

Supplemental Educational Services (SES): 20 Percent Set-aside Reservation Process and Procedures

April 2009

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I. GENERAL INFORMATION

Background

Supplemental Educational Services (SES) was created with the 2001 reauthorization of the *No Child Left Behind Act (NCLB)* (P.L. 107-110, Section 1116(e)). Beginning with the 2004-05 school year campuses in Title I, Part A, School Improvement stages 2 and above are required to offer SES to eligible students. States are required to create and maintain a list of state-approved SES providers.

Overview

SES are free tutoring and/or academic enrichment services offered to eligible low-income students at no cost to parents. SES providers must:

- 1) have a demonstrate record of effectiveness in increasing student achievement;
- 2) be capable of providing SES in addition to instruction provided during the school day, consistent with local and state academic standards;
- 3) be financially sound; and
- 4) ensure SES are of high quality, research-based, and specifically designed to increase student academic achievement.

The duration of free tutoring provided to students may vary, but SES must be offered until the campus exits School Improvement status. Parents request SES for their child and choose from a list of state-approved SES providers that indicate they serve the eligible student's campus. Over 150 SES providers are approved to provide free tutoring to Texas students.

Purpose

The purpose of SES is to improve student achievement as part of a larger coordinated effort to improve overall campus effectiveness and provide parents with additional instructional opportunities and options outside of already existing campus academic interventions and support.

II. PROGRAM REQUIREMENTS

Policy Requirements

Local Education Agencies (LEAs) with campuses in Title I, Part A, School Improvement must provide SES to eligible low-income students whose parents request the services. Additionally, LEAs must ensure students requesting services have reasonable opportunities to expend the state-required SES per-pupil allocation (PPA). To allow for full expenditure of the SES PPA, LEAs must reserve an amount equal to 20 percent of its Title I, Part A allocation, unless a lesser amount is needed, to provide SES and public school choice (PSC) to eligible students whose parents request the services. The 20% obligation may be reserved from Title I, Part A; School Improvement; or other state and local funds.

Beginning with the 2008-09 school year, LEAs that do not expend its 20 percent obligation in a given school year must:

- spend the unexpended amount in the subsequent school year on choice-related transportation, SES, or parent outreach and assistance (subject to the percentage limitation); OR

- request to reallocate the unexpended amount for other allowable activities in a given school year. State notification to reallocate unused SES funds is required.

LEAs must monitor and report these local processes.

III. FUNDING

20 Percent Set-aside Reservation Reallocation Process and Procedures

LEAs that expend less than the amount needed to meet their 20 percent obligation for SES, PSC, and parent outreach and assistance must either:

- 1) in the subsequent school year, expend the remaining amount, in addition to the 20 percent obligation for that school year, on choice-related transportation, SES, or parent outreach and assistance, OR
- 2) request to reallocate the unexpended amount for other allowable activities in a given school year by notifying the Division of NCLB Program Coordination at the TEA.

Eligibility

LEAs that choose to notify the Texas Education Agency of their plans to reallocate unexpended PSC and/or SES funds must meet one of four required criteria to be eligible to reallocate and agree to implement the state's reallocation processes and procedures. The minimum required criteria necessary to be eligible to notify the TEA to reallocate funds are provided in Appendix A. **State notification for reallocation of unused SES funds is required.**

LEAs that do not meet one of the required criteria are not eligible to reallocate and must expend unused funds in the subsequent year on choice-related transportation and/or SES, in addition to the 20 percent obligation for that school year.

Reallocation Notification Guidelines

Eligible LEAs that notify the TEA of their plans to reallocate unexpended SES funds must select one of the two reallocation options provided below. For each option selected, **LEAs must demonstrate how the LEA met the minimum specified criteria.**

LEAs determine monitoring practices and maintain records and documentation on file that support meeting the minimum reallocation criteria required. A sample template is provided in Appendix B.

Reallocation Notification Options

Option One: Reallocation Notification is submitted to the TEA **on or before** May 1 during the school year in which the 20 percent set-aside reservation was required to allow for any necessary amendment to the Consolidated NCLB Application.

