of Columbia.

**Preparing Students for the Next America** (<http://www.aep-arts.org/wp-content/uploads/2013/04/Preparing-Students-for-the-Next-America-FINAL.pdf>) is a short research bulletin outlining the research-based benefits of arts education on preparing students for success in school, work, and life.

### *Civic Education*

**The Role of Civic Education** ([http://civiced.org/papers/articles\\_role.html](http://civiced.org/papers/articles_role.html)) provides a definition of “civic education,” suggests the essential components of a good civic education, and identifies where and when civic education occurs. The authors provide general recommendations for where and how civic education can be implemented in K-12 instruction.

### *College and Career Counseling*

#### **A National Look at the High School Counseling Office: What Is It Doing and What Role Can It Play in Facilitating Students' Paths to College**

([http://www.nacacnet.org/research/research-data/nacac-research/Documents/NACAC\\_Counseling\\_PhaseII.pdf](http://www.nacacnet.org/research/research-data/nacac-research/Documents/NACAC_Counseling_PhaseII.pdf)), a report produced by the National Association for College Admission Counseling, uses the nationally representative High School Longitudinal Study of 2009 (HSL:09) data from Spring 2012 to examine American high schools' counseling departments and the factors related to high school juniors' actions, plans, and beliefs surrounding their eventual college enrollment. More specifically, Part I of the report focuses on what high schools and their counseling offices are doing to help students make a transition to postsecondary education.

### *Environmental Education*

**Guidelines for Excellence: K-12 Learning (2010)** (<http://www.gufsee.org/grades-K-8/excellence-in-environmental-education-guidelines-for-learning>), a guide published by the North American Association for Environmental Education, offers a vision of environmental education and promotes progress toward sustaining a healthy environment and quality of life. The guidelines provide learners, parents, educators, home schoolers, administrators, policy makers, and the public a set of common, voluntary guidelines for environmental education.

**E-STEM Environmental K-12 Programs**, in 2015, the UL company and the North American Association for Environmental Education (NAAEE) selected five STEM focused environmental, K-12 education projects to recognize with grants. The awards recognize efforts by the five non-profit entities to promote E-STEM learning through projects involving real environmental problems, with each demonstrating success and innovation in this field. Information on the award-winning E-STEM programs, both in school and after school, may be found at: <http://ulinnovationeducation.naaee.net/winners>.

**US Department of Education Green Ribbon Schools** inspires schools, districts, and IHEs to strive for 21st-century excellence, by highlighting promising practices and resources that all can employ. To that end, the award recognizes schools, districts, and IHEs that: reduce environmental impact and costs; improve the health and wellness of schools, students, and staff; and provide environmental education, which teaches many disciplines, and are especially good at effectively incorporating STEM, civic skills, and green career pathways. Information on the Department of Education's Green Ribbon

Schools program and past awardees may be found at: <http://www2.ed.gov/programs/green-ribbon-schools/awards.html>.

*Federal Arts Education Research Reports*

**The Arts and Achievement in At-Risk Youth: Findings from Four Longitudinal Studies (2012)** (<https://www.arts.gov/publications/arts-and-achievement-risk-youth-findings-four-longitudinal-studies>) examines arts-related variables from four large datasets – three maintained by the U.S. Department of Education and one by the U.S. Department of Labor – to understand the relationship between arts engagement and positive academic and social outcomes in children and young adults of low socioeconomic status (SES). The analyses show that achievement gaps between high- and low-SES groups appear to be mitigated for children and young adults who have arts-rich backgrounds.

**Re-Investing in Arts Education: Winning America’s Future (2011)** ([http://pcah.gov/sites/default/files/PCAH\\_Reinvesting\\_4web.pdf](http://pcah.gov/sites/default/files/PCAH_Reinvesting_4web.pdf)) culminated 18 months of research, meetings with stakeholders, and site visits all over the country by the President's Committee on the Arts and the Humanities. The report represents an in-depth review of the current condition of arts education, including an update of the current research base about arts education outcomes, and an analysis of the challenges and opportunities in the field that have emerged over the past decade.

**The Arts in Early Childhood: Social and Emotional Benefits of Arts Participation: A Literature Review and Gap-Analysis (2000-2015)** (<https://www.arts.gov/sites/default/files/arts-in-early-childhood-dec2015-rev.pdf>) synthesized findings from 18 recent reports in psychology and education research journals. These studies focused on the social and emotional outcomes of young children who participated in art forms such as music, dance, theater, drawing, and painting. Available from the National Endowment for the Arts Interagency Task Force on the Arts and Human Development.

**Arts Education in Public Elementary and Secondary Schools: 1999-2000 and 2009-2010** (<http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2012014rev>) presents selected findings from a congressionally mandated study on arts education in public K–12 schools. The data were collected through seven Fast Response Survey System (FRSS) surveys during the 2009-10 school year.

**National Assessment of Educational Progress (NAEP) in the Arts (2008)** (<http://nces.ed.gov/nationsreportcard/arts/>) measured students' knowledge and skills in the arts by asking them to observe, describe, analyze, and evaluate existing works of music and visual art and to create original works of visual art. The results of a 2016 NAEP Arts Assessment of eighth graders’ arts knowledge and skills will be released in April 2017 (<https://www.nagb.org/naep/release-schedule.html>).

### *Foreign Languages*

**What the Research Shows**, produced by the American Council on the Teaching of Foreign Languages (ACTFL) (<http://www.actfl.org/advocacy/what-the-research-shows>), provides links to studies that show some of the benefits associated with learning foreign languages.

**Need Indicators for Foreign Language**. A tool from ACTFL to help districts assess their foreign language needs.

(<https://www.actfl.org/sites/default/files/publications/reports/ACTFL%20Metric%20Tool.pdf>)

### *Science, Technology, Engineering and Mathematics, Including Computer Science (STEM)*

**Successful K-12 STEM Education: Identifying Effective Approaches in Science, Technology, Engineering, and Mathematics**. A report from the National Research Council Committee on Highly Successful Science Programs for K-12 Science Education, which offers a framework for understanding “success” in STEM education and discusses approaches for formal K-12 STEM education including recommendations regarding inclusive STEM skills.

**STEM Learning Is Everywhere: Summary of a Convocation on Building Learning Systems**. A 2014 publication of the Teacher Advisory Council of the National Research Council, which highlights the multiple settings in which students learn, and the importance of both in- and out-of-school time in fostering a more seamless learning of STEM subjects. The report also discusses the new expectations of the Next Generation Science Standards and the Common Core Standards for Mathematics and Language Arts.

**President’s Council of Advisors on Science and Technology (PCAST)** released a report in 2010 to highlight opportunities in K-12 STEM education and areas of focus. Prepare and Inspire: K-12 Education in Science, Technology, Engineering and Math for America’s Future. September 2010.

<https://www.whitehouse.gov/sites/default/files/microsites/ostp/pcast-stem-ed-final.pdf>

**The Exploring Computer Science (ECS) program, supported by the National Science Foundation**, has shown to increase computer science learning opportunities and to increase the participation of underrepresented students in computer science. On average, ECS students show an increase in self-rated computer science knowledge, increased persistence on computer science problem solving and higher likelihood to pursue additional computer science coursework. The program provides training and ongoing professional development for educators and curricular resources. ECS has grown from serving students in Los Angeles Unified School District to serving students across the country, including the seven largest school districts in the country.

### *Social and Emotional Learning*

**CASEL Guide to Effective Social and Emotional Learning Programs**

(<http://www.casel.org/guide/>) provides a systematic framework for evaluating the quality of SEL programs. The guide applies the framework to identify and rate well-designed,

evidence-based SEL programs. The guide also shares best-practice guidelines for district and school teams on how to select and implement SEL programs.

**Social-Emotional Learning Assessment Measures for Middle School Youth**

(<http://www.search-institute.org/sites/default/files/a/DAP-Raikes-Foundation-Review.pdf>) from the Raikes Foundation identifies research-based tools that measure social and emotional well-being of middle school students.

**Teaching Adolescents to Become Learners. The Role of Noncognitive Factors in Shaping School Performance: A Critical Literature Review**

(<https://consortium.uchicago.edu/sites/default/files/publications/Noncognitive%20Report.pdf>), issued by the Consortium on Chicago School Research, outlines a new framework for understanding how non-cognitive factors influence the behaviors that drive academic performance in middle and high school students.

*Social Studies*

**National History Education Clearinghouse.** Visiting History: A Professional Development Guide *Teaching History* (2013) (<http://teachinghistory.org/visiting-history>)

**Safe and Healthy Students**

*Asthma Management in Schools*

**Environmental Protection Agency** (<https://www.epa.gov/asthma/managing-asthma-school-environment>). This guide offers valuable information for all school staff, especially school nurses, teachers and maintenance staff, on how to identify and control common environmental factors in schools that may trigger asthma episodes. Download the *Managing Asthma in the School Environment* document to learn how you can help control asthma at your school and boost student performance.

*Bullying and Harassment Prevention*

**StopBullying.gov** ([www.stopbullying.gov](http://www.stopbullying.gov)) provides information from various government agencies on what bullying is, what cyberbullying is, who is at risk, and how to prevent and respond to bullying.

*Drug and Violence Prevention*

**Youth.gov** ([www.youth.gov](http://www.youth.gov)) is a Federal website related to creating, maintaining, and strengthening effective youth programs. Included are facts, funding information, and tools to assess community assets, generate maps of local and Federal resources, and search for evidence-based youth programs.

*Healthy Students*

**CDC Healthy Schools** is a Federal website ([www.cdc.gov/healthyschools](http://www.cdc.gov/healthyschools)) with numerous resources to assist school districts and schools in creating healthy learning environments, including information related to nutrition, physical activity, obesity prevention, and the management of chronic conditions. There are also professional development and training materials for school personnel.

**National Cancer Institute’s Research-tested Intervention Programs (RTIPs)**

(<http://rtips.cancer.gov/rtips/index.do>) is a database that contains information on evidence-based cancer control interventions and program materials. Users may search for interventions that are implemented in school and focus on nutrition, obesity, or physical activity.

*Human Trafficking*

**U.S. Department of Education Fact Sheet**

(<http://www2.ed.gov/about/offices/list/oese/oshs/factsheet.html>) contains information and resources related to human trafficking.

*Indoor-Air Quality (IAQ)*

**Environmental Protection Agency (EPA)**

(<https://www.epa.gov/iaq-schools/indoor-air-quality-tools-schools-action-kit>) EPA’s *Indoor Air Quality Tools for Schools Action Kit* guidance was designed to assist schools and districts with reducing exposure to indoor environmental contaminants in schools through voluntary adoption of sound and effective IAQ management practices. The Action Kit provides best practices, industry guidelines, sample policies and IAQ management plans for improving indoor air problems at little or no cost using straightforward activities and in-house staff. Additionally one can stay connected and learn about upcoming training opportunities Join the connector network at (<https://www.epa.gov/iaq-schools/forms/how-you-can-stay-connected-school-iaq-network>)

*Positive Behavioral Interventions and Supports*

**Technical Assistance Center on Positive Behavioral Interventions and Supports (PBIS)**

([www.pbis.org](http://www.pbis.org)) was established by the U.S. Department of Education to define, develop, implement, and evaluate a multi-tiered approach to technical assistance that improves the capacity of States, districts, and schools to establish, scale-up, and sustain the PBIS framework. Emphasis is given to the impact of implementing PBIS on the social, emotional and academic outcomes for students with disabilities.

*Re-entry Programs and Transition Services*

**Virginia’s Department of Justice** sponsors a program to provide regional Reentry Advocates to help create a seamless reentry process, connect youth to employment and vocational services and to link youth and families with services in the community. Reentry Advocates partner with local government agencies, local school districts and community stakeholders to connect youth and their families with benefits and resources, employability services and skills training and to connect them with positive adult role models. <http://www.djj.virginia.gov/pages/community/re-entry.htm>

*Relationship-building Skills*

**U.S. Department of Education Fact Sheet**

([www2.ed.gov/about/offices/list/oese/oshs/teendatingviolence-factsheet.html](http://www2.ed.gov/about/offices/list/oese/oshs/teendatingviolence-factsheet.html)) contains information and resources related to relationship-building skills.



### *Safe Schools*

**Office of Juvenile Justice and Delinquency Prevention’s Model Programs Guide** (<http://www.ojjdp.gov/mpg/>) includes information on evidence-based juvenile justice and youth prevention and intervention programs that cover topics such as bullying, discipline, school climate, school safety, school violence, and truancy.

### *School Climate*

**The National Center on Safe Supportive Learning Environments** ([safesupportivelearning.ed.gov](http://safesupportivelearning.ed.gov)) is funded by the U.S. Department of Education’s Office of Safe and Healthy Students to help address issues that affect conditions for learning, such as bullying, harassment, violence, and substance abuse.

**US Department of Education Policy, Guidance, and Resources for School Climate and Discipline** (<http://www2.ed.gov/policy/gen/guid/school-discipline/index.html>). Creating a supportive school climate—and decreasing suspensions and expulsions—requires close attention to the social, emotional, and behavioral needs of all students. Administrators, educators, students, parents, and community members can use this site to find tools, data, and resources to: (a) increase their awareness of the prevalence, impact, and legal implications of suspension and expulsion; (b) find basic information and resources on effective alternatives; and (c) join a national conversation on how to effectively create positive school climates.

### *School-Based Mental Health Services*

**Center for School Mental Health** (<http://csmh.umaryland.edu/index.html>) strengthens policies and programs in school mental health to improve learning and promote success for America’s youth. CSMH advances evidence-based care in schools and collaborates at local, State, national, and international levels to advance research, training, policy, and practice in school mental health.

**SAMHSA’s National Registry of Evidence-based Programs and Practices (NREPP)** ([http://www.nrepp.samhsa.gov/01\\_landing.aspx](http://www.nrepp.samhsa.gov/01_landing.aspx)) is a registry of substance abuse and mental health interventions. Users may search for interventions that are implemented in a school or classroom.

### *Suicide Prevention*

**U.S. Department of Education Fact Sheet** ([www2.ed.gov/about/offices/list/oese/osh/suicideprev-factsheet.pdf](http://www2.ed.gov/about/offices/list/oese/osh/suicideprev-factsheet.pdf)) contains information and resources related to suicide prevention.

**The National Action Alliance for Suicide Prevention** (<http://actionallianceforsuicideprevention.org>) is a public-private partnership charged with advancing the National Strategy for Suicide Prevention.

## Effective Use of Technology

### **Characteristics of Future Ready Leadership: A Research Synthesis**

(<http://tech.ed.gov/files/2015/12/Characteristics-of-Future-Ready-Leadership.pdf>) may prove useful for strategic planning for superintendents, their leadership teams, and those supporting them in other contexts. It is aligned with the recommendations of the 2016 National Education Technology Plan, designed to ensure that as district leaders work to become Future Ready they will also be making progress toward implementing the broader technology vision for the nation. The research synthesis defines exemplary dimensions of policy and/or practice within four focus areas: collaborative leadership, robust infrastructure, personalized professional learning and personalized student learning.

**Diagram Center Webinars** (<http://diagramcenter.org/diagramwebinars.html>) hosts a collection of free training, information sharing and what's going on in the field based on the overarching theme of accessibility and making educational materials accessible.

**Ed Tech Developer's Guide** (<http://tech.ed.gov/developers-guide>) is a guide for developers, startups and entrepreneurs addresses key questions about the education ecosystem and highlights critical needs and opportunities to develop digital tools and apps for learning. This guide is designed to help entrepreneurs apply technology in smart ways to solve persistent problems in education.

**Expanding Evidence** (<http://tech.ed.gov/expanding-evidence>) outlines new types and sources of evidence of learning afforded by technology with an aim toward helping education decision-makers obtain the increased quality and quantity of evidence needed to fuel innovation and optimize the effectiveness of new learning resources.

### **Future Ready Interactive Planning Dashboard and Resource Hub**

(<http://futureready.org/about-the-effort/dashboard/>) is a dashboard where district teams complete an in-depth self-assessment to determine their overall readiness to undergo a digital transformation, create a vision for student learning, and evaluate what aspects of the system they must address to make that vision a reality. After completing the self-assessment, each district team receives a customized report that analyzes the district's readiness in each of the seven gears of the Future Ready Framework, identifies gaps, and offers customized strategies and free resources.

