



University of the State of New York  
State Education Department

# School Improvement Set-Aside Allowable Activities

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# Overview

- The equivalent of 5% - 15% of an identified LEA's Title I A and Title II A funds must be used to support programs and services from the List of Allowable Activities for Improvement.
- LEAs identified for performance of ELLs must also include Title III A funds in this calculation.
- LEAs may use multiple fund sources to meet this requirement.
- Title I A funds may only be used in Title I schools.
- Set-aside rates can be found at:  
<http://www.p12.nysed.gov/accountability/documents/SchImpSetAsideFinal.xls>



# School Improvement Set-Aside Requirement

- All set-aside amounts must support the activities in the District Comprehensive Improvement Plan (DCIP) and School Comprehensive Education Plans (SCEP).
- Up to 50% of the set-aside can be reserved for district level activities that support implementation of interventions at designated priority and focus schools. District level activities must identify which priority and focus schools will be served by the district level activities.
- At least 50% of the set-aside must be used to support school specific activities from the List of Allowable Activities.
- Only activities from the List of Allowable Activities for Improvement count towards the set-aside requirement.



# What is the DCIP based on?

- For transitional SY 2012 -13, the DCIP is based on the findings and recommendations contained in the most recent:
  - School Quality Review (SQR);
  - External School Curriculum Audit (ESCA)/School Curriculum Readiness Audit (SCRA);
  - Joint Intervention Team (JIT);
  - Quality Improvement Process (QIP);
  - Annual Measurable Achievement Objectives Improvement Plan (AMAO-IP); and/or
  - Annual Measurable Achievement Objectives Corrective Action Plan (AMAO-CAP).
- If the above mentioned reports are not available, use data that is readily available.
  - Examples include (but are not limited to):
  - State Assessment data;
  - Internal assessment data;
  - Graduation rate data;
  - Attendance rate data; and
  - Survey analysis.



# **List of Allowable Activities for Improvement**

- **Broken into 5 sections**
  - **Federal and State Required Activities**
  - **Standards and Assessment**
  - **Data Systems**
  - **Great Teachers and Leaders**
  - **Turning Around Lowest-Performing Schools**



## Using the list

- **Activities should be selected based upon the findings of the District and School level needs assessment.**
- **Activities should support improvement efforts targeted at the identified needs.**



## Needs Assessment

- Conduct a needs assessment prior to completing the DCIP/SCEPs.
- Analyze the recommendations from **all** of the most recent school level reports or conduct a thorough analysis of the readily available data.
- Organize activities according to the Six Tenets.

\*\*Note: It is only necessary to address the Tenets and SOPs that are applicable based upon the identified needs.



## **Needs Assessment**

Districts are encouraged to conduct a needs assessment for each identified focus or priority school that includes data on student achievement relative to State standards, and input from parents and educators.



## **Needs Assessment: Component**

There is no single model or template for a needs assessment; the exact components will depend on a school or district's particular context.



