

NEW JERSEY DEPARTMENT OF EDUCATION
Office of Student Achievement and Accountability – Title I, Part A
Supplemental Educational Services (SES)

**OVERSIGHT AND MONITORING
OF
NEW JERSEY
SUPPLEMENTAL EDUCATIONAL SERVICE (SES)
PROVIDERS**



**New Jersey Department of Education
2010-2012**

SES Provider: _____ **Date:** _____

GUIDELINES FOR OVERSIGHT AND MONITORING OF NJ SUPPLEMENTAL EDUCATIONAL SERVICE PROVIDERS

OVERVIEW

The New Jersey Department of Education (NJDOE) is required under the Elementary and Secondary Education Act (ESEA) Section 1116(e)(4)(d), to develop, implement, and publicly report on standards and techniques for monitoring the quality and effectiveness of the services of approved providers of supplemental educational services (SES).

MONITORING PROCESS AND QUALITY STANDARDS

Announced and unannounced on-site monitoring visits are conducted by representatives of the NJDOE. Monitoring may include visits to randomly selected sites. Notification of announced monitoring visits is sent via electronic mail to the main contact listed on the state provider list at least five business days prior to the monitoring visit. If housed in a school, school district personnel are invited to accompany NJDOE personnel as observers.

The on-site monitoring visits address requirements of SES providers as stipulated in the ESEA and verify compliance with narratives and assurances in the NJ SES Provider Application. The monitoring visit focuses on the following quality standards:

Quality standards for monitoring the implementation of SES Provider programs:

1. Statutory and regulatory compliance,
2. Program fidelity with the state-approved SES Provider Application,
3. Provider program contribution to student achievement,
4. Curricular quality and pedagogical practices aligned with those of the state and district,
5. Student safety and well-being,
6. Capacity to deliver professional SES - Business operations, financial stability and administrative capacity to deliver SES in New Jersey

Methods for monitoring approved NJ SES Providers:

1. Review of pertinent documents,
2. Compliance and safety investigations,
3. On-site observations, and
4. Interviews.

If documentation is not available on-site, such as may be the case in an unannounced monitoring visit, the SES site director or other authorized provider representative is required to submit documentation to the NJDOE within ten business days of the completion of the site visit.

If any of the following are observed during a monitoring visit, the NJDOE representative has the authority to *immediately* suspend the provider's ability to participate in SES delivery and/or recruitment activities:

- Student safety is at risk,
- False records of student participation or false results of student progress, or
- Failing to meet applicable federal, state, and local health, safety standards, and civil rights laws.

MONITORING PREPARATIONS

To prepare for monitoring visits, SES providers should:

1. Have on hand a copy of the most current state approved application including the signed assurances and EIA Code of Professional Conduct and Business Ethics for SES Providers.
2. Compile required evidence that corresponds with each of the elements in this **MONITORING TOOL FOR NJDOE SUPPLEMENTAL EDUCATIONAL SERVICE PROVIDERS**. (For ready access to required documentation, it is suggested that SES providers prepare a notebook, file box, or expandable file with a folder for each of the elements in the monitoring tool that requires documentation.)
3. Assign a provider representative to accompany the NJDOE evaluator during the monitoring session. This person must have direct knowledge of services and be prepared to answer appropriate questions.
4. If requested, arrange for the NJDOE monitors to observe a tutoring session before the monitoring meeting.
5. If requested, arrange with at least one tutor to remain after the tutoring session for a brief interview.
6. Make a space available for interview and examination of the evidence files.

REPORT/RESULTS

Preliminary findings from the monitoring visit are presented at the conclusion of the visit. A formal report is sent to the primary contact listed on the state provider list within 30 business days after the visit.

The formal report includes findings, recommendations, and any necessary corrective action plans required, as well as the regulatory citation. Monitors may recommend an immediate action in some instances of non-compliance, for example, the absence of evidence of criminal background checks for one or more staff members.

Abridged results of monitoring visits may be addressed on the NJDOE Web site.

NEW JERSEY DEPARTMENT OF EDUCATION
Office of Student Achievement and Accountability – Title I, Part A
Supplemental Educational Services (SES)

2010-12 MONITORING TOOL FOR NJDOE SUPPLEMENTAL EDUCATIONAL SERVICE PROVIDERS

Provider Name _____ **Primary Contact** _____ **Date of Review** _____
NJDOE Reviewers _____
Provider Representatives _____
Other Interviewees _____
Service Location _____ **District** _____ **School** _____