### **Future Ready Schools Infrastructure Guide**

(<http://tech.ed.gov/futureready/infrastructure>) provides practical, actionable information intended to help district leaders (superintendents, principals, and teacher leaders) navigate the many decisions required to deliver cutting-edge connectivity and devices to students, and outlines principles and policies that support capacity building for educational technology and digital citizenship. It presents a variety of options for district leaders to consider when making technology infrastructure decisions, recognizing that circumstances and context vary greatly from district to district.

**#GoOpen District Launch Packet** (<http://tech.ed.gov/open-education/go-open-districts/launch/>) is designed for districts that have decided to implement a systematic approach to incorporating openly licensed education resources into their curriculum.

**Learning Analytics** (<http://tech.ed.gov/learning-analytics>) is intended to help policymakers and administrators understand how learning analytics has been—and can be—applied for educational improvement while rigorously protecting student privacy.

**The National Education Technology Plan 2016** (<http://tech.ed.gov/netp/>) is the flagship educational technology policy document for the United States. The 2016 Plan, *Future Ready Learning: Reimagining the Role of Technology in Education*, articulates a vision of equity, active use, and collaborative leadership to make everywhere, all-the-time learning possible. The principles and examples provided in the document align to the effective use of technology content area under *Title IV, Part A*.

**EXECUTIVE SUMMARY**

**Issue:** Structured English Immersion Course Approval pursuant to A.R.S. § 15-756.09

Action/Discussion Item

Information Item

**Background and Discussion**

**STRUCTURED ENGLISH IMMERSION (SEI) TRAINING TO COMPLETE THE FULL AND PROVISIONAL SEI ENDORSEMENT**

A.R.S. § 15-756.09 requires the Board to determine the qualifications necessary for a provisional and full structured English immersion endorsement. The statute permits the Board to approve various entities which have met specified criteria to provide the training required for the endorsements. In 2005, 2007, and 2017 the Board adopted curricular frameworks for SEI trainings.

Arizona State Board Rule R7-2-615(L) requires all persons holding a valid Elementary, Secondary, Principal, Superintendent, Supervisor, Career and Technical, and Special Education Arizona State Certificate to obtain an SEI, ESL or BLE endorsement.

The Office of English Language Acquisition Services (OELAS) is responsible for ensuring that Local Education Agencies (LEAs), institutions of higher education, or independent consultants requesting approval to deliver the required training has met the Board approved SEI Curricular Framework.

OELAS staff utilizes Elementary and Secondary course checklists in order to verify that proposed training meets the Board approved SEI Curricular Frameworks. The Director of Professional Development and an assigned Education Program Specialist review that all courses meet **every** checklist item before proposing a course for approval to the State Board of Education. Any proposed course that does not meet the framework requirements is returned for revisions. OELAS has verified that the training proposed by the following individual trainers and LEA, have met the Board approved SEI Curricular Frameworks, and recommends program approval.

**Recommendation to the Board**

It is recommended that the Board approve the following Structured English Immersion training programs pursuant to A.R.S. § 15-756.09:

**45-hour Completion Course**

- Individual Trainers & Local Education Agency
  - Educational Services for the 21st Century Learner
  - Jesus R. Celeya
  - Aazinaago Consulting
  - Glendale Elementary School District

**Contact Information:**

*Kate Wright, Deputy Associate Superintendent, Office of English Language Acquisition Services  
Carol Lippert, Associate Superintendent, High Academic Standards for Students*

## Procedure for Reviewing and Approving Courses for the SEI Endorsement

1. When course is submitted, the SEI Endorsement Course Review Coordinator creates a folder labeled by submitter's name in I:\OELAS\SEI Endorsement\Submitted Courses. All submitted documents and a copy of the email itself (if applicable) are saved to that folder.
2. The submission details are added to the *Course Submission Tracking Log* (located in I:\OELAS\SEI Endorsement) by the Course Review Coordinator.
3. The submission is assigned to a Specialist for review.
4. The submission is reviewed to ensure that all required components are completed by verifying against the *Rubric for SEI Coursework* (located in I:\OELAS\SEI Endorsement).

If all components are included, the Specialist sends the following email to the submitter:

Thank you for submitting a course for review for the SEI Endorsement.  
Your documents have been received and are under review. You will be contacted once the review is complete or if any 35281 questions arise.

If any components are missing, the assigned specialist sends the following email to the submitter:

Thank you for submitting a course for review for the SEI Endorsement.  
Your documents have been received, but more information is necessary. Please provide \_\_\_\_\_ as soon as possible so that the review can proceed.

5. Once all documents are acquired, the Specialist reviews all submitted components and makes comments as needed in the *Rubric for SEI Coursework*. The course syllabus must be reviewed using either the *SEI Course Frameworks Checklist Elementary* or *SEI Course Frameworks Checklist Secondary* as applicable. All files are located in I:\OELAS\SEI Endorsement.
6. Once complete, the Specialist provides the *Rubric for SEI Coursework* and the appropriate checklist to the Course Review Coordinator. The Course Review Coordinator reviews the documents and discusses the content with the assigned specialist as necessary. Course Review Coordinator tracks dates of completed review and discussion in the Course Submission Tracking Log.
7. If changes need to be made or the submitted course does not meet the requirements, the Specialist is responsible for contacting the submitter and requesting changes.
8. If the Course Review Coordinator and Specialist approve the submission, they provide the *Rubric for SEI Coursework* and appropriate checklist to the Director of Professional Development. The Director of Professional Development reviews the documents and discusses the content with the Course Review Coordinator and Specialist. Course Review Coordinator tracks dates of completed review and discussion in the Course Submission Tracking Log.
9. If changes need to be made or the submitted course does not meet the requirements, the Specialist is responsible for contacting the submitter and requesting changes.
10. If the Director of Professional Development approves the submission, appropriate documentation is submitted to the State Board of Education.

# SEI Course Frame Works for Course Review

## Elementary

### SEI Foundations

#### Legal and Historical Foundations (Framework Allocation: 2 hours)

Objective	Present in Syllabus?	Comments (if any)
Explain how the following legal cases impacted the policies and laws governing language instruction in Arizona: Lau v. Nichols, Castaneda v. Pickard, Flores v. Arizona, and Plyler v. Doe.		
Explain how federal laws and requirements, including the Every Student Succeeds Acts (ESSA), Title III, Title VI, and Office for Civil Rights/Department of Justice resolutions, impact accountability, assessment, funding, and identification in EL education in Arizona.		
Explain how state laws and policies, including Proposition 203, House Bill 2010, House Bill 2064, and Move On When Reading (for elementary only) impact language acquisition methodology, student grouping, and the time frame to achieve language proficiency.		
Explain the demographic composition of the PK -12 EL population in Arizona.		
Discuss the current societal trends and issues in the education of ELs.		

**Total Hours in Syllabus for Legal and Historical Foundations:** \_\_\_\_\_

#### Structured English Immersion (Framework Allocation: 3 hours)

Terminology Used in Arizona		
Objective	Present in Syllabus?	Comments (if any)
Define English Learner (EL).		
Define SEI as it is used in Arizona, including the distinctions between Structured English Immersion and Sheltered English Instruction.		

Define English Language Development (ELD) and its relevance to the instruction of ELs in Arizona.		
<b>Identification and Assessment</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explain the process used to determine EL program eligibility including the use of the Home Language Survey and Arizona’s English language proficiency assessment.		
Differentiate the uses of Arizona’s English language proficiency assessment for placement and reassessment.		
Identify the standard accommodations available to ELs for assessment.		
Recognize that students may qualify for other services (ESS, Gifted) in addition to being identified as an EL.		
<b>Models/Structure</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Discuss the differences between Structured English Immersion classrooms, Bilingual classrooms, and Individual Language Learner Plans.		
Discuss components of EL program models in Arizona including time allocations, grouping, use of native language, integration of content, and SEI Model refinements.		
<b>English Language Proficiency (ELP) Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explain the development of the ELP Standards, the alignment of the ELP Standards to English Language Arts Standards, and connections to other academic content.		
Explore the format of the ELP Standards with respect to Stages, Proficiency Level Descriptors, Standards, Concepts, Sub-Concepts, Proficiency Levels, Performance Indicators, and the Glossary.		

**Total Hours in Syllabus for Structured English Immersion:** \_\_\_\_\_

# Language Development

## Language Acquisition Theories (Framework Allocation: 3 hours)

Objective	Present in Syllabus?	Comments (if any)
Explain current and historical theories of language acquisition as they apply to English learners (Behaviorist Theory, Nativist Theory, Social Interactionist Theory, Cognitive Theory, etc.).		

**Total Hours in Syllabus for Language Acquisition Theories:** \_\_\_\_\_

## Elements of Language (Framework Allocation: 6 hours)

Objective	Present in Syllabus?	Comments (if any)
Define each element of language: phonetics, phonology, morphology, lexicon, semantics, syntax, and pragmatics.		
Describe relationships between the elements of language within verbal and written expressions.		

**Total Hours in Syllabus for Elements of Language:** \_\_\_\_\_

## Language Domains (Framework Allocation: 6 hours)

Objective	Present in Syllabus?	Comments (if any)
Examine a Stage of the ELP Standards to determine connections between the elements of language and Reading, Writing, Vocabulary, Standard English Conventions (Grammar), and Listening and Speaking		
Discuss how the skills found in ELP Standards apply to other content areas.		

**Total Hours in Syllabus for Language Domains:** \_\_\_\_\_



# Instructional Elements

## Instructional Strategies for Academic English Development (Framework Allocation: 13 hours)

<b>Universal Design for Learning</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Define elements of engagement (why), representation (what), and action and expression (how), and describe how they allow teachers to consider the learning needs of all students when planning lessons.		
<b>Reading Instruction Aligned with the ELP Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore foundational reading skills as they apply to elementary ELs.		
Explore reading comprehension skills as they apply to elementary ELs.		
Explore reading strategies that help elementary ELs access grade level content area text.		
Explore the development of a lesson aligned to the Reading Domain of the ELP Standards that includes the use of grade level appropriate materials.		
<b>Writing Instruction Aligned with the ELP Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore foundational writing skills as they apply to elementary ELs.		
Explore writing application skills as they apply to elementary ELs.		
Explore writing strategies that help elementary ELs to develop written language complexity.		

Explore the development of a lesson aligned to the Writing Domain of the ELP Standards that includes the use of grade level appropriate materials.		
<b>Listening and Speaking Instruction Aligned with the ELP Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore receptive oral language skills as they apply to elementary ELs.		
Explore productive oral language skills as they apply to elementary ELs.		
Explore receptive and productive strategies that help elementary ELs to engage in academic discourse.		
Explore the development of a lesson aligned to the Listening and Speaking Domain of the ELP Standards that includes the use of grade level appropriate materials.		
<b>Grammar Instruction Aligned with the ELP Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore grammatical skills as a foundation of language for elementary ELs.		
Explore strategies that allow elementary ELs to apply their knowledge of syntax to create and understand communication in various contexts.		
Explore the development of a lesson aligned to the Language Strand of the ELP Standards that includes the use of grade level appropriate materials.		
<b>Vocabulary Instruction Aligned with the ELP standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore word study skills as they apply to elementary ELs.		

Explore strategies that help elementary ELs to utilize academic vocabulary in multiple contexts.		
Explore the development of a lesson aligned to the Language Strand of the ELP Standards that includes the use of grade level appropriate materials.		

**Total Hours in Syllabus for Instructional Strategies:** \_\_\_\_\_

**Differentiation (Framework Allocation: 3 hours)**

Objective	Present in Syllabus?	Comments (if any)
Consider the needs (language level, skill, etc.) of learners that would require differentiation of instruction.		
Explore appropriate strategies to differentiate instruction based on the needs of learners.		

**Total Hours in Syllabus for Differentiation:** \_\_\_\_\_

**Assessment (Framework Allocation: 3 hours)**

Objective	Present in Syllabus?	Comments (if any)
Differentiate between types of assessments (e.g., diagnostic, formative, and summative).		
Review models of data collection used to document progress in language development.		
Analyze various forms of assessment data to make instructional decisions for ELs.		

**Total Hours in Syllabus for Assessment:** \_\_\_\_\_

**Diversity of ELs (Framework Allocation: 2 hours)**

Objective	Present in Syllabus?	Comments (if any)
Explain who long term ELs (LTEL) are and various factors influencing their English language acquisition.		
Explain who Recent Arrivals (RAEL) are and various factors influencing their language acquisition.		
Explain who Students with Interrupted Formal Education (SIFE) are and various factors influencing their language acquisition.		
Discuss special populations (Refugee, Migrant, Immigrant, and Native American) of ELs as relevant to LTEL, RAEL, and SIFE subgroups.		

**Total Hours in Syllabus for Diversity of ELs:** \_\_\_\_\_

**Culturally Relevant Instruction (Framework Allocation: 4 hours)**

<b>Cultural Influences on Teaching and Learning</b>		
Objective	Present in Syllabus?	Comments (if any)
Define cultural competence and explain its role in the instruction of ELs.		
Describe the role of culture in student learning.		
Explore strategies for supporting cultural diversity within instruction.		
Describe the appropriate selection of curriculum, materials, and assessments for all language learners, accounting for proficiency, age, and heritage.		

<b>Inclusive Environment</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Describe how school and classroom environment influences language acquisition and the steps necessary to create an inclusive environment.		
Discuss the importance of understanding the social, emotional, and cultural needs of students when establishing classroom routines and procedures.		
<b>Home and School Connections</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Describe how family and community practices (funds of knowledge) may influence language learning.		
Describe effective family engagement practices including communication, family involvement, and providing intentional strategies for families of ELs.		
Describe inclusive community engagement practices.		

**Total Hours in Syllabus for Culturally Relevant Instruction:** \_\_\_\_\_

# SEI Course Frame Works for Course Review

## Secondary

### SEI Foundations

#### Legal and Historical Foundations (Framework Allocation: 2 hours)

Objective	Present in Syllabus?	Comments (if any)
Explain how the following legal cases impacted the policies and laws governing language instruction in Arizona: Lau v. Nichols, Castaneda v. Pickard, Flores v. Arizona, and Plyler v. Doe.		
Explain how federal laws and requirements, including the Every Student Succeeds Acts (ESSA), Title III, Title VI, and Office for Civil Rights/Department of Justice resolutions, impact accountability, assessment, funding, and identification in EL education in Arizona.		
Explain how state laws and policies, including Proposition 203, House Bill 2010, House Bill 2064, and Move On When Reading (for elementary only) impact language acquisition methodology, student grouping, and the time frame to achieve language proficiency.		
Explain the demographic composition of the PK -12 EL population in Arizona.		
Discuss the current societal trends and issues in the education of ELs.		

**Total Hours in Syllabus for Legal and Historical Foundations:** \_\_\_\_\_

#### Structured English Immersion (Framework Allocation: 3 hours)

Terminology Used in Arizona		
Objective	Present in Syllabus?	Comments (if any)
Define English Learner (EL).		
Define SEI as it is used in Arizona, including the distinctions between Structured English Immersion and Sheltered English Instruction.		

Define English Language Development (ELD) and its relevance to the instruction of ELs in Arizona.		
<b>Identification and Assessment</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explain the process used to determine EL program eligibility including the use of the Home Language Survey and Arizona’s English language proficiency assessment.		
Differentiate the uses of Arizona’s English language proficiency assessment for placement and reassessment.		
Identify the standard accommodations available to ELs for assessment.		
Recognize that students may qualify for other services (ESS, Gifted) in addition to being identified as an EL.		
<b>Models/Structure</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Discuss the differences between Structured English Immersion classrooms, Bilingual classrooms, and Individual Language Learner Plans.		
Discuss components of EL program models in Arizona including time allocations, grouping, use of native language, integration of content, and SEI Model refinements.		
<b>English Language Proficiency (ELP) Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explain the development of the ELP Standards, the alignment of the ELP Standards to English Language Arts Standards, and connections to other academic content.		
Explore the format of the ELP Standards with respect to Stages, Proficiency Level Descriptors, Standards, Concepts, Sub-Concepts, Proficiency Levels, Performance Indicators, and the Glossary.		

**Total Hours in Syllabus for Structured English Immersion:** \_\_\_\_\_

# Language Development

## Language Acquisition Theories (Framework Allocation: 3 hours)

Objective	Present in Syllabus?	Comments (if any)
Explain current and historical theories of language acquisition as they apply to English learners (Behaviorist Theory, Nativist Theory, Social Interactionist Theory, Cognitive Theory, etc.).		