# **Needs Assessment: Component (continued)**

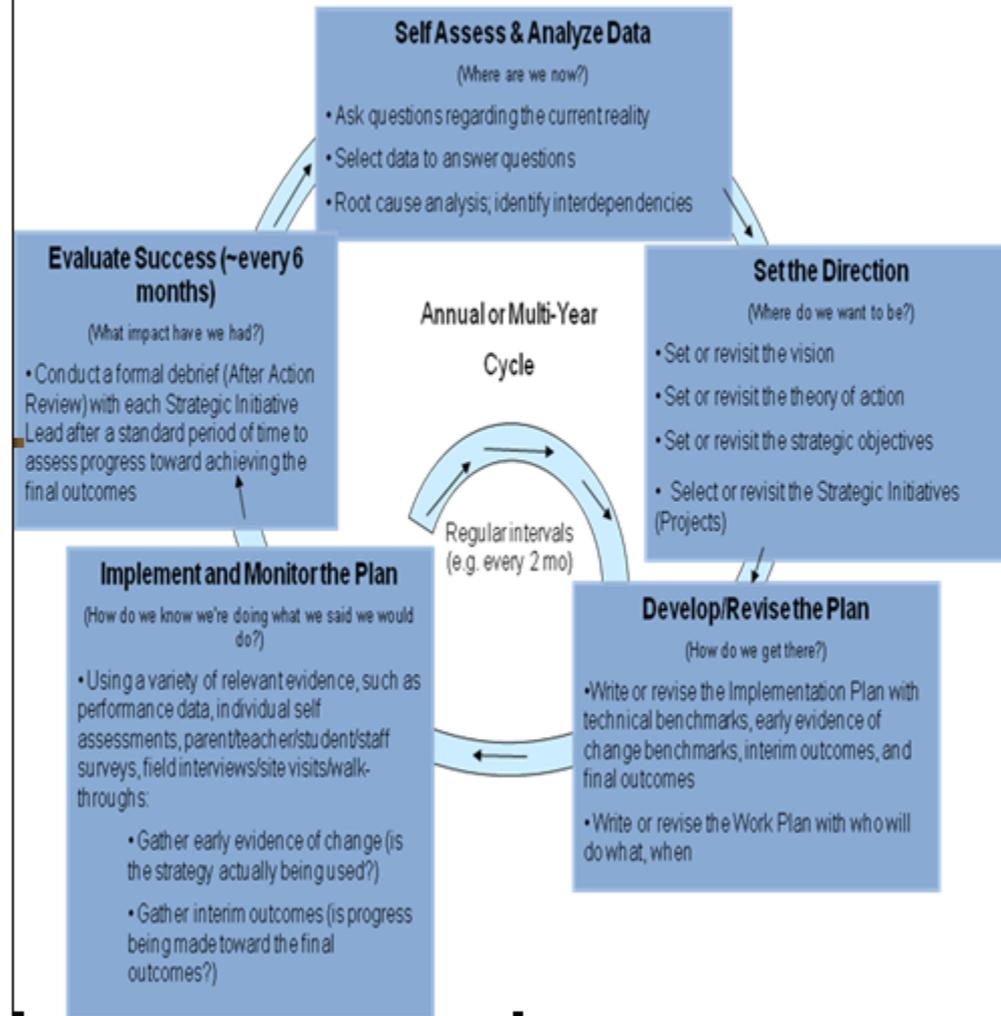
- In general, a needs assessment:
  - Considers a Range of Needs and Issues
    - **District Leadership and Capacity**
    - **School Leadership Practices and Decisions**
    - **Curriculum Development and Support**
    - **Teacher Practices and Decisions**
    - **Student Social and Emotional Developmental Health**
    - **Family and Community Engagement**



# Needs Assessment: Component (continued)

- Uses Valid and Reliable Data
- Involves Many Individuals Representing a Range of Knowledge, Skills, and Expertise
- Results in the Development of Goals and Action Plans
- Is Used as the Basis for Resource Allocation
- Includes Regular Follow Up and Evaluation of Plans and Strategies

# A Continuous Cycle of Improvement





# Allowable Activities for Improvement Set-Aside Requirement

- List of 22 Allowable Activities for Improvement set-aside included with the Consolidated Application and DCIP/SCEP templates.
- To be considered allowable for the set-aside requirement, costs must meet the following general criteria:
  - Be necessary and reasonable for proper and efficient implementation of the DCIP and SCEPs.
  - Be permissible under applicable state and/or federal laws and regulations.
  - Conform to any limitations or exclusions set forth in the grants finance guidelines, laws or regulations, or other governing limitations as to types or amounts of cost items.
  - Must be used to supplement, not supplant any Federal, State or local educational funds that would otherwise be used for these activities.
  - Title I, IIA, and III funds will not always count towards meeting the set-aside requirement.



