



Supplemental Educational Services (SES) in North Carolina

Supplemental Educational Services (SES) Provider Logistics

Orientation Meeting September 28, 2010

Kenneth R. Kitch, Ph.D.,

Parent Options/Parent Involvement Coordinator

Federal Program Monitoring Section

What are Supplemental Educational Services?

- Supplemental Educational Services (SES) are free tutoring and academic enrichment services federally mandated by Section 1116 of the Title I, Part A of the Elementary and Secondary Education Assistance Act of 1965 (ESEA).

<http://www.ed.gov/policy/elsec/leg/esea02/index.html>

Note: No Child Left Behind (NCLB) Act of 2001 has not been reauthorized at this point in time.



Why Supplemental Educational Services?

SES are intended to help eligible students increase their academic achievement, particularly in reading, language arts and mathematics. These services provide additional academic instruction, which are offered outside of the regular school day. The service is designed to increase the academic achievement of low-income students who attend qualifying schools.



What is the purpose of SES?

- A key aim of Title I, Part A of the ESEA is to provide new educational options to parents/legal guardians whose children attend Title I schools that are identified for improvement, corrective action, or restructuring because the schools have not made adequate yearly progress (AYP) toward meeting state standards for two or more years.



What federal guidance is available for SES?

- The U.S. Department of Education has issued non-regulatory guidance which is non-binding; however, the guidance is intended to assist stakeholders in implementing the federal law.
- ***SES Guidance - U.S. Department of Education - January 14, 2009***
<http://dpi.state.nc.us/program-monitoring/titleI/SES/>



Which State Board of Education Policy governs SES in North Carolina?

- SES providers are approved by the N.C. State Board of Education (SBE).
- SBE policy GCS-C-032 outlines procedures for removing providers demonstrating ineffectiveness for two years.
- <http://sbepolicy.dpi.state.nc.us/>



What requirements must SES providers follow?

- Providers must adhere to both Federal and State requirements in the provision of SES.
- ***NCDPI North Carolina SES Standards and Procedures Manual***

Updated January, 2010

<http://dpi.state.nc.us/program-monitoring/titleI/ses/>



GENERAL PROVISIONS FOR SES PROVIDERS

Section A: Purpose and Scope

The purpose of this part is to establish general standards and procedures for SES providers approved by the NCDPI. Failure to abide by the standards and procedures detailed in this section may result in removal from the State's approved provider list.



Section B: Provider Code of Ethics

Providers and their employees or any agent representing their company must abide by the Provider Code of Ethics. In the conduct of business and discharge of responsibilities, providers commit to:

- Conduct community outreach, student recruitment, and to serve students fully consistent with the terms of their State-approved application and all State and local policies;
- Conduct business honestly, openly, fairly, and with integrity;



Section B: Provider Code of Ethics

- Comply with applicable laws, statutes, regulations and ordinances;
- Conduct affairs so as to avoid conflicts of commitment and avoid or minimize conflicts of interest, and respond appropriately when conflicts of interest arise.
- Never offer or accept illegal payments for services rendered;
- Apply these guidelines and standards throughout the company by ensuring all employees understand them and act accordingly;



Section B: Provider Code of Ethics

- Refrain from publicly criticizing or disparaging other providers;
- Comply with the confidentiality and non-disclosure provisions of all applicable federal, State, and local laws, including those relating to student identity, records, reports, data, scores, and other sensitive information;



Section B: Provider Code of Ethics

- Be factual and forthright in reporting and documenting attendance rates, effectiveness of the programs, and in explaining the theoretical/empirical rationale behind major elements of its program, as well as the link between research and program design;
- Take appropriate corrective action against provider employees, consultants, or contractors who act in a manner detrimental to the letter or spirit of this code; and



Section B: Provider Code of Ethics

- Take immediate steps to correct any actions on its part that willfully or inadvertently violate the letter or spirit of this code.
- The Code of Ethics has been adapted from the Education Industry Association, revised January, 2008.