**Total Hours in Syllabus for Language Acquisition Theories:** \_\_\_\_\_

## Elements of Language (Framework Allocation: 6 hours)

Objective	Present in Syllabus?	Comments (if any)
Define each element of language: phonetics, phonology, morphology, lexicon, semantics, syntax, and pragmatics.		
Describe relationships between the elements of language within verbal and written expressions.		

**Total Hours in Syllabus for Elements of Language:** \_\_\_\_\_

## Language Domains (Framework Allocation: 6 hours)

Objective	Present in Syllabus?	Comments (if any)
Examine a Stage of the ELP Standards to determine connections between the elements of language and Reading, Writing, Vocabulary, Standard English Conventions (Grammar), and Listening and Speaking		
Discuss how the skills found in ELP Standards apply to other content areas.		

**Total Hours in Syllabus for Language Domains:** \_\_\_\_\_



# Instructional Elements

## Instructional Strategies for Academic English Development (Framework Allocation: 13 hours)

<b>Universal Design for Learning</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Define elements of engagement (why), representation (what), and action and expression (how), and describe how they allow teachers to consider the learning needs of all students when planning lessons.		
<b>Reading Instruction Aligned with the ELP Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore foundational reading skills as they apply to secondary ELs.		
Explore reading comprehension skills as they apply to secondary ELs.		
Explore reading strategies that help secondary ELs access grade level content area text.		
Explore the development of a lesson aligned to the Reading Domain of the ELP Standards that includes the use of grade level appropriate materials.		
<b>Writing Instruction Aligned with the ELP Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore foundational writing skills as they apply to secondary ELs.		
Explore writing application skills as they apply to secondary ELs.		
Explore writing strategies that help secondary ELs to develop written language complexity.		

Explore the development of a lesson aligned to the Writing Domain of the ELP Standards that includes the use of grade level appropriate materials.		
<b>Listening and Speaking Instruction Aligned with the ELP Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore receptive oral language skills as they apply to secondary ELs.		
Explore productive oral language skills as they apply to secondary ELs.		
Explore receptive and productive strategies that help secondary ELs to engage in academic discourse.		
Explore the development of a lesson aligned to the Listening and Speaking Domain of the ELP Standards that includes the use of grade level appropriate materials.		
<b>Grammar Instruction Aligned with the ELP Standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore grammatical skills as a foundation of language for secondary ELs.		
Explore strategies that allow secondary ELs to apply their knowledge of syntax to create and understand communication in various contexts.		
Explore the development of a lesson aligned to the Language Strand of the ELP Standards that includes the use of grade level appropriate materials.		
<b>Vocabulary Instruction Aligned with the ELP standards</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Explore word study skills as they apply to secondary ELs.		

Explore strategies that help secondary ELs to utilize academic vocabulary in multiple contexts.		
Explore the development of a lesson aligned to the Language Strand of the ELP Standards that includes the use of grade level appropriate materials.		

**Total Hours in Syllabus for Instructional Strategies:** \_\_\_\_\_

**Differentiation (Framework Allocation: 3 hours)**

Objective	Present in Syllabus?	Comments (if any)
Consider the needs (language level, skill, etc.) of learners that would require differentiation of instruction.		
Explore appropriate strategies to differentiate instruction based on the needs of learners.		
Explore balancing language and content needs with age-appropriate instruction.		

**Total Hours in Syllabus for Differentiation:** \_\_\_\_\_

**Assessment (Framework Allocation: 3 hours)**

Objective	Present in Syllabus?	Comments (if any)
Differentiate between types of assessments (e.g., diagnostic, formative, and summative).		
Review models of data collection used to document progress in language development.		
Analyze various forms of assessment data to make instructional decisions for ELs.		

**Total Hours in Syllabus for Assessment:** \_\_\_\_\_

**Diversity of ELs (Framework Allocation: 2 hours)**

Objective	Present in Syllabus?	Comments (if any)
Explain who long term ELs (LTEL) are and various factors influencing their English language acquisition.		
Explain who Recent Arrivals (RAEL) are and various factors influencing their language acquisition.		
Explain who Students with Interrupted Formal Education (SIFE) are and various factors influencing their language acquisition.		
Discuss special populations (Refugee, Migrant, Immigrant, and Native American) of EL as relevant to LTEL, RAEL, and SIFE subgroups.		
Discuss additional considerations needed for secondary ELs as relevant to LTEL, RAEL, and SIFE subgroups.		

**Total Hours in Syllabus for Diversity of ELs:** \_\_\_\_\_

**Culturally Relevant Instruction (Framework Allocation: 4 hours)**

<b>Cultural Influences on Teaching and Learning</b>		
Objective	Present in Syllabus?	Comments (if any)
Define cultural competence and explain its role in the instruction of ELs.		
Describe the role of culture in student learning.		
Explore strategies for supporting cultural diversity within instruction.		
Describe the appropriate selection of curriculum, materials, and assessments for secondary language learners, accounting for proficiency, age, and heritage.		

<b>Inclusive Environment</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Describe how school and classroom environments influence language acquisition and the steps necessary to create an inclusive environment.		
Discuss the importance of understanding the social, emotional, and cultural needs of students when establishing classroom routines and procedures.		
<b>Home and School Connections</b>		
<b>Objective</b>	<b>Present in Syllabus?</b>	<b>Comments (if any)</b>
Describe how family and community practices (funds of knowledge) may influence language learning.		
Describe effective family engagement practices including communication, family involvement, and providing intentional strategies for families of ELs.		
Describe inclusive community engagement practices.		

**Total Hours in Syllabus for Culturally Relevant Instruction:** \_\_\_\_\_

**EXECUTIVE SUMMARY**

**Issue:** Approval of the K12 Center's Arizona Master Teacher Program

Action/Discussion Item       Information Item

**Background and Discussion**

Since 2005, the Arizona K12 Center has been implementing a program to identify Master Teachers in participating districts and supporting teachers seeking National Board Certification.

In approximately 2007, when external grant funding ended, the Arizona Legislature appropriated funds to deploy this program statewide with Northern Arizona University (NAU) serving as the fiscal agent and the Arizona K12 Center charged with implementation of the program. Since then, the K12 Center has implemented this program, in a manner prescribed by the State Board of Education. Laws 2017, Chapter 305 (the FY18 general appropriations bill) continues the annual \$2,290,600 line item appropriation to NAU for this program.

The Arizona Master Teacher Program originated in a Teacher Quality and Enhancement Grant from the USDOE to recruit and retain teachers in Native American communities. This grant helped identify Master Teachers to work with beginning teachers in the identified schools as well as provided funding for teachers to pursue National Board Certification.

The mission and purpose of the Arizona Master Teacher Program is to build capacity for teacher leadership, while providing support to teachers along the continuum of practice.

The program is designed to:

- Foster a spirit of accomplishment amongst Arizona's teachers.
- Recognize the contribution of excellent teaching in our communities and elevate the status of the profession.
- Designate or place a Master Teacher in schools throughout Arizona, beginning with those in greatest need.

Arizona's Master Teacher Program places experienced, accomplished teachers into non-evaluative leadership roles in schools as mentors or coaches for their peers. Participating districts must ensure that teachers are identified through an application and evaluation determined by the Arizona K12 Center in order to be designated as a Master Teacher.

Once this professional designation is assigned, districts may select from these identified Master Teachers to provide service to the profession through positions such as mentors

**Contact Information:**

Kathy Wiebke, Executive Director, Arizona K12 Center

## **EXECUTIVE SUMMARY**

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or coaches in qualifying schools within the district. These mentors or coaches attend training through the Arizona K12 Center in partnership with the New Teacher Center to equip them with tools and resources needed to assist their peers to become exceptional teachers.

Any teacher in Arizona that meets the application requirements may apply to become a Master Teacher. Individual districts will select their own mentors or coaches from the pool of identified Master Teachers. The Arizona K12 Center offers a competitive program application process for school districts that wish to begin a mentoring or coaching program, or supplement and build sustainability of an existing program

Districts apply to participate. If accepted they receive up to \$100,000 to support the program in their district. The Center also helps identify teachers interested in becoming a Master Teacher. The Center utilizes a release time model with a full-time released Master Teachers working with approximately 15 beginning teachers (first three years). They are required to be in classrooms mentoring, coaching, and observing teachers a minimum of 2-hours per week. Master Teachers receive a stipend for the additional work they perform. The Arizona K12 Center trains the Master Teacher using the model and tools of the New Teacher Center. The work of the New Teacher Center has proven results. A recent study found that when new teachers are paired with high-quality, trained mentors and receive frequent feedback, their students may receive the equivalent of up to five months of additional learning (*see attachment*).

In FY15 eight districts who received funding from the Arizona K12 Center hired 257 beginning teachers with 68% being first year teachers. Five districts had a retention rate for all beginning teachers over 60% and even the lowest, Tolleson Elementary School District, had a rate over 50%. Three districts had retention rates of 80% or more. Furthermore, Master Teacher Mentors reported that 90% of their mentees remained in teaching in Arizona even though they switched districts after the 2014-2015 school year. The districts participating in the Master Teacher program reported beginning teacher retention rates above the national average of 50-60%.

As a part of the program, the Arizona K12 Center also supports teachers seeking National Board Certification. We offset the fees of the teachers seeking Board-certification and provide candidate support. Today Arizona is home to over 1200 Board-certified teachers with 567 awaiting results. We provide financial assistance to approximately 400 candidates per year. Candidates come from all areas of Arizona. In the past five years our candidate support efforts have expanded to include Tucson, Flagstaff, and Lake Havasu City.

### **Recommendation to the Board**

It is recommended that the Board approve the Arizona K12 Center's Master Teacher Program as outlined above.

### **Contact Information:**

Kathy Wiebke, Executive Director, Arizona K12 Center

# Summary of Arizona Master Teacher Mentor Program, 2014-2015

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## What is the Master Teacher Program?

Arizona's Master Teacher Program (MT) places experienced, accomplished teachers into leadership roles in schools as mentors or coaches for their peers. These mentors or coaches attend rigorous trainings through the Arizona K12 Center in partnership with New Teacher Center to equip them with tools for success to help those newest to the profession. During the 2014-2015 school year, ten districts used the AZK12 MT program protocols to mentor 193 beginning teachers. Eight districts received funding from the AZK12 center to employ 19 mentors and served 105 beginning teachers with less than three years of experience and an additional 44 teachers who have more than three years of experience, but who are new to the district or otherwise needed assistance.

## The Program

Mentees are enthusiastic about the assistance and 95% of those mentored during the 2014-2015 school year say that the mentor influenced their job satisfaction. This is especially important as 56% of these mentees report that they think of leaving teaching.

## Hiring and Retention

The national retention rate for teachers with less than five years of experience is estimated to be between 50-60%<sup>1</sup>. Impressively, the retention rates for beginning teachers with a mentor are above 70% in six of the districts which participated in the MT program during the 2014-2015 school year. Furthermore, MT mentors report that 90% of their mentees are remaining in teaching in Arizona after the 2015 school ends, even if they switch districts.

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<sup>1</sup> Educator Retention and Recruitment Task Force. (January, 2015). *Educator retention and recruitment report: Initial report*. Arizona Department of Education. <http://www.azed.gov/wp-content/uploads/2015/02/err-initial-report-final.pdf>

Ingersoll, R., & Strong, M. (2011). The Impact of Induction and Mentoring Programs for Beginning Teachers: A Critical Review of the Research. *Review of Educational Research*, 201-233.



# Overview of the AZK12 Master Teacher Mentoring Program

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## What is the Master Teacher Program?

Arizona's Master Teacher Program (MT) places experienced, accomplished teachers into leadership roles in schools as mentors or coaches for their peers. These mentors or coaches attend rigorous trainings through the Arizona K12 Center in partnership with New Teacher Center to equip them with tools for success to help those newest to the profession.

## Current state of the MT program

Currently, eight school districts receive funding through the MT program: Balsz Elementary School District (SD), Humboldt Unified, Liberty Elementary SD, Littleton Elementary SD, Maricopa Unified, Somerton School District 11, Tolleson Elementary SD, and Union Elementary SD. Two more districts, Salt River Community and JTED-Pima, use the AZK12 protocols, but fund their mentors with district funds. Over the entire ten districts, 193 beginning teachers are receiving mentoring.

There are 19 mentors across the eight districts funded by the AZK12 Mentor grant and 14 are full-time released mentors. Three districts, Balsz, Somerton, and Liberty, consider mentors to be so important that they use their own funds to employ additional mentors or coaches. These numbers can be substantial; Somerton uses an additional 11 mentors and Liberty has an additional 15. These three districts also have some of the highest retention rates of beginning teachers among the eight districts as seen in Table 1 below.

MT program mentors report high levels of support from their districts and administrators. 91% of mentors rated their district leadership's willingness to provide the time and resources needed for the mentoring program as excellent or adequate over the 2014-2015 school year.

## Retention and hiring across the eight participating districts

The eight districts receiving AZK12 funds hired 257 beginning teachers over the 2014-2015 school year and 68% were first year teachers. Within the districts, 35 positions went unfilled, primarily in special education and middle school math and science.

Five districts have a retention rate for all beginning teachers over 60% and even the lowest, Tolleson Elementary School District, is over 50%. Three districts have retention rates of 80% or more (see Table 1). Furthermore, MT mentors report that 90% of their mentees are remaining in teaching in Arizona even if they switch districts after the 2014-2015 school year.

### **Retention in-depth**

The MT program directors provided teacher retention rates for *all* beginning teachers (including those who did not have an MT mentor) and these rates can be compared to the retention rates reported for beginning teachers with a mentor. Five of the districts report having higher retention rates for beginning teachers with a mentor. Two districts, Maricopa and Liberty, report having lower retention rates for those with a mentor compared to the overall retention of beginning teachers. This is likely due to the types of teachers assigned to mentors in these districts. For example, Maricopa only offers 37% of new teachers a mentor and it is likely that new teachers identified as struggling are more likely to be offered the limited extra assistance that is available.

MT mentors are highly involved in the professional lives of their mentees. 78% of beginning teachers meet or talk with their mentor once a week or more, often for half an hour or longer. Mentees are enthusiastic about the assistance and 95% say that the mentor has influenced their job satisfaction. This is especially important as 56% of mentees report that they think of leaving the profession.

### **Conclusion**

The districts participating in the MT program report beginning teacher retention rates that are above the national average of 50-60%<sup>2</sup>. Even more impressive, the retention rates of mentored teachers are above 70% in six of the seven districts receiving AZK12 funds that reported retention numbers (see Table 1). The evidence suggests that the MT mentor program offers a significant boost to Arizona's efforts to retain beginning teachers.

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<sup>2</sup> Educator Retention and Recruitment Task Force. (January, 2015). *Educator retention and recruitment report: Initial report*. Arizona Department of Education. <http://www.azed.gov/wp-content/uploads/2015/02/err-initial-report-final.pdf>

Ingersoll, R., & Strong, M. (2011). The Impact of Induction and Mentoring Programs for Beginning Teachers: A Critical Review of the Research. *Review of Educational Research*, 201-233.

Table 1: Retention rates for mentees vs all beginning teachers by district†

District	% retention of mentees	% of overall beginning teacher retention
Balsz	73%	68%
Liberty	71%	80%
Littleton	71%	59%
Maricopa	83%	96%
Somerton	89%	82%
Tolleson	57%	55%
Union*	83%	64%

\*Only one of Union's two mentors answered the survey.

†The program directors in Humboldt and Salt River and the mentor from JTED-Pima did not answer this question, so the above table compares the retention rates reported by 12 mentors from the remaining districts: Balsz, Liberty, Littleton, Maricopa, Somerton, Tolleson, and Union.

# Impact of the New Teacher Center’s New Teacher Induction Model on Teachers and Students

Rebecca Schmidt, Viki Young, Lauren Cassidy, Haiwen Wang, & Katrina Laguarda

SRI Education’s evaluation of the New Teacher Center’s (NTC’s) Investing in Innovation (i3) Validation grant revealed positive impacts of NTC’s induction model on student achievement in mathematics and English language arts. Using randomized controlled trials in two districts—Broward County Public Schools and Chicago Public Schools—SRI Education examined the impact of the NTC induction model on teacher practice and student achievement. In addition to the positive student outcomes, the study found that NTC-supported teachers scored similarly on teacher practice measures and had similar rates of retention into their third year of teaching as teachers receiving typical district supports.

New teachers often face the realities of their first classroom on their own and in isolation.