Statement Of Practice	List of Allowable Activities for Improvement Set-Aside Requirement
<b>Section A: Federal and State Required Activities</b>	
<b>Tenet 1</b>	Public School Choice (Up to 20% of the LEA set-aside).*
<b>Tenets 1 &amp; 2</b>	Supplemental Educational Services (Up to 30% of the LEA set-aside).*
*These are recommended limits. LEAs may exceed these amounts, but must demonstrate that sufficient resources will be provided to support implementation of required improvement plans.	
<b>All Tenets</b>	Costs associated with deploying on-site visit teams that will use the Diagnostic Tool for School and District Effectiveness to identify a school's or district's current position relative to desired educational practices (Title I Section 1003(a) ONLY, Not allowable for Charter Schools).
<b>All Tenets</b>	Reasonable and necessary expenses associated with appointment of a Distinguished Educator to assist the district and schools in implementing systemic, whole-school reform and effective turnaround strategies (Title I Section 1003(a) ONLY, Not allowable for Charter Schools).
<b>Section B: Standards and Assessment</b>	
<b>1.2, 1.4, 2.1, 3.1, 3.2, 4.1, 3.5, 4.5</b>	Costs (e.g., substitutes, stipends) associated with participation in New York State-sponsored professional development activities to implement the CCSS, curriculum-embedded formative assessments based on enhanced New York State Standards (including the CCSS), including professional development in using information systems that track assessment outcomes (Title II A ONLY).
<b>Tenet 5, 6.1, 6.3, 6.4</b>	Costs (e.g., substitutes, stipends) associated with participation in New York State-sponsored professional development activities to implement Positive Behavioral Interventions and Supports (PBIS) (Title II A ONLY).
<b>1.2, 1.4, 2.1, 2.4, 3.5, 4.1, 4.5, Tenet 5</b>	Costs (e.g., substitutes, stipends) associated with participation in New York State-sponsored professional development activities to implement Response to Intervention (RTI) that are aligned with academic intervention services.
<b>1.5, 3.5, 4.5</b>	Development of local formative and summative assessments across all grade levels and subject areas, consistent with New York State Standards, the provisions of Education Law § 3012-c, related to academic intervention services and applicable Commissioner's regulations (Title II A funds NOT ALLOWED).
<b>1.4, 2.1</b>	Professional development for teachers (and their principals/ instructional supervisors) who will implement CTE courses in which increased percentages of historically underserved students will enroll. (Title I funds NOT ALLOWED).
<b>1.2, 2.4</b>	Equipment and other curricular materials for CTE courses used by teachers in which increased percentages of historically underserved students will enroll (Title I funds NOT ALLOWED).
<b>1.4, 2.1</b>	Training and professional development for teachers (and their principals/instructional supervisors) who will implement Advanced Placement (AP), International Baccalaureate (IB), and/or Cambridge (Advanced International Certificate of Education [AICE] or International General Certificate of Secondary Education [IGCSE]) courses in the subjects for which, as of September 30, 2010, NYSED has approved an alternate assessment pursuant to 8 NYCRR §100.2(f), in which increased percentages of historically underserved students will enroll (Title II A ONLY).
<b>1.4, 2.1</b>	Virtual/Blended AP, IB, and/or Cambridge (AICE or IGCSE) courses and related training and professional development for teachers (and their principals/instructional supervisors) in the subjects for which, as of September 30, 2010, NYSED has approved an alternative assessment pursuant to 8 NYCRR §100.2(f), in which increased percentages of historically underserved students will enroll. (Title II A ONLY)
<b>1.5, 3.5</b>	Training in the use of data systems, aligned course sequences and early college and career school models, between post-secondary institutions and P-12 systems (Title II A ONLY).





## **Section A: Federal and State Required Activities**

- **Public School Choice (Up to 20% of the LEA set-aside).**
  - Transportation Only
- **Supplemental Educational Services (Up to 30% of the LEA set-aside).**
  - Contracts with approved SES providers
  - Minimum of 2 providers



## **Federal and State Required Activities (continued)**

- **Costs associated with deploying on-site visit teams that will use the Diagnostic Tool for School and District Effectiveness to identify a school's or district's current position relative to desired educational practices.**
  - Consultant costs
  - Reasonable travel
  - Hourly stipends for school staff outside of contract hours
  - Hourly stipends for clerical assistance outside of contract hours
  - Costs associated with the Outside Educational Expert
  - Limited supplies and materials related to the task



## **Federal and State Required Activities (continued)**

- Reasonable and necessary expenses associated with appointment of a Distinguished Educator to assist the district and schools in implementing systemic, whole-school reform and effective turnaround strategies.
  - Consultant fees as established by region across the state under 8 NYCRR §100.16 as amended by 8 NYCRR §100.17
  - Travel expenses
  - Limited supplies and materials related to the task



## Section B: Standards and Assessment

- Costs (e.g., substitutes, stipends) associated with participation in New York State-sponsored professional development activities to implement the CCSS, curriculum-embedded formative assessments based on enhanced New York State Standards (including the CCSS), including professional development in using information systems that track assessment outcomes.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## Standards and Assessment (continued)

- Costs (e.g., substitutes, stipends) associated with participation in New York State-sponsored professional development activities to implement scientifically based behavior management programs.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - BOCES or Consultant costs if no state sponsored professional development exists;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## Standards and Assessment (continued)

- Costs (e.g., substitutes, stipends) associated with participation in New York State-sponsored professional development activities to implement Response to Intervention (RtI) that are aligned with academic intervention services.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - BOCES or Consultant costs if no state sponsored professional development exists;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## Standards and Assessment (continued)

- **Development of local formative and summative assessments across all grade levels and subject areas, consistent with New York State Standards, the provisions of Education Law § 3012-c, related to academic intervention services and applicable Commissioner's regulations.**
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Administrator or Teacher stipends to develop formative and summative assessments outside of contract hours;
  - Administrator or Teacher stipends to conduct data analysis outside of contract hours;
  - Costs associated with curriculum mapping;
  - Costs associated with Data Coaches;
  - Substitute Teacher costs for teachers to attend PD, develop formative and summative assessments, or conduct data analysis;
  - Reasonable travel costs; and
  - Supplies and Materials directly related to the task.