For example, LEAs selecting Option One for the 2008-09 school year must: 1) meet the required criteria between August 25, 2008 and May, 1, 2009, and 2) demonstrate evidence that during the 2008-09 school year, the year in which it plans to reallocate funds, one or more of the criteria included in Appendix A were met on or before May 1, 2009. Reallocation notifications under this option are due on Friday, May 1, 2009,

in order to allow the LEA to file any necessary amendment to the Consolidated NCLB Application for Funding.

Option Two: Reallocation Notification is submitted to the TEA **after** May 1 first during the school year in which the 20 percent set-aside reservation was required **but no later than** 30 calendar days from the subsequent school year's uniform start date.

For example, LEAs selecting Option Two for the 2008-09 school year must: 1) meet the required criteria between August 25, 2008, and August 23, 2009 (including summer services), and 2) demonstrate evidence that during the 2008-09 school year, the year in which it plans to reallocate funds, one or more of the criteria included in Appendix A were met on or before Sunday, August 23, 2009 (including summer services). Reallocation notifications under this option are due on Wednesday, September 23, 2009. The timing of this request to reallocate does not allow the LEA to file any amendment to the Consolidated NCLB Application for Funding as the May 1 amendment deadline has already passed.

Process

LEAs interested in notifying the TEA of their plan to reallocate any unspent 20 percent set-aside funds must carryout the following processes and procedures.

- 1) Review available options and required criteria;
- 2) Discuss available options and criteria with appropriate LEA leaders and campus staff responsible for carrying out the provision of SES and managing and monitoring improved student achievement;
- 3) Determine whether the LEA is eligible to notify the TEA of its plan to reallocate;
- 4) Based on local discussions and district instructional goals and objectives, determine whether the LEA will expend unused funds in the subsequent year on choice-related transportation and/or SES, in addition to the 20 percent obligation for that school year or 2) notify the TEA of its plans to reallocate unexpended PSC and/or SES funds;
- 5) Notify the TEA of the LEA's decision to reallocate;
- 6) Complete and submit to the TEA the Notification to Reallocate form provided in Appendix C;
- 7) Include, in the notification, the amount of funds to be reallocated on other allowable activities;
- 8) Complete the reallocation procedures as specified; and
- 9) Submit a copy of the documentation with the notification to TEA.
- 10) Retain records and documentation on file that support that the minimum reallocation required criteria were met.

Procedures

- 1) Complete and submit the Notification to Reallocate (See Appendix C) by the date specified.
- 2) Submit a copy of the documentation demonstrating compliance with one of the criteria with the notification to TEA.
- 3) Complete and submit, if applicable, a NCLB Consolidated Application and/or School Improvement Program Academy amendment after notifying the TEA Reallocation Notification Form.

IV. Clarifying Information and Support

Any person wishing to obtain clarifying information and/or additional support about these monitoring and reporting requirements may contact:

Texas Education Agency

Rita Ghazal
SES Coordinator
Division of NCLB Program Coordination
Texas Education Agency
1701 N. Congress Avenue
Austin, TX 78701-1494
Phone: (512) 936-9374
E-mail: rita.ghazal@tea.state.tx.us

Technical Assistance Provider

The School Improvement Resource Center (SIRC) is available to provide technical assistance and support for the provision of supplemental educational services and answer SES-related questions related.

School Improvement Resource Center (SIRC)
5701 Springdale Road
Austin, TX 78723
Hours: Monday – Friday, 8 a.m. – 5 p.m. (Central Standard Time)
E-mail: sirc@esc13.txed.net
Website: www.esc13.net/sirc

SES District Contact:

Samuel Maldonado
Education Specialist
Phone: (512) 919-5211
E-mail: samuel.maldonado@esc13.txed.net

SES Provider Contact:

Leticia Govea
Education Specialist
Phone: (512) 919-5169
E-mail: letcia.govea@esc13.txed.net

SES Program Assistant:

Cindy Watson
Phone: (512) 919-5491
E-mail: cindy.watson@esc13.txed.net

APPENDIX A

Reallocation Notification Request Required Criteria

For the school year during which the LEA notifies the TEA its plan to reallocate funds, the LEA must demonstrate evidence that it has met one of the following criteria:	
Criterion A	PSC transportation and/or SES was provided to <i>all</i> eligible students without spending the full 20 percent set-aside required amount.
Criterion B	The LEA enrolled a minimum of 51 percent of eligible students (total on all SES campuses) to spend all funds reserved for PSC and SES, but funds remain at the end of the school year because one or more providers did not fulfill their contractual obligations or because enrolled students did not begin or complete services.
Criterion C	The LEA was unable to provide PSC because it has only one campus at each grade level <i>and</i> no SES providers serve the district, including providers that employ technology, such as distance learning, to deliver SES.
Criteria D	<p>The LEA partnered to the extent practicable, with outside groups, such as faith-based organizations, other community-based organizations, and business groups, to help inform eligible students and their families of the opportunities to transfer or to receive SES.</p> <p style="text-align: center;">AND</p> <p>eligible students and their parents had a genuine opportunity to sign up to transfer or to obtain SES, including by:</p> <ol style="list-style-type: none"> 1. providing timely, accurate notice to parents. 2. ensuring that sign-up forms for SES are distributed directly to all eligible students and their parents and are made widely available and accessible through broad means of dissemination, such as the Internet, other media, and communications through public agencies serving eligible students and their families. 3. providing a minimum of two enrollment windows, at separate points in the school year, that are of sufficient length (minimum of 60 calendar days) to enable parents of eligible students to make informed decisions about requesting SES and selecting a provider. <p style="text-align: center;">AND</p> <p>Ensure that eligible SES providers are given access to school facilities, using a fair, open, and objective process, on the same basis and terms as are available to other groups that seek access to school facilities.</p>

APPENDIX B

Sample Documentation: Partnering with Outside Entities and Groups

DATE	EVENT	DESCRIPTION
July 24, 2008	Provider Fair Invitation	Emailed all eligible SES providers information about Provider Fairs at both SES campuses
August 1, 2008	Meeting with both campus SES Contacts	Trained the new SES contact at the campus
August 6, 2008	Campus Registration/Provider Fair	Handed out SES flyers to parents District & Campus SES persons on site to answer related questions & for enrollment purposes
August 8, 2008	Campus Registration/Provider Fair	Handed out SES flyers to parents District & Campus SES persons on site to answer related questions & for enrollment purposes
August 11, 2008	Distribution of Flyers	Flyers given to the front office and counselors at both campuses to give to parents/students wanting tutoring
August 11, 2008	Campus Registration/Provider Fair	Handed out SES flyers to parents District & Campus SES persons on site to answer related questions & enrollment purposes
August 12, 2008	Campus Registration/Provider Fair	Handed out SES flyers to parents District & Campus SES persons on site to answer related questions & enrollment purposes
August 13, 2008	Parent Phone Calls	Called Parents to visit with them about providers and enrolled students
August 14, 2008	Campus	Gave flyers to campus secretary for parent information during the year
August 14, 2008	Campus	Gave flyers to campus secretary for parent information during the year

August 14, 2008	Provider Fair Invitation	Emailed all eligible SES providers about Provider Fair/Open House at campus on September 11, 2008
August 26, 2008	Campus Emails	Emails out to campus staff to explain SES to teachers & staff, let them know procedure & their SES contact.
September 2, 2008	Provider Fair Invitation	Email sent out to providers inviting them to campus for Open House/Provider Fair Night on September 22, 2008
September 11, 2008	Campus Provider Fair/Open House	Handed out SES flyers to parents District & Campus SES persons on site to answer related questions & enrollment purposes
September 20, 2008	Campus Provider Fair/ Open House	Did an all call to the parents in English and Spanish inviting them to the open house and provider fair to sign up for SES
November 5, 2008	Campus Informative Email	Email to junior high school staff about the SES program available to their students.
November 6, 2008	Campus Provider Fair	Email to the eligible providers inviting them to the Provider Fair on December 9, 2008
Week of November 10 - 14, 2008	SES Flyers Sent Home	Flyers given to teachers to hand out to students the week report cards are also going out.
November 12, 2008	Community Posters	Posters taken and placed out in the community
November 13, 2008	District Web Page	All SES information posted on district web page along with past history, numbers, providers, provider information and enrollment forms
December 1, 2008	All Call	All Call inviting parents to provider fair and Christmas decorating
December 2, 2008	School Web Page	Provider Fair placed on web