Provider Requirement	YES	NO	NA	Minimum Evidence	Comments/Explanation
1. Evidence that the provider offers supplemental educational services that are secular, neutral, and nonideological. <i>ESEA Section 1116(e)(5)(D)</i>				All of the following: <ul style="list-style-type: none"> • Copies of written policies and procedures that prohibit non-secular or ideological materials. • Current lesson plans. • If requested, observation of tutoring session and setting. 	
2. Evidence that the provider’s instruction is aligned with the New Jersey Core Curriculum Content Standards (NJCCCS). <i>ESEA, Section 1116(e)(5)(B)</i>				<ul style="list-style-type: none"> • Lesson plans with references to state content standards. • Student work. • Crosswalk of NJ CCCS and SES program academic components – if available 	
3. Evidence that the provider’s assessment instruments and processes are in place.				All of the following: <ul style="list-style-type: none"> • Copies of pre-tests and post-tests (Copy of tool and validity measure) • Copies of benchmark assessments and schedule. • Copies of pre and post assessment results of program impact on student achievement for each district served 	
4. Evidence that the provider’s instructional program design is consistent with provisions in the provider’s application.				<ul style="list-style-type: none"> • Records review of provider’s program design. • Interview with tutor. • Invoices reflecting state approved billing rates. 	
5. Evidence that the provider’s mode of instructional delivery is consistent with the provider’s application.					
a. Group size/ Tutor-to-student ratio				<ul style="list-style-type: none"> • Observation (NJ DOE or District) 	
b. Instructional delivery (individual, small group, computer assisted, distance learning)				<ul style="list-style-type: none"> • Observation (NJ DOE or District) 	

6. Evidence that the provider's instruction addresses the requirements set forth in each student's ISLP. <i>ESEA, Section 1116(e)(3)(A)</i>					
a. Specific achievement goals.				<ul style="list-style-type: none"> • Individual Student Learning Plans. 	
b. Description of how student progress is measured.				<ul style="list-style-type: none"> • Individual Student Learning Plans. 	
c. Timetable for improving achievement.				<ul style="list-style-type: none"> • Individual Student Learning Plans. 	
7. *Evidence that the provider's instruction accommodates Individual Educational Plans (IEP) for students with disabilities under IDEA and students covered under Section 504 are consistent with the students' individualized education plan (IEP) and individualized services under Section 504, respectively. <i>ESEA Section 1116(e)(3)(A), Public Law 200.47(a)(5)</i> <i>*Note: LEAs must have parent consent to release the information described above.</i>				<ul style="list-style-type: none"> • Documentation that provider's instruction is aligned with IEP. • Documentation that services are provided with necessary accommodations to students with disabilities and student covered under Section 504. 	
8. Evidence that the individual learning plans for students with limited English proficiency include necessary and appropriate language assistance.				<ul style="list-style-type: none"> • Documentation that provider's instruction includes necessary language assistance. • Observation (NJ DOE or District) 	
9. Evidence that the provider regularly informs the students' parents of the students' progress in understandable language and format. <i>ESEA, Section 1116(e)(3)(B)</i>				<ul style="list-style-type: none"> • Copies of student progress reports to parents. • Documentation of frequency of communication. • Copies of translated documentation. 	
10. Evidence that the provider regularly informs the students' teachers of the students' progress. <i>ESEA, Section 1116(e)(3)(B)</i>				<p>All of the following:</p> <ul style="list-style-type: none"> • Copies of dated student progress reports to teachers/district. • Documentation of frequency of communication. 	
11. Evidence that the provider does not disclose to the public the identity of any student eligible for or receiving SES without the written permission of the student's parent(s). <i>ESEA, Section 1116(e)(3)(E)</i>				<p>One of the following:</p> <ul style="list-style-type: none"> • Copies of policies and/or procedures for protection of student privacy. • Written permission from student's parent(s) for release of student information to the public regarding participation in SES. 	

12. Evidence that the provider has met all applicable federal, state, and local health, safety, and civil rights laws. <i>ESEA, Section 1116(e)(5)(C)</i>					
a. Criminal background checks conducted through the NJDOE.				<ul style="list-style-type: none"> • Copies of notification from districts regarding status of criminal background checks performed through the NJDOE. 	
b. Communication of school safety plans for staff and students.				<ul style="list-style-type: none"> • Copy of student sign-in and release plan. • Copy of school safety plan. 	
c. Communication of safety procedures in buildings where school safety procedures are not applicable.				<ul style="list-style-type: none"> • Procedures to follow related to: <ol style="list-style-type: none"> 1. Response to fire. 2. Response weather emergencies. 3. Medical emergencies. 4. Building intruder(s). 5. Person(s) authorized for student release. 6. Readily available emergency contact information. • Posted evacuation instructions addressing: <ol style="list-style-type: none"> 1. Response to fire. 2. Response to weather emergencies. 	
d. Non-discriminatory practices relative to student service and hiring of personnel.				<ul style="list-style-type: none"> • Copies of non-discriminatory policies related to personnel. • Copies of non-discriminatory policies related to student service. 	
13. Evidence that the instructor is appropriately knowledgeable about the provider's program.				<ul style="list-style-type: none"> • Observation of tutoring session. • Interview with tutors. • Documentation of PD related to the program. 	
14. Evidence that the instructor's educational qualifications are consistent with the provider's profile of services.				<p>One of the following:</p> <ul style="list-style-type: none"> • Interview with tutors. • Tutors' personnel files. 	
15. Evidence that the provider has surveyed or collected parental, student or teacher feedback on their performance.				<ul style="list-style-type: none"> • Copies of survey results. • District validation. 	
16. Evidence that the provider maintains appropriate methods or programs for tracking and documenting enrollment, attendance, and hours of services provided to eligible students enrolled in the SES program.				<p>All of the following:</p> <ul style="list-style-type: none"> • Enrollment records of participating students. • Attendance records of participating students. • Attendance policy. 	