Supporting new teachers so that they can be effective instructionally and retaining them in the profession are pressing needs, particularly in hard-to-staff schools and schools serving high poverty students. Those schools tend to have high proportions of new teachers and often lack the capacity to support them adequately. As a result, half leave teaching within 5 years.<sup>1</sup>

In this context, SRI Education conducted an independent evaluation of the New Teacher Center’s (NTC’s) Investing in Innovation (i3) Validation grant. This brief reports on findings from randomized controlled trials of NTC’s 2-year new teacher induction model in Broward County Public Schools (BCPS) in Florida and Chicago Public Schools (CPS) in Illinois.<sup>2</sup> SRI found that NTC’s induction program had overall

positive effects on student achievement in English language arts (ELA) and mathematics.<sup>3</sup>

## The New Teacher Center’s New Teacher Induction Model

NTC has long worked with district partners to implement a high-quality mentoring and induction program. Under the i3 Validation grant, NTC formalized key components of its induction model (Figure 1). NTC provides professional development, research-based resources, and online formative assessment tools for beginning teachers, mentors, and school leaders, as well as technical assistance and capacity building for program leaders.

## Acknowledgements

The findings reported here culminated from the efforts of a large team over 4 years. The authors thank Marjorie Wechsler, Paul Hu, Hannah Cheever, Hannah Kistler, Andrew Ezekoye, Chi Nguyen, Bonnee Groover, Francine Biscocho, Juliet Tiffany-Morales, Jennifer Bland, Matt McCracken, Tiffany Hsieh, and Janelle Sands. The authors also thank Ali Picucci and the district teams at the New Teacher Center for their strong engagement with and feedback on the evaluation. Not least, the authors are grateful to the three partner sites—BCPC, CPS, and GWAEA—for their participation in the evaluation.

<sup>1</sup> Alliance for Excellent Education, February 2008, *What Keeps Good Teachers in the Classroom? Understanding and Reducing Teacher Turnover* [Issue Brief]. Washington, DC: Author.

<sup>2</sup> Grant Wood Area Education Agency (GWAEA), a consortium of districts in Iowa, also implemented the NTC model. Because the model was implemented with all new teachers, SRI used a difference-in-differences approach to study impact in GWAEA. Data collection was delayed because of a lack of centralized data and a state testing calendar that allows for fall, winter, and spring test administration. Thus, findings from GWAEA will be published in a subsequent report.

<sup>3</sup> District results varied; see the methods appendix for individual district results.

More specifically, the induction model features carefully selected full-time mentors housed in district-level teacher development offices. These mentors receive more than 100 hours of training annually from NTC program staff, both during institutes and through in-field support from lead coaches. The mentors, who are supervised centrally, support first- and second-year teachers across multiple schools at a ratio of 15

beginning teachers to 1 mentor. New teachers receive 2 years of coaching, meeting with their assigned mentors weekly for a minimum of 180 minutes per month. Mentors and teachers work through a system of NTC-developed online formative assessments, including tools to guide observation cycles and to develop teachers' skills in lesson planning and analyzing student work.

Figure 1. Components of the NTC Induction Model

Component	Description
New Teacher Center supports	<p>NTC staff and i3 program leads:</p> <ul style="list-style-type: none"> <li>• Advocate for and develop district understanding of the full-time mentoring model</li> <li>• Engage principals to support beginning teachers and develop mentor-principal relationships</li> <li>• Build capacity for a district-led mentoring program after NTC involvement</li> <li>• Provide program standards, formative assessment tools, training curricula, and an online mentor platform</li> </ul>
Mentor selection and assignment	<p>Mentors are:</p> <ul style="list-style-type: none"> <li>• Selected through a rigorous process</li> <li>• Released from teacher assignments to serve as a full-time mentor</li> <li>• Assigned no more than 15 first- and second-year teachers to mentor</li> </ul>
Mentor development and accountability	<p>Mentors receive intensive training, including:</p> <ul style="list-style-type: none"> <li>• Mentor Academy</li> <li>• Mentor Forums</li> <li>• Mentor-to-mentor shadowing</li> <li>• Site lead support and feedback</li> <li>• Peer coaching and goal-setting</li> </ul>
Provision of high-quality mentoring	<p>Mentors:</p> <ul style="list-style-type: none"> <li>• Use the formative assessment system</li> <li>• Meet one to one for 60–90 minutes 3–4 times a month with new teachers</li> <li>• Document reflections on mentoring work with new teachers</li> <li>• Focus on instructional practice and on equity and universal access</li> </ul>

## Evaluation of the New Teacher Induction Model

In the evaluation, SRI used rigorous mixed quantitative and qualitative methods to measure implementation fidelity and impact on teacher and student outcomes in the participating sites over a 3-year period (2013–14 to 2015–16). In each district, the evaluation followed two

cohorts of new teachers for 2 years each— Cohort 1 began teaching in 2013–14 and Cohort 2 in 2014–15.

The implementation study assessed how well NTC and the sites implemented the full model under typical district conditions. Implementation fidelity was rated for each district annually on each key component of the NTC induction model (see Figure 1).

For the impact study, randomized controlled trials were used with school-level random assignment in BCPS and CPS to compare the outcomes of teachers who received NTC induction mentoring (the treatment condition) with the outcomes of teachers who received business-as-usual new teacher supports (the control condition). Participating schools with beginning teachers were randomly assigned to the treatment or control condition during the summer before implementation.

SRI assessed the impacts of the NTC induction model on teachers’ retention into their third year of teaching, on teacher practice as measured by the Framework for Teaching,<sup>4</sup> and on student achievement on state assessments in ELA and mathematics in grades 4 through 8.

The Framework for Teaching was chosen because it is not overly aligned with the NTC model; it is a broad measure of instructional quality used in many contexts nationally. It includes components that assess skills such as managing classroom procedures and student behavior; organizing instruction; communicating clearly; and monitoring student learning. These are skills that most new teachers must develop in their first 2 years of teaching. Trained observers

**Framework for Teaching Components**

**Classroom Environment**

- Creating an Environment of Respect and Rapport
- Establishing a Culture for Learning
- Managing Classroom Procedures
- Managing Student Behavior

**Instruction**

- Communicating with Students
- Using Questioning and Discussion Techniques
- Engaging Students in Learning
- Using Assessment in Instruction

Danielson Group (2013)

scored each teacher at two time points—fall of the first year of teaching (baseline) and spring, near the end of the second year—on the components under Classroom Environment and Instruction (eight components total, see sidebar above). Observers were blind to whether teachers were in the treatment or control condition.

**Figure 2. Average District and Study Sample Characteristics at the Time of Random Assignment**

		No. of Schools	No. of Teachers in Study	School Rating	% English Learners	% Special Education	% Free or Reduced-Price Lunch Eligible	% Minority
BCPS	Treatment	43	193	2.2	10	13	71	81
	Control	44	148	2.6	11	16	68	79
	District	213	--	2.7	12	13	66	77
CPS	Treatment	65	149	2.4	22	13	84	92
	Control	75	139	2.5	24	12	84	88
	District	536	--	2.1	14	14	84	91

Note: “School Rating” refers to the state report card of quality ratings applied to each school. At the time of random assignment, BCPS assigned all schools a letter grade (A to F), and CPS used whole numbers between 1 and 3. These ratings were put on a common scale where 0 = F in BCPS and 3 in CPS, 1 = D in BCPS, 2 = C in BCPS and 2 in CPS, 3 = B in BCPS, and 4 = A in BCPS and 1 in CPS.

Source: <http://cps.edu/SchoolData/Pages/SchoolData.aspx> (CPS); <http://www.broward.k12.fl.us/dsa/counts/1213/20DayCount1213.shtml>; and [schoolgrades.fldoe.org/xls/1213/SGbasic\\_2013.xls](http://schoolgrades.fldoe.org/xls/1213/SGbasic_2013.xls) (BCPS)

<sup>4</sup> Danielson Group, 2013, *The Framework for Teaching Evaluation Instrument: 2013 Edition*. Princeton, NJ: Author.

All outcomes were analyzed using hierarchical models taking into account the nesting of students within teachers within schools. The analytic models adjusted for student, teacher, and school characteristics as well as district differences where appropriate. The models were fully interacted to account for differences in district contexts that resulted in differences in the relationships between the outcomes and the control variables by district and by cohort.

Cluster-level attrition was high on teacher practice outcomes (23 percent overall, with a 2 percentage point differential between treatment and control), but it met the What Works Clearinghouse (WWC) guidelines (version 2.1, 2012).<sup>5</sup> Cluster-level attrition for student outcomes also met WWC attrition standards (6–11 percent overall with 0–4 percent differential attrition). The study includes a few joiners (new teachers who joined the study after schools were randomized). The results remained the same when these teachers were excluded from the analysis. See the [methods appendix](#) for more information on the evaluation methodology and detailed results.

## District Contexts

The NTC model was implemented in two districts representing very different contexts (Figure 2). The schools included in the evaluation reflected the demographics of their districts overall. On average, the CPS schools had higher proportions of English learners, students eligible for free or reduced-price lunch, and racial/ethnic minority students.

## Findings

### Districts implemented the NTC model with fidelity

All participating sites implemented the NTC model with high levels of fidelity (Figure 3). The sites improved their implementation of components 3 (mentor development and accountability) and 4 (providing high-quality mentoring) after the first year. Specifically, mentors more consistently participated in mentor-to-mentor shadowing, received feedback from lead coaches based on coaching observations, and used NTC’s formative tools in their mentoring activities with new teachers.

In all sites, beginning teachers in treatment schools were more likely to be assigned a mentor in their first 2 years of teaching and received more intensive and more instructionally focused mentoring than teachers in control schools.<sup>6</sup>

Figure 3. Program Level Implementation Fidelity Scores Across Sites, by Year

Component	Year 1 (2013-14)	Year 2 (2014-15)	Year 3 (2015-16)
1. New Teacher Center supports	High	High	High
2. Mentor selection and assignment	High	High	High
3. Mentor development and accountability	Medium	High	High
4. Provision of high-quality mentoring	Medium	High	High

<sup>5</sup> Cluster-level attrition refers to schools that were dropped from the analysis because of teacher turnover or teacher refusal to be observed. Attrition levels did not meet standards for all individual district-level or cohort-level analyses. See the methods appendix for details.

<sup>6</sup> Evaluation of NTC’s i3 Validation grant, new teacher surveys, spring 2014, 2015, and 2016. See methods appendix for a description of survey methods.

### NTC teachers and control teachers were retained at similar rates

Overall, NTC-supported teachers were retained into their third year after becoming teachers at similar rates as control teachers.<sup>7</sup> Across both cohorts, 79% of treatment teachers and 78% of control teachers were retained; the difference was not statistically significant.

### NTC teachers and control teachers scored similarly on teacher practice measures

SRI examined change in teacher practice as a potential mediator for improving student achievement. Instructional effectiveness was measured using ratings on eight components of the Framework for Teaching, as mentioned above.

Overall, after 2 years of NTC-supported mentoring, observed treatment and control teachers in both cohorts scored similarly on teacher practice measures; the analysis showed no statistically significant differences on the eight measured components. However, teacher attrition between the first and second observation cycles resulted in a small analytic sample. Only 80 treatment and 79 control teachers were observed at both time points. The small sample size reduced the ability to detect

the effects—positive or negative—of the NTC model on teacher practice, particularly if those effects were small or if teachers varied greatly in their practice.

### Two years of induction support for teachers resulted in positive impacts on student achievement in ELA

On average, students in grades 4–8 of teachers who participated in NTC induction for 2 years outperformed students of control teachers by 0.09 standard deviation ( $p < .05$ ) in ELA (Figure 4), equivalent to moving from the 48th to the 52nd percentile. On broad-scope standardized tests like the Florida Standards Assessment (FSA) and the Measures of Academic Progress (MAP), used in BCPS and CPS, respectively, an effect size of 0.09 is equivalent to an approximately 23–39 percent greater annual gain than otherwise expected for students in grades 4–8 and represents the equivalent of approximately 2 to 3.5 additional months of learning, depending on the student’s grade level.

Figure 4. Impact of Two Years of Induction Support for Teachers on Student Achievement

Subject	Adjusted Mean Test Scores		Difference (effect size)	Sample Sizes		
	Treatment	Control		Students	Teachers	Schools
ELA	0.05	-0.04	<b>0.09*</b>	6,147	149	99
Math	0.06	-0.09	<b>0.15**</b>	4,972	129	86

Note: The effect on student achievement is a 1-year effect, as the districts provided current and prior achievement data annually, but did not consistently provide identifiers to link students across the datasets provided to researchers each year.

The 1-year impact after 2 years of mentoring includes achievement in 2014–15 for Cohort 1 teachers and 2015–16 for Cohort 2 teachers.

Adjusted mean test scores are in standard deviation units.

\*  $p < .05$ , \*\*  $p < .01$

<sup>7</sup> Teacher retention in the district was measured using district human resources (HR) data. Teachers were counted as “retained” if they were still employed by the district at the beginning of their third year, i.e., fall 2015 for Cohort 1 and fall 2016 for Cohort 2. The retention analysis included all study teachers because the districts were able to provide HR data for the full sample.



## Two years of induction support for teachers resulted in positive impacts on student achievement in mathematics

Students in grades 4–8 of teachers who participated in NTC induction for 2 years scored 0.15 standard deviation ( $p < .01$ ) higher on average than students of control teachers (Figure 4). These impacts are equivalent to moving from the 46th to the 52nd percentile. On broad-scope standardized tests like the FSA and the MAP, an effect size of 0.15 is equivalent to an approximately 27–50 percent greater annual gain than otherwise expected for students in grades 4–8 and represents the equivalent of approximately 2.4 to 4.5 additional months of learning, depending on the student’s grade level.

## Conclusions

NTC’s 2-year induction model showed positive impacts in both ELA and mathematics for students in grades 4–8. This study contributes new evidence on comprehensive teacher induction. A 2014 study of comprehensive teacher induction reported no effects on student achievement after 2 years of induction support. After teachers’ third year of teaching, impacts on student achievement in both mathematics and reading were positive and statistically significant, lagging the induction period.

However, those findings were not consistent under different approaches to estimating impact. In the current study, SRI tested the student achievement impacts under a variety of scenarios. Although we tested different scenarios than the 2014 study, in all cases, the student achievement impacts remained similar.<sup>8</sup> The 2014 report also found no differences in teacher practice between treatment and control teachers, consistent with this current study.<sup>9</sup>

SRI is investigating variation in the results across districts in the current study and analyses are forthcoming. Although the evaluation was not able to detect differences in practice outcomes between NTC-supported teachers and the control group, this result may be inconclusive because of the small sample size. However, the frequency and duration of mentor-teacher meetings—central components distinguishing the NTC induction model—were positively correlated with the student achievement results. NTC is scaling up its induction model and testing it in five additional urban sites under an i3 Scale Up grant (from 2016–17 through 2018–19), which will provide an opportunity to validate the findings from the current evaluation.

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<sup>8</sup> See methods appendix for sensitivity analyses.

<sup>9</sup> S. Glazerman, E. Isenberg, S. Dolfen, M. Bleeker, A. Johnson, M. Grider, and M. Jacobus, 2010, *Impacts of Comprehensive Teacher Induction: Final Results From a Randomized Controlled Study* (NCEE 2010-4027), Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education.

**EXECUTIVE SUMMARY**

**Issue:** Approval of appointments to the Alternative Educator Preparation Application Review Committee

Action/Discussion Item       Information Item

**Background and Discussion**

At its August 4, 2017 meeting, the Board adopted rules regarding the approval of alternative preparation programs. Pursuant to those rules, the Board is required to appoint a review committee to: 1) review applications for alternative preparation programs; 2) determine whether to recommend that the Board grant approval based on rule; and 3) make recommendations to the Board within 60 days of receipt of the application. At its August 28, 2017 meeting, the Board approved the creation of the Alternative Educator Preparation Application Review Committee, "Review Committee".

The Review Committee consists of the following members:

- A currently certified professional educator that is a graduate of an alternative certification program;
- A currently certified professional administrator;
- A member of the business community;
- Two members of the Certification Advisory Committee (CAC); and
- A representative from the Department of Education (ADE).

Below are the qualified candidates who applied for appointment to the Review Committee. Their applications and resumes are attached.

<b>Candidate Name</b>	<b>Role for the Review Team</b>	<b>Appointment Date</b>	<b>Appointment Expiration Date</b>
Kim Peaslee	Member of CAC	9/25/17	9/24/21
Marisol Garcia	Member of CAC	9/25/17	9/24/21
Joshua Aragon	Certified Educator that is a Graduate of an Alternative Certification Program	9/25/17	9/24/21
Kristin Reidy	Certified Professional Administrator	9/25/17	9/24/21
N/A	Member of the Business Community	N/A	N/A
Terry Maurer	Representative from ADE	9/25/17	9/24/21

**Recommendation to the Board**

It is recommended that the Board appoint the listed candidates to the Alternative Educator Preparation Application Review Committee.