December 2, 2008	School Marquee	Provider Fair information placed on marquee again
January 9, 2009	Letter Mail Out	School Wide Mail Out to Eligible Students about SES services available
February 10, 2009	Email	School Wide Email to campus reminding them of the free tutoring eligible for their students in science, math, & reading, who their school contact is and where the enrollment forms are located.
February 11, 2009	Civic Organization	A follow up informative meeting with civic organization about SES and to help recruit students & educate the community, etc. This organization was one of our community contacts also last year
February 11, 2009	Community Center	Information given to Community Center about SES by Camus Parent Liaison
February 11, 2009	Church	Discussed with a member of the church hanging posters and helping campus get out the SES information to students. Church is located across the street from campus.
February 11, 2009	Area Businesses	Mailed out poster and flyers to display/hand out at area businesses. Received several phone calls from flyers seen in the community
Every 3 weeks	Progress Reports/Report Cards	Note on the bottom of Progress Reports and Report Cards about Free Tutoring available
February 13, 2009	Post Card Mailed Home	Mailed post cards to all students enrolled in SES about attendance at tutoring
February 16, 2009	Posters	Additional Posters distributed throughout the classrooms at campus.
February 24, 2009	SES Training	Follow up training session for campus SES school contact
Every month	SES Progress Reports	Progress Reports are emailed to the campus teacher through EZSES

APPENDIX C

Notification to Reallocate

Notice to Reallocate unused federal, state, and/or local funds for the Supplemental Educational Services (SES) and Public School Choice (PSC) 20 percent set-aside reservation provisions during participation in the Title I, Part A, School Improvement Program.

1. Submission of this notification will inform the Texas Education Agency (TEA) of your district's decision to reallocate unused funds reserved for SES and PSC under the *No Child Left Behind Act of 2001*. Submit a copy of the documentation demonstrating compliance with one of the criteria with the notification to TEA.
2. Independent school districts and open-enrollment charter school districts must complete and submit this notice on behalf of campuses.
3. One submission per LEA is required.
4. Once the LEA notification is received at TEA, the LEA may reallocate any unused funds reserved for SES and PSC.
5. Upon submission of this notice, grant applicants assure:
 - a. that the minimum required criteria, as specified in the notification guidelines' Appendix A, were met, and
 - b. the district agrees to retain these records and any applicable documentation on file.
6. The Notification to Reallocate is due to TEA by 5 p.m. (Central Standard Time) on Friday, May 1, 2009, for district's choosing Option One, **OR** Wednesday, September 23, 2009, for district's choosing Option Two.
7. Grant applicants that do not submit this notification may forfeit their ability to reallocate these funds for other allowable activities.
8. Submission Instructions:

Send Attention to: Rita Ghazal

Send by Fax: (512) 305-9447

Send by U.S. Mail: 1701 N. Congress Avenue, Austin, TX, 78701-1494

Notification to Reallocate

The LEA is notifying the TEA of its plans to reallocate unused federal, state, and/or local funds for the SES and PSC 20 percent set-aside reservation provisions during participation in the Title I, Part A, School Improvement Program.

Part 1: Required Notification

Name of LEA:
County-District Number:
SES School Year for Reallocation:
Indicate which minimum required criteria was met by the LEA (A, B, C, or D):
List the percentage of funds to be reallocated:
This Notice of Request to Reallocate must be signed by the LEA superintendent or other authorized official. By signing below, the undersigned confirms (1) the LEA has read and understands each term set forth; (2) the representations and the information provided above and attached are accurate to the best of my knowledge.
Signature:
Name and Title of Authorized Official:
Superintendent E-mail Address:
Date Signed:

Part II: Documentation

Attach a copy of the documentation demonstrating compliance with one of the criteria with the notification to TEA.

The superintendent will receive an e-mail notification of receipt within one week of receipt at the TEA. For questions, please contact Rita Ghazal, SES Coordinator, at (512) 936-9374 or rita.ghazal@tea.state.tx.us.