

Supplemental Educational Service (SES) Monitoring Process

The federal No Child Left Behind Act (NCLB) requires states to ensure that districts and providers of SES adhere to certain parameters in the design and delivery of SES programs. The Massachusetts Department of Elementary and Secondary Education (ESE) has a responsibility, through its approval and monitoring processes, to ensure that that high-quality services are delivered.

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Monitoring Overview

Local school districts and SES providers are monitored for compliance with SES requirements through on-site monitoring visits and/or desk-based reviews. The Department's standards and techniques for monitoring implementation of SES are available at www.doe.mass.edu/ses/monitoring.html.

Local school districts are also reviewed as part of the Title I Program Review every six years and through reviews of the district's Title I grant application and supporting documents annually. The Department's Title I Program Review process is described here: www.doe.mass.edu/titlei/monitoring/.

Annual Identification of Districts & Providers for Review

In general, districts and providers are identified for review annually on a rotating basis. Districts participating in the overall Title I program review process that are required to offer SES are candidates for an SES site visit or desk review. From that pool, districts are prioritized based on:

- The number of schools in the district required to offer SES;
- The range of SES providers working in the district;
- The geographic region in which the district is located; or
- The number of students participating in SES over two or more years.

In addition, districts and providers may be prioritized for review when:

- ESE has received complaints from families or third parties regarding district or provider SES programs; or
- ESE has been asked to mediate a dispute between a district and specific provider(s).

In a typical year, the ESE monitors 4 to 6 districts and approximately 15 SES providers through both on-site and desk-based reviews.

On-Site Reviews

The ESE District and Provider Monitoring Instruments guide the on-site review process. See <http://www.doe.mass.edu/ses/monitoring.html>. The review comprises:

- Face-to-face interviews with district and provider staff;
- Observation of services; and
- Document review.

Preparing For An On-Site Monitoring Visit

The on-site monitoring process gives the Department a more complete view of the implementation of SES by local school districts and SES providers. In preparation for an on-site monitoring visit districts and providers should:

- Be familiar with the Department's District and Provider Monitoring Instruments, respectively.
- Have a system for organizing documentation and be prepared to furnish evidence in support of the monitoring criteria described in the Department's monitoring instruments, including: contracts/agreements; SES Student Learning Plans, evidence of parent/guardian communication and outreach; attendance and achievement records; and other information as required by the Department.
- Prepare a folder of student work. Be prepared to answer questions about the folder's content.
- Ensure district or provider representative(s) have a comprehensive understanding of the program and how it addresses the learning needs of the students, including the specific achievement goals contained in each student's SES Student Learning Plan.
- Be prepared to discuss teacher hiring and training practices, classroom management, discipline procedures, and safety policies (such as fire drills) to ensure a safe learning environment.
- Ensure students know an observation will occur and that they should continue their work as usual. For the most of the visit, the observers will sit and stand quietly in the classroom to observe the lesson. They will not interrupt instruction. If time allows, the observers may ask the students questions, such as: *What are you learning about today? How has your after-school tutoring helped you improve your studies during your regular day-time classes? How has your tutor helped you improve your skills in reading, mathematics, writing, and/or science?*

Monitoring Schedules

Monitoring visits typically last between one and two days, depending on the technical assistance needs of the district and provider, as well as the number of providers the Department monitors in association with the districts under review.

Table 1: Sample District Monitoring Schedule

Day One Morning: At the administration building	Department staff review goals and expectations for monitoring visit with district SES administrator
	Department staff review district-level documentation, such as contracts/agreements, attendance records, financial data, and parent/guardian communication and outreach materials
	Department staff complete monitoring instrument with district SES administrator
Day One Afternoon: Site(s) where services are provided, if applicable	Department staff meet with school principal, site coordinator, or SES provider
	Department staff observe tutorial services
	Department staff review site-level documentation, such as SES Student Learning Plans, and information related to instructional staff, health, and safety
	Department staff meet with school principal, site coordinator, or SES provider
	ESE staff debrief initial findings with district SES administrator
Day Two (If required)	Department staff review additional evidence and conduct additional observations, as needed
Approximately 3 weeks after visit	Department forwards report, including any corrective action required, to district SES administrator
Approximately 5 weeks after visit	District SES administrator has opportunity to respond to report and submits response to ESE for approval

Table 2: Sample Provider Monitoring Schedule

Day One Morning: Prior to observation of services	Department staff review goals and expectations for monitoring visit with SES provider
	Department staff review documentation such as SES Student Learning Plans, curricula and assessments, and information related to instructional staff, health, and safety
Day One Afternoon: Site where services are provided	Department staff observe services
	Department staff interview tutors, as needed, for clarification on services, including curricula, instruction, and assessment
	Department staff debrief initial findings with SES provider
Day Two (If required)	Department staff review additional evidence and conduct additional observations, as needed
Approximately 2 weeks after visit	Department forwards report, including any corrective action required, to provider
Approximately 5 weeks after visit	SES provider has opportunity to respond to report and submits response to ESE for approval

Desk-Based Reviews

Desk-based reviews allow the ESE to monitor a broad range of districts and providers in a given year. Districts and providers identified for SES monitoring but not participating in an on-site review are required to submit the same documentation they would be required to furnish in an on-site review.

For districts, desk-based review documents include, but are not limited to:

- Samples of district's initial SES notification letter to parents/guardians;
- Samples of notice to parents/guardians regarding second SES enrollment period ;
- Copies of contract/agreement with SES provider(s); and
- Copies of progress reports submitted to district by SES provider(s).

In addition, a district participating in a desk-based review must describe how it meets the following requirements:

1. The district has a process to help parents/guardians select a provider;
2. The district provides parents/guardians an opportunity for involvement in the development of student learning plans;
3. The district has developed processes and procedures to ensure the appropriate selection of eligible students;
4. The district ensures the privacy of students;
5. The district has partnered with outside groups to inform parents/guardians about the availability of SES services;
6. The district ensures that all providers are treated equally;
7. The districts ensures that has a process in place to verify that all tutors have met criminal record/CORI requirements; and
8. The district has a process to ensure the effective implementation of SES services, including appropriate implementation of student learning plans.

For providers, desk-based review documents include but are not limited to:

- Copies of signed student learning plans, with goals;
- Copies of student progress reports;
- Sample lesson plans and materials;
- Student work samples;

- Teacher training schedules and professional development materials; and
- Emergency procedures for the location in which tutoring takes place.

Monitoring Follow-Up

After completing an on-site monitoring visit or reviewing materials submitted for desk-based review of a district or a provider, ESE may request that the district or provider submit additional supporting documents. Once all materials have been reviewed, ESE will report back to the district or provider any findings from the monitoring process. The district or provider will then have time to review the monitoring report and respond to any findings or required actions.

Resources

District and SES Provider Monitoring Instruments:

<http://www.doe.mass.edu/ses/monitoring.html>

Federal Non-Regulatory Guidance on Supplemental Educational Services (SES):

<http://www.ed.gov/policy/elsec/guid/suppsvcsguid.doc>