**Contact Information:**

Karol Schmidt, Executive Director, State Board of Education  
 Catcher Baden, Deputy Director, State Board of Education

**EXECUTIVE SUMMARY**

**Issue:** Consideration to approve the Move on When Reading (MOWR) LEA and charter school literacy plans for release of K-3 Reading Base Support Funds.

Action/Discussion Item

Information Item

**Background and Discussion**

A.R.S. § 15-701 prohibits a student from being promoted from the third grade if the student obtains a score on the reading portion of the statewide assessment that demonstrates the student's reading falls far below (FFB) the third grade level. The law requires school districts and charter schools to offer 3rd grade students who score FFB on the statewide assessment at least one of the intervention and remediation strategies listed in statute and adopted by the State Board of Education (Board).

The legislature appropriates \$40 million annually for K-3 reading base support funding to provide per student funding to schools for students in grades K-3, and prescribed requirements for the receipt of the funds. A.R.S. §15-211, requires school districts and charter schools that serve any K-3 grades to annually submit a literacy plan to the Board. The law further requires school districts and charter schools which either received C/D/F letter grades or had more than 10% of their 3rd grade students labeled as "Falls Far Below" (FFB) on the statewide reading assessment to have their reading plans approved by the Board before the Arizona Department of Education School Finance Division may release reading base support funds.

The General Appropriations Act for fiscal years 2013, 2014 and 2015 included a budget footnote which allowed the Board to use up to \$1,500,000 of the \$40 million appropriated for K-3 reading base support on "technical assistance and state level administration" of the MOWR program. The fiscal year 2015-2016 General Appropriations Act (Laws 2015, Chapter 8) created the Board as a separate budget unit and appropriated \$39.9 million to the K-3 Reading base support level, while it removed the footnote that provided the Board with the authority to use a portion of the funds to provide technical support and administer the program. HB 2479 (Laws 2015, Chapter 310) included session law that allowed the Department to use up to \$500,000 of the K-3 Reading base support funding on "technical assistance and state level administration" of the program.

MOWR Policy and Administration

The Board retains authority to set policy for the MOWR program pursuant to A.R.S. §15-701 and A.R.S. §15-211. In June 2012, the Board considered recommendations developed in partnership with the Department, and approved the content of the literacy

**Contact Information:**

Jonathan Moore, Deputy Associate Superintendent, K-12 Academic Standards  
Carol Lippert, Associate Superintendent, High Academic Standards for Students

**EXECUTIVE SUMMARY**

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plans and determined procedures by which the plans would be submitted, reviewed and approved. These procedures allow the distribution of funds to those districts and charters which statutorily require review of literacy plans before release of funds.

2017-2018 LEA and Charter School Submissions

Arizona Revised Statute § 15-211(A-B), requires LEAs and charter schools that provide instruction in grades K-3 to annually submit a comprehensive literacy plan on October 1. All LEAs and Charter Schools that provide instruction in grades K-3 are required to have their literacy plans approved by the Board in order to receive K-3 reading base support funding. LEAs and charter schools that are assigned a letter grade of A or B pursuant to A.R.S. § 15-241 shall submit a comprehensive literacy plan only in odd-numbered years.

Literacy Plan Review and Approval

The MOWR Literacy Plans submitted by the LEAs and Charter Schools included with this Executive Summary were reviewed by the Director of English Language Arts and Humanities and the K-3 Early Literacy Specialist, both from the K-12 Academic Standards unit. If plans were found to have significant deficiencies, the K-12 Academic Standards Unit contacted them to provide resources and technical assistance. LEAs were given the date of October 1, 2017 to correct all delinquencies in their plan.

As of September 14, 2017, 46 of 464 (10%) of MOWR Literacy Plans have been submitted. All of the literacy plans submitted as of 9/14/17 have been reviewed and approved by the ADE MOWR team, which includes review of the plan and technical assistance to schools and districts. The following list of LEA plans are deemed to contain sufficient criteria for Board approval:

<u>Entity ID</u>	<u>LEA or Charter School Name</u>
4161	Alpine Elementary District
90917	Archway Classical Academy – Chandler
92656	Archway Classical Academy – Lincoln
4471	Ash Fork Joint Unified District
4484	Canon Elementary District
78858	Carden of Tucson

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4410	Catalina Foothills Unified District
4474	Chino Valley Unified District
4177	Cochise Elementary District
4442	Coolidge Unified District
78783	Fit Kids, Inc. dba Champion Schools
4495	Franklin Phonetic Primary School
4505	Gadsden Elementary District
6372	Gem Charter School Inc.
4392	Heber-Overgaard Unified District
4480	Kirkland Elementary District
4276	Laveen Elementary District
92610	Legacy Traditional Charter School
91763	Legacy Traditional Charter School – Laveen Village
88360	Legacy Traditional Charter School – Maricopa
92199	Legacy Traditional Charter School – Casa Grande
91135	Legacy Traditional School – Avondale
91133	Legacy Traditional School – Chandler
92047	Legacy Traditional School – Gilbert
850100	Legacy Traditional School – Glendale
850101	Legacy Traditional School – North Chandler
91137	Legacy Traditional School – Northwest Tucson
850099	Legacy Traditional School – Peoria
92879	Legacy Traditional School – Surprise
4473	Mayer Unified School District
4503	Mohawk Valley Elementary District

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10760	Noah Webster Schools – Mesa
92374	Noah Webster Schools – Pima
10967	Painted Pony Ranch Charter School
4369	Peach Springs Unified District
79866	PEAK School Inc.
4201	Pine Forest Education Association, Inc.
4438	Ray Unified District
4411	Sahuarita Unified District
4156	Sanders Unified District
4461	Sonoita Elementary District
4153	St. Johns Unified District
4258	Tempe School District
4277	Union Elementary District
91948	Vista College Preparatory, Inc.
4485	Yarnell Elementary District

**Recommendation to the Board**

It is recommended that the Board approve the Move On When Reading LEA literacy plans for release of K-3 Reading Base Support Funds, as listed in this item.

**EXECUTIVE SUMMARY**

Issue:	Presentation, discussion and possible action regarding setting cut scores for A-F School Accountability letter grades for traditional K-8 and 9-12 schools
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Action/Discussion Item

Information Item

**Background and Discussion**

Pursuant to A.R.S. § 15-241, the Board is charged with adopting an annual achievement profile that is used to determine a school classification based on an A through F letter grade system.

On August 28, 2017 and September 5, 2017, the Board considered the impact of refinements to the A-F Accountability System for traditional schools. The refinements included adjustments to Student Growth to Target (SGT) and Student Growth Percentiles (SGP) weights, referred to as "Method 2". Method 2 increased weights for "Average" growth within SGP and awarded partial points for SGT growth that is "At/Near." Previously, partial points were not available for SGT.

There were additional refinements to graduation rate. Schools that improve 4 year graduation rates by more than 2% or who are at 95% or above receive 10 points. Schools at or near their prior 4 year rate (within 2 points) receive 5 points. Schools that decline more than 2 points receive no points. The remaining 10 possible points for graduation rate, utilizing 4-5-6-7 year graduation rates, is unchanged.

The Board directed staff at the Arizona Department of Education to validate the data presented at these meetings. **The Board is scheduled to review the data during a study session on September 22, 2017.** An updated executive summary will be provided when the data is available.

**Recommendation to the Board**

It is recommended that the Board adopt cut scores for 2016-2017 letter grades for traditional K-8 and 9-12 schools. In cooperation with the AAG and ADE, Board staff is developing a more specific recommendation for the Board's consideration and will provide this recommendation with an updated executive summary.

**Contact Information:**

Dr. Karol Schmidt, Executive Director, State Board of Education  
Alicia Williams, Deputy Director, State Board of Education  
Catcher Baden, Deputy Director, State Board of Education



**9-12 Corrected**

**ADE Validation of AAG Method #2**

**Dr. Jennifer Fletcher, ADE**



# Grad Rate

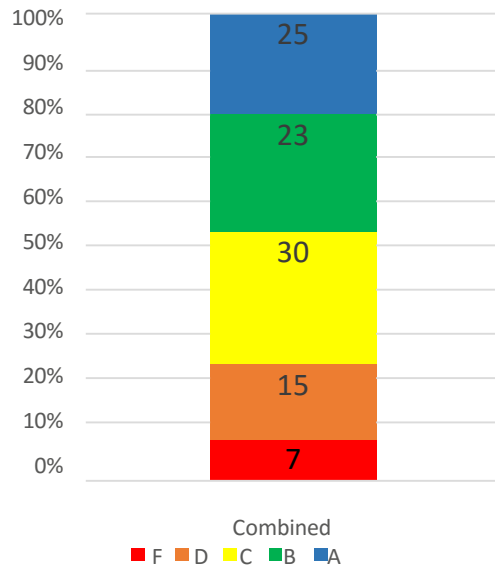
- Option #1
  - A school's current year 4-year graduation rate is greater than or equal to 95% = 10 points
  - The difference between a school's current year 4-year graduation rate and prior year 4-year graduation rate is greater than 2 points = 10 points
  - The difference between a school's current year 4-year graduation rate and prior year 4-year graduation rate is greater than or equal to -2 points and less than or equal to 2 points = 5 points
  - The difference between a school's current year 4-year graduation rate and prior year 4-year graduation rate is less than -2 points = 0 points
- Option #2
  - A school's current year 4-year graduation rate is greater than or equal to 90% = 10 points
  - The difference between a school's current year 4-year graduation rate and prior year 4-year graduation rate is greater than 2 points = 10 points
  - The difference between a school's current year 4-year graduation rate and prior year 4-year graduation rate is greater than or equal to -2 points and less than or equal to 2 points = 5 points
  - The difference between a school's current year 4-year graduation rate and prior year 4-year graduation rate is less than -2 points = 0 points

# 9-12 Comparison to Poverty

	Proficiency	Growth	Percentage (Total Points/Eligible Points)
Option #1	-0.613	0.204	-0.501
Option #2	-0.613	0.204	

# Letter Grade Impact – Grad Rate #1

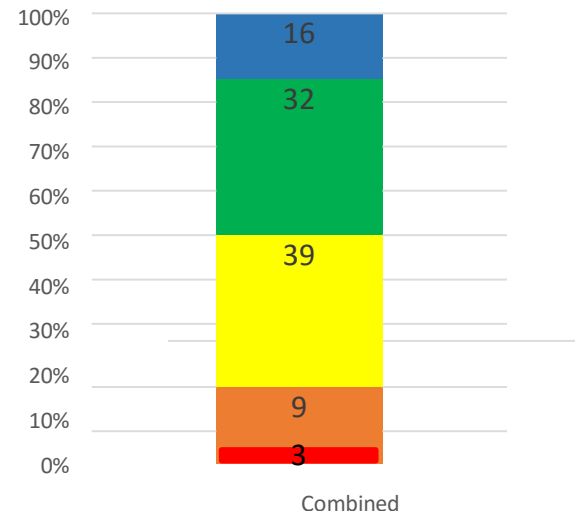
**80% - 70% - 60% - 50%**



>= 80% A  
 70-79.99% B  
 60-69.99% C  
 50-59.99% D  
 <= 49.99% F

**Standard Deviation**

**85%-70%-55%-40%**



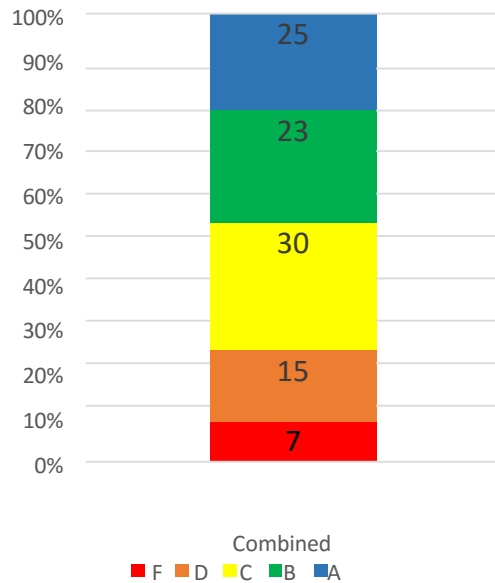
>= 85% A  
 70-84.99% B  
 55-69.99% C  
 40-54.99% D  
 <= 39.99% F

Percentages are out of total points available to the school.

\*There are 71 Not Rated 9-12 schools (out of 371 ~19%).

# Letter Grade Impact – Grad Rate #2

**80% - 70% - 60% - 50%**

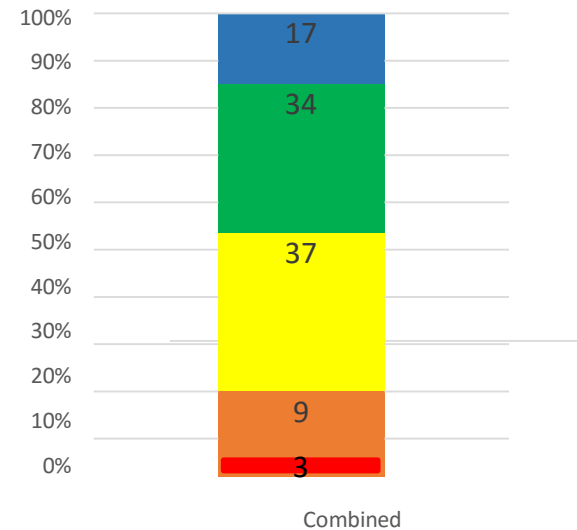


Combined  
 ■ F ■ D ■ C ■ B ■ A

>= 80% A  
 70-79.99% B  
 60-69.99% C  
 50-59.99% D  
 <= 49.99% F

**Standard Deviation**

**86%-71%-56%-41%**



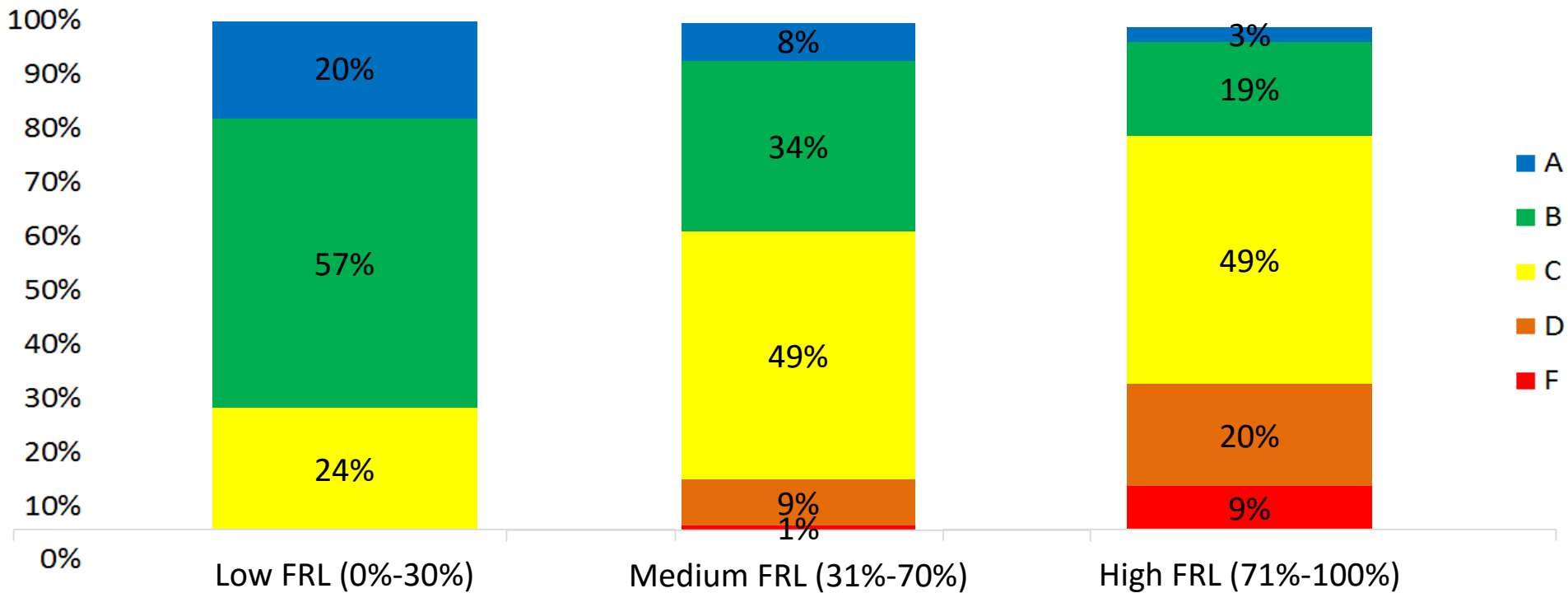
Combined  
 ■ F ■ D ■ C ■ B ■ A

>= 86% A  
 71-85.99% B  
 56-70.99% C  
 41-55.99% D  
 <= 40.99% F

Percentages are out of total points available to the school.