Section C: North Carolina Standards for Supplemental Educational Services

- SES Providers and their employees will consistently implement the Supplemental Services provisions of the Elementary and Secondary Education Act (ESEA) and promote full access to SES services.



Conflict of Interest

- Providers are expected to conduct business affairs so as to avoid conflicts of commitment and avoid or minimize conflicts of interest, and respond appropriately when conflicts of interest arise. A conflict of interest is defined as any act that can be reasonably questioned as to whether the professional actions or decisions taken are determined by considerations of personal gain, financial or otherwise.



Conflict of Interest

- Providers are allowed to market their SES program to families. Providers must not promote their other business services that are not SES to parents/guardians. It is a conflict of interest for providers to use SES to market their business services where parents/guardians are expected to pay for services either out of pocket or through insurance.



Recruitment, Compensation, and Incentives

- Providers must not offer or advertise economic incentives or gratuities of any kind to parents or students to solicit them to enroll in the provider's SES program.
- Providers must not offer a student, parent, or teacher any form of incentive for signing-up a student with a provider. This includes restricting the promotion of any allowable attendance or performance incentives to the period following student enrollment.



Recruitment, Compensation, and Incentives

- Providers must not sponsor promotional events including pizza parties on school grounds for student recruitment that are for the sole benefit of a single provider. The preferred practice is for the school to organize such recruitment events that are for the benefit of all providers, accepting voluntary sponsorship from providers.



Recruitment, Compensation, and Incentives

- Providers must not use a district enrollment form that has the selected provider's name pre-printed as part of the form. Any facsimile of the enrollment form used to demonstrate how to accurately complete it must be clearly marked as "SAMPLE" and this facsimile shall in no way be used to actually enroll the student.



Recruitment, Compensation, and Incentives

- Providers must not encourage students/parents to switch providers once enrolled. A student is considered enrolled once the District has issued the formal student/provider selection list.



Recruitment, Compensation, and Incentives

- Providers must not compensate school district employees personally in exchange for access to facilities, to obtain student lists, to assist with marketing or student recruitment, to promote enrollment in a provider's program at the exclusion of other providers, to obtain other similar benefits for their SES program, or for any illegal purpose.



Recruitment, Compensation, and Incentives

- Providers must not make payments or in-kind contributions to schools or school personnel, exclusive of customary fees for facility utilization in exchange for access to facilities, to obtain student lists, to increase student enrollment, to obtain other similar benefits for their SES program, or for any illegal purpose.



Recruitment, Compensation, and Incentives

- Providers must not misrepresent to anyone, including parents, the location of a provider's program, Principal/District or State's approval of a provider, or the likelihood of becoming so approved.



Evaluation of Services

- Providers must provide the LEA and SEA with requested information to complete the annual evaluation of SES Provider effectiveness. Information includes but is not limited to students attendance data, pre assessment data, and post assessment data.



Evaluation of Services

- Providers must not attempt to influence or bias parents' completion of the Parent Survey or any other evaluation of the provider's services.
- When completing NCDPI monitoring and evaluation documents, providers must not misrepresent data or report information that is in any way false or inaccurate.



Evaluation of Services

- When requested by the SEA, providers must complete a Self-Assessment utilizing the tool included in the document developed by the North Carolina Center for Afterschool Programs (NCCAP), *Established Standards of Excellence Self-Assessment Tool: K-12*.

The self-assessment will provide organizations with a comprehensive view of the SES program and can be used as a means for establishing program goals and evaluating the progress toward reaching the goals. The self-assessment will also be used to provide a means for SEA monitoring of SES programs as required under ESEA [Section 1116(e)(4)(D)].



Requests for Information

- Providers must respond to all reasonable requests for information from school districts and the NCDPI by pre-set deadlines.
- Information includes, but is not limited to letters of intent, assurances forms, policy signature pages, and monitoring and evaluation data requested by the NCDPI, and invoices or attendance sheets requested by districts.