## Standards and Assessment (continued)

- Professional development for teachers (and their principals/ instructional supervisors) who will implement CTE courses in which increased percentages of historically underserved students will enroll.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## Standards and Assessment (continued)

- Equipment and other curricular materials for CTE courses used by teachers in which increased percentages of historically underserved students will enroll.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Conference registration costs;
  - Reasonable travel costs;
  - Limited supplies and materials related to the task; and
  - Equipment related to CTE courses.



## Standards and Assessment (continued)

- **Training and professional development for teachers (and their principals/instructional supervisors) who will implement Advanced Placement (AP), International Baccalaureate (IB), and/or Cambridge (Advanced International Certificate of Education [AICE] or International General Certificate of Secondary Education [IGCSE]) courses in the subjects for which, as of September 30, 2010, NYSED has approved an alternate assessment pursuant to 8 NYCRR §100.2(f), in which increased percentages of historically underserved students will enroll.**
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## Standards and Assessment (continued)

- Virtual/Blended AP, IB, and/or Cambridge (AICE or IGCSE) courses and related training and professional development for teachers (and their principals/instructional supervisors) in the subjects for which, as of September 30, 2010, NYSED has approved an alternative assessment pursuant to 8 NYCRR §100.2(f), in which increased percentages of historically underserved students will enroll.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## **Standards and Assessment (continued)**

- **Training in the use of data systems, aligned course sequences and early college and career school models, between post-secondary institutions and P-12 systems.**
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## Standards and Assessment (continued)

- **Costs associated with professional development and planning for teachers (and their principals/ instructional supervisors) and state approved partner organizations who will implement Expanded Learning Time (ELT) opportunities that may include art, music, remediation and enrichment programs.**
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## **Standards and Assessment (continued)**

- **Costs associated with implementing ELT programs that improve student academic, social, and emotional outcomes, in which increased percentages of historically underserved students will enroll.**
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Third party contract costs; and
  - Limited supplies and materials related to the task.



## Standards and Assessment (continued)

- **Costs related to providing academic intervention services as well as costs associated with creating professional development for all teachers working with English Language Learners, on research-proven strategies for those students; costs associated with hiring additional staff to develop or expand programs for English Language Learners or targeted programs for high-needs English Language Learners such as Long-term ELLs, SIFE, or ELLs with disabilities; costs associated with integrating bilingual instruction into ELL programs; costs associated with materials that promote English and native language development.**
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Costs associated with hiring additional staff to develop or expand programs for English Language Learners or targeted programs for high-needs English Language Learners;
  - Costs associated with integrating bilingual instruction into ELL programs; and
  - Costs associated with materials that promote English and native language development.



## **Standards and Assessment (continued)**

- **Costs associated with operating a preschool program for eligible children consistent with Title I requirements (see USDE's April 16, 2012 non-regulatory guidance regarding the use of Title I, Part A funds to serve preschool children).**
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Administrator or Teacher salaries;
  - Clerical costs;
  - Limited supplies and materials related to the task;
  - Equipment; and
  - Minor remodeling.



# Section C: Data Systems

- Costs associated with implementing school-based Inquiry Teams as defined in the state's RTTT application.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Administrator or Teacher stipends to develop formative and summative assessments outside of contract hours;
  - Administrator or Teacher stipends to conduct data analysis outside of contract hours;
  - Costs associated with curriculum mapping;
  - Costs associated with Data Coaches;
  - Substitute Teacher costs for teachers to attend PD, develop formative and summative assessments, or conduct data analysis;
  - Reasonable travel costs;
  - Supplies and Materials directly related to the task; and
  - Reasonable Software/Computer.



# Section D: Great Teachers and Leaders

- Costs associated with training/certifying teacher evaluators, instructional coaches, teacher leaders etc in conducting evidence based observations using the District's teacher practice rubric, training in coaching and feedback on instructional practice, and developing/assessing student learning objectives as part of teacher evaluation system.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## Great Teachers and Leaders (continued)

- Costs of training for and/or hiring of internal/external trained evaluators to conduct teacher observations and complete the processes for HEDI documentation and recommendations for teacher professional growth as indicated.
  - Administrator or Teacher stipends to attend PD related to the above activities outside of the teachers contract hours;
  - Substitute Teacher costs for teachers to attend PD;
  - Consultant costs;
  - Conference registration costs;
  - Reasonable travel costs; and
  - Limited supplies and materials related to the task.