\*There are 71 Not Rated 9-12 schools (out of 371 ~19%).

# Grad Rate #1 Standard Deviation FRL Comparison



# Grad Rate #1 Standard Deviation Comparison to FRL

	Percentage FRL									
Grade	0%-10%	11%-20%	21%-30%	31%-40%	41%-50%	51%-60%	61%-70%	71%-80%	81%-90%	91%-100%
<b>A</b>	0%	27%	15%	3%	11%	11%	5%	0%	10%	0%
<b>B</b>	100%	59%	45%	63%	40%	14%	18%	17%	10%	36%
<b>C</b>	0%	14%	40%	33%	40%	68%	55%	63%	40%	29%
<b>D</b>	0%	0%	0%	0%	9%	2%	18%	14%	30%	21%
<b>F</b>	0%	0%	0%	0%	0%	0%	3%	6%	10%	14%

# Grad Rate #1 Standard Deviation Title I vs. Non-Title I

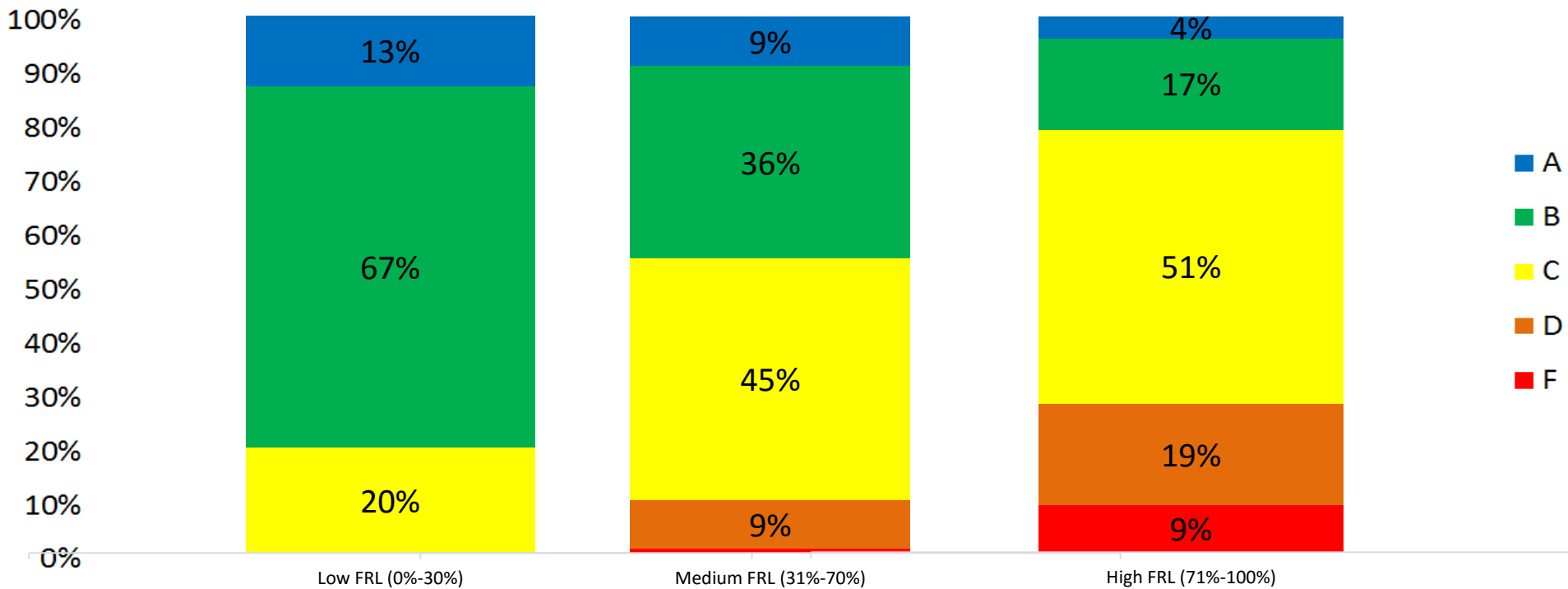
Grade	Title I	Non-Title I
A	9%	25%
B	22%	46%
C	52%	24%
D	13%	5%
F	4%	1%

# Grad Rate #1 Standard Deviation Common Performance

	Proficiency	Growth	ELL	CCRI	Grad Rate
A	18-30 points, M=26	13-19 points, M=17	0-10 points, M=10	16-24 points, M=21	10-20 points, M=19
B	12-25, M=18	10-19, M=14	0-10, M=8	10-24, M=18	6-20, M=17
C	2-25, M=12	6-19, M=12	0-10, M=8	7-21, M =15	6-20, M=16
D	2-12, M=8	5-14, M=10	0-8, M=6	2-19, M=12	9-20, M=13
F	4-7, M=6	6-14, M=10	NA	N1-13, M=6	7-10, M=9



# Grad Rate #2 Standard Deviation FRL Comparison



# Grad Rate #2 Standard Deviation Comparison to FRL

	Percentage FRL									
Grade	0%-10%	11%-20%	21%-30%	31%-40%	41%-50%	51%-60%	61%-70%	71%-80%	81%-90%	91%-100%
<b>A</b>	0%	27%	0%	7%	11%	11%	8%	0%	10%	7%
<b>B</b>	100%	64%	65%	63%	43%	18%	21%	20%	5%	29%
<b>C</b>	0%	9%	35%	30%	37%	64%	50%	60%	50%	29%
<b>D</b>	0%	0%	0%	0%	9%	7%	18%	14%	25%	21%
<b>F</b>	0%	0%	0%	0%	0%	0%	3%	6%	10%	14%

# Grad Rate #2 Standard Deviation Title I vs. Non-Title I

Grade	Title I	Non-Title I
A	10%	25%
B	24%	46%
C	48%	24%
D	14%	4%
F	4%	1%

# Grad Rate #2 Standard Deviation Common Performance

	Proficiency	Growth	ELL	CCRI	Grad Rate
A	18-30 points, M=26	13-19 points, M=17	0-10 points, M=10	16-24 points, M=21	10-20 points, M=18
B	11-25, M=18	10-19, M=14	8-10, M=9	10-24, M=18	6-20, M=17
C	2-25, M=12	6-19, M=12	0-10, M=8	7-21, M =14	6-20, M=16
D	2-13, M=8	5-14, M=10	0-8, M=6	2-16, M=12	9-20, M=14
F	4-8, M=6	6-14, M=10	NA	1-13, M=6	7-10, M=9

## K-12 schools with letter grade discrepancies between K-8 and 9-12

<b>STANDARD DEVIATION METHOD OF CUT SCORES</b>	
<b><i>K-8 / 9-12 letter grades combinations</i></b>	<b><i>Number of schools impacted</i></b>
A/B or B/A	12
A/C or C/A	4
A/D or D/A	0
A/F or F/A	0
A/NR or NR/A	1
B/C or C/B	14
B/D or D/B	1
B/F or F/B	1
B/NR or NR/B	5
C/D or D/C	7
C/F or F/C	2
C/NR or NR/C	8
D/F or F/D	3
D/NR or NR/D	1
F/NR or NR/F	2

<b>80-70-60-50-40 METHOD OF CUT SCORES</b>	
<b><i>K-8 / 9-12 letter grades combinations</i></b>	<b><i>Number of schools impacted</i></b>
A/NR OR NR/A	2
B/NR OR NR/B	6
C/NR OR NR/C	4
D/NR OR NR/D	3
F/NR OR NR/F	1
A/B OR B/A	10
A/C OR C/A	6
A/D OR D/A	0
A/F OR F/A	0
B/C OR C/B	10
B/D OR D/B	2
B/F OR F/B	2
C/D OR D/C	1
C/F OR F/C	3
D/F OR F/D	4

**EXECUTIVE SUMMARY**

Issue: Presentation, discussion and possible action regarding identifying levels of performance for A, B, C, D and F schools

Action/Discussion Item                       Information Item

**Background and Discussion**

Pursuant to A.R.S. § 15-241, the Board is charged with adopting an annual achievement profile that is used to determine a school classification based upon an A through F letter grade system. Under this statute, “a letter grade of A reflects an excellent level of performance and a letter grade of F reflects a failing level of performance.” At the August 18, 2017 Special Meeting, the Board set the level of performance for B, C, and D schools and directed staff to convene stakeholders to define the levels of performance.

The Board discussed the levels of performance and descriptors at the August 28, 2017 meeting. The following reflects updates to those levels of performance and descriptors based on input from Board Members.

Letter Grade	Level of performance	Descriptor
A	Excellent	<del>High</del> <u>Distinguished</u> performance on statewide assessment, significant student growth, high 4 year graduation rates, <del>moving students to proficiency at a higher rate than state average</del> <u>students are on track to proficiency*</u> ; overall performance is significantly higher than state average. <i>*"A" schools may not meet each of these descriptors.</i>
B	<u>Highly</u> Performing	High performance on statewide assessment and/or significant student growth and/or higher 4 year graduation rates and/or moving students to proficiency at a higher rate than state average
C	<del>Partially</del> Performing	<del>Meeting—expectations—</del> <u>Adequate</u> performance but needs improvement on some indicators – proficiency or growth or graduation rate
D	Minimally Performing	<del>Few students are proficient and/or making growth and/or graduating within 4 years relative to the state average</del> <u>Inadequate</u> performance in proficiency, growth and/or 4 year graduation rate relative to the state average
F	Failing	Systematic failures in proficiency, growth and graduation rates (below 67%); performance is in bottom 5% of the state

**Recommendation to the Board**

It is recommended that the Board adopt levels of performance and descriptors for A, B, C, D and F schools.

**Contact Information:**

Dr. Karol Schmidt, Executive Director, State Board of Education  
 Catcher Baden, Deputy Director, State Board of Education

**EXECUTIVE SUMMARY**

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<b>Issue:</b> Presentation, discussion and possible action regarding adoption of processes and the creation of a technical advisory committee regarding revisions to A-F School Accountability for the 2018-2019 school year
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Action/Discussion Item

Information Item

**Background and Discussion**

Pursuant to A.R.S. § 15-241, the Board is charged with adopting an annual achievement profile that is used to determine a school classification based on an A through F letter grade system.

In connection with the adoption of the 2016-2017 Accountability Plan at its April 2017 meeting, the Board also voted to engage in an annual review.

A proposed process, formation of a Technical Advisory Committee, and update on the menu of assessments are attached.

**Recommendation to the Board**

It is recommended that the Board adopt a process for revisions to the A-F School Accountability Plans and create a technical advisory committee.

Dr. Karol Schmidt, Executive Director, State Board of Education  
Alicia Williams, Deputy Director, State Board of Education  
Catcher Baden, Deputy Director, State Board of Education

**EXECUTIVE SUMMARY**

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**ARIZONA STATE BOARD OF EDUCATION  
REVISION/ENHANCEMENT PROCESS FOR  
A-F SCHOOL ACCOUNTABILITY PLANS  
Adopted \_\_\_\_\_**

1. The State Board of Education seeks public input to enhance the existing 2016-2017 A-F Accountability Plans for consideration for adoption, applicable beginning in the 2018-2019 school year.
2. The Board has provided guidance that all public input is welcomed and encouraged on:
  - a. Incorporation of the menu of assessments
  - b. Growth measures that are easy to understand
  - c. College and Career Readiness measures
  - d. K-8 acceleration measures
  - e. Bonus points
  - f. n count
3. Public input is encouraged to align suggested revisions with the following guiding principles:
  - a. fairness and equity;
  - b. student-level focus;
  - c. transparency, ease of understanding, and ease of communication; and
  - d. incentives to action
4. Board staff is directed to collect public input beginning October 1, 2017 through November 15, 2017 through a variety of methods and modalities. Board staff is further directed to review any “parking lot” items from prior Committee meetings for consideration by the Board, as appropriate.
5. Board staff will assemble the input for presentation at a special meeting of the Board in November, 2017 TBD.
6. To assist the Board, the Board will form a Technical Advisory Committee to consider and review the systematic and objective application of quantitative, qualitative and mixed methodologies research principles to student data as directed by the Board.
7. The Board will convene and review the assembled input from Board staff to provide guidance to the Technical Advisory Committee on modelling.

Dr. Karol Schmidt, Executive Director, State Board of Education  
Alicia Williams, Deputy Director, State Board of Education  
Catcher Baden, Deputy Director, State Board of Education



**EXECUTIVE SUMMARY**

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8. The Technical Advisory Committee (TAC) will provide updates to the Board on its findings at the December, 2017 Board meeting.
9. An iterative process will be followed with the Board providing additional guidance to the TAC and the TAC presenting its findings at ensuing Board meetings.
10. The Board anticipates adoption of any revisions at its March, 2018 meeting.

## EXECUTIVE SUMMARY

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### TECHNICAL ADVISORY COMMITTEE

Consistent with various provisions of state law including A.R.S. §15-241, the State Board of Education is charged with adopting policies that are intertwined with the application of various research-based data methodologies. This proposal suggests the formal creation of a standing Technical Advisory Committee (TAC) to provide the Board with advice on the review of data and data methodologies.

#### RATIONALE

The Board does not have a technical advisory group to consider and review the systematic and objective application of quantitative, qualitative and mixed methodologies research principles to data impacting Board policy decisions.

#### SCOPE AND FUNCTION

The mission of the TAC is to advise the Board of the opinions and findings of all of its members regarding the systematic and objective application of quantitative, qualitative and mixed methodologies research principles to data impacting Board policy decisions as directed by the Board.

The Technical Advisory Committee will:

- Discuss and evaluate the systematic and objective application of quantitative, qualitative and mixed methodologies research principles to K-12 educational data as assigned by the Board
- Present findings and recommendations of each TAC member to the Board

The Board shall have a standing agenda item on its monthly Board meeting agenda where assignments may be made. Additionally, the Board shall allow the Chair of the Committee, or his or her designee, to identify potential issues to the Board.

#### COMMITTEE STRUCTURE AND PROCEDURES

The TAC members will be appointed to a term for no more than one-three years by the Board, subject to meeting the specific qualifications for-of experience and expertise as a student achievement researcher in the areas of quantitative, qualitative and mixed methodologies research principles. The committee membership shall also reflect a wide-range of K-12 schools, including: urban, rural, geographic locations, socio-economic status, school configurations in K-12, public traditional, charter, alternative education, online and school performance. Membership shall be as follows:

Dr. Karol Schmidt, Executive Director, State Board of Education  
Alicia Williams, Deputy Director, State Board of Education  
Catcher Baden, Deputy Director, State Board of Education

**EXECUTIVE SUMMARY**

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- 1- ~~School Administrator~~Administrator engaged in student achievement research at a school serving students in grades K-12 in an urban area
- 1- ~~School Administrator~~ Administrator engaged in student achievement research at a school serving students in grades K-12 in an rural area
- 1- ~~School Administrator~~Administrator engaged in student achievement research at a school serving students in grades K-8
- 1- ~~School Administrator~~Administrator engaged in student achievement research at a school serving students in grades 9-12
- 1 ~~Administrator~~Administrator engaged in student achievement research at a school representing an alternative education school
- 1 ~~Administrator~~Administrator engaged in student achievement research at a school representing an online school
- 1- Researcher from an organization engaged in student achievement research
- 1- Researcher from an institution of higher education
- 1- Representative from the Arizona Department of Education

The TAC members shall elect their own chair annually. ~~who will serve simultaneously with their term. No TAC member can serve more than one year.~~

The TAC shall ~~have~~ conduct ~~their~~ its meetings in accordance to open meeting laws.

9-25-2017 version

## EXECUTIVE SUMMARY

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### Menu of Assessments Background and Discussion

For purpose of background, the following information is provided regarding the status of the menu of assessments and considerations for accountability to allow for implementation in high schools for the 2018-2019 school year.