17. Evidence that the provider adheres to the district contract and its policies and procedures.				<ul style="list-style-type: none"> • District policy/guidelines & provider's policy or guidelines aligned with district policies. • Agreement on policy between the district and provider. • Fees charged are aligned with state approval 	
18. NJ SES Compliance and Safety Investigation (CSI) reports (if applicable).				<ul style="list-style-type: none"> • Copies of CSI outcomes will be reviewed prior to on-site visits. • Discussions will occur as follow-up. 	
19. Evidence of compliance with all NJ SES marketing and recruitment policies including the prohibition of incentives prior to student enrollment.				<ul style="list-style-type: none"> • Copies of marketing and recruiting materials. • Copies of any agency marketing and recruiting policies. 	
20. Evidence that the provider collects data for the NJ SES Provider Annual Report				<ul style="list-style-type: none"> • Copies of data sheets • Printouts from district data management system such as CAYAN or EZ-SES. 	

In addition to the discussion questions above and the accompanying evidence, the NJDOE staff will review copies of the following documents to assist in the evaluation of service delivery and professional practice:

- ✓ Copy of most recent state approved application;
- ✓ Copy of provider profile in state directory;
- ✓ Copy of most recent annual report data;
- ✓ Copy of any CSI reports and outcomes over the past two years;
- ✓ Feedback from Annual District Performance Reports; and
- ✓ Check for removal in other states.

During the on-site visit, SES Providers may be asked to provide the following:

- ✓ List of all districts and schools currently being served
- ✓ Days and times of services to each school
- ✓ Total number of students in each district/school
 - Number of students with a coordinated IEP
 - Number of Limited English Proficiency students
- ✓ Fee structure and financial records
- ✓ Copies of invoices aligned w/ approved billing rates
- ✓ Copies of student attendance records

- ✓ List of SES positions within the agency structure
- ✓ Written job descriptions for each position
- ✓ List of provider's employees
- ✓ Employee contact information
- ✓ Instructor's teaching certification
- ✓ Verification of criminal background clearance records
- ✓ Verification of tuberculosis screening for instructors
- ✓ List of schools where instructors are assigned

2010-12 MONITORING INSTRUMENT FOR NJDOE SUPPLEMENTAL EDUCATIONAL SERVICE PROVIDERS
On-Site Verbal Exit Report

Provider: _____ Date: _____

Provider Strengths:
Weaknesses:
Regulatory Findings:
Initial corrective action plans:
Additional evidence requested from the provider:
Date for follow up:
Signatures of meeting participants:

NJ SES Oversight and Monitoring Worksheet

SES Provider: _____ Date: _____

Districts Served	Schools Served	Total # of Students	# of Students with an IEP	# of ELL Students

Key Dates

June 2011

S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30		

July 2011

S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

August 2011

S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

After the date of initial on-site visit, Providers have 10 business days to submit any data requested, but unavailable at a site visit. NJDOE has 30 business days to provide monitoring outcome to the Provider.

NJ SES Oversight and Monitoring

Agenda

SES Provider: _____ Date: _____

Introductions

The monitoring visit will focus on the following quality standards:

1. Statutory and regulatory compliance,
2. Overall program fidelity with state-approved application,
3. Curricular quality and pedagogical practices,
4. Student safety and well-being,
5. Business operations, financial stability and capacity to deliver SES,
6. Review of pertinent documents,
7. On-site observations, and
8. Interviews.

Comments:

- Any unique situations or questions

Oversight and Monitoring Tool:

- Questions about the process
- Checklist of documentation
- Review of documents
- Interviews
- Consultation
- Preliminary findings and calendar (10 Business days for any additional materials, 30 business days for findings)
- Signatures