## Great Teachers and Leaders (continued)

- Provision of supplemental compensation, consistent with local collective bargaining agreements, through a career ladder program, to highly effective teachers providing academic intervention services in hard-to-staff subjects or specialty areas in high-needs schools who mentor, coach, or provide professional development to student teachers, new teachers, or teachers rated as ineffective, developing, or effective in high-needs schools.
  - Administrator or Teacher stipends consistent with local collective bargaining agreements.
- Provision of supplemental compensation, consistent with local collective bargaining agreements, for teachers providing academic intervention services through a career ladder program, to effective or highly effective teachers in hard-to-staff subjects or specialty areas who transfer from low- or moderate-needs schools to high-needs schools.
  - Teacher stipends consistent with local collective bargaining agreements.



## **Section E: Turning Around Lowest-Performing Schools**

- Implementation of one of the four school intervention models (turnaround model, restart model, school closure, or transformation model) and the Secretary's turnaround principles, consistent with the requirements of the New York State SIG application and the State's theory of action of intervening and supporting low-performing districts and schools.
- Supporting LEA and State-approved partner organization arrangements (EPO, CMO, charter school operator) planning activities for implementation of one of the four school intervention models or a whole-school change model aligned with the Secretary's turnaround principles in the year following school re-design.
  - Any expenses allowed under the School Improvement Grant 1003 (g).



## **What may count towards the set-aside requirement?**

- Districts can fund new activities from the allowable activities that are aligned to the six tenets and based on the results of the needs assessment.
- Districts can fund activities that have demonstrated positive results, are aligned to the six tenets, are based on the needs assessment, and do not demonstrate maintenance of the program.



# Examples

## Example 1:

- School A is a priority school and implemented AP level instruction last school year. The AP level instruction has yielded data that demonstrates positive effects on students academic achievement. We would like to provide professional development for AP level teachers to continue their implementation of the AP program. Does this count towards the school improvement set-aside?
  - If the school can demonstrate that this activity satisfies a prioritized need, is aligned to the six tenets, and has yielded positive results then yes, this activity can count towards the set-aside requirement.



## Examples

### Example 2:

- School B is a priority school and implemented AP level instruction last school year. We sent our teachers to professional development on AP implementation. The AP level instruction has yielded data that demonstrates positive effects on students academic achievement. We would like to provide similar professional development for AP level teachers to continue their implementation of the AP program. Can this count towards the school improvement set-aside?
  - Although the AP level instruction has yielded positive results, this ongoing professional development cannot count towards the school improvement set-aside. This is considered maintenance of the program.



## Examples

### Example 3:

- We are a newly identified LEA with 2 priority schools and 3 focus schools. We do not have any formal reports available. Are we allowed to purchase equipment for CTE courses to satisfy our set-aside requirement?
  - In order for this to be allowable, the LEA must demonstrate this is a prioritized need based on concrete data, is aligned to the six tenets, and can yield positive results. There must also be an appropriate amount of professional development related to the equipment purchase incorporated into the plan.



## Record Keeping

- The District must maintain fiscal records that clearly delineate the set-aside requirements.
- A matrix identifying all district level and building level expenditures must be kept.
- These records must identify the activities, funding amounts, and funding source.



## Parent Engagement Set-Aside

- For information regarding the required 1% Parent Engagement set-aside requirement please read the Parent Engagement Memo located at:  
<http://www.p12.nysed.gov/accountability/documents/ParentEngagementMemo101712.pdf>
- Information is also included in the ESEA Update Webinar - DCIP and SCEP posted at:  
<http://www.p12.nysed.gov/accountability/Webinars.html>



# Guidance and Technical Assistance

- Important Links:
  - 2012-13 DCIP & SCEP Templates  
<http://www.p12.nysed.gov/accountability/consolidatedappupdate/1213/DCIPSCPEFINAL.doc>
  - School Improvement Set-Aside Rates  
<http://www.p12.nysed.gov/accountability/documents/SchImpSetAsideFinal.xls>
  - Parent Engagement Field Memo  
<http://www.p12.nysed.gov/accountability/documents/ParentEngagementMemo101712.pdf>
  - Archived Webinars  
<http://www.p12.nysed.gov/accountability/Webinars.html>
  - Flexibility under ESEA for New York State  
<http://www.p12.nysed.gov/accountability/ESEAFlexibilityWaiver.html>



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# QUESTIONS





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## **School Improvement Set-Aside Allowable Activities**

Thank you for joining us today.

For more information, please call  
1-518-473-0295

Or Visit

<http://www.p12.nysed.gov/accountability/ESEAFlexibilityWaiver.html>