Based on HB 2544 as revised by SB 1098<sup>1</sup>, the Board is required to adopt a menu of assessments that may be utilized by eligible LEAs for assessing high school students in lieu of the statewide assessment for the 2018-2019 school year. A similar provision applies for assessing students in grades 3-8 beginning in the 2019-2020 school year.

Prior to Board approval for placement on the menu of assessments, providers of these assessments must submit evidence to the Board that the assessment is:

- high quality;
- meets or exceeds the level of rigor of the Board adopted academic standards;
- subject to scaling for accountability; and
- evaluated by a third party approved by the Board.

As part of developing the menu of assessments under HB 2544, SBE staff retained Dr. Derek Briggs from the University of Colorado and Dr. Jerry D'Agostino from the Ohio State University to evaluate, from a technical standpoint, the feasibility of implementing a "menu of locally procured achievement assessments to measure pupil achievement of the state academic standards" consistent with the state's accountability plan. In addition, the experts were asked to opine on the feasibility of adopting the menu if the conceptual framework for the state's accountability plan was modified to shift criteria of the statewide assessment within the indicators of the accountability plan.

At the time of drafting the white paper, the existing law HB 2544 referred to equating test scores. (SB 1098 subsequently referred to scaling test scores). The white paper concluded that implementation of a menu of assessments under the current conceptual framework of accountability is not feasible:

- it would not be possible to demonstrate that [a vendor's] scores lead to comparable student scores, performance levels and school classifications until a data collection design could be established and then analyzed in collaboration with ADE and other vendors of menu assessments

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<sup>1</sup> SB 1098 automatically placed AP and Cambridge assessments on the menu without further review by the Board. In addition, SB 1098 modified the equating requirement of test scores to a scaling requirement. Finally, SB 1098 repealed the Board's previously adopted policy regarding the menu of assessments, which was a conforming document to ESSA requirements on assessments and civil rights protections, testing security, and testing modalities.

**EXECUTIVE SUMMARY**

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As an alternative, the experts noted that the menu of assessments could be implemented if the conceptual framework for accountability for the 2016-2017 school year was modified so that AzMERIT scores on ALG II and ELA 11 were removed as criteria from grades 9-12 proficiency and growth indicators and *only* included as criteria for the College and Career Readiness Indicator. The table below demonstrates this shift:

**2016-2017 A-F 9-12 Plan**

Weight	Indicators
30%	Proficiency, Statewide Assessment (ALG I, GEO, ALG II and ELA 9, 10, 11)
20%	Growth, Statewide Assessment (ALG I, GEO, ALG II and ELA 9, 10, 11)
20%	High School Graduation Rate
20%	College and Career Readiness
10%	Proficiency and Growth, English Language Learners

**FUTURE OPTION as discussed in white paper**

Weight	Indicators
30%	Proficiency, Statewide Assessment (ALG I, GEO and ELA 9, 10; <b>EXCLUDE ALG II, ELA 11</b> )
20%	Growth, Statewide Assessment (ALG I, GEO and ELA 9, 10; <b>EXCLUDE ALG II, ELA 11</b> )
20%	High School Graduation Rate
20%	College and Career Readiness
10%	Proficiency and Growth, English Language Learners

The technical review conducted by Briggs and D’Agostino explained:

The most constructive suggestion for a path forward was that if the state placed

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 Alicia Williams, Deputy Director, State Board of Education  
 Catcher Baden, Deputy Director, State Board of Education

**EXECUTIVE SUMMARY**

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high value on flexibility and the need to reduce duplicative testing that this could be accomplished for grade 11 with the menu of assessments plan provided that the scores from these assessments would not be used for the achievement and growth components of the state's accountability ratings for schools. Instead, the state could take advantage of ESSA's flexibility to use *participation in one assessment from the menu of assessments as part of a college readiness indicator.* For high schools, grade 9 and 10 AzMERIT scores would continue to provide evidence relevant to achievement and growth for school-level accountability. If the use of test scores for purpose of school accountability were to be removed, then the issue of score comparability among assessments within an 11<sup>th</sup> grade menu would no longer be a predominant concern. (emphasis added)

With this shift, it is feasible to implement the menu of assessments so that LEAs may administer a Board-approved assessment in grade 11 in lieu of the statewide assessment in 2018-2019.

**EXECUTIVE SUMMARY**

**Issue:** Presentation, discussion and possible action regarding semi-annual progress review of Simon Consulting, L.L.C., as Receiver for Cedar Unified School District No. 25

Action/Discussion Item

Information Item

**Background and Discussion**

Simon Consulting, LLC ("Receiver") was appointed as the Receiver for the Cedar Unified School District No. 25 ("CUSD") by the Arizona State Board of Education ("Board") on April 26, 2011.

Since 2011, the Receiver has conducted investigations to identify and correct the issues that caused CUSD's original financial problems, to establish proper procedures and policies to ensure that those financial problems do not arise again in the future, and to ensure that all district operations are in compliance with the USFRs, Generally Accepted Accounting Principles and state law.

The Receiver is now nearing the completion of its sixth year of receivership, has seen significant progress, and expects to make significant progress in reduction of the building debt. According to the recommendation of the Receiver, however, until the building debt issue is resolved CUSD will be ineligible to be removed from receivership.

Pursuant to A.R.S. § 15-103(L), the Board is required to formally review the Receiver's progress every six months.

**Recommendation to the Board**

It is recommended that the Board approve the semi-annual progress review of Simon Consulting, L.L.C., as Receiver for CUSD No. 25.

**Contact Information:**

Karol Schmidt, Executive Director, State Board of Education  
Catcher Baden, Deputy Director, State Board of Education  
Keith Kenny, Simon Consulting, L.L.C



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*Quarterly Report of the Receiver for  
Cedar Unified School District No. 25*

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*Keith Kenny*

*For the Receiver*

*Simon Consulting, LLC*

*September 6, 2017*



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## **Appendices**

Appendix A ..... CUSD Work Plan for Fiscal Year 2017-18

## **Executive Summary**

Simon Consulting, LLC (“the Receiver”) was appointed as the Receiver for the Cedar Unified School District No. 25 (“CUSD”) by the Arizona State Board of Education (“ASBE”) on April 26, 2011. As of the end of the FY 2011-12, CUSD still owed the state \$492,441 due to previous overpaid state aid and was also required to reduce its budget capacity by \$935,834 to repay previous overspending during the FY 2003-04 through FY 2005-06 school years. CUSD repaid the state \$100,000 in FY 2011-12 toward the state aid overpayment and also reduced its budget capacity by \$100,000 during FY 2011-12 in accordance with HB 2707. Additional money remained unspent from the FY 2012-13 budget and was returned to the state to further reduce the owed balances. The FY 2013-14 budget contained the required budget capacity reduction of \$99,195 as required by HB 2707 and recalculated by ADE Finance. Per discussions with ADE Finance, it was finally determined that Cedar had indeed satisfied its requirement to repay all of the budget capacity reductions through its voluntary additional budget reductions in FY 2011-12 and FY 2012-13. Cedar timely filed an amended budget in May 2014 to remove the previously budgeted \$99,195 capacity reduction, at the direction of ADE Finance. No further budget reductions are required.

Cedar continues to pay back the cash overage owed to the state on the agreed plan timeline. The current amount owed as of the end of FY 2016-17 in overpaid state aid is \$179,959.91. This amount, payable in fiscal year installments of \$57,319.97, will be completely paid off in FY 2019-20. The state deducts this annual payment from state aid payments due to the District.

The Receiver, both through its own actions and those of CUSD administration and staff, has had a positive impact on CUSD in that CUSD is operating more efficiently and cost effectively. Cash flow remains the single largest issue standing between CUSD and fiscal soundness. Cash flow issues will continue to trouble the District, at least until Cedar is able to rebuild its cash reserves. Although Cedar has not sold any warrants since FY 2012-13, Cedar ended the FY 2016-2017 with no cash reserves due to not receiving all of its Federal Impact Aid funds in a timely manner and since its state aid is paid one month in arrears it is possible that Cedar will require warrants from the county treasurer at least until Cedar can build a reserve or remove pay-off the remaining \$500,000 in White Cone building debt that is currently being offset against Cedar’s M & O funds. The Receiver, County Superintendent are working with the County Treasurer to see what the Treasurer is willing to do for Cedar. Once the Receivership is terminated after Cedar meets all of the requirements for exiting the Receivership spelled out in ARS 15-103, Cedar should be able to obtain a small credit line to help smooth out the inevitable cash flow shortages that may occur.

The adopted FY 2017-18 budget was timely filed in July 2017 as required. The adopted Maintenance & Operations (“M&O”) budget total was \$2,047,301 excluding any potential carryforward.

Reduction of the remaining \$600,000 of White Cone building debt is the last remaining impediment to the termination of the Receivership. The district was able to reduce the debt by \$100,000 in January 2016 leaving a remaining balance of \$500,000. The White Cone Impact Aid

bonds final payment was made on July 1, 2017, therefore all future Impact Aid payments will be paid directly to the District. Cedar plans to use the additional impact aid funds to both build a cash reserve and use some to address much needed maintenance issues that have been neglected over the last several years. Once Cedar can build a cash reserve, it will be able to eliminated the remaining White Cone Debt and the Receiver and the District will be able to petition the State Board for the formal termination of the Receivership.

Cedar has completed its repayment of budget capacity reduction and is on schedule for the repayment of the overpaid state aid cash component. Cedar has proven its ability under the current administration to stay within budget parameters and self-manage its daily operations in accordance with state law and the Uniform Standards of Financial Reporting (“USFR”).

## **Background**

CUSD serves students on both the Navajo and Hopi reservation areas, approximately 60 miles north of Holbrook in Navajo County. CUSD’s FY 2010-11 100 day ADA was approximately 250 students. CUSD has been declining in enrollment and attendance for the past several years and that decline continued in FY 2012-13, FY 2013-14, FY 2014-15 and FY 2015-16. The FY 2011-12 100-day counts used to calculate the FY 2012-13 budget were 169.020 for Jeddito and 48.642 for White Cone. The 100-day count for FY 2012-13, which was used to calculate state aid for FY 2013-14, was 165.740. The 100-day count used for the FY 2014-15 budget was 152.10. The 100-day count used for the FY 2015-16 budget was 137.001. The 100-day count used for the FY 2016-17 budget was 112.879. For the Fiscal Year 2017-18 Cedar currently has enrollment of 118 students. FY 2017-2018 is the first year that enrollment has not declined since early 2000. Funding should be stabilizing. The current Superintendent had implemented student recruiting initiatives for the FY 2016-17 which resulted in increasing enrollment over the FY 2016-2017 which resulted in increased enrollment to 133 students. The Superintendent intends to continue recruiting initiatives in the FY 2017-2018 with the intention of again increasing enrollment through-out the fiscal year.

CUSD is currently operating Jeddito as a traditional school for FY 2016-17 and White Cone has been closed. Traditional high school students from White Cone have enrolled in other surrounding high school districts.

## **Reported Mismanagement**

On April 26, 2011, ASBE entered a Consent Order which placed CUSD in Receivership pursuant to ARS § 15-103, and appointed Simon Consulting, LLC as Receiver for the District. The Order incorporated a Consent Agreement between ASBE and the District in which the Governing Board admitted that the District was insolvent. The District further agreed to submit to a Receivership with the appointed Receiver having full receivership powers under ARS 15-103.

## **Scope of Engagement, Progress, and Findings**

The Receiver completed the initial 120 day analysis and investigation and filed the required 120 day Receiver's Report on August 15, 2011. Since that time, the Receiver has continued to investigate different areas of the District's operation, both financial and educational. The primary purpose of the continuing investigation was to identify and correct the issues that caused CUSD's original financial problems, establish proper procedures and policies to ensure that those financial problems do not arise again in the future, and to ensure that all district operations are in compliance with the USFRs, Generally Accepted Accounting Principles ("GAAP"), and state law. The Receiver has now completing the sixth year of the Receivership and has seen significant progress. However, until the building issue discussed below is removed, Cedar will be ineligible to be removed from Receivership.

The following issues have been identified and addressed by the Receiver.

### **Personnel Issues**

Although there had been division among the personal during the FY 2015-2016, actions taken by the Interim Superintendent through in-house training and team building functions has brought stability to the District and enabled the District to concentrate on the education of the children and reduction of debt. The Board has elected to renew Mr. Duane Noggle's contract for the FY 2017-2018 as the district's Superintendent.

### **Budget Issues**

When the Receiver was appointed, the Arizona Department of Education ("ADE") advised the Receiver that CUSD had overspent their allowable M&O budget in previous years, leaving a net balance due to the state in excess of \$1,000,000. Additionally, \$592,441 was paid to the District in state aid to which the District was not entitled. These issues resulted primarily from the District's utilization of a part-time business manager. The fact that the part-time business manager lived in another state only served to exacerbate the problem as she was unable to timely react to overspending conditions. Additionally, the District missed several important financial report filing dates. The Receiver retained a competent full-time Chief Fiscal Officer for the District, Ms. Henrietta Keyannie ("Keyannie"). Through Keyannie's experience, the hard work of both she and her staff, and the oversight of the Receiver, the District has complied with all filing dates since Keyannie's employment, was under budget for M&O spending for FY 2011-12 and FY 2012-13. Cedar was again under budget for FY 2013-14 and FY 2014-15. The District relied on the CONSULTANT to perform the function of business manager for the remainder of FY 2014-15. The District retained a full-time business manager, Ms. Bonnie Haven, for the FY 2015-16. The hiring

of a principal and unbudgeted repairs and maintenance issues resulted in the FY 2015-16 budget being extremely tight. The principal position has been eliminated for the FY 2016-2017. The decline in enrollment during FY 2015-16 resulted in a reduced budget for FY 2016-17. In addition to the elimination of the principal position, the Superintendent had taken other measures to reduce spending. However during the FY 2016-2017, Cedar had two employees go on medical leave which had to be temporary filled which resulted in increased payroll and had air conditioning and other maintenance issues that had to be addressed. The unbudgeted additional costs and untimely Impact Aid payments resulted in Cedar spending its reserves. Therefore, Cedar ended FY 2016-2017 with no reserves to pay down the \$500,000 remaining White Cone debt. With no reserves and the County Treasurer offsetting what funds Cedar does have against the \$500,000 White Cone debt, Cedar will require the County Treasurer to advance funds either through warrants or some other means during the FY 2017-2018 until Cedar receives its Impact Aid funds. As of the writing of this report the County Treasurer has neither agreed to nor denied funding. The County Superintendent and Receiver are working with the Treasurer to provide information that will give her reassurance of Cedar's financial position.

## **Cash Flow Issues**

The previous budget overspending, the failure to timely file for grant funds, and the delay in receipt of state aid payments due to state budget issues all contributed to the cash flow shortage experienced by CUSD. The cash flow shortage was the immediate proximate cause of CUSD being placed into Receivership, due to the District's inability to meet payroll.

A contributing factor to the cash flow issue was the inability of the District to repay a credit line from Wells Fargo at the time the District was placed into Receivership. Through discussions between the Receiver, the Navajo County Treasurer, and Wells Fargo, the credit line was paid off and the Navajo County Treasurer purchased the warrants necessary to allow the District to make payroll and complete the school year. The corresponding credit line was cancelled by Wells Fargo for FY 2011-12. Wells Fargo has declined to provide a credit line for the District until the Receivership is dissolved.

On two occasions during FY 2012-13, to supplement the cash flow, the District had to sell warrants to the Navajo County Treasurer's office due to delayed state aid payments. Cedar has not sold any warrants since. Timely state aid payments and the proper transfer of some M&O expenses to Federal Impact Aid Funds assisted in alleviating the cash flow situation.

The District received \$1,011,084.28 in Federal Impact Aid for FY 2013-14. That amount was reduced by \$507,526.50 for the bond payments required for FY 2013-14, leaving the District a total of \$503,557.74 available for allowable uses. For FY 2014-15, the District received total Impact Aid funds of \$1,030,600.95 minus the required bond payments of \$505,675, leaving the District with \$524,925.95 for other uses. For FY 2015-16, the

District has been allocated \$1,056,712.40 minus the required bond payments of \$508,176.25 leaving the District with \$548,536.15 for other uses. For FY 2016-17, the District has been allocated \$896,153.95. US Bank is currently holding the final bond payment to be paid on July 1, 2017. The district had intended to apply a portion of the FY 2016-17 Impact Aid funds to the remaining \$500,000 in White Cone building debt, However, Cedar has incurred some unexpected expenditures during the fiscal year 2016-2017. The additional expenditures, reduced state aid and untimely payments resulted in Cedar being unable to build a reserve for the FY 2017-2018. Thus, Cedar will likely require the County Treasurer to issue warrants or some form of financing advance until Cedar receives its Impact Aid Funds for the year.