Supervision of Students

- Providers must provide supervision for SES students during the tutoring session.
- Providers should also ensure that students are escorted and appropriately supervised whenever students leave the tutoring space/room (e.g. to go to their locker, to take a restroom break, etc).



Employment Practices

- Providers must not employ any district employees who currently serve the districts in the capacity of Principal, Assistant Principal, or school or district SES Coordinator.
- Providers must not employ any individuals, including school employees or community leaders, who have any governing authority over a school district or school site.



Employment Practices

- Providers must not hire school-employed personnel for any purpose other than instruction-related services or program coordination.
- Providers must not allow tutors who are currently employed by the school district to recruit students.



Section D: Other Allowable Provisions

- In addition to the required standards, approved providers may conduct additional activities as follows:
- Offer incentives during the provision of SES, that are approved under the NCDPI Incentive Policy to students for achievement and/or the completion of assessments and program objectives.
- Inform the student of any incentives that are directly linked to attendance or performance in SES after enrollment.



Section D: Other Allowable Provisions

- Provide simple door prizes of a nominal value (approximately \$2 per prize) and refreshments to potential students and their families, while attending informational sessions.
- Offer enrolled students performance rewards with a maximum value of \$50 that are directly linked to documented meaningful attendance benchmarks and/or the completion of assessment and program objectives.



Section D: Other Allowable Provisions

- Use incentives to promote academic achievement and/or attendance. Incentives may not exceed \$50.00 per child for the incentive program. Inappropriate incentives would include free daycare when tutoring is not in session. These incentives shall not be advertised in advance of actual enrollment.



Section D: Other Allowable Provisions

- Employ a parent of an SES-eligible student subject to the following conditions:
 - Each parent of an eligible student who is hired by a provider must have a written job description and must be compensated on the same basis as all other employees of the provider who perform similar work; and
 - No parent may receive any commission or other benefit related to the enrollment of his or her child in a provider's program, nor may a parent be subject to any employment action by the provider on account of the parent's selection of an SES program for his or her child.



Section D: Other Allowable Provisions

- Employ school district employees (subject to the applicable terms in this handbook) for instruction-related services or program coordination purposes as long as the person does not restrict the marketing or enrollment opportunities of other providers, subject to District policies governing conflict of interests and other District-imposed requirements.
- Include tutor compensation incentives for student achievement that are consistent with a company's written policy.



Section G: Billing of Services

- Providers are expected to bill the LEA in the manner that was agreed upon in the contract. Submission of invoices must be done in a timely manner.
- Providers may not bill at a higher hourly rate than the student cap will allow. Providers will divide the student cap by the number of hours indicated in the provider's approved program. **Providers must provide a minimum of 30 hours in all the LEAs served.**



Section G: Billing of Services

- Approval as an SES provider does not constitute a guarantee of employment. Payment for services will be provided by eligible school districts through a contractual arrangement only for instructional services rendered for eligible students.
- Providers are expected to administer the program as submitted to the North Carolina Department of Public Instruction. Providers must be paid for hours of service provided to implement the program submitted in their application.



Questions regarding SES?



Contact Information

Kenneth R. Kitch, Ph.D., Parent Options/Parent Involvement Coordinator
Federal Program Monitoring Section
NC Department of Public Instruction
6351 Mail Service Center
Raleigh, North Carolina 27699-6351
Phone: (919) 807-3830
Fax: (919) 807-3968
E-mail: kkitch@dpi.state.nc.us

Donna R. Brown, Section Chief
Federal Program Monitoring Section
NC Department of Public Instruction
6351 Mail Service Center
Raleigh, North Carolina 27699-6351
Phone: (919) 807-3959
Fax: (919) 807- 3968
E-mail: dbrown@dpi.state.nc.us