The Receiver believes the low cash flow condition will continue for the FY 2017-18 as the District works toward reducing the debt and building a cash reserve. Cedar has been approached by two parties that have expressed an interest in purchasing the White Cone High School. If one of the parties interest were to materialize, Cedar would be able to pay-off the remaining \$500,000 White Cone debt and build the necessary cash reserves at a much faster pace. The improvement is dependent upon the timely payments of state aid and the timely payments of Federal Impact aid to the District. CUSD was able to pay all of its debts for FY 2012-13, FY 2013-14, FY 2014-15 and FY 2015-16 and FY 2016-2017. For the Fiscal Year ended 2016-2017, Cedar's net cash after offsetting the \$500,000 White Cone debt was a negative \$114,265. The negative balance is the result of Grant funds spent of \$127,331 that Cedar has not received reimbursement as of the writing of this report.

## **Repayment Issues**

ADE Finance had previously informed the Receiver that the District had been paid state aid for which it was not legally entitled. The amount of this overpaid state aid totaled \$592,441. The Receiver, through independent calculations based on information received from ADE Finance, determined the amount to be approximately \$590,000. Based on the small difference, the Receiver has accepted the ADE Finance amount. Per HB 2707, the District was required to repay state aid to the state in the amount of \$100,000 for FY 2011-12. The remaining amount must be repaid to the state in equal installments of per fiscal year over the next several fiscal years. Cedar continues to pay back the cash overage owed to the state on the agreed plan timeline. The current amount owed as of the end of FY 2015-16 is \$171,959.91. The fiscal year installments are \$57,319.97 and the overpaid state aid will be completely paid off in FY 2019-20. The state deducts this annual payment from state aid payments due to the District.

Reduction of the remaining \$500,000 of White Cone building debt is the last remaining impediment to the termination of the Receivership. There is currently two plans to pay-off the remaining \$500,000 White Cone building debt. The first is to build cash reserves with Impact aid funds, since as of July 1, 2017 the last required bond payment was withheld

from the funds. Then apply some of the reserves to the White Cone building debt. This is a going to be a slow process since some of the Impact Aid funds are allocated to operations and some are allocated to maintenance issues and Cedar is dependent on timely payment of the Impact Aid funds. The second is to sell the White Cone building and use the funds to pay off the White Cone building debt and build a reserve. Cedar has been approached by two parties expressing interest in the building. Should one of the parties interest materialize into a sale, the White Cone Building debt could be paid off in a lump sum and alleviate the cash flow issues that the District has been burdened with over the last several years. Cedar is continuing to pursue the sale of the White Cone Building and the interested parties.

### **Financial Audits and USFR Audit**

The financial audit and USFR Questionnaire completed by Dobridge & Company, PC for FY 2015-16. Although there were no deficiencies found that would cause substantial noncompliance, it was noted that the District had many of the same internal control deficiencies most notably in the area of capital assets as the FY 2015-16 audit. Ms. Haven has been working to correct the deficiencies.

### **District Improvements and Accomplishments during Receivership**

- The adoption and execution of the Arizona Department of Education Special Education Corrective Action Plan was instituted under the direction of Superintendent Randall and was completed satisfactorily during the fall of FY 2013-14.
- The District was subject to a Title I site monitor audit which it passed during the spring of FY 2012-13.
- The District was subject to an ELL program compliance audit and received a satisfactory finding. It was completed during the spring of FY 2012-13.
- Cedar has updated its Governing Board Policy manual to bring it into compliance. This was completed during FY 2013-14. This was important to ensure that the Governing Board operates in accordance with accepted policy once the Receivership is lifted.
- Due to its somewhat remote location, Cedar provides some staff housing to its administrators and teachers. Some housing was in need of repairs. The District started a maintenance program for the staff housing during FY 2013-14 which will continue for the next couple of years. Once some of the worst units were repaired, the District was able to fully lease all of the available units, generating approximately \$1,400 per month.



- When the Receivership was established, the District was contracting for its food service operation. This resulted in significant losses to the district. In FY 2012-13, food service was brought in-house. During FY 2013-14, the food service operation was completely reorganized saving an additional \$11,000 per year.
- Maintenance and transportation for the district was reorganized for FY 2014-15. Through this reorganization, Cedar better utilized its staff, provided more full time positions (less part time), and saved approximately \$25,000 per year. A new Maintenance Supervisor was hired in FY2015-16 and considerable improvements were made to the neglected grounds.
- One of the District's major USFR findings was the lack of tracking for fixed assets. What limited data existed was several years out of date. Cedar completed the GFA update during the summer of 2013. As a result, Cedar was current on its fixed assets and was able to identify significant obsolete and/or surplus assets. The Governing Board authorized disposal netted the District almost \$50,000. However, the GFA has not been kept up to date recently, Ms. Haven is currently in the process of updating the GFA.
- When the Receivership was established, the District had no insurance reserve on deposit and was in danger of not being able to pay out claims. The District administration and the Receiver established a plan to bring Cedar current on its required deposits. Cedar was finally current on the required amounts as of the end of FY 2012-13 and remained current for FY 2013-14, FY 2014-15 and FY 2015-16.
- New core curriculum programs were adopted for math and English during FY 2012-13. Both of these new programs were implemented during FY 2013-14. The outdated textbooks were removed from use and properly disposed. The District also adopted new computer curriculum materials during FY 2011-12. These were fully implemented in FY 2012-13.
- One of Dr. Randall's major accomplishments was the modification and update of the student computer lab. Primarily through grants, the District was able to completely modernize the computer lab with new equipment, complete the updating of computer instructional materials, and obtain sufficient Ipads to issue to students and teachers. This is expected to have a significant impact on the quality of education at Cedar. This project was begun during FY 2013-14 and completed during early FY 2013-14.
- A school improvement grant was written by Dr. Randall to fund the continuation of some of the programs listed above as well as implement new programs designed to improve the education levels at Cedar.
- Cedar was selected by ADE for a preliminary risk assessment of the selected State and Federal Grants for FY 2013. The grants requested for Cedar Unified School District

included: Title I, Title II, Race to the Top and IDEA Basic. The District provided all requested information and was advised by ADE that Cedar was not selected based on the Risk Assessment results for a more comprehensive review of the selected State and Federal grants.

- FY 2015-16 Bus Routes were adjusted and Parent reimbursement program was instituted to save on bus maintenance. Additionally, alternative snow/mud day bus routes were implemented to minimize school closures and low attended makeup days.
- In FY 2015-16, sports programs were brought back to the district to increase school spirit.
- In FY 2016-2017, reading program was implemented.

### **Receivership Authority and Powers**

The Receiver had transitioned to a monitoring role with CUSD and had largely reduced involvement in the day-to-day operations process. The Receiver will continue to have regular interactions and obtain updates from Ms. Haven and Mr. Noggle on the daily operations and expenditures and budgetary issues.

The Receiver continues to exercise oversight over financial expenditures, largely through analyzing and approving expense vouchers and payroll expenses. The Receiver also attends Governing Board meetings and analyzes the agenda and minutes from each meeting. These activities will continue until the Receivership is dissolved by the State Board of Education after all of the dissolution requirements specified in ARS 15-103 are met.

### **Financial Improvement Plan**

The financial improvement plan details how the District will attempt to eliminate the gross financial mismanagement and achieve financial solvency. The Receiver has divided the financial improvement plan into two sections: financial and operational. Each part of this plan is essential to the success of the school and correction of any gross mismanagement issues that occurred under the previous administration.

## **Financial Plan**

### ***Overspending Repayment***

As stated previously in this report, the District has completed the budget capacity reduction repayment to the state and is no longer required to reduce budget capacity beginning in FY 2014-15. Cash state aid withholdings are being taken as required by ADE Finance and are on the agreed schedule.

The following Receiver actions are ongoing.

#### Continue to monitor spending to control costs

The Receiver is continuing the monitoring of purchase orders but has provided authority to the business manager and the Superintendent to approve purchase orders under \$5,000. This is part of the control transition process which allows more local control but still retains the Receiver's oversight. Payroll is still analyzed and approved as are all expense payment vouchers, as requested by the Navajo County Treasurer. The Receiver exercised only the highest-level oversight when the budget process was completed for FY 2014-15, FY 2015-16, FY 2016-17 and FY 2017-18. This transition process is necessary as the Receiver prepares the District to stand on its own in the future. All required deadlines were met and all Governing Board approvals were obtained.

Budget capacity and state aid continued to decline due to slightly smaller enrollment numbers through FY 2015-2016. However, Cedar has been able to weather these declines for FY 2016-17 and still operate within budget, although the budget has been tight. FY 2017-18 started with slightly higher enrollment numbers than the previous year for the first time in a number of years. Budget capacity and state aid is expected to be approximately the same as the 2016-2017 and cash flow is expected to be a continuing issue.

#### District Restructuring

The District moved to a four day week schedule in FY 2012-13. The administration, teachers, staff, students, and the community have all adjusted to the new schedule.

White Cone High School officially closed as a comprehensive High school at the end of the FY2011-2012. All staff, including administration, were released. White Cone Academy housed a small portion of the facility through FY2014-15. White Cone Academy was a stand-alone computer based program. It was 100% computer based. Students worked on site, with an adult supervisor called the Program Facilitator seven hours per day. Students who demonstrated success, and were keeping pace with work assignments, were allowed to work remotely a maximum of 75% of the time, although

most choose to work on-site 100% of the time. Students were required to work on-site a minimum of 25% of the time. Off-site work was closely monitored by the program facilitator. All assessments were completed on site for program integrity. Highly Qualified teachers of record monitored work and assisted students as needed. A certified staff member was on campus daily for additional support. White Cone Academy served grades 9-12 and used the Backbone Learning System, A+ Curriculum software. The Superintendent and the Governing Board elected to discontinue the program for FY 2015-16 due to declining interest and costs.

Maintenance and transportation had been reorganized for FY 2014-15 to save the District approximately \$25,000 per year. During FY 2015-16, the Superintendent hired new Maintenance Supervisor who has been working to improve neglected grounds and systems. Additionally, the Superintendent adjusted bus routes and implemented a parent reimbursement program to reduce maintenance on the buses. Food service has also been reorganized to try to make it at least a breakeven proposition.

## **Operational Plan**

Currently, the District is working towards “independent functionality” without the daily assistance or oversight of the Receiver. However, the success of the operational plan is completely dependent on solving the financial issues of CUSD. Without the financial solution, sufficient money will not be available to complete the changes described below. The operational improvement plan contains the following steps.

### ***Ensure compliance with all USFR and Federal guidelines***

The auditor, Dobridge, conducted a USFR audit for FY 2012-13. Dobridge’s findings were almost exactly the same as those of the Receiver’s analysis. The Receiver conducted a limited follow-up analysis for FY 2013-14 and found significant improvement. The deficiencies/findings noted by Dobridge are being addressed and it is believed that the District is in compliance with the USFRs at this time.

The District received a letter from the Auditor General’s office dated June 13, 2013. The letter stated that the Auditor General’s office had analyzed the audit report and USFR analysis submitted by Dobridge and, based solely on the information contained in those reports, determined that CUSD was generally in compliance with the USFR requirements.

The District received a letter from the Auditor General’s office dated July 29, 2015. The letter stated that the Auditor General’s office had reviewed the audit report and USFR Compliance Questionnaire completed by Dobridge & Company PC for the year ended June 30, 2014 and noted certain internal control deficiencies, most notably in the area of capital assets. Although the deficiencies did not cause substantial noncompliance, corrective action is underway by the business manager.

The District received a letter from the Auditor General's office dated July 25, 2016. The letter stated that the Auditor General's office had reviewed the audit report and USFR Compliance Questionnaire completed by Dobridge & Company PC for the year ended June 30, 2015 and notes the same internal control deficiencies related to capital assets as noted in the previous year.

Based on a review of the auditor's report, the District expects to receive a letter from the Auditor General's office with similar findings for the year ended June 30, 2016. Cedar is making effort to correct the internal control deficiencies related to capital assets.

### ***Special Education Program***

ADE staff monitors were invited into the District in the fall of 2011 to evaluate compliance and provide guidance. A follow up analysis conducted by ADE in December 2012 found all special education records in compliance. The Receiver and ADE will continue to monitor this program to ensure continued compliance. The District has received a certificate of compliance from ADE for our Special Education Department and has closed its Corrective Action Plan.

## **Receivership Termination Issues**

In discussions between the Receiver, the District, and the Auditor General's office, it was determined that while Cedar has met the majority of the requirements to terminate the Receivership, it is still in violation on A.R.A 15-103 (B) (6.) which states

*“The school district has accumulated and has operated with a deficit equal to five per cent or more of the school district's revenue control limit for any fiscal year within the past two fiscal years or the conditions prescribed in section 15-107 have occurred.”*

The amount in question is the original overspending for the White Cone High School building. The original amount was approximately \$695,000 of which \$500,000 remains. For FY 2017-18, the Revenue Control Limit (“RCL”) is \$2,003,239, meaning the debt will need to be reduced to \$100,161.95 or less for two years before the District will be able to petition the Auditor General to determine solvency. The actual debt amount for any given year will be determined by the RCL in effect for that fiscal year.

The current plan is to build cash reserves with Impact Aid Funds, and pay down the White Cone building debt. This will take some time due to past years decline in enrollment resulting in reduced budget capacity and subject to timely payments of Impact Aid funds. Additionally, the District is pursuing parties that have expressed interest in purchasing White Cone High School. If the sale of White Cone High School were to occur, Cedar believes that the proceeds would be sufficient to

pay-off the White Cone debt. The Receivership will continue until the remaining debt is reduced to less than five percent of the RCL.

## Conclusion

It is the opinion of the Receiver that Cedar was capable of standing on its own and would have qualified for removal from Receivership absent the building debt issue. The District has expects to have a cash flow issue in FY 2017-18 due to ending FY 2016-2017 with no reserves and the delayed State Aid and Impact Aid payments. The District is currently working with the County Treasurer to address the expected cash flow issues. The District has taken the appropriate measures to stay within its Budget Capacity but State Aid and Impact Aid delayed payments will likely result in cash flow issues for the immediate future. The Receiver has transitioned to being minimally involved in the daily operations of the District and has relied on the current administration and the Governing Board. The Governing Board will need to show that it can maintain the proper fiscal policies and to make the sometimes difficult decisions on how to best operate the District. Unfortunately, due to the building debt discussed above, it will be sometime before the Receiver and the District will be able to request a termination of the Receivership. The Receiver has taken as minimal approach to oversight of the District as possible to keeps costs to a minimum until such time as the Receivership can be legally terminated.

This report was based on information available to the Receiver as of September 6, 2017.



\_\_\_\_\_  
Keith Kenny  
For the Receiver  
Simon Consulting, LLC

September 6, 2017  
Date

## Appendix A: CUSD Work Plan for Fiscal Year 2017-18

<b>Task</b>	<b>Persons Responsible</b>	<b>Deliverable/Goal</b>	<b>Due Date</b>
1.) Regular Monitoring of CUSD financial affairs by the Receiver.	Receiver	Ongoing.	Monthly
2.) Monitoring of credit position cash balances (County Treasurer), and budget capacity (Expenditure Budget)	Chief Fiscal Officer and Receiver	Monthly reports to the Governing Board.	Monthly
3.) Implement and monitor school improvement program	Superintendent, Certified staff, Classified staff	Ongoing implementation and Evaluation.	7/1/2012 - Ongoing
4.) New Superintendent takes over			7/1/16
5.) Address and take corrective action of deficiencies listed in June 2016 Administrative Policy Compliance Review	Superintendent, Chief Fiscal Officer, Governing Board	Successful completion of 90% or more of the outstanding deficiencies	6/30/18
6.) Adopt Budget for FY 2017-18	Superintendent, Receiver, Governing Board	Completed and adopted budget filed with ADE Finance	7/2017
7.) Prepare quarterly Receiver Reports as required	Receiver	Quarterly Report Prepared and And Filed with ADE	Quarterly
8.) Develop FY 2018-19 budget	Superintendent, Chief Fiscal Officer	Budget ready for presentation to the Governing Board in accordance with USFRs.	6/30